

“Exploring the Dimensions of Organizational Capacity for Local Social Service Delivery
Organizations Using a Multi-Method Approach”

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ABSTRACT

Organizational capacity is a concept that has garnered increased attention from the public and nonprofit management literature in recent years. Capacity, broadly defined as the ability of an organization to fulfill its goals, has been of particular focus of scholars interested in understanding the variables that impact organizational performance. Despite the increased focus on organizational capacity in the literature, the concept remains vague. Given the fuzziness of the concept of capacity, there is much opportunity to contribute to the field’s knowledge and measurement of the concept. This dissertation adds depth to the capacity literature in public and nonprofit management by identifying, describing and measuring the different dimensions of capacity relevant to local social service delivery organizations. Utilizing a two-phase sequential mixed method design including both interview and survey data, the findings suggest that organizational capacity consists of a number organizational resources and capabilities that impact the functioning of the internal organization as well as its relationships with other relevant organizations and external stakeholders. In particular, six dimensions of capacity were identified: human resource, financial resource, information technology, knowledge, stakeholder commitment, and collaborative. The survey results indicate that the six dimensions are connected to the theoretical construct of organizational capacity. However, results from the discriminant validity tests of the six subscales are mixed. This finding implies that these dimensions represent broad constructs that impact the other dimensions directly. This finding also highlights the challenge of defining and measuring discreetly the specific dimensions of capacity. Future research should examine these discrepancies in order to further disentangle capacity as a theoretical construct.

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DEDICATION

To those who came before me and set the foundation that allowed me to be here today, especially

My parents:
Ron and Marisa Kolar

And my grandparents:
George and Jane Kolar
Leroy and Wanda Hall

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“Commit thy way unto the Lord; trust also in him; and he shall bring it to pass.” Psalm 37:5

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CHAPTER 1: INTRODUCTION

Organizational capacity is a concept that has garnered increased attention from the public and nonprofit management literature over the last several years. Capacity, broadly defined as the ability of an organization to fulfill its goals, has been of particular focus of scholars interested in understanding the variables that impact organizational performance (Honadle 1981; Eisinger 2002; Ingraham, Joyce et al. 2003; Christensen and Gazley 2008). In addition, issues of organizational capacity have been of interest to outside funders, including the philanthropic community, who are increasingly focused on investing in capacity-building efforts for organizations providing a host of public services.

Despite the increased focus on organizational capacity in the literature, the concept remains vague. Scholars have defined capacity so broadly that it is not surprising that it continues to be an elusive concept in both the public and nonprofit literature. For example, Gargan (1980, 652) defines it as the ability of an organization “to do what it wants to do”, and Eisinger (2002, 117) states that it is “a set of attributes that help or enable an organization to fulfill its missions”. Moreover, though organizational capacity is cited frequently as an important variable in organizational analysis, scholars have defined the concept and its dimensions differently. For example, some define it in terms of resources, while others define capacity in terms of organizational performance. This lack of precision around the concept has been noted by a number of scholars (Gargan 1981; Honadle 1981; Christensen and Gazley 2008). In their recent article, Christensen and Gazley (2008, 266) note that “much of the difficulty in defining organizational capacity rests in its multiple qualities, as both an input and a throughput, a resource and a process.” To add more complexity to understanding organizational capacity, it

may also be context specific. For example, what constitutes capacity in a federal agency may differ in certain aspects from what constitutes capacity in local nonprofit organization. This “context matters” argument points to the importance of scholarship that examines capacity within particular policy and organizational fields.

Although there are considerable challenges associated with understanding capacity as a theoretical construct, it is important to examine capacity for a number of reasons. From a *theoretical* perspective, fleshing out what organizational capacity means will contribute and build upon the existing organization theory literature. Furthermore, opening the black box of capacity will be useful in connecting with other important theoretical concepts about how organizations work. For example, understanding how organizational capacity can influence organizational outputs in particular contexts will assist scholars in examining the internal characteristics of organizations in greater depth. From a *practice* perspective, a study about organizational capacity can help organizations to understand what practitioners mean by capacity. Also, it can assist organizations to better target and reallocate resources to dimensions in need. For funding entities interested in capacity-building, including federal and state agencies as well as private foundations, understanding the dimensions of capacity and the dynamics between the dimensions can help them to determine how they can best invest in organizational capacity-building efforts. From an *empirical* perspective, studying capacity can aid in developing measurement scales of organizational capacity in a number of organizational contexts. Presently, there are few measurement scales of capacity. This dissertation contributes to the existing knowledge base on capacity by identifying, describing and measuring the dimensions of capacity for local public and nonprofit organizations delivering social services.

Research Context

This dissertation examines capacity within local social service delivery organizations. I chose to focus on local social service delivery organizations for a couple of reasons. First, there are few studies that look specifically at organizational capacity at the local service delivery level, including both local government agencies as well as nonprofit organizations that deliver services. Second, from a policy implementation perspective, it is important to understand the capacity issues of these “street-level” organizations responsible for delivering public services. It is important to note that my research and analysis is limited to social service delivery organizations operating at the local level. As mentioned above, organizational capacity is context-specific, meaning that capacity components vary depending on the particular policy and organizational domains. Though this research may have implications for other types of organizations, my focus is on empirically examining organization capacity within these social service organizations.

In addition, another important contextual element in this research is that the organizations that were part of the study were in the middle of implementing a number of reforms within their organizations. The data for this dissertation comes from a larger study funded by the John and Catherine MacArthur Foundation to analyze systems change reform efforts (Appendix A provides an overview of the larger study). Though this study does not ask direct questions linking the concept of capacity with reform, it is important to understand that the study was conducted with organizations that have been implementing large-scale change over the last five to ten years. The broader discussion about the implications of this will be fleshed out in Chapter Six.

Research Approach

In an effort to develop and empirically examine the dimensions of organizational capacity, I chose a two-phase sequential mixed methods approach by exploring participant views about organizational capacity, and then using this information to develop and test an instrument across a broader sample. The first phase was a qualitative exploration of participant views on organizational capacity by collecting interview data from organizations delivering services to youth involved in the juvenile justice system in four states. Findings from the qualitative phase were then used to develop and test a survey instrument. The reason for collecting qualitative data initially is that scholarship conceptualizing the distinct elements of capacity has not been fully fleshed out in either the management or the nonprofit literature. Additionally, I chose a mixed method approach to inquiry because I wanted to explore capacity qualitatively as well as quantitatively in order to obtain richer data that would enhance my analysis. A detailed description of the research design and methods used in this study are presented in Chapter Four.

Research Questions

Given the two phase mixed methods approach of this study, I developed research questions that address each phase of the study as well as a research question that addresses the mix of both the qualitative and quantitative strands of this study. Hence, the guiding research questions for this study are:

Table 1: Research Questions	
Phase 1 qualitative research question	How do local service providers in the field of juvenile justice describe the resources and capabilities (or lack thereof) that facilitate and/or inhibit their capacity to deliver services to justice-involved youth?

Phase 2 Quantitative research question	Are the six dimensions of capacity supported or contradicted by the survey results?
Mixed Methods research question	In what ways do participant views about the six dimensions of capacity from interviews and from standardized instrument converge or diverge?

Structure of Remaining Chapters

Chapter Two reviews the pertinent and substantial literature relevant to this dissertation. The chapter is divided into two sections. The first section focuses on the literature on organizational capacity both in terms of defining and describing the concept of organizational capacity as well as literature focused on specific types of capacity relevant to public and nonprofit organizations. The second section emphasizes literature describing the research context for this study: the juvenile justice system. The literature in this section provides an historical as well as inter-governmental perspective to the Juvenile Justice System in the United States.

Chapter Three describes the methods utilized in this study. This chapter includes a discussion on the mixed method approach to inquiry as well as a detailed description of the research design for both phases of the study. The qualitative phase explanation of research methods includes a number of topics, including: interview data collection processes and procedures, data analysis processes, and a discussion of validity of the findings. The quantitative phase explanation of research methods includes a number of topics, including: the instrument development process, sample for the survey, data collection processes, and data analysis techniques. The chapter concludes with a discussion of the limitations of the study.

Chapters Four and Five describe the results from the study. Chapter Four presents the findings from the first qualitative phase of the study. In particular, this chapter identifies and

distinguishes six dimensions of organizational capacity that emerged from the interview data.

Chapter Five presents the results of the survey data analysis at two distinct levels: the item level and scale level. This chapter also distinguishes the how the survey data support and do not support the qualitative findings.

Chapter Six provides a summary of research findings through answering the three research questions of the study. In addition, this chapter discusses how this dissertation contributes to the existing literature on organizational capacity, both in terms of how it complements existing scholarship and how it departs and adds to current thinking on organizational capacity. The chapter concludes by identifying a number of avenues for future research.

CHAPTER 2: LITERATURE REVIEW

The literature review chapter examines the literature relevant to this study on organizational capacity in public and nonprofit organizations in the juvenile justice policy field. The first two sections of this chapter analyze the capacity literature as applied to public and nonprofit organizations. The third section provides an overview of the juvenile justice system with particular focus on its historical and intergovernmental context. The purpose of this section was to examine scholarship, which will help in understanding the social service delivery context in which this research on capacity takes place.

Literature Review: Organizational Capacity

The first part of this literature review seeks to organize and categorize the substantial scholarship on organizational capacity from the public, nonprofit, and strategic management literature in an effort to better understand how it has been treated in the literature thus far. The literature review begins by defining organizational capacity from three different perspectives prevalent in the literature: capacity as resources, capacity as organizational capabilities and capacity as organizational outcomes. The second part of this literature review focuses on identifying the different types of organizational capacity that are found in the literature, including organizational infrastructure capacity, management capacity, knowledge and learning capacity, and collaborative capacity.

Definitions of Organizational Capacity

A number of scholars have sought to define organizational capacity. Yu-Lee (2002) defines it as the “ability to perform work” (1), and (Austin 1994) refers to it as “those abilities that enable actors to achieve specified objectives” (17). Gargan (1980) defines it as the ability of

an organization “to do what it wants to do”. Eisinger (2002) links organizational capacity with organizational effectiveness by defining capacity as “a set of attributes that help or enable an organization to fulfill its missions” (117). Ingraham, Joyce et al. (2003) argue that capacity in government is concerned with “the extent to which a government has the right resources in the right place at the right time” (15).

As these definitions demonstrate, scholars have defined organizational capacity very broadly. Because of the vague nature of the scholarly definitions of organizational capacity, it is not surprising that it continues to be an elusive concept in both the public and nonprofit literature. Though organizational capacity is cited frequently as an important variable in organizational analysis, scholars have defined the concept and its dimensions differently. At this point, there is no consensus in the literature about what constitutes organizational capacity. This lack of precision around the concept has been noted by a number of scholars (for an example, see Gargan, 1980). In particular, Christensen and Gazley’s (2008, 266) recent article analyzing the different meanings of capacity in public administration scholarship makes the point that the lack of precision around the concept of capacity stems partly from its multiple definition as an organizational “input, resource, throughput and output”.

Because the concept of capacity includes a variety of ideas, I wanted to capture the breadth of understanding how capacity has been defined. Through my reading of the literature, I was able to categorize different approaches scholars have used to define capacity from three specific perspectives: as resources, capabilities and outcomes. Table Two outlines each of these perspectives. An examination of scholarship representative of these three perspectives is detailed below.

Table 2: Approaches to Defining Organizational Capacity

<i>Capacity Conceptualizations</i>	Resources	Capabilities	Competencies
<i>Key Definitions and Ideas</i>	<ul style="list-style-type: none"> • Capacity is understood as inputs into an organization's production process that result in the basic ability of an organization to do its work. • Attracting resources from the environment (including human, financial, technical, knowledge resources) • Resources can be characterized as both tangible and intangible 	<ul style="list-style-type: none"> • Capacity is understood as the ability of organizations to absorb and mobilize resources in specific ways that produce an organizational capability. • Basic "know how" of the organization • transforms resources into organizational output • Understood in public management literature as "management capacity". 	<ul style="list-style-type: none"> • Capacity is understood as those organizational resources and capabilities that are related to organizational effectiveness. • Scholars have emphasized realized effectiveness as well as potential effectiveness • Output-based understanding of capacity; the assumption is that organizations can assess their capacity by looking at what organizational attributes positively impact organizational performance.
<i>Illustrative Work</i>	(Honadle 1981; Wernerfelt 1984; Barney 1991; Frederickson and London 2000; Ingraham, Joyce et al. 2003; Christensen and Gazley 2008)	(Honadle 1981; Teece, Pisano et al. 1997; Ingraham, Joyce et al. 2003; Helfat, Finkelstein et al. 2007; Harvey, Skelcher et al. 2010)	(Ingraham, Joyce et al. 2003; Bryson 2004; Sowa, Selden et al. 2004; Laurence J. O'Toole and Meier 2010)

Capacity as Organizational Resources

If organizational capacity is generally understood as the ability of an organization to fulfill its mission then the capacity of an organization to obtain resources is a significant component to their capacity. A number of scholars have stressed the importance of acquiring adequate resources from the environment to increase an organization's capacity to do their work. In particular, open system organizational theories point to the significance of being able to attract and obtain a variety of resources from the environment in order to survive as an organization.

In addition, the strategic management literature addresses the key role that resources play in organizational life. In fact, some scholars have defined organizations as simply "unique bundles of resources" (Wernerfelt 1984). Others see resources as the inputs into an organization's production process (Honadle 1981; Ingraham, Joyce et al. 2003; Helfat, Finkelstein et al. 2007; Christensen and Gazley 2008). For example, Helfat et al. (2007, 999) states that resources are "an asset or input to production that an organization owns, controls or has access to on a semi-permanent basis."

A number of scholars have distinguished between tangible and intangible resources (Burgess 1975; Wernerfelt 1984). Tangible resources include financial, physical, technological, and informational resources, which are identified and quantified "inputs" into an organization. For example, amount of agency funding, physical facilities and technical information systems are representative of tangible resources available to organizations. These types of resources are frequently used as capacity variables in quantitative studies because they are easily measurable (Graddy and Chen 2006). Intangible resources include those resources that are not easily discretely measured, including organizational reputation, employee experience and knowledge, managerial skills, and trust. Strategic management scholars argue that both tangible and

intangible resources are the key to understanding an organization's competitive advantage (Wernerfelt 1984; Barney 1991).

In particular, the resource-based view of the organization (RBV) uses an economic logic to understand which types of resources will produce a sustained competitive advantage for an organization. RBV argues that resources that are valuable, rare, not easily imitated, and not substitutable will give an organization sustained competitive advantage. In sum, the resource-based approach to understanding an organization's capacity views resources as the critical indicator of capacity. This "capacity as resources" view is arguably the most accepted definition of capacity in the public and nonprofit literature because when an organization does not have the resources to meet the needs of the population, the organization is considered not only under-resourced, but also lacking basic capacity to meet policy and organizational goals.

Capacity as Organizational Capabilities

A number of organizational scholars see organizational capacity as the ability to absorb and manage resources effectively (Honadle 1981; Teece, Pisano et al. 1997; Ingraham, Joyce et al. 2003). This perspective asserts that the basic "know how" of the organization constitutes its capacity. Though these scholars assert the importance of attracting resources, they argue that resources alone are an insufficient measure of an organization's capacity. They argue that the organization must also have the ability to utilize those resources in ways that can contribute positively to the performance of the organization. For example, Dess et al. (2007) defines organizational capabilities as "competencies or skills that a firm employs to transform inputs to outputs and capacity to combine tangible and intangible resources to attain desired ends." Similarly, Helfat et al. (2007, 999) asserts that a capability is "the ability of an organization to

perform a coordinated set of tasks, utilizing organizational resources, for the purpose of achieving a particular end result.” Harvey et.al (2010, 83) states that capabilities “emphasize the key role of strategic management in adapting, integrating and reconfiguring internal and external skills, resources, and functional competencies to match requirements with the changing environment.”

This perspective on organizational capabilities can be understood as looking at the organization as a black box where inputs are transformed into outputs. In the public administration literature, the black box is usually understood by scholars as simply “management capacity”(Ingraham, Joyce et al. 2003). The ways in which the production function of the organizations works involve a variety of organizational capabilities that transforms resources into organizational output. For example, an organization’s technical and information data system is a tangible resource that organizations use, however how the data system is utilized to positively impact the organization’s output includes a number of other resources including the ability of staff to utilize the system, technical training the organization provides, how management analyzes the data to impact organizational decision-making. From the organizational capability perspective, the organization’s technical data system capacity is a function of a number of interacting resources that put together comprises an organizational capability. The resources alone do not constitute capacity; capacity is understood as the ability of organizations to absorb and mobilize resources in specific ways that produce an organizational capability.

Capacity as Organizational Competencies

A third perspective, capacity as competencies, is popular among those scholars who link capacity with organizational performance by defining capacity as the ability to achieve goals or

solve problems. For example, McPhee and Bar (2001) defines capacity as the “the ability of organizations to fulfill their missions in an effective manner”. This perspective understands capacity as those organizational resources and capabilities that are related to organizational effectiveness. Essentially, it is output-based understanding of capacity; the assumption is that organizations can assess their capacity by looking at what organizational attributes positively impact organizational performance.

This retrospective focus assumes that resources and capabilities are part of the capacity puzzle, but that to understand an organization’s capacity, one has to determine which resources and capabilities result in organizational effectiveness. As Bryson (2004, 126) states:

“A competency is a capability, set of actions, or strategy that helps an organizational perform well on its key success factors. Alternatively, a competency may be thought of as the resources (broadly construed) on which the organization can easily draw to perform well on its key success factors. In other words, an organization may have a competency, but if it does not help the organization do well on a key success factor, it is not much of a competency.”

Other scholars have sought to make a less concrete linkage between capacity and organizational outcomes by arguing that capacity is a measure of *potential* effectiveness (Ingraham, Joyce et al. 2003; Sowa, Selden et al. 2004; Laurence J. O'Toole and Meier 2010). For example, Horton et al. (2003), refers to organizational capacity as “an organization’s potential to achieve its mission and objectives based on the extent to which it has certain attributes that have been identified as critical to goal achievement.” O’Toole and Meier (2010, 344) conceptualize capacity as “what could be mobilized if needed....capacity is potential for

action, not action-in place”. Sowa et al. (2004) conceptualizes capacity as both operating processes and structures that guide staff action. They argue that capacity helps to enable organizational outcomes and states “that outcomes alone become the indicators of choice for representing organizational effectiveness. Yet, hidden behind those outcome measurements are complex and diverse dynamics that may vary across and within organizations and programs.” This perspective on capacity is focused on understanding how and in what ways structures, operating processes, and managers may impact organizational effectiveness.

Types of Organizational Capacity

Regardless of how scholars define organizational capacity, they can all agree that it is multi-dimensional in nature. There are a number of organizational characteristics that make up an organization’s capacity. Often, these characteristics represent a functional differentiation of a number of resources and capabilities. Scholars have identified a number of capacity frameworks that include many categories (Frederickson and London 2000; Eisinger 2002; Ingraham, Joyce et al. 2003). In my analysis of the literature, I sought to identify and conceptualize the common characteristics of the many capacity categories described in the extensive literature. Table Three below provides an overview of the four broad categories of organizational capacity that are detailed in the literature and described in this section of the literature review.

Table 3: Categories of Organizational Capacity Summary Table			
Capacity Dimensions	Definition	Components	Illustrative Studies
Infrastructure	An organization's administrative and operational capacity	Basic management systems, including: <ul style="list-style-type: none"> • Human resource systems including employee recruitment • Information management systems including computer, software and data capabilities • Financial management systems including budgeting process and financial accountability processes • Property management systems including maintenance of buildings and facilities 	(Burgess 1975; Frederickson and London 2000; Eisinger 2002; Ingraham, Joyce et al. 2003)
Management	Ability of an organization's management to effectively utilize the infrastructural capacity and available organizational resources to achieve organizational goals.	<ul style="list-style-type: none"> • Management focused on leadership that provides vision and acts as an integrator of management systems • Managers as strategic actors identifying and implementing dynamic capabilities that result in improved organizational performance. 	(Moore 1994; Teece, Pisano et al. 1997; Eisenhardt and Martin 2000; Ingraham, Joyce et al. 2003; Bryson, Ackermann et al. 2007; Helfat, Finkelstein et al. 2007; Pablo, Reay et al. 2007; Newey and Zahra 2009; Andrews and Boyne 2010; Krueatsep, Riccucci et al. 2010; Laurence J. O'Toole and Meier 2010)

Knowledge and Learning	the ability for organizations to learn to “do things differently” and to embed those new policies and practices within existing organizational processes	<ul style="list-style-type: none"> • Adaptive capacity: the ability of organizations to learn and respond to changing environments as impacted by managerial commitment to learning, systems perspective, openness to experimentation and extent to which knowledge is absorbed and integrated within the organization • Absorptive capacity: organizational routines and processes, by which organizations develop, assimilate and apply new knowledge. Main processes include knowledge acquisition, assimilation and codification. • Organizational knowing practice: capability is enacted everyday through practice. Key variables include daily experience and past relationships. 	(Cohen and Levinthal 1990; Huber 1991; Lane and Lubatkin 1998; Van den Bosch, Volberda et al. 1999; Orlikowski 2002; Zahra and George 2002; Zollo and Winter 2002; Jerez-Gomez, Cespedes-Lorente et al. 2005; LANE, KOKA et al. 2006; Harvey, Skelcher et al. 2010)
Collaboration	ability of organizations to promote effective collaboration that will sustain efforts and support	<ul style="list-style-type: none"> • Access to increased financial resources • Access to increased nonfinancial resources • Achieve reputation 	(Sandfort 1999; Hardy, Phillips et al. 2003; Arya and Lin 2007; Sandfort and Milward 2008; Sowa 2008; Sowa

	enhanced organizational performance	gains by increasing organizational credibility and legitimacy	2009)
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Organizational Infrastructure

If organizational capacity is understood broadly as the ability of organizations to perform the tasks required to effectively achieve organizational goals, organizational infrastructure is a key element to establishing capacity. This element of capacity is often conceptualized as an organization's administrative and operational capacity. For example, (Burgess 1975) terms this type of capacity as resource management and defines it as the "capacity to carry out administrative and organizational support functions...which constitute an organization's basic capabilities and bottom line assets" (707). He identifies four different types of resource capacity which includes personnel, including employee recruitment and human resources management more generally; property management which includes maintenance of buildings and facilities; information management which include all computer and information systems; and financial capacity including the budgeting process and financial services.

More recently, Ingraham, Joyce et al. (2003) identify the same core infrastructure capacities described by Burgess in their study and analysis of 32 federal agencies, all 50 state governments, 37 city governments and 42 county governments over a seven-year period from 1996-2002, providing strong evidence for the importance of these capacities for effective government performance. As this study demonstrates, these support services along with the administrative processes inherent in the functioning of these systems provide a core capacity for public organizations.

In addition, public management scholarship on private contracting and the effects of the “hollowing of the state” (Milward, Provan et al. 1993) address the importance of organizational infrastructure as a dimension of capacity. These scholars argue that this capacity is often overlooked, but it has significant implications for the delivery of public services. In particular, scholars have examined the extent to which community nonprofit organizations have the capacity to effectively deliver public services when contracted by local government organizations (Frederickson and London 2000; Eisinger 2002). In a study examining Detroit area food pantries and soup kitchens, Eisinger (2002) found that paid staff and the presence of administrative routines such as computerization of records contributed positively to organizational effectiveness. In addition, Frederickson and London (2000) in their analysis of community development organizations, stress the need for operational support, particularly as it relates to staffing. As they state, “the size of the organization in terms of staffing levels is important for sustained organizational learning and consistency of operations” (Frederickson and London, 2000, 235). They also note that planning processes and a formal fiscal system contribute significantly to an organization’s infrastructure and their overall capacity to deliver services. They argue that governmental agencies contracting out public services to community nonprofit organizations should ensure that these organizations have the infrastructure to administer public programs (Frederickson and London, 2000).

Management

A related, yet distinct dimension of an organization’s capacity is what public management scholars refer to as management capacity (Ingraham, Joyce et al. 2003; Andrews and Boyne 2010; Krueathep, Riccucci et al. 2010; Laurence J. O’Toole and Meier 2010).

Management capacity refers to the ability of an organization's management to effectively utilize the infrastructural capacity and available organizational resources to achieve organizational goals. As Ingraham, Joyce, et al. state (2003,15), management capacity is "government's intrinsic ability to marshal, develop, direct, and control its financial, human, physical, and information resources." The argument made by Ingraham, Joyce et al. (2003) is that by providing vision, integrating and aligning management systems, and implementing effective performance measurement systems, management can positively impact organization performance. They argue that leadership provides vision for the organization by setting priorities and providing direction to the organization (Frederickson and London 2000; Ingraham, Joyce et al. 2003). Leadership is a strategic function that both elected officials and civil servants provide (Ingraham, 1995). Additionally, organizational leaders act as integrators, that is, they guide the different management systems in a common direction to ensure alignment of values and purpose across the organization. Third, Ingraham, Joyce, et al. (2003) stress the need for formalized performance measurement systems which provide a tool for organizational learning and one that links the organizational vision with programs and activities of the organization.

Empirical Scholarship on Management Capacity. More recent scholarship has examined management capacity by empirically investigating the relevance of management capacity in a number of public sector contexts (Andrews and Boyne 2010; Krueathep, Riccucci et al. 2010; Laurence J. O'Toole and Meier 2010). O'Toole and Meier (2010) argue that management capacity can help absorb environmental shocks and limit negative impacts on organizational performance. More specifically, they posit that managerial capacity can decrease the negative impacts produced by budget cuts. The statistical model put forth by O'Toole and Meier include

only one measure of managerial capacity: the size of a school district's central office staff. Their argument is that managerial capacity can be operationalized as the size of managerial staff within public bureaucracies. Given the multi-dimensional nature of capacity, it is surprising that they chose one measure to empirically investigate managerial capacity and its impact on performance. Andrews and Boyne (2010) provide a more robust model linking managerial capacity with leadership and performance by having multiple capacity measures for management systems, including capital management, IT management, human resource management and financial management.

Other scholars have focused on managerial characteristics to measure management capacity. For example, Krueathep et al. (2010) model management capacity as a function of managerial experiences, responsibilities, and attitudes in their study examining the determinants of network formation in local governments. The specific measures of management capacity include the number of years of mayoral service, number of population per local staff, and occupational background of management and management attitude of local mayors.

Dynamic Capabilities Literature. In addition, the dynamics capability literature offers a complementary perspective on management's role in building and sustaining capacity within an organization (Teece, Pisano et al. 1997; Eisenhardt and Martin 2000; Zollo and Winter 2002; Helfat and Peteraf 2003; Helfat, Finkelstein et al. 2007; Judge, Naumova et al. 2009; Newey and Zahra 2009). This perspective has its roots in the resource-based view of organizations and the strategic management literature more broadly. According to (Eisenhardt and Martin 2000) dynamic capabilities is defined as “antecedent organizational and strategic routines by which managers alter their resource base—acquire and shed resources, integrate them together, and

recombine them—to generate new value-creating strategies”. Dynamic capabilities focus on how the internal aspects of the organization can be sources of competitive advantage (Teece, Pisano et al. 1997; Eisenhardt and Martin 2000). This perspective sees managers as strategic actors who configure resources in strategic ways that can result in a sustained competitive advantage for the organization. In other words, competitive advantage results from managerial and organizational processes that combine resources and capabilities in a way that can positively impact organizational performance (Teece, Pisano et al. 1997).

A number of dynamic capabilities have been identified in the literature, including organizational processes of product development and networking (Eisenhardt and Martin 2000). These capabilities can be understood as meta-capabilities that allow the organization to respond to both endogenous and exogenous change (Judge, Naoumova et al. 2009; Newey and Zahra 2009). For example, Newey and Zahra (2009) conceptualize dynamic capabilities as reconfiguring operating capabilities in response to endogenous innovation as well as from exogenous shocks from the environment. Because managers make decisions about how to utilize resources, they are key to developing dynamic capabilities within an organization.

Recently, scholars have begun to apply the dynamic capabilities literature to public organizations (Bryson, Ackermann et al. 2007; Pablo, Reay et al. 2007; Harvey, Skelcher et al. 2010)¹. Pablo et al. (2007) argue that the dynamic capabilities literature is particularly relevant to public organizations because of its focus on internal resources rather than on competitive market behavior. Their argument is that dynamic capabilities can inform how public managers

¹ It is important to note that prior to the articulation of the concept of “dynamic capabilities” in the field of strategic management, scholars in the realm of public administration and public management have argued that public managers play an important role in developing distinctive capabilities. For example, Philip Selznick (1957) stressed the importance of identifying an organization’s “distinctive competence” as well as the resources that support it. More recently, Mark Moore (1994, 211) argued “managers should seek, find, and exploit opportunities to create public value”.

can develop, implement, and sustain strategic approaches that can improve organizational performance. In a similar vein, Bryson et al. (2007) see the dynamic capabilities literature as a useful perspective for public organizations seeking to build their capacity for public strategic management. Both Bryson et al. (2007) and Pablo et. al. (2007) provide insightful case studies on public health organizations in the United Kingdom and Canada highlighting how the dynamic capabilities perspective can positively impact the performance of public organization. However, more in depth empirical work has yet to be done in identifying and applying dynamic capabilities to public organizations.

Knowledge and Learning

Over the last thirty years, organizational knowledge and learning has received increased scholarly attention in the management and organizational theory literature. Scholars interested in how organizations adapt and change over time have examined the concept of organizational learning as a strategic resource. In other words, the ability for organizations to learn to “do things differently” and to embed those new policies and practices within existing organizational processes is a core capacity that can enhance organizational performance (Hult and Ferrell 1997; Jerez-Gomez, Cespedes-Lorente et al. 2005; Ekboir, Dutrenit et al. 2009). As Ekboir et. al (2009, 29) states “innovation enables an organization to improve their capacity to absorb information generated by other agents and to use new internally created knowledge.” From this perspective, organizational learning is the organizational process that transforms information to organizational knowledge (Ekboir, Dutrenit et al. 2009). The literature on organizational learning falls into two broad categories: scholars that argue that organizations do not learn, individuals within organizations learn and that organizational learning is simply the sum of

individual learning; and those scholars that argue that organizations do in fact learn. These scholars assert that knowledge is created and interpreted within the context of organizational processes and culture, and therefore this collective knowledge, often referred to as organizational memory, of an organization influences what types of knowledge is acquired by individuals and how it is interpreted (Huber 1991).

Three theoretical perspectives on organizational knowledge and learning are particularly germane to my discussion of organizational capacity: adaptive capacity, absorptive capacity and scholarship on organization knowing and practice theory.

Adaptive Capacity. Generally speaking, adaptive capacity refers to the ability of organizations to learn and respond to changing environments. As Armitage (2005, 703) states, adaptive capacity “reflects learning and an ability to experiment and foster innovative solutions to complex social and ecological circumstances.” Thus, the main ingredient in developing and sustaining adaptive capacity is organizational learning. In fact, many management scholars (see Jerez-Gomez et al., 2005) frame adaptive capacity simply as organizational learning capacity (OLC). OLC is understood as a strategic resource of organizations to create, disseminate, and integrate knowledge within an organization that allows for improved performance of that organization. Organizational learning capacity is a multidimensional construct including the following elements: managerial commitment, a systems perspective, openness to experimentation, and knowledge transfer and integration (Ferrell and Hult, 1997, Jerez-Gomez et al., 2005). These elements are essentially the same concepts utilized to understand the different dimensions of adaptive capacity (Armitage, 2005, Strichman et al., 2008). A more in-depth discussion of each dimension of adaptive capacity follows below.

Managerial commitment to learning. Organizational learning scholars stress the important role managers' play in developing a culture of learning that promotes gaining and sharing new knowledge as an organizational value. This perspective is often termed adaptive management and "provides managers the ability to ensure that decisions are used as an opportunity for organizational learning...it is an iterative process, calling for the integration of science and management, treating policies as experiments from which managers can learn (Wise, 2006, 314)." From this perspective, management's goal is not only to achieve organizational objectives, but to learn through the process, so that policies can be adapted to improve management performance (Johnson, 1999). Adaptive management techniques and practices send a message to organizational members that learning is viewed as a strategic tool which can improve performance. For example, public management literature has examined the use of performance measurement systems at the agency level as a formalized organizational learning tool (Ingraham, Joyce, and Donahue, 2003).

Underlying this emphasis on managerial commitment to organizational learning is the role of leadership in articulating organizational mission and vision as an organization committed to learning. For example, Strichman et al. (2008) state that creating collective understanding of the value of organizational learning in adapting to changing circumstances is a key role of organizational leadership. Similarly, Lei et al. (1999) argue that leaders should drive organizational change and be held accountable for developing an organization's ability to renew itself in order to effectively address new challenges.

Systems perspective. Influenced by general systems theory, organizational theorists have explored the importance of a systems perspective as an important element of adaptive capacity. A systems perspective entails an understanding of the interdependence between different parts (departments, teams, groups) within an organization. Viewing an organization as a system implies the importance of relationships and the role of relational dynamics in information sharing (Ulrich et al., 1993). It also assumes shared mental models between departments (Senge, 1990), emphasizing the collective nature of organizational learning (McGill et. al, 1992).

Scholars have also addressed the need for organizations to understand their interdependence with their environment (Sussman, 2003; Foster-Fishman and Yang, 2007). The network literature has addressed the role of strategic alliances in bringing stakeholders from other organizations together to address common issues and problems. Often these networks are formalized and created for specific purposes. Additionally, there are also informal networks that organizational members participate in that can contribute to their understanding of the interrelatedness and interdependence of the components (both internal and external) of the system.

Openness to experimentation. Fundamental to an organization's capacity to adapt is openness to new ideas and innovative techniques as a way of strengthening the performance of an organization (Senge, 1990; Jerez-Gomez, 2005). Scholars have argued an organization's openness to experimentation is dependent on two characteristics: the inclination to reward risk taking and experimentation, and the ability to embrace a diversity of perspectives external and internal to the organization. Organizations that reward experimentation as an approach to finding innovative solutions to organizational problems permit individuals to utilize their own

creativity and ability to enhance organizational processes. This openness encourages individual learning even when experimentation results in failure (Strichman et. al, 2008). Encouraging diverse perspectives and approaches is another characteristic of an organization's openness to experimentation. The ability of members of an organization to question assumptions cultivates a climate of openness in which organizational learning can thrive.

Knowledge transfer and integration. In order for organizations to learn and adapt to change, knowledge must be shared and integrated throughout the organization. Knowledge transfer and integration are interrelated yet distinct concepts and describe how knowledge is distributed across an organization. Knowledge transfer refers to knowledge sharing at the individual or group level. Knowledge transfer occurs through interaction and dialogue (Huber, 1990). Through this interaction, knowledge is interpreted in the context of the organizational culture. Scholars have stressed that learning by organizational members is embedded in organizational culture and processes, and that collective knowledge effects how knowledge is interpreted and shared across the organization (Huber, 1993; Hult and Ferrell, 1997).

Integration occurs when knowledge is incorporated into work processes and into the culture of the organization becoming part of the "organizational memory" (Huber, 1993, 105). Effective knowledge integration depends largely on the extent to which new knowledge and learning become part of organizational routines and practices. Integration of knowledge has been identified in the public management literature as an important lever in driving the capacity of government organizations to adapt to changing environments and improving performance. As Ingraham, Joyce, and Donahue (2003, 20) state, "Effective management is fundamentally concerned with the extent to which the management systems are orchestrated as part of a unified,

cohesive whole with shared values, common goals and allied objectives; that is the extent to which they are integrated and aligned.”

Absorptive Capacity. Similarly, a number of scholars have examined the capacity of an organization to transfer and integrate new knowledge into an organization. This capacity is identified as absorptive capacity and is understood as organizational routines and processes, by which organizations develop, assimilate and apply new knowledge (Cohen and Levinthal 1990; Lane and Lubatkin 1998; Van den Bosch, Volberda et al. 1999; Zahra and George 2002; Zollo and Winter 2002; Harvey, Skelcher et al. 2010). For example, Zahra and George (2002, 186) define absorptive capacity as “a set of organizational routines and processes by which firms acquire, assimilate, transform and exploit knowledge.” Harvey et al. (2010) states that the literature on absorptive capacity “argues that an organization’s success is explained by the extent to which internal knowledge processes are effective in aligning its competencies in relation to changing environmental conditions.” Most heavily applied in the business management literature, absorptive capacity is commonly examined within the context of building a firm’s competitive advantage. Adaptive and absorptive capacity are similar concepts in that they both address the need for organizations to adapt organizational processes to incorporate new ideas, however absorptive capacity is specifically focused on how organization absorbs new knowledge with their structures and processes while adaptive capacity has a broader focus on how organizations adapts to changing circumstances. Therefore, it is helpful to understand absorptive capacity as an organizational capability that contributes to an organization’s adaptive capacity. In fact, a number of scholars have identified absorptive capacity as a dynamic capability (Zollo

and Winter 2002; Harvey, Skelcher et al. 2010) that provides important knowledge to managers who can alter the organizational resource base in support of organizational learning.

The literature identifies a number of organizational processes that contribute to building an organization's absorptive capacity. The first process is the ability to identify and acquire external information (Cohen and Levinthal 1990; Zahra and George 2002). *Knowledge acquisition* can also be generated internally through what Zollo and Winter (2002) refer to as "experience accumulation", that is learning through experience and practice. Another important organizational process is *knowledge assimilation*, that is, the organizational routines and processes that assist in interpreting and understanding the obtained information (Zahra and George 2002). The assimilation process seeks to articulate knowledge through such routines as debriefing sessions and performance evaluation processes (Zollo and Winter 2002). The final process in the knowledge absorption process is *knowledge codification* whereby a tool or manual is produced in order to formalize learning that provides organizational memory in how to accomplish new or revised routines (Van den Bosch, Volberda et al. 1999; Zollo and Winter 2002).

Organizational Knowing and Practice theory. Scholarship on organizational knowing and practice also provide insight into learning as a core organizational capacity. This perspective does not see knowledge as static, rather it focuses on knowing "as emerging from the ongoing and situated actions of organizational members as they engage the world" (Orlikowski 2002). In other words, capability is enacted everyday through practice. This perspective is quite different from the scholarly dialogue about knowledge management as an organizational practice that absorbs, assimilates, and integrates knowledge throughout the organization. The "knowing in

practice” literature sees knowledge as inextricably linked with practice. The focus of this literature is on the processes of organizational learning; less emphasis is placed on knowledge as a resource or asset (Rashman, Withers et al. 2009).

Influenced by the work of Giddens and his structuration theory, the theoretical focus in this literature is on the process of knowing which is defined as an “ongoing social accomplishment, constituted and reconstituted in everyday practice” (Orlikowski, 2002, 252). Knowing is a function of the ongoing interrelationships of context, activities, and structure. As individuals adopt new practices through improvisation and experimentation, their knowing changes (Orlikowski, 2002). This theoretical perspective with its emphasis on practice views learning as a product of “doing” rather than as a product of strategy or management philosophy. Some scholars have argued that the “knowing” perspective may be most useful in relatively static environments where experience accumulation may be a sufficient learning mechanism (Zollo and Winter 2002). Other scholars have argued that organizations in unstable and uncertain environments see knowledge as linked to “dynamic collective activity, practice and performance” (Rashman, Withers et al. 2009).

Collaboration

More and more, policy implementation processes require collaboration between public agencies and nonprofit service providers. Formalized networks are often utilized to facilitate collaboration among the various public agencies and services providers (see Milward, Provan and Else, 1993). Therefore, the ability of organizations to effectively collaborate with other organizations to achieve organizational and programmatic goals is an important capacity for public and nonprofit organizations. Increasingly, public and nonprofit scholars have focused

attention on the dynamics of collaborative processes, including issues of capacity (Sandfort 1999; Bardach 2001; Foster-Fishman, Berkowitz et al. 2001; Page 2003; Page 2004; Bryson, Crosby et al. 2006; Thomson, Perry et al. 2007; Weber, Lovrich et al. 2007; Ansell and Gash 2008; Getha-Taylor 2008; Sowa 2008; Weber and Khademian 2008; Nowell 2009; Sowa 2009; Nowell 2010).

Scholarship specific to collaborative capacity can be categorized in a number of ways; however for the purposes of this research it is helpful to understand the literature in terms of unit of analysis. There are three units of analysis frequently utilized in the literature: the individual, organization, and interorganization level. Literature at the individual level of analysis emphasizes the collaborative competencies of individual public managers that participate in collaborative processes (Foster-Fishman, Berkowitz et al. 2001; Getha-Taylor 2008; Weber and Khademian 2008). For example, Getha-Taylor (2008) finds that managers with high levels of interpersonal understanding and those managers that actively encourage teamwork and cooperation engage most successfully in collaborative efforts. Additionally, Foster-Fishman et al. (2001) identified member capacity as the skills and abilities of the individuals involved in the collaboration. Key abilities of members are the ability to work in collaboration with others including being able to effectively communicate with other members and being skilled in conflict resolution; the ability to effectively perform the work required for the collaborative effort including program development and implementation; and the ability to have a positive attitude about collaboration and be motivated by shared vision and outcomes (Foster-Fishman et al., 2001).

On the other side of the spectrum, a number of scholars have focused on the capacity of the collaboration in various contexts including interagency collaborations (Bardach 2001; Page

2003), cross-sector collaborations (Bryson, Crosby et al. 2006), community collaboratives (Foster-Fishman, Berkowitz et al. 2001; Nowell 2010), and private sector collaborations (Dyer and Singh 1998). This scholarship identifies dimensions of collaborative capacity specific to the inter-organizational context of the collaboration, including trust, level of stakeholder engagement, and network governance dynamics. For example, Foster-Fishman et al (2001) identified relational capacity as the ability to develop social relationships based on trust that enhance collaborative efforts. Important aspects of relational capacity include level of trust, development of a shared vision among the collaborative partners, supporting shared decision-making, promoting diversity, and engaging in positive external relationships with other individuals and organizations outside the collaboration (Foster-Fishman et al., 2001).

The third category of literature on collaborative capacity is at the organizational level of analysis. The emphasis in this literature is how participation and involvement in collaborative efforts can impact the capacity of the organization (Sandfort 1999; Hardy, Phillips et al. 2003; Arya and Lin 2007; Sandfort and Milward 2008; Sowa 2009). In other words, collaborative capacity is the ability of organizations to promote effective collaboration that will sustain efforts and support enhanced organizational performance (Goodman, Speers et al. 1998). Because the goal of this research is to examine organizational capacity, it at the organizational unit of analysis in the collaborative capacity literature that is most useful in exploring how collaboration impacts the capacity of the organizations that participate in the collaborative effort.

Scholarship that emphasizes the “organization” in collaboration research frequently frame it in terms of organizational motivations for participating in collaborative efforts (Bryson, Crosby et al. 2006; Ansell and Gash 2008; Sowa 2009). The assumption is that organizations collaborate with other organizations because it is perceived to be in their best interest. For

example, Sandfort and Milward (2008) argue that collaboration can have important benefits for service delivery organizations including having access to more resources and increasing availability of services for clients. In other words, collaboration can enhance an organization's capacity.

Scholars have identified a number of motivating factors that would persuade an organization to participate in collaboration. First, *access to increased financial resources* can be a strong motivation to collaborate and to enhance an organization's capacity (Hardy, Phillips et al. 2003; Arya and Lin 2007; Sandfort and Milward 2008; Sowa 2009). Influenced by resource dependence theory (Pfeffer 2003), scholars have argued that organizations enter collaborative arrangements because organizational leaders see it as a mechanism for acquiring additional funding (Sowa 2009). Securing adequate financial resources is important to organizational survival and sustainability and may be a driving force behind an organization's participation in collaboration.

Other scholars taking a resource-based view have emphasized *access to other non-financial organizational resources* as a motivating factor for collaboration. For example, Hardy et al. (2003) argue that an organization's primary rationale for collaboration is resource acquisition, including nonfinancial resources, such as sharing of equipment, intellectual property, personnel and transfer of organizational knowledge. Moreover, they stress the importance of collaboration in not only facilitating knowledge transfer between collaborating partners, but also that collaboration as a process can create knowledge that neither partner possessed prior to the collaboration (Hardy, Phillips et al. 2003). Similarly, Dyer and Singh (1998) describe what they identify as "partner-specific absorptive capacity" which is defined as an organizational capability to recognize and assimilate valuable information from a particular collaborating partner. These

scholars assert that participating in collaboration can build an organization's knowledge capacity by accessing knowledge that they would not have if they were not part of the collaborative effort.

A third motivating factor for organizations to enter collaboration is to *achieve reputation gains by increasing their credibility and legitimacy* (Arya and Lin 2007; Sowa 2009). From this perspective, organizations participate in collaboration because it helps them achieve legitimacy. Often, there are institutional pressures in the form of funding streams that mandate collaboration. Institutional explanations for participation in collaboration point to the many ways that collaboration can influence the capacity and possibly the performance of an organization.

Summary of Organizational Capacity Literature

Many scholars have sought to understand more fully how the particular assets of an organization directly impact the organization's ability to accomplish its work. To this end, public and nonprofit management emphasizes the concept of capacity as encompassing the resources and organizational processes that an organization possesses that assist them in accomplishing organizational goals. This review of the literature has sought to organize and categorize the substantial capacity literature in the management field. I focused on two aspects of the capacity literature: (1) defining the concept of capacity as described by a number of scholars and (2) identifying the different types of capacity found in the literature.

Scholars have defined capacity in a variety of ways. I emphasized three broad categories of how scholars have defined the concept:

- **Resources** - capacity is understood as inputs into an organization's production process that result in the basic ability of an organization to do its work.

- **Capabilities** - capacity is understood as the ability of organizations to absorb and mobilize resources in specific ways that produce an organizational capability.
- **Competencies** - capacity is understood as those organizational resources and capabilities that are related to organizational effectiveness.

Additionally, this review also identified four types of capacity prevalent in the literature:

- **Infrastructure** - an organization's administrative and operational capacity, including its basic management systems.
- **Management** - ability of an organization's management to effectively utilize the infrastructural capacity and available organizational resources to achieve organizational goals.
- **Knowledge and Learning** - the ability for organizations to learn to “do things differently” and to embed those new policies and practices within existing organizational processes. Theoretical perspectives include: adaptive capacity, absorptive capacity and practice theory on learning
- **Collaboration** - ability of organizations to promote effective collaboration that will sustain efforts and support enhanced organizational performance.

This literature provided a good foundation to understanding the different capacity domains that have been studied and analyzed in the literature. I utilized these categories to help me make sense of the findings from the first qualitative phase of the study. As is common in grounded theoretical approaches and detailed in the next chapter, the researcher moves back and forth between data and theory to understand a particular phenomenon, in this case, organizational capacity. I utilized this approach to the dissertation. This is important to note because though

the literature review chapter precedes the methods and qualitative findings chapter, the research process did not follow this linear path, as I iteratively reviewed data and theory in my analysis of the qualitative data. The next section provides an analysis of the research context for this study.

The U.S. Juvenile Justice System: The Research Context

The third section of the literature review chapter provides an overview of the juvenile justice system with the purpose of examining scholarship that helps in understanding the context in which this research on organizational capacity took place. This dissertation examines organizational capacity of local service delivery organizations serving youth involved in the juvenile justice system. Like many public systems, the juvenile justice system interacts with a number of other public agencies, including education, mental health, substance abuse, juvenile probation, and juvenile detention in order to coordinate and provide services to justice-involved youth. The emphasis on rehabilitating youth (as opposed to a punitive focus) of many in the juvenile justice system has only increased efforts in recent years to collaborate across public agencies as well as with nonprofit service providers to provide a host of human and social services to troubled youth. This multi-agency collaboration focus of local service delivery has been noted in studies in a number of policy contexts, including early childhood development programs, mental health, and youth development (Milward, Provan et al. 1993; Sowa 2008; Duda and McAllister 2010). This dissertation seeks to contribute to this stream of literature by looking specifically at local service delivery of juvenile justice services.

Though the focus of this study is to explore organizational dynamics associated with issues of capacity, it is important to have a basic understanding of the broader policy and

institutional context of the juvenile justice policy field in which organizations interact to coordinate and provide services. Hence, this section describes the historical context of the juvenile justice system as well as the relevant intergovernmental arrangements of the system.

Brief History of the Juvenile Justice System in the United States

The history of the Juvenile Justice system in the United States reflect particular political and institutional tensions between the punitive focus of juvenile justice which heavily involve the legal and public safety dimensions, and the rehabilitative focus of juvenile justice which involve the human services dimensions. This tension has been present since the beginning of juvenile justice in the U.S, and continues to this day.

Prior to the beginning of the twentieth century, the American legal system did not make distinctions between young people and adults. In rural agrarian society, youth delinquency was handled through the community. However, the dramatic increase of population from rural areas to urban areas and cities coupled with the growing number of immigrants produced social problems. Additionally, modernization contributed to significant changes in the family structure and activities, focusing economic activities in other work environments apart from the family household. The progressive reform movement sought to address the societal ills associated with these issues by instituting agencies that could help to assimilate and “Americanize” immigrant children as well as assist poor children to ensure that they become productive citizens (Feld, 2003).

Houses of Refuge were established beginning in 1824 in response to the various social problems exhibited in urban cities. These institutions were created largely by private philanthropists who envisioned these places for juvenile offenders as well as young people

participating in delinquent (though not illegal) behavior (Shoemaker and Wolfe, 2005). The Houses of Refuge were based on a model of rehabilitation and were concerned with instituting formal social control of youth in an effort to rehabilitate bad behavior and help to assimilate delinquent youth into productive society. The Houses of Refuge set the foundation for many of the principles of the juvenile justice system, most importantly formal age distinction between adults and youth.

The first juvenile court was established in 1899 in Cook County, Illinois. By 1924, juvenile courts were in all states. The development of a separate juvenile justice system marked a shift in how young people were viewed as well as how government should interact with them. The ideas of childhood development and its distinction from adulthood was readily accepted by society at large by the beginning of the twentieth century. The juvenile court system reflected the vision of the progressive reformers. The court was basically a social welfare agency for troubled youth with an emphasis on rehabilitation. This was in contrast to the legal system of the criminal courts. This resulted in significant procedural and substantial differences from the criminal court. As Feld states (2003, 7):

“Juvenile courts conducted confidential hearings, used informal procedures, and excluded lawyers and juries. To avoid the stigma of a criminal prosecution, they employed euphemistic vocabulary and initiated proceedings by 'petitions' rather than 'indictments' or 'complaints', ‘adjudicated’ youth for ‘delinquency’ rather than conducted criminal ‘trials’, and imposed ‘dispositions’ that could include commitment to ‘training schools’ rather than holding “sentence hearings” that could result in confinement in prison.”

Moreover, the rehabilitative vision of the progressive reformers saw juvenile court judges as schooled in the social sciences and could therefore have an empathetic understanding of what the child needs.

Judicial decisions in the 1960's prompted a transformation of the juvenile justice system from a social welfare agency to a system based on law and order. The procedural revolution that the court decisions initiated emphasized the protection of individual rights for juveniles, in particular due process rights guaranteed in the Constitution. The most significant of these judicial decisions was *Gault* (1967). This case involved a fifteen year old boy, Gerald Gault, who was taken into custody after supposedly committing a lewd act in public. He was detained overnight without notification to his parents and was present at the hearing the next day. There were no witnesses to corroborate the accusation made against Gault nor did the judge hear any sworn testimony. Gault nor his parents were advised of their right to remain silent, the right to counsel, or supplied an attorney (Feld, 2003). The Court rejected the assertions of the progressive reformers that juvenile proceedings were not criminal in nature and that the child was authorized to custody by the state, not liberty. The Court, however, did acknowledge the importance of a separate institution for juveniles. Still, the arbitrariness that resulted from the lack of procedural standards of the juvenile court system was renounced by the Court. This court decision and others similarly reinforced the preeminent value of ensuring that the individual rights of young people are protected by the Constitution.

This event marked by judicial decisions in support of due process rights for juveniles put the juvenile justice system on a new trajectory that continues to present day. The tension between a punitive system which stresses law and order and the rehabilitative model advanced by the progressive reformers continues to be relevant. In fact, current reform initiatives seek to

balance these two important elements of the system as the struggle to define what juvenile justice services should encompass continue to be played out.

Intergovernmental Context of Juvenile Justice System

As a result of the judicial decisions in the 1960's, national attention to the juvenile justice system surfaced. In particular, Lyndon Johnson's "creative federalism" initiative which encouraged states and local jurisdictions to play a crucial role in the implementation of national and state programs included juvenile justice programs as part of the agenda. The passage of the Juvenile Justice and Delinquency Prevention Act of 1974 is the most significant national legislation on juvenile justice. Most importantly, the Act created the Office of Juvenile Justice and Delinquency Prevention (OJJDP) which is housed in the Department of Justice. The enacting legislation defined the role of OJJDP as providing assistance to state and local governments through technical assistance, research, training, and evaluation. The work of the agency is overseen by the Coordinating Council which is an independent organization within the executive branch of the federal government. The nine-member council's main function is to coordinate all federal juvenile justice programs in partnership with state and local governments. A core responsibility of the council is to consider how separate juvenile justice programs can be better coordinated between the different levels of government, resulting in more effective policy implementation.

The Juvenile Justice and Delinquency Prevention Act set conditions for accepting federal funding which came in the form of block grants and programmatic or discretionary grants. The block grants are particularly significant for states because it provides greater flexibility in how to spend grant funds. In order to receive the block grant funds, states are required to submit a three

year Juvenile Justice and Delinquency Prevention plan. This state plan is required to include programs, activities and projects, amended yearly. Performance reports on how the state is progressing in implementing programs and activities is also required on an annual basis.

Additionally, each state is required to have an advisory group which oversees development of the state plan as well as coordinate and consult with local governments to ensure that the plan correlates with the work being done at the local service delivery implementation level. Apart from the state plan and state advisory group condition, there are four core requirements for state juvenile justice systems to implement. All four policies must be adhered to at the local and state level. These requirements were much of the impetus for the Juvenile Justice and Delinquency Prevention Act, and are a direct result of the judicial decisions made in the 1960's. They are as follows:

- *Deinstitutionalization of status offenders*, meaning that status offenders (juveniles who commit acts that would not be considered a crime if they were an adult) can't be held in juvenile detention centers, correctional facilities, or adult facilities for any amount of time.
- *Separation of juveniles from adult offenders*, meaning juveniles cannot be detained or confined in sight or sound of adult offenders.
- *Adult jail and lockup removal*, meaning that juveniles cannot be detained in adult jails or lockups.
- *Disproportional minority contact*, meaning that states are required to address system improvement efforts designed to decrease the disproportionate number of juveniles from minority groups.

If states do not comply with the funding conditions as stated above, the formula grant will be decreased by 20 percent the next year for each requirement that is not met. Moreover, the non-

compliant state must commit at least 50 percent of their grant funds to achieve compliance the following year.²

In analyzing the level of authority and power in a federal system, it is critical to examine the funding structure associated with a specific governmental activity. In FY 07, approximately 380 million dollars in grant funds was awarded, of which 125 million dollars went to formula and block grants. The funding provided in the block and formula grant program on average account for less than 1 percent of a state's budget for juvenile justice services (Shoemaker and Wolfe, 2005). In other words, juvenile justice is primarily the responsibility of state and local governments.

A common statement one hears about the juvenile justice system is “there is not one, but fifty-one”, stressing the decentralized nature of the system. Though the services provided are essentially the same, the administration of those services varies from state to state. This makes it difficult to draw generalizations about juvenile justice at the state level, especially in regards to the intergovernmental collaboration between states and local jurisdictions.

The four states that are part of this study: Pennsylvania, Illinois, Louisiana, and Washington reflect the diversity of state and local systems of juvenile justice. For example, the state of Pennsylvania represents a decentralized model of juvenile justice in that administration and services are administered by local jurisdictions, whereas the state of Illinois has a mixed model of juvenile justice where some services are the responsibility of the local jurisdiction and other services such as detention services are under the purview of the state. Given that these states exemplify the different intergovernmental dynamics present in the juvenile justice system across the United States, I have increased confidence that the results from this study reflect the

2 Information about conditions of OJJDP funding found at http://www.vera.org/support_pdf/packet.pdf

common elements of capacity that are present within the policy domain of juvenile justice. The next chapter provides a detailed description of the methods used in this study.

CHAPTER 3: METHODS

This chapter describes the methods I used in this study, including a detailed description of the qualitative and quantitative approaches, data collection processes, and data analysis techniques³.

The purpose of this dissertation was to gain a better empirical understanding of organizational capacity at the local service delivery level. This study utilized a mixed methods sequential design, which had two distinct phases: qualitative followed by quantitative. In this design, a researcher first collects and analyzes qualitative interview data. The quantitative data are collected and analyzed second in the sequence and help to generalize the qualitative results obtained in the first phase. The second, quantitative phase builds on the first qualitative phase by testing and measuring the qualitative findings (See Table 4). The rationale for this approach is that the qualitative data and their subsequent analysis provide a framework for understanding the research problem. The quantitative data and their analysis help to generalize the findings by exploring the dimensions across a broader sample (Creswell and Clark 2007).

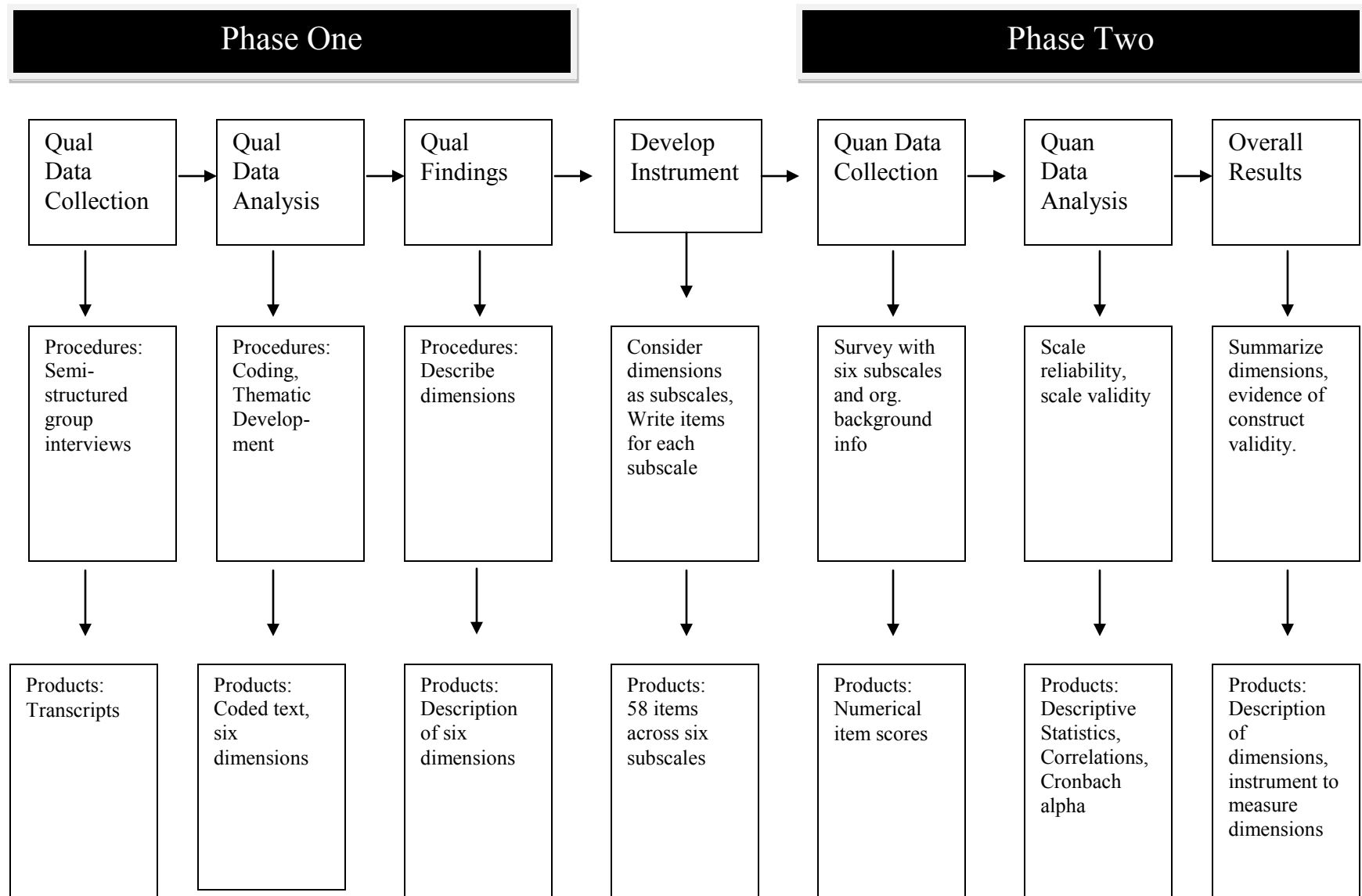
Mixed method approaches to inquiry are increasingly used in the behavioral and social sciences as a tool to investigate a phenomenon in greater depth (Creswell and Clark 2007; Creswell 2009). Broadly speaking, mixed methods is a research design which combines both qualitative and quantitative methods in order to get a fuller picture of a phenomenon of interest (Creswell and Clark 2007; Johnson, Onwuegbuzie et al. 2007). Mixed method scholars emphasize triangulation as a key element in understanding the benefit of using mixed methods. Triangulation refers to the use of multiple sources of data for verification purposes and to facilitate validation of findings. Specifically, mixed method scholars stress the importance of

³ The Institutional Review Board approved the application for this research on December 3, 2010. IRB Application Number: 10-466

methodological triangulation (ie. using multiple methods) as a way to enhance the validation process (Denzin 1978; Jick 1979; Dellinger and Leech 2007). This “between-methods” triangulation has a number of benefits: the ability to have thicker and richer data, enhance confidence in the research findings by compensating for inherent weaknesses in both quantitative and qualitative approaches, direct the researcher to integrate existing theories and reveal contradictions (Jick 1979; Collins, Onwuegbuzie et al. 2006; Creswell and Clark 2007). Moreover, mixed methods is particularly useful for those research questions that cannot be answered by qualitative or quantitative methods alone (Creswell 2009).

There are a number of mixed method designs that can be utilized, including simultaneous and sequential designs. Because I am interested in first exploring organizational capacity within the local service delivery context, I chose an exploratory sequential strategy, whereby the qualitative exploration is used to identify variables which will in turn be utilized to develop a survey instrument that will be fielded to a larger sample (Creswell and Clark 2007; Creswell 2009). In other words, this study seeks to link two data sets, one qualitative and one quantitative, through the quantitative building on the qualitative (for a visual representation, see Table 4)

Table 4: Visual Diagram of Research Design of Study (Adapted from Creswell and Plano-Clarke, 2007)



Phase One: Qualitative Exploration

As described in Chapter One, one of the intended contributions of this study to the field of public administration is to examine organizational capacity of local service delivery organizations. To this end, I wanted to look inside the black box of local service delivery organizations in the field of juvenile justice to understand how and in what ways organizational processes and resources interact to impact organizational capacity.

Qualitative research is particularly germane to questions of process (Maxwell 2005). As Maxwell (2005, 23) states “a major strength of qualitative research is getting at the processes that lead to outcomes, processes that experimental and survey research are often poor at identifying.” Hence, the purpose of the first phase of the study was to explore participant views on organizational capacity by collecting interview data from organizations delivering services to youth involved in the juvenile justice system in order to answer the following research question: how do local service providers in the field of juvenile justice describe the processes and resources (or lack thereof) that facilitate and/or inhibit their capacity to deliver services to justice-involved youth?

Grounded Theory Approach to Inquiry

Because the focus of my qualitative exploration is to understand dimensions of organizational capacity (in terms of resources and processes) in local service delivery organizations, my analysis was focused on “variable oriented strategies” (Miles and Huberman 1994), that is, I was interested in identifying and describing themes that cut across cases. Because my interest was in identifying and clarifying patterns across organizations, I chose a grounded theory method of inquiry. A number of scholars have advocated the use of grounded

theory when the researcher is interested in explaining processes and in developing a framework for future study (Strauss and Corbin 1998; Creswell 2007). Grounded theory is an inductive approach to inquiry whereby development of theory is created or “grounded” in data from individuals who have experienced the process or action (Glaser and Strauss 1967; Strauss and Corbin 1998). As Creswell (2007, 63) defines it, “grounded theory is a qualitative research design in which the inquirer generates a general explanation for a process, action or interaction shaped by the views of a large number of participants.” Additionally, the grounded theory method can enhance organizational analysis by allowing the researcher to present a multi-faceted picture of organizational dynamics occurring throughout the organization (Martin and Turner 1986). Grounded theory methods usually focus on interview data as the main mode of data collection (Creswell 2007). Data analysis consists of a nonlinear process, whereby the researcher iteratively reviews theory and data when identifying patterns and developing codes that explain the process (Martin and Turner 1986). A detailed description of the data collection and data analysis techniques utilized for this phase of the study follows below.

Data Collection Processes and Procedures

The data for this dissertation was drawn from a research study analyzing systems change efforts in juvenile justice systems in four states as part of the Models for Change initiative of the MacArthur Foundation⁴. This broader research study funded by the MacArthur Foundation focuses on identifying patterns that facilitate or inhibit change through specific system interventions (a summary of the research study is found in Appendix A). The system interventions that were the focus of the study include increasing community-based alternatives to

⁴ This dissertation was funded through a grant by the MacArthur Foundation. Principal Investigator: Kimberley Isett

confinement and formal processing of juveniles, reducing disproportionate minority contact in the juvenile justice system, improving aftercare services, increasing the use of evidence-based practices, and strengthening the coordination between the mental health and juvenile justice systems. Issues of organizational capacity were addressed in the context of this analysis of systems change.

The Models for Change initiative is a national effort funded by the John D. and Catherine T. MacArthur Foundation to accelerate juvenile justice reform efforts in four states: Pennsylvania, Illinois, Louisiana, and Washington. These states were chosen by the MacArthur Foundation for a number of reasons, including geographic diversity, commitment to reforms and differing needs and opportunities that are reflective of other state juvenile justice systems.⁵ The table below lists the local jurisdictions by state that were part of this study.

Table 5: Local Jurisdiction by State			
Pennsylvania	Illinois	Louisiana	Washington
Philadelphia Allegheny Cambria Lycoming Erie Chester	Peoria 2 nd Judicial District (representing 12 counties in Southern IL)	Rapides Caddo Calcasieu Jefferson 16 th Judicial District (representing 3 parishes in Southern LA)	King Pierce Clarke Benton/Franklin Spokane

Interview participants were organizational representatives in the four states involved in the Models for Change initiative of the MacArthur Foundation. They spanned roles from street level bureaucrats to management to nonprofit service providers to state level policy actors. In-person group field interviews were conducted at the local jurisdiction level over two years. The interview sample was identified based on participation in the Models for Change initiative.

⁵ Description found on Models for Change website, <http://www.modelsforchange.net/about/index.html>, July, 14, 2010.

Organizational representation varied by local jurisdiction based on their specific reform agenda. The following organizations and agencies were frequently represented in the group field interviews at the local jurisdiction level: juvenile justice system, including probation and juvenile court, public mental health agencies, nonprofit mental health service provider agencies, education, including a number of schools, and public substance abuse agencies. A round of 18 group phone interviews were also completed with state-level thought leaders who were knowledgeable of the juvenile justice system. These interviews were conducted in order to get broader contextual understanding of the state juvenile justice system in each of the four states. These interviews were especially helpful in identifying and capturing resource challenges that the local jurisdictions were facing that have a direct impact on their resource capacity. Again, sampling was purposive to capture the most relevant and involved stakeholders at the state level.

A total of 56 group field interviews were conducted over a two-year period as part of this study. There were two waves of data collection. The first wave included 18 in-person group field interviews at the local service delivery level and 20 phone interviews with state level thought leaders. These interviews were conducted between June 2008-May 2009. The second wave of data collection included a second interview of the 20 in-person group field interviews at the local service delivery level. The second wave data collection was conducted between July 2009-October 2009. The interview protocols were developed through a review of the relevant literatures in political science, public administration, and organization theory (See Appendix B for the interview protocols for both waves of data collection). The local jurisdiction level and thought leader interviews were semi-structured and implemented through group format over a period of approximately 90 minutes. The purpose of the first wave interview was to understand the context of the work of the organization as well as the perceived facilitators and barriers the

organizations face. The second wave interview was focused on issues of organizational capacity based on the findings from the first wave data collection. All interviews were digitally recorded and transcribed verbatim with initial transcriptions checked for accuracies.

Table 6: Number of Interview Participants By Local Jurisdiction				
	<i>Wave 1: June 2008-November 2008</i>		<i>Wave 2: July 2009-October 2009</i>	
Local jurisdictions by State	Number of interviews	Number of Interview Participants	Number of interviews	Number of Interview Participants
<i>Pennsylvania</i>				
Philadelphia County	1	4	1	3
Allegheny County	2	7	2	5
Cambria County	1	3	1	3
Lycoming County	1	1	1	1
Erie County	1	3	1	3
Chester County	1	2	1	3
<i>Illinois</i>				
Peoria County	1	3	1	3
2nd Judicial District	1	1	1	2
<i>Louisiana</i>				
Rapides Parish	1	2	1	3
Caddo Parish	1	2	1	1
Calcasieu Parish	1	1	1	1
Jefferson Parish	1	2	1	2
16th Judicial District	1	2	1	2
Ouachita Parish	0	0	1	1
<i>Washington</i>				
King County	1	3	1	2
Pierce County	1	10	1	3
Clark County	1	4	1	2
Benton/Franklin Counties	1	6	1	9
Spokane County	0	0	1	1

Total	18	56	20	50

Table 7: Number of Thought Leaders Interviewed By State		
State	Number of Interviews	Number of Interview Participants
Pennsylvania	6	18
Illinois	3	7
Louisiana	5	8
Washington	4	11
Total	18	44

Data Analysis

Transcripts of interviews were entered into the AtlasTi qualitative software system for coding and analysis. The development of the coding structure for the first wave of data collection was driven by the following question: what are the organizational resources and capabilities (or lack thereof) that both facilitate and inhibit the work of the organization? There was an iterative, multi-step process to analyzing the data. An initial coding scheme was developed prior to analyzing the data. This initial coding scheme was based on both the literature as well as my recollection of capacity issues that interviewees brought up in the interviews. After some early coding was complete, the codes were revised to reflect the addition of new themes, finer parsing of existing themes, and the elimination of themes that were not useful. For example, early in the coding process, one of the codes was labeled technical capacity to represent data that described the importance of the availability and use of data management systems as well as the ability of organizations to adopt innovative practices from other organizations. As more interviews were coded, it became clear that data management systems and the adoption of new practices were representative of two different dimensions. In the end, the coding process produced six dimensions of capacity.

Validity

I utilized a number of validity tests to help to ensure validity of the qualitative findings. First, I was able to interview the same participants over two years. This longer-term involvement helped to provide me with more complete data about the organizations over time (Maxwell, 2005). In addition, by having all interviews transcribed verbatim, I was able to more effectively analyze the rich data found in each of the interviews. Third, I used respondent validation as another tool of validity. I sent reports to each interview respondent with the interview data analysis to ensure that I interpreted their comments accurately. Fourth, by comparing data over four states and 22 local jurisdictions, I was able to be more confident that findings consistent across interviews represented important capacity dimensions. I was also able to compare findings from two waves of data within each jurisdiction, which also contributed to my ability to feel more confident of the validity of the findings.

Phase 2: Quantitative Exploration

The purpose of second phase of the study was to develop and test a survey instrument based on the findings from the first qualitative phase. The survey instrument was a first effort at developing a scale of organizational capacity by measuring capacity as consisting of six subscales, representing the six dimensions. The guiding research question for this phase of the study is:

- How are the six dimensions of capacity supported or contradicted by the survey results?

Instrument Development

There was a multi-step process to survey development. The first draft of the survey instrument was developed based on the six dimensions of organizational capacity found in the first phase. Items were generated within each of the dimensions based on the findings from the interview data and relevant literature in organization theory, public and nonprofit management. For two dimensions, collaborative and knowledge capacity, existing, validated measures were used in addition to the items created from the interview data. A measure of organizational learning capacity developed by Jerez-Gomez, Cespedes-Lorente, and Valle-Cabrera (2005) was particularly helpful in thinking about the role of knowledge and learning in building organizational capacity. In addition, a validated measure of collaboration developed by Thomson, Perry and Miller (2007) was useful in thinking about the important variables involved in an organization's capacity to participate in collaborative arrangements. The first draft of the survey instrument was developed in the fall of 2009 and included 186 items within the six subscales. The response scale for the instrument consisted of a five-point likert scale with 1 being strongly disagree, 2 being disagree, 3 being neutral, 4 being agree and 5 being strongly agree.

Pretesting

The next step was to pretest the instrument with a small group of individuals who are representatives of the sample population. A group of five individuals were identified to complete the questionnaire and participate in a focus group about the specific questions. The focus group

participants were executive directors of nonprofit organizations that deliver local social services in Virginia.

The purpose of the focus group was to enhance face and content validity of the survey instrument by systematically reviewing each questionnaire item to ascertain if there was any confusion or uncertainty about what each question is asking as well as to determine if the use of language and terminology is appropriate to the sample population. A secondary purpose of the focus group was to ask the participants if there were important issues related to the capacity dimensions that were left out (Czaja and Blair 2005) and to select the items that were most pertinent to each capacity dimension. One of the concerns in the first stage of instrument development was that the instrument was too long and needed to be significantly shortened before fielding the survey.

The focus group session took approximately four hours and was completed in January 2010. The session was recorded in order to ensure that all participant feedback was documented. The questionnaire was revised to reflect the feedback from the focus group participants. In addition, I asked a number of experts in social service delivery organizations in local government in Fairfax County, VA to review the survey and provide feedback. Taken together, the feedback allowed me to cut several items. The final instrument included 58 items among the six subscales (See Appendix C for complete survey instrument).

Sample

The targeted population for the survey was organizational representatives that interact with the Models for Change project organizations at the local level in Pennsylvania, Illinois, Louisiana and Washington. In other words, the local jurisdictions that were the focus of the quantitative phase are the same as in the qualitative phase. In order to obtain the sample for the

survey, the site lead for each local jurisdiction was contacted and asked to identify managers within organizations that provide relevant services in the communities of focus. Accordingly, survey respondents were managers in public and nonprofit organizations in the following substantive areas: juvenile justice (probation and detention), mental health, substance abuse, and education. With one exception⁶, all local jurisdictions participated in the survey. In a minority of cases, the individuals identified for the survey were the same individuals that participated in the interviews. A total sample of 170 was identified for the survey.

Data Collection

Data was initially collected electronically through a web-based questionnaire. An electronic survey format was chosen for several reasons. One, an electronic survey is less time and labor intensive than mail surveys, telephone surveys or in-person interviews. Second, research has shown that electronic surveys produce higher response rates and a higher speed of completion than mail surveys (see Griffis, Goldsby, and Cooper, 2003). Follow-up included web reminders, then a paper survey, and finally a telephone call. The survey was launched over a 10-week period from July 30, 2010 – October 8, 2010. The response rate was 77.6%. The table below details the response rates by local jurisdiction.

Table 8: Survey Response Rates			
Local Jurisdiction	Total Sample	Responses	Response rate
All	170	132	77.6
Pennsylvania	44	33	75
Allegheny- Aftercare	8	7	87.5
Allegheny –Mental Health	4	3	75
Cambria	2	2	100
Chester	8	7	87.5
Erie	12	9	75
Lycoming	10	5	50

⁶ Philadelphia County did not want to participate due to recent leadership turnover.

Illinois	7	6	85.7
2 nd Circuit	4	4	100
Peoria	3	2	66.7
Louisiana	31	22	71
16 th JDC	2	2	100
Caddo	7	1	14.3
Calcasieu	4	4	100
Jefferson	13	10	77
Rapides	5	5	100
Washington	88	50	56.8
Benton/Franklin	7	5	71.4
Clarke	7	4	57.1
King	40	17	42.5
Pierce	18	12	66.7
Spokane	16	12	75
Site Unknown		21	

Data Analysis

Once the survey was closed, the data was downloaded to Excel from the online survey website. The data was cleaned and each survey respondent's organization and local jurisdiction was recorded and confirmed. This was done so that I could identify the organization and particular local jurisdiction of the survey respondent. Personal Identification information on the survey respondent including name and email address, was part of the original Excel document, but it was deleted once the organization and local jurisdiction data was confirmed. The data was then exported to SPSS to run the statistical tests.

Before running any statistical analysis, I reverse coded two items within the financial resource subscale because they were the only items negatively worded in the instrument. The following are the two reverse coded items:

1. My organization has eliminated or closed or considered eliminating or closing a program as a result of a lack of funding within the last five years.
2. My organization does not spend enough money on staff salaries.

To reverse code these items, I utilized one of the data transformation techniques in SPSS to recode the two items, so that all 5's (strongly agree) were recoded to 1's (strongly disagree); all 4's (agree) were recoded to 2's (disagree); 3's stayed the same; all 2's (disagree) were recoded to 4's (agree); and all 1's (strongly disagree) were recoded to 5's (strongly agree).

Reliability and Validity of Results

The primary aim of the quantitative analysis was to empirically examine the findings from the qualitative phase across a broader sample of organizations. In other words, the goal of this second phase was to provide more empirical evidence that the six dimensions represent elements of the theoretical construct of organizational capacity. As a result, the survey instrument was developed based on the six dimensions of organizational capacity developed in the qualitative analysis in Chapter 4. Because my interest is on measuring each of the dimensions as a way of understanding the construct of capacity more fully, statistical analysis focused on testing the reliability and validity of the scale.

Reliability measures are important because they measure the internal consistency of the items. Internal consistency can be defined as the extent to which items on an instrument are measuring the same construct. In the context of this study, measuring the internal consistency of items provides evidence that the items within each subscale are measuring the particular capacity dimension. In order to measure internal consistency, I utilized the Cronbach Alpha coefficient. The Cronbach Alpha coefficient ranges from 0 to 1, with 0 meaning results have no reliability

and a high level of error and 1 meaning perfect reliability with no error. The acceptable range in publications tends to be .70 or above, so that is what I used to distinguish between a high reliability Cronbach Alpha coefficient (.70 and above) and a low reliability Cronbach Alpha coefficient (.69 and below).

Whereas reliability has to do with the internal consistency of the scale, validity has to do with the meaning behind the scale. Validity tests help the researcher be confident that what she thinks is being measured is actually being measured. It is important to note that valid measurement scales must be reliable, but not all reliable measurement scales are valid. In other words, reliability of measurement scales is a necessary but insufficient measure of the validity of measurement scales. Therefore, it is necessary to perform validity tests on scales. Unlike reliability, validity cannot be assessed by one statistical test. There are multiple ways to measure the validity of a scale. I used both content validity and construct validity in my analysis.

Content Validity. Content Validity refers to extent to which the instrument fully measures the construct of interest, in this case, organizational capacity. Content validity cannot be assessed by a statistical test; it can be assessed by experts on the clarity, readability and comprehensiveness of the instrument in relation to the construct. This process often referred to as assessing face validity of the instrument is completed prior to fielding the instrument. My efforts to assess content validity are described above in the “Pretesting” section which provides details on the experts that evaluated the instrument.

Construct Validity. Construct Validity refers to the extent to which an instrument measures the theoretical construct it is intended to measure. I utilized two specific measures to evaluate construct validity: convergent and discriminant

validity. Convergent validity tests whether constructs that are expected to be related are actually related. In the context of this study, convergent validity tests the extent to which the six different subscales relate to the theoretical construct. In operational terms, convergent validity was explored by looking at the correlations between each of the subscales. Discriminant validity tests the extent to which the subscales measure distinct dimensions of the theoretical construct. In the context of this study, discriminant validity tests the extent to which the six subscales are distinct dimensions of capacity. In order to determine this, correlations of items in each subscale were compared with the correlations of items within the other subscales. To confirm discriminant validity, the items within a particular subscale should be more highly correlated than with items in other subscales.

Limitations

There are a number of limitations of this study. First, because the data for this project was derived from a Foundation initiative, the selection of interview and survey participants is purposely selected and not random. This could lead to research bias because the Foundation intentionally chose these states and local jurisdictions for particular reasons. These reasons include geographic diversity, commitment to reforms, and differing needs and opportunities that are reflective of other state juvenile justice systems. Because the selection of these states was partially based on diversity both geographic as well organizationally, bias, while still a concern, is minimized. In addition, this study focuses on exploring the resources, capabilities, and processes of organizations in the field of juvenile justice. My research does not directly evaluate or assess performance outcomes for these organizations, further lowering the potential for bias.

Particular to the survey portion of the study, in most cases, only one individual manager from each organization responded to the survey. This is a limitation because most of items on the survey instrument are perceptive measures. In other words, the survey provides data on the individual's perception of capacity within their organization. The emphasis of this study was to empirically investigate the six dimensions of capacity as related to the theoretical construct of organizational capacity. By surveying over 100 organizations in 22 local jurisdictions across four states within the juvenile justice policy field, I was able to limit bias and have more confidence in the generalizability of my results in the juvenile justice service delivery organizations. Although beyond the scope of this study, a complementary approach would be to field the survey to multiple individuals in the same organization at different levels within the organization to ascertain the extent to which their perceptions about capacity are similar or different.

A final limitation was the relatively low sample size of 132. This modest sample size prevented me in performing factor analysis on the data as a method to determine construct validity. Ideally, a sample size of over 200 is recommended for confirmatory factor analysis. The correlations tests proved useful in understanding the dimensions more fully, however, future studies with a larger sample size would benefit from conducting confirmatory factor analysis because the findings from the analysis would increase confidence in the theoretical model.

CHAPTER 4: QUALITATIVE FINDINGS: IDENTIFYING AND DESCRIBING SIX DIMENSIONS OF ORGANIZATION CAPACITY

This chapter presents the qualitative findings based on an analysis of the two waves of interview data. The purpose of the qualitative data collection and subsequent data analysis was to explore dimensions of organizational capacity that are relevant to the work of those that work within the juvenile justice system, which includes juvenile probation, juvenile detention, education, mental health, and nonprofit service providers. The driving research question for this phase of the dissertation is: *how do local service providers in the field of juvenile justice describe the processes and resources (or lack thereof) that facilitate and/or inhibit their capacity to deliver services to justice-involved youth?*

As described in Chapter Three, there were two waves of interview data collection, which took place between 2008-2010. A total of 56 group field interviews were conducted over the two-year period of the study. The first wave included 18 in-person group field interviews at the local service delivery level and 20 phone interviews with state level thought leaders. The second wave of data collection included a second interview of the 20 in-person group field interviews at the local service delivery level. The purpose of the first wave interview was to understand the context of the work of the organization as well as the perceived facilitators and barriers the organizations face. The second wave interview was focused on issues of organizational capacity based on the findings from the first wave data collection. The data analysis process consisted of coding the transcribed interview manuscripts. The development of the coding structure for the first wave of data collection was driven by the following question: what are the organizational

resources and capabilities (or lack thereof) that both facilitate and inhibit the work of the organization? The second wave coding structure was based on the six dimensions of capacity. Table 9 presents the codebook for both waves of data with the definitions for each dimension, which guided me through the coding process. In coding qualitative data, I used the below definitions to help me reduce the significant amount of interview data to those pieces of the interview that related to organizational capacity. You will notice that Year Two's capacity dimensions are slightly different from Year One. This change represents the revised codes based on finer parsing of the Technical Capacity dimension in Year One.

Table 9: Codebook for Two Waves of Interview Data	
Year One – Interview Data Codebook	Year Two – Interview Data Codebook
<p>1. Capacity: the ability of the organization(s) to do the tasks required to enable them to implement the change effort. There are a broad set of organizational resources that may contribute to the capacity of organizations to implement change efforts, including:</p> <ul style="list-style-type: none"> a. Human: most identifiably, staff whose time is dedicated to the change effort. b. Technical: evidence that the organization(s) have the skills, knowledge and organizational processes in place to effectively do the work. c. Stakeholder commitment: evidence that key stakeholders perceive the change effort as a priority and allot resources (human, technical, financial) to support it. d. Financial: the ability to adequately fund the change effort e. Collaborative Capital: the 	<p>Human Resource Capacity: defined as having adequate staff with the professional expertise and skills to effectively do the work associated with the reform effort at both the organization and system level.</p> <p>Financial Resource Capacity: defined as the ability to adequately fund the ongoing reform effort at the organization and system level.</p> <p>Technical/data Capacity: defined as the ability to utilize data to inform policy and practice at the organization and system level.</p> <p>Knowledge Capacity: defined as the ability to integrate new ideas and practices within the organization.</p> <p>Stakeholder Commitment Capacity: defined as the ability to garner support from key stakeholders for the reform effort.</p> <p>Collaborative Capacity: defined as the extent to which collaborative processes are utilized in the change effort.</p>

extent to which collaborative processes are utilized in the change effort.	
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In the end, the coding process produced six dimensions of organizational capacity that are relevant to these organizations. They are: human resource capacity, financial resource capacity, technical/data management capacity, knowledge capacity, stakeholder commitment capacity, and collaborative capacity. Because of the large amount of interviews, each capacity dimension has an abundant amount of codes associated with it. This provides increased confidence that the dimensions reflect important capacity domains relevant to the organizations interviewed. Table 10 lists the number of codes associated with each capacity dimension for each wave of interview data.

Table 10: Number of Codes Organized By Capacity Dimension and Wave of Data Collection			
Year One – Interview Data Number of Codes		Year Two – Interview Data Number of Codes	
Human Resource Capacity	1616	Human Resource Capacity	308
Financial Resource Capacity	833	Financial Resource Capacity	203
Technical Capacity	918	IT Capacity	276
Stakeholder Commitment Capacity	1688	Knowledge Capacity	295
Collaborative Capacity	2098	Stakeholder Commitment Capacity	336
		Collaborative Capacity	363

The key components of each dimension that emerged from the interview data are presented below. The specific components within each of the dimensions were evaluated based on the number of times individuals mentioned the component. The decision rule for including an

element of a particular capacity dimension was a majority of the local jurisdictions had to mention or describe that specific aspect of capacity. This was done in order to assess which aspects of the capacity dimensions were reflected across local jurisdictions in all four states.

The findings below are discussed in the context of the existing literature within each of the dimensions. To further illustrate the findings, quotations are provided that are representative of the themes that emerged from the data. The specific quotations presented were chosen because they illustrate the particular component of the dimension well.

Human Resource Capacity

Possessing adequate staff resources with the professional expertise and skills to accomplish the work of the organization is arguably an organization's most critical resource. Personnel as a core element of an organization's capacity are prevalent in public management literature (Burgess 1975; Ingraham, Joyce et al. 2003; Christensen and Gazley 2008). Human resources also emerged from the interview data as an important capacity dimension in the ability of an organization to do its work.

There are a number of elements to this dimension as described by the interview participants. First, the ability to maintain a sufficient number of staff to effectively accomplish the work of the organization was identified as a baseline for human resource capacity. Without basic staff capacity, an organization does not have the capacity to achieve its goals. The following are representative quotations describing this element of human resource capacity:

- “Staffing is a huge issue. I think they’re woefully understaffed, particularly in terms of mental health and mental health professionals, so I’d really like to see more mental health staff there, for them to be budgeted in a way that they can

get more skilled mental health professionals there. That's a huge thing as far as I'm concerned."

- "They don't have a staff. They don't have an administrative staff to run between the institutions and work on issues. They don't have any administrative staff to speak of it. It's a huge barrier. And it was from the start. And what surprised me was that this transition team sat around planning all this stuff as if there was a staff to implement it."

These quotations describe concern about the lack of capacity both at the service delivery and administrative level. Some also described the results of this lack of basic human resource capacity on how the work was performed within the organization. In particular, some described the impacts of lack of staff capacity on the workload of frontline staff. As one interview respondent described it:

"The caseloads are very high. People are very frustrated because they feel like they can't do the basics of case management and now we're asking them to this too and again it goes back to when we deal with people in the other, human services fields, I have said our probation officers cannot be mental health workers or child welfare workers and they would look at me, they would say why not? You just said 65% of them are kids are coming into the system with a diagnosis already. I said yes but they have a very complicated task specific job to do, it is filled with things to do all day."

This statement highlights the impacts that low human resource capacity can have on existing staff and the work that they do. This particular interview participant was describing how lack of staff capacity in variety of social service organizations in the local government increases not only the workload of juvenile justice probation officers, but also the nature of their work because they are forced to take up the slack for the limited number of mental health and child welfare workers.

Second, the ability to recruit skilled and knowledgeable staff impacted their organization's human resource capacity. As one interview respondent stated:

"I think that although we have a lot of people coming out of school and you would think that we have a lot of choices in terms of who we can hire. That's not necessarily true. The field is pretty saturated. I mean if that's also what you're talking about. It is not easy to hire right now and it's not easy to find people with that come in with any kind of background."

This individual stressed the difficulty in finding skilled individuals within the larger environment or community. Many interviewees alluded to the difficulty in recruiting individuals with the expertise needed to effectively do the job. For these individuals, the lack of skilled and credentialed staff negatively impacted their organization's capacity. As another interviewee stated:

"One of the mental health providers that we use most often had never heard of MST (Multi-Systemic Therapy). There's a real lack of awareness in a population of folks that should know this information. In terms of workforce development we need our institutions of higher education to be doing a better job of training mental health professionals about what works and what doesn't."

Another interviewee concurred:

"The other element that I would add to human resource capacity is the skill level and the training of the people in those positions. And there's a lot of variability but a lot of them are very young and out of school and as you know the schools don't necessary train on some of the most significant evidence based practices that we need to see."

Given the need for increased skilled staff, providing professional development and training opportunities to staff can help build an organization's human resource capacity. The ability of an organization to provide training within the organization and from external sources is an important component in developing skilled staff. Training as a capacity component will be described under knowledge capacity.

Financial Resource Capacity

Given the financial crisis most states and localities face, it is no surprise that financial resource capacity was identified as a critical capacity dimension that impacts all other dimensions. For example, organizations cannot build capability without financial resources and organizations cannot have adequate human resources without the funding to support them. The key elements of financial resource capacity that emerged from the data include: a stable and diverse funding stream and having adequate funding for client services.

The presence of stable and diverse funding is fundamental to building and sustaining an organization's capacity (Gargan 1981; Honadle 1981; Frederickson and London 2000; Ingraham, Joyce et al. 2003; Christensen and Gazley 2008). Due to the volatility of state and local budgets over the last two years, interview participants stressed that the relative instability of funding streams. The following are representative quotations from interview participants discussing the unstable nature of their funding situation:

- “Financing is a huge issue. Like I said, only half of our budget is supported locally. The rest comes from other sources or from yearly pleading with their local commission to amend the budget. We’ve had three failed sales tax elections where the general public

was asked to support a small amount of sales tax increase which would go directly to juvenile justice and that's been defeated three times.”

- “I don’t have any confidence in anything coming from the state. I don’t see anything on the horizon that says the finances are going to get any better. As a matter of fact, it feels like they’re going to be getting worse.”
- “We have had some funding at risk, but at this point, not eliminated in terms of funding from our Office of Juvenile Justice, and there were lots of concerns that because of our-, our new governor, who’s very fiscally conservative and has a history of aggressive budget cuts, and really has made some this year, we really were concerned that some of our local programming’s going to be eliminated, and, it was such a large sum of money that our local government probably would not have been able to step in, and fill that gap
- “I think the financial situation is probably a negative right now although we are a rich county, but I think everybody’s suffering because we just don’t know what’s going to happen with the availability of treatment services and even in the county right now we’re not really afraid too much of this department being wiped out, but what is the future as far as ability to fill positions, I think that’s a real concern.

Without a stable funding structure, the ability of an organization to adequately fund existing services is compromised. Sometimes, the only choice is to cut services, which limit the capacity of the organization to fulfill its mission. As one interview respondent noted, “the budget is not going to fully fund everything that we had in the past and we’re gonna have to make pretty difficult choices about what we’re gonna keep and what we’re not going to keep.” The

following are representative quotations from interview respondents discussing their concerns about the impact of lack of funding:

- “Many jurisdictions are laying off lots of people and if that continues and worsens, the level of services that people are receiving are also being cut so the providers are having fewer services, so we’ve got the most fragile people who had something of a safety net and the safety net is getting wiped out and so the idea that people will be able to maintain 25% reductions in commitments. I have no confidence in that.”
- “It’s all of the above. There just isn’t funding. You know you’re robbing from operational costs to do any of those things. You know they don’t have field services, so there isn’t a juvenile parole service outside of (identifying reference) County. The County is the only one that has juvenile parole.”
- “They don’t have the funding - I mean there was a ton of planning done before the separation, before it was passed through the legislature. they had real good ideas about what they want to do, and what they needed to do. Matter of fact when they started they simply had a director and that was it. I mean he didn’t have any help, he didn’t have any staff.

These statements exemplify the importance put on funding as a baseline resource for the organizations. These quotations are similar to the ones on human resource capacity in that these resources are understood by the interviewees as foundational for all other types of work the organization does. The lack of a stable and diverse funding stream results in cutting services across the board.⁷ This impacts an organization’s capacity by limiting funding for

⁷ It is important to note that these interviews took place during the height of the financial crisis. The intensity of the quotations reflect the higher than normal uncertainty about their organization’s funding situation.

staff, direct services, training and other organizational resources that affect an organization's capacity to do its work.

Information Technology Capacity

The ability to utilize data to inform policy and practice emerged as a significant capacity dimension in three distinct ways: the utilization of a data management system, if and how data is analyzed and used by management to make organizational decisions, and the ability to have access to data from other organizations.

Having the necessary technological infrastructure, including the equipment (hardware, software, operating system) to effectively implement information technology (IT) systems within an organization was viewed as critical. In particular, the ability of the data management system to capture pertinent information about client services impacts the organization's ability to assess their performance. As one interview respondent described the shift in perspective on the importance of information technology capacity:

“But I think we’ve come a long way even prior to that just in the mindset of the importance of collecting data.... I think we’ve made a lot progress even to get to the point that we go ‘oh, we may need better equipment. Something that’s not so antiquated and we need to be able to run queries based on zip code or based on you know age or arrest date or whatnot’. Whereas before I don’t even know that everyone had an understanding of why that was important. They would make general anecdotal kind of stories of successes or failures but there was not always the data behind that.”

Another component of technological infrastructure is the staff capacity to effectively apply the IT system. Human IT capacity includes those specialized staff who work directly with the IT system as well as those staff who use the technology in their work (Kim and

Bretschneider, 2004). Training in how to use data management systems was viewed by interview respondents as an important issue impacting their capacity. As one interviewee described it:

“We have been given directions to use the system where we’ve had no formal training.

We’ve had the switch turned on for the [new data management system], and no one from the company who developed it has trained us in how to use it. We’ve got a probation officer who’s just played with it a lot. There’s been no training in this system. And certainly no training about what it’s capable of doing for us. It’s an issue. It’s a huge issue.”

A second aspect of information technology capacity is how data is used and analyzed by management to make organization decisions. Many interview respondents stated that there are no staff dedicated to or skilled in data analysis and management. This results in data being entered into the IT system on a case-by-case basis, but having no access to aggregate data reports that could be used to inform policy and practice. Additionally, many interview participants stated that aggregating data in a usable form is a challenge. As one interview participant stated, “I think collecting data is one thing, but doing something with the data is quite a different story.” Another interviewee said “we’ve got a lot of information available to us. We do struggle sometimes in getting it out and getting the information out in a meaningful way, and then understanding how to use it.” Some interview participants stated that they hesitate to use the data to drive organizational decision-making because of concerns about the accuracy of data collected. Other interview participants stated that there is an increased focus on using data to make decisions.

“I think that the management here is moving in a direction of using data to make decisions. We have judges who want outcome information. Previously, our ability to give that kind of information was very limited, it’s so new now, I really don’t have a history to tell you of how it has been used just yet. I just know that there is a goal to use aggregate data to make decisions within the system, and to look at ourselves much more critically rather than anecdotally.”

In those counties that do use data in decision-making, it was the advocacy of management for data-driven decision-making that made the difference. This is consistent with the literature that argues that buy-in from top administrators in an organization is important to building IT capacity because they can mobilize resources in support of IT systems (Kim and Bretschneider, 2004) and can communicate the value of using IT systems to organizational members. One such manager described how his department uses data in this way:

“Data is so important because it can be the impetus for new procedures and practices. We get a set of data and then we start asking more questions, and then we start breaking down, and finding different decision points, and then asking questions there. And we were able to identify, for instance, some of the local policy changes that we’ve had, as a result of our digging deeper into our data.”

In addition to developing IT capacity in an organization, many public organizations also benefit from sharing information across organizational boundaries. Interorganizational information sharing is particularly relevant to public and nonprofit organizations involved in providing juvenile justice services because of the cross-cutting issues in a variety of areas including mental health, substance abuse, and education to name a few. Because services for

justice-involved youth often involve multiple public agencies, sharing data and information is increasingly necessary. Scholars have identified several benefits of interorganizational information sharing including streamlining data management systems in an effort to avoid duplication, improving the quality and availability of data, enhancing trust among agencies, and encouraging integrated planning and service delivery (Dawes, 1996; Zhang et al., 2006). The interview data reflect these perceived benefits of information sharing, but most interviewees stated that the barriers to information sharing, including confidentiality concerns and incompatible hardware and software systems, prevent effective information sharing across agencies and can have a negative impact on their IT capacity. The following are representative quotations from interview participants discussing the opportunities and challenges of inter-organizational information sharing efforts:

- “I think the the emphasis needs to shift more to sharing information in a way that informs decision-making for all organizations. So that’s what we need to do, and again, I talked about agencies getting married in a formal way, and I think that’s one way to do it. If in an ideal world we’d have something like a data-management group that had representatives from all the relative, relevant agencies working on this, talking about how our systems could talk to each other better, what kinds of reports we need, how we can share that information with each other better.”
- “These systems don’t speak to each other so the information data doesn’t flow across systems. The school district has tremendous amounts of data about their students and their families and their conditions but that system doesn’t speak to any of the other systems. What we need is the next generation of data systems. It’s going to be the next

generation of data systems that then speak fluidly to each other, where the only barriers will be ones that are put in place and deliberately.”

- “There’s obviously issues, big issues. Often times the discrepancies are not small. How all of different offices keep their numbers are obviously very different than how the next one does. So if I go to the DA’s office I get one set of numbers. If I go to the Courts, I get another set of numbers. If I go to the Detention Center, I get another set of numbers. If I go to OJJ I get another set. And I have to try and piece all of that together. And it often times it just simply does not make sense. And even when I ask the justification. How can you explain this? Well what we’re accounting is one case. Someone else must be accounting as two because there may be multiple offenses and so and so forth. Even when I’ve tried to wade through that that doesn’t account for the difference.”
- “Another issue is concerns, that the sharing of the information might result in further putting the kid at risk. You know for other charges or for something like that and so also protecting the child, in the sharing. So that’s another important issue”.

Knowledge Capacity

The ability for organizations to learn to “do things differently” and to embed those new policies and practices within existing organizational processes is a core capacity (Hult and Ferrell 1997; Jerez-Gomez, Cespedes-Lorente et al. 2005). Similar to scholarship on absorptive capacity which focuses on the organizational routines and processes by which organizations develop, assimilate and apply new knowledge (Cohen and Levinthal 1990), I refer to this as knowledge capacity and it emerged from the interview data as the ability to integrate new ideas and practices within the organization. This capacity dimension reflects both the importance of

knowledge and its role in collective learning within the organization. Knowledge capacity is impacted by the level of training in new practices, communication strategies of management, and the ability to adopt practices and techniques from other organizations that are seen as successful.

Adopting new practices and policies from other organizations reveals an openness to experimentation by management that is seen as an important capability within an organization (Jerez-Gomez, Cespedes-Lorente et al. 2005). Managers that promote innovation as way to improve organizational processes and practices are seen as a prerequisite for effectively integrating new ideas within an organization. Managerial commitment to learning supports proactive communication strategies, including the ability of frontline staff to provide feedback to management throughout the organization to implement new practices. As one interview respondent described their success in implementing new strategies within their organization:

“And then the capacity to do the total outreach- the whole point is you have to do it in a timely manner, you have to do it methodically, and you have to do it in a intentional manner as far as training and outreach and sharing the knowledge. I think the strength of that is that we’ve kept the key managers. The key people that are the drivers have stayed around. So you don’t have them leaving and you start all over with the new drivers.”

Aside from communication strategies, training was identified as the most utilized strategy of dissemination of new knowledge within the organization. Training is a learning mechanism by which an organization implements new routines. Interview respondents stated that training from both internal and external entities positively impacted their capacity to disseminate new practices within the organization. As one interview respondent stated, training in evidence-based screening assessments “has raised the competency of our staff because they are making better decisions, are more competent in proceeding in their cases, and more confident in what they ask

families to do.” On the other hand, lack of training in new practices by some localities resulted in a lack of alignment between policy and implementation by frontline workers. As one interviewee stated:

“It never made it to the people who actually need the information. It was all policy. All of that made sense and it was well thought out and the product was wonderful, but in terms of getting it to the people who are on the frontline, who need to know what the policy is, what the thinking is, they don’t know.”

Other interview respondents explained the problem the following ways:

- “He had an inherited staff of people who were trained under an adult corrections administration that in the mid-90s was tough on crime. Lock ‘em up we put them away, we punish them, that’s what we do. So that’s another that’s a barrier that’s something that the new department inherited. And particularly without a training capacity it’s hard to work through that.”
- “There’s been no cultural shift in the Department because there’s no training because the leadership in the Department says there are no resources in the Department to do training. If you’re not trained in the change of a culture, you can’t do your job differently.”

Other interviewees alluded to the importance of training that directly applies to staff:

“If you ask the staff there, they’ll tell you they’ve been trained to death. They’re always in training and we go in and say “We’re going to offer this training”, and they’ll roll their eyes. Well, why? Because the training hasn’t been useful to them, do you know what I mean? It doesn’t help them, I think in their day-to-day understanding of the importance of what they do and it doesn’t help them with their jobs.”

Still others described other strategies to increase staff's knowledge capacity, as this interviewee stated:

“You can come in and talk about evidence-based practices and you can come in and talk about the importance of collecting data and all of these things, but most people have to see that what you're talking about is legit and so I think by sending the training certainly helps. But I think by sending people on some site visits to actual locations to see how certain programs are being implemented and to hear on-site testimonials of this is what we were doing and these were the results that we were getting. This is what we're doing now and these are the results we're getting. And then also to visit places that were mirror images of our area that helped too. Because sometimes you'll go well sure you can do that in Chicago but you know we were able to visit some of the places that face some of the same challenges that we do and they were able to get creative and make some things happen.”

Additionally, the institutionalization of knowledge within the organization through the development of training manuals and routines is what transforms individual learning into organizational learning (Huber 1991). Integrating knowledge into the organization's formal rules, procedures, and practices build's an organization's collective knowledge and guards against losing knowledge as a result of staff turnover. As one interviewee describes the importance of developing manuals:

“We’re working to improve that because that’s a weakness we have here, and that is, they’re individual people with isolated bits of knowledge that if they disappeared from the workplace tomorrow, they would not be replaceable.”

Stakeholder Commitment Capacity

While the first four capacity dimensions primarily focus on the internal operations of an organization, the final two dimensions describe how the organization’s interaction with its environment can impact its capacity. Garnering and sustaining support from external stakeholders, including political representatives and leaders from other organizations are particularly germane when service provision requires interagency coordination. Increasingly, public problems and issues are too broad for a single organization to address (Nowell 2010), therefore it becomes necessary to engage a wide variety of stakeholders in the work of the organization. Juvenile justice is one such public policy domain that requires coordination between a number of public organizations that provide services to justice-involved youth including juvenile justice, mental health, substance abuse, law enforcement, and education. Mobilizing support from external stakeholders is a form of “political management”, whereby, organizational actors engage key stakeholders in an effort to deliver public services more effectively (Moore 1994). I refer to this as stakeholder commitment capacity and it is impacted by the ability to effectively engage external constituencies, including outreach to “hard to reach” groups, interacting with stakeholders on a regular basis, receiving buy-in for new initiatives and efforts from political representatives and other public agencies.

Achieving stakeholder support often results from relationships between individuals within the different organizations. Personal connections emerged from the interview data as

critical to building stakeholder commitment. In those local sites that see one of their capacity strengths as stakeholder commitment, they stressed that there is a high level of credibility and trust among key stakeholders because of the strength of their personal relationships. As one interview respondent stated:

“We work through disagreement and we can battle it out. We’ve had some very interesting discussions. But because we’ve built a good rapport we can have disagreements, we can battle things through and we can come up with, I think, general consensus about how we should act. So I think it’s about the reputation and the respect that people have for each other and then the relationships that are developed that make the difference.”

Another interview participant concurred by stating:

“From the Chief of Court Services to the Judge, to the DA, to the head of the Children’s Coalition, to the Chair of the Youth Services Planning Board, just everybody works so well together. We’ve all been involved in so many other projects at the local level. From my perspective, we are a small community, therefore we all know each other. It’s always the same people doing same work and we’ve just managed to evolve into a group of professionals that appear to work extremely well together. And I think it would be very different if individuals were different people.”

Aside from personal relationships, consistently engaging hard to reach constituencies contributed to an organization’s ability to garner their support. Specifically, the ability of managers to manage “upward” and “outward” is an important capability in gaining support from external constituencies (Moore 1994). Engaging stakeholders sometimes meant involving them

in site visits or training them as a way of educating them. As one interview respondent stated “you can only collaborate when everyone’s educated.” Regardless of the tools used to engage stakeholders, it was the persistence of organizational actors, often public managers, which meant the difference between organizations that successfully engage external constituencies and those that do not. As one interviewee described their success in building stakeholder commitment:

“It’s relationship-driven, but it’s a continual process. Never letting yourself get off the agenda. You know what we’ve done with the schools, what’s really been important is really stay engaged with them all the time and develop partnerships in a collaborative kind of environment with them. We never go for very long without having contact with them. And I think that’s key. It’s certainly relationship, but it’s also that you follow up on what you said you would do, So that people will see that there’s an outcome to whatever energy they put into it.”

Sustaining stakeholder involvement can be challenging, especially when there is staff turnover. Institutionalizing interagency coordination is a long process, and personnel turnover can contribute to a lack of stakeholder commitment capacity as described by this interviewee:

“What all of this is illustrates is the difficulty of cross system leadership. Is that, you can get buy in on cross system stuff when you have very particular people there. But if you’re not able to institutionalize it, before there’s a personnel change-you lose it. And I never in a million years would have thought that this could happen to us. I really learned a lot from this and one of the things I learned is that, institutionalizing something is a much longer and deeper process than what I thought it was. I thought we had it, I thought it could not be broken, no matter what it couldn’t be broken because it was so, part of the culture, but it wasn’t institutionalized enough.”

Collaborative Capacity

Achieving stakeholder commitment is only the first step in engaging external constituencies in the work of the organization. The ability of organizations to promote effective collaboration that will sustain efforts and support enhanced organizational performance (Goodman, Speers et al. 1998) emerged from the interview data as important element of capacity. Collaborative capacity was conceptualized as taking stakeholder commitment to the next level by engaging in collaborative processes that impact the ability of an organization to fulfill its mission. Collaborative capacity is prevalent in the literature at the individual level in examining the individual competencies of managers, including interpersonal and conflict resolution skills, that contribute to successful collaboration (Foster-Fishman, Berkowitz et al. 2001; Getha-Taylor 2008). There is also substantial scholarship focused on the capacity of collaborative bodies themselves (Dyer and Singh 1998; Bardach 2001; Page 2003; Page 2004; Sowa 2008). This literature often examines the capacity of interagency collaborations to achieve the goals of the collaboration. However, there is less scholarship looking specifically at the organizational level of analysis to understand in what ways does collaboration impact the capacity of an organization. It is within the organizational context that interview participants described how their collaboration with external stakeholders can affect their organization's capacity. In this context, collaborative capacity is impacted by an organization's ability to allot staff time to collaboration, to share and receive information and resources from partner organizations, and the level of trust with partner organizations.

Dedicating staff time to collaboration is an indicator of an organization's commitment to collaborative efforts. In those counties that identified themselves as having strong collaborative

capacity, they asserted that collaboration with external stakeholders was an institutionalized practice within the culture of the organization and therefore participation in collaborative efforts was part of their job responsibility. As one interviewee described their organization's collaborative capacity:

“Clearly I think that’s probably our biggest strength and always has been in this community is that we’ve all been able to get to the table and discuss issues and try to find solutions to things collectively and collaboratively. As opposed to each in the individual agency trying run things and do things ourselves. Even with the authority and power of the Court, they do not dictate things to other providers. It’s much more open to let’s all get together and find a way to come to the table and work things out. So that’s probably I think our biggest strength here is the ability to work together.”

Another interview participant stated:

“There is increased collaboration. So here’s an example: we have a workgroup of people coming from different agencies working on different things with juvenile justice reform from different vantage points. So at least within the state there’s better collaboration and more people are looking at it. Particularly as we try and figure out how we can assist DJJ in maximizing their claiming of federal dollars and figure out how we can help them.”

On the other hand, a number of interview participants identified the lack of dedicated staff time to collaboration as negatively impacting their collaborative capacity. For some, the lack of overall staff capacity did not allow time for collaboration. For others, it was the absence of organizational policies supporting staff participation in collaborative efforts. As one respondent stated:

“Our capacity to collaborate is big weakness. That’s what makes it work is everybody being at the meeting, but people don’t have time. There are not time policies that support it and people are too busy. When you’ve got the billable hours, collaboration is not necessarily billable. Schedules don’t allow them to have that kind of flexibility.”

Collaboration requires organizations to share and receive resources with partner organizations. This is the core difference between stakeholder commitment and collaboration. In collaboration, stakeholder commitment is activated whereby stakeholders are not only at the table, but they bring information and organizational resources that can impact collaborative efforts and contribute to an organization’s capacity. As one respondent stated, “I think there are some stakeholders that are more invested than others in what they are willing to do. I think there’s a difference between those that show up and those who actually do something.” Another interview participant put it this way:

“There’s only going to be a certain percentage of people who actually roll up their sleeves and do the work and the rest of them have the title. So I think there’s a lot of people that that initially buy in as being a stakeholder but if they actually follow through and do much more than lend their name, I’m not sure.”

The types of resources that organizations bring the table are well documented in the literature and they include: human, financial, data and knowledge resources (Dyer and Singh 1998; Hardy, Phillips et al. 2003; Arya and Lin 2007; Sowa 2008). These resources can enhance an organization’s capacity by having access to resources that cannot be developed internally. Several capacity dimensions can be impacted by collaboration, including IT capacity through data sharing capabilities (Dawes 1996; Zhang, Dawes et al. 2005) and knowledge capacity

through facilitating knowledge sharing and transfer (Dyer and Singh 1998; Hardy, Phillips et al. 2003).

Reflecting on both the comments relevant to both stakeholder commitment and collaborative capacity, one of the important components of collaborating effectively is developing trust between partner organizations takes considerable time and commitment, however with a high level of trust comes more effective working relationships among organizations (Bardach 2001). This can mean increased access to resources from other organizations, thereby increasing an organization's capacity. The interview participants identified organizational history of collaboration as a key indicator in building trust among partner organizations. Not only is collaboration institutionalized into the culture of the organization, but trust among organizations is high because of past successful collaboration.

Summary of the Six Capacity Dimensions

This chapter presents the findings from the first phase of this study. Based on 56 group field interviews over a two-year period, this analysis focused on identifying and describing the important dimensions of organizational capacity for local public and nonprofit organizations serving juvenile justice youth. The driving research question for this phase of the dissertation is: how do local service providers in the field of juvenile justice describe the processes and resources (or lack thereof) that facilitate and/or inhibit their capacity to deliver services to justice-involved youth? The findings illustrate that there are six dimensions of capacity that relevant to these organizations. They are: human resource capacity, financial resource capacity, information technology capacity, knowledge capacity, stakeholder commitment capacity, and

collaborative capacity. Table 11 lists the components of each dimension as demonstrated through the analysis of the interview data.

Table 11: Summary of Capacity Dimensions	
Capacity Dimension	Key Elements
Human Resource Capacity	<ul style="list-style-type: none"> • Organizational processes aimed at recruiting qualified and skilled staff • Organizational processes aimed at hiring new staff • Adequate staffing resources as characterized by the number of staff and level of skill and expertise • Organizational resources and processes that provide professional development and training opportunities.
Financial Resource Capacity	<ul style="list-style-type: none"> • Funding resources are derived from a stable and diverse funding stream • Adequate funding resources for client services
Information Technology Capacity	<ul style="list-style-type: none"> • Organizational resources for data collection • Organizational processes for analyzing data • Organizational processes for using data • Organizational processes for inter-organizational information sharing
Knowledge Capacity	<ul style="list-style-type: none"> • Organizational processes which support training in new practices • Communication strategies of management • Organizational processes that support feedback mechanisms between frontline staff and management • Organizational processes that encourage adoption of new practices.
Stakeholder Commitment Capacity	<ul style="list-style-type: none"> • Organizational processes that support the effective engagement of external constituencies, including outreach to “hard to reach” groups, • Organizational processes which support interaction with stakeholders on a regular basis • Ability to bring forth political support resources for new initiatives and efforts.
Collaborative Capacity	<ul style="list-style-type: none"> • Organizational processes that support the allotment of staff time to collaboration • Organizational processes that support sharing and receiving information and resources from partner organizations • Ability to build trust resources with partner organizations.

These findings support and extend the organizational capacity literature in a couple of ways. First, consistent with past scholarship (Frederickson and London 2000; Eisinger 2002; Ingraham, Joyce et al. 2003; Christensen and Gazley 2008), these findings demonstrate that organizational capacity is a multi-dimensional construct. In particular, the findings show that organizational capacity consists of a number organizational resources and processes that impact the functioning of the internal organization as well as its relationships with other relevant organizations and external stakeholders (see Table 11 above). This will be discussed further in Chapter Six. Second, specific to this dissertation, these findings provided a foundation for measuring capacity quantitatively. By identifying and articulating the components of the six dimensions, I was able to develop a survey instrument to measure these dimensions. The survey results are discussed in the next chapter.

CHAPTER 5: CAPACITY SURVEY RESULTS AND ANALYSIS

This chapter describes the findings of the quantitative analysis of the survey data. There were 124 organizations that completed the survey, with 8 submitting incomplete responses, for a total sample of 132. As described in the Methods section, data analysis focused on examining the reliability and validity of the instrument. The guiding research question for this phase of the study was: how are the six dimensions of capacity supported or not supported by the survey results? The results are presented at two levels. The first level, the item level analysis, examines each of the six subscales separately. This analysis was conducted using a variety of internal consistency measures including, item means, Cronbach Alpha scores, and inter-item correlations. Through this process, poorly performing items were discarded. The second level of analysis, the scale level analysis, utilizes the revised scales from the item-level analysis to measure the construct validity, including conducting the convergent and discriminant validity tests.

Item Level Analysis

This first level of analysis involved analyzing each subscale independent of the other subscales in order to evaluate the individual items in relation to other items in the subscale. Internal consistency measures were the main analytical focus because I wanted to ascertain if the items were measuring the same construct. To do this, I focused on three measures: the Cronbach Alpha coefficient, the inter-item correlations and the item means. As described in the Methods section, I utilized a Cronbach Alpha coefficient of .70 and above as an acceptable high reliability score. Inter-item correlations measures the correlation of the items with other items on the subscale. Therefore, items with a high inter-item correlations are what we are looking for. Scholars disagree about the standard for what constitutes a high correlation. For broad

constructs like capacity, scholars have argued for inter-item correlations of at least 0.2 to 0.3 (Clark & Watson, 1998; Kline, 1986). For this study, I discarded items that had correlations of less than .2. I also examined the item means as a way to identify the level of variance in responses. A mean close the center of the scale is best (3.5 for this study). However, measurement scholars do not provide hard guidelines in this regard (DeVellis, 1991). For this analysis, I considered discarding any item that had a mean greater than 4.5.

The remainder of this section details the results of the item level analysis for each of the six subscales of organizational capacity.

Human Resource Capacity Subscale

The interview data suggested that human resource capacity was impacted by the ability of an organization to recruit and retain qualified and skilled staff, hire new staff, and offer professional development and training opportunities for staff. In addition, the capacity literature (citations) stresses the importance of having human resource management systems in place, which helps to facilitate recruitment, hiring, and training processes within the organization. Therefore, the questionnaire items within this subscale attempted to measure both the extent to which the organization has human resource management systems as well as particular questions about levels of staffing and staff characteristics. The specific items can be found below in Table 12.

Table 12: Human Resource Subscale Items
The majority of our service delivery personnel have college/university degrees directly related to their roles and responsibilities.
The majority of our administrative personnel have college/university degrees directly related to their roles and responsibilities.
Our organization has the appropriate number of staff to fulfill its mission
My organization has accurate position descriptions for each paid position in the organization.
My organization provides an organizational orientation for all new employees.
My organization provides performance appraisals to staff on at least an annual basis.
Our organization has adequate skilled, trained, and knowledgeable staff to provide all necessary training.
My organization has the ability to hire required staff with relevant education, credentials, and experience necessary to effectively do the job.
My organization has the ability to recruit needed staff in a timely manner.

The reliability statistics for this scale show that the Cronbach Alpha coefficient is .716 (see Table below). This coefficient is at the borderline of an acceptable Alpha coefficient of .70. The item means (See Item Statistics Table) illustrate that there are three items that have a high mean, defined as above 4.5. These items are:

- The majority of our service delivery personnel have college/university degrees directly related to their roles and responsibilities.
- The majority of our administrative personnel have college/university degrees directly related to their roles and responsibilities.
- My organization provides performance appraisals to staff on at least an annual basis.

Table 13: Reliability Statistics for Human Resources Capacity Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.716	.692	9

Table 14: Item Statistics – Human Resources Capacity Subscale			
	Mean	Std. Deviation	N
HR_service	4.66	.569	125
delivery_education			
HR_administrative_education	4.47	.736	125
HR_staffing adequate	3.15	1.392	125
HR_accurate position	4.20	.907	125
descriptions			
HR_orientation	4.39	.802	125
HR_performance appraisals	4.53	.867	125
HR_Skilled staff_training	3.96	1.095	125
HR_hiring	3.86	1.203	125
HR_recruit	3.45	1.201	125

Moreover, the inter-item correlations table (see table below) indicates a number of items that have low correlations (defined as below .2), including the following items:

- The majority of our service delivery personnel have college/university degrees directly related to their roles and responsibilities.
- The majority of our administrative personnel have college/university degrees directly related to their roles and responsibilities.
- Our organization has the appropriate number of staff to fulfill its mission

Table 15: Inter-Item Correlations- Human Resources Capacity Subscale									
	HR_serv ice delivery _educati on	HR_admin istrative_e ducation	HR_staf fing adequate	HR_a ccurat e positi on descri ptions	HR_or ientati on	HR_per formanc e appraisa ls	HR_S killed staff_ traini ng	HR_ hir ing	HR_ recru it
HR_service delivery_educ ation	1.000	.352	-.076	-.022	-.038	-.021	-.009	.080	-.009
HR_administr ative_educatio n	.352	1.000	.055	.099	.026	.074	.054	.105	.051
HR_staffing adequate	-.076	.055	1.000	.334	.177	.160	.374	.331	.355
HR_accurate position descriptions	-.022	.099	.334	1.000	.279	.285	.471	.300	.346
HR_orientatio n	-.038	.026	.177	.279	1.000	.396	.247	.310	.218
HR_performa nce appraisals	-.021	.074	.160	.285	.396	1.000	.320	.205	.073
HR_Skilled staff_training	-.009	.054	.374	.471	.247	.320	1.000	.302	.339
HR_hiring	.080	.105	.331	.300	.310	.205	.302	1.00 0	.653
HR_recruit	-.009	.051	.355	.346	.218	.073	.339	.653	1.00 0

Given these results, the scale was revised by discarding the four items with high means and low inter-item correlations. The items on the revised scale include:

- My organization has accurate position descriptions for each paid position in the organization.
- Our organization has adequate skilled, trained, and knowledgeable staff to provide all necessary training.

- My organization has the ability to hire required staff with relevant education, credentials, and experience necessary to effectively do the job.
- My organization has the ability to recruit needed staff in a timely manner.
- My organization provides an organizational orientation for all new employees.

The results from the reliability analysis of the revised scale indicate an increase in the Cronbach Alpha coefficient from .716 to .729 as well as item means and inter-item correlations within acceptable ranges (See Tables 17 and 18). However, it is important to note that the correlations between items are on the lower end of the acceptable range. There are very few inter-item correlations that are above .4. This could be the case because human resource capacity is a broad construct incorporating a number of processes and resources.

Table 16: Reliability Statistics- Revised Human Resources Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.729	.726	5

Table 17: Item Statistics- Revised Human Resources Subscale			
	Mean	Std. Deviation	N
HR_accurate position descriptions	4.20	.907	125
HR_orientation	4.39	.802	125
HR_Skilled staff_training	3.96	1.095	125
HR_hiring	3.86	1.203	125
HR_recruit	3.45	1.201	125

Table 18: Inter-Item Correlations - Revised Human Resources Subscale					
	HR_accurate position descriptions	HR_orientation	HR_Skilled staff_training	HR_hiring	HR_recruit
HR_accurate position descriptions	1.000	.279	.471	.300	.346
HR_orientation	.279	1.000	.247	.310	.218
HR_Skilled staff_training	.471	.247	1.000	.302	.339
HR_hiring	.300	.310	.302	1.000	.653
HR_recruit	.346	.218	.339	.653	1.000

Financial Resource Capacity Subscale

The interview data suggested that financial resource capacity was impacted by the ability of an organization to have a stable and diverse funding stream and to obtain adequate funding for client services. Similar to human resource management, the capacity literature stresses the importance of having financial management systems in place. Therefore, the questionnaire items within this subscale attempt to measure both the extent to which the organization has financial resource management systems as well as particular questions about levels of funding. The specific items can be found below in Table 19.

Table 19: Financial Resources Subscale Items
My organization has reserve funds of three months available at any time.
My organization has eliminated or closed or considered eliminating or closing a program as a result of a lack of funding within the last five years.
My organization has policies and procedures for accounts receivable, accounts payable, purchasing, and payroll.
My organization has a yearly financial audit done (internal or external).
My organization does not spend enough money on staff salaries
My organization has been successful in funding existing programs.
My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new service lines, expansion of existing services).

My organization estimates operational costs accurately.
Our funding is adequate to meet our service demands.

A review of the inter-item correlations, Cronbach Alpha coefficients, and the item means (See Tables, 20, 21, and 22 below) indicate that this scale is poor performing. For example, the Cronbach Alpha is .621 and many items have low inter-item correlations. Additionally, the item means vary considerably from 2.4 to 4.7.

Table 20: Reliability Statistics- Financial Resources Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.621	.656	8

Table 21: Item Statistics- Financial Resources Subscale			
	Mean	Std. Deviation	N
Financial_eliminated program	2.414634	1.4481578	123
Financial_accounts receivable	4.707317	.6742538	123
Financial_audit	4.593496	.8477298	123
Financial_staff	2.495935	1.2634456	123
Financial_existing programs	3.796748	1.0239697	123
Financial_attract funds new programs	3.260163	1.0467545	123
Financial_operational costs	4.219512	.8251834	123
Financial_adequate funding	2.666667	1.2523203	123

Table 22: Inter-Item Correlations- Financial Resources Subscale								
	Financial_eliminated program	Financial_ac counts receivable	Financial_a udit	Financia l_staff	Financial_exis ting programs	Financial_attr act funds new programs	Financia l_operati onal costs	Financial_adequate funding
Financial_eliminated program	1.000	-.017	-.049	.155	.201	.020	.150	.276
Financial_accounts receivable	-.017	1.000	.679	.220	.162	.225	.249	.068
Financial_audit	-.049	.679	1.000	.121	.159	.176	.281	-.090
Financial_staff	.155	.220	.121	1.000	.199	.044	.193	.173
Financial_existing programs	.201	.162	.159	.199	1.000	.463	.267	.401
Financial_attract funds new programs	.020	.225	.176	.044	.463	1.000	.228	.242
Financial_operational costs	.150	.249	.281	.193	.267	.228	1.000	.190
Financial_adequate funding	.276	.068	-.090	.173	.401	.242	.190	1.000

Because this scale attempts to measure both financial resource infrastructure as well as organizational funding, I ran two separate reliability statistics for those items that are focused on measuring the financial infrastructure, including the following items:

- My organization estimates operational costs accurately.
- My organization has a yearly financial audit done (internal or external).
- My organization has policies and procedures for accounts receivable, accounts payable, purchasing, and payroll

And for those items that are focused on measuring funding adequacy, including the following items:

- Our funding is adequate to meet our service demands.
- My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new service lines, expansion of existing services).
- My organization has been successful in funding existing programs.
- My organization does not spend enough money on staff salaries
- My organization has eliminated or closed or considered eliminating or closing a program as a result of a lack of funding within the last five years.
- My organization has reserve funds of three months available at any time.

The review of the reliability statistics for each revised scale was equally poor performing. The items that had high inter-item correlations and item means within an acceptable range were the following:

- Our funding is adequate to meet our service demands.

- My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new service lines, expansion of existing services).
- My organization has been successful in funding existing programs.

The Cronbach Alpha Coefficient was less than .7, however this may be because of the fact that there are only 3 items in the scale. Because funding adequacy is an important element to capacity, I chose to keep this revised subscale. Tables 23, 24, and 25 present the reliability statistics, item statistics, and inter-item correlation matrix for this revised subscale.

Table 23: Reliability Statistics- Revised Financial Resources Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.618	.628	3

Table 24: Item Statistics - Revised Financial Resources Subscale			
	Mean	Std. Deviation	N
Financial_existing programs	3.81	1.026	124
Financial_attract funds new programs	3.25	1.049	124
Financial_adequate funding	2.68	1.253	124

Table 25: Inter-Item Correlations- Revised Financial Resources Subscale			
	Financial_existing programs	Financial_attract funds new programs	Financial_adequate funding
Financial_existing programs	1.000	.446	.407
Financial_attract funds new programs	.446	1.000	.229
Financial_adequate funding	.407	.229	1.000

Information Technology Capacity Subscale

The interview data suggested that information technology capacity was impacted by the ability to collect data, having a data management system that is utilized, the use of data to make organizational decisions, and the ability to have access to data from other organizations. The items in this subscale were developed in an effort to measure these aspects of information technology in organizations. The specific items can be found below in Table 26.

Table 26: Information Technology (IT) Capacity Subscale Items
My organization has an automated data management system.
My organization's automated data management and information system is user-friendly.
My organization uses the automated data management and information system for reporting purposes.
My organization has the ability to electronically share data and information with other organizations.
My organization has the ability to electronically track program outputs (ie. Number of clients placed) and outcomes (i.e. impact of those placements in functioning).
My organization provides training in how to use the automated data and information management system
My organization's data management system makes decision-making easier.
My organization has established routines of processing data for programs and services we provide.
My organization has access to the shared data and information systems that we need.
Our data management systems are effective and useful.

The review of the reliability statistics indicate that this is a high performing scale. The Cronbach Alpha is high at .90, the item means are within the mid-range, and the inter-item correlations are well above the .2 threshold (see Tables 27, 28 and 29 below). These results provide a high level of confidence that this subscale is measuring the same construct. Given these results, all items were retained for the scale level analysis.

Table 27: Reliability Statistics- IT Capacity Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.909	.910	10

Table 28: Item Statistics- IT Capacity Subscale			
	Mean	Std. Deviation	N
Tech_user friendly	3.532787	1.1440426	122
Tech_uses_reporting	4.270492	.9450776	122
Tech_share info	3.680328	1.1731598	122
Tech_track outputs	4.000000	1.0523488	122
Tech_training	3.622951	1.1522731	122
Tech_makes decisions easier	3.540984	1.1932838	122
Tech_shared data access	3.483607	1.1658616	122
Tech_established routines	3.934426	.9769044	122
Tech_effective	3.557377	1.2132136	122
Tech_automated data management	4.344262	.9339376	122

Table 29: Inter-Item Correlations- IT Capacity Subscale										
	Tech_user friendly	Tech_uses_reporting	Tech_share info	Tech_track outputs	Tech_training	Tech_makes decisions easier	Tech_shared data access	Tech_established routines	Tech_effective	Tech_automated data management
Tech_user friendly	1.000	.439	.313	.281	.467	.550	.574	.261	.671	.423
Tech_uses_reporting	.439	1.000	.489	.557	.444	.580	.503	.458	.523	.680
Tech_share info	.313	.489	1.000	.669	.295	.502	.513	.465	.393	.358
Tech_track outputs	.281	.557	.669	1.000	.375	.527	.492	.579	.485	.362
Tech_training	.467	.444	.295	.375	1.000	.516	.500	.543	.512	.529
Tech_makes decisions easier	.550	.580	.502	.527	.516	1.000	.660	.605	.766	.536
Tech_shared data access	.574	.503	.513	.492	.500	.660	1.000	.558	.661	.537
Tech_established routines	.261	.458	.465	.579	.543	.605	.558	1.000	.596	.396
Tech_effective	.671	.523	.393	.485	.512	.766	.661	.596	1.000	.493
Tech_automated data management	.423	.680	.358	.362	.529	.536	.537	.396	.493	1.000

Knowledge Capacity Subscale

The interview data suggested that knowledge capacity was impacted by the level of training in new practices, the communication strategies of management, the ability of frontline staff to provide feedback to management, and the ability to adopt practices and techniques from other organizations that are seen as successful. The items were developed based on these findings. In addition, one of the items were taken from a validated measures of organizational learning capability scale. These items were used because they measured aspects of knowledge capacity reflected in the interview data. The specific items can be found below in Table 30.

Table 30: Knowledge Capacity Subscale Items
*My organization regularly updates its instruments (i.e. manuals, databases, files, organizational routines, etc.)
My organization adopts practices and techniques that other organizations are using successfully.
My organization has subscriptions to professional publications.
My organization provides its staff with internal training opportunities including cross training between departments, training in organizational practices, etc.
My organization provides its staff with training opportunities external to the organization through professional conferences, training firms, etc.
My organization actively tries to adapt programs and services in response to significant trends in the field.
My organization provides me with information about best practices related to my job.
My organization promotes knowledge sharing among co-workers about effective service delivery.
My organization supports innovation in service delivery.
My organization regularly schedules meetings/opportunities that facilitate knowledge sharing between supervisors and frontline staff.
<i>* Items taken from organizational learning capability scale</i>

The reliability statistics for the scale produced mixed results. The Cronbach Alpha coefficient was high at .80 and item means were in the acceptable range. However, the inter-item correlations indicated low correlations between a number of the items (see Tables 31,32, and 33 below).

Table 31: Reliability Statistics- Knowledge Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.805	.813	8

Table 32: Item Statistics- Knowledge Subscale			
	Mean	Std. Deviation	N
Knowledge_adopts practices	4.269841	.7089451	126
Knowledge_internal training	4.293651	.9127318	126
Knowledge_external training	4.309524	.8622230	126
Knowledge_adapt programs trends	4.468254	.6284776	126
Knowledge_best practices	4.285714	.8376839	126
Knowledge_knowledge sharing	4.396825	.6821069	126
Knowledge_innovation	4.436508	.6632771	126
Knowledge_Meetings_knowledge sharing	4.365079	.8908708	126

Table 33: Inter-Item Correlations- Knowledge Subscale								
	Knowledge_adopts practices	Knowledge_internal training	Knowledge_external training	Knowledge_adapt programs trends	Knowledge_best practices	Knowledge_knowledge sharing	Knowledge_innovation	Knowledge_Meetings_knowledge sharing
Knowledge_adopts practices	1.000	.136	.203	.343	.287	.290	.258	.210
Knowledge_internal training	.136	1.000	.575	.233	.423	.364	.262	.349
Knowledge_external training	.203	.575	1.000	.350	.275	.388	.405	.362
Knowledge_adapt programs trends	.343	.233	.350	1.000	.382	.477	.504	.392
Knowledge_best practices	.287	.423	.275	.382	1.000	.388	.292	.191
Knowledge_knowledge sharing	.290	.364	.388	.477	.388	1.000	.534	.536
Knowledge_innovation	.258	.262	.405	.504	.292	.534	1.000	.432
Knowledge_Meetings_knowledge sharing	.210	.349	.362	.392	.191	.536	.432	1.000

Based on these results, I discarded a number of items with low correlations and ran reliability statistics on the revised scale (see tables below). The following six items were included in the revised subscale:

- My organization provides its staff with internal training opportunities including cross training between departments, training in organizational practices, etc.
- My organization provides its staff with training opportunities external to the organization through professional conferences, training firms, etc.
- My organization actively tries to adapt programs and services in response to significant trends in the field.
- My organization provides me with information about best practices related to my job.
- My organization promotes knowledge sharing among co-workers about effective service delivery.
- My organization supports innovation in service delivery.

A review of the reliability statistics revealed a higher performing scale. Though the Cronbach Alpha coefficient is lower at .785, it is well within the acceptable range (See Table 34 below). The Cronbach Alpha score is sensitive to the number of items which is the most plausible reason for the slightly lower score. The item means and inter-item correlations are within acceptable ranges (see Tables 35 and 36 below).

Table 34: Reliability Statistics- Revised Knowledge Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.785	.793	6

Table 35: Item Statistics - Revised Knowledge Subscale			
	Mean	Std. Deviation	N
Knowledge_internal training	4.293651	.9127318	126
Knowledge_external training	4.309524	.8622230	126
Knowledge_adapt programs trends	4.468254	.6284776	126
Knowledge_best practices	4.285714	.8376839	126
Knowledge_knowledge sharing	4.396825	.6821069	126
Knowledge_innovation	4.436508	.6632771	126

Table 36: Inter-Item Correlations - Revised Knowledge Subscale						
	Knowledge_internal training	Knowledge_external training	Knowledge_adapt programs trends	Knowledge_best practices	Knowledge_knowledge sharing	Knowledge_innovation
Knowledge_internal training	1.000	.575	.233	.423	.364	.262
Knowledge_external training	.575	1.000	.350	.275	.388	.405
Knowledge_adapt programs trends	.233	.350	1.000	.382	.477	.504
Knowledge_best practices	.423	.275	.382	1.000	.388	.292
Knowledge_knowledge sharing	.364	.388	.477	.388	1.000	.534
Knowledge_innovation	.262	.405	.504	.292	.534	1.000

Stakeholder Commitment Capacity Subscale

The interview data suggested that stakeholder commitment capacity was impacted by the ability to effectively engage external constituencies, including outreach to “hard to reach” groups, interact with stakeholders on a regular basis, and to receive “buy-in” for new initiatives and efforts from political representatives and system partners. The items for this subscale were developed based on these findings. The specific items can be found below in Table 37.

Table 37: Stakeholder Commitment (SC) Subscale Items
My organization has an engaged and active Board of Directors and/or advisory committees.
All important stakeholders are represented on the boards and committees.
The Board of Directors and/or advisory committees have responsibility for and an impact on organizational decisions.
Board of Directors and/or advisory committee meetings are attended by its members at least 75% of the time.
My organization works to make sure all key stakeholders have a voice in the organization.
My organization encourages the participation of key stakeholders in the work of the organization.
My organization receives non-financial support from stakeholders for new initiatives.
My organization rarely has vacancies on its Board of Directors or committees.
My organization is able to garner support from political representatives for new initiatives when needed.

Similar to the information technology scale, the review of the reliability statistics indicate that this is also a high performing scale. The Cronbach Alpha is high at .88 (see Table 38), the item means are within the mid-range, and the inter-item correlations are well above the .2 threshold (see Tables 39 and 40). These results provide a high level of confidence that this subscale is measuring the same construct. Given these results, all items were retained for the scale level analysis.

Table 38: Reliability Statistics–SC Capacity Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.886	.887	9

Table 39: Item Statistics - SC Capacity Subscale			
	Mean	Std. Deviation	N
SC_Active Board	3.97	1.092	120
SC_stakeholders represented	3.65	1.128	120
SC_responsibility_organizational decisions	3.64	1.151	120
SC_Board attendance	3.64	1.067	120
SC_voice in the organization	3.81	.973	120
SC_participation_work of the organization	3.78	.927	120
SC_non-financial support	3.47	1.100	120
SC_Board vacancies	3.32	1.123	120
SC_political support	3.42	.958	120

Table 40: Inter-Item Correlations: SC Capacity Subscale									
	SC_Active Board	SC_stakeholders represented	SC_responsibility_organizational decisions	SC_Board attendance	SC_voice in the organization	SC_participation_work of the organization	SC_non-financial support	SC_Board vacancies	SC_political support
SC_Active Board	1.000	.741	.579	.682	.595	.491	.363	.502	.407
SC_stakeholders represented	.741	1.000	.498	.642	.620	.457	.323	.493	.338
SC_responsibility_organizational decisions	.579	.498	1.000	.586	.576	.486	.319	.440	.304
SC_Board attendance	.682	.642	.586	1.000	.508	.413	.344	.446	.386
SC_voice in the organization	.595	.620	.576	.508	1.000	.717	.359	.472	.357
SC_participation_work of the organization	.491	.457	.486	.413	.717	1.000	.578	.349	.415
SC_non-financial support	.363	.323	.319	.344	.359	.578	1.000	.281	.404
SC_Board vacancies	.502	.493	.440	.446	.472	.349	.281	1.000	.290
SC_political support	.407	.338	.304	.386	.357	.415	.404	.290	1.000

Collaborative Capacity Subscale

The interview data suggested that collaborative capacity was impacted by the ability to allot staff time to collaboration, share and receive information and resources from partner organizations, and the level of trust with partner organizations. The items were developed based on these findings. In addition, a couple of the items were taken from a validated measure of collaboration scale (citation). These items were used because they measured aspects of collaborative capacity reflected in the interview data. The specific items can be found below in Table 41.

Table 41: Collaborative Capacity Subscale Items
My organization actively encourages sharing knowledge with workers in other agencies about effective service delivery.
My organization has established policies and procedures that facilitate work with other organizations.
My organization allocates staff time to inter-organizational collaborations.
*My organization trusts other organizations to do a good job for our clients.
*My organization achieves its own goals better working with partner organizations than working alone.
*My organization assesses the potential of other organizations to be good partners.
My organization's capacity to collaborate with other organizations is based on individual professional connections with workers in other organizations.
*Collaboration is integrated into the mission of my organization
My organization has established processes that encourage collaboration
My organization's capacity to collaborate with other organizations is based on formal/organizational connections between my organization and other organizations.
* <i>Items taken from Perry et al. collaboration scale</i>

Overall, the review of the reliability statistics indicate that this is also a high performing scale. The Cronbach Alpha is high at .88 (see Table 42 below), the item means are within the mid-range, and almost all the inter-item correlations are well above the .2 threshold (see Tables 43 and 44 below). These results provide a high level of confidence that this subscale is measuring the same construct. Given these results, all items were retained for the scale level analysis.

Table 42: Reliability Statistics- Collaborative Capacity Subscale		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.882	.883	9

Table 43: Item Statistics- Collaborative Capacity Subscale			
	Mean	Std. Deviation	N
Collaboration_policies and procedures	4.104000	.9740504	125
Collaboration_staff time	4.072000	.9173595	125
Collaboration_trust	3.848000	.9508570	125
Collaboration_org goals with partners	4.272000	.8267308	125
Collaboration_potential_others partners	4.176000	.8236817	125
Collaboration_formal connections	3.800000	.9245749	125
Collaboration_mission	4.088000	1.0081603	125
Collaboration_established processes	4.184000	.8460916	125
Collab know sharing	4.228000	.8218390	125

Table 44: Inter-Item Correlations- Collaborative Capacity Subscale

	Collab oration _polici es and proced ures	Colla borati on_st aff time	Colla borati on_tr ust	Collab oration _org goals with partner s	Collab oration _potent ial_oth er partner s	Collab oratio n_for mal conne ctions	Coll abor ation _mis sion	Collab oratio n_esta blishe d proces ses	Colla b_kn ow_s harin g_
Collaboration_policies and procedures	1.000	.515	.479	.295	.510	.399	.483	.544	.701
Collaboration_staff time	.515	1.000	.447	.272	.463	.435	.447	.565	.604
Collaboration_trust	.479	.447	1.000	.402	.518	.341	.468	.446	.540
Collaboration_org goals with partners	.295	.272	.402	1.000	.355	.219	.368	.297	.312
Collaboration_potential_other partners	.510	.463	.518	.355	1.000	.375	.467	.555	.625
Collaboration_formal connections	.399	.435	.341	.219	.375	1.000	.305	.408	.384
Collaboration_mission	.483	.447	.468	.368	.467	.305	1.00 0	.680	.516
Collaboration_established processes	.544	.565	.446	.297	.555	.408	.680	1.000	.687
Collab_know_sharing_	.701	.604	.540	.312	.625	.384	.516	.687	1.000

Summary of Item-Level Analysis

The purpose of the item-level analysis was to evaluate the internal consistency of items within the same subscale. These reliability measures allowed me to assess the extent to which these items within the subscales are measuring the same construct. The results reveal that three of the subscales have the strongest reliability. The subscales for information technology, stakeholder commitment capacity and collaborative capacity perform the best. The results of subscales for human resource capacity, financial resource capacity and knowledge capacity provide less confidence that the scales are measuring the same construct. There are a number of reasons why this may be the case. One of the most plausible explanations is that each of these subscales are attempting to measure a broader construct than the other high performing subscales. The result of this is lower inter-item correlations.

The item-level analysis produced revised scales for a number of subscales and resulted in discarding 12 items that proved unreliable. Table 45 below lists the revised items by subscale.

Table 45: Revised Instrument Organized by Subscales
Human Resource Capacity Subscale
My organization has accurate position descriptions for each paid position in the organization.
Our organization has adequate skilled, trained, and knowledgeable staff to provide all necessary training.
My organization has the ability to hire required staff with relevant education, credentials, and experience necessary to effectively do the job.
My organization has the ability to recruit needed staff in a timely manner.
My organization provides an organizational orientation for all new employees.
Financial Resource Capacity Subscale
My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new service lines, expansion of existing services).
Our funding is adequate to meet our service demands.
My organization has been successful in funding existing programs.
Information Technology Subscale Items
My organization has an automated data management system.
My organization's automated data management and information system is user-friendly.
My organization uses the automated data management and information system for reporting purposes.
My organization has the ability to electronically share data and information with other

organizations.
My organization has the ability to electronically track program outputs (ie. Number of clients placed) and outcomes (i.e. impact of those placements in functioning).
My organization provides training in how to use the automated data and information management system
My organization's data management system makes decision-making easier.
My organization has established routines of processing data for programs and services we provide.
My organization has access to the shared data and information systems that we need.
Our data management systems are effective and useful.
Knowledge Capacity Subscale
My organization provides its staff with internal training opportunities including cross training between departments, training in organizational practices, etc.
My organization provides its staff with training opportunities external to the organization through professional conferences, training firms, etc.
My organization actively tries to adapt programs and services in response to significant trends in the field.
My organization provides me with information about best practices related to my job.
My organization promotes knowledge sharing among co-workers about effective service delivery.
My organization supports innovation in service delivery.
Stakeholder Commitment Subscale Items
My organization has an engaged and active Board of Directors and/or advisory committees.
All important stakeholders are represented on the boards and committees.
The Board of Directors and/or advisory committees have responsibility for and an impact on organizational decisions.
Board of Directors and/or advisory committee meetings are attended by its members at least 75% of the time.
My organization works to make sure all key stakeholders have a voice in the organization.
My organization encourages the participation of key stakeholders in the work of the organization.
My organization receives non-financial support from stakeholders for new initiatives.
My organization rarely has vacancies on its Board of Directors or committees.
My organization is able to garner support from political representatives for new initiatives when needed.
Collaborative Capacity Subscale Items
My organization actively encourages sharing knowledge with workers in other agencies about effective service delivery.
My organization has established policies and procedures that facilitate work with other organizations.
My organization allocates staff time to inter-organizational collaborations.
My organization trusts other organizations to do a good job for our clients.
My organization assesses the potential of other organizations to be good partners.
My organization's capacity to collaborate with other organizations is based on individual professional connections with workers in other organizations.

Collaboration is integrated into the mission of my organization
My organization has established processes that encourage collaboration
My organization's capacity to collaborate with other organizations is based on formal/organizational connections between my organization and other organizations.

Scale Level Analysis

The second level of analysis focused on examining the correlations between the different subscales as a way of determining the construct validity of the scale. In particular, the scale-level of analysis assesses the convergent and discriminant validity of the scale. This analysis used the revised scale based on the item-level analysis to assess construct validity. As described in the Methods section, convergent validity tests the extent to which the six different subscales relate to the theoretical construct of organizational capacity as found in the qualitative phase of the study. Discriminant validity tests whether the scale is measuring one construct or multiple constructs. A detailed analysis of the results of both validity tests is found below.

Convergent Validity

To determine convergent validity, the correlations between each of the subscales were examined too see if there was a high level of correlation among the subscales. A high correlation among the subscales indicates that the subscales are measuring the same construct, in this case, organizational capacity. In order to run the correlation test, I took the mean of the scores for all items within each subscale and collapsed them into one variable. Table 46 below displays the correlation matrix for the six subscales.

Table 46: Organizational Capacity Scale Level Correlations^a							
		Collab	Financial	HR	Knowledge	SC	IT
Collab	Pearson Correlation	1	.349**	.415**	.535**	.440*	.355**
	Sig. (2-tailed)		.000	.000	.000	.000	.000
Financial	Pearson Correlation	.349**	1	.416**	.288**	.303*	.309**
	Sig. (2-tailed)	.000		.000	.001	.001	.000
HR	Pearson Correlation	.415**	.416**	1	.452**	.387*	.337**
	Sig. (2-tailed)	.000	.000		.000	.000	.000
Knowledge	Pearson Correlation	.535**	.288**	.452**	1	.426*	.336**
	Sig. (2-tailed)	.000	.001	.000		.000	.000
SC	Pearson Correlation	.440**	.303**	.387**	.426**	1	.347**
	Sig. (2-tailed)	.000	.001	.000	.000		.000
IT	Pearson Correlation	.355**	.309**	.337**	.336**	.347*	1
	Sig. (2-tailed)	.000	.000	.000	.000	.000	

** . Correlation is significant at the 0.01 level (2-tailed).

a. Listwise N=124

The correlations among the subscales provide empirical evidence for convergent validity of the scale. The correlations among the subscales exceed the threshold of .2 and most have a correlation of .3 and above. For example, the collaborative capacity subscale is highly correlated with the knowledge (.535) and stakeholder commitment (.440) capacity subscales, though it is significantly correlated with all the scales. The human resources capacity subscale is most highly correlated with the knowledge capacity (.452) subscale, but it correlates well with all other subscales. The subscale that has the lowest correlations is the financial capacity subscale. This is interesting given the obvious influence that funding has on organizational capacity. The lowest correlation of all the subscales is between financial capacity and knowledge capacity (.288). The financial resource capacity subscale has the highest correlation with the human

resource capacity subscale. This makes sense given the need for financial resources to support staff and human resource capability in general. Overall, the scale with the highest correlations is the knowledge capacity scale. It has very high correlations with the collaborative capacity subscale, the human resources capacity subscale, and the stakeholder capacity subscale. One explanation for these very high correlations is that the elements of knowledge capacity are evident throughout the organization. Overall, these results provide confidence that the subscales are measuring organizational capacity.

Discriminant Validity

Another important validity test, discriminant validity, tests the extent to which the subscales measure distinct dimensions of capacity. This analysis is important because subscales can be highly correlated because they are measuring the same thing. Evidence of discriminant validity gives confidence to the researcher that though they are highly correlated, each of the subscales are distinct from one another. In order to determine discriminant validity, correlations of items in each subscale were compared with the correlations of items within the other subscales. To confirm discriminant validity, the items within a particular subscale should be more highly correlated than with items in other subscales. The results below are organized by subscale.

Human Resource Subscale

The correlation matrix for the human resource subscale is depicted in Table 47 and the significant correlations (defined as a correlation above .3) with items in other subscales is list in Table 48. These results indicate that some items pass the discriminant validity tests, while others do not. In particular, two items display higher correlations with items from other scales:

- The item, “My organization provides an organizational orientation for all new employees” correlates more highly with knowledge and stakeholder commitment capacity items.
- The item, “My organization has the ability to hire required staff with relevant education, credentials, and experience necessary to effectively do the job”, correlates more highly with some items on the information technology capacity and the stakeholder commitment capacity subscales.

Table 47: Inter-Item Correlations – Human Resources Subscale

	HR_accurate position descriptions	HR_orientation	HR_Skilled staff_training	HR_hiring	HR_recruit
HR_accurate position descriptions	1.000	.279	.471	.300	.346
HR_orientation	.279	1.000	.247	.310	.218
HR_Skilled staff_training	.471	.247	1.000	.302	.339
HR_hiring	.300	.310	.302	1.000	.653
HR_recruit	.346	.218	.339	.653	1.000

Table 48: Inter-Item Correlations: Human Resources with Other Subscales

HR Items	Financial	Knowledge	IT	SC	Colla b
HR_accurate_position_descriptions		Know_best_practices (.304)		SC_active_Board (.334) SC_stakeholders_represented (.306)	
HR_orientation	Fin_attract_funds (.312)	Know_best_practices (.363)		SC_Board_Attendance (.327) SC_Stakeholders_represented (.330)	
HR_skilled_staff_training		Know_external_training (.315)		SC_Board_vacancies (.319)	
HR_hiring	Fin_attract_funds (.301)		IT_Tech_share_info (.331)	SC_stakeholders_represented (.317)	

			IT_track_o utputs (.311) IT_Tech_e ffective (.323)	SC_political_sup port (.339)	
HR_recruiting		Know_innovati on (.345)		SC_respons._org _decisions (.323)	

Financial Capacity Subscale

The correlation matrix for the financial resource subscale is depicted in Table 49 and the significant correlations with items in other subscales is list in Table 50. The results provide evidence for discriminant validity overall. Two items within the financial resource capacity scale had a lower correlation with one another and higher correlations with items in other subscales. However, the overall strength of the correlations within the subscale were much higher than the correlations with items across subscales.

Table 49: Inter-Item Correlations: Financial Resources Subscale			
	Financial_existin g programs	Financial_attract funds new programs	Financial_adequ ate funding
Financial_existing programs	1.000	.446	.407
Financial_attract funds new programs	.446	1.000	.229
Financial_adequate funding	.407	.229	1.000

Table 50: Inter-Item Correlations: Financial Resources With Other Subscales					
Financial Capacity Items	HR	Knowledge	IT	SC	Collab
Financial_Fund_Existing_Programs					Collab_Know_sharing (.348) Collab_potential_partners (.371)
Financial_Attract_funds	HR_orientation (.309)	Know_external_training (.307) Know_internal_training (.364)	Tech_established_routines (.339) Tech_training (.319)		Collab_potential_partners (.380) Collab_Staff_time (.318)
Financial_Adequate_Funding			Tech_user_friendly (.393) Tech_training (.384) Tech_effective (.306)		

Information Technology Capacity Subscale

The correlation matrix for the information technology subscale is depicted in Table 51 and the significant correlations with items in other subscales is list in Table 52. A review of the correlations indicates that this scale passes the discriminant validity test. The correlations between items within the scale on average are significantly higher (.4 and higher) than the correlations with items within the other subscales. There are a couple of exceptions, but overall there is a high level of confidence that information technology capacity is a distinct capacity dimension. There were two items that had no significant correlations with items in other subscales and discarded the items from the final scale. The items include:

- My organization uses the automated data management and information system for

reporting purposes.

- My organization's data management system makes decision-making easier.

Table 51: Inter-Item Correlations: IT Subscale

	Tech_user friendly	Tech_uses reporting	Tech_share info	Tech_track outputs	Tech_training	Tech_makes decisions easier	Tech_shared data access	Tech_established routines	Tech_effective	Tech_automated data management
Tech_user friendly	1.000	.439	.313	.281	.467	.550	.574	.261	.671	.423
Tech_uses reporting	.439	1.000	.489	.557	.444	.580	.503	.458	.523	.680
Tech_share info	.313	.489	1.000	.669	.295	.502	.513	.465	.393	.358
Tech_track outputs	.281	.557	.669	1.000	.375	.527	.492	.579	.485	.362
Tech_training	.467	.444	.295	.375	1.000	.516	.500	.543	.512	.529
Tech_makes decisions easier	.550	.580	.502	.527	.516	1.000	.660	.605	.766	.536
Tech_shared data access	.574	.503	.513	.492	.500	.660	1.000	.558	.661	.537
Tech_established routines	.261	.458	.465	.579	.543	.605	.558	1.000	.596	.396
Tech_effective	.671	.523	.393	.485	.512	.766	.661	.596	1.000	.493
Tech_automated data management	.423	.680	.358	.362	.529	.536	.537	.396	.493	1.000

Table 52: Inter-Item Correlations: IT With Other Subscales

IT Capacity Items	HR	Financial	Knowledge	SC	Collab
IT_user-friendly		Fin_adequate_funding (.393)			Collab_trust (.306)
IT_uses_reporting					
IT_share_info	HR_hiring (.319)				
IT_track_outputs	HR_hiring(.308)		Know_external_training (.327)	SC_board_attendance (.302)	
IT_Tech_training		Fin_attract_funds (.319) Fin_adequate_funding (.384)	Know_external_training (.354) Know_best_practices (.351)		
IT_makes_decsisions easier					
IT_shared_data_access	HR_hiring(.320)				
IT_established_routines		Fin_attract_funds (.339)	Know_internal_trainings (.311) Know_external_training (.352) Know_best_practices (.397) Know_innovation (.318)	SC_board_attendance (.363) SC_stakeholders_represented (.340) SC_active_board (.378) SC_voice_in_org (.417) SC_participation (.340) SC_nonfinancial_support (.371) SC_Board_vacancies (.318) SC_political_support (.397)	
IT_tech_effective	HR_hiring (.324)	Fin_adequate_funding (.306)		SC_political_support (.323)	Collab_trust (.332)

Knowledge Capacity Subscale

The correlation matrix for the knowledge capacity subscale is depicted in Table 53 and the significant correlations with items in other subscales is list in Table 54. The results indicate a lack of discriminant validity of the subscale. Some of the items more highly correlate with items in other subscales, most notably, the collaborative capacity subscale. There may be a number of reasons for this. One reason is that the elements that make up knowledge capacity, training, adaptive learning, and knowledge sharing are shared within other elements of the organization. For example, knowledge capacity and elements of human resource capacity correlate highly because training is an important element in both. Similarly, the collaboration literature states that knowledge sharing is a major motivation for organizations to join inter-organizational collaborations. Therefore, it is not surprising that the knowledge capacity items and the collaborative capacity items have such high correlation.

Table 53: Inter-Item Correlations: Knowledge Subscale						
	Knowl edge_i nternal trainin g	Knowl edge_ extern al trainin g	Knowl edge_ adapt progra ms trends	Knowl edge_ best practic es	Knowl edge_ knowl edge sharin g	Knowle dge_inn ovation
Knowledge_internal training	1.000	.575	.233	.423	.364	.262
Knowledge_external training	.575	1.000	.350	.275	.388	.405
Knowledge_adapt programs trends	.233	.350	1.000	.382	.477	.504
Knowledge_best practices	.423	.275	.382	1.000	.388	.292
Knowledge_knowledge sharing	.364	.388	.477	.388	1.000	.534
Knowledge_innovation	.262	.405	.504	.292	.534	1.000

Table 54: Inter-Item Correlations: Knowledge Capacity With Other Subscales					
Knowledge Items	HR	Financial	IT	SC	Collab
Knowledge_Int ernal training		Fin_attract_ funds (.364)	Tech_est ablished routines (.311)		Collab_Staff time (.439) Collab_potenti al_partners (.301)
Knowledge_ext ernal training	HR_skilled_ staff_trainin g (.318)	Fin_attract_ funds (.307)	Tech_est ablished routines (.352) Tech_trai ning (.354) Tech_tra ck outputs (.327)	SC_nonfi nancial_s upport (.378) SC_parti cipation_ work (.325) SC_voice _org. (.348)	Collab_establis hed processes (.300)
Knowledge_ad apt programs trends				SC_politi cal_supp ort (.316)	Collab_establis hed processes (.465) Collab_Staff time (.355) Collab_know_ sharing (.436)
Knowledge_be st practices	HR_orientat ion (.358)		Tech_est ablished routines (.397) Tech_trai ning (.351)	SC_nonfi nancial_s upport (.351) SC_parti cipation_ work (.328) SC_stake holders represent ed (.381) SC_respo nsible_or g._decisi ons	Collab_establis hed processes (.342) Collab_potenti al_partners (.352) Collab_know_ sharing (.338)

Knowledge_knowledge sharing					Collab_established processes (.429) Collab_knowledge sharing (.428) Collab_potential_partners (.382)
Knowledge_innovation	HR_recruit (.373)				Collab_established processes (.389) Collab_potential_partners (.339) Collab_knowledge sharing (.330)

Stakeholder Commitment Capacity Subscale

The correlation matrix for the stakeholder commitment capacity subscale is depicted in Table 55 and the significant correlations with items in other subscales is list in Table 56. The results show that overall this scale demonstrates discriminant validity. Seven of the nine items correlate much higher with items within the stakeholder commitment capacity subscale than items in other subscales. There are two items that are exceptions:

- My organization works to make sure all key stakeholders have a voice in the organization.
- My organization encourages the participation of key stakeholders in the work of the organization.

These items highly correlate with items on the collaborative capacity subscale and highly correlate with one another (correlation of .717). These two items may be asking the same

question in a different way. Given that these two are outliers in terms of the rest of the stakeholder commitment capacity subscale, I discarded these items in the final scale.

Table 55: Inter-Item Correlations: SC Subscale									
	SC_Active Board	SC_stakeholders represented	SC_responsibility_organizational decisions	SC_Board attendance	SC_voice in the organization	SC_participation_work of the organization	SC_non-financial support	SC_Board vacancies	SC_political support
SC_Active Board	1.000	.741	.579	.682	.595	.491	.363	.502	.407
SC_stakeholders represented	.741	1.000	.498	.642	.620	.457	.323	.493	.338
SC_responsibility_organizational decisions	.579	.498	1.000	.586	.576	.486	.319	.440	.304
SC_Board attendance	.682	.642	.586	1.000	.508	.413	.344	.446	.386
SC_voice in the organization	.595	.620	.576	.508	1.000	.717	.359	.472	.357
SC_participation_work of the organization	.491	.457	.486	.413	.717	1.000	.578	.349	.415
SC_non-financial support	.363	.323	.319	.344	.359	.578	1.000	.281	.404
SC_Board vacancies	.502	.493	.440	.446	.472	.349	.281	1.000	.290
SC_political support	.407	.338	.304	.386	.357	.415	.404	.290	1.000

Table 56: Inter-Item Correlations - SC With Other Subscales					
SC Capacity Items	HR	Financial	Knowledge	IT	Collab
SC_active_Board	HR_accurate_position_descriptions (.334)			IT_established_routines (.380)	Collab_policies_and_procedures (.430) Collab_established_procedures (.336) Collab_knowledge_sharing (.398)
SC_Stakeholders_Represented	HR_accurate_position_descriptions (.306) HR_orientation (.330) HR_hiring (.314)	Fin_existing_programs (.302)	Know_best_practices (.396)	IT_established_routines (.339)	Collab_policies_and_procedures (.458) Collab_established_procedures (.301) Collab_knowledge_sharing (.410) Collab_potential_other_partners (.306)
SC_Responsive_org._Decisions	HR_recruit (.323)		Know_best_practices (.347) Know_innovation (.349)		Collab_policies_and_procedures (.303) Collab_established_procedures (.357)
SC_Board_Attendance	HR_orientation(.327)			IT_track_outputs i(.322) IT_established_routines (.372)	

SC_Voice_ in_Org.			Know_external_training (.337) Know_best_practices (.310) Know_innovation (.391)	IT_established_routines (.422)	Collab_policies_and_procedures (.550) Collab_established_procedures (.478) Collab_knowledge_sharing (.425) Collab_staff_time (.364) Collab_trust (.312) Collab_potential_others_partners (.363) Collab_mission (.310)
SC_participate_work_organization			Know_external_training (.314) Know_best_practices (.344) Know_innovation (.475)	IT_established_routines (.346)	Collab_policies_and_procedures (.505) Collab_established_procedures (.507) Collab_knowledge_sharing (.425) Collab_staff_time (.450) Collab_trust (.413) Collab_potential_others_partners (.410) Collab_mis

					sion (.420)
SC_nonfinancial_support			Know_external_training (.314) Know_best_practices (3.44)	IT_established_routines (.356)	Collab_staff_time (.344)
SC_Board_Vaccancies	HR_skilled_training (.319)			IT_established_routines (.324)	Collab_policies_and_procedures (.355)
SC_political_support	HR_hiring (.339)	Fin_existing_programs (.307)	Know_best_practices (3.71) Know_adapt_programs (.330)	IT_established_routines (.397) IT_track_outputs (.302) IT_Tech_effective (.326)	Collab_policies_and_procedures (.342) Collab_established_procedures (.314) Collab_knowledge_sharing (.351)

Collaborative Capacity Subscale

The correlation matrix for the collaborative capacity subscale is depicted in Table 57 and the significant correlations with items in other subscales is list in Table 58. The review of the correlation tables shows that overall the subscale passes the discriminate validity except for two items that do not have significant correlations with items from other subscales. These two items were discarded from the final scale and include:

- My organization's capacity to collaborate with other organizations is based on formal/organizational connections between my organization and other organizations.
- My organization achieves its own goals better working with partner organizations than working alone.

Table 57: Inter-Item Correlations- Collaborative Capacity Subscale									
	Collaboration_policies and procedures	Collaboration_staff time	Collaboration_trust	Collaboration_org goals with partners	Collaboration_potential_other partners	Collaboration_formal connections	Collaboration_mission	Collaboration_established processes	Collaboration_knowledge sharing
Collaboration_policies and procedures	1.000	.515	.479	.295	.510	.399	.483	.544	.701
Collaboration_staff time	.515	1.000	.447	.272	.463	.435	.447	.565	.604
Collaboration_trust	.479	.447	1.000	.402	.518	.341	.468	.446	.540
Collaboration_org goals with partners	.295	.272	.402	1.000	.355	.219	.368	.297	.312
Collaboration_potential_other partners	.510	.463	.518	.355	1.000	.375	.467	.555	.625
Collaboration_formal connections	.399	.435	.341	.219	.375	1.000	.305	.408	.384
Collaboration_mission	.483	.447	.468	.368	.467	.305	1.000	.680	.516

Collaborati on_establis hed processes	.544	.565	.446	.297	.555	.408	.680	1.000	.687
Collab_kno w_sharing_	.701	.604	.540	.312	.625	.384	.516	.687	1.000

Table 58: Inter-Item Correlations- Collaborative With Other Subscales

Collaborative Capacity Items	HR	Financial	Knowledge	IT	SC
Collab_knowled ge_sharing		Fin_existing_ programs (.348)	Know_adapt_pr ograms (.436) Know_best_pra ctices (.338) Know_knowled ge_sharing (.428) Know_innovati on (.330)		SC_active_board (.398) SC_stakeholders_re presented (.410) SC_participation_w ork (.458) SC_voice_org. (.425) SC_political_suppor t (.351)
Collab_policies_ and_procedures			Know_best_pra ctices (.348)		SC_active_board (.430) SC_stakeholders_re presented (.458) SC_participation_w ork (.505) SC_voice_org. (.550) SC_political_suppor

					t (.342) SC_Board_vacancy (.355) SC_respon._org._decisions (.303)
Collab_staff_time		Fin_attract_funds (.325)	Know_internal_trainings (.427) Know_external_training (.425) Know_adapt_programs (.377) Know_innovations (.302)		SC_active_board (.313) SC_participation_work (.450) SC_voice_org. (.364) SC_nonfinancial_support (.344)
Collab_trust			Know_adapt_programs (.300) Know_innovations (.318)	IT_tech_effectiveness (.336)	SC_participation_work (.312) SC_voice_org. (.413)
Collab_org_goals_with_partners					
Collab_potential_other_partners		Fin_attract_funds (.344) Fin_existing_programs (.366)	Know_adapt_programs (.318) Know_innovations (.363) Know_best_practices (.356) Know_know_sharing (.392)		SC_stakeholders_represented (.306) SC_participation_work (.410) SC_voice_org. (.363)
Collab_formal_c		Fin_attract_fu			

connections		nds (.306)			
Collab_mission		Fin_attract_funds (.339)	know_adapt_programs (.304)	SC_board_attend	SC_voice_in_org (.310) SC_participation (.420)
Collab_established_processes			Know_adapt_programs (.471) Know_innovations (.393) Know_best_practices (.308) Know_know_sharing (.426)		SC_stakeholders_represented (.301) SC_active_board (.336) SC_voice_in_org (.478) SC_participation (.507) SC_respons_org_decisions (.357) SC_political_support (.315)

Summary of Scale Level Analysis

The purpose of the scale level analysis was to examine the correlations between the different subscales as a way of determining the construct validity of the scale. In particular, the scale-level of analysis assessed the convergent and discriminant validity of the scale. This analysis used the revised scale based on the item-level analysis to assess construct validity. The results indicate that there is evidence of convergent validity because all six subscales correlate significantly with one another. The results of the discriminant validity test produced mixed results. Though three subscales (information technology, stakeholder commitment and collaborative capacity) performed highly, the other three subscales (human resource, financial resource, and knowledge capacity) performed borderline to poorly. One reason for the poorer performance is that these capacity dimensions represent different resources that are utilized throughout the organization. Therefore, it is difficult to measure the dimension apart from these other organizational capacity components. Another reason could be that the items need to be revised based on the findings in an effort to get better validity results in the future.

The discriminant validity test also provided an opportunity to assess the items for their correlation with items from other subscales. Based on this evaluation, a number of items were discarded due to either very high correlation or no significant correlations. The remaining items are listed below in Table 59. This final scale includes 36 items from the original 58.

Table 59: Final Capacity Scale
Human Resource Capacity Subscale
My organization has accurate position descriptions for each paid position in the organization.
Our organization has adequate skilled, trained, and knowledgeable staff to provide all necessary training.
My organization has the ability to hire required staff with relevant education, credentials, and experience necessary to effectively do the job.
My organization has the ability to recruit needed staff in a timely manner.
My organization provides an organizational orientation for all new employees.
Financial Resource Capacity Subscale

My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new service lines, expansion of existing services).
Our funding is adequate to meet our service demands.
My organization has been successful in funding existing programs.
Information Technology Subscale Items
My organization has an automated data management system.
My organization's automated data management and information system is user-friendly.
My organization has the ability to electronically share data and information with other organizations.
My organization has the ability to electronically track program outputs (ie. Number of clients placed) and outcomes (i.e. impact of those placements in functioning).
My organization provides training in how to use the automated data and information management system
My organization has established routines of processing data for programs and services we provide.
My organization has access to the shared data and information systems that we need.
Our data management systems are effective and useful.
Knowledge Capacity Subscale
My organization provides its staff with internal training opportunities including cross training between departments, training in organizational practices, etc.
My organization provides its staff with training opportunities external to the organization through professional conferences, training firms, etc.
My organization actively tries to adapt programs and services in response to significant trends in the field.
My organization provides me with information about best practices related to my job.
My organization promotes knowledge sharing among co-workers about effective service delivery.
My organization supports innovation in service delivery.
Stakeholder Commitment Subscale Items
My organization has an engaged and active Board of Directors and/or advisory committees.
All important stakeholders are represented on the boards and committees.
The Board of Directors and/or advisory committees have responsibility for and an impact on organizational decisions.
Board of Directors and/or advisory committee meetings are attended by its members at least 75% of the time.
My organization receives non-financial support from stakeholders for new initiatives.
My organization rarely has vacancies on its Board of Directors or committees.
My organization is able to garner support from political representatives for new initiatives when needed.
Collaborative Capacity Subscale Items
My organization actively encourages sharing knowledge with workers in other agencies about effective service delivery.
My organization has established policies and procedures that facilitate work with other organizations.
My organization allocates staff time to inter-organizational collaborations.

My organization trusts other organizations to do a good job for our clients.
My organization assesses the potential of other organizations to be good partners.
Collaboration is integrated into the mission of my organization
My organization has established processes that encourage collaboration

Summary of Quantitative Results

This chapter detailed the results of the quantitative analysis of the survey data. Based on 124 respondents to the survey data analysis focused on examining the reliability and validity of the instrument. The results were presented at two levels. The first level, the item level analysis, examined each of the six subscales separately. This analysis was conducted using a variety of internal consistency measures including, item means, Cronbach Alpha scores, and inter-item correlations. Through this process, 12 poorly performing items were discarded. The second level of analysis, the scale level analysis, utilized the revised scales from the item-level analysis to measure the construct validity, including conducting the convergent and discriminant validity tests.

The guiding research question for this phase of the study was: how are the six dimensions of capacity supported or not supported by the survey results? The results provide evidence that the six dimensions are connected to the theoretical construct of organizational capacity. The convergent validity was affirmed by confirming that there was a high level of correlation between each of the subscales representing the six dimensions of capacity. Analysis at the subscale level provided mixed results. All six subscales had good reliability scores so I have confidence that they are measuring the same construct, however, three of the six subscales did not pass the discriminant validity test.

Discriminant validity tests the extent to which the subscales measure distinct dimensions of capacity. This analysis is important because subscales can be highly correlated because they are measuring the same construct. In order to determine discriminant validity, correlations of items in each subscale were compared with the correlations of items within the other subscales. In three subscales, human resource, financial resource and knowledge capacity, a number of their items had higher correlations with items in other subscales than with items within their same subscale. This finding implies that the items within these subscales may not be measuring precisely different dimensions. For example, these results beg the question: are the items measuring knowledge capacity distinctively different from the items measuring collaborative capacity and human resource capacity? This question will be explored more in the next chapter, however, for future research, it will be important to acquire more data points before concluding which capacity dimensions are distinct. This analysis does provide convincing evidence for the reliability and validity of the other three subscales: information technology capacity, stakeholder commitment capacity and collaborative capacity.

CHAPTER 6: DISCUSSION AND CONCLUSIONS

In recent years, there has been an increased scholarly interest in understanding organizational capacity for public and nonprofit organizations delivering public services. For the most part, scholarship has focused on how capacity impacts performance in public and nonprofit organizations. Some of this literature attempts to understand conceptually how capacity contributes to organizational effectiveness (see Sowa et al., 2004), other scholarship incorporates capacity variables into quantitative models of performance (see O'Toole and Meier, 2010). Far less attention has been given to capacity as a theoretical construct, though there are some notable exceptions (Christensen and Gazley, 2008; Ingraham et al., 2004). The purpose of this dissertation was to contribute to the literature specific to trying to understand organizational capacity as a theoretical construct by exploring the dimensions of organizational capacity for public and nonprofit organizations delivering social services to youth in the juvenile justice system.

The remainder of this chapter presents a discussion of the conclusions drawn from this study. First, the dissertation research will be summarized by reiterating the major findings of the study. Findings are summarized in the context of the three research questions posed in Chapter 1. Second, this chapter will describe how the findings from this study contribute and extend research on organizational capacity in the public and nonprofit management literature, including the broader theoretical implications of this research. The chapter concludes with a discussion of avenues for future research.

Summary of Findings

This section describes the research findings from the dissertation. The findings are presented in the context of the three research questions for the study.

Research Question 1 (Phase 1 Qualitative): How do local service providers in the field of juvenile justice describe the resources and capabilities (or lack thereof) that facilitate and/or inhibit their capacity to deliver services to justice-involved youth?

The first phase of this study sought to capture and categorize the different types of organizational capacity that impacted the work of local public and nonprofit organizations delivering services to justice-involved youth. Based on 56 interviews conducted over two years, six dimensions of organizational capacity emerged as important to the work of the organizations, both in terms of resources and organizational capabilities. The six dimensions of organizational capacity included:

- **Human resource capacity** defined as the ability of an organization to recruit and retain qualified and skilled staff, hire new staff, and offer professional development and training opportunities for staff.
- **Financial resource capacity** defined as the ability of an organization to have a stable and diverse funding stream and to obtain adequate funding for client services.
- **Information technology capacity** defined as the ability to collect data, having a data management system that is utilized, the use of data to make organizational decisions, and the ability to have access to data from other organizations.
- **Knowledge Capacity** defined as the level of training in new practices, the communication strategies of management, the ability of frontline staff to provide

feedback to management, and the ability to adopt practices and techniques from other organizations that are seen as successful.

- **Stakeholder Commitment Capacity** defined as the ability to effectively engage external constituencies, including outreach to “hard to reach” groups, interact with stakeholders on a regular basis, and to receive “buy-in” for new initiatives and efforts from political representatives and system partners.
- **Collaborative Capacity** is defined as the ability to allot staff time to collaboration, share and receive information and resources from partner organizations, and the level of trust with partner organizations.

Research Question 2 (Phase 2 Quantitative): Are the six dimensions of capacity supported or not supported by the survey results?

The purpose of second phase of the study was to develop and field a survey instrument based on the findings from the first qualitative phase. The survey instrument was a first effort at developing a scale of organizational capacity by measuring capacity as consisting of six subscales, representing the six dimensions. Based on 124 respondents to the survey data analysis focused on examining the reliability and validity of the instrument. The results provide evidence that the six dimensions are connected to the theoretical construct of organizational capacity. The convergent validity was affirmed by confirming that there was a high level of correlation between each of the subscales representing the six dimensions of capacity. Analysis at the subscale level provided mixed results. All six subscales had good reliability scores so I have confidence that they are measuring the same construct, however, three of the six subscales did not pass the discriminant validity test. Discriminant validity tests the extent to which the

subscales measure distinct dimensions of capacity. In three subscales, human resource, financial resource and knowledge capacity, a number of their items had higher correlations with items in other subscales than with items within their same subscale. This finding implies that the items within these subscales may not be measuring precisely different dimensions. This analysis does provide convincing evidence for the reliability and validity of the other three subscales: information technology capacity, stakeholder commitment capacity and collaborative capacity.

Research Question 3 (Mixed Method Question): In what ways do participant views from interviews and from standardized instrument converge or depart?

The mixed-method approach to inquiry allowed me to have a fuller understanding of capacity that could not be obtained if I had relied on one method for my analysis. For example, if I had conducted a survey of capacity dimensions without the first qualitative phase, I would have come up with dimensions that were common in the literature. These dimensions, though similar in some regards, would look very different in other ways. Stakeholder commitment capacity, collaborative capacity and knowledge capacity would not be conceptualized the same if based solely on the literature because the items within these subscales were almost entirely developed based on the analysis of the interview data. In addition, utilizing only the qualitative method would have produced the six dimensions, however the survey results provided important analysis on the interconnectedness of some of the dimensions. This interesting finding would not have resulted from the qualitative analysis alone.

In particular, the mixed-method approach yielded two important findings specific to our understanding of capacity. First, for findings that were affirmed through both methods, there is increased confidence for the results. For example, the analysis of the interview data found that

there were six dimensions of capacity that were characterized by a number of resources and capabilities within each dimension. The survey data analysis confirmed that these resources and capabilities within the six dimensions do in fact relate to the theoretical construct of capacity. These findings put together provide strong evidence that the resources and capabilities described in the interview data are indicators of an organization's capacity.

Second, the multi-method approach also allows the researcher to identify patterns that would have not been evident using only one method. This is especially evident when the data generated from the two different methods yield different results. Analysis of the differences in results revealed nuances in the capacity construct. Though, I have confidence that the items in the survey measure capacity, I am less confident that three of the six dimensions of capacity are discreetly measureable. Human resource capacity, financial resource capacity and knowledge capacity were less valid and reliable as measures than the information technology capacity, stakeholder commitment capacity, or collaborative capacity. Obviously, human resources and financial resources and building knowledge within organizations impact its ability to accomplish its work. The literature has well established these areas as important types of capacity. Given this, why did the measures perform poorly? The survey data suggest that one reason is that these dimensions represent broad constructs that impact the other dimensions directly. The high correlations with items from other subscales point to the relevance of these dimensions across all of the capacity dimensions. This finding highlights the challenge of defining and measuring discreetly these specific dimensions of capacity. For example, an organization's ability to train their staff both internally and externally (measured within the knowledge capacity subscale) are closely related to a number of other capacity domains including IT capacity (training staff in how to use IT systems), HR capacity (training as a way to provide professional development

opportunities) and collaborative capacity (an avenue for providing external training opportunities for staff).

Table 60 below details which elements of the capacity dimensions were supported and not supported by the survey results.

Table 60: Summary of Dissertation Findings	
Phase 1: Describing the 6 Dimensions of Organizational Capacity	Phase 2: Supported by Survey Data
Human Resource Capacity	
Organizational processes aimed at recruiting qualified and skilled staff	X
Organizational processes aimed at hiring new staff	X
Adequate staffing resources as characterized by the number of staff and level of skill and expertise	
Organizational resources and processes that provide professional development and training opportunities.	X
Financial Resource Capacity	
Funding resources are derived from a stable and diverse funding stream	
Adequate funding resources for client services	X
Availability of funding resources to expand services.	
Information Technology Capacity	
Organizational resources for data collection	X
Organizational processes for analyzing data	X
Organizational processes for using data	X
Organizational processes for inter-organizational information sharing	X
Knowledge Capacity	
Organizational processes which support training in new practices	X
Communication strategies of management	
Organizational processes that support feedback mechanisms between frontline staff and management	
Organizational processes that encourage adoption of new practices	X
Stakeholder Commitment Capacity	
Organizational processes that support the effective engagement of external constituencies, including outreach to “hard-to-reach” groups	X

Organizational processes which support interaction with stakeholders on a regular basis	X
Ability to bring forth political support resources for new initiatives and efforts	X
Collaborative Capacity	
Organizational processes that support the allotment of staff time to collaboration	X
Organizational processes that support sharing and receiving information and resources from partner organizations.	X
Ability to build trust resources with partner organizations	X

These differences in correlations among the capacity subscales also suggests that the capacity subscales may not be best measured in terms of functional areas. Instead, the survey data analysis indicates that similar organizational capability and resource measures have high correlations. To use the example above, the items that attempt to measure training capability in a variety of functional areas were highly correlated with one another. Similarly, the items within financial resource capacity that were the most highly correlated were the ones that measured level of funding resources. In addition, one interpretation of the three highly performing scales is that they measure narrow constructs that are measuring particular organizational capabilities: the ability to collaborate, secure stakeholder commitment, and use data to impact organizational decisions. In effect, these results suggest a different way to think about capacity. Within this stream of thought, capacity is not best understood as having functionally different dimensions; instead, capacity represents a construct that includes a number of resources and capabilities. This perspective sees capacity as a combination of resources and capabilities that impact the work of the organization.

In summary, the mixed method approach produced two main results that otherwise would not have been found. One, both methods provide strong evidence that the particular elements within each of the dimensions do measure the theoretical construct of organizational capacity.

Second, the way in which we conceptualize the dimensions of capacity need to be further studied. Findings indicate that three of the six dimensions are broad constructs that have strong correlations with other dimensions. These results suggest that one way to conceptualize capacity apart from functional areas is to see capacity as made up of resources and capabilities that are utilized across functional areas within the organization.

Theoretical Implications

The goal of this dissertation was to examine organizational capacity as a theoretical construct. Through the multi-method analysis of two distinct data sources, interviews and surveys, this study contributes to theory development of capacity at three levels: micro, meso and macro. This section describes the theoretical implications of this study from these three distinct levels of analysis.

The Micro Level: Capacity Framework for Social Service Delivery Organizations

This research utilizes grounded theory to understand capacity within a particular context. Based on findings from 56 field interviews with local social service delivery organizations, a six-dimensional framework of capacity was developed. This early rudimentary theorizing about capacity represents an attempt to understand and measure the different components of capacity pertinent to a certain context; this context being, social service delivery organizations engaged in trying to improve organizational practices. By identifying the different dimensions and their key elements, this study represents a first effort to more fully disentangle the complex set of capacities that help an organization do its work. This level of theory building is illustrative of

what Karl Weick (1995) refers to as “interim struggles” in the theorizing process. It does not represent a full-fledged theory of capacity, but does build on existing scholarship to continue the further development of a theory of capacity within the context of social service delivery organization.

The Meso Level: Definitions of Capacity

In addition to its contribution to the capacity literature on service delivery organizations, this study also has implications for the how capacity is defined and conceptualized. In Chapter Two, I emphasized three broad categories of how scholars have defined capacity in the literature:

- **Resources** - capacity is understood as inputs into an organization’s production process that result in the basic ability of an organization to do its work.
- **Capabilities** - capacity is understood as the ability of organizations to absorb and mobilize resources in specific ways that produce an organizational capability.
- **Competencies** - capacity is understood as those organizational resources and capabilities that are related to organizational effectiveness.

The findings from this research suggest a fourth category that integrates components of the other definitions. I will refer to this category as “adaptive”. This perspective on capacity is grounded in practice as identified by managers in this study. This definition sees capacity as the *utilization* of resources and capabilities by strategic managers toward organizational ends.

Unlike the other categories, this definition is interactive and dynamic in the sense that it sees capacity through use. In other words, capacity is what is realized, not “potential at rest” as some scholars have suggested (O’Toole and Meier, 2010). For example, from a resource perspective, the presence of a data management system can be seen as an important capacity within an organization. From a capabilities perspective, the capabilities associated with having a data

management system, processes such as the ability to aggregate and analyze data are also seen as important capacities for organizations. However, within the capacity as adaptive lens, the data management system, both as a resource and capability, is only a capacity when it is utilized. In other words, a data management system that is not in-use toward an organizational end is not a capacity. In order for it to be a capacity, it has to be activated by managers toward organizational purposes. This approach assumes an important role for the manager as a purposeful actor that builds capacity through providing strategic direction and taking direct action that engages a variety of resources and capabilities. The capacity as adaptive lens will need to further fleshed out in future research, but this study suggests it as an important theoretical approach in thinking about how we conceptualize capacity.

The Macro-Level: Connection with Broader Organizational Theories

The findings from this dissertation also elicit a broader discussion in regards to the theoretical underpinnings of the concept of capacity. This research highlights organizational theories that both address the importance of the organizational environment as well as an internal perspective of how organizations do their work. In particular, the theoretical underpinning of the “capacity as resources” perspective is resource dependence theory. Resource dependence theory suggests that an organization is effective to the extent that it can garner needed resources from its environment to transfer them into outputs (Pfeffer and Salancik, 2003). This perspective sees resources as inputs into an organization’s production function that allows organizations to do their work. This external environment perspective is not only relevant in how capacity has been defined, but it also shows itself in the six dimensions. The financial and human resource dimensions have obvious connections with resource dependence theory because these dimensions represent key resources for an organization. In addition, the stakeholder

commitment and collaborative capacity dimensions are influenced by resource dependence theory in the sense that these dimensions are external in nature; in other words, they describe how the organization interactions with their environment impact their capacity.

In addition, another theoretical underpinning of this research is strategic management theories which focus on the internal characteristics of organizations, and the role management plays in mobilizing resources internally. Specifically, the resource-based view (RBV) and dynamic capabilities concepts connect well with the concept of capacity. RBV and dynamic capabilities emphasize the importance of how resources are combined and configured internally which provides a competitive advantage for organizations. This perspective is relevant throughout this research, especially in the discussion about particular capabilities and organizational processes that impact an organization's capacity. These discussions and findings were found across all dimensions of capacity.

The broader theoretical implications of this research suggest that an integration of external and internal focused organizational theories can offer insight into capacity as a theoretical construct. For instance, having a deeper understanding of the relationship between resource acquisition and internal resource utilization is an avenue for future research that would help to further develop a theory of capacity for public and nonprofit organizations. The next section describes additional opportunities for future research on capacity.

Future Research Directions

The exploratory nature of this study inspires more questions than answers. Because capacity is not a discreet construct, but is strongly connected with other organizational concepts, there is much research to be done in order to further untangle the construct to more fully

understand it. I foresee a number of avenues for future research. First, this study finds that capacity can be more fully understood by looking at the relationship between resources and capabilities, and the role management can play in developing capacity. One of the key overarching findings of this study is that across all dimensions, there are both resources and capabilities that make up that dimension. For example, human resource capacity includes resources: the number of staff (tangible) and the skill and experience of staff (intangible). It also includes organizational capabilities, most notably, training. Research that looks at how particular resources combine to create capability within organizations would provide additional knowledge on the relationship between resources and capabilities. Building upon this dissertation, in the near future, I plan to use the survey data to understand what combinations of resources are important to the development of core organizational capabilities, including human resource management, financial resource management and data management; training, stakeholder engagement, and knowledge sharing capabilities. Utilizing the Qualitative Comparative Analysis (QCA) technique, this research will help in determining what particular type of combinations result in specific organizational capabilities.

Second, fielding the capacity survey instrument developed in this dissertation to a broader sample would provide additional data on the reliability and validity of the instrument. In a similar vein, targeting different populations of service delivery organizations would provide data on the broader generalizability of the instrument.

Third, additional research on the interdependencies between the different dimensions would enhance our understanding of the dynamics associated with an organization's capacity. Though my dissertation research findings suggest that the dimensions are distinct, they are not independent as the high correlations among items demonstrate. In particular, it would be

interesting to better understand what types of capacity may provide a foundation for other more complex capacity dimensions to emerge in organizations. In addition, research that looks at the dynamics of particular resources and capabilities can enhance our understanding of the dependencies that may be present.

Fourth, research on capacity at different levels of analysis would provide valuable knowledge on how capacity impacts organizational action. This dissertation focuses on capacity at the organizational level. Future research that looks at capacity from different levels would give scholars a more complete picture of the role capacity plays. For example, scholarship that looks at capacity dynamics within inter-organizational networks as well as from a broader institutional level would assist researchers in understanding the role capacity plays in the ability of public and nonprofit organizations to effectively deliver services. In addition, research that looks at the capacity at the individual level of analysis would provide valuable knowledge of both the tangible and intangible aspects of human resources that impact an organization's capacity.

Fifth, a focus on capabilities not only represent important elements of an organization's overall capacity, but also points to ways in which the organization builds its own capacity internally. In other words, the ability to build capability within an organization implies that public managers can play an important role in an organization's capacity. In particular, a focus on dynamic capabilities is germane to our understanding of how management can enhance and build capacity. As described in the literature review chapter, the theory of dynamic capabilities argues that competitive advantage results from managerial and organizational processes that combine resources and capabilities in a way that can positively impact organizational performance (Teece, Pisano et al. 1997). Because managers make decisions about how to utilize

resources, they are key to developing dynamic capabilities within an organization. Dynamic capabilities can inform how public managers can develop, implement, and sustain strategic approaches that can improve their organization's capacity. This internal focus on capacity is very different from much of the existing capacity literature, which is primarily concerned with to what extent organizations attract and acquire resources from the environment as a way of building capacity. Research that directly addresses how public and nonprofit managers utilize resources internally to build capacity within their organizations would help us understand in what ways managers can build capacity within their organizations.

Conclusions

This dissertation addresses the organizational concept of capacity in public and nonprofit organizations delivering local services. This dissertation provides a unique contribution to the capacity literature in two distinct ways. First, this research builds a theoretical framework for understanding the dimensions of capacity pertinent to local social service delivery organizations. To my knowledge, this is the first study that analyzes the dimensions of capacity within this particular policy and organizational context. Additionally, this study sought to conceptualize capacity in a broad sense to incorporate both resources (tangible and intangible) and relevant organizational capabilities that impact how the organization does its work. This focus on management processes as key elements of capacity departs from most of the capacity literature, which primarily focuses on quantifying tangible resources as a way to measure capacity.

Second, this research utilizes a mixed method approach to understanding organizational capacity within social service delivery organizations at the local level. In particular, this study utilized a two-phase sequential mixed methods approach to inquiry. The first phase was a qualitative exploration of participant views on organizational capacity by conducting 56

interviews over two years from organizations delivering services to youth involved in the juvenile justice system in four states. Findings from the qualitative phase were then used to develop and field a survey instrument. The results from the survey provided additional data that was useful in further development and articulation of the organizational capacity dimensions. The utilization of multiple data sources and methods of analysis provided a richer, more nuanced understanding of capacity. This is also the first research study of capacity that utilizes these methods together to empirically examine capacity.

The overarching conclusion of this dissertation is that organizational capacity as a construct is not discreet; it is a broad construct, which connects with many other organizational concepts. More research will help us understand the distinct elements of capacity whether they are functional differentiations or organizational process oriented distinctions. Regardless, the concept of organizational capacity is helpful in directing managerial action in evaluating its ability to meet organizational goals.

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APPENDICES

APPENDIX A: SUMMARY OF ANALYSIS OF SYSTEMS CHANGE GRANT

Brief Summary

Analyzing Systems Change

**Department of Health Policy and Management
Columbia University**

**Sponsored by the MacArthur Foundation
Models for Change: System Reform in Juvenile Justice**

Rationale

Systems change is a phenomenon where individuals, organizations, policies, and regulations come together to create a new way of doing things that is both feasible and sustainable. It involves getting individual people and individual organizations to change in a coordinated way that involves policies, financing, and services motivated toward a specific change or specific sets of changes. Although there is great interest in systems change at the moment from Foundations and the Federal government, alike, currently there is a lack of understanding of what factors create and sustain systems change.

The Models for Change (MfC) initiative of the John D. and Catherine T. MacArthur Foundation works to systematically change the shape of the juvenile justice system. For the MfC project, systems change efforts could be manifested in two basic ways:

1. whether intended policy or regulatory changes were indeed implemented and had a discernible impact on the daily operations of frontline workers.
2. whether operational innovations from the frontlines were widely adopted and policy and regulatory change followed to support these operational changes.

Through an analysis of the work of the MfC Lead Entities, it will be possible to identify patterns that facilitate or inhibit systems change in juvenile justice systems. This information could provide guidance to other States on what to avoid or what opportunities to harness when thinking about initiating systems change efforts in juvenile justice.

Purpose for the Research

The purpose of this research is to identify and document the systems change strategies that were implemented with the MfC project in four States and to evaluate what worked, what did not

work, and what worked in unexpected ways. The two key research questions to be addressed in this study are:

1. What systems change strategies were implemented in the Models for Change project and what were the outcomes and consequences of these strategies?
2. What are the identifiable facilitators and barriers for each of the studied reform initiatives in the four sites? To what extent did the barriers prohibit systems change?

This study focuses on examining specific system interventions and efforts. The areas of focus examined varies among the states. Mental health initiatives are analyzed in all of the four states. In addition, each Lead Entity (LE) chose an additional area of focus for the research team to examine. The table below identifies the areas of focus by state that are included in the study.

Areas of Focus for Systems Change Analysis By State	
Pennsylvania	Mental Health Aftercare
Illinois	Redeploy Illinois Legislative avenues to reform
Louisiana	Evidence-Based Practices Planning Boards
Washington	Mental Health Multi-systems Collaboration

Study Methodology

We will use a combination of techniques to understand how change did and is happening in each of the four States. Data will be collected in three distinct, related, and synergistic ways. Data will be collected through an analysis of key documents, stakeholder interviews, and surveys.

1. Documents, such as products of MfC project work plans, changes in regulations or statutes, and meeting minutes, will be collected from Lead Entities.
2. Interviews with representatives from each of the Lead Entities will occur to extrapolate information specific to each site. Then interviews will take place with representatives of the local sites involved with MfC. The interviews with local sites will be used to confirm and explore the impact that the Lead Entities have on the local sites.
3. Surveys will be administered to all organizations that have participated in any aspect of the MfC project. Survey questions will be developed based on existing literature, the structure of the juvenile justice system, knowledge of the MfC initiative, and consultation with Lead Entities.

In addition to these data collection efforts, this project will work in conjunction with the Lead Entities and other researchers to utilize existing measures of change effectiveness to assess the “success” of the different strategies chosen in each of the four States.

APPENDIX B: INTERVIEW PROTOCOLS

Year One- Models for Change Local Site Interviews

Targeted Area of Improvement IMPLEMENTATION-SPECIFIC (used for each TAI and in local sites)

A. Current status of implementation

1. History (Successes, Problems, Barriers)
2. Current Extent and Models Being Implemented
- a. Vision of TAI and similarities/differences to MfC Project.*
- d. Consistency between LE's and site's vision of TAI –how has MfC been facilitative?*
- e. Stakeholder vision of TAI.*
3. Stage of Implementation of TAI (consensus-building, implementation, sustaining)

B. Political Context

1. Proponents/Opposition
- a. Proponents*
- b. Opponents*
2. Systemic Shift/Disruption
3. Existing Support Level
4. Identification of “Champions”
6. Strengths/Vulnerabilities Specific to TAI

C. Strategies for Implementation

1. Financing (Including Role of Medicaid)

D. Program Context

1. How Local Organization Achieved Buy-In
2. Responsibility/Accountability Structure
3. Organizational Placement of TAI Team
4. Resources Available
7. Monitoring/Feedback Mechanisms

E. Strengths/Barriers

1. Strengths:
2. Barriers:
3. Resources/Funding & Regulations

F. Plans for Statewide Implementation

3. Sustainability

Year One: Models for Change Thought Leader Interviews

I. GENERAL INFORMATION

A. Background/context for the Models for Change Initiative

1. History (Successes, Problems, Barriers)
2. Consensus Development

- 3. Regulation/Legislation
- 5. Information Systems/Data
- 6. Facilitators/Barriers
 - a. Facilitators*
 - b. Barriers*
- 7. Leadership
 - a. general*
 - b. locally*

B. System culture

- 1. Cultural Philosophy about change
- 2. Values/Implementation of Values
- 3. Leadership Turnover
- 4. Consensus
- 5. Quality Improvement Emphasis

C. System-level barriers

- 1. Advocacy organizations
- 2. Courts, Lawsuits
- 3. Legislators
- 4. Unions
- 5. Organized political opposition
- 6. Interagency issues
- 7. Budget shortfalls
- 8. Local ordinances

Year Two - Models for Change Local Site Interviews

I. GENERAL INFORMATION

A. Background/context for MfC

- 1. Have there been any major changes in the State or within MfC in the past year?
 - a. authority structures (new Governor, for example)
 - i. state level*
 - ii. locally*
 - b. financing initiatives
 - c. regulation/legislation
 - d. political context
 - i. proponents/opposition*
 - ii. existing support level*
 - iii. "Champions"*
 - e. training initiatives
 - f. information systems/data
- 2. How have the facilitators and barriers changed in the past year?
 - a. facilitators (provide list from report)*

- i. improved*
 - ii. disappeared*
 - iii. new*
 - b. barriers (provide list from report)*
 - i. improved*
 - ii. worsened*
 - iii. new*
- 3. Where are you in the implementation now? (consensus, implementation, sustainability)
 - a. current extent and models being implemented
 - i. vision of TAI*
 - ii. training/use of materials.*
 - iii. standards of care.*
 - iv. consistency between LE's and site's vision of TAI.*
 - v. stakeholder vision of TAI.*

B. Strategies for Implementation

1. Financing (Including Role of Medicaid)
2. Licensure/Standards
3. Other Workforce Issues
4. Treatment Planning
5. Performance Targets
6. Incentives
7. Quality Management
8. Other Regulations

C. Capacity Issues

1. What types of capacity are needed in this system to have a model JJ system?
2. What are the capacity strengths at the moment?
 - a. in the system
 - b. for your organization
3. What are the capacity weaknesses at the moment?
 - a. in the system
 - b. for your organization
4. How can you foresee capacity growing (on any dimension) in the future?
 - a. are these the critical areas?
5. The last time we visited, we identified 6 dimensions of capacity for models for change, can you speak to each of these and their impacts for your organization and with specific regard to models for change?
 - a. human resource (workforce as well as admin)
 - b. financial
 - c. knowledge (knowing new ideas, ability to get info)
 - d. technical infrastructure
 - e. collaborative
 - f. stakeholder

D. Sustainability

1. As MfC begins to wind down in your state, what are the critical sustainability issues for the new programs and initiatives [insert specific TAI here] that were put into place?
 - a. are these issues currently being addressed?
 - b. are these issues surmountable?
 - c. did MfC participation help you to address sustainability issues?
 - d. how could TA for sustainability be better addressed?
2. Are the MfC programs [insert specific TAI here] realistically sustainable?
3. Do you foresee the MfC programs [insert specific TAI here] being in place 1 year from now? 5 years from now?
 - a. Why or why not?

APPENDIX C: SURVEY: CAPACITY OF ORGANIZATIONS SERVING JUSTICE-INVOLVED YOUTH

Knowledge Capacity

My organization regularly updates its instruments (i.e. manuals, databases, files, organizational routines, etc.).

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization adopts practices and techniques that other organizations are using successfully.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has subscriptions to professional publications.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization provides its staff with internal training opportunities including cross training between departments, training in organizational practices, etc.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization provides its staff with training opportunities external to the organization through professional conferences, training firms, etc.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization actively tries to adapt programs and services in response to significant trends in the field.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization provides me with information about best practices related to my job.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization promotes knowledge sharing among co-workers about effective service delivery.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization supports innovation in service delivery.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization regularly schedules meetings/opportunities that facilitate knowledge sharing between supervisors and frontline staff.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Human Resource Capacity

The majority of our service delivery personnel have college/university degrees directly related to their roles and responsibilities.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

The majority of our administrative personnel have college/university degrees directly related to their roles and responsibilities.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Our organization has the appropriate number of staff to fulfill its mission.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has accurate position descriptions for each paid position in the organization.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization provides an organizational orientation for all new employees.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization provides performance appraisals to staff on at least an annual basis.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Our organization has adequate skilled, trained and knowledgeable staff to provide all necessary training.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has the ability to hire required staff with the relevant education, credentials and experience necessary to effectively do the job.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has the ability to recruit needed staff in a timely manner.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Agree

Stakeholder Commitment

My organization has an engaged and active Board of Directors and/or advisory committees.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

All important stakeholders are represented on the boards and committees.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

The Board of Directors and/or advisory committees have responsibility for and an impact on organizational decisions.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Board of Directors and/or advisory committee meetings are attended by its members at least 75% of the time.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization works to make sure all key stakeholders have a voice in the organization.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization encourages the participation of key stakeholders in the work of the organization.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization receives non-financial support from stakeholders for new initiatives.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization rarely has vacancies on its Board of Directors or committees.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization is able to garner support from political representatives for new initiatives when needed.
Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Financial Capacity

My organization has reserve funds of three months available at any time.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has eliminated or closed or considered eliminating or closing a program as a result of a lack of funding within the last 5 years.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has policies and procedures for accounts receivable, accounts payable, purchasing and payroll.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has a yearly financial audit done (internal or external).

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization does not spend enough money on staff salaries.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has been successful in funding existing programs.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization easily attracts new funds for new initiatives and projects (e.g. special projects, new services lines, expansion of existing services).

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization estimates operational costs accurately.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Our funding is adequate to meet our service demands.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Collaborative Capacity

My organization actively encourages sharing knowledge with workers in other agencies about effective service delivery.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has established policies and procedures that facilitate work with other organizations.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization allocates staff time to inter-organizational collaborations.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization trusts other organizations to do a good job for our clients.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization achieves its own goals better working with partner organizations than working alone.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization actively encourages sharing knowledge with workers in other agencies about effective service delivery.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization assesses the potential of other organizations to be good partners.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization's capacity to collaborate with other organizations is based on individual professional connections with workers in other organizations.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization's capacity to collaborate with other organizations is based on formal / organizational connections between my organization and other organizations.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

Collaboration is integrated into the mission of my organization.

Strongly Disagree Somewhat Disagree Neutral Somewhat Agree Strongly Agree

My organization has established processes that encourage collaboration.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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Technological Capacity

My organization has an automated data management system.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization's automated data management and information system is user friendly.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization uses the automated data management and information system for reporting purposes.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization has the ability to electronically share data and information with other organizations.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization has the ability to electronically track program outputs (i.e. numbers of clients placed) and outcomes (i.e. impact of those placements on functioning).

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization provides training in how to use the automated data and information management system.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization's data management system makes decision-making easier.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization has access to the shared data and information systems that we need.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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My organization has established routines of processing data for programs and services we provide.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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Our data management systems are effective and useful.

Strongly Disagree	Somewhat Disagree	Neutral	Somewhat Agree	Strongly Agree
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Agree

General Organizational Questions

What is your title?

How long have you been in your current position?

How long have you been in this industry?

What year was the organization / department founded?

How many FTEs does your organization employ?

How long have you been working for this organization?

What is the organization's approximate total annual budget?

What percentage of the organization's resources are derived from (adds up to 100%):

- ☐ City Government
- ☐ County Government
- ☐ State Government
- ☐ Federal Government
- ☐ Fees or direct client billing
- ☐ Foundations
- ☐ Private Donations
- ☐ Fundraising
- ☐ Other, please specify

What percentage of the organization's budget is spent on (adds up to 100%):

- ☐ Direct service delivery
- ☐ Administration
- ☐ Training
- ☐ Professional services (contractors for financial services, etc)
- ☐ Contracted Social Services
- ☐ Other, please specify:

What percentage of the organization's resources is devoted to providing direct services to juveniles?

Name five other organizations you work with most to provide services to juveniles.

- ☐ 1)
- ☐ 2)
- ☐ 3)

- ☐ 4)
- ☐ 5)