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School of Education
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A Case Study of an Effective Board of Directors of a
Nonprofit Organization: Perceptions, Processes,
Characteristics, and Diversity

has been approved by her committee as satisfying completion
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February 6, 1991
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A Case Study of an Effective Board of Directors
of a Nonprofit Organization:
Perceptions, Processes,
Characteristics, and Diversity

A dissertation submitted in partial fulfillment of the
requirements for the degree of Doctor of Philosophy at
Virginia Commonwealth University.

by

Marcia Cohen Penn

Urban Services Program
School of Education
Virginia Commonwealth University

February 1991

Acknowledgements

The fable of the elephant and the blind men suggests that there may be various answers to a question. Each may be correct in a limited way, but none may describe the complete answer. The same can be said for this dissertation effort. Many people were involved in providing different kinds of guidance, support, encouragement and advice. It is the totality of these many people's support that allowed me to complete this dissertation.

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Finally to all the board members and other volunteers who over many years showed me that miracles can happen through commitment and hard work goes my respect and admiration.

THE BLIND MEN AND THE ELEPHANT

A HINDOO FABLE

I.

It was six men of Indostan,
To learning much inclined,
Who went to see the Elephant,
(Though all of them were blind,)
That each by observation
Might satisfy his mind.

II.

The First approached the Elephant,
And happening to fall
Against his broad and sturdy side,
At once began to bawl:
"God bless me!--but the Elephant
Is very like a wall!"

III.

The Second, feeling of the tusk,
Cried, "Ho! what have we here
So very round and smooth and sharp?
To me 't is mighty clear
This wonder of an Elephant
Is very like a spear!"

IV.

The Third approached the animal,
And, happening to take
The squirming trunk within his hands,
Thus boldly up and spake:--
"I see," quoth he, "the Elephant
Is very like a snake!"

V.

The Fourth reached out his eager hand,
And felt about the knee;
"What most this wondrous beast is like
Is mighty plain," quoth he;
"'T is clear enough the Elephant
Is very like a tree!"

VI.

The Fifth, who chanced to touch the ear,
Said, "E'en the blindest man
Can tell what this resembles most:
Deny the fact who can,
This marvel of an Elephant
Is very like a fan!"

VII.

The Sixth no sooner had begun
About the beast to grope,
Then, seizing on the swinging tail
That fell within his scope,
"I see," quoth he, "the Elephant
Is very like a rope!"

VIII.

And so these men of Indostan
Disputed loud and long,
Each in his own opinion
Exceeding stiff and strong,
Though each was partly in the right,
And all were in the wrong!

(FROM: Clever Stories of Many Nations, J. G. Saxe, editor.
Boston: Tecknor & Fields, 1865.)

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ABSTRACT

Penn, Marcia Cohen. A Case Study of an Effective Board of Director of a Nonprofit Organization: Perceptions, Processes, Characteristics, and Diversity. Virginia Commonwealth University, School of Education, February 1991

This case study examines an effective board of directors of a nonprofit organization. The research identifies three qualitative characteristics of the Board, seeks to understand benefits and challenges of this Board's diversity, the processes it follows and Board members perceptions of Board effectiveness. Twenty-seven active Board members are interviewed in depth, observed at Board and Committee meetings and surveyed as to their perceptions of Board effectiveness. The results are presented based on emerging data gathered over a six-month period of time. Thirty-seven different definitions of Board effectiveness have been identified by Board members in this study.

Conclusions and implications are drawn from an analysis of the data and compared to current, larger research studies on board effectiveness. A new board member typology is suggested for understanding involvement of the board members. Implications for current and future research are offered.

CHAPTER I

Overview of the Study

Introduction

The board of directors of a nonprofit organization has the authority and responsibility to govern the organization (Dayton, 1987). This authority and responsibility carries with it the expectation that the board of directors will perform in the most effective manner possible. A perusal of the literature reveals that there is a dearth of knowledge and information about how board members conceptualize board effectiveness and how these perceptions influence board interactions (Holland, Chait & Taylor, 1989; Grouchau, 1989; Middleton, 1987). The purpose of this study is to investigate a nonprofit organization's board of directors' perceptions of board effectiveness.

Nonprofit Organizations

Nonprofit organizations represent an important and unique part of the American experience. They allow individuals to express their personal concerns and commitments in a tangible manner.

O'Connell (1981) captures the spirit of the nonprofit sector in his book, Effective Leadership in Voluntary Organizations:

The problems of contemporary society are complex, the solutions more involved and the satisfactions more obscure, but the basic ingredients are still the caring and the resolve to make things better. From the simplicity of these have come today's exciting efforts on behalf of humanitarian causes ranging from equality to environment, and from health to peace. People who get involved with public causes often open themselves to frustrations and disappointment, but--through it all and after it all--those moments of making change happen for the better are among their lasting joys. There is something wonderfully rewarding in being part of an effort that does make a difference (p. xii).

The rapid growth of nonprofit organizations in the United States is a fairly new phenomenon. Nonprofit organizations now number somewhere between 800,000 and 2,000,000; "of the 124,000 active nonprofit organizations counted by the Urban Institute in 1982, two-thirds have been organized since 1960" (United Way of America, 1987, p. 68).

The term nonprofit organization refers to those legally constituted, nongovernmental entities, incorporated under state law as charitable or not-for-profit corporations that have been set up to serve some public good and are tax exempt according to the United States Internal Revenue Service (Wolf, 1984). Along with the increased competition brought about by the growth of nonprofit groups, funding bodies, and governmental agencies, the media and consumer

groups are demanding tighter governance, management and fiscal accountability of nonprofit organizations (Middleton, 1987). Highly publicized problems surrounding fundraising, mismanagement and liability issues as well as rapidly changing patterns of client needs versus available resources has led to recognition of the importance of effective management and governance of nonprofit organizations (Manza, 1987).

A growing body of literature has been developing on methods for increasing effectiveness of nonprofit organizations, some of it adapted from the for profit sector and some developed from direct field experiences in the nonprofit sector (Axelrod, 1988; Drucker, 1974 and 1990; McConkey, 1975; McLaughlin, 1986; O'Connell, 1985; Wiehe, 1984; Wilson, 1975). This literature generally reflects practitioners' knowledge of what works in the field and provides prescriptive strategies for success. As professionalism in the nonprofit sector grows, administrative behavior and general management practices are being considered relevant for study (Drucker, 1974; Goodman & Pennings, 1980; Lovelock & Weinberg, 1984; Simon, 1976).

Boards of Directors

"All legally incorporated nonprofit organizations are required to have a board of directors" (Widmer, 1985, p. 8). Board members of nonprofit organizations are volunteers who are either elected by the membership of the organization or appointed as stated in the bylaws of the organization.

Generally, nonprofit boards have the responsibility to define and clarify the organization's mission statement and set policies; provide for financial stability of the organization; select and hold accountable the executive director; and act as liaison between the community and the organization (Hanlon, 1977; Karn, 1983; McLaughlin, 1986; O'Connell, 1985). Kenneth Dayton (1987) asserts, "You cannot long have a good management without good governance" (p. 1). The need for effective governance by nonprofit boards has become recognized as a vital component along with good professional management for successful nonprofit organizations.

Effective governance by boards of directors can be defined in various ways from various perspectives. One way to begin to understand what constitutes an effective board may be to understand the legal requirements for the nonprofit organization and the board of directors that are accountable for its overall operation.

Legal Requirements

Nonprofit organizations must be incorporated through state law in each of the 50 states, and are commonly referred to as nonstock corporations in state codes. The nonprofit organization and its board must follow the rules and responsibilities set forth under articles of incorporation that are indicated by state codes. As an

example, the Virginia Nonstock Corporations Act (1950) under Article 8, §13.1-853, states:

Requirement for and duties of board of directors.

A. Each corporation shall have a board of directors.

B. All corporate powers shall be exercised by or under the authority of, and the business of the corporation managed under the direction of, its board of directors, subject to any limitation set forth in the articles of incorporation (Code 1950, §13.1-220; 1956, c.428; 1983, c. 393; 1985, c. 522).

After Articles of Incorporation are completed for the nonprofit organization, it may then apply for federal nonprofit status. The federal government recognizes the nonprofit status of organizations by qualifying certain nonprofit organizations for tax relief. Federal tax exemption qualification is covered under the I.R.S. Code, Section 501, "Exemption from Tax on Corporations" (Department of the Treasury, 1988).

Nonprofit organizations that wish to apply for tax exempt status must adhere to certain limitations and restrictions on their activities which are placed on them by federal regulations (Department of the Treasury, 1988). The basic legal distinction of nonprofit organizations (in order to qualify for tax relief) is that a nonprofit "is prohibited from distributing revenue or earnings to its stockholders (the founders, management and/or board of directors)" (Alleman, 1985, p. 29). Profits earned by

nonprofit organizations must be put back into the organization's operations or used for other nonprofit purposes. Tax exempt status enables nonprofit organizations to be exempt from paying certain types of taxes and allows the organization to solicit donations from individuals or private organizations who in turn will receive a tax benefit by giving the contribution.

Simon (1987) suggests state and federal tax systems have become important factors in shaping the behavior of the nonprofit sector. There are definite costs and benefits to nonprofit organizations in receiving federal tax exemptions. A cost to the nonprofit organization that receives tax-exempt status may be the limitations placed on it by government regulations versus the benefit of offering federal tax deduction to potential donors.

Beyond the clearly defined framework for legally establishing nonprofit organizations, other factors need to be understood with regard to what constitutes effective nonprofit organizations and their governing boards. The impact of individual board members' perceptions of board effectiveness may present an opportunity for further understanding.

Rationale for the Study

Today's boards of directors of nonprofit organizations are faced with more challenges than ever before. Some of these challenges are increased competition for volunteers and monetary contributions, limited governmental funding,

greater demands by clients and staff, greater accountability from funders, more government regulations, technological advances that increase client expectations and greater diversity of board members.

Boards must be able to perform their responsibilities to the best of their abilities in a changing environment while keeping the organization focused on its mission and planning for the future of the organization. This represents no easy task.

Along with this, it must be recognized that the membership of boards often changes regularly as boards strive for representative diversity as well as regular rotation of officers and members (Hanlon, 1977; O'Connell, 1985). Although this may create some level of instability, representative diversity and rotation are intended to strengthen the board by bringing many different community viewpoints onto the board. This potential for strengthening the board is part of the unique challenge for nonprofits of maintaining the balance between the experienced and valued current board members and diverse, interested new board members. Once diversity of board members is achieved, that diverse group (including those who have long term experiences on the board) must be able to understand problems and opportunities similarly and make decisions for the organization.

Current research on nonprofit organizations also acknowledges there are various personal motivations for

individuals joining boards. Those motivations can range from altruism to the desire to become more fully integrated into the community, to developing new circles of friends, to gaining status and prestige, or alleviating feelings of loneliness (Middleton, 1987; Schindler-Rainman & Lippitt, 1975).

Beyond the reasons people join boards, there are on-going motivations that may hold the board together (commitment to the organization and its goals, or willingness to volunteer as a board member) and sustain it. Board members are distinct individuals who have come to the board with different life experiences, values and needs and may continue with the board for different reasons.

Yet some research identified common characteristics in successful nonprofit organizations and their boards of directors (Conrad, 1983; Holland, Chait, & Taylor, 1989). One method currently used to measure actual board involvement and effectiveness is self-assessment surveys completed by the the board members themselves. This often represents a preliminary step toward increasing awareness in board members that they may need to improve their governance. Along with this, there needs to be a better understanding of board members' own perceptions of what constitutes effective governance of nonprofit boards. To date, very little research has been conducted on the outcomes of self-assessment surveys of members' perceptions of effectiveness of boards.

Alleman (1985) in his study of Perceived Behaviors of For-Profit Corporate Directors When Serving on Boards of Directors of United States Not-For-Profit Institutions stated, "There does not appear to be anything published to date on the 'perceived behavior' of for-profit directors when they serve on boards of not-for-profit organizations" (p. 25). In his concluding chapter, he suggests

that instead of restricting the study of the perceived behavior of for-profit directors, a different approach might be taken in studying not-for-profit directors in general and then analyzing the behavioral perceptions of those directors who are and those who are not business people to determine if there are significant differences....Ideally, the combination of having not only the 'perceptions' reported but of personally observing the behavior in not-for-profit board meetings would have added another dimension (p. 204).

Purpose of the Study

The purpose of this study is to identify describe and analyze board members' perceptions of board effectiveness in one nonprofit organization. With the understanding of how board members may define this phenomenon differently, those differences and their effects on the board may be understood. Through this insight, development of more appropriate methods of board member recruitment and training to improve board effectiveness may be successfully explored.

Foreshadowed Problems

This study, which uses an ethnographic approach, begins with foreshadowed problems in contrast to the research hypotheses of quantitative studies (Taylor & Bogdan, 1984). Foreshadowed problems help to focus the study and represent a beginning of formal inquiry, guide the researcher, and may be reformulated several times during the study.

The foreshadowed problems considered in this study include: How do volunteer board members of a nonprofit organization define their roles, the board they serve on, and their activities as they relate to the board? What are the perceptions of board effectiveness held by board members? Do board members' perceptions of board effectiveness differ? How do differences in board members' perceptions impact board effectiveness?

The following terms are defined for clarity of the foreshadowed problems:

1. Board effectiveness - The accomplishment of the roles and responsibilities of the board of directors in accord with the organization's mission as defined in the articles of incorporation and/or the by-laws of the organization.

2. Board of directors - The legally constituted body of persons which voluntarily governs the affairs of the nonprofit organization. (The term "board" will be used throughout this paper to refer to this group.)

3. Board roles - Those functions stated in the articles of incorporation and/or the by-laws of the nonprofit organization such as policy development, fiscal stewardship and strategic planning.

4. Nonprofit organization - An organization formed for a public good, legally incorporated as a nonstock corporation in which its members or managers receive no financial gain "except as a proper grant according to its stated approved purposes, or as salaries paid for employee-type services rendered to the organization (Oleck, 1980, p. 21). Although some nonprofit organizations may produce profit, the primary criterion is one of purpose as identified in the corporate charter.

5. Volunteer board members - Those persons who are elected or appointed by the membership of the nonprofit organization (or as stated in its articles of incorporation) to serve on its board. These persons agree to serve willingly as volunteers without benefit of financial gain.

6. Executive Director - The most senior paid managerial staff person of the nonprofit organization. The job functions of this person are referred to as administration and management and encompass the day-to-day operations of the organization.

Methodology

To understand the phenomenon of individual board members' perceptions of board effectiveness a research methodology must be used "to discover the cultural knowledge people are using to organize their behavior" (Spradley, 1979, p. 30). Since this study was exploratory, descriptive, and analytical, ethnography was chosen as the appropriate methodology. It allowed the researcher to observe and describe what was occurring from the perspectives of the individuals being studied.

The research design for this study was a case study design. This case study examined the Board of Directors of one nonprofit organization and was conducted in the field, using flexible strategies so that the emerging data could drive the design (Guba, 1978; Lincoln & Guba, 1985; Rodwell, 1987).

Participant-observation was used for data collection. This approach "combines document analysis, interviewing of respondents and informants, direct participation and observation, and introspection" (Danzin, 1978, p. 183).

Specific criteria were used for selection of the organization to be studied (See Chapter III). The selection of the organization occurred through a process of purposeful sampling (Taylor & Bogdan, 1984), allowing for the selection of a board of directors of a nonprofit organization which was considered as functioning at a highly effective level. Purposeful sampling was used as a strategy in this study

because the researcher wished to learn about and come to understand, in depth, a board of one "effective" nonprofit organization.

The researcher's role was that of participant-observer. This was particularly appropriate as the researcher was able to develop a deeper and fuller understanding of Board members' perceptions and actions using this approach.

Data collection included extensive field notes taken while observing at Board and committee meetings. An audiotape recorder was used with the consent of the participants to back up note taking. Of the 27 Board members interviewed, three requested that the researcher not tape the interview (which the researcher agreed to do). All 21 committee meetings and 3 Board meetings were audio taped and transcribed. To insure trustworthiness of data, additional levels of data collection were used. The researcher conducted in-depth interviews using a standardized interview guide (See Appendix A) with all Board members and then transcribed and reviewed audio taped recordings following each interview. All Board members were also requested to complete a nationally recognized standardized self-assessment survey, Board of Directors Self-Assessment (Conrad, 1983). This survey measured Board members' perceptions in eight areas that were identified as commonly seen responsibilities in all nonprofit boards. The responsibilities, termed by Conrad as Key Result Areas, or

KRA's (See Appendix B), are reflected in the Self Assessment instrument as follows:

KRA 1	Personnel
KRA 2	Board Organization
KRA 3	Meetings
KRA 4	Communication
KRA 5	Decision Making
KRA 6	Board/Staff Relationship
KRA 7	The Board Membership Process
KRA 8	The Board at Work

Each area explores the individual Board member's perception of the effectiveness of the Board in each functional area.

Relevant written materials were also reviewed for consistency in meanings across different Board members and data collection methods. Danzin (1978) and Patton (1980) use the term triangulation to describe this data collection method which "means the combination of methods or sources of data in a single study.... Triangulation is often thought of as a way of guarding against researcher bias and checking out accounts from different informants" (Taylor & Bogdan, 1984, p. 68).

Data analysis was begun by systematically coding and categorizing the interview transcripts, field notes, and other materials to increase understanding of what was said and perceived in different settings (Bogdan & Biklen, 1982). Inductive analysis, defined by Taylor and Bogdan (1984) as occurring when the patterns, themes and categories of

analysis emerge from the data rather than being imposed on the data prior to data collection and analysis, was conducted in this study.

A constant comparison method was employed in forming the categories and coding data during the analysis stages (Glaser & Strauss, 1967). By making comparisons the researcher was forced to recognize similarities, differences and degrees of consistency of meanings and negative evidence to each finding (Strauss, 1987). Concepts emerged as subcategories formed and then inductively, general categories and themes developed.

Threats to reliability posed by informants' bias were controlled through careful and detailed description. To enhance validity this research study used triangulation and cross-validation of data among multiple sources in the data collection and data analysis stages (Danzin, 1978).

Limitations

This study was limited to the Board of Directors of one nonprofit organization in a U.S. east coast, medium-sized city. Use of a case study design limited the predictability to other boards of directors of nonprofit organizations, but it may yield understanding and directions for future research. Limitations of this design also included using a purposeful (non-probability) sample strategy; therefore, generalizability beyond the site/Board members is not possible (Goetz & LeCompte, 1984). Given that boards are not stagnate, and change is a natural phenomenon of all

boards, this study reflects the conditions that existed for one board at a given time.

In order to obtain candid comments from persons interviewed, the respondents were promised anonymity. Pseudonyms have been used throughout this study. While verbatim comments are included in the analysis because they more accurately reflect the perceptions of the respondents, all names have been changed.

Assumptions

A major assumption in this study was that six months in the field was sufficient time to observe committee and Board meetings of the Board of Directors of a nonprofit organization. This was based on the fact that all Board members would also be interviewed and would be asked to complete self-assessment surveys. Another assumption was that the Board members would be willing to be interviewed by the researcher and that the researcher would be able to persuade each Board member to be candid and frank during the interviews.

It was further assumed that a nonprofit organization could be well-managed and considered effective by outside evaluators and not necessarily have an effective board. It was also assumed that a board that fulfilled its responsibilities could strengthen the overall long-term operations of a nonprofit organization.

Significance of the Study

Although nonprofit organizations have flourished and grown in the United States for well over 100 years and their boards have, in some cases, been empirically shown to be the reason for their survival and great success, very little research has been conducted on why that might be so. This study, organized into six chapters, will provide data describing and analyzing individual Board member's perceptions of Board effectiveness.

Chapter II identifies and reviews critical background areas which guided the design of qualitative study of this subject and attempts to provide the rationale for the theoretical perspectives employed.

Chapter III identifies the specific research procedures used. Although this study is not meant to be generalizable, it is hoped that the research procedures used may be of help in further research of other nonprofit boards.

Chapter IV describes the history and structure of the organization under study and the composition of its Board, while Chapter V contains the data analysis and findings with interpretations.

Chapter VI focuses on the lessons learned from this study and implications, both for the specific organization and its Board and for future examinations of board members' perceptions. This study will add to the body of knowledge by providing insight into what these board members actually believe to be effective nonprofit boards. With that

understanding, future research may consider how best to meld prescriptive studies of effective nonprofit boards with what board members themselves actually believe. Trecker and Trecker (1979) point to the importance of expanding this type of research when they discuss the purpose for evaluation of board performance: "It is well known that the quality of board performance has a great bearing on the quality of services and programs provided by the agency" (p. 171). Drucker in his most recent book, Managing the Nonprofit Organization, (1990), agrees, "To be effective, a nonprofit needs a strong board, but a board that does the board's work." (p. 157)

Summary

This chapter described the problems which prompted this study, a brief introduction to nonprofit organizations, the rationale for the study, the purpose for the research, the methodology used, the significance to the field, and the organization of the study. Chapter II presents a literature review of the three major topic areas relative to this study: Volunteerism, Boards of Directors of Nonprofit Organizations, and Effectiveness of Nonprofit Boards of Directors.

Chapter II

Literature Review

To a great extent, the literature on boards of directors of nonprofit organizations has been limited in the past to prescriptive and descriptive articles and books, and historical works that recognize the contributions of volunteer boards. In recent years, given the phenomenal growth of the nonprofit sector coupled with the limitations of personnel and governmental time and dollars, there has emerged an increasing awareness and necessity of a need to understand better nonprofit organizations and their boards. This has led to an appreciation of the lack of substantial research and the critical need for more research into boards of directors of nonprofit organizations. More specifically, scholarly works are just now beginning to explore in depth the issues of the effectiveness of boards of directors in the nonprofit sector. In their 1989 research study on Board effectiveness, Holland, Chait and Taylor acknowledged the lack of literature on the subject when they stated that literature in the field "provides a limited foundation on which to build knowledge about governance.... In addition, drawing inferences from the literature is further

complicated by inconsistencies in assumptions about, and usage of, the notion of effectiveness itself" (p.1).

The following literature review focuses on the three issues which have been identified in the foreshadowed problems stated in Chapter I. The issues are volunteerism and the growth of the nonprofit sector in the United States; boards of directors of nonprofit organizations; and effectiveness of nonprofit boards of directors. These issues provide the background information and foundation necessary to understand the historical developments of the nonprofit sector, the broader context of the nonprofit organization and its board, effectiveness issues for nonprofit boards, and the social scenes observed (McMillan & Schumacher, 1989).

Volunteerism and the Growth of the Nonprofit Sector

The term volunteerism has become a generic term used to describe all the activities encompassed in the voluntary/-nonprofit sector or by volunteers providing service in some setting (Gallup, 1981). Many current writers explain the growth of volunteerism in the United States by quoting Alexis de Tocqueville (1955) from his book Democracy in America written in 1835:

Americans of all ages, all conditions, and all dispositions, constantly form associations. They have not only commercial and manufacturing associations in which they take part but associations of a thousand other kinds--religious, moral, serious, futile,

extensive or restrictive, enormous, diminutive. The Americans make associations to give entertainment, to fund establishments for education, to build inns, to construct churches, to defuse books, to send missionaries to the antipodes; and in this manner they found hospitals, prisons, and schools. (pp. 128-129)

His observations were true but not always interpreted in a totally accurate fashion by those who advocate on behalf of the uniqueness of the volunteer experience as found in the United States. In a telephone interview P.D. Hall, a leading researcher on the historical components of the nonprofit sector, confirmed that de Tocqueville, in Democracy in America, was referring to the for-profit as well as the nonprofit (voluntary) sectors in the United States when he made those observations (Hall, 1990). Americans have and continue to establish cooperative associations and charities to help others and themselves. Yet with further exploration one finds there has been recognition of unique motivations for volunteering in the United States found in scholarly as well as in popular literature. Margolis (1982) defines altruism as "the sense of social responsibility or the sense of community" (p. 11). He suggests that within each person there are two selves, one selfish and one concerned for the community and uses the rational man theory to demonstrate that they are not in conflict with one another. "We see that there is no inconsistency between deep public concern and private

indulgence, as long as the private indulgences do not require personal resources needed for more substantial matters" (Margolis, 1982, p. 113). Loeser (1974) cites the motivations and personal benefits of volunteering for some U.S. women, including women who are alone and lonely; women who wish to move from "volunteer to career"; and women who work exclusively within the home and feel isolated and lonely, using volunteering as a way to overcome the feelings of isolation and loneliness. Self-help and support provide another motivation that appears to benefit the volunteer as well as others (Fennelly, 1989).

As far back as 1971, Fenn, in an article on corporate executives as community volunteers, highlights the competitive edge a corporate executive may have by volunteering. "More than one-third of the businessmen reporting that their companies have written policies on voluntary service stated that pay and promotion benefits are built into that policy as incentives" (p.8). Currently, articles in popular U.S. magazines and journals abound on the successful business people who are volunteering and finding it helpful to their careers (Fleischer, 1989; Jardine, 1989; Karlen, 1989; Miller, 1988; Nelton, 1988; Simpson, 1988). Commitment to a specific cause, the need to feel useful, and the wish for greater socialization are but several other possible motives for becoming involved in volunteer associations (Baughman, 1987; Greenspoon, 1989;

Houle, 1990; Nason, 1982; Schindler-Rainman & Lippitt, 1975; Widmer, 1985).

The U.S. Census Statistical Abstracts of the United States 1988 states the mobile nature of our society has the average American family in the United States moving once every five years. National volunteer movements and other nonprofit organizations that have state and local chapters may represent a form of stability, roots and acceptance for many volunteers (i.e, Red Cross, Scouts, AAUW, Jaycees) who move from one city to another. This, in itself, may bring de Tocqueville's observation of Americans and their needs into a more accurate, focused explanation of the nonprofit movement in the United States.

History of volunteerism to present. The roots of volunteerism in the United States have been traced to the early European settlers who, as examples, helped each other raise barns, quilt blankets and care for the sick. Ellis and Noyes (1978) have identified different phases of volunteerism in the United States as have Cohen (1960), Hall (1987), Manser and Cass (1976), Naylor (1976), and O'Connell (1985). The different phases of volunteerism in the United States reflect varying needs of those who volunteered as well as different needs within the communities.

During the earliest periods of European settlement in this country "survival" (Ellis & Noyes, 1978) and "reciprocal altruism" (Margolis, 1982) appeared to be the motivation for individuals to help one another. "There was

little of true charity or benevolence in the voluntary or legislated activities of the American colonists in the seventeenth and eighteenth centuries" (Manser & Cass, 1976, p. 29). Basic needs were often met through cooperative self-help and/or reciprocal altruism.

With the building of the new nation, the Continental Congress reflected on what that nation might become. The preamble to the Constitution and the Constitution itself defined a democratic nation that would offer liberty and justice for all. The spirit of democracy generated a great concern for helping those in need and/or assuming responsibility for providing for community needs beyond the basic needs of the individual family. "[C]ircumstance suggests a connection between the Constitution, which created the dilemma of democratic individualism, the free citizen, all powerful in a collectivity yet powerless by himself, and the origins of the voluntary association as the distinctive form of social, political, economic, and cultural action in the United States" (Hall, 1987, p. 64).

As the country grew and personal survival become less of a basic issue, community leaders volunteered or were asked to volunteer to represent community interests and oversee community activities. Volunteering was seen as a source of national pride and a part of the responsibility of citizenship in the newly forming country. "In this country, from its very beginning, there has been a great tradition of citizen participation and volunteer service in community

affairs" (Trecker & Trecker, 1979, p. 21). Cohen (1960) calls "citizen participation the backbone of democracy" (p. 3).

One perspective of the history of volunteerism in the United States is summarized in Cohen's (1960) The Citizen Volunteer:

Voluntarism and the citizen volunteer are indigenous to the American way of life as democracy. Since democracy in the U.S. is based on the Judaic-Christian ethic of the rights and responsibilities of the individual for the society of which he is a part, this becomes a truism. Trace the history of any health or welfare institution in the U.S. and its origin will be found in the devoted efforts of dedicated citizens who are working without pay. (p. 38)

In the United States, schools, libraries, health care, and public safety programs and services were started by volunteers. As an example, volunteer fire departments began in Philadelphia by Benjamin Franklin as a practical voluntary solution to a community problem (Ellis & Noyes, 1978). Taxation had been used to provide some of the needed services in communities, but voluntary assistance and support was an important other source of monies that allowed the individual donors to choose specifically where and how their dollars and time would be used. Major cultural, educational, medical and social organizations developed

because of the initial interest and choice on the part of individual volunteers (Ellis & Noyes, 1978).

Another historical perspective is that of Hall, who traces the emergence of nonprofit organizations in the United States to the laws of incorporation and of charitable trusts that existed in England prior to the 18th century. He suggests that they had little impact on the colonies because many in the colonies were hostile to corporations of any kind, seeing them as unwarranted grants of public privilege and property to private persons. Hall points to the fact that there were no federal statutes dealing with charities and corporations during the early national period (Hall, 1987, p. 5). In 1818 the Supreme Court finally "recognized that voluntary associations, incorporated or unincorporated, were extensions of individual rights in protecting existing associations from legislative interference. But it left the states free to set the terms under which such associations could be formed" (Hall, 1987, p. 83).

The nonprofit corporation did take firm root in the United States by 1844 when the Supreme Court ruled in favor of a charitable trust which placed private nonprofit corporations on a firm legal footing under federal law (Hall, 1987). The development of nonprofit corporations and volunteerism grew side by side coming together as people chose to give their time and money to social causes and/or issues that they believed in.

The next century in U.S. history (1850-1950) is defined by wars, turmoil and massive immigration. "The Civil War divided the country, but unified the citizens of each side as never before. Volunteer efforts permeated every aspect of the war-torn society" (Ellis & Noyes, 1978, p. 95). This too may have been seen as a type of volunteerism motivated by survival needs and reciprocal altruism.

By the end of the 19th century, as immigrants flooded into the country, "Lord and Lady Bountiful" volunteers became the symbol of the rich helping the poor. Along with this benevolent form of giving, there was a second level of volunteerism existing side by side; informal volunteer self-help groups and support networks were active in the ghettos of the country as helping one's neighbors was understood as an expectation and a duty (Cohen, 1960, Ellis & Noyes, 1978; Manser & Cass, 1976).

Both benevolent giving to nonprofit corporations, and informal self-help volunteering flourished and grew in the United States, from the Community Chests to Alcoholics Anonymous, nonprofit organizations developed on the national, state and local levels. "The turn of the century [20th] brought activity by many types of volunteers on behalf of a staggering diversity of causes" including social action, self-help, and service to others (Ellis & Noyes, 1978, p. 174). The differing types of nonprofit groups and individual volunteers recognized diverse needs for social, cultural, educational, and health programs and used the

democratic nature of the country to demand services for all. Government was neither prepared nor willing to provide the ever increasing range of services begun by many nonprofit volunteers. The demands for philanthropy increased and saw a trend to federated giving. Along with this trend came an emerging profession, volunteer administration (Wilson, 1975).

Those who became paid, professional volunteer administrators usually came from the volunteer community (former volunteers) as opposed to the business or public administration communities (Unterman & Davis, 1982). During the 1960s and 1970s as the field of volunteer administration grew, many books on volunteer management were written by practitioners in the field (Cohen, 1960; Conrad & Glenn, 1976; Naylor, 1976; Schindler-Rainman & Lippitt, 1975; Wilson, 1975). Others focused on the analysis of the historical roots of volunteerism and suggestions of future trends (Hardy & Cull, 1973; Loeser, 1974; Manser & Cass, 1976). The federal government became formally active in volunteer programs with the establishment of the Peace Corps and Vista in 1961 under the Kennedy administration and the establishment in 1971 of ACTION, the federal agency for volunteerism. A recent study by the Gallup organization, Giving and Volunteering in the United States, found that nearly half of the American population aged 14 and older volunteered in 1985: 51% of females and 45% of males. The most popular reason given for volunteering

was "to do something useful to help others," followed by an interest in the work or activity, enjoyment of the work, and religious concerns. (United Way of America, 1987, p. 70)

The 1980s also saw a demand from the field for major research on a variety of topics related to volunteerism and the nonprofit sector. National organizations were established with a major focus on research into volunteerism, volunteers, and nonprofit organizations and their boards. The Independent Sector publishes a biannual reference volume designed to identify researchers and current research of interest to the nonprofit sector titled, Research in Progress. The newly formed National Center for Nonprofit Boards has recently published an annotated bibliography of publications (1989-90) for the field. The Association for Volunteer Administration and the Association of Voluntary Action Scholars each publishes a journal and The Society for Nonprofit Organizations now publishes a resource catalog of available literature as well as a monthly journal. As all of this has occurred over the past few decades, volunteerism now appears to be entering a heightened period of research and development.

The history and development of volunteerism and the nonprofit sector offer insights to begin to understand the purposes of nonprofit organizations, and why people agree to serve as volunteers in organizations. It is now appropriate to consider why volunteer boards of directors may have major

influence on the survival and effectiveness of nonprofit organizations.

Boards of Directors of Nonprofit Organizations

Boards of directors of nonprofit organizations represent an important component of volunteerism in the United States. Volunteer board members govern nonprofit organizations and are expected to provide visionary leadership that may help mold the future of the nonprofit world (Dayton, 1987).

To understand the boards of nonprofit organizations, it is necessary to recognize and appreciate the volunteer nature of their service. Boards of directors of nonprofit organizations are fulfilling a major volunteer role within the organization. This role suggests that the board members willingly serve as the governing body for the organization and commit to and thereby acknowledge the organization's purpose and mission (Duca, 1986; Holland, 1989; Nason, 1982; Association of Governing Boards of Universities and Colleges Self-Study Criteria, 1976). They do this without receiving financial gain and therefore meet a definition for a volunteer--"a person who chooses to act in recognition of a need with an attitude of social responsibility and without concern for monetary profit, going beyond what is necessary to one's physical well being" (Ellis & Noyes, 1978, p. 10).

Responsibilities and duties of boards. The board of directors of the nonprofit organization has final policy and decision-making authority for the organization (Axelrod,

1988; Baughman, 1987; Houle, 1989; McLaughlin, 1986; O'Connell, 1985). The organizational structure of nonprofit organizations may vary to some degree, but no matter how much authority is delegated, the ultimate accountability for the actions of the organization are with the board. Weis and Wynn (1980) reviewed the literature in the field and found agreement on some basic governance duties and functions of nonprofit boards. These include policy development, fiscal stewardship, advocacy, hiring and evaluation of the executive director and evaluation of the organization's effectiveness (Weis & Wynn, 1980).

As part-time boards of directors often work with full-time paid staff, there is often a "dynamic tension" (Conrad & Glenn, 1976) created over the exact limits and nature of these responsibilities and duties for each (Kramer, 1985). Clarifying board and staff responsibilities and their relationship to each other becomes an important attribute for effective nonprofit organizations (Houle, 1989).

According to Nason (1982) the board is said to be the guardians of the organization's mission. "They must make sure that the institution's programs conform to its stated purpose and that funds are spent in accordance with the terms under which they are accepted" (p. 19).

As part of the board of directors' overall responsibilities they must ensure good management of the organization. They may hire a chief executive officer to whom they delegate their authority to manage and administer

the organization in accordance with policies approved by the board. Yet it is the board which has the legal responsibilities to make the overall decision for the organization. Grochau (1989) found that board members learn their role and responsibilities in various ways from new board member orientations and training, to board manuals and job descriptions to ongoing board development sessions. Yet she found that "the ways that board members understand and enact their roles and pass along norms to the next rotation of new trustees [board members] is essentially an implicit activity" (p. 35).

Much of the literature in the field discusses the problems of lack of involvement or too much involvement from the board and outlines in prescriptive fashion management practices and clear definitions of roles that are important for effective boards (Dayton, 1987; Drucker, 1974; Duca, 1987; O'Connell, 1985). Materials written by practitioners have been typically limited to prescriptive writings. These prescriptive books are extensive and often very helpful in providing a wide range of techniques from recruiting and nominating for the board (Acker 1983/84; King, 1988) to basic self-assessment and planning guides (Nordhoff, Larson, Barber, & Craig, 1982; Ontario Ministry of Citizenship and Culture, 1984).

Grochau (1989) reviewed many of these books and although she agreed that they were seen as helpful to nonprofit organizations and their boards and staff they

"seldom provide any understanding of a particular board and why it functions as it does" (p. 37). Middleton (1983) in preparing a working paper reviewing professional and theoretical literature on nonprofit boards of directors agrees:

Boards of nonprofit organizations are not simple phenomena. Furthermore, their behavior and functioning may be important in shaping both resource allocation systems in communities and the adaptability and survival capacity of organizations in those communities. Much more empirical work is needed.
(p. 43)

It is difficult even now, however, to find research that examines what the board members themselves perceive as their responsibilities and functions and how they measure their own effectiveness.

Effectiveness of Nonprofit Boards of Directors

To understand board effectiveness the issue of organizational effectiveness was initially reviewed. In a review of literature on organizational effectiveness Goodman and Pennings (1980) considered critical issues in organizational effectiveness and some basic underlying concepts. They recognized that the concept of effectiveness is complex and value-laden and in need of additional study. While reviewing many existing theories of organizational effectiveness, they identified key issues to be considered: (1) construct of organization should be made explicit;

(2) definers of organizational effectiveness should be identified; (3) domain or construct space should be specified; (4) specific links of determinants and indicators should be drawn; (5) resolution of levels of analysis; and (6) timeframe for assessment determined.

The literature also points out the lack of defined measures of organizational effectiveness. Scott (1977) states:

After reviewing a good deal of the literature on organization effectiveness and its determinants, I have reached the conclusion that this topic is one about which we know less and less. There is a disagreement about who does or should set the criteria to be employed in assessing effectiveness. There is disagreement about what indicators are to be used in measuring effectiveness. And there is disagreement about what features or organizations should be examined in accounting for observed differences in effectiveness (p. 63).

Lorsch and Morse (1974), in their study of factors influencing effective organizations, applied contingency theory in looking for similarities and differences in organizations. They found that each organizational unit develops characteristics which allow it to deal with a particular sector of the environment, but which may be different from the other units. This research has been

considered in attempting to understand boards of directors of nonprofit organizations. (Grochau, 1989; Kramer, 1985)

Another basis for understanding board effectiveness of nonprofit organizations may be the literature on individual effectiveness and leadership. Gardner (1986) looks at nonprofit boards of directors' leadership issues while Stogdill's Handbook of Leadership (Bass, 1981), a comprehensive review of literature on leadership theories and research in general, was also considered. This study considered one area of leadership--how the literature has treated the subject of nonprofit board members' leadership. Gilmore and Brown (1985), Herman and Tulipan (1985), Hertogs (1988), and Kramer (1985) discuss the relationship of board and staff in nonprofit organizations and offer some insight into board members' perceptions of their own strengths. Alleman (1985) McAdams and Gies (1985), and Widmer (1985) introduce another component when they suggest perspectives are different because the motivations of volunteer board members are different.

This study also considered motivational and behavioral theories in an attempt to explain what individual board members considered effective boardsmanship on one nonprofit board. Within those general theories Bem's (1967) self-perception theory, Maslow's (1942) "hierarchy of needs," McClelland's (1979) motivational theory, and Petri's (1986) attribution theory were used in the analysis of board members' responses to questions, questionnaire and from

observational notes. These theories represent clues to understanding possible reasons why people agree to serve on boards and what influences their perceptions of that which is appropriate behavior for board members.

Holland and Chait, in a 1987 study on effective governance of postsecondary educational institutions, completed a systematic critical analysis of the literature on both general organizational effectiveness and studies focused specifically on nonprofit organizations. Over 200 references were read and evaluated. The focus was largely on scholarly studies involving theories, concepts and definitions of organizational effectiveness and empirical research in the field. They found that the general literature on organizational effectiveness was voluminous but provided little agreement on definition of the concept. They further concluded that studies of nonprofit organizations and their boards suffer from the absence of generally accepted criteria of overall organizational effectiveness. They observed that the nonprofit world does not have standard numerical measures such as profit and loss, share of the market, or stock market price behavior that characterize for-profit corporations and proposed a model of effectiveness for nonprofit organizations comprised of 11 major characteristics drawn from the literature: Input dimensions--(1) quality of staff, (2) acquisition of resources, (3) satisfactory exchanges with environment; Internal process dimensions--(4) adaptability,

(5) integration, (6) goal consensus, (7) participation; Output dimensions--(8) productivity, (9) quality of work, (10) morale, and (11) goal attainment.

In their related study on effectiveness of boards of directors, Chait and Taylor (1987) developed an organizational typology for assessing board performance for college and university governing boards (See Appendix A). They acknowledged that college and university governing boards are often seen as sovereign bodies--under no mandate to evaluate their own performance or be reviewed by external evaluators. The purpose of their study was to examine the efficacy of self-study by governing boards and to explore approaches to board evaluation. They concluded that the organizational perspective assumed by individual board members conditions their definitions of board performance. Chait and Taylor measured this through the use of a self-study evaluation by board members.

Although there is some disagreement about its use, the research and development of self-study assessments for boards of directors of nonprofit organizations is emerging as one important area for consideration in measuring and evaluating performance of boards. Conrad (1983) and the Association of Governing Boards (AGB) of Independent Colleges and Universities (1986), along with other researchers in the field, have developed instruments that are currently being tested and used. Board self-assessments may represent one limited but important tool for indicating

measures of board effectiveness which can be built upon to explore further the issues. Given the nature of board governance and questions about to whom the board is accountable, Conrad suggests self-assessment tools could be helpful as a comparative or preliminary step of a more comprehensive examination. In his introduction to his self-assessment instrument Conrad (1983) cautions that "this instrument should not be used by itself! It should be part of an organizational commitment to examine the organization's entire planning process..." (p. 2). Conrad acknowledges that no two boards are exactly alike but that there are structural/functional and operational dynamics which all successful boards have in common. He used those common characteristics as criteria for measuring the structural/functional strengths, weaknesses and prospects for success in the development of his board members' self-assessment instrument. Eight areas are reflected in his self-assessment instrument: personal, board organization, meetings, communications, decision-making, board/staff relationships, the board membership process, the board at work. In a telephone conversation on November 3, 1989, Dr. Conrad said that he had not conducted formal academic research to test for reliability or validity of his self-assessment survey instrument. "The only evidence I have is of an empirical nature--15 years of using the instrument has shown me that it works."

Holland, Chait and Taylor (1989) have recently concluded a three-year study of boards of independent, four-year liberal arts colleges entitled Board Effectiveness: Identifying and Measuring Trustee Competencies. This study focused on the development and testing of a theoretical framework for the analysis of board effectiveness. Holland et al. (1989) recognized the need for and current void of such a theory while giving credit to those descriptive studies that listed desirable governing board characteristics (Nason, 1982,; O'Connell, 1985). One conclusion from their study is that in and of itself, "the traditional approaches to board self-assessment do not work well" (p. 25). Their research combined various approaches including critical incidence techniques in interviews, and observations using qualitative data analysis methods with quantifiable analysis to determine consistency, validity and reliability of their findings. It appears that by looking at specific competencies rather than only structure and function, this study may be adding a new dimension of studying board effectiveness.

Holland et al. (1989) suggest these six competencies seem to be necessary elements for effective boards: understanding the institutional context, building the capacity to learn (of board members), nurturing the development of the board as a group, recognizing the complexities and nuances, respect for guarding the integrity of the governance process, and envisioning and shaping

institutional direction. The authors conclude that "substantial evidence exists, which indicates that more effective boards are differentiated from less effective ones in [these] six distinct areas of competencies" (p. 25).

In a phone conversation Dr. Holland (1989) said the ultimate goal from his current research will be to develop comprehensive board training in each of the six areas. Although there is some disagreement amongst researchers over what are the appropriate issues for measurement and study, there appears to be general agreement that more study is needed on factors that influence effective governance and the value of additional research in the field.

This chapter has reviewed research and literature on three major topics with reference to nonprofit organizations and their boards of directors, volunteerism and the growth of the nonprofit sector, boards of directors of nonprofit organizations, and effectiveness of nonprofit boards of directors. The following chapter presents the methodology used in the study.

Chapter III

Methodology

Overview

This chapter describes the theoretical basis and rationale for selecting the methodology for this study. It also discusses the research design that was used, the selection process for the board and organization that was studied, the events observed, the researcher's role, general strategies followed in data collection and data analyses, and limitations of the study.

Given the topic and the exploratory/discovery mode of this study, an evolving case study design was used. According to McMillan and Schumacher (1989), a case study design provides an intensive, detailed description and analysis of a single entity or phenomenon. Inductive logic was applied in the investigation and study of board members. This permitted the researcher to seek out concepts, insights, and understanding from patterns in the data, rather than collecting data to assess preconceived models, hypotheses, or theories (Taylor & Bogdan, 1984). The phenomenological basis of the qualitative approach allowed for the study of how board members make meanings out of their situations (Biklen & Moseley, 1988).

Taylor and Bogdan (1984) use the term phenomenology broadly to refer to "a tradition within the social sciences concerned with understanding the social actor's frame of reference" (p. 12). Much of qualitative research generally has been predicated on the belief of a naturalistic-phenomenological philosophy which assumes that multiple realities are socially constructed through individual and collective definitions of the situation (McMillan & Schumacher, 1989). The belief in multiple realities as opposed to the assumption that all social facts contain a single objective reality was an important force that motivated and drove this research.

Theoretical and Conceptual Framework for Methodology

Symbolic interactionism was one theoretical framework that was used with this study. Symbolic interactionism has as a basic tenet the assumption that the human experience is mediated by interpretation (Blumer, 1969). Blumer identified three premises on which the theory rests. The first premise is that "human beings act toward things on the basis of the meanings that the things have for them" (1962, p. 2). As an example, membership on a board of directors of a nonprofit organization was thought by someone to be highly prestigious and reserved for very wealthy and influential people. When asked to serve on a nonprofit organization's board to which the person has interest and feels committed, the person declines because she believes she is not well known or wealthy enough. The second premise is that the

"meaning of such things is derived from, or arises out of, the social interaction that one has with one's fellows" (p. 2). To follow the example, the person may have developed the definition of who is a board member through interactions with other people, observations of a particular board member or situation or through past experiences with nonprofit organizations and their boards.

The third premise of symbolic interactionism is that "Meanings are handled in, and modified through, an interpretive process used by the person dealing with the things he encounters" (p. 2). This person may have previously met a wealthy socialite or prestigious individual who had told her they served on many boards of directors of nonprofit organizations. What we see here is an example of how, through symbolic interactionism, a person interpreted a situation based on her experiences or lack thereof. "Objects, people, situations and events do not possess their own meanings; rather, meaning is conferred on them" (Bogdan & Biklen, 1982, p. 33).

An important component of symbolic interactionism is the concept of self. This definition of who a person is partly is created through interactions with others (Bogdan & Biklen, 1982). Symbolic interactionism is particularly appropriate to consider in this study, as it suggests that to understand individual board members' behavior we must understand the definitions that those individuals have given to events, people and interactions.

A second theoretical approach closely linked to symbolic interactionism that was also used was ethnomethodology. Ethnomethodology is a term coined by Garfinkel (1967) which refers to the methods by which people create and understand their daily lives.

"Ethnomethodologists try to understand how people go about seeing, explaining, and describing order in the world in which they live" (Bogdan & Biklen, 1982, p. 37).

The methodological conceptual framework that this study has been built on is ethnography. Ethnography has been the tool of anthropologists and more recently sociologists and those who wish to understand the qualitative perspectives of individuals and groups.

The goal of ethnography as noted anthropologist Malinowski pointed out is "to grasp the native's point of view, his relation to life, to realize his vision of his world" (1922, p.25). Today, qualitative researchers in many fields use ethnography for the same purposes. "Rather than studying people, ethnography means learning from people At its core, ethnography is concerned with the meaning of actions and events to the people we seek to understand" (Spradley, 1979, pp. 3-5). The ethnographer must recognize the subtle but important language differences among different people. Therefore, in this study, direct quotes from board members will be used whenever possible. This concept has much in common with and is compatible to the symbolic interactionism theory.

Research Design

This case study design used an ethnographic methodology to describe and analyze board members' perceptions of board effectiveness in one nonprofit organization. Ethnographic techniques were used to collect data about the social order, setting and situation being investigated (Merriam, 1988). In this study those techniques included:

1. Participant observation - A strategy whereby the researcher worked in the field and was immersed in the activities and interactions of the informants. "The participant observer [is] fully engaged in experiencing the setting under study while at the same time trying to understand that setting through personal experience, observations and talking with other participants about what is happening" (Patton, 1980, p. 127). The researcher was on site and in attendance at all Board meetings during the six-month period, as well as observing at 24 meetings and 10 special events of the Board. The researcher also spent time observing the programs of the agency and met with and observed staff and staff/Board interactions. Field notes or transcripts with observer comments were taken at all meetings.

2. In-depth interviewing - Defined by Taylor and Bogdan (1984) it is "repeated face to face encounters between the researcher and informants directed toward understanding informants' perspectives on their lives, experiences, or situations as expressed in their own words"

p. 77). These in-depth interviews were scheduled after the first three months of participant observations (See Appendix A, Interview Guide). Thirty-two in-depth interviews were conducted at various sites around the city (based on interviewees' preferences) for 27 Board members. Five Board members were interviewed a second time to clarify statements or expand on ideas.

3. Self-assessment survey - A board members' self-assessment survey was used in this study as a secondary source to be compared with the primary data through cross checking of reported and observed data. It is generally understood that board self-assessment surveys should be used in conjunction with other data and are generally not meant to be the sole tool for diagnostic and/or research (Conrad, 1983, p. 2). This instrument was never designed or intended to be used by itself.

This researcher selected a well known pre-existing instrument, Board of Directors Self-Assessment by William R. Conrad, Jr. (See Appendix B). This survey, which has been used in the field for 15 years, examines board members' performance through "individual and combined perceptions of the board's effectiveness and efficiency" (Conrad, 1983, p. 1). He has established a set of criteria based on structural/functional as well as operational dynamics that he suggests all successful boards have in common. This self-assessment survey was given to board members during the initial stages of the research (first three months) during

the in-depth interviews. The researcher reviewed the survey instructions with each board member individually and explained the purpose of the self-assessment as a method of verifying interview information, clarifying issues and identifying gaps in knowledge, as well as for planning for future training needs. These self-assessment surveys were compared with each other using other factors; e.g., time on board, definitions of effectiveness, and other board experience. In this study, the use of board member self-assessments was limited, as there is currently some question about the validity of self-assessment surveys for board members (Holland, Chait, & Taylor, 1989).

4. Written materials - These included such items as board and committee minutes, policy manuals, annual reports, newspaper articles available through the organization and related organizations and other information gathered and read. This represented another form of cross checking the data. Throughout the data collection phase the researcher also kept extensive field notes and transcripts (Bogdan & Biklen, 1982; McMillan & Schumacher, 1989; Strauss, 1987; Taylor & Bogdan, 1984).

Selection of the Organization Studied

The process of selecting the organization in which to conduct field work began six months prior to the actual research. It took approximately four months to complete this component of the research. Meetings were arranged with major funding sources in the community (government funders,

United Way and foundations) who had first-hand knowledge of local nonprofit organizations. The researcher requested permission to survey their programmatic and evaluation staffs for nominations of local organizations considered most and least effective. The request was granted and the researcher set up a series of individual appointments with United Way, Virginia Department of Social Services and local foundation staffs to gather nominations. During the appointments she outlined generally the purpose of the research and asked each person, based on his or her experiences in the field and community, to identify the organizations he or she considered "most" and "least effective." She asked for his or her first impressions without any explanation so as not to bias further research. All of the responses were compared, and the organizations most nominated as effective were considered based on the following criteria:

1. A local organization not directly connected with a national parent group (i.e., Planned Parenthood, Red Cross). Affiliation with a national group might have implied some predetermined policies and standardized training.

2. An organization well-established, heterogeneous, and stable in the community; i.e., in existence for more than 10 years. It needed to have an available written history of board activity for the researcher to review.

3. An organization acknowledged by major funding sources in the community as meeting an important community

need. A self-serving organization might have represented different motivations for board membership.

4. An organization willing to allow the researcher open access to records, contact with all board members and access to all meetings.

5. Based on preliminary interviews between the researcher and Executive Director and between the researcher and the board president, each had to appear initially knowledgeable of appropriate roles and responsibilities of the board and the executive director.

6. The Board had to be considered active and involved by the board president and the executive director.

7. External funding sources had to consider the organization a well-managed institution.

The next stage in the selection process was the identification of and meetings with community opinion leaders who assisted in confirming and rank ordering the nominated organizations. Five names were suggested to the researcher by the Vice-President of United Way. Each person recommended was then contacted. The community leaders contacted included board presidents of two large foundations, a corporate CEO highly involved in community activities, a university vice-president, and a past Chairman of United Way. Through this process what appeared to be a local highly functioning board of a successful nonprofit organization was selected. The rationale for seeking to select what appears to be a highly functioning board of a

successful nonprofit organization was that if a board were not highly functioning, other issues could interfere with the interactions of the board members. The agency selected was generally agreed upon as having a highly functioning board of directors by all community opinion leaders interviewed.

Entry into the Field

Once the selection of an organization was decided, the researcher met with the Executive Director of that organization to solicit cooperation for the study. The Executive Director reviewed the researcher's prospectus for the study, agreed with the purpose and methodology, and recommended the study to the President of the organization. At that point a meeting was scheduled with the President of the organization to request permission to conduct the research. The President appeared open and receptive to the idea and readily agreed. It should be noted that the President had previous professional knowledge of the researcher and knew her to be reliable and competent. Confidentiality was promised as to the agency and its Board members. In all cases the names of Board Members, staff, organizations, and the city in which the study was conducted were changed to maintain that confidentiality with a commitment on the part of the researcher to provide a final report and recommendations to the Board of the organization at the conclusion of the research. Once agreement with the President was reached, and a letter from the President and

Executive Director was sent to the Board members informing them of the study, the research began.

The organization selected for this study was a local community-based, nonprofit child welfare agency located in the city's public housing projects. It has been in operation at the same location in this southeastern city of the United States for over 100 years and provides services to children of low to moderate income families. The organization "specializes in developmental child care programs for infants, toddlers, preschool, school-age and summer programs for children, 6 weeks to 12 years old" (Board manual, 1989, section 1, Introduction p.1).

The organization also provides family social service programs with a goal "to improve the total family life, and enhance the ability of individual family members of children enrolled in day care programs" (Board manual 1989). Under the by-laws of the organization, it "is governed by a 33-member Board of Directors representing business, government, education and the civic community" (Board manual). The Board strives to maintain a racial and gender balance and is structured to work through a committee system that requires all Board members to participate actively on the Board.

Researcher's Role

The researcher quickly became immersed in the Board and committee activities and assumed the interactive role of participant observer at the site. This interactive role allowed the researcher to observe in formal meetings, as

well as to participate in informal situations with Board members. The researcher attempted to understand Board members' actions and words by discovering the interpretations they made about the world and how those interpretations are contextually situated (Blumer, 1969). Since the researcher had the advantage of being known in the community as a trainer and consultant to nonprofit organizations and had previously developed credibility and trust with many local nonprofit organizations, rapport was easily established.

Sampling Strategies

Purposeful sampling strategies were used for this study as they allow for in-depth learning about one select board without planning to generalize to all such boards. Once the organization was selected, the Executive Director and the President sent a letter to all Board members announcing the study, the comprehensive purposeful sampling of all current Board members in the organization could take place. There was excellent cooperation by individual Board members and every current Board member was individually interviewed as well as observed at Board and committee meetings. Additionally, relevant materials on Board members were reviewed (McMillan & Schumacher, 1989; Patton, 1980).

Data Collection Strategies

Kerlinger (1973) identifies two ways of observing and gaining information:

We can watch people do and say things and we can ask people about their actions and the behavior of others. The principal ways of getting information are either by experiencing something directly, or by having someone tell us what happened. (p. 537)

Both methods were used in data collection for this study.

Data were collected through the primary data collection technique of participant observation which combined observation, interviewing and document analysis (Danzin, 1978). In the role of participant observer, the researcher attended 21 committee meetings and 3 Board meetings as well as 10 special events over a six-month period. Glenn Jacobs (1970) has explained the role and responsibilities of the participant observer in field research:

He [the participant observer] must be able to see, to listen, and to feel sensitively the social interactions of which he becomes a part. He must be able to grow with his experiences. He must question time and again whether he has perceived enough and whether his understandings are as accurate as he can make them. He must be able to understand his own impact upon the social situation he studies and what influences other participants and the situation have upon him. (p. 7)

Extensive note taking, summary notes and tape recording were employed when possible at all meetings. At each meeting, a variety of structural details were noted: attendance, seating patterns, starting and ending times,

arrival and departure times, interactions between people, attire of Board members, speakers, and the observer's thoughts and reactions. Additionally, the researcher reviewed the written materials developed by and for the Board related to Board and committee sessions.

The Conrad Board of Directors Self-Assessment survey was given to Board members with a request to complete and return it at the next Committee/Board meeting. The surveys were long and time intensive. Of the 27 surveys distributed, only 12 were returned to the researcher after repeated follow-up reminders (See analysis in Appendix C).

After the initial three months of participant observations at Board and committee meetings and the distribution of the self-assessment surveys to all Board members, the process of in-depth qualitative interviews of Board members began.

Preparation for interviews. The researcher spent time preparing for individual interviews as it was important for the researcher to be well-organized and knowledgeable about the individual Board members prior to the interviews. In order to make the interviewees comfortable with the process, the researcher demonstrated adaptability to the schedules of the Board members and was available at their convenience with reference to time and place. Prior to the researcher making contact with Board members for interviews, the Executive Director and President sent a letter to all Board

members asking for their cooperation and support for the interviews.

Step 1. Prior to setting up an interview schedule (month 2), the researcher prepared files on all Board members with information gathered on their backgrounds, resumes, Board applications and other relevant information available through the organization and other possible public sources.

Step 2. The Board president announced the research project interviews at a Board meeting with a follow-up letter to all Board members alerting them to the fact that the researcher would be contacting them to set up appointments for interviews. The Board president indicated his support for the project.

Step 3. The researcher telephoned all Board members to schedule appointments during the fourth- to sixth-months of the research project. Follow-up phone calls were made to remind people of the appointments. The interviews took place after the first three months of the field research, giving the researcher time to become familiar with the Board members, and prepare for the interviews.

Step 4. Interviews were conducted at sites and times selected by the individual Board members (i.e., work site, home, nonprofit organization, alternative site). It was important that the interview environment be comfortable and appropriate for the person being interviewed (Biklen & Moseley, 1988). Each interview lasted between a half-hour

to one hour, depending on the pace set by the person being interviewed.

Step 5. An open-ended interview guide was used at all interviews (see Appendix A). Audiotape recordings were used in all but three interviews. (Three Board members specifically asked not to be taped during their interviews.)

Step 6. Audiotaped interviews were transcribed, listened to a second time to add observer comments and other corrective information, retyped, and then placed in the Board member's file for future reference. The researcher used these multiple data collection techniques during the interviews (tape recording, interview guide, observer comments and field notes) to corroborate what was being said and observed and to insure credibility of data collection. It was necessary to conduct second interviews with some Board members to further clarify statements and to understand and analyze what was said during previous interviews.

To insure high levels of validity and reliability of the data, triangulation of data collection strategies was employed (Danzin, 1978). The procedure of collecting data from multiple data sources allows for cross validation by the researcher. The various strategies or techniques used to collect data in this study which included in-depth interviewing, participant observation, a self-assessment survey and review of written materials were important to the process. Statements made by Board members during

interviews were compared to what they said and did during meetings and provided in written materials. The various strategies clarified and strengthened the researcher's understanding of what was meant by Board members when they made statements about Board effectiveness or other subjects in different settings observed by the researcher.

Data Analysis Strategies

Data analysis was an ongoing process integrated into all phases of the study (McMillan & Schumacher, 1989). Initial analysis occurred through observer comments written along with field notes during the early stages of data collection. Preparation and revisions of transcripts from taped interviews stimulated some preliminary analysis also. This, in turn, required additional literature review on emerging topics. After six months, when the researcher left the field and formally ended data collection, formal data analysis began.

This phase began by reviewing all materials acquired during the data collection period. A coding system was developed and written materials were coded (See Appendix D). The researcher then began identifying and marking general data units of information which served as a base for defining categories. Data units were comprised of distinct and separate comments identified from interview and meeting transcripts and other written materials that could stand alone without additional explanation. Categories and subcategories for all materials were developed at that time.

First, general data units of information were placed on index cards and coded according to basic factors such as code names, meeting, dates, gender and race. The cards were then sorted into piles by constantly comparing the information on one card with the information on the next. The piles were tentatively labeled from naturally occurring categories and all the cards within each pile were coded accordingly. Once all the cards had been coded, cards relevant to a certain category could be retrieved by the code on the card (Guba & Lincoln, 1981).

Lincoln and Guba's (1985) technique for developing categories was applied to ascertain which units of information went with each other. Guba and Lincoln (1981) suggest four general guidelines for category development:

1. The number of people who mention something or the frequency with which something appears in the data indicates an important dimension.

2. One's audience may determine what is important.

3. Some categories will stand out because of their uniqueness and should therefore be included.

4. Certain categories may reveal "areas of inquiry not otherwise recognized" or "provide a unique leverage on an otherwise common problem" (p. 95).

They also caution that categories should be heterogeneous-- "differences among categories ought to be bold and clear" (p. 93). Decisions were made on categories, sub-categories, and codes based on decision-rules developed using Lincoln

and Guba's guidelines to assure that all categories were heterogeneous and clear. (See Appendix E.)

When categories and subcategories were finalized, all data were reviewed, analyzed and compared. By continually comparing data and looking for agreement or disagreement in the data, the researcher began to identify areas for consideration and further analysis. Data displays were developed to look for overlapping or gaps in information and/or drawing and verifying valid conclusions. Data displays were also helpful in organizing data in a concise form so that possible analysis and comparison conclusions could be drawn (Miles & Huberman, 1984).

Triangulation (Danzin, 1978) of data sources was used in analysis to validate information through cross-checking data sources and by comparing content from different sources. It was necessary to return to the field during this period to re-interview some Board members for clarification of original interviews and to gather additional information from other sources such as Board minutes and past annual reports. During the final phase of data analysis, emerging themes or concepts were employed. Through studying convergence of data sources an attempt was made to develop understanding and explanations of what was said and meant by Board members. During all phases of the data analysis, credibility and trustworthiness of data were considered, and cross-checking of information was employed.

Reliability, Validity, and Bias

One important element of any research is the ability to demonstrate the reliability and validity of the findings. LeCompte and Goetz (1982) suggest "that distinctive characteristics of ethnographic research designs result in variations in the ways problems of reliability and validity are approached" (p. 33).

Reliability. Reliability generally refers to the extent to which studies can be replicated, but since qualitative researchers acknowledge that human behavior is not static, they conclude that no study involving human beings can be replicated exactly (LeCompte & Goetz, 1982). Qualitative researchers view reliability as "a fit between what they record as data and what actually occurs in the setting under study" (Bogdan & Biklen, 1982, p. 44). The goal of external reliability in this study was to enable other researchers to be able to replicate the methodology and follow the same strategies used in this field research. To ensure external reliability the researcher clearly and in great detail defined the researcher's role, the selection process of the organization and board selected, and the criteria for selection. The social context, the data collection and analysis strategies, and the analytical premises were also carefully and fully detailed.

Validity. In qualitative research such as this, the term design validity is often used to refer to aspects of internal and external validity (McMillan & Schumacher,

1989). When seeking internal validity the researcher is concerned with the question, Am I observing what I think I am observing? In this study, internal validity means assuring that what Board members understand, say, mean and do were recorded accurately from their perspectives. This was ensured in this research, in part, through the use of multiple data collection techniques in a specific setting; e.g., combining the in-depth interviews with audio recording and field notes, as well as with multiple data collection strategies in different settings; e.g., in-depth interviews, participant observation at meetings, and use of individual survey questionnaires. This then enabled the researcher to cross check data from Board members' different perspectives at one specific time and different perspectives at different times.

McMillan and Schumacher (1989) have suggested that ethnographic research in general claims to have high internal validity based on multiple data collection and analysis techniques. They identified several overall strategies which are considered to increase internal validity in qualitative research, which are the lengthy data collection period used, use of participants' language in instruments developed for interviews, field research which by its definition is conducted in the natural settings, and lastly, disciplined subjectivity of the researcher which recognizes and takes into account the researcher's own bias.

External validity in this study means an extension of understanding from a context-bound generalization to other organizations, boards and situations. Extension of understanding was accomplished through detailed descriptions of the events and people studied which may enable others to understand similar situations and extend those understandings in subsequent research.

A major strength of qualitative research is its construct validity. The researcher sought to assure that the study represented the underlying construct through use of multiple sources of evidence in data collection and by cross-checking the data sources with reference to what was being said during interviews with what was being observed and recorded as data. Analyses of explanations and observations using these methods led to a generation and refinement of what was actually meant by individual board members.

Bias. The researcher in qualitative research is often considered the primary instrument (Bogdan & Biklen, 1982); therefore, researcher bias must be identified and taken into account (LeCompte, 1987). "The researcher is not a neutral observer; the assumptions, prior experiences, values and biases of the researcher in conducting the study and in the analysis of data are unavoidable" (Grochau, 1989, p. 89).

The professional background and interests of this researcher in the field of nonprofit management and board development were recognized and taken into account. The

researcher attempted to recognize and bracket her own beliefs and values when observing, interviewing and representing the beliefs and values of the participants in the study (Erickson, 1984).

Limitations of the Study

It was fully recognized that a study of this nature has many limitations.

1. The researcher has worked as a consultant and trainer in the community for over 20 years and is considered an "expert" in the field by the staff and some members of the Board, which may have inhibited or modified interviewee responses and/or affected behavior at Board and committee meetings.

2. The study was limited to the Board of Directors of one nonprofit organization considered to be effective.

3. The board selection was limited to one board located within a particular medium-sized, southeastern city in the United States.

4. Use of a case study design limited the predictability to other boards of directors of nonprofit organizations, but may yield understanding and directions for future research. Limitations of this design also include using a purposeful (non-probability) sample strategy; therefore, generalizability beyond the organization/board member is not possible (Goetz & LeCompte, 1984).

5. While attempts were made to limit researcher/interviewer bias, the possibility exists that bias may have been a factor.

6. Six months may not have been sufficient time to acquire an understanding of individual board members' perceptions.

7. This study does not deal specifically with Board/Executive Director and Board/staff relationships which may have been an important influencing factor in Board members' perceptions. The current study is limited to the members of the Board of Directors themselves and their perceptions of Board effectiveness.

This chapter has reviewed the methodology used for conducting this study. Chapter IV will provide background of the organization under study and the current Board members serving on its Board.

Chapter IV

The Children's Association of Greater Southeast: Its History, Structure, Operation, and Board of Directors

This chapter describes the history, structure and operation of the Children's Association of Greater Southeast, a nonprofit community based organization located in a mid-sized southeastern city in the United States. The organization has been in existence for over 100 years and continues to operate within the same general geographic boundaries it did since its inception. Its history and reputation add to the understanding of the organization and those who currently serve on its board and why they agreed to serve.

The chapter also contains a description of the Bboard structure and a demographic profile of current Board members. (A more comprehensive profile of individual Board members appears in Appendix F.) The demographic presentation and analyses of the Board members will set the stage for further discussion and analyses of perceptions of Board effectiveness by the individual Board members of the organization.

History

The Children's Association was founded nearly 120 years ago as the "Asylum for Colored Orphans." It was founded shortly after the Civil War ended when a group of Black women, the Ladies Sewing Circle for Charitable Works, recognized the need for an orphanage for Black children who were left homeless after the war. (Board Manual of the Association, History - revised 1989).

Sally Rivers (name changed to maintain organization's anonymity), sewing circle leader, convinced the members of her group that additional support was needed from other community groups to undertake the project. Rivers sought endorsement and financial aid for the orphanage from a local affiliate of a national liberal religious group which had a history and interest in helping Black people before and during the war. Rivers was aware of the financial contributions this religious group had made to the education of Black children in other communities.

The local affiliate of the national religious group agreed to sponsor the orphanage project and raise money throughout the state as well as in the Northern states. In 1867, the Southeast City Council voted to deed the "Old Orphan Asylum" property to the trustees of the local affiliate of the national religious group for the purpose of constructing an orphanage for black children. The building was completed in 1871, and the Children's Asylum for Colored Orphans was registered and incorporated as a non-stock

corporation by the State's General Assembly in 1872. In that year, the city council finally deeded the existing property to the Children's Association for Colored Orphans. This original building was closed in 1969 because of structural deterioration (History of the Association, 1985).

The religious group, which was primarily white, represented some of the founding members of the board while the minutes during 1871 show that "colored men from various churches were accepted as Trustees," and several years later the founding members withdrew (History of the Association, 1935, p. 2). The number of elected directors appears to have been determined by the financial support contributed by various churches. The original plan of selecting directors was by churches buying stock and having a representative for each \$25.00 worth of stock (Asylum for Colored Orphans minutes February 22, 1932).

When any religious congregation of colored persons in the city of [Southeast] shall have raised by subscription or otherwise, and paid into the treasury of said company, a sum equivalent to the value of one or more shares of the stock of said company, they shall be and are then authorized to subscribe for one or more shares of the stock, and to appoint one or more trustees Each trustee under this act, in all meetings of the board, shall have one vote for each share of stock represented to him. (Chapter 362, p.

455, Sections 3 and 4 Acts of Assembly, [State] Articles of Incorporation, March 26, 1872)

The original purpose of the Board was stated as "Board of Directors [appointed] for the management of the interests of the asylum and shall have the care and provide the education of orphan children of colored parentage placed in said asylum" (Chapter 363, p. 454, Acts of Assembly, [State], Articles of Incorporation March 26, 1872).

Over the years, well-known and prestigious community leaders served as presidents of the Board of Directors. The first two Presidents served extended terms (only two Presidents served during a 60-year period). Since 1938, 19 men have held the office of president.

"The organization had serious financial problems during its early years and offered only minimal, custodial programs due to lack of funds. A local civic committee visited the Asylum in the early 1920s and found the facility to be in wretched condition" (History of the Association, 1985, p. 2). The committee reported that "boys and girls were sleeping together--children were dirty and morals were low" (p. 2). The report also revealed that "the food supply is eked out by cooked food sent by a cafeteria. This seemed to provide a considerable part of meals, especially breakfast. Only one gallon of milk is available, but the number of very young children is small. Ordinarily, thirty children were cared for by a program superintendent and one assistant, who cooked and performed heavy chores" (History of the

Association, 1935, p. 3). The committee's report prompted the Southeast Community Fund to make a study of the Asylum in 1926 with the assistance of the Child Welfare League of America. The study concluded that building equipment, living conditions and care of children were deplorable. The study went on to say that the orphanage was vital to the city and financial support was awarded by the Community Fund (History of the Association, 1935).

In 1929, the Negro Welfare Council conducted a study in Southeast City and issued a report on the organization. The Children's Asylum For Colored Orphans was at that time providing orphan services and day nursery for 16 children, ages 2 to 12. The Negro Council report concluded that an agency offering foster home care on the basis of individualized services, or casework, was infinitely more needed than an orphanage. In supervised foster homes, more children could be served, individual needs could be adequately met, and the morals of children could be protected (History of the Association, 1935).

When the orphanage was closed in May 1931, Children's Asylum became a foster care agency under the supervision of the local Family and Children's Services agency. Children who remained in the orphanage were placed in foster homes, and the building was leased to the Colored Playground Association during that year.

In 1932 the Asylum for Colored Orphans changed its name by charter amendment to the Children's Association for

Colored Children and returned to its original building. A second 1932 charter amendment removed restrictions for membership to the Board. "The provision in the Charter of Incorporation in respect to capital and the issue of shares of stock are hereby eliminated." Individuals were now to be elected to the board (History of the Association, 1935).

From 1931 "to the spring of 1935 the Association was supposed to be a distinct unit of the Community Fund, but for several reasons it was in reality a unit of the Children's Aid Society" (Minutes of Board, January 9, 1936). In 1935 the Children's Asylum for Colored Orphans separated from the Family and Children's Services agency and again became an independent agency and applied for and received accreditation by the Child Welfare League of America.

Since that reorganization, the agency has grown and has developed new programs in an attempt to be responsive to the community it serves. Subsequently, the first adoption placement was made in 1938, and the service of counseling with children in their own families was added in the 1940s; the Community Day Nursery, offering day care, was started in 1947; pre-adoption boarding homes and service to unwed parents replaced the foster care program in 1955; social group work services for children were added in the 1960s; and federal and state grants/contracts and awards have been secured by the agency for various purchases of service agreements over the last three decades.

Children's Association was established by charter amendment in 1961 and the 100th Anniversary of the organization was observed in 1971. That same year the Board began an annual Board/staff institute and conducted a self-evaluation of services which led to adoption of a program concentration of developmental day care and supportive social work services. As a consequence of this decision, the services of adoption, pre-adoption boarding homes, services to the unwed parent and home counseling with children were terminated.

Since 1973, developmental pre-school and school-age day care, social group work and family social services have been the primary services offered by the agency. Its day care and pre-school programs are licensed by the State Department of Social Services and serve almost 300 children daily.

It was not until 1983 that the Children's Association applied for and received the 501(c) 3 tax-exempt status from the Internal Revenue Service. The Board adopted two important changes in 1985 to enhance management and planning. A by-laws revision brought the number of directors to 33 and transferred policy management responsibility from the Board to the Executive Committee.

The current mission of the Children's Association "is to provide educational, human resources and technical services to [Southeast City] area children and their families to assist them to gain the knowledge and skills needed to be stable and productive citizens in a society of

high performance expectations, changing technology and interrelated cultures" (Internal Evaluation Report 1986, p. 1).

Current Operation and Structure of Children's Association

The agency currently serves two communities--one of public housing residents and the other non-public housing residents who primarily live in the center city. All services are available to both groups on two sites in the city.

Day care and family social services are the services of the Association used by most consumers. About 30% of all preschool and school-age day care children who attend Children's Association centers live in public housing developments. The two facilities in which the Children's Association day care are housed are both owned by the Southeast Redevelopment and Housing Authority. The Children's Association has sole responsibility for all program administration and shares the cost of building maintenance with the Housing Authority.

The Children's Association family center is located on the site of the original building constructed in 1871. It is a modern one story building with approximately 13,000 square feet of interior space, four classrooms, kitchen and dining space, and 11,000 square feet of outdoor play area. The second site which is located in a nearby public housing project has 17,000 square feet of interior space, 12

classrooms, offices, kitchen and dining space, and 34,000 square feet of outdoor play area.

Currently 530 children are enrolled in the preschool and school-aged day care programs during the school year, and 105 children participate in the summer program. At least 50 children are assigned to the waiting list at all times. The clientele of the agency is 100% black. The total revenue for the agency through December 1989 was \$1,379,273 with 45.69% coming from United Way and approximately 22.58% coming from program service fees (see Figure 1), expenses for that same period of time were 1,367,993. The agency has been affiliated with United Way, formally called the Southeast Community Fund, since 1925. Fees for services are well below prevailing rates in the community. Clients only pay fees for day care and transportation services. Uniform fees for services are charged at both sites. The agency maintains a sliding scale based on family income and program cost for pre-school day care and fixed rates for all other day care programs. In some cases, fees are waived altogether. (See Figure 1)

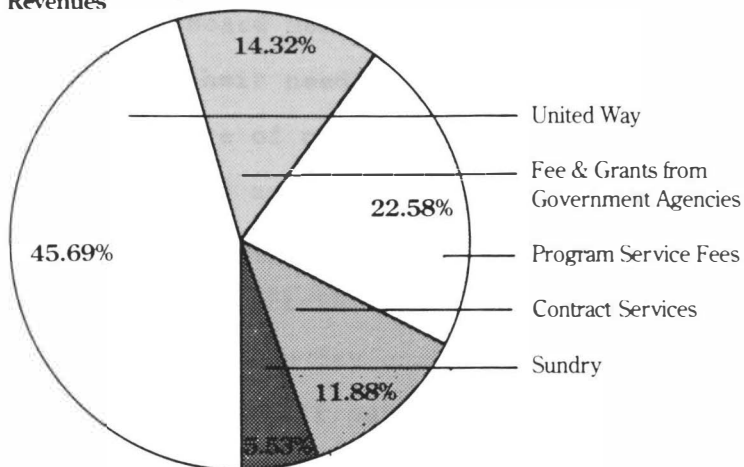
Staff

The senior staff person of the agency is Steve King, the Executive Director, who has been in that position for almost 20 years. He is a soft spoken, 49-year-old black male. He has an MSW and an MPA and is considered to be highly qualified, articulate and competent by other professionals, Board members and funding agencies. He is active in the community, working as a volunteer on several

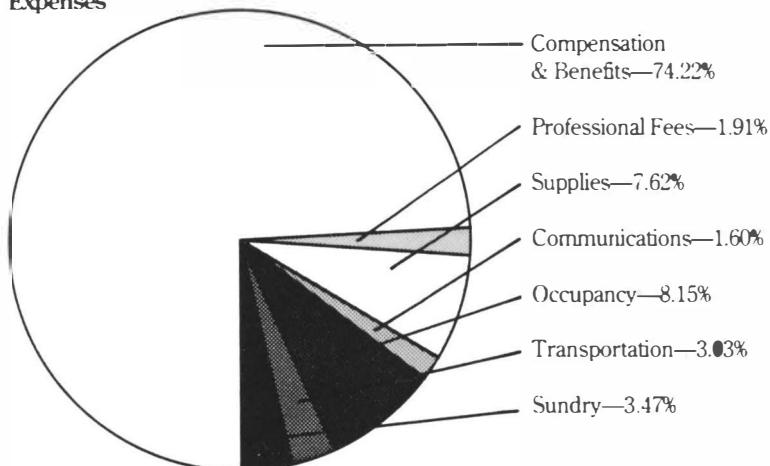
Figure 1

**Consolidated Operating Statement
Fiscal Year Ending December 31, 1989**

Revenues



Expenses



(Source: Annual Report 1989)

other boards and elected councils. In his position as Executive Director, Steve appears well-organized and in control and prides himself in those attributes. He is considered by staff to be warm and sensitive yet at times he is considered to be firm or even stubborn. He is well-liked and respected by Board members and is responsive, attentive and nurturing to their needs. Steve constantly attempts to make the Board aware of component parts of the organization. As an example, Board and committee meetings are held at lunch time in one of the agency's facilities. The lunch, served prior to the official start of the meetings is the same lunch served to the day care children. The Executive Director and another staff person serve the lunch and clean up. The Executive Director makes a point to charge all Board members \$2.00 for their lunches, the actual billable cost of the meal. He communicates regularly with committee chairpeople as well as with the President and other members of the Executive Committee. Steve is aware of the roles and responsibilities of Board members and staff and maintains the responsibility for general administration, personnel and financial management delegated to him by the Board. He is the chief administrator for the organization and is careful not to allow the Board to become too involved in those administrative functions.

There are 44 full-time employees and 9 part-time employees working for the agency, as well as students from the major universities and colleges in the area serving in

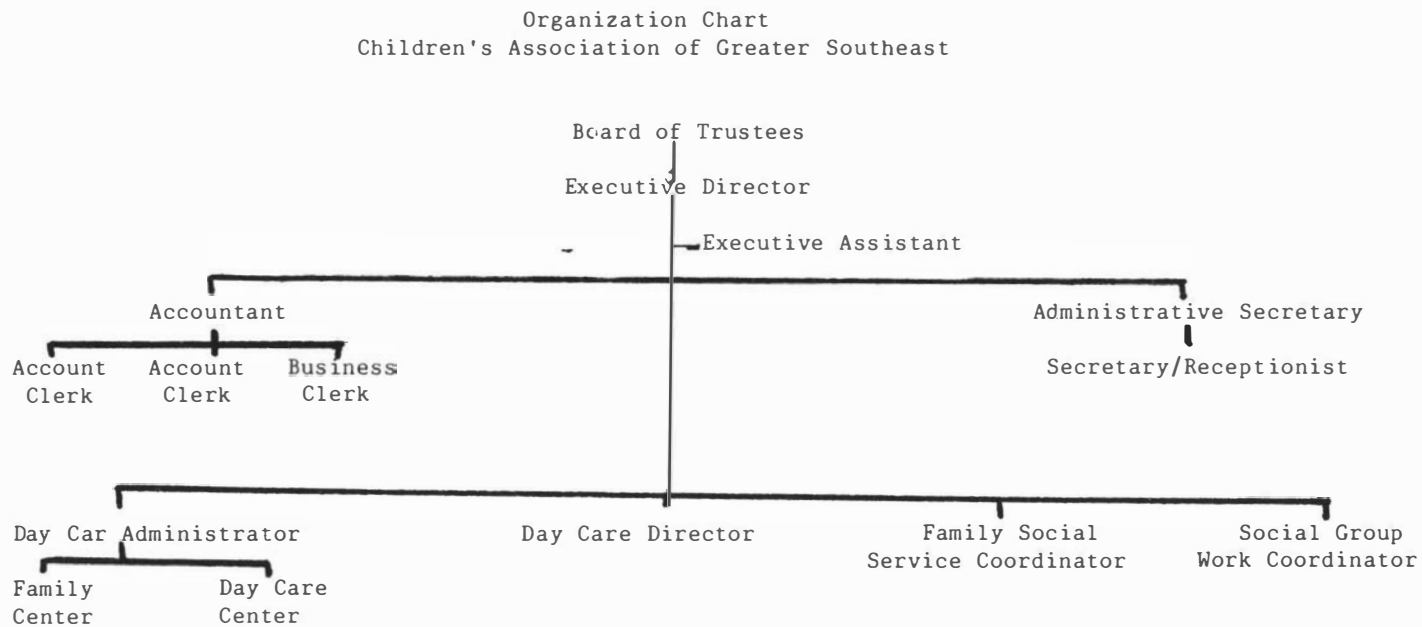
internship capacities. In addition, approximately 100 volunteers provided over 5,500 hours in 1989 (Annual Report 1989). There is an Executive Assistant, Bill Smith, who also works closely with the Board and its committees on a regular basis. In addition to this person there are six other people who report directly to the Executive Director. (See Figure 2.) On occasion various staff members are called on to report to the Board and/or committees on specific areas of the Association.

Structure of the Board of Directors

The by-laws for the Association state that there should be 33 voting Board members which include two parents representing consumers and the Executive Director. However, because of the resignations during the period November 1989 through April 1990, there were only 27 Board members. This included the two parents representing consumers and the Executive Director.

There had been five Board member resignations earlier in 1989 and one Board member had been placed on inactive membership because of poor attendance. The Board was brought up to full membership of 33 at its annual meeting in April 1990. The by-laws for the Association state that Board members will serve a three-year term with a limit of two consecutive three-year terms but may be re-elected after having been off the Board for one year. The exceptions to this rule are the Executive Director and parent

Figure 2



Revised 2/89

representatives who are elected annually. The officers for the Association are President, two Vice-Presidents, Treasurer and Secretary. There is an Executive Committee comprised of these officers and all committee chairs. The Executive Committee is charged with policy management and meets monthly and/or at call if additional meetings are necessary. The Board operates under a committee structure and all work of the Board is said to occur at the committee level. The committees of the Board are the Finance Committee, Agency Services Committee, Development Committee, Long-Range Planning Committee, Nominating Committee and Personnel Committee (which meets on call only when necessary). Minutes for all Board and Committee meetings are taken by a staff member and are distributed to Board members regularly. In addition, minutes are kept on record in the administrative offices.

The President and other officers are selected informally by the outgoing President and the Executive Director who may also ask potential candidates to consider the office. This process is carried out over an extended period of time and is based on observed performance, skills and abilities of the potential candidates. The Nominating Committee of the Board officially selects the officers and new Board members and brings a report and recommendation to the full Board. It appears that past presidents have been prepared for and taken the position of Board President

seriously and willingly put in many long hours working for the organization.

The general duties and responsibilities of the Board as well as specific duties of officers and committees are outlined in the Board manual. General functions of the Board are specified as follows:

Current Functions of the Board

- Manage the business and property of the agency.
- Adopt and amend appropriate charter and by-laws.
- Develop agency policies which are consistent with accepted standards of principles and methods in family and child welfare work and which are amenable to reappraisal and change when such a course is indicated.
- Select a properly qualified executive director, who will be responsible for the active operation of the organization.
- Insure that adequate funds are available to carry on the agency program.
- Develop community understanding and awareness of the agency.
- Represent the agency in community affairs and the community in agency affairs.

In order to carry out the designated functions of the Board of Directors, each member should:

- Know the charter and by-laws.

- Be thoroughly familiar with the general agency program.
- Attend board meetings regularly.
- Serve on committees when requested.

(Board Manual of the Association, section 3.1, 1989)

Composition of the Board of Directors

The composition of the Board is purposefully designed by the nominating process to include a cross-section of the community with equal numbers of men and women, and is racially mixed to include equal numbers of black and white people representing business, civic, legal, financial, medical and consumer groups (See Table 1). The average age of Board members for this association is 41 years, with females averaging 37 years old and males averaging 44 years old (See Tables 2 and 3).

All but two members of this Board (25) work full time. Of those 25 working Board members, nine Board members are self-identified as professionals. Among these are four lawyers, one psychologist and four accountants, three of whom are CPAs. Of those nine professionals, six are women and three are men. Eleven people on the Board are self-identified as being in management positions from CEOs to line managers. Also included on the Board are a secretary, four salespeople, and two homemakers (See Table 4). The majority of the Board members work in mid-level to upper mid-level jobs.

Table 1

Board Composition by Race and Gender

Race	Gender		Total
	Men	Women	
Black	7	7	14
White	<u>8</u>	<u>5</u>	<u>13</u>
Total	15	12	27

Race/Gender

During the six-month period November 1989 to April 1990, there were 27 Board members considered in good standing--three others had resigned prior to November and one was considered inactive. All 27 Board members were interviewed and observed during the six-month period.

Of those 27, 15 were men and 12 were women; 14 were black and 13 were white; of the 14 black Board members, 7 were men and 7 were women; of the 13 white Board members, 8 were men and 5 were women.

Table 2

Age of Board Members by Race and Gender

Gender	Race	Approximate Age	
Female	Black	29	
		35	
		35	
		35	
		40	
		43	
		50	
	White	30	
		32	
		35	
		36	
		<u>45</u>	average age 37
Male	Black	34	
		38	
		40	
		45	
		48	
		50	
		50	
	White	30	
		40	
		42	
		43	
		44	
		48	
		49	
		<u>60</u>	average age 44
Overall Average Age		41	

Table 3

Average Age of Board Members by Race and Gender

Gender	Race		Total
	Black	White	
Female	38	36	<u>37</u>
Male	<u>44</u>	<u>45</u>	<u>44</u>
Average	41	41	41

Age

The average age of Board members during the time period of this study was 41 years old with a range from 29 to 60 years of age. Female ages ranged from 29 to 45 with an average of 37. Male ages ranged from 34 to 60 with an average age of 44.

Table 4

Board Membership by Work Experience

Board Member	A	A/T	E/PS	GW	H	L	P	RE	S	SP
1						1				
2							1			
3					1					
4				1						
5								1		
6	1									
7				1						
8										1
9				1						
10			1							
11						1				
12			1							
13				1						
14						1				
15					1					
16		1								
17								1		
18			1							
19	1									
20			1							
21									1	
22			1							
23								1		
24	1									
25		1								
26	1									
27						1				
	<u>4</u>	<u>2</u>	<u>5</u>	<u>4</u>	<u>2</u>	<u>4</u>	<u>1</u>	<u>3</u>	<u>1</u>	<u>1</u>

A=Accountant; A/T=Administrator/Trainer;

E/PS=Executive/Private Sector; GW=Government Worker;

H=Homemaker; L=Lawyer; P=Psychologist; RE=Real Estate;

S=Secretary; SP=Salesperson

Twenty of the 27 Board members have prior Board experiences, ranging from 1 to 8 previous board memberships. Of the five white women on the Board, none has prior board experience. Black men on the Board appear to have the most previous board experience (See Table 5).

The average length of time Board members have served on this Board is 3.2 years with women serving an average of 2.5 years and men serving an average of 3.7 years (See Tables 6 and 7). The women serving on the Board are generally younger and less experienced as Board members. White women (the least experienced with other boards) attended far more Board meetings than any other group (See Table 8).

The racial and gender quota system of 50% 50% is adhered to by the Nominating Committee when selecting people to ask to serve on the Board. The quota system has been discussed openly at Board and committee meetings with some misunderstanding by some Board members that the quota system is specified in the by-laws. There is, however, no provision in the by-laws for such a quota.

Duties and Responsibilities of Board Members

All Board members are expected to serve on at least one committee and are so informed of that when asked to serve on the Board. They are automatically placed on a committee based on discussions of interests, and they are expected to attend committee and Board meetings, and agency events. The Board has adopted a policy that Board members must attend a certain number of meetings each year. It is the

Table 5

Prior Board Memberships by Race and Gender

Race/Gender	Number of Prior Board Experiences									
	0	1	2	3	4	5	6	7	8	
Black Female	1	2		1	1		1		1	7 women
White Female	5									5 women
Black Male			1		2	2		2		7 men
White Male	<u>1</u>	<u>2</u>	<u>2</u>	<u>1</u>	<u>1</u>	<u>1</u>	-	-	-	<u>8</u> men
	7	4	3	2	4	3	1	2	1	27

Prior Board Memberships

Twenty of the 27 current Board members had previous board memberships. Seven Board members had no previous board memberships, none of the white women Board members had previous board memberships, black men had the most previous board memberships, with 6 black male Board members having 4 or more previous board memberships.

Table 6

Tenure on This Board by Gender and Race

Gender	Race	Years on Board
Female	Black	1.0
Female	White	1.5
Male	White	4.0
Male	Black	3.0
Female	White	1.0
Female	Black	6.0
Male	White	6.5
Female	White	4.0
Male	Black	3.0
Female	Black	1.0
Male	Black	
Male	White	1.0
Female	Black	1.0
Male	White	3.5
Male	White	5.0
Male	White	5.0
Male	White	4.0
Female	Black	4.0
Female	White	4.0
Male	Black	1.0
Male	White	6.0
Female	Black	3.0
Male	Black	8.0
Male	Black	1.5
Female	White	1.0
Female	Black	1.0
Male	Black	2.5
27	27	3.2 years - average time on Board

The average length of time as a Board member of this organization was 3.2 years (range from 1 year to 8 years)
 Females average 2.5 years
 Males average 3.7 years

Table 7

Average Tenure on Board by Race and Gender

Gender	Race		Average
	Black	White	
Female	2.7	2.3	2.5
Male	<u>3.2</u>	<u>4.2</u>	<u>3.7</u>
Average	2.9	3.3	3.2

Of the current Board (1989-90) the average time on the Board was 3.2 years

Overall females averaged 2.5 years

Overall males averaged 3.7 years

Black females averaged 2.7 years

White females averaged 2.3 years

Black males averaged 3.2 years

White males averaged 4.2 years

White men have been, on the average, Board members longer than any other group

Table 8

Percentage of Board Meetings Attended Between April 1989 and January 1990

(There were 4 actual Board meetings during that period of time)

Race/ Gender	Interview Code Number	% Board Meetings Attended
WM	1	25
WM	2	50
BM	3	0
BM	4*	50
WF	5	50
BM	6	100
WF	7	75
WM	8	75
BF	9	75
BF	10	25
BM	11	0
WF	12	100
WF	13	100
BM	14*	75
BM	15	50
BF	16	75
WM	17	50
WF	18*	25
WM	19	0
WM	20	100
BF	21	50
BF	22	50
BM	23*	100
WM	24*	100
BF	25	25
BF	26	75
WM	27*	50
Average		57.4

* officers

Black males attended an average of 53.57 meetings
 White males attended an average of 56.25 meetings
 White females attended an average of 70.00 meetings
 Black females attended an average of 53.57 meetings
 White women attended more Board meetings than any other group

responsibility of the Nominating Committee to monitor Board members' attendance at committee and Board meetings as well as Board members' participation at other special events (See Table 8).

An annual orientation luncheon held each February is conducted for newly elected Board members at which time a Board of Directors Manual is provided and reviewed with all new Board members. A Board staff institute is held annually to introduce new Board members and reacquaint continuing Board members with staff, the programs and services of the agency as well as to review duties and responsibilities of staff and the Board.

The Board and its committee structure appear to function well and are generally accepted by members of the Board and staff. There is some recognition that the committee structure adds additional time commitments to the Board and staff yet, it is generally felt by both groups to be worthwhile.

The purpose of this chapter has been to describe briefly the history and operation of the Children's Association of Southeast and the Board members who served the agency during the field research period of November 1989 through April 1990.

This chapter has provided readers with a view of the history, background, structure and operation of the agency and its Board, as well as identifying the demographic characteristics of Board members. Qualitative components of

this Board go beyond these tables and numbers and will be explored in detail in Chapter 5 along with analyses of Board members' perceptions of their role as a Board member.

CHAPTER V

Data Analysis and Interpretations

Examination, organization and analysis of the data gathered over the six months in the field was a long and arduous task. In-depth interviews with all Board members were used as the information base for data analysis. Other data gathered through observations, self-assessment surveys, meeting notes, written materials and observer comments were used to compare what Board members said in the interviews to how they acted or responded in different situations.

A master file was assembled containing all interviews by code names and numbers. All interviews were reviewed, individual units of information were identified, and a coding system developed indicating basic unitized information. All interviews were then copied and divided into discrete data units and placed on individual index cards with code information in the upper right hand corner of each index card (See Appendix D).

At that time the development of subcategories and categories began. Subcategories emerged from the units of information and were defined using Guba and Lincoln's (1985) technique for category development. The researcher identified 1,538 units (See Table 9.) from the interviews

Table 9

Data Units Identified from Each Interview by Interview Code
and Race/Gender

<u>UNITS</u>	<u>INT #</u>	<u>RACE/GENDER</u>
41	INT 1	WM
50	INT 2	WM
34	INT 3	BM
	INT 4	BM
84	INT 5	WF
78	INT 6	BM
82	INT 7	WF
45	INT 8	BF
40	INT 9	BF
61	INT 10	BF
50	INT 11	BM
65	INT 12	WF
38	INT 13	WF
76	INT 14	BM
83	INT 15	BM
83	INT 16	MF
94	INT 17	WM
70	INT 18	WF
70	INT 19	WM
72	INT 20	WM
65	INT 21	BF
25	INT 22	BF
100	INT 23	BM
32	INT 24	WM
25	INT 25	BF
26	INT 26	BF
22	INT 27	WM

Total Interview Data Units 1,538

Average Data Units Per Interview 56.96

that contained recurring thoughts, those that stood out because of uniqueness of topic, and those that the researcher was interested in comparing from specific answers to interview questions. Sixty-three subcategories were identified, and after sorting by initial subcategories was completed, those subcategories were placed in 7 larger heterogeneous categories (See Table 10).

Six general categories were developed from the 63 subcategories. (A seventh category contained nonrelated information mentioned during interviews.) Decision rules were then written to clarify and explain categories and subcategories (See Appendix E). To be assured that categories and subcategories were meeting the decision rules, there was a review of all categories and subcategories, with a result of some shifting of data units. Subcategories were then analyzed and summary findings and examples of Board members' direct quotes were identified. Below are summaries and analyses from each of the general categories and a majority of the sub-categories.

Triangulation with other data sources (meeting transcripts, self-assessment surveys, and observer comments) revealed general agreement of what people said but not necessarily how they behaved or what they did. Additional insight and information from these other sources were used in category summaries.

Table 10

General Categories and Subcategories for Data Analysis

Category I

Setting and Context: Demographics, background, motivation and environmental factors of the Board

10 subcategories

- a. Demographics
- b. Time on Board
- c. Previous knowledge of organization
- d. How Board member recruitment occurred
- e. Who recruited Board member
- f. Motivation for agreeing to serve
- g. Motivation for serving
- h. Board member attendance
- i. Location of organization
- j. Time constraints

Category II

Processes/Operations: How the organization and the Board function

16 subcategories

- a. Managerial issues
- b. Programs/work of organization
- c. Poor Board management - examples
- d. Board meetings
- e. Committee meetings
- f. Executive Committee
- g. Nominating Committee
- h. Long-range Planning Committee
- i. Finance Committee
- j. Agency Services Committee
- k. Development Committee
- l. Funding
- m. Planning
- n. Quota system
- o. Decision making
- p. Policy making

Table 10 (cont.)

Category III

Linkages/Relationships: Interactions among and between the Board and other entities

4 subcategories

- a. Board/staff relationships
- b. Socialization
- c. Politics
- d. Other organization - comparisons/contrasts

Category IV

Philosophy: What Board members believe and understand generally, that reflect their values by chiefly speculative means

8 subcategories

- a. Mission of organization
- b. Future of organization
- c. Philosophy of boards (general)
- d. Philosophy of children
- e. Philosophy of life
- f. Philosophy of how to manage
- g. Commitment to the organization
- h. Board types

Category V

Organizational Activities and Experiences: Organization and Board situations, incidents, activities and events that were mentioned by Board members

9 subcategories

- a. St. James
- b. Least important
- c. Most important
- d. Business contracts
- e. AIDS policy
- f. Retreats and Institute
- g. Board training
- h. Special events
- i. Uniqueness of organization

Table 10 (cont.)

Category VI

Evaluative Perceptions: References and inferences stated from the participants point of view as to what is occurring, what is the value of it and why, and what should occur and why.

12 subcategories

- a. Assessment of the Board
- b. Responsibilities of Board
- c. Assessment of individual Board members
- d. Responsibilities of individual Board members
- e. Role of Board
- f. Role of the individual Board members
- g. Role of the Executive Director in relation to the board
- h. Role of Chairman
- i. Role of staff
- j. Does the Board fulfill its role and responsibilities?
- k. Board effectiveness
- l. Is this Board effective?

Category VII

Other: Units of information that do not fit into the six major categories established.

4 subcategories

- a. Self disclosure
 - b. Observer comments
 - c. Unrelated units
 - d. Frustrations
-

A. SETTING AND CONTEXT

Demographics of the Board

The Children's Association is located in the inner core of a southeastern city and serves moderate to low income families. The Board officially may have up to 33 members but during the time of field research the number of active Board members was 27, 15 men and 12 women. All 27 Board members were interviewed and included in this study. The overall average age of Board members was 41 years old, average age for women was 37, and average age for men was 44. Twenty of the 27 Board members had prior board experiences, but women on this Board who are on the average 7 years younger than the male Board members also have less experience on other boards than their male counterparts.

The Board is made up of approximately 50% black and 50% white members, 50% male and 50% female members. This racial and gender balance is intended and is referred to by Board members and senior staff as the quota system.

Previous knowledge of the organization

Who asked you to serve

Most Board members reported that they knew very little about the organization prior to being asked to join the Board by a friend or work colleague. The exception was four Board members who had children in the program, two of whom were the current parent representatives of the Board.

The first contact many Board members had with the organization was a friend or work colleague asking them to

consider serving on the Board and then that person or the Executive Director providing follow up information about the organization. The Nominating Committee chairperson followed up these discussions with a formal telephone call asking them to consider Board membership and explaining to them about the responsibilities of the Board. Some people attended a Board function and/or met with the Executive Director prior to agreeing to serve on the Board.

People apparently agreed to serve because of who asked them and/or because of a general interest and commitment to children. This agreement to join the Board differs from those boards of directors which are elected from a membership organization or are selected from a large core of volunteers who may be groomed to fill board positions.

How board recruitment occurred

The nominating committee along with the Executive Director annually reviews the Board membership to ascertain gaps based on race, gender and professional skills. Areas of need are identified and the current Board members are asked to identify appropriate persons who might be interested and qualified to serve on the Board.

Potential Board members are initially asked if they might be interested in serving by a friend or work colleague. In most cases the friend is currently on the Board or had been on the board in the recent past: Joan River said, "[John Star] asked me as I was picking him up...he mentioned he was [Chairman] of the Association. I

said, what was that?" The friend tells them about the organization and encourages them to agree to serve as a Board member. Follow up information is sent to the perspective Board members who are encouraged to call the Executive Director if they have further questions. Bob Neil's experience was typical, "I was called by an existing Board member, I did research into the Association, met with the Executive Director then decided to join." In several cases Steve King, the Executive Director, approached the potential Board member to ascertain his/her interest. "[Steve] approached me and asked me if I would be interested in being on the Board because of my real estate background." (Dan March) In all cases the Nominating Committee chairperson makes the final and formal request of the individual to become a member of the Board.

Motivation for agreeing to serve on the Board

This Board recruits through business and personal contacts of current and former Board members. Commitment to the organization is developed over time and is not a prerequisite for joining the Board. The motivation for agreeing to serve is often personal--responding to a request from a friend, client, boss or associate. When asked why she agreed to join the Board, one Board member, Rose Green, said, "I said 'yes' because I have respect for [David]"; another Board member, Tom Mays, said , "[Bob] was my client and the President of the organization. He asked me to

attend an event."; Karen Black, a current Board member, commented, "I thought a lot of who asked me."

The friend or respected colleague asking members to serve on the Board provided credibility to this particular organization, but timing, interest, and personal needs were also important considerations for agreeing to serve:

"I hadn't been in [Southeast City] very long and I was anxious to do something community related." (Mary Stuart)

"At work here we're basically compelled to be involved in the community and I was not that involved in this community because I couldn't find anything that struck me." (June Bloom)

"I had never served on a board before and I thought this would be a good opportunity to do something else, to meet some people" (Pat White)

"I was a little flattered actually that they would take me with very limited exposure to the city." (Mary Stuart)

Agreeing to serve as a Board member appears to have been a combination of who asked the person to serve and personal motivations. Some of the motives reflected by individuals during interviews are wanting to feel needed, loneliness, career advancement and wanting some diversity in one's own life.

Motivation for staying on the Board

The Board and Committee meetings are well organized and pleasant. "Professionally run" is a term used by many Board members to describe what they like about the Board meetings. The feeling of meeting diverse people from different parts of the community was expressed as another benefit of being on this board: "I enjoy the people I meet and serve on the board with..." (Rose Green) Board members feel as though they are accomplishing something by attending Board meetings and feel that they are involved. Yet most feel that they are not being overworked or underused as Board members. Typical is the reaction of John Star, "You feel part of it and see a real connection."

For some who are unmarried and career oriented, the organization and the Board itself represents a social outlet, others express the religious motivation of wanting to help the less fortunate. Board members agreed that this Board was not considered prestigious by the power elite in the larger community and therefore prestige was not considered a strong factor for joining or staying on the Board. The Executive Director's professionalism and the fact that the meetings are well run and well-organized is an important reason this Board offers for staying involved. This represents, for many people on this Board, a feeling of using one's volunteer time well.

In comparing the responses in this subcategory to the subcategory "Philosophy about Children," only a limited

number of Board members mention children at all when discussing motivation for staying on the Board and set their Board membership apart from a commitment to children specifically. Yet, John Star, a well informed and highly committed Board member, said, "No greater priority is there than being involved with children."

Board members attendance at meetings

There are standard meeting times for all meetings which are published and sent to all Board members at the beginning of each year. New Board members are initially told that they must attend Board and Committee meetings as a requirement of Board membership. The Executive Director's secretary regularly calls all Board members to remind them of meetings; the Executive Director, Steve King, makes selected calls to board members who may not have attended the last few meeting or persons he feels need to be at the meeting. There is an unevenness in holding Board members accountable for attendance at meetings that appears to have political overtones. From one Board member who has missed many meetings, "I've talked to [the Executive Director] about it a couple of times and he doesn't seem to mind. He says, 'I understand your schedule conflicts and we're glad to have you when you can come and glad when you make the contributions that you can.'" (Dan March). A conflicting message was given to another Board member who has missed many meetings also: Bob Simon told the interviewer, "One of the things that you must know is that my attendance is being

reviewed -- I think there needs to be a niche for those who can help in their own ways." Bob was subtly told he had to attend more meetings or consider resigning. The current Board Chairman and the Executive Director express similar feelings in explaining the different messages given to Board members. The Chairman, Tom Mays, said, "You look at the individual's total participation--whether or not he or she really gives of himself, because you can certainly attend a meeting and sit there and not do a thing."

Location of organization

The location of both facilities in which the Association operates are in the city's public housing projects. There is some discussion about moving the association's day care facilities to another location as only 30% of the children attending day care come from the direct community housing projects. There is some strong feeling and a sense of determination on the Board for not changing locations. Sonny Link, a businessman on the Board, said, "Some say it is tough to operate in that environment that's over there and that maybe we do need to rethink that. To me, it's a little like throwing in the towel on what you set out to do. I admit to all the problems, but it's kind of like giving up and saying, 'OK, the drug lords own the place.' I don't see that." John Star explains, "I think it's there on the front line-frontier and unless institutions like [Children's Association] stay there, it will be left to those marauders, who, I think, are in the

small, small minority, to just lay waste to the neighborhood." Rose Green describes the area in which the facility is located by saying, "It's horrible over there."

Most of the Board appears to get some satisfaction and expresses pride in the Association being on the "front line of defense" against the criminal elements in the community. There is a small core of the Board members who believe the facility should be moved. There remains ongoing discussion on the Board about this issue. The Board sees it as ultimately their decision to make.

Time Commitment

There is a recognition on the part of many Board members that it takes a considerable amount of time to be a Board member on this Board. The Board and committee meetings are scheduled on a regular basis and attendance is expected: "I feel guilty sometimes when I can't make a meeting," (Bill Brown); "It takes a lot of time to be on the Board." (Rose Green) Joe Witt and Bob Simon, relatively inactive Board members, say it takes too much time. Other Board members, while acknowledging the large time commitment of Board membership, generally say they feel guilty when they miss meetings and see it as their problem as opposed to the organization's.

Summary Analysis

Setting and context as a category represents all those areas mentioned and observed that have to do with the demographics, background and environmental factors that

affect the Board. The fact that this organization has been in the same general location and has been in existence for well over 100 years and the fact that the Executive Director has a long and successful tenure with the organization provides for a sense of stability for the Board. The Board members are generally active and committed to the organization, the Executive Director and the Board itself, but when they were asked originally to serve on the Board, they agreed based on personal and professional friendships or other related reasons and were unaware of the organization's mission and activities. Professionalism is a valued attribute that Board members see in the management of the Association and the Board meetings. Generally, the board members feel that their time is well used at Board and Committee meetings, although they recognize that being on this Board does take a great deal of their time. Board and Committee meetings are conducted in the organization's facilities and lunches are served as a time saver and to familiarize Board members with the food served to the children in care. Board members pay a fee for lunch that represents the cost of a meal at the facility. Meetings always begin on time and end on time, which is something the Executive Director and the Chairman pride themselves on and Board members in general appreciate. The Board expresses concern for the overall problems of poverty and crime that exist in this community and suggests that Board membership

is one way that they can help the organization, children in the area and the community at large.

B. PROCESSES AND OPERATIONS: How the organization and the

Board function

Managerial issues

There appears to be an awareness and appreciation on the Board that the Executive Director is the chief administrator and manages the agency very well: Candy Silver describes the Children's Association compared to other organizations, "It is so professionally run and I think that is definitely the exception." However, there is less understanding of the Board's responsibilities in the overall governance of the organization: In reference to supervision of the Executive Director, Barbara Jones states, "I don't know how we do [Steve Kings's] evaluation." June Bloom believes the Board follows the advice of the Executive Director, but goes on to question that practice: "It seems that sometimes it's just--'well, if you think this is fine, yes, that's what we ought to do.' And that there's maybe not as much discussion about things."

Programs/Work of the organization

Board members did not identify with the day-to-day operations of the organization in any detail yet there is general knowledge on the part of Board members of the Association's programs. There is also an appreciation of the hard work of staff and the needs of the various programs of the Association that are reported by Steve King in his

regular report to the Board. David Green comments, "There's so much good work that goes on underneath, day in and day out...that we tend to overlook those as being spectacular accomplishments." Other Board members also acknowledge the skills and dedication of the staff and express pride in the long time staffers and low turnover.

Poor board management - examples

Several Board members compare other nonprofit organizations' boards where management was poor by way of contrasting this organization's and Board's good management styles with others. An example of that comment is made by John Star, "Some boards where the managerial side is well-run but then the cost is--it's almost hiding the ball from the board -- 'we don't want you to get involved, we just want you to know it's a fine run machine,' but, you know, it's just sort of window dressing and you leave it alone."

Barbara Jones, in speaking of other organizations said, "A lot of times people get on a board because of who they know and they never intend to attend a meeting; they don't come to a meeting; there's no accountability; nobody ever says anything to them."

In citing these examples of other poorly managed boards, Board members are reflecting the high levels of involvement and commitment they feel in this organization. These comparisons also provided insight into what Board members particularly appreciated about this Board.

Assessment of Board meetings

Most Board members stated that Children's Association Board meetings were well organized and well-run with tight agendas which were planned by the Executive Director and reviewed with the Chairman of the Board. Board meetings were seen as a "report giving time" where some decision votes might have to be taken, but there was general agreement that the real decisions were made prior to Board meetings. Tom May feels that "The quarterly Board meetings sort of summarize the committee activities." "The agendas are pretty well set and they're pretty well followed. I think certainly there's a certain amount of tedium or detail in every meeting that has to be dealt with, but...that's just part of the routine of meetings."

Board Committees

There is general acknowledgment and agreement on the part of Board members that the work of the Board is done in committees. New Board members are told that a requirement of Board membership is participation on a committee of the Board and they are assigned to a committee immediately after accepting membership.

"I think of everything [for this organization] in committees." (Barbara Jones)

"The real work of the Board takes place on the committee level. Once it's to the Board it's gone through the committees and the Executive Committee."
(Tom Mays)

"If you're going to be involved, you need to make a commitment to whatever committee you're going to be on and make sure that you are involved--show up for the meetings...." (June Bloom)

When asked if she liked the Committee system, Rose Green concluded, "It takes more time, but it's a good system."

One concern that several Board members expressed was that the committee structure does not allow them to know all aspects of activities of the Board because their work is in only one area. This is expressed as a frustration, not a suggestion to change the system. A second concern expressed by Board member Steve Penn about the committee system in general is "In dealing with the committees, we're at least one step removed from the real operation of programs and I wish I could be more involved with the people part."

It is generally believed by Board members that the committee structure works well and allows them to use their skills on behalf of the organization or develop new skills that they may want to develop or refine thereby contributing to their sense of being needed and useful for the organization. Board members may select a committee that they wish to serve on. If they do not have a preference or an identified needed skill for some specific committee, Steve King, the Executive Director, assigns new Board members to committees.

Executive Committee

This committee is made up of the officers of the Board and all committee chairpeople and represents the most active Board members. The Executive Committee often constitutes the inner circle on the Board for decision making. Rose Green (a former member of the Executive Committee) observes, "[The] Executive Committee makes the recommendations to the Board...puts it in play....[The Executive Committee has] a lot quicker decision making, a little more honest feedback. I felt it worked better than a board of 33 people." Attendance at Executive Committee meetings is always high with lots of questioning and discussion taking place. Its members have been on the Board for the longest time. The Executive Committee's recommendations to the full Board are most often taken as final approval, the full Board putting a great deal of trust in the recommendations and decisions made in this committee.

Nominating Committee

This Committee has a clearly defined timetable and tasks. The Executive Director prepares a listing for them outlining gaps for types of Board members based on skills, race, gender, and other needs with some recommendations for potential candidates. The Committee requests help from specific Board members whom they feel may know individuals who can fill the gaps and then do a great deal of follow up. The chairperson of the Nominating Committee, Candy Silver,

explained, "A large number of Board members participated in the nominating process."

The officers of the Board and Committee chairpeople are selected for their abilities and willingness to serve and are reviewed by the President and Executive Director prior to their recommendations to the Nominating Committee. The Executive Director, Steve King, admits, "...selection of officers, as well as selection of Committee chairmen, always originates with me; it always has." He believes he has the greatest knowledge and insight into all Board members' skills and abilities and is comfortable that he is able to make the best recommendations for the officers of the Board. The current Chairman is equally comfortable with this method generally, but says he has the power to overrule if he thinks that would be appropriate.

Long Range Planning Committee

This Committee was established based on a recommendation by the local funding agency, United Way, and has worked on the research and development of a long range plan. The Committee was serious about its work, attendance was high at committee meetings, and questions and discussion were lively. June Bloom, the Committee chairperson, and the Executive Director set the agenda and prepare the draft reports for the Committee for review and comment. Three mini retreats for Board members were planned to get maximum input from the full Board for future planning issues.

The retreats have been a very helpful exercise for the Board as it has raised appropriate questions for the Board to address about its future. It has also allowed the Board to understand and discuss potential plans for the direction the organization can take in the future and what significance this can have on the current operations and future funding. The Board members generally took this responsibility seriously and had a great deal of input.

Finance Committee

This Committee was very task oriented; its major responsibility being the review of financial reports of the organization. The people who serve on this Committee generally had financial backgrounds and interest and are serious about the review function. The Executive Director regularly prepared financial reports for this Committee with his fiscal officer, both of whom were in attendance at all of these meetings. The Chair of this Committee, Dick Harris, was not skilled in this area but worked hard at understanding the reports and was assisted by other Committee members and the Executive Director in reporting the financial information to the full Board.

Agency Services Committee

This Committee met only minimally during the research period, cancelling four of its five meetings during the six-month period. The Committee had been involved in the development of the AIDS policy study and had met extensively during that time.

When questioned, the chairman of this Committee, Steve Penn, reflected on the work of the Committee, "For the last year our major thing that we did was basically that AIDS policy. We also review, coordinate the self-evaluation studies. I've never really thought of it as monitoring effectiveness, but sure we do."

The work of the Committee had been limited to specific issues that are usually identified by staff. At times they have addressed new program needs and worked with staff on the organization's self-evaluation that was requested by the United Way. They do not regularly evaluate agency services nor have they seen it as their responsibility.

Development Committee

This Committee has a very active and enthusiastic chair, Bill Brown, who works well with the staff but complains about other Board members' lack of involvement. "It's discouraging, I think, at this point, you know, come to my meeting, you say, 'this thing will never work.' Where have you been for the last four months? I mean, we've been planning this thing....That's why I think it's so important that everybody communicate."

The Executive Director's administrative assistant spends a majority of his time working on development issues and provides staff support to this Committee. Some Board members who are on this Committee are unclear and/or uncommitted about the need to raise additional funds over and above the annual income from the United Way and other

source for the organization. The Committee attempts to do many different projects from campaign fund raising to special events and publicity. It has had some major successes and some major failures, but it's less focused than other Board committees.

Committees Summary

In general, the Committee structure of this Board allows greater involvement on the part of some Board members. Those Board members who actually participate at Committee meetings have input into the process and final Committee products. Board members are encouraged to self-select Committees. Those who take the Committee work seriously and participate feel most satisfied with the Committee structure.

Funding

The Board and the Executive Director are currently reviewing existing and alternative funding sources along with the issue of growth and no growth for the organization. Funding for the organization now comes from the local United Way, fees for services, some limited government dollars, and other contributions. Funding alternatives now being discussed include endowment funds, establishing a fundraising "signature event" and private sector corporate day care. There is difference of opinion on the Board on which, if any, new funding to pursue. This difference apparently is based on the growth versus no growth issues for the organization. David Green, a no growth advocate,

says, "I don't know if we need a signature event.... I don't know if for sure every organization should have an endowment fund.... I have trouble with the endowment effort." On the other hand, John Star wants the Children's Association to provide additional services and sees growth as vital: "I think the endowment is going to be the full time life blood that gives us continuity." Sunny Link provides another rationale for seeking alternative funding as "being able to generate the revenues to the extent that [Children's Association] should not be as dependent on the United Givers Fund."

The issue of seeking alternative funding for the organization is tied into the discussions of future growth for the organization and are recognized as an integral part of long range planning strategies that the Board must address. The issue of endowment funding is being pursued based on the beliefs (which are held by some members of the Board) that an endowment fund itself is critical to the survival of the organization.

Planning

In addition to the continuing efforts of the Long Range Planning Committee, the need for planning is discussed by the Board and is generally seen as a joint responsibility of the Board and the Executive Director. Most Board members acknowledge planning as an important Board role, but a few Board members are impatient with the process and believe that the Board spends too much time discussing future

planning. Joe Witt, a relatively inactive Board member suggests, "We've been consumed with looking at the future."

Quota system

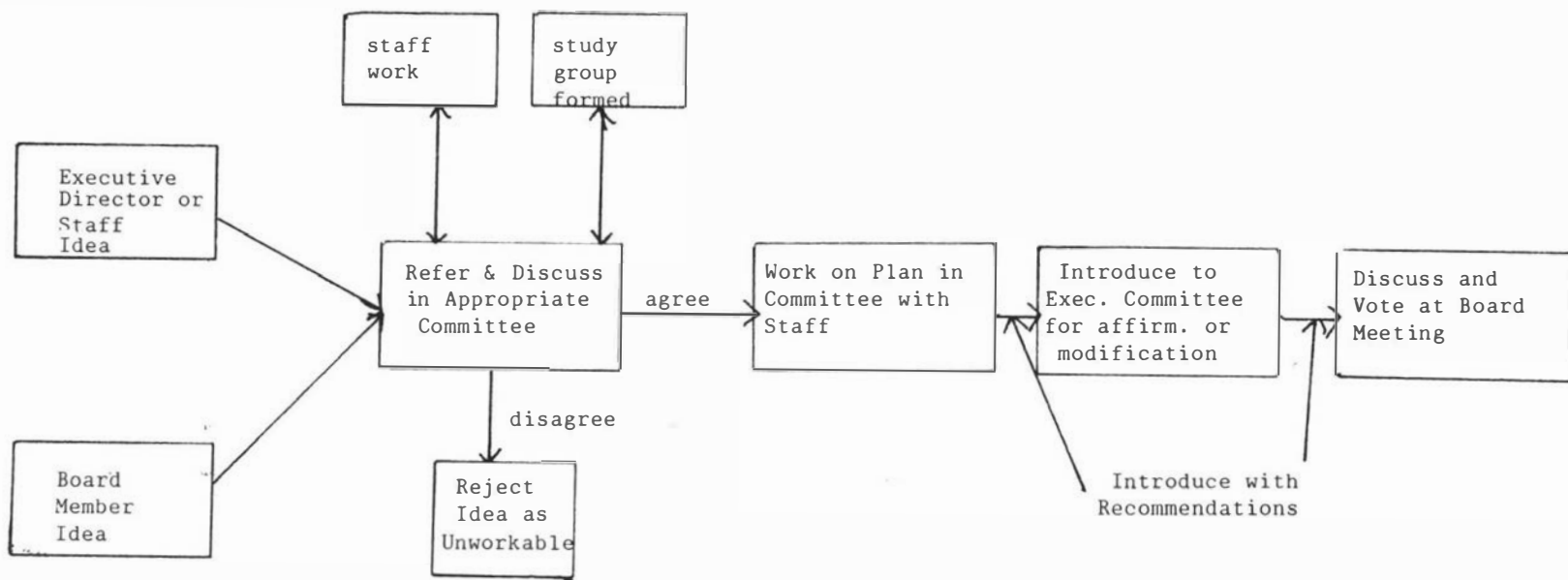
Board members generally state that they are aware of and like the diversity brought about by the Board membership quota system and feel it is appropriate to explain the membership quota system initially to perspective Board members. Dan March explains, "I think it's good. I think it sets a guideline for what type of person ought to be looked at next and, I don't see anything wrong or improper about it, and I think it's good." Joan River, a black Board member who comes from another city points out, "I like the nominating system of quotas. [Southeast City] has a history of discrimination." On the other hand, Pete Smith says, "I don't think much of it. I never have. Being a white Protestant male, I may be prejudiced, but I've always felt that in any job, the most suitable person should be the one who has that job regardless of any of that stuff....I hate the quota system. I can see it a little better in a case like [Executive Director's]....So, I guess it's justified on that basis." This system does appear to bring in new, diverse Board members not seen on other boards in the area. Some Board members believe the quota system is mandated in the organization's by-laws, but in fact it is not. The Executive Director and past Board officers have developed this system based on their beliefs.

Decision making

The decision making process of the Board is generally understood and accepted by most Board members. Any initial concern or issue may be raised by a Board member, but most often is raised by the Executive Director. Jim Cohen explains that "[t]he Director makes his needs known to the individual committees." Often the issue or concern, if validated by the Executive Committee or Board as something they wish to pursue, is referred to a Committee of the Board for study. Staff and Board members work on the issue, refine and clarify it, usually prepare recommendations and drafts and then the Committee chair presents the findings to the Executive Committee. The Executive Committee reviews and questions the findings, then either sends it to the full Board with its recommendation or refers it back to the Committee with suggestions. The time element for this process can be short or quite long. Sue Cole explains the process with some level of frustration, "The Executive Committee makes recommendations to the Board. Everyone is welcomed to attend those meetings, but I have enough to do to attend the committee meetings and the Board meeting." There are many expressions of trust by Board members in this decision making process as well as using Committees to question and refine issues, so consequently the Board meeting may actually be information sharing and a "rubber stamp" exercise in decision making. (See Model in Figure 3.)

Figure 3

Policy and Decision Making Model Used by Children's Association



Sunny Link reflects on the decision making of the Board, "Once it's been through the process, I would say that the chances of it's approval at the Board level are very, very good."

June Bloom, who is a member of the Executive Committee, is more direct, "Once the Committee has basically evaluated and analyzed the issue and come to a conclusion, the Board, I think just buys off on that, just makes it official. The decision's been made."

This decision making process works well for the Board. Issues that are raised by staff or Board members get appropriate attention through the Board's committee structure and decision making model.

Policy development

Most Board members say policy issues and concerns are generated by staff. Board members state that staff will be more aware of current issues or concerns for the Children's Association and can more easily bring those to the attention of the Board: "It seems to me [the Executive Director or his assistant] would probably present something to us with a suggestion or a draft policy...or perhaps it's something that came up in one of those subcommittee meetings and they developed it." (Mary Stuart) There is much evidence of trust in Steve King, the Executive Director, and in his ability to identify policy issues to bring to the Board. The current Board Chairman, Tom Mays, says, "If [Steve] is comfortable with it,...we feel comfortable." At times

policy may originate with individual Board members raising questions, but most often Board members see it as initiated by the Executive Director. Karen Black explained, "I really see the importance of a good Executive Director in helping to pull together the Board because most of them that I've seen are pretty large [Boards] and can't in and of themselves come up with policy direction."

Steve King summarized the current process very well, "The policy drafts or ideas for policy and policy drafts originate within the staff. They take it to the Board. Seldom do we get a situation from the Board that asks, 'Do we have a policy governing this?' It's a thing from the bottom up and that once the policy or proposed policy is placed before a committee of the Board then deliberation begins. And I think that's where the Board really becomes effective because there you get a chance to get this diverse group coming to bear on what's being put in front of us and that [is when] the modifications and the changes begin to occur."

Policy development is not a separate and distinct issue for many Board members. They address policy questions only as they come up in the context of decision making. Several members of the Board are now questioning the wisdom of that approach and the need of reflection and evaluation of policy decisions by the Board. Rose Green reflects, "We jumped into it [St. James'] with both feet before a policy was

decided upon, and when that didn't work out, we still don't have a decision on that policy."

Summary Analysis

Committees of the Board are the working groups that the Board members recognize as an important element of the Board's success. The Executive Director attends all Committee meetings and other staff are present when he feels a need for additional staff support. The Committees meet regularly and reports are prepared on all Committee meetings with Committee chairs presenting those reports at the Executive Committee and full Board meetings. There is general understanding among the Board members that the Executive Director runs the day-to-day operations of the organization and the Board should not get involved in the administrative running of the organization. During the Board meetings the Board receives a report on the administration and operation of the organization from the Executive Director. Board members have an open invitation from the Executive Director to drop into either of the facilities to observe the programs and while several do, the majority of Board members have never taken advantage of the invitation. Board members' trust level in the Executive Director suggests to them that he will keep them informed as to what is occurring and what they must know and do.

Although Board members recognize planning as an important responsibility of the Board, they do not see evaluation as distinctly fitting into a planning/program

implementation/evaluation cycle. Very little evaluation by the board takes place for either programs or goals set for the organization.

The Board strives for diversity in its membership based on race, gender, and professional skills and sees this diversity in Board membership as a major measure of its success. To accomplish diversity the Board developed a quota system for Board membership that calls for specific ratios based on race and gender. The Executive Director is one of the strongest advocates for this diversity and has worked with the Board to locate and recruit diverse Board members.

Policy issues are generally brought to the Board by the Executive Director and other staff. Although board members can raise questions or issues at Board meetings, there is a reluctance to do so on the part of some Board members for various reasons (not wanting to appear stupid, not wanting to go past the meeting scheduled time, not wanting the Executive Director to think he is not trusted). On the whole, the Board believes that the Executive Director and the staff are better informed about the issues affecting the organization and, therefore, feel assured that the staff will bring the relevant information to the Board. The decision making process of the Board appears to work well for the Board and staff. It is generally seen as effective and allowing for enough time to study issues within the committee structure prior to full Board decision making.

C. LINKAGES/RELATIONSHIPS: The interpersonal relationships that exist between and among the representatives of the organization and community groups.

Board/staff relationships

The Board members appear to appreciate the professional behavior and skills they see in the staff. Board members and senior staff are familiar with each other and use first names when in discussion. Orientation and training for new Board members takes place formally and informally and often involves staff. The annual Board/staff institute is one such formal training session that has mandatory attendance requirements for all staff. (The Institute is not mandatory for Board members.) Staff always appear to take their lead from the Executive Director when they address the Board and he generally approves their formal presentations to the Board.

Board members understand administrative functions of the Executive Director and do not try to direct him on administrative matters. The Executive Director, on the other hand, does feel that "the reporting back responsibilities have become a little more pronounced," when referring to his relationship with the Board. "I think [the Executive Director] is very good about involving the Board, but he doesn't come to the Board without clear ideas of what needs to be done." (Steve Penn)

Given the high trust level between the Board and the Executive Director, there still exists some concern on the

part of Board members as to Steve King's inability to give up control. With reference to pressure from the Board to hire an assistant, Pete Smith said, "It took [Steve] two or three years to find anybody that suited him." Tom Mays, in speaking of Steve King, said, "We said jokingly when we gave [him] a nice raise that it was contingent on his hiring an assistant. He hired [the assistant]."

Socialization of Board members

Board members consistently state that they enjoy the diversity of their membership, not only for the different perspectives that can be shared, but, as Candy Silver suggested, they might not meet these people in any other settings: "It's been a really good avenue....the opportunity to meet such a cross section of the community."

Board members appear to enjoy each other's company and tend to socialize while eating lunch prior to the official start of meetings. Annually, the Chairman of the Board has a dinner meeting for the Board and staff in his home or at a small restaurant. This past year the Board Chairman and another Board officer cooked and served dinner to the full Board and senior staff in the Chairman's home. The majority of the Board and senior staff were in attendance and appeared to be relaxed and enjoyed the socialization.

Some Board members express the desire to get to know other board members on a more social basis, "I mean it would be nice if we could get to know each other a little more...." (June Bloom), while others think it might be a

good idea but it is impractical, "I don't know if everybody would have time for a lot of social time." (Pat White) On the whole, Board members enjoy the limited socialization that occurs at meetings or planned Board events but do not extend themselves to meet at other times.

Politics

Political interactions on behalf of Children's Association with external organizations are often handled by the Chairman and the Executive Director together. Political issues involving public or private organizations are discussed on a one-to-one basis with members of the Board who may have specific knowledge that will be helpful to the Executive Director or the Executive Director and the Chairman. Board members are asked to get involved with political issues as appropriate and needed and it is not unusual that they agree and are able to be effective in the situation.

Reflecting on an agency that Children's Association works with, Sunny Link comments, "Unfortunately, there's an awful lot of politics played within the city. The Housing Authority is one of the areas where the politics have gotten to be fairly steep."

Internal to the Board, politics do not appear to play a major factor at Board meetings or in decision making, but politics are considered when making decisions about Board members (e.g., attendance policy, nominations of officers), public relations, and image of the organization. There is

some recognition of the importance of the politics of the Board by a few board members: John Star, who is particularly astute in politics, says, "At some point...we have to define that advocacy, very tactfully, very apolitically, if there is such a thing, but we do." The political philosophy that the current Board Chairman, Tom Mays, has is one of moderation ("don't rock the boat"), which is shared by the Executive Director and was reflected in many of the decisions made during the current year. (See St. James' Hospital Category, p. 140.) In the St. James' scenario the Chairman and the Executive Director decided not to reveal to the Board the depths of personnel and contractual concerns the organization was facing. They did so in a manner that suggested they wished to shelter the board from unpleasant experiences and "put the Association's best face forward."

Comparisons and contrasts with other organizations

Board members mentioned other organizations by way of comparisons and/or contrasts with this organization and its Board. Many of the expressed contrasting feelings helped clarify feelings about Children's Association:

"I'm an economics major and I tend to stay in that arena.... And that can be very cold and unfeeling and the people typically who serve on those boards, they have the brains and the smarts, but many times, the compassion is not there." (Jean Gold)

"I've been on [other] boards where it's almost like I could have been robotic, administration sort of comes in and says, 'this is what we're doing.' It startles people when there is a question, you know, 'oh, that wasn't in the script.'" (John Star)

"It was more of a social group....It was a little bit frustrating because there wasn't too much going on." (Mary Stuart)

"The director of the [XXX] Museum has moved mountains, a great person, a visionary, very smart. Knows how to kowtow to the board with dignity and loves what he does." (Joan River)

As previously stated, 20 of the 27 Board members had previous board experiences ranging from one other board experience to eight other board experiences. Those without other board experiences had some knowledge of other organizations through PTA's, church groups and clubs. In comparison, most Board members thought this organization compared well to other organizations and their boards though two Board members were clearly more committed to other nonprofit organizations and their comparisons reflected that commitment.

The Chairman and one other officer of this Board stated that they gave up all other boards when they became officers on this Board. It is interesting to note that several Board members who said Children's Association was

the best organization they had served on compared to other organizations are not considered active on this Board.

Summary Analysis

This Board has many linkages to the larger community. Twenty of the 27 Board members have served on other boards. The Board and staff have a friendly, colleague relationship, with joint training conducted at an annual Board/staff institute as well as other opportunities where Board and staff interact.

The Executive Director is always present at Board and Committee meetings while some other senior staff are present at Board or Committee meetings intermittently to report on their areas of expertise. The Executive Director manages the administrative functions of the agency and has complete control over all staff personnel matters unless there are employee grievances, in which case, there is a standardized procedure that is followed with a Committee of the Board serving as final authority.

The current Chairman of the Board recognizes and is sensitive to the fact that the Executive Director plays a "father figure" role for many staff. The Executive Director also assumes a role of nurturer to various Board members providing lots of special attention to individual Board members.

The Board socializes to some extent and appears to enjoy those activities when they are limited each year to a few evening events and lunch meetings. Several Board

members stated that they particularly enjoyed meeting the diversity of people who served on this board.

Board members do not feel that there are negative politics within the Board but recognize some of the politics involved with external groups and are willing to intercede with those that they are familiar with if asked by the Chairman and/or the Executive Director. Confrontation is not a style that the Chairman or the Executive Director often use and consequently there is a great deal of quite negotiations that occur rather than addressing controversial issues at full Committee or Board meetings.

In comparison to other nonprofit organizations with which the Board members are familiar, they see this organization and its Board in a very positive and active light. Some of the positive comparisons expressed by this Board as compared to negative experiences with other boards are feeling vs. unfeeling; helping people vs. not helping people; Executive calling Board members vs. no phone calls from paid staff; feeling of allegiance vs. feeling of non-allegiance; human vs. robotic; asking questions vs. not asking questions; lot going on vs. not much going on; and making a difference vs. not making a difference.

D. PHILOSOPHY: What Board members believe and understand generally through chiefly speculative means that reflect their values

Mission

This Board understands the current mission of the organization and is reviewing it in relation to future planning. This does not mean all Board members agree; some Board members expressed a concern that the organization may be taking on more responsibility than it should in regard to the current mission:

Mary Stuart acknowledged the importance of annual review of the organization's mission, "I do feel that the mission statement does need to be reviewed annually, probably to see if they are effective still and to see how the needs of the organization are being served by that mission statement."

David Green points to the mission in reflecting on growth of the organization, "I don't believe it [Children's Association] got away from the mission of caring for children, but they added something to the mission and that was a growth element--that projected the Association into a different kind of organization....[As an example, the drug problem] is that something we should take on?"

Sunny Link sees the mission as being fully met, "The original concept of the day care center for low to low-middle income type families is where we'll stay."

The opposite perspective is expressed by another Board member, Mary Stuart:

"I think the fact that they're not stagnant and satisfied to just have a nice day care center for children in the projects--I think that they're always trying to improve and do more or to look at things in a different way and challenge themselves, I think makes it effective."

These different viewpoints reflect the struggle among the Board on the issue of growth vs. no growth. It is interesting to note that all Board members use the mission as a springboard for their rationale, but generally understand that the Board represents the "guardians of the mission."

Future needs

Some older Board members want the organization to stay as it is and improve its existing services to the clients it currently serves, while others are more visionary thinkers and look toward the organization's potential with high hopes that it will expand its role in the community and serve as a facilitator for all community services as well as an advocate for the community. "I think that there are opportunities for [Children's Association] to do good in other areas." (Rose Green) "What we're looking at is how can we make this agency more responsive to the real needs...." (Steve King) "We really do have to address what [Children's Association's] role is going to be in advocacy--that is for children, and for the social ills that we see every day and

that spill over into our clients, a lot of people we serve and their families." (John Star)

Philosophy of Boards

There is a recognition on the part of Board members that there are different types of boards and different types of people who serve as board members. The responses in this subcategory reflect some of the pride that Board members expressed about this Board. Barbara Jones explained, "What we decided was that we didn't need people on the Board that were there for a name and would never come to a meeting." The current Board Chairman defined different types of boards, "It breaks down to working boards and high profile boards, each has it's place at different times and places. Ours is a working board."

From an active Board member, Jim Cohen, who reflected on other boards: "It doesn't make sense to sit on the Board if you don't know anything about it. You're just really...fulfilling that term of 'rubber stamping' if you don't know anything...and that's what most boards seem to be like."

Bill Brown, a business person on the Board, expressed the frustration of serving on a nonprofit board that has diversity of thoughts and actions: "[Y]ou're not in charge. You've got to bend and move with how the group feels and you've got to take a position that you're there for the betterment of the thing regardless of what stupid decision that they make."

Steve King, the Executive Director, philosophically sees the Board as an important and integral part of the organization and identifies his part in working with the Board as "I kind of guide the Board through the whole process." King further believes that he can enable the Board members to make good choices through his guidance and by providing structure and direction for the Board.

Philosophy on Children

Several Board members have specifically chosen to serve on a board that provides services to children, while others on this Board admit that organizations that serve children are not fashionable or popular. Many Board members do not mention children at all, either as a reason for joining the board or staying on this Board. Others reflect a deep commitment to helping children:

"There is not greater priority than being involved with children." (John Star)

"If you don't do it, you're letting somebody down."
(Jim Cohen)

"But when kids are involved, I will do what I can for them." (Bob Simon)

"[As a role model] my success in being able to make a difference would have more impact on younger kids." (Jack Strong)

"Helping children out of the projects, I call it less fortunate and that was all I needed to know." (Barbara Jones)

Several black men on the Board discussed a personal philosophy of improving children's lives and serving as a role model. Other Board members discussed issues of improving quality of life but not as directly related to children.

Philosophy on Life

There were many platitudes and generalizations offered by Board members at first that appeared to give lip service to personal philosophies of "doing good work," but probing led to some specific and thoughtful responses:

Rose Green said, "My goal is to get people working who can work. I hate the concept of people being on welfare if they don't have to be."

Pete Smith reflected, "We've gotten a new kind of slavery just about: third generation on welfare. There's no stigma attached to it.... We all have to take responsibility for family and neighborhood and church concerns for the less fortunate and we have to do something to help."

And John Star quoted from Martin Luther King, "I'm reminded of what Dr. King said about the Gospel. 'Any religion that professes to be concerned with someone's soul but yet ignores the social and economic things that oppress them is moribund.' And I think that the same thing's true about any program."

Philosophy of How to Govern

General agreement exists on the Board that the Board should set policy for the organization, be concerned with

the future of the organization, serve as advocates for the organization and assure that the organization operates in a fiscally sound and responsible manner. There is also some recognition from several Board members of the Board's role in supervising and monitoring the Executive Director. Several corporate Board members believe there may be benefits in running the organization more like a corporation and seeking profit centers for greater fiscal stability. Finally, there is a word of concern from a inactive Board member, Jean Gold, "I think any organization, nonprofit or be it a government locality, I think it has to be run like a business and a business clearly needs a marketing plan or a mission and it needs to stick to that and not attempt to be a Jack of all trades."

Pete Smith seems to agree when he says, "If we could run this as a profit making organization there wouldn't be any problem, but it isn't."

Bob Simon, who had his membership reviewed by the Nominating Committee because of lack of attendance and ultimately was asked to consider resigning said, "Most boards are structured in that the ultimate authority is with the board. So that the board is in charge or should be and again, the real world tells us that because of turnover there are certain things that the Executive Director must do to keep the car on course, but the Executive Director has to realize that the ultimate authority is still with the Board

and if you get it the other way around, there's a danger for both, generally."

Another Board member, Candy Silver, with a different view suggests, "...a board should be utilized in an advisory capacity, not necessarily a doing capacity."

This Board is aware that they have the responsibility to govern, but how they interpret governance in light of a strong Executive Director differs among the Board membership. Some less active Board members appear resentful of the Executive Director's role in monitoring their attendance. Others appear to have "blind faith" in the Executive Director and wish to serve as advisors only.

Commitment to the Organization

There appears to be a strong commitment to the organization on the part of most members of the Board. That commitment is demonstrated by comments ranging from "I love that organization" from Bill Brown a Board member who complains about other Board members not doing enough to "This organization is my first love," from John Star a board member who sits on numerous prestigious boards including a major university board of visitors, to a single male Board member Dan March's "I will leave part of estate in my will to [the organization]."

Steve Penn says, "Everyone on the Board that I know has a very positive feeling about the Association and talks about the Association in a positive manner and I think that's good."

Ruth Mann, a Board member who is a parent representative, says, "If the organization wasn't here, it would be worse off around here than it is now. It's bad out here now, but this is the place where the kids can come and sit down and talk."

Given the fact that most of these Board members did not have prior knowledge of the organization, the high levels of commitment are important to note and consider. This strong sense of commitment may be attributed, in part, to the formal and informal education Board members take part in, the sense of accomplishment they feel, trust in the staff, pride in the success of the organization and the reality of shared concerns that the diversity on the Board has brought. Beyond those areas the nurturing nature of Steve King, the Executive Director, toward the Board provides constant reinforcement for Board members who are involved and active. Steve King has the intuition to sense when Board members need some new challenge and offers it in a sensitive, supportive manner.

Board Membership

There is some different feeling on the part of Board members with reference to Board attendance. Some suggest that all Board members should be active and attend the majority of Board meetings vs. the opposing feeling expressed that some Board members can "do other things" that meet the organization's needs. At times, different messages are given to different Board members. If a Board member is

seen as uninterested and indifferent, he or she may be asked to consider resigning because of poor attendance; if he/she is seen as interested and valuable to the organization, he/she may be told not to be concerned with absences at meetings. A relatively new Board member, Barbara Jones, suggests a middle ground, "Board composition is one of two things--people who have influence and people who do things--and I think you need a good mix." This is, in fact, what is practiced by the Board and Executive Director.

Summary Analysis

This Board generally understands and is committed to the mission of the organization, expresses concern and responsibility about the children who are served by the organization, feel a strong sense of pride in being on this Board, recognize that this Board is well run and stable, and feel that the Executive Director does a great deal of planning and work on behalf of the Board. Board members believe in the strength of diversity of Board membership as a great benefit to the Board and the organization. Several Board members infer that by serving on this board they are meeting a religious as well as social responsibility of helping other people ("helping the less fortunate").

E. ORGANIZATIONAL ACTIVITIES AND EXPERIENCES

During the past year there were two major issues that the majority of Board members mentioned as most significant: they were the St. James Hospital contract incident and the development of the AIDS policy. These two subcategories

will be discussed in detail later in this section. They serve as examples of Board functioning in specific situations. Other subcategories from this category will not be analyzed separately as they can be more effectively integrated into other analyses.

St. James Hospital

The Children's Association had been approached to apply for a contract to start a day care facility in this major hospital in the city. There were several other applicants for the contract. The decision to apply for the contract was made by the Executive Committee of the Board with the advice and encouragement of the Executive Director. The Board was informed of the opportunity for the contract and was asked to vote on endorsing the proposed expansion of agency services which they did unanimously.

The Children's Association was granted the contract and proceeded to hire staff and develop a day care center at the hospital. The contract did not work out to the satisfaction of the Association or the Hospital. The Executive Director of Children's Association felt that there was confusion about to whom the staff at the hospital day care center was responsible and the lines of reporting were unclear. The person hired for director of the hospital's center believed she should report to the hospital executive director, while the Executive Director of the Children's Association believed she should report to him. There was also unclear understanding of the role of the Children's Association.

Goals for the day care center were different from the perspectives of the hospital and the Children's Association. Confusion revolved around the core question "Was Children's Association operating the center for the hospital or was the center a part of Children's Association?" Differences of opinion created problems of communications and lack of trust between the hospital and the Children's Association. During a period of obvious conflict and stress the Children's Association board was not kept informed as to the nature of the problem. June Bloom reflected, "I don't even know who made the decision on the Board.... I think they should have discussed more at the meetings why it happened."

Sue Cole's comments demonstrated Board members' confusion, "I wasn't really aware of what went on there or how it worked. They didn't have anything in writing from St. James saying 'this is what we can do for you and this is how we operate.' St. James came to them and said 'will you do this for us' and we said 'fine' without anything in writing up front. I think they learned their lesson." Tom Mays, Chairman of the Association, and Steve King, the Executive Director, worked together to attempt to deal with the problem. At one point, when the Director of the hospital day care center was to be fired and a grievance hearing had to be scheduled, the Executive Committee and Personnel Committee of the Board were informed and involved.

Rose Green observed, "St. James was important to me, but I'm also on the Executive Committee and that was

something that took up quite a bit of time in the Executive Committee meetings but not in the Board meetings as a whole that I recall."

The explanations from Board members of what had occurred varied with the amount of involvement they had on the Executive and Personnel Committees. Pat White, someone with little involvement, explained, "They tried to have a day care, a child development center over at the St. James Hospital and that was a bit of the problem with personnel but that was the big issue. You know they settled the issue and decided to close the center over there." Dan March, a Board member with greater involvement, suggested, "After a while I realized it wasn't so much personalities as it was different goals on the part of Children's Association and the hospital." The Chairman stated, "this Board operates with a concensus and a high degree of trust. That was strange for the St. James people."

It was evident that the Board Chairmen and the Executive Director were very emotionally involved in the St. James conflict and made a decision not to disclose fully the details of what had occurred. They did this with the thought of protecting the name and image of the Children's Association. This was a decision of the Chairman and the Executive Director, both of whom felt a lot of pain about the situation and the outcome. Many months after the experience, the Executive Director said, "I can't separate myself completely, but I think in many ways it happened

because we felt violated," and "We learned some things, I learned some things. I don't care how long you've been in the business and how much you're respected, there are some vultures out there who will do you in and who can do you in." Rose Green, a member of the Executive Committee, recognized the pain and frustration felt by the Chairman and Executive Director: "I think there's some pain. I don't feel any because I wasn't with [Tom] and [Steve] when they negotiated with St. James and got out of the situation. A lot of pain there." Other Board members were unclear of what had occurred, typified by June Bloom's comment, "So all of a sudden it was there and we were out of St. James and you could tell that there was some friction between a couple of the Board members."

It appears that the Board Chairman and the Executive Director were the most involved in this incident and made a decision not to inform fully the Board of the problems and concerns that they were experiencing with St. James. The high levels of trust that the Executive Director and the Board Chairman had with the Board are reflected in the positive and optimistic expressions by Board members in summing up what occurred with St. James Hospital:

"Even though it didn't fly, it's still the educational process--you have to learn something and that's obviously valuable." (Sunny Link) "The most significant thing that has happened is the experience that Children's Association had with St. James--from being selected among other agencies

to be the one to help them get started." (David Green) "I think a major accomplishment is being able to admit that things did not go right on the St. James project and backing out of it before it was too detrimental to either the agency or the corporation...." (Candy Silver) "Some things are forays. And to some extent the St. James thing was a foray. It was great for us, too. It said a lot for [Steve King] to be able to gain that kind of contract, but that's just a foray. You do that and sometimes you experiment with it." (John Star) And finally "being recognized enough to have St. James totally different in every way, different background, you're talking about a black inner city day care center as opposed to a Roman Catholic predominantly white--for them to pick us--that to me was quite an achievement." (Pete Smith)

The rationale from the Executive Director and the Chairman for not involving the full Board are reflected in these final statements: From Steve King, "I really have to commend [Tom Mays] that he took the position that we wanted to come out not with a negative reputation as a result of it. That thing could have been so detrimental and there were times that he wanted to do some things and my position was, 'Let's get out of it. I don't care what it takes. Let's cut our losses and not worry about dragging this on.'" And from Tom Mays, "[Steve King] and I decided to put our best foot forward in discussing this with the Board. [John Star] brought the confrontation to the Board."

Summary Analysis

The policy issue that was not addressed during this incident was "Should the organization go into the contract day care business?" It was not recognized as a policy issue by Board members at that time.

The Executive Director and the Chairman moved forward in decision making without much discussion with other Board members. They did so with the idea that they were protecting the organization's reputation. When, in their opinion, it became necessary, they did discuss the situation with the Executive Committee and the Personnel Committee. The leadership style of the current Board Chairman is one of low key, noncontroversy and he believed it appropriate "not to blow the issue up" but to keep it as quiet and as inoffensive as possible. The anger, frustration and pain felt by both the Executive Director and the Chairman because of this incident has not greatly diminished. The Board Chairman briefly referred to the incident in his annual message in the organization's 1989 Annual Report:

"A potentially bad situation was averted in late July when we negotiated an amicable separation from the St. James Hospital Day Care Center. When it became obvious that there existed an irreconcilable conflict between our management styles and operating philosophies, we opted to seek disengagement instead of letting the situation drain our human and financial resources. One of the positive aspects of the endeavor was that we

proved we could function very effectively as a consultant in starting up a child care operation for a private employer." (1989, p.1, Annual Report.)

There was apparently some difference of opinion and style between the former Chairman, John Star, and the current Chairman, Tom Mays, in that when the former Chairman was made aware of what had occurred he "brought the confrontation to the Board." Some on the Board are still unclear about what actually happened and were hesitant about questioning the Board Chair at a Board meeting. June Bloom explained, "I was too embarrassed to ask what happened because...sometimes I think, 'Well everybody else knows, and I don't.'"

This incident is an example of how a Board decision was made and the resultant feelings on the part of various Board members and the Executive Director. Very little discussion took place at the Board meetings about the problems with the hospital contract or the proposed solutions. The Executive Committee and the Personnel Committee were involved with reference to personnel matters, but generally the Executive Committee was updated on what occurred in a limited fashion. Greater input on the part of more Board members might have aided in the process, in problem solving, and in the final outcome.

Although most Board members saw this as a significant incident for the organization, they did not consider that the Board had not fulfilled its responsibility. There were

some feelings of confusion and frustration with what was obviously limited information, but there remained an overriding feeling of trust in the Executive Director. Board members also concluded positive learning experiences from the incident and pride in the fact that Children's Association was selected for the contract.

AIDS policy development

Staff recognized a need for an AIDS policy to be established by the Board to cover all staff and clients of the Children's Association and brought the issue to the Executive Committee and the Board for consideration. The Board agreed to the need for such a policy and assigned the issue to the Agency Services Committee. The Executive Director assigned his administrative assistant to work with the Committee to research and develop a draft policy. The Administrative Assistant did extensive research and presented draft information to the Committee, which had been expanded to include several additional Board members with specific expertise on the subject. The Committee met often and reviewed and revised the policy many times and brought interim reports to the Executive Committee and the Board. The Committee and staff worked well together over an extended period of time and finally presented the final draft policy to the full Board with clear explanations and ramifications for passage of the policy. The Board unanimously passed the policy. Comments about the work of the Committee and the policy itself reflect feeling of pride

and understanding on the part of the entire Board. "It's an outstanding policy." (Peggy Snow)

"We took a lot of time with that and we wanted to be prophets as well as can be expected....I think that was important to us and I think it resulted in our hard work paying off and we probably have one of the best, I think, AIDS policies around." (John Star) "I think it's going to prove to be a model for a lot of agencies." (Sunny Link) "They responded in a proactive way...with their AIDS policy and it's the kind of thing that the board should be about. Not that the Board did it, but the Board took a part in it, making sure that it happened." (Jack Strong) "I was impressed with the final product in terms of how thoroughly it had been researched." (Mary Stuart) "Well, maybe because it's something that I worked on, but I think that AIDS policy, the thoroughness and the extensive nature of the AIDS policy, I think is exceptional for an organization such as this...a model for a lot of others to follow." (Steve Penn)

Most Board members were very pleased with the process and final product developed with regards to this policy and saw it as one of the most significant accomplishments of the Board. They were clear too that it was their responsibility to pass such a policy.

Uniqueness of the organization and its Board

People on this Board feel the Executive Director and his staff demonstrate a high level of professional behavior

and found this behavior to be unique and very satisfactory in relation to their using their time well as Board members. Jack Strong represented what he believed was unique about the organization, "I don't feel like [Children's Association] is tugging on me. Well, I like follow-up...people call me up in a professional voice asking me if I will be attending the very low cost, good tasting lunches. I mean those things help." Several Board members expressed a feeling of uniqueness as a Board member in a organization that allowed Board members to be directly involved in helping children yet didn't demand the extensive time commitments of direct service volunteering. John Star said, "You're closer to the impact and results at [Children's Association]." Mary Stuart expanded on that thought, "What I really like about this Board is the fact that I do feel that as a group we are working together to contribute, not only to the organization, but to the community." Finally, many Board members saw the racial, gender and social diversity on the Board as a very positive, enjoyable, and unique experience.

Summary Analysis

Feelings of pride, accomplishment and understanding of the full significance to the Board were felt by those board members who were involved in the AIDS policy development. The board itself also recognized the importance of the effort and saw it as one of the major accomplishment of the Board in the past year.

These two examples of Board member involvement defined significant issues that occurred during the past year and contrast ways the Board operates. Choices were made in both incidents that reflect a high commitment to the organization. In one the Board Chairman and the Executive Director chose to limit the information given to the Board, in the other the Chairman and the Executive Director chose to involve the Board and used the available expertise on the Board. Board member comments reflect the levels of satisfaction and frustrations individual board members felt on both counts.

F. EVALUATIVE PERCEPTIONS: From the Board members' point of view, what is occurring on the Board and why? What is the value of what is occurring and what should be occurring and why?

Assessment of the Board role

There appears to be general agreement that the Board is supportive of the Executive Director and should advise him when asked. Some Board members when specifically questioned mentioned that the Executive Director is strong and very capable with inferences that, therefore, the Board should be more passive.

David Green says the Board should "act as a sounding board or support element for the director."

Jack Strong summarized, "The real purpose of the Board is to create policy and really have more of a vision of the big picture."

Jean Gold said the Board must be used "to preserve the integrity and the quality of the organization and its mission and not compromise that for any temporary objectives."

John Star commented on the Board's role, "It's a matter of helping to fine tune these things."

Pete Smith said the Board should "set policy, particularly from an economic standpoint....We should look over the shoulder of the Director but not stand in his way. We should stay away from the everyday decisions."

The current Chairman of the Board, Tom Mays, suggests the Board's role as "providing support services to the Executive Director and the staff and providing ideas and suggestions."

Board members are generally quite pleased and proud of the Board as a whole and think it is doing the job that it should. They recognize the strength of the Executive Director in regard to leadership of the Board and feel that given the tenure and trust levels established by Steve King with the Board, the Board should take its guidance from him. Board members did comment that they must assure financial stability of the organization, which they do through the committee structure.

Responsibilities of Board Members

Most people on the Board saw this question in concrete terms and answered it in terms of attending meetings, knowing what was going on, being prepared at meetings and

being involved in the organization. One Board member, Joe Witt, used this question as a vehicle to discuss the role of the Board. Witt, though relatively inactive, was able to answer questions pertaining to boards in a technically correct manner without understanding the organization under study. He said, "The responsibilities of the Board are sound financial organization, the mission and direction, evaluation of the Director, advocacy, attracting talented people, and to evaluate and assess the organization."

Other Board members generally had specific concrete answers such as, "You're supposed to show up at meetings." (Karen Black) "Involvement, first hand involvement in some cases, but more as the ultimate authority in that organization." (Bob Simon) Knowing one's responsibilities did not in any way suggest that those Board members fulfilled those responsibilities.

Role of Individual Board Members

This was understood by many Board members as different than the role of the full Board. The role of the individual Board member was seen as an advocacy role in the larger community and to be on the look-out for "good people" to nominate to the Board. It was also suggested that the individual Board members should make contributions of time and/or money to the organization. Dan Marsh said, "I feel an obligation to make a contribution." Pete Smith said that individual Board members should "help...find good people when [Steve King] seeks to find a person to replace another

individual on the Board." John Star, in describing the individual's advocacy role, suggested, "You can be out there being a pioneer and sort of, you know, rah, rah when it's necessary."

Role of the Board Chairman

The Board chairman appears to be respected and well liked by the majority of the Board. The Board members see him as well prepared for the chairmanship. He has been involved and hardworking as chairman, attending the vast majority of committees meetings and Board meetings. During a typical week the Chairman said he spends approximately 4-5 hours working for Children's Association but on a problem week 10-12 hours. He added, "But I expected that." Other Board members' comments recognize the time and effort he gives: "The Chairman is extremely generous with his time--very actively supportive." (David Green) "He really seems to have a vision about what should be and I mean, he is just so involved, I mean, I think he is super." (June Bloom) The Board Chairman and the Executive Director are in communication regularly and generally seem to respect each other. The Executive Director sees the Chair as "a little more conscious of what the fallout might be and so he doesn't want to offend people." The comment from the current Chairman summarizing his role is interesting to note: "I'm a little bit surprised at the amount of input I have, I think it's good, but I'm surprised." (Tom Mays)

Role of the Executive Director as it relates to the Board

Many Board members see the Executive Director as the leader of the Children's Association and its Board. His long tenure with the organization and his dual role of Executive Director and Board member suggests to many on the Board that he is the natural leader and most knowledgeable person in the organization. Board members feel that the Executive Director should provide them with appropriate information and believe that he does that very well. They want someone who is a good manager as well as someone who cares about the organization. Pete Smith, in his ultimate compliment, says, "He's as capable an individual as I've ever seen, and I've seen 'em."

Jim Cohen reflects on the Executive Director's strengths, "If [Steve King] was the kind of person who didn't share information...if he was always making excuses, doing things that would raise questions, then you would say, 'Wait a minute, I don't trust this guy.'" Pat White summarizes her view of the Executive Director, "He's been there a long time and everybody loves him." An important role that the Board sees the Executive Director playing for them is to identify the problems that they should be concerned with. They feel that he does not bother them with issues that are not important for them to be involved in: "[Steve King] identifies the problems." (Sue Cole)

"Knowledgeable, sincere and he's very much concerned about the Association." (Pat White) "[Steve King] combines good

management skills plus a legitimate interest in wanting you." (John Star) "He listens well and he has a very --, he's nonconfrontational. I don't mean to say that he backs away from confrontation. I mean that he doesn't start a fight." (Jack Strong). And from the current Chairman of the organization, Tom Mays: "...a wonderful Executive Director."

Role of the Staff as it relates to the Board

There is general feeling on the Board that the Executive Director manages the staff well and works to assure that the staff receive the benefits they deserve. Board members believe the staff are very capable, dedicated and well-trained. They generally appreciate the Administrative Assistant but do not see him as replacing the Executive Director in the long run. "Having [the Administrative Assistant] there is certainly a step in the right direction because I think he is very involved in everything that is going on and I think he has done a wonderful thing for the organization. He does things for [Children's Association] that the Executive Director has no interest in doing." (June Bloom) "[the Administrative Assistant] is still under [Steve King's] wings." (Barbara Jones) "I'm real pleased to be working with those people and I think it's primarily because of what I view to be the commitment of the staff and the level of expertise they have." (Karen Black)

Does the Board fulfill its role and responsibilities

Direct answers to this question range from a strong emphatic "yes" to "could do more." The majority of the Board members feeling that the Board is doing a good job.

Dan March responded to this question by saying, "I believe it does, maybe not as well as it could, but I think it does a reasonably good job with the assistance of [Steve King] and [his administrative assistant]." Peggy Snow observed, "They need to do more." Joe Witt complained, "[Children's Association] has the right kind of people on the Board, but we get hung up on fundraising." And Pat White said, "Oh yes, most definitely."

It would appear that this Board is aware of its role and responsibility for policy development, fiscal stewardship, and monitoring, but leans on the knowledge and skill of the Executive Director to lead them through these areas. One of the areas they see as their responsibility that they believe is most beneficial to the organization and the Executive Director is providing advice and support by the diverse Board members. Sunny Link explains, "Bring together a number of different talents...from diverse backgrounds...then you ought to be able to get advice from a number of different sources and different views."

Define board effectiveness

The question of board effectiveness was addressed specifically in all of the in-depth interviews (See Table 11). There were 37 different and distinct definitions given by Board members as to what were the components of an

Table 11

Topics Listed by Board Members of Elements of an Effective Board

[illegible]

Table 11 (cont.)

Topics Listed by Board Members of Elements of an Effective Board

ELEMENT	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	TOTAL
ee) Good Networking																						x						1
ff) Responsive to Requests																							x					1
gg) Long-term Planning															x											x		2
hh) Professionalism of Senior Staff																										x		1
ii) Able to Self-Perpetuate																										x		1
jj) Board Member Knowledgeable About Organization																								x				1
kk) Leadership Skills				x																								1
TOTAL	2	5	2	3	5	3	5	6	2	4	3	5	3	2	6	5	2	5	5	5	4	4	5	2	2	1	6	

Board members generally gave three to five responses to this question

9 board members mentioned commitment as the major element of an effective board

while 7 additional board members said willingness to commit skills, time, and/or money was an important element for an effective board

8 board members identified board diversity as a major element of an effective board and

7 suggested advocacy as a key element

There were 37 different topics suggested by the board members

effective board. The most active Board members identified the diversity of the Board and the commitment to the organization as top elements for board effectiveness.

Some of the least active Board members defined board effectiveness by the effectiveness measures cited in the recent studies and listed in the prescriptive literature on the subject. Being able to define board effectiveness from the established text book definitions in no way assured that the Board member behaved in that manner. When probed as to how they knew those issues, they indicated general board experiences. In this case study it is interesting to note that three of the least active board members who were also well-known in the general community responded with text book accuracy to this question.

Is this Board effective

There is strong agreement on the part of Board members to this question, with all but two Board members agreeing that the Board was effective. Those two Board members believe that more needs to be done by individuals on the Board. The remaining 25 Board members comments range from "Yes, unequivocally." (Candy Silver); "Most definitely." (Pat White); "Relatively, compared to other board[s]." (Tom Mays); "The members that I have observed most frequently, I think, together constitute an effective board." (Karen Black); "Better than most." (Sunny Link); and "Overall quite well." (Bob Neil).

When asked why they think the Board is effective, the feelings expressed reflected a general agreement with satisfaction of who served on the Board and the commitment of the Board members. Jean Gold responded, "Because of the quality of the Board members and the commitment of the Board members." David Green explained, "There is a pretty positive feeling about the organization that exists for those who participate." Bob Neil used the analogy, "It's like a sports team, an able coach is able to recruit able players." Jim Cohen said, "In this case, you have people who do share ideas, who will volunteer to share ideas...." John Star summarized, "I'm not saying it succeeds in everything it does, but it's effective because it has a high percentage of success in terms of its projects and accomplishing its goals." And, finally, the current Chairman, Tom Mays, said the Board was effective because it had "the ability to understand the objectives of the organization, and to assist in carrying out those objectives."

Summary Analysis

In Board and committee meetings and in other interactions, it was often observed that individual Board members had been called on to perform special tasks, such as to arrange for sites for events, to advise as to specific issues, to prepare and print an organization brochure, make a phone call on a political matter or ask a private corporation for a major donation. Board members appear

willing and able to perform these individual requests and acknowledge the importance to the organization of their contacts. It seems likely that the individual requests are well thought out in advance by the Executive Director and Chairman based on the special talents and skills of each board member. It also appears that Board members are called prior to meetings to make sure they are willing to do some specific task and will not be embarrassed if asked to do something that they are unable or unwilling to do. They feel that the Board as a whole is effective and see commitment to the organization and assuring Board diversity as primary measures of that effectiveness.

Board members feel there is a good relationship between the Executive Director and the Chairman, as well as a good relationship between the individual Board members and the Executive Director. Generally the Board feels as though they are kept well-informed but not involved in areas that they do not have to become involved with.

There is a sense of pride and satisfaction by Board members of the Board itself, as well as the organization. They feel their time is well used and more specifically, not wasted at meetings and on other occasions when asked to serve the organization. The following chapter will discuss these findings with conclusions and recommendations for this organization and for other nonprofit organizations.

Chapter VI

Conclusions and Implications

This case study has examined the Board of one nonprofit organization during a six-month period (November 1989-April 1990) to understand what the Board members perceived to be Board effectiveness for that organization. All current Board members were observed at Board and Committee meetings and other Board related events and were individually interviewed in settings outside the organization's facilities. It is hoped that this study will contribute to the research and knowledge of Board members' perceptions of what constitutes Board effectiveness. The conclusions as reported in this chapter are based on overall observations by the researcher and specific findings from the actions and comments of the members of this nonprofit Board about their Board and the organization.

In the past, determinants of effective nonprofit boards have been generally prescriptive in nature. Recently two research studies have been completed in this area that have identified some agreed upon measures involving boards of nonprofit organizations; one conducted by the Independent Sector (1989) and a second by Holland, Chait and Taylor (1989) for the Association of Governing Boards, which was limited to selected independent, four-year liberal arts colleges. The

Independent Sector study identified characteristics of excellent nonprofit organizations and their boards as:

1. The existence of a clearly articulated sense of mission that serves as the focal point of commitment for Board and staff and as a guidepost by which the organization judges its success and evaluates the need for adjustments in course over time;
2. The presence of an individual who truly leads the organization and creates a culture that enables and motivates the organization to fulfill its mission;
3. The existence of an involved and committed volunteer board that relates dynamically with the chief staff officer and provides a bridge to the larger community.

In addition, two other factors are subsumed under the three prime characteristics: the ability to attract financial and human resources and the ability to operate programs that successfully carry out the mission of the organization.

Holland's, et al.'s (1989) study is more specifically related to effectiveness of nonprofit boards. In their study they conclude that

Substantial evidence exists, which indicates that more effective boards are differentiated from less effective ones in six distinct areas of competence: 1) understanding and valuing the institution's history and context, 2) building the capacity for the Board to learn, 3) nurturing

the development of the Board as a cohesive group, 4) recognizing the complexities and nuances of issues before the Board, 5) respecting and guarding the integrity of the governance process and 6) envisioning and shaping institutional directions. (p. 25)

The present study has not attempted to replicate those larger studies but instead has looked at the Board members' perceptions of Board effectiveness in one organization. This research sought to understand if Board members themselves agreed on what constitutes an effective board or what components Board members saw that represented an effective Board. There is an assumption here that the Board members of this organization and other nonprofit organizations view Board effectiveness as a positive attribute for their boards.

The research theoretical framework for the conduct of this study was, in part, symbolic interactionism, which provided the researcher with a rationale to explore, from the individual Board member's perspectives what constituted Board effectiveness. It allowed the researcher to go beyond the responses individual Board members gave to interview questions and to consider the reasons for those answers in the context of what actually occurred, as well as to examine the interactions between Board members and staff and the similarities and conflicts between what Board members said and did. If Board members define board effectiveness differently than prior research, methodology may need to be developed to understand how to merge the current scholarly research on board

effectiveness with board perceptions and their needs and abilities to ultimately meet the goal of more effective nonprofit organizations.

It is recognized that all boards are unique as are all people. This study, therefore, does not intend to offer generalizations to all nonprofit boards. Yet learning about one nonprofit organization's Board may help other future researchers look for similar components that any group of people who serve on nonprofit boards agree to be board effectiveness.

Children's Association

This Association was founded 120 years ago by individuals who were concerned for the welfare of young black children. The history, culture, values and norms of this Board are unique to it and the organization it serves, as is its history of change.

The Board today is made up of 27 active Board members, all of whom have been cooperative in and supportive of this research. The current composition of the Board represents some of the changes that are reflected in the lifestyles of today. The average age of men on the Board is 7 years older than that of the women on the Board. The overall average age on the Board is 41 years old. The men on the Board, both black and white, work in business and professional settings and have a great deal of diverse nonprofit Board experiences. The women on the Board are generally young working women. The five white women on the Board have no previous Board experiences, which

contrasts to high levels of other Board experiences on the part of all other black and white, male and female Board members. No woman has ever served as chairperson of the Board in its 120-year history. Race does not appear to be a contributing factor in Board members' perceptions of effectiveness. Black and white Board members had similar motivations for agreeing to serve on the board and for staying on the board, and they expressed similar concerns and benefits of board membership. All Board members appear businesslike and professional in their dress and demeanor. The current Board represents the young, upwardly mobile, well-educated, active professional who reflects the changing demographics of the work place described in the late 1980's. Board members state that there are no "old line" community power brokers on this Board. The Board members do not consider themselves a "power Board" and use the term "working Board" to describe the contrasting differences they see in this Board and some other community boards.

Board members from this organization generally did not have previous knowledge of the organization when asked to become Board members but were asked to join the Board by friends and associates who were valued by them as knowledgeable and trusted people. Beyond that, Board members agreed to join the Board for a variety of other personal reasons, ranging from altruism, to career advancement, to boredom. Once they agreed to join the Board, they rapidly developed a strong sense of understanding and commitment to the organization, which was

evidenced at Board and committee meetings, during interviews, and in general observations.

The Executive Director, staff, and other Board members provided formal and informal orientation and training to new Board members, which contributed to the feeling of commitment and value. Board members understood the mission of the organization and agreed with that mission. They enjoyed serving on the Board and felt they were contributing to the community and used their volunteer time well.

The Board members saw the Executive Director as their trusted leader and guide who worked with the Board providing them with information that the Board needed to perform their responsibilities well. They identified him as professional, efficient, fair, hardworking and trustworthy. They felt proud of his overall management of the organization, the organization itself, and of themselves and expressed feelings of Board success. This Board believed itself to be unique because of its diversity of membership. The informal, evolved quota system based on gender, race and different skills of individuals, emphasized the importance of this belief. The researcher, after comparative analyses, believes this Board was not as diverse (based on race and gender) as it first appeared. Board members by and large were middle class, upwardly mobile, working and professional people who expressed a strong sense of social responsibility.

The studies by the Independent Sector and Holland, et al. (1989) identified distinct characteristics that were important

to an effective board. Some characteristics identified by the Board members in this study were not overtly mentioned in those larger studies but seem especially noteworthy in understanding Board members' perceptions of Board effectiveness.

Characteristics of Children's Association Board

This Board was made up, primarily, of upwardly mobile, young professionals who place great value on "professionalism." Board members shared some similar experiences with reference to Children's Association.

1. Recruitment onto the Board was by friends and business associates who were valued as trusted and knowledgeable persons.

2. New Board members had very little to no previous knowledge of the organization.

3. Once they agreed to serve, new Board members were welcomed onto the Board by the Executive Director and other Board members and were given formal and informal orientation and training.

4. Board members expressed a strong sense of pride in the organization and the Board itself.

5. Many Board members exhibited feelings of personal responsibility to be actively involved in the organization and voiced guilt if not able to be as active as they felt they should.

6. High trust levels were evidenced between the Executive Director and individual members of the Board and among many Board members.

7. Board members identified feelings of being valued, respected and appreciated. This was demonstrated to them by meetings that began and ended on time, receiving personal reminders of meetings from the Executive Director, by being asked their opinions and advice on specific matters, and by assignments on committees based on their specific skills or needs.

8. Board members said they were able to see and understand that they were making a positive impact on the lives of others by serving on this Board.

9. Board members identified as important that the organization and the staff were well-respected in the broader community and that the organization was professionally managed by a competent Executive Director.

10. Board members commented favorably that meetings took place on site in the facility, in a pleasant atmosphere which helped them understand and appreciate the work of the organization.

Holland's, et al.'s (1989) study listed six elements that differentiated more effective boards from less effective ones. From the perspectives of Board members of the nonprofit organization in this research study, consideration of three additional and related elements appear to contribute to the effectiveness of this Board:

- 1) Trust appeared to be an important and valued element for this Board. Trust in those who recruited them to the Board; trust in the abilities of the Executive Director

and the Chairman; and trust in the process they followed as a Board as well as trust in the mission of the organization.

- 2) Pride was another element this Board repeatedly mentioned-
-pride in the work of the organization, the respect the organization and the Executive Director had in the larger community, and pride in Board accomplishments.
- 3) Enjoyment in serving on the Board was an element demonstrated by Board members in indirect and direct questioning and observations. Board members actually said they "loved the organization and the Board;" they had "fun being part of the Board;" they would "miss being on the Board when this tenure ended;" and that it "was an honor to serve."

All these elements were expressed to the researcher during interviews and were also observed by the researcher during meetings and in other settings.

Relationship between Board and Executive Director

Board members relied to a large degree on the direction, guidance and continuing follow-up by the Executive Director whom they identified as a strong and capable manager. Although not using the specific term, Board members considered the Executive Director a "servant leader." Robert Greenleaf used this term in his 1977 book Servant Leadership in which he explains, "The servant leader is servant first...." (p. 13) Greenleaf goes on to explain the issues of power and authority related to the servant leader:

In a complex institution-centered society, which ours is likely to be into the indefinite future, there will be large and small concentrations of power. Sometimes it will be a servant's power of persuasion and example. Sometimes it will be coercive power used to dominate and manipulate people. The difference is that in the former, power is used to create opportunity and alternatives so that individuals may choose and build autonomy. In the latter, individuals are coerced into a predetermined path. Even if it is "good" for them, if they experience nothing else, ultimately their autonomy will be diminished. (pp. 41-42)

The Executive Director in this organization provided the organization with stable and consistent leadership, using servant leader approaches based on individual Board member's levels of commitment and involvement with the organization. He spent much of his time working with the Board and provided them with information and identified issues for their consideration. He attempted to keep conflict with the Board at a minimum. Kramer (1985) in his studies of board/staff relationships defines this conflict avoidance approach as a board-executive contingency mode. His findings suggest that keeping conflict to a minimum represents a reality of many middle class board/executive relationships. Kramer says this model "operates in an equilibrium based on interdependence and exchange of resources" (p. 29). He goes on to explain "Analysis of the structure and dynamics of the board/executive

relationship suggests that they are dependent on each other but for different resources: they both 'need' each other to carry out their respective responsibilities and to derive the necessary satisfactions" (p. 31).

In most cases, this Board and Executive Director appear to operate under this contingency model in their relationship with each other. The Board and Executive Director recognize the skills and needs of each other and, when possible, provide the needed resources. Board members individually and as a group have responded to the organizational needs of the Executive Director as has the Executive Director to the members of the Board. Examples of this are documented in Chapter V through Board members' agreements to serve the organization in a variety of ways. These requests and responsive behaviors have contributed to high levels of satisfaction on the part of most Board members.

In general, the contingency model for board/staff relationships tied to a strong executive director who may be defined as a servant leader provides a picture of a well-functioning and effective board. Board members who characteristically are busy professionals appear well served by a strong servant leader as their executive director who is able to move the organization and the board forward. Board members generally agree that this Board is effective but within that overall statement the Board members offer a variety of meanings of what makes an effective Board.

Table 12

Board Members Classified by Typology of How Well Informed
and Committed They Are to the Organization

Board Member	Informed Not Committed	Uninformed Not Committed	Uninformed Committed	Between Range	Informed Committed
1			XO		
2			XO		
3		XO			
4			XO		
5			X		O
6	X	O			
7			XO		
8	XO				
9			X		O
10	XO				
11		XO			
12			XO		
13			XO		
14					XO
15					XO
16				XO	
17				XO	
18	O			X	
19			XO		
20					XO
21				XO	
22			XO		
23					XO
24					XO
25	X	O			
26			XO		
27					XO
	4X 30	2X 40	11X 90	4X 30	6X 80

X=RESEARCHER

O=EXECUTIVE DIRECTOR

This table represents a subjective comparison of Board Members' commitment and degree of knowledge about the organization during the period of November 1989 and April 1990. There is agreement between the Executive Director and the researcher on 22 Board members or 81% of the Board members.

*NOTE: Re: Between Range - particularly for new Board members, "uninformed" may only indicate new Board members' need for more time on the Board. Between range scores reflect most new Board members.

Chait and Taylor (1987) have developed a typology for assessing board performance based on types of private nonprofit university and college organizations (See Appendix G). They concluded that there were several difficulties in using their approach to board assessment and suggested "that colleges and universities themselves do not always fit into only one category" (p.20). Based on their findings and suggestions that board roles should be examined using an appropriate methodology, this researcher developed another level of typology for consideration in understanding Board members of nonprofit organizations and their perceptions of effectiveness. (See Table 12.)

Board Member Typology

1. Informed but not committed board members. The first type of board members identified is the informed but not committed member. These can mislead an interviewer who is trying to understand if people are aware of and perform their appropriate board roles. They may verbalize the prescriptive models for board effectiveness that exist in the literature but choose not to act in the manner that presumptively will be most effective for the organization. Their lack of commitment to the organization can range from wanting to be on the board in name only, to believing in the work of other nonprofits to a higher degree, to enjoying the board of another organization more, to feeling frustrated and tired of the sameness of the organization.

2. Uninformed and not committed. A second type of board member identified is the uninformed and not committed. The researcher believes the board members who rarely or never attend meetings or organization events may fall into this category. They agreed to join the board without understanding the commitments to or the mission of the organization and when told of them, chose to ignore the requirements.

3. Uninformed but committed. A third type of board member is the uninformed but committed. This may represent the majority or the largest type of board members in the organization with a range of commitment within this type. Generally, these board members accept the organization and the executive director unconditionally and provide unquestioning loyalty and support to both. They tend not to challenge or question when recommendations are made.

4. Informed and committed. The fourth type of board member is the informed and committed. These board members are not as accepting of all aspects of the operations of the organization as are the uninformed but committed board members. They challenge and question what is reported to them by staff or board committees. They are concerned with future issues and push for greater clarity when they do not understand what is occurring.

Children's Association Board Members' Perceptions of Board Effectiveness by Type

1. The informed but not committed Board members generally perceived Board effectiveness as safeguarding the

organization's mission, setting policy for the organization, monitoring the organization and the Executive Director and advocating for the organization when appropriate. They believe that there are others on the Board who have the skills and interest to do what needs to be done to ensure effectiveness.

2. The uninformed and not committed Board members perceived Board effectiveness as the skills Board members bring to the Board. Theirs is a more passive definition of Board effectiveness. They see Board effectiveness as who the Board members are rather than what they may do.

3. The uninformed but committed Board members generally perceived Board effectiveness as support for the Executive Director and other leadership on the Board, commitment to the organization, advocacy, diversity of membership, positive Board/staff relationships and responsiveness to requests made by the Executive Director or Chairman. They do not welcome any criticism of the organization, the staff or the Board. Their perceptions of effectiveness are quite different from the other types of Board members. For them, effectiveness means attending meetings, total support, advocating on behalf of the organization, and supporting the Executive Director.

4. The informed and committed Board members perceived Board effectiveness as assuring an effective Executive Director, future planning, understanding the mission and goals of the organization and commitment to the organization. They deliberate more about the status quo and continually question

the mission and its implications, and reflect on the role of the organization in the future.

Children's Association Board Members' Perceptions of Board Effectiveness

The perception of Board effectiveness differs among Board members given different styles of leadership, different executive directors, different levels of participation by Board members, and different levels of commitment and involvement by Board members. In the Board under study, these differences represented an appreciable difference in meanings of what constitutes an effective Board.

1. The informed but not committed Board members said they were not able to find sufficient time or were not inclined to prioritize their time to be involved with the organization. They did not feel it was necessary to attend meetings or participate in other events. They acknowledged and agreed with the mission of the organization, thought the organization was well-managed, and were willing, if allowed, to stay on the Board. They are more than willing to have others assume the leadership roles.

2. The uninformed and not committed Board members said they felt pressured by the Board and the Executive Director to attend meetings and were not pleased with that pressure. They explained their lack of involvement by suggesting their time was more valuable and complained that attendance at meetings should not be considered mandatory. They were unclear about the organization's goals and indicated some unhappiness with

the Board and the organization for demanding more time than they wished to give.

3. The issue of diversity on the Board was an area the uninformed but committed Board members thought was of major importance for an effective Board. The Board diversity and the belief that strong leadership and support of the Executive Director were also major components for Board effectiveness suggest to the researcher that they may have less confidence in their own abilities to govern and look to others to lead and to keep them well-informed.

4. The informed and committed Board members recognized diversity of Board members as an important component. They saw an effective Executive Director with the ability to plan; Board member participation; knowledge of the organization's mission and goals; and commitment to the organization as necessary elements for Board effectiveness. These Board members were willing to lead and to make decisions for the organization and felt greater concern for future issues.

There were consistent differences in what Board members in the different categorical types perceived to be an effective Board. It is important to note that it was not only what Board members said in interviews and on surveys about Board effectiveness, that was used as the measure of their understanding of Board effectiveness but also how they behaved as Board members.

Conclusions

Goodman and Penning's (1980) findings on organizational effectiveness recognizes the complexity of the task and identifies related key issues for organizational effectiveness. Based on previous research these issues can be considered in concluding how board members' effectiveness and their perceptions of effectiveness differ or are similar.

Goodman and Pennings, like the more recent studies on nonprofit boards by Holland, et al. (1989) and the Independent Sector (1989), recognized the importance of being focused on the mission of the organization to ensure true organizational effectiveness. They also suggested that the definers of organizational effectiveness should be initially identified and specific links of determinants and indicators should be drawn for the organization. Holland, et al. (1989), in listing their six competencies that seem to be necessary elements for effective nonprofit organizations, added to Goodman and Pennings' research the board members' dimension of building the capacity for board members to learn, nurturing the development of the board as a group, and guarding the integrity of the governance process.

The Independent Sector's (1989) conclusions share much with the former studies. That study identifies as a first characteristic for a board, in what they term the excellent nonprofit organization, "the relationship between the CSO (Chief Staff Officer) and the Board is one of mutual trust and respect" (p.11). Goodman and Pennings (1988), Holland et al.

(1989), and the Independent Sector appear to agree that the need for clarity, understanding and respect for board and staff roles and responsibilities is critical for an effective board, as is recognition of a clearly defined mission for the organization.

Given this agreement of the basic elements necessary for an effective nonprofit board which concurs with much of the prescriptive literature, this researcher returns to the foreshadowed questions of this study to try to define a possible missing element for consideration: What are the perceptions of Board effectiveness held by Board members? If Board members perceptions of Board effectiveness differ among themselves, can the Board be truly effective?

This case study offers several observations on what Board members perceive as Board effectiveness. In the organization under study there were different perceptions of Board effectiveness offered by different definable types of Board members. For example, uninformed but committed Board members saw Board effectiveness as unconditionally supporting the leadership of the organization, while informed and committed Board members saw assuring an effective Executive Director and Chair as components of Board effectiveness.

These different perceptions by board members must be addressed in a manner that allows for those differences to be recognized and considered within the organization when planning for Board and staff development. The complexities of boards of nonprofit organizations themselves must be recognized with

their emphasis on diversity, multiple layers of policy and decision making, regular turnover established by rotation systems, different motivations for joining and continuing on boards, and different definitions of board effectiveness. It is this researcher's belief that the appropriate board/staff relationships in nonprofit organizations are many and do not have an easy or simple prescriptive answer.

Research Implications

It was clear that through the use of multiple data sources for this study the responses to the Self-assessment Board Survey only reflected a surface and limited level of information about what Board members thought and felt was needed and valued for an effective Board. Given the fact that Board members had to complete this survey independently; the complexity of the self-assessment survey; the time required to complete it; and the limited number of respondents (12 of 26 or 45%), the findings provide an interesting aside but cannot conclude anything beyond the actual scores presented (See Appendix C). These Board members assess the Board operations in a very positive manner (70% Good), yet reflect some concerns about needed areas for improvement. Board surveys and questionnaires do not represent the "quick fix" prescription for assessing a board that some boards and staffs suggest. Used in part with other methods, surveys and questionnaires may be helpful in validating what has been observed and determined from other methods.

The triangulation of various methods of data gathering strengthened this study and allowed for greater understanding of what actually was the Board/staff relationship, as well as a wide variety of definitions of Board effectiveness. External tools, such as surveys and questionnaires, can be developed and refined to aid in the exploration and study of Board effectiveness measures, but those tools in and of themselves are not enough. The participant-observer played a very important role in data gathering in this study. It would appear that the broad range of qualitative research methods were very useful in gathering data for this investigation and subsequent understanding of the board.

Implications for Developing Effective Boards

Definitions of board effectiveness change given different combinations of executive directors and board members. Within the limits of by-laws and other authorizing regulations, boards and staff must define not only the goals for the organization and the board, but also what they determine to be the effectiveness measures for the organization, the board and the staff at that particular time and place in the history of the organization.

This researcher suggests that given the unique nature of the voluntary board of directors in nonprofit organizations, boards of nonprofit organizations must annually define measures of effectiveness for themselves at that given point in time considering the informed and committed typologies represented on the board. The board can then set realistic expectations

for their own performance using the strengths of the individuals who compose the current board. This process can be conducted at an annual board retreat or board workday and may bring greater understanding and success for the board as a whole.

This seems to agree with the prescriptive research findings in an important, but limited, way. What this researcher is suggesting is that each board of each nonprofit organization must annually define effectiveness measures and review and revise those definitions on a regular basis. Without this practice as an ongoing component of nonprofit organizations, we may find boards working against the best interests of the organizations they wish to serve.

Implications for Further Research

Research such as this can be expected to raise more questions than it answers. Further studies of board members' perceptions of board effectiveness with a large sampling might prove to be valuable when developing general recruitment and training strategies for Board members.

Additional research on board effectiveness should examine the following questions: Given different types of board members, how can commitment to an organization be developed or retained once people agree to serve on a board? What types of training could achieve greater board awareness of the roles and responsibilities of board members? Which kinds of board members would benefit from different kinds of training?

In this study, trust, respect, pride in the organization and enjoyment in serving on the Board were important elements for Board members' commitment to the organization and continued involvement on the Board. Greater understanding of how those elements (trust, pride, respect, and enjoyment) are developed on a board and how they contribute to greater effectiveness for a board need additional research. Also, what role did diversity of Board members play in developing trust, pride, and enjoyment among Board members

Afterword

Upon completion of the field study and upon reflection on this organization and other nonprofit organizations that this researcher has worked with for 25 years, it would appear that the opposite of an effective board for a nonprofit organization may not be merely an ineffective board. The opposite of an effective Board may be a problematic Board for a nonprofit organization. The problems seen in many nonprofit organizations stem from poor management or unclear understanding and follow-through of roles and responsibilities of boards and executive directors.

In the world of today, as conflict, frustration and fear are the messages often given in the headline stories in the media, and political and business leaders predict the worst possibilities for the future, we can look toward the nonprofit world to continue to focus on and express the caring and concern for the human race, be it a continent or one human being. Houle (1989) says being on a nonprofit board is "more

than an outlet; it is a generator as well" (p. 165). This is a positive opportunity that we cannot afford to misuse.

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APPENDICES

APPENDIX A

Open-Ended Interview Guide

Name of Board Member being interviewed _____

Date _____ Time _____

Setting in which interview occurs _____

Gender _____ Race _____ Approx. Age _____

Introduce self, general purpose of interview.

1. a. How long have you served on this Board? _____

b. How did you happen to become a board member of this organization?

2. Have you ever served on other boards? If so, which one(s), when, and for how long?

3. a. From your experience and insights, what do you think the role of the Board should be?

b. How well do you think this Board does this?

c. Why?

4. What is your perception of the role and responsibilities of individual board members? Do you currently do these things?

5. a. What is the most significant thing the Board has accomplished in the past year?

- b. Why do you think so?

6. a. What was the least significant thing the Board accomplished this past year?

- b. Why do you think so?

7. What issues have most occupied the Board's time and attention during the past year?

8. a. What would you like the Board to do (as a board) that it now does not do?
- _____
- _____
- _____
- b. Why (What might be accomplished)?
- _____
- _____
- _____
9. What is the decision making process the Board uses?
- _____
- _____
- _____
10. a. What was the easiest decision the Board had to make this past year?
- _____
- _____
- _____
- b. Why?
- _____
- _____
- _____
11. a. What was the most difficult decision the Board had to make this past year?
- _____
- _____
- _____
- b. Why?
- _____
- _____
- _____

12. What is the policy making process the Board uses?

13. a. List five things that you think define an effective board (in general)?

b. In your view, is your board effective? If so, why? If not, why not?

14. Any other comments?

APPENDIX B

**BOARD OF DIRECTORS
SELF-ASSESSMENT**

William R. Conrad, Jr.



VOLUNTARISM

**Management Monographs
from Voluntary Management Press**

INSTRUCTIONS

There are eight Key Result Areas in this Self-Assessment:

- Key Result Area I —Personal
- Key Result Area II —Board Organization
- Key Result Area III —Meetings
- Key Result Area IV —Communication
- Key Result Area V —Decision Making
- Key Result Area VI —Board Staff Relationships
- Key Result Area VII —The Board Membership Process
- Key Result Area VIII—The Board at Work

To measure performance in each of these areas a number of standards have been identified. They are in the form of statements with four possible answers:

- Y—Yes: Our board is adequately functioning in this standard.
- N—No: Our board is not adequately functioning in this standard.
- P—Partially: Our board is only partially functioning in this standard.
- D—Don't Know: This would suggest some fact finding and/or introspection is needed.

Once each standard has been answered under a Key Result Area, calculate the number of Yes, No and Partially answers, place these numbers on the bottom of the last page of the Key Result Area and complete the necessary arithmetic.

After all Key Result Areas are completed, turn to the enclosed SELF-ASSESSMENT Profile scoring sheet and:

1. Transfer your scores from the end of each Key Result Area in the monograph by circling that number in the appropriate KRA (Key Result Area) column in the profile scoring sheet.
2. After the KRA columns are completed, connect the dots on the scoring sheet. The result is a graph or profile of the board of directors as you perceive it.

KEY RESULT AREA I - PERSONAL**Standards**

1. The functions of the board are clearly defined.
Y N P D
2. I understand and accept those functions.
Y N P D
3. The roles of individual board members are clearly defined.
Y N P D
4. I understand and accept those roles.
Y N P D
5. I understand the purpose and goals of my organization and am comfortable in discussing them with people outside my organization.
Y N P D
6. I support those purposes and goals both within and outside the organization.
Y N P D
7. With respect to the legal aspect of board membership, the board has a formal plan, supported by bylaws, covering board volunteer liability.
Y N P D
8. I feel an acceptance by the board as a whole, with a recognition of my individuality.
Y N P D
9. I feel that I have the opportunity to meaningfully participate in the affairs of my organization.
Y N P D
10. I am helped to improve my knowledge and skills as a board member and to evaluate my contribution (performance) to the board.
Y N P D
11. I am able to place my organization's larger issues over my personal feelings and wants.
Y N P D

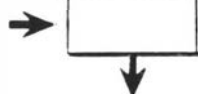
Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____ TOTAL



Circle appropriate number in the K.R.A. I column on the Profile Sheet.

KEY RESULT AREA II**BOARD ORGANIZATION****Standards**

1. The board has a concise, yet comprehensive, set of by-laws clearly outlining the procedures and responsibilities of the board.
Y N P D
2. These bylaws have been reviewed in the past three years.
Y N P D
3. The board has enough standing committees to monitor the continuing business of the board.
Y N P D
4. There are a number of ad hoc committees or task forces which come into being to do a job and then disband.
Y N P D
5. There are committee commissions or outlines of responsibilities for each standing committee, subcommittee, ad hoc committee or task force.
Y N P D
6. These are reviewed annually.
Y N P D
7. There is a clear-cut organizational chart of the board.
Y N P D
8. There is a clear-cut organizational chart of the staff.
Y N P D
9. There is a clear-cut organizational chart showing the relationship between the board and the staff organization.
Y N P D
10. All board members are on at least one committee.
Y N P D
11. There is a broad representation of age, race, sex, ethnic group, etc. on the committees and task forces of the board.
Y N P D
12. Staff with the same responsibilities as a committee or task force are assigned as staff support to the committee or task force.
Y N P D
13. People who will be named to chair committees have been contacted and commitment made before the announcement of their appointment is made.
Y N P D
14. I feel that the present board organization allows for sufficient attention to the board's work.
Y N P D
15. There is sufficient opportunity for rotation of officers and committee chairpersons.
Y N P D
16. The limits of the powers of the Executive Committee are clear and in the Bylaws.
Y N P D

17. The position of board Chairperson/President is filled by fair election and is not monopolized by one individual.

Y N P D

18. The responsibility for supervising committee chairpersons and for the functioning of all committees rests with the Chairperson/President of the Board of Directors, not the staff.

Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL

→

↓

Circle appropriate number in the K.R.A. II column on the Profile Sheet.

KEY RESULT AREA III - MEETINGS

Standards

1. The number and duration of board meetings are adequate to conduct the board's business.

Y N P D

2. Board and committee procedures follow a set pattern such as Robert's Rules of Order.

Y N P D

3. Agendas are jointly constructed by the chairperson and the staff assigned.

Y N P D

4. Agenda approval is the first item on any meeting agenda with board volunteers feeling free to recommend amendments, deletions and/or additions.

Y N P D

5. Agendas and previous meeting minutes are sent out in advance. Concise background material is sent out to assist my comprehension of the issues involved.

Y N P D

6. Minute-taking is a staff function, enabling full participation by all board volunteers.

Y N P D

7. We have adequate attendance at board/committee meetings, with at least a majority of members present.

Y N P D

8. Staff are adequately involved in board/committee meetings.

Y N P D

9. Board meetings are set well in advance with a reminder as each meeting approaches.

Y N P D

10. Our meetings are achievement oriented. Our productivity is high, working hard at important issues.

Y N P D

11. Board/committee meetings begin and end on time.

Y N P D

12. Board meetings are for board members. In the board meeting, is the time spent on reports and discussion roughly 75% by board members, 25% by staff?

Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL

→

↓

Circle appropriate number in the K.R.A. III column on the Profile Sheet.

KEY RESULT AREA IV - COMMUNICATIONS**Standards**

In the space below, list all the types of written communications your board receives. Next to each item, place the number of times the board receives that particular piece (weekly, monthly, twice a year, annually, etc.). Written communications include regular items (such as minutes, newsletters, annual reports) and special items (such as a newspaper piece about a program).

16. From board volunteer to board volunteer.

Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL



Circle appropriate number in the K.R.A. IV column on the Profile Sheet.

1. The board receives the above listed items on a regular basis.

Y N P D

2. These communications adequately provide the information you require to be knowledgeable or what is occurring across the organization.

Y N P D

3. The organization carries out adequate public information programs.

Y N P D

4. Board volunteers are informed of these programs.

Y N P D

5. Negative information is shared with you as well as that which reflects well on the organization.

Y N P D

6. Board volunteers pay enough visits to the facilities to experience programs.

Y N P D

7. There is adequate communication from board chairperson to board volunteer.

Y N P D

8. There is adequate communication from board volunteer to board chairperson.

Y N P D

9. From staff chief executive to board volunteers.

Y N P D

10. From board volunteers to staff chief executive.

Y N P D

11. From board to clients.

Y N P D

12. From clients to board.

Y N P D

13. From board to staff.

Y N P D

14. From staff to board.

Y N P D

15. From board to community.

Y N P D

KEY RESULT AREA V - DECISION MAKING**Standards**

1. Decisions are made on a broad participation basis rather than by a small group.

Y N P D

2. When decisions are made, staff who will be affected by the decision are consulted.

Y N P D

3. Staff are able to influence board decisions.

Y N P D

4. Staff provide appropriate background materials when they bring matters to the board.

Y N P D

5. The decision-making process is designed to motivate those who must carry out the decision.

Y N P D

6. Board volunteers are aware of the problems their decisions might create at the lower levels of the organization.

Y N P D

7. Staff conscientiously attempts to implement board decisions.

Y N P D

8. Staff accepts a negative decision by the board and acts within the board's directives.

Y N P D

9. The board monitors implementation of their decisions.

Y N P D

10. Decisions made are congruent with the stated goals and objectives of the organization.

Y N P D

11. Staff are careful to make decisions only within their authority.

Y N P D

12. In matters brought before the board, there is a balance between those matters which are referred by staff (pro forma) and those which originate in the board.

Y N P D

13. The executive committee functions well and does not impinge on the board's authority.

Y N P D

14. When the executive committee meets, it reports fully at the next board meeting on its actions.

Y N P D

15. The board feels free to reverse any action taken by the executive committee.

Y N P D

16. New and innovative ideas are heard with openness.

Y N P D

17. There is continuity with the decisions of the past.

Y N P D

18. When decisions are made, next steps are outlined with target dates, responsibilities are assigned and a review is scheduled.

Y N P D

19. Adequate data is available to make decisions.

Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL





Circle appropriate number
in the K.R.A. V column on
the Profile Sheet.

KEY RESULT AREA VI BOARD/STAFF RELATIONSHIPS

Standards

1. There is a close, trustful and harmonious relationship between the chairperson of the board and the staff chief executive.

Y N P D

2. There is a close, trustful and harmonious relationship between the chairpersons of the committees and the staff assigned as support.

Y N P D

3. Although the staff chief executive is the principal liaison between board and staff, there exists a comfortable, trustful relationship between board volunteers and staff members.

Y N P D

4. There are adequate opportunities for effective two-way communication between board and staff.

Y N P D

5. The board exercises the right degree of authority over the staff chief executive.

Y N P D

6. I have never been approached by a staff person outside of the proper channels to influence a decision.

Y N P D

7. The difference between policy and implementation is clearly understood and accepted by board and staff.

Y N P D

8. Crossovers by board or staff into the other's responsibilities are handled immediately and diplomatically.

Y N P D

9. The distinction between a board volunteer's advisory and trustee roles is clearly understood and accepted by board and staff.

Y N P D

10. The board has a formal method of appraising the performance of the staff chief executive in a fair and timely fashion.

Y N P D

11. There is an understood and accepted staff grievance procedure.

Y N P D

12. Is there a clear definition of the authority delegated to the staff chief executive?

Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL





Circle appropriate number
in the K.R.A. VI column on
the Profile Sheet.

KEY RESULT AREA VII THE BOARD MEMBERSHIP PROCESS

Standards

1. There are criteria set up for the types of board volunteers required to achieve the work of the board.
Y N P D
2. Individuals are selected and recruited based on these criteria.
Y N P D
3. These criteria relate directly to goals and objectives of the organization.
Y N P D
4. The board has in writing:
 - a recruitment procedure Y N P D
 - an orientation program Y N P D
 - a continuing education program Y N P D
 - a recognition procedure Y N P D
 - a separation procedure Y N P D
5. The new board volunteers receive a manual clearly outlining their responsibilities, staff responsibilities, budget, purposes, goals, objectives, and board and staff organizational charts.
Y N P D
6. The board elects its members to a specific term.
Y N P D
7. A third of the board stands for re-election each year.
Y N P D
8. There is a limit to the number of terms a board member may serve.
Y N P D
9. If there is a provision limiting the number of terms of re-election, an individual can be re-elected after a specified time.
Y N P D
10. There is a process for evaluating the performance of board members.
Y N P D
11. Ethnic, racial and other minority groups are represented in proportion to the organization's constituency.
Y N P D
12. The board has a pool of qualified people available to fill vacancies.
Y N P D
13. There is an appropriate blend of veteran and new board members.
Y N P D
14. The method of appointing the nominating committee is clearly defined and understood by the board.
Y N P D

15. Board members have the opportunity to participate in local, state, regional and national training programs.
Y N P D
16. There is a board committee responsible for the board membership process.
Y N P D
17. A board volunteer's performance is appraised at the expiration of the designated term, with inactive members diplomatically asked not to stand for re-election.
Y N P D
18. You are influential in the board membership process.
Y N P D
19. The entire board participates in the board membership process.
Y N P D
20. Staff can influence the board membership process.
Y N P D

Number of Y _____ x 2 = _____

Number of N _____ x 0 = _____

Number of P _____ x 1 = _____

Number of D _____ x 0 = _____

TOTAL _____

TOTAL



Circle appropriate number in the K.R.A. VII column on the Profile Sheet.

KEY RESULT AREA VIII THE BOARD AT WORK

Standards

1. The board has a comprehensive five-year plan outlining where the organization ought to be in the future.
Y N P D
2. The board has an annual plan that is in harmony with the long-range plan.
Y N P D
3. The board does its planning before initiating budget process.
Y N P D
4. There is adequate staff assistance for clerical work, data gathering, etc.
Y N P D
5. Board volunteers are generally accessible to staff.
Y N P D
6. Staff share relevant information with the board even though it may reflect negatively on staff work.
Y N P D
7. Board volunteers fulfill their commitments.
Y N P D

8. The board is willing to discuss and take action on controversial issues.	Y	N	P	D	
9. There is an adequate and definite process for data collection to facilitate board decision making.	Y	N	P	D	
10. Board meetings reflect free and wide-ranging discussions, full participation and respect for divergent opinions.	Y	N	P	D	
11. Board meetings generally focus on policy, review, evaluation, reports of committees and task forces.	Y	N	P	D	
12. Members of the board/committee accept other board members and appreciate their strengths while understanding their weaknesses.	Y	N	P	D	
13. If board volunteers find themselves in a minority position, they support the majority position as long as they remain a part of the board.	Y	N	P	D	
14. Routine matters are handled without time-taking discussion.	Y	N	P	D	
15. Minutes of board and committee meetings are circulated to board volunteers.	Y	N	P	D	
16. Reports of committee meetings are made to the board in a timely fashion.	Y	N	P	D	
17. The work of the committees is coordinated and monitored by the executive committee or board.	Y	N	P	D	
18. The board is composed of culturally-diverse individuals.	Y	N	P	D	
19. The board is composed of culturally-diverse individuals, and they have been trained to work together.	Y	N	P	D	
20. Board volunteers are able to communicate within each others' experience, giving full respect to each others' values.	Y	N	P	D	
21. The board is adequately aware of ethnic concerns.	Y	N	P	D	
22. How are differences and disagreements between board volunteers handled? (Circle one and add point value to total.)					
					Point Value
a. Disagreements are usually ignored.					0
b. Sometimes disagreements are accepted and worked through, sometimes they are ignored.					1
c. Disagreements are usually accepted as necessary and desirable and worked through.					2
23. How are disagreements between staff and board volunteers handled? (Circle one and add point value to total.)					
a. Disagreements are usually ignored.					0
b. Sometimes disagreements are accepted and worked through, sometimes they are ignored.					1
c. Disagreements are usually accepted as necessary and desirable and worked through.					2
24. Board volunteers are aware of and accept the board functions. (Functions are responsibilities of the board as a whole.)	Y	N	P	D	
25. Board volunteers are aware of and accept the board volunteer roles. (Roles are responsibilities of individual board members.)	Y	N	P	D	
26. Board volunteers are aware of and accept the staff functions.	Y	N	P	D	
27. Board volunteers are aware of and accept the staff roles.	Y	N	P	D	
28. Individual board volunteers do not attempt to represent the board outside of board meetings without board sanction.	Y	N	P	D	
29. The board considers issues on the local, state, regional and national levels within the organization's purpose.	Y	N	P	D	
30. Board volunteers support staff if they are unjustly criticized.	Y	N	P	D	
31. The board conducts a review annually of its own work.	Y	N	P	D	
32. The board collaborates with other agencies in the community and is familiar with their programs and activities.	Y	N	P	D	
33. The board has scheduled its own continuing education programs, including at least one meeting annually without the pressures of a formal board or committee business meeting.	Y	N	P	D	
Number of Y _____ x 2 = _____					
Number of N _____ x 0 = _____					
Number of P _____ x 1 = _____					
Number of D _____ x 0 = _____					
TOTAL _____					TOTAL
					→
					↓
					Circle appropriate number in the K.R.A. VIII column on the Profile Sheet.

APPENDIX C

Analysis of Board of Directors Self Assessment Survey

After many follow-up requests, of the 26 self-assessment surveys distributed, only 12 surveys were returned. (Note: one Board member was not capable of completing the survey.)

Of those who responded (5 WF, 8 WM, 9 BF, 12 WF, 13 WF, 14 BM, 16 BF, 18 WF, 20 WM, 21 BF, 23 BM, 24 WM)

7 females responded

5 males responded

6 were board members for over three years

6 were board members for less than three years

7 are on the Executive Committee (of 9 members)

Rating Code: G = a good board
 F = caution ahead
 P = much work needs to be done
 NR = no response

The highest number of Board members agreed (10 out of 12) that the Board membership process the organization uses was G, good. The other two respondents indicated F.

Two areas were rated G by 75% (9) of those responding:

Personnel	9-G	3-F
Meetings	9-G	3-F

These areas were rated P by 25% (3) of those responding:

Board organization	3-P	4-F	5-G
Communication	3-P	2-F	6-G 1-NR
Decision Making	3-P	2-F	7-G

Of 8 Key Result Areas (KRA) - Board Members Overall Rating

Person	9	18	12	8	21	24	16	5	20	14	23	13
	5G	7G	7G	8G	6G	6G	1G	2G	8F	3G	6G	8G
	1P	1F	1F		2F	2F	3F	4F		1F	1F	
	2F						3P	2P		4P	1P	
							1NR					

G = Good; F = Caution, Pitfalls Ahead; P = Much Work Needs to be Done; NR = No Response

Two Board members gave all G

One Board member gave all F

Of the total responses from all 12 surveys (96 responses):

67 Good = 70.0%

17 Fair = 18.0%

11 Poor = 11.5%

1 NR

Scores from Self-Assessment Surveys
(completed by 12 of the most active Board members)

KRA	9	18	12	8	21	24	16	5	20	14	23	13
1	22	20	22	20	22	20	17	19	18	20	22	20
	G	G	G	G	G	G	F	F	F	G	G	G
2	36	32	32	36	30	31	22	23	29	25	28	32
	G	G	G	G	F	F	P	P	F	P	F	G
3	24	21	24	24	22	21	18	19	20	24	22	23
	G	G	G	G	G	G	F	F	F	G	G	G
4	30	30	28	30	25	31	—	22	26	16	23	29
	G	G	G	G	F	G	—	P	F	P	P	G
5	28	35	32	38	38	37	28	36	32	28	38	36
	P	G	F	G	G	G	P	G	F	P	G	G
6	17	20	22	24	23	22	20	19	18	20	23	21
	F	F	G	G	G	G	F	F	F	F	G	G
7	40	40	42	40	35	29	40	35	29	36	44	41
	G	G	G	G	G	F	G	G	F	G	G	G
8	60	63	62	64	63	61	42	58	56	52	61	62
	F	G	G	G	G	G	P	F	F	P	G	G
	1	2	3	4	5	6	7	8	9	10	11	12

G = Good; F = Fair; P = Poor; NR = No Response

Ranges

	1	2	3	4	5	6	7	8
G	22-20	36-32	24-21	30-28	38-35	24-21	40-35	66-61
F	19-17	31-26	20-17	27-24	34-29	20-17	34-29	60-53
P	16- 1	25- 1	16- 1	23- 1	28- 1	16- 1	28- 1	52- 1

Board of Directors
Ratings from 12 Members
Self-Assessment Survey

1. Personnel - related to board members	9 - G 3 - F
2. Board Organization - related to board members	5 - G 4 - F 3 - P
3. Meetings - related to efficiency at Board meetings	9 - G 3 - F
4. Communication - related to information flow	6 - G 2 - F 3 - P 1 - NR
5. Decision Making - related to how decisions are made	7 - G 2 - F 3 - P
6. Board/Staff Relationships	6 - G 6 - F
7. Board Membership Process - related to recruitment, election, etc.	10 - G 2 - F
8. Board at Work - related to planning and implementing Board work	7 - G 3 - F 2 - P

G = Good Board
F = Caution - Pitfalls Ahead
P = Much Work Needs to Be Done
NR = No Response

APPENDIX D

CODING SYSTEM

In preparation for categorizing and data analysis, a coding system was developed to allow for easy reference to the original transcripts.

Unitizing Each interview was initially coded with a random interview number to aid in the confidentiality and then identified by race and gender. Each interview was then read to identify individual units of information that represented separate complete thoughts. Each unit of each interview was marked and numbered in sequence. Copies of all interviews were then made. Original copies were saved in one binder while the second copies were cut and pasted on index cards with the individual coding placed on the upper right hand corner of each index card. Index cards were placed in card files under categories and subcategories.

How to Read the Codes

Interview = Int
 Race = B (Black), W (White)
 Gender = M (Male), F (Female)
 Unit Numbers = #n in sequential order beginning with 1

Example:

Int 1 WM #1 = Interview 1, White Male, unit number 1

Meeting transcripts, field notes and documents were reviewed as part of the triangulation process to confirm or to look for conflicting statements. These records were kept in separate binders and labeled Meeting Notes (M), Field Notes (F), and Documents (D).

APPENDIX E

GENERAL DECISION RULES

In-depth interviews are used as the base of development of all categories and subcategories.

Categories must be discrete. Differences among categories need to be bold and clear.

Subcategories must relate directly and specifically to the category yet be able to stand alone in meaning.

Data units do not have to be discrete and may be used in more than one subcategory.

Observations, meeting notes, written materials and board self assessment survey results are used to cross-check what is said and inferred from interviews checking for agreement and disagreement.

CATEGORY AND SUBCATEGORY DECISION RULES

SETTING AND CONTEXT: includes all demographic, background and environmental factors of the organization and its board.

Subcategories

Demographics: includes all that relates to size, age, race, gender distribution and other vital statistics of board members.

Time on Board: includes all reference to length of time spent on this Board.

Previous Knowledge of Organization: includes all references to previous knowledge of organization, Board members, and/or staff.

How Recruitment Occurred: includes all references to how and where Board members were asked to join the Board, and what was said.

Who Recruited Individual Board Member: includes all persons named as being involved with the Board members recruitment.

Motivation for Agreeing to Serve on Board: includes all

references to why Board member agreed.

Motivation for Serving: includes all references to why Board members continue to serve on the Board and the benefits they indicate in serving.

Board Member Attendance: includes all references to requirements, responsibilities and feelings about Board members attendance at meetings.

Location of Organization: includes all references to the physical sites(s) where the organization is located.

Time Constraints: includes all references to the problems board members express with regard to time issues related to being on the Board.

PROCESS/OPERATIONS: includes all references that relate to organizational and Board functioning.

Subcategories

Managerial Issues: includes all references to management of the organization, the Board and other references to management in general.

Programs/Work of Organization: includes all references to the programs the organization is currently engaged in as well as other work related issues for the organization.

Poor Board Management Examples: includes all references to instances and examples cited of poor Board management practices in this organization or other organizations.

Board Meetings: includes all general references to Board meetings.

Committee Meetings: includes all general references to the Committees of the Board.

Executive Committee: includes all references to the work of the Executive Committee and its meetings.

Nominating Committee: includes all references to the work of the Nominating Committee and its meetings excluding the quota system.

Long Range Planning Committee: includes all references to the work of the Long Range Planning Committee and its meetings.

Finance Committee: includes all references to the work of the Finance Committee and its meetings.

Agency Services Committee: includes all references to the work of the Agency Services Committee and its meetings.

Development Committee: includes all references to the work of the Committee and its meetings.

Funding: includes all references to all aspects of fund raising from community funders, individual donors, special events, government grants, foundations and requirements for contributions by Board members.

Planning: includes all references to overall planning, and long range planning issues and concerns for the organization and the Board.

Quota System: includes all references to the formal and informal quota system for Board recruitment of men and women and black and white members.

Decision Making: includes all references to how decisions are made for the organization on the Board and examples of the decision making process.

Policy Making: includes all references to how policy is developed for the organization and examples of current policies.

LINKAGES/RELATIONSHIPS: includes all references to interactions among and between Board members and staff and with other organizations and entities.

Subcategories

Board/Staff Relationships: includes all references to Board and staff interactions.

Socialization: includes all references to Board members socializing as well as wishes for more or less socialization of Board members.

Politics: includes all direct references to politics on the board and political situations between the Board and other organization excluding St. James.

Other Organizations: includes all references to other nonprofit organizations Board members have had knowledge of and involvement with excluding St. James.

PHILOSOPHY: includes all references to what Board members generally believe and understand that reflects their values by chiefly speculative means.

Subcategories

Mission of the Organization: includes all references to the current mission of the organization and concerns and suggestions for possible changes in the organizations mission.

Future of Organization: includes all references to speculation on what the future of this organization might be.

Philosophy of Boards (General): includes all references to general speculation of the purposes of boards.

Philosophy of Children: includes all references to beliefs about children and childhood.

Philosophy of Life: includes all references to quality of life issues that reflect beliefs and values.

Philosophy of How to Manage: includes all references to general speculation on how to manage an organization and people.

Commitment to the Organization: includes all references demonstrating individual Board members commitment to the organization.

Board Types: includes all references to speculation and suggestions as to types of individuals who should be put on the Board.

ORGANIZATIONAL ACTIVITIES AND EXPERIENCES: includes all references to specific organizational and Board situations, incidents, activities and events.

Subcategories

St. James's: includes all references to the St. James organization.

Least Important: includes all references to the question what is the least important thing the Board does.

Most Important: includes all references to the question what is the most important thing the Board does.

Business Contracts: includes all references to possible expansion of the organization through pursuing further business.

AIDS Policy: includes all references to the development of the AIDS policy.

Retreats and Institutes: includes all references to the Board retreats and past and current Board institutes.

Board Training: includes all references to formal Board training and other related comments that infer informal training.

Special Events: includes all general references to Board special events and specific references to actual special events conducted or planned or and by the Board excluding the Board retreats and the Board institute.

Uniqueness of Organization: includes all references or inferences to what makes the organization and its Board unique.

EVALUATIVE PERCEPTIONS: includes all references and inferences stated from the participants point of view as to what is occurring, what is the value of it and why, and what should occur and why.

Subcategories

Assessment of Board: includes all general references and inferences on the merit of the Board.

Responsibilities of Board: includes all references and inferences to responsibilities of the Board as a whole.

Assessment of Individual Board Members: includes all references and inferences on the worth of individual Board members.

Responsibilities of Individual Board Members: includes all references and inferences to specific responsibilities of individuals who sit on the Board.

Role of Board: includes all references and inferences to the formal and informal behaviors of the Board as a whole.

Role of the Individual Board Members: includes all references and inferences to expected and unexpected individual behavior of specific Board members above and beyond the role of the full Board.

Role of the Executive Director in Relation to the Board: includes all references and inferences as to the behavior patterns of the Executive Director as they relate to the Board.

Role of Chairman: includes all references and inferences as to the behavior of the current and past Board Chairpersons.

Role of Staff: includes all references and inferences as to the behavior of staff (other than the Executive Director) as it relates to the Board.

Does the Board Fulfill Its Role and Responsibilities?: includes all references to this direct question asked of all Board members.

Board Effectiveness: includes all references to defining Board effectiveness.

Is This Board Effective?: includes all references to this direct question asked of all Board members and inferences and examples from other comments made by Board members.

OTHER: includes those units of information that do not fit into the six major categories established.

Subcategories

Self Disclosure: includes all references to areas that the Board members express their feelings about that are not part of this research.

Observer Comments: includes specific OC that the interviewer made during the interviews that required follow-up.

Unrelated Units: includes all references to unrelated comments made during the interviews.

Frustrations: includes all references that relate to general frustrations of the persons interviewed.

APPENDIX F
PROFILES OF BOARD MEMBERS

The following profiles are based on interviews, observations, and organizational records.

Sunny Link (Int 1) approximately 48 years old, is a white male who is chief executive officer of a small engineering firm based in a suburban area adjacent to the city. He is a tall, slender quiet man who is very busy and actively involved with his business. Our interview took place in his office on January 15 at 10:30 a.m. He was interrupted by phone calls several times during our meeting. He had been asked to serve on this Board by a former Board member and personal friend and has just completed his first year on the Board. He and his family are active in church, another nonprofit organization that involves his children, and sailboating. He is rated as uninformed/committed by the Executive Director and the researcher

Dan March (Int 2) approximately 30 years old, is a white single, handsome businessman who heads up a successful regional office for a real estate development firm. His office is in a suburban area adjacent to the city where our interview meeting took place on January 30 at 8:00 a.m. He was invited to serve on the Board after meeting the Executive Director at a civic club meeting and has served on the Board for three years. Dan has a history of volunteering with young people, feels a strong commitment to

the organization and the Executive Director, and has left part of his estate in his will to the organization if he does not marry. He feels some guilt about not being able to attend sufficient meetings of the Board but is available by phone and willing to help when possible. He is rated uninformed/committed by the Executive Director and the researcher

Joe Witt (Int 3), approximately 50 years old, is a black businessman who was formerly a high level city government manager. He cancelled his first interview meeting with the researcher and was 45 minutes late for his second interview meeting. His office is located in the west end of the city where the interview meeting took place on January 12 at 10:45 a.m. When he saw the tape recorder, he said he would not be interviewed if the tape was used. He said he was asked to serve on the Board by an associate and friend almost three years ago and said although he was very busy and had to give up sitting on other "fancy" boards to accept this position, he did so because of his commitment to children. With further questioning it became apparent that he did not know the specific issues that faced this Board. He faults himself for not giving this Board enough time but speaks of his busy work schedule as a necessary first priority. He was sent a letter this year by the Nominating Committee chair asking him to assess his commitment to the organization and was called repeatedly by the Executive Director about his lack of involvement. He offered to

resign from the Board effective in February, but decided to rearrange his schedule to improve his participation. He is rated by the Executive Director and the researcher as uninformed/not committed.

Dick Harris (Int 4), approximately 47 years old, is a slim black male who is a former coach and is currently working for the federal government on a special project. Our interview meeting was held on February 13 at 9:00 a.m. in his office located on the east side of the city. He was asked to serve three years ago by a former Board member and friend who told him "we need talented go-getters on the Board." He took it upon himself to contact the Executive Director and set up an appointment to go to the agency for a visit before agreeing to serve. Dick is a soft spoken man who admires the Executive Director's skills and abilities and would like to emulate them himself. He chairs one of the Board committees and is rated uninformed/committed by both the Executive Director and the researcher.

June Bloom (Int 5), a 38-year-old, single, white female CPA works for a large accounting firm that has an office in the downtown area of the city where the interview meeting was held on December 19 at 9:30 a.m. She has served on the Board for one and a half years and joined the Board as a replacement for a Board member who left suddenly and felt compelled to replace herself. June is a quite, shy, thoughtful woman who appears to enjoy her Board role. She chairs a committee for the Board and is serious about the

responsibility. She has become much more involved with the committee because of its specific tasks. June is articulate yet says she is sometimes reluctant to ask questions at meetings for fear that other Board members will think her stupid. She is rated as informed/committed by the Executive Director and uninformed/committed by the researcher.

Jack Strong (Int 6) is a 34-year-old, articulate, very ambitious, attractive black male businessman who works in a large, prestigious securities company in the center of the city where our interview meeting was held on January 9 at 8:00 a.m. He is, by his definition, "on the fast track." He cannot recall who asked him to serve on the Board but remembers that the Executive Director followed-up with a phone call and additional information. He speaks of his commitment to the black family in general, but is clear that Southeastern City is not his home for the long term. His resume is filled with community activities which includes many other boards, and he said that this organization "fits" in his game-plan. He likes the fact that the Board is "well organized" and that the Executive Director and the Chairman do not "pull on him" for lots of extra work. The Executive Director and researcher rated him as uninformed/committed.

Candy Silver (Int 7) is a 32-year-old, energetic, outgoing, white woman who is a CPA in a large national firm that has an office in the downtown part of this city where our interview meeting was held on January 16 at 9:00 a.m. She joined the Board four months ago when she moved back

into the city from out of state. She was asked to join the Board by a colleague from work. She appears to be lonely and used this Board experience as a socializing situation. She says "the Executive Director is the motivating force" behind her involvement and that he has given her the opportunity to "showcase her people skills." She enjoys the Board and says "it's a privilege to be on the Board--I love it." She is rated by the Executive Director and the researcher as uninformed/committed.

Steve Penn (Int 8) is a 42-year-old training officer for the state-wide utility company. He has been on the Board for five years, is white, slight in build, and quiet, but articulate. We met for the interview on January 11 at 7:30 a.m. in his office, which is located in the suburbs. He seems to enjoy being on the Board and is caring about the agency. He appears to be task oriented and sees himself as a low power person opposed to others on the Board who have power and influence. "I'm not in a position to call the chairman of my company and ask for support for [Children's Association]." He is rated by the Executive Director and the researcher as informed/not committed.

Pat White (Int 9) is a 43-year-old black woman who works for the city government as a low level accountant. Our interview meeting was held on December 18 at 9:30 a.m. in the coffee shop of the office building in which she works. She has been on the Board for one year and sees other Board members as very knowledgeable and powerful. She

expresses some kind of personal disappointment in not being further along in her career but is a kind, caring woman who sees herself spending a lot of time listening at Board meetings. She has never served on a Board before, enjoys the experience and is grateful to have been asked. She feels concerned that the Executive Director may be overworked. She is rated by the Executive Director as informed/committed and by the researcher as uninformed/committed.

Jean Gold (Int 10) is a 35-year-old black woman who has been on the Board for almost six years. (She rotates off the Board in April.) Our interview meeting was scheduled at her office in the suburbs on January 5 at 10:00 a.m. She arrived at the meeting 45 minutes late, having cancelled a previously scheduled meeting. She is a high energy, very successful businesswoman who works in sales, has recently married and given birth. It appears that her commitment to the organization has waned (if it was ever strong) and she is ready to get off the Board. She has been on many boards and was president of several but now seems to want to prioritize her work and family matters. The Executive Director and the researcher rate this Board member as informed/not committed.

Bob Simon (Int 11) is an attractive, 45-year-old black male who is a former sports figure and now works for the city in a highly visible job. Our interview meeting took place in his office on February 1 at 10:00 a.m. He has

served on the Board for only one year and has been remiss in attending Board and committee meetings. He recognizes this as a problem but excuses himself, saying he is a very busy person and does not have the flexibility that some Board members have who are in business for themselves. He has been asked to examine his lack of attendance at Board meetings. He feels that considerations should be made for people like him who can bring other benefits to the organization. He is very knowledgeable about the role and responsibilities of nonprofit Board members in general, but does not have the inclination to do those things for this organization. He said he was asked to be on the Board because the Board needed a greater black male presence which he said was previously lacking. He has the right answers in many cases but the wrong facts. He resigned from the Board effective at the April Board meeting. He was rated as uninformed/not committed by the Executive Director and the researcher.

Mary Stuart (Int 12) is a young, single, attractive 30-year-old white woman who has just completed her first year on the Board. Our interview meeting was held on January 11 at 2:00 p.m. in her office at a large downtown teaching hospital where she works as a personnel officer. She was new to the community when she was asked to serve on the Board. She agreed to become a member because she felt it was a good way to meet different kinds of people. She is impressed with the structure of the organization and the

Executive Director, but does not have a deep commitment toward children or the organization per se. She says she is proud to be involved and "probably wouldn't have contact with black leaders in the community" if she were not on this Board. She is willing to complete tasks assigned to her and sees herself as just getting started on the Board. The Executive Director and the researcher both rate her as uninformed/committed.

Sue Cole (Int 13), a serious minded, soft-spoken, 45-year-old married white woman, is a CPA who works in the tax department of a large regional bank. Our interview meeting was on December 13 at 3:00 p.m. in her office. This is her first Board experience and she is just completing her first year on the Board. Her youngest child has recently entered college and she now feels as though she has time for volunteer activities. She says "there is no real need for a strong Board because fortunately we have a very strong Executive Director." She sees the Board's role as providing support and guidance to the Executive Director and feels good about being on a Board that can help to solve problems for the organization. The Executive Director and the researcher both rate her as uninformed/committed.

Jim Cohen (Int 14), a tall, thin, well-dressed, black male who is 40 years old, is an outgoing salesman who owns his own real estate business. Our interview meeting took place in his office on the north side of the city at 4:00 p.m. on January 17. He has been on several major boards in

this city and chairs the Finance Committee for this organization, although he does not have a strong background in budget or finance. He seems genuinely committed to children and helping and sees this Board as enabling him to do something for kids. The Executive Director and the researcher rate him as informed/committed.

John Star (Int 15) is the immediate past president of the Board of this organization. He is a handsome 40-year-old black male who has a successful law practice, is married and has young children. He has been on this Board for nine years and is committed to the organization, its mission and the community it serves; and most importantly, he is committed to helping young people. He is a visionary thinker and can articulate that vision as well as work on necessary tasks. He serves on many prestigious boards in the community but relates that he particularly loves this organization because "it is the laboratory." He says this organization makes a difference that one can see immediately. This interview meeting, held on January 25 at 10:00 a.m., took place at his law offices located in the inner city. The Executive Director and the researcher rate him as informed/committed.

Barbara Jones (Int 16) is a perky, bright 35-year-old, married black woman who works in personnel services for the state-wide utility company and enjoys being on this Board very much. She has served on the Board for one year and on other boards and United Way committees. Our interview

meeting was held at her office on January 4 at 9:00 a.m. She is an articulate, outspoken Board member who brings ideas and a "willingness to follow-up" on the Committee and Board meetings. She likes the orderliness of meetings and the "professionalism of the agency." Although she is impressed with the Executive Director's abilities, she questions why he serves on the Board and is one of its officers. She believes the structure is unusual and sees the Executive Director as being accountable for the day-to-day activities and the Board maintaining a high level of objectivity. Both the Executive Director and the researcher rated this woman as between the ranges uninformed/committed and informed/committed as she is new to the Board and committed.

Bill Brown (Int 17) is a 45-year-old short, heavy set, white male who has a lot of nervous energy as well as a commitment to the organization. He has not previously served on nonprofit boards of directors but has been on this Board for four years and chairs its Development Committee. He works as the marketing person for a locally based national corporation. He speaks to the Executive Director at least once or twice each week and is considered part of an inner circle of decision makers for the organization. During the interview meeting, which was held at his office on January 3 at 9:00 a.m., he complained about other Board members a great deal and said "the same people do all the work." He does not believe the Board is effective and said,

"there is the wrong mix of people on the Board." He may believe this because he chaired an event for the Board last year that did not have Board participation and he is angry and embarrassed about it. He does a lot of work for the organization individually and has helped the organization develop brochures and other marketing tools. His boss, the president of the company for which he works, is also a member of this Board, which he mentions often. The Executive Director and the researcher rate him between the ranges of uninformed/committed and informed/committed.

Rose Green (Int 18) is a bright, attractive 35-year-old white female who previously worked in commercial real estate and is now a full-time homemaker with young children. She has served on the Board for four years and enjoys the time, stimulation and energy she gives and gets from the organization. She has not been a member of a nonprofit Board before and feels that the committee structure is a bit cumbersome. She says, "it takes a lot of time to be a Board member of this organization, but I still feel it's a very worthwhile organization and I enjoy the people I meet." The interview was held at her home on January 29 at 1:00 p.m. after she had forgotten about the first scheduled meeting the previous week. She is rated informed/not committed by the Executive Director and the researcher rates her between the ranges of uninformed/committed and informed/committed.

David Green (Int 19) is a heavy set, quiet, thoughtful 49-year-old white male who has been on the Board for seven

years. Our interview meeting was held in his office in the suburbs of the city on January 10 at 10:00 a.m. He owns a large successful business based out of this city, serves on many boards in the city, and is well known for his philanthropic behavior on this Board and elsewhere. He sees himself as one of the "old-timers" on the Board and at times reflects on the good old days when the Board had "just plain volunteers." He knows and respects the Executive Director, who at one time did a personal favor for him. David expresses some guilt feelings about not being able to attend many Board meetings this year but then goes on to suggest that there may be too many meetings. He also suggests that the mission of the organization may have changed, giving the organization a higher profile and more sophisticated Board members. These Board members want to see growth and are focused on fundraising. He uses the term "old school vs. new school" and says, "I'm not sure which is best for the organization." David is rated uninformed/committed by the Executive Director and the researcher.

Pete Smith (Int 20) is a 60-year-old white male, heavy set with a slow Southern drawl. He says he has "been on the Board forever," but it is actually five years. He is very active and committed to the organization and has the best overall attendance record at meetings, excluding the Chairman and the Executive Director. He is generally a no nonsense, outspoken person at meetings and asks the difficult questions. He has a political background as an

elected official in a suburban county at one time and now works as a real estate salesperson. Our interview meeting took place in a conference room of his downtown office on December 18 at 2:00 p.m. He is a great advocate of the Executive Director and the organization and expresses pride in the accomplishments of both. He speaks with the Executive Director fairly often and offers advice on many matters. The Executive Director and the researcher rate him as informed/committed.

Karen Black (Int 21) is an attractive, energetic 29-year-old, single black female attorney who works in the city for a large law firm where our interview meeting was held on December 12 at 8:00 a.m. She has been on the Board for one year and has previously served on many community nonprofit boards as well as United Way committees. She is an outgoing, articulate person who sees community volunteering as part of her civic responsibility. She sees her individual responsibility on the Board tied to her professional work and expects to be asked to counsel on legal matters for the organization. She likes the mix of people on the Board and thinks the Executive Director is doing a fine job in the day-to-day management of the organization. The Executive Director and the researcher rate her as between the ranges uninformed/committed and informed/committed.

Peggy Snow (Int 22) is a friendly, articulate 40-year-old black woman who is one of the two parent representatives

on the Board. She has been on the Board for three years and serves on other parent groups also. She works as a secretary for a medical insurance company that has a regional office in the city. Our interview meeting was held on January 10 at 1:00 p.m. in the lobby of the building where she works. She requested no taping of the interview because she did not want to draw any attention to us as we sat talking. She has great understanding for the problems of single parents and the needs of the agency. She feels uncomfortable speaking up in the Board meetings, but less so at Committee meetings. She feels the Board should be more aware of what goes on in the organization and should pose more questions. The Executive Director and the researcher rate her as uninformed/committed.

Steve King (Int 23) has been the Executive Director of the agency for the past 20 years. He is 49 years old, slender, of medium height, always well-dressed and professional looking, and is divorced with two grown children. His outward appearance is calm and collected, but he does have a great deal of nervous energy. By his own admission, he is a private person who likes things neat and orderly. He is a demanding manager who believes in fairness as a guiding principle. He is nurturing with the Board, spends much time and energy communicating with them and is excellent on follow-up. He is on several outside government, nonprofit and corporate boards in the metropolitan area and is stimulated by and enjoys these

activities. He likes his work, is proud of his accomplishments, but recognizes that he will "not remain in this position for the next 20 years." He provides information and makes recommendations to the Board in all matters and sees his role as enabling the Board to make good choices. The researcher rates him as informed/committed.

Tom Mays (Int 24) is the Chairman of the Board, having served on the Board for five years. He is a quiet, soft spoken, white, male attorney who prepared himself for this role and enjoys the time and efforts he puts into it. He says on an average week he spends 4-6 hours on Board matters, but on "troubled weeks" it is double that. He has given up all other volunteer activities while serving as Chairman for this organization. He is married with young children and lives in the suburbs with his law offices in the downtown area. He thinks the Executive Director is very capable and enjoys working with him.* Tom has initiated changes in the Board based on other boards that he has been involved with and pushes his ideas in quiet ways. He does not like confrontation and will avoid it on the Board whenever possible. Both the Executive Director and the researcher rate him as informed/committed

Joan River (Int 25) is a 35-year-old, attractive black woman who is an attorney in a prestigious law firm in the city. She is also involved in state politics and is very political herself. She refused to be interviewed if a tape recorder is used. When she was asked to be on this Board

four years ago, she was told she could become the first woman chair of the organization and "get your picture on the wall." She is involved in many nonprofit organizations and serves as an officer on boards of black, women's and arts' causes. She drops the names of many prominent area leaders and politicians whom she has met and is friendly with as a result of other Board activities. She discusses the excitement of the arts organization of which she is a Board member (the researcher had to keep bringing her back to the organization being studied). It would appear that her involvement in this organization was motivated by a friend asking her to serve, but it never developed into a strong personal commitment. The Executive Director rates her uninformed/uncommitted and the researcher rates her as informed/committed.

Ruth Mann (Int 26) is a 50-year-old, heavy set black woman who is a parent representative on the Board. She lives in the public housing projects and likes dealing with community issues. She knows the organization from many perspectives as her children have been involved in social groups and counseling. She said she does not speak a lot at Board meetings because she has no teeth and feels strange about it. She thinks the organization is wonderful, particularly the social work staff and feels as though the facility is an extension of her home. She is rated by the Executive Director and the researcher as uninformed/committed.

Bob Neil (Int 27) is a 40-year-old quiet, thoughtful white male psychologist of medium height and build. He has been involved with several other nonprofit organizations, but this is the first nonprofit Board he has served on. He has been on this Board for five years and thinks the Board should take the long range view and leave the day-to-day management to the Executive Director. He likes the professionalism of the staff and sees himself as a technical expert on children. He is willing to provide his expertise when asked, but does not wish to take a leadership role on the Board. The Executive Director and the researcher rate this Board member as informed/committed.

ORGANIZATIONAL TYPOLOGY FOR ASSESSING BOARD PERFORMANCE

	Organizational Anarchy	Mechanistic	Humanistic	Political	Resource Dependent
<u>Views of Organization</u>					
Whose goal is the organization trying to satisfy?	Individuals	Board of trustees	Board and management in consultation	Dominant interest group(s)	Critical resource suppliers
<u>Definitions of Performance</u>					
Intended outcomes	Individual satisfaction	Achieving board goals	Achieving goals negotiated with management	Satisfying dominant interest groups	Acquire sufficient resources
Key question	Am I satisfied as a trustee?	Have board's goals been attained?	Have organization's goals been attained?	Are the dominant groups satisfied?	Are our resources sufficient?

APPENDIX G

Source: Chait & Taylor, 1987

ORGANIZATIONAL TYPOLOGY FOR ASSESSING BOARD PERFORMANCE
(continued)

	Organizational Anarchy	Mechanistic	Humanistic	Political	Resource Dependent
<u>Methods of Evaluation</u>					
Approaches	Informal self- assessment	Formal board review	Management by objectives/goal attainment	Surveying satisfaction of dominant interest group(s)	Monitor trends in resource acquisition
Judges	Individual trustees	Board of trustees	Board and management	Dominant interest group(s)	Critical resource suppliers
Framework	Professional judgment	Congruence	Congruence	Professional judgment	Measurement
<u>Dominant Board Role</u>	Affiliate	Owner	Monitor	Partisan	Intermediary
<u>Constraints on Board</u>	Substantial	Few	Few	Substantial	Substantial