

Leadership in A Community-Based,

Nonprofit Organization:

Total Action Against Poverty

Roanoke, Virginia

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(ABSTRACT)

Although an inexhaustible interest in leadership research continues to escalate, one arena of study which has been neglected is leadership in the nonprofit sector. The intent of this dissertation is to see how the leader influences the effectiveness of his organization. Also, organizational culture and socialization will be examined to see if these elements are at the disposal of the leader of this community-based, nonprofit organization to enhance organizational effectiveness. The site for this study is the community-based, nonprofit organization known as Total Action Against Poverty of Roanoke, Virginia (TAP), a Community Action Agency.

The Executive Director's role is examined to see how his leadership maintains and enhances this effective nonprofit organization. Whether his leadership nurtures a synergy among the leaders via his influence upon the organizational culture and socialization processes is of particular interest to this study. The question is whether there can be found any conscious recognition of a specific or unified organizational culture and process of socialization, and further, whether there is any evidence that either is intentionally influenced by the leadership.

The research design follows the case study methodology. Archival records are reviewed, and qualitative data are gathered from interviews with TAP leadership personnel and individuals who volunteer their services to the organization. The interview questions relate to: leadership, leadership influence, the organizational culture and socialization.

Other related data used for further documentation are promotional publications written by the organization's staff and local newspaper articles about the organization. Speeches and writings by the core leaders of TAP are also reviewed. These data provide a vital resource of comparison among the primary actors of the TAP organization. For analysis of data, the computer software program, WordCruncher, is used.

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For one who has aspired to lifetime learning, a recollection of those who have inspired this quest forms a long list. Special folks in that recollection to whom I extend my heartfelt gratitude are my wife, Margaret, for her respectful attitude toward the time consuming task of preparation; my daughter, Ayn, whose constant nudge challenged the vicissitude of perseverance; to my son, Burt, whose interest in knowing is a constant reminder of the realms of life's adventures; to my mother, Mary Elizabeth, whose "knowing" confirms my quest; a friend, Dr. B. Conrad Johnston, who encouraged this endeavor and has undauntedly hovered over these years of birthing. To each, your vigilance has brought me to this day of new beginnings.

Of Historical Significance

To Sterling Price Locke, my mentor in lifetime learning by direction and example, I express my gratitude and love. The aspiration of lifetime learning must have an inception. My quest for the formal venues of learning began with the confidence of this one who has nurtured my steps from my earliest recollection. I cannot remember a time when she was not showering me with confidence and excitement toward each step of my learning pilgrimage.

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DEDICATION

This work is dedicated to the memory of my father, Paul Elliott Welleford, whose enduring legacy for quality has been a mainstay for my lifetime learning endeavors. A truly dedicated craftsman by trade; an exemplar of lifetime learning for those who knew him.

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PREFACE

Once upon a time there was community that had many different people who lived together in harmony. The members of the community were very different. Yet each had a place, the resources of every person was considered valuable and utilized, and all had the resources necessary to sustain themselves in good and poor health. There was a real palpable connection each resident with the other and a sense of belonging with the community as a whole.

Then one day a great fog came that not only clouded the people's vision, but fogged their minds as well so that everyone felt alone and isolated. While the fog eventually cleared from their eyes it never left their minds. What was once perceived as a community (literally, a unity of people with each other) was now seen as a mere aggregate of individuals. Each was an island to him/herself.

Each person, detached from the strength and security of their ties to each other, began to seek security within themselves through a desperate search for money, material ownership, and power. Each sought the support of persons most like themselves in a frantic grab for what seemed limited resources. As a consequence, one group began to disparage the motives and abilities of other competing groups and the rights of others to what had been their fair share. As time went on, those who gained advantages gained greater advantages and those who lost advantages lost even those which they had had.

Soon the community was divided between those who had and those who had not. While the community of haves held out the propaganda that all could achieve and that each person had an opportunity to succeed, they also institutionalized a system of inequality in education, opportunity, and resources. Great fear and anger replaced the good feelings, generosity, and oneness that once had filled their hearts. The have-nots grew angrier and angrier at the injustice. The haves feared that what they had acquired would be stolen from them.

As strife grew, a few people longed for the sense of community that had once united the people and contributed to the prosperity of all its members. They decided that the best way to recreate that was to create a model in which members of the different factions met together and planned for rebuilding that sense of community and redressing the ills that had taken place. A model that would help people act like a family. And that was the day TAP and 900 other Community Agencies were born.

Theodore Edlich, III
President and CEO
Total Action Against Poverty
Roanoke, Virginia

CHAPTER I

Introduction

Leadership in nonprofit organizations is an area of study which seems to have escaped the attention of both the academic researcher and the nonprofit organization practitioner. Two problems surface immediately regarding leadership studies in nonprofit organizations. One, researchers seem to equate leadership in a nonprofit organization with leadership research in general; and two, the practitioner, on the other hand, often considers leadership and management synonymous activities — a single function.

The result of these two views produces a dysfunctional nonprofit organization literature. This practice, regrettably, results in a limited amount of available research to support the mammoth subject of nonprofit organization leadership. The nonprofit organization practitioner most often tries to survive on anecdotal information of how one project in one locale is successfully accomplished, and attempts to make a transfer of that information to his or her own unit. This practice may not address the unique characteristics of nonprofit organization leadership or speak to the need of understanding nonprofit organizational development.

The assumption of anecdotal literature is that if it works in one place it should work in another. This assumption of a simple transference of effective organizational activities from one nonprofit organization to another organization too often breeds frustration and organizational failure on the part of nonprofit organization leadership. There are simply too many interrelated variables to make such a simplistic assumption. The extant literature is too scant and too weak to provide the needed support for the nonprofit leader. This dissertation, therefore, is an investigation, a case study, of a nationally recognized successful, community action agency. The intent of this investigation is to understand the role of a leader in the nonprofit organizational

setting, and the dynamic interrelationship of leader's influence upon the elements of organizational leadership, culture and socialization. The primary incentive is to add to the knowledge of how an effective nonprofit community action agency functions. The study is grounded in extant research in the fields of nonprofit organization leadership which is not specific to community action agencies; yet, is the only literature available for this study, organizational culture and socialization. Another pertinent interest is whether or how leadership may influence a synergy which affects the organizational culture and socialization when initiated, maintained, and continually renewed within the organizational context.

Statement of the Problem

The Nonprofit Assumption

Is it real or only myth that a nonprofit sector organization is substantially different from private and public sectors? This question, and others similar in character, have plagued the research annals of nonprofit organizations from their inception. All three primary sectors face the question of what level of credibility can one accept of the research performed on another sector. Is a transfer of definition and understanding appropriate among the three sectors?

It seems appropriate that one could make such a value judgement of a research transfer from one sector to another if the data support the application. The value judgement of the leader would be based upon his or her knowledge of the organizational system being considered. It is important; however, for a value judgement to be made prior to transferring and subsequently implementing any knowledge from one sector to the next. This value judgement would recognize the unique qualities of the respective organizations.

It seems plausible to suggest that any organization has unique characteristics. If so, the

leader must find the institutional grounding for his or her organization and apply applicable research without distorting the intent of that research. This may be the greater dilemma. Will a leader of a nonprofit organization, or the public sector in general, take time to find the intent of the research to ascertain its creditable applicability? Creditable applicability, then, becomes the responsibility of the leader rather than the researcher's findings.

Another problem faced by a nonprofit sector organization is the use of anecdotal experiences as theoretical dispositions. Many of the formal writings which fill the journals regarding nonprofit sector organizations are documented, personal experiences. These data are important for information and ideation. However, this kind of sharing of experiences seems to distract the serious student of nonprofit sector study from more rigorous research regarding the field.

When we anticipate a clean three sectors distinction of organizational groupings, we are ill informed. Each sector has within it a multiplicity of deviations from the norm. The value of the three sector groupings is to simplify the field. It appears to be the funding (i.e., the financial base) and product incentive of each sector that essentially determines the appropriate camp of the organization. This proves to be a limited view of sector differentiation.

A characteristic of the nonprofit sector which may be different from public and private sectors; however, is the disparate nature of the nonprofit sector. It not only is the Internal Revenue Service which categorizes the numerous kinds of nonprofit organizations; the local agencies also pride themselves on their special "callings." Herman and Heimovics state that, "The reality for most nonprofit organizations is that they are expected to promote many values and be accountable to many groups while furthering the organization's mission."¹ Accountability, then,

¹Robert D. Herman, and Richard D. Heimovics, Executive Leadership in Nonprofit Organizations, (CA: Jossey-Bass Publishers, 1991), p.34.

becomes a major issue to a nonprofit organization seeking to fulfill its mission, a mission quite often dictated by a minority group.

The assumption that a literature can be constructed for the nonprofit sector becomes one of seeking common ground. In this sense, a form of unified diversity becomes an important consideration in this quest. The practical side of this consideration is to find a common ground upon which to found a literature. The need for a working definition of “nonprofit” becomes vital to this quest for a sector literature. The notion seems to be that “we” are diverse, yet we have a common spectrum within which to work -- we are unified (same sector), yet different (unique).

A Sector Without A Discrete Literature

To say there is no literature specific to the nonprofit sector regarding the leader or leadership would beg the truth. Indeed, there is a prolificacy of literature pertaining to the nonprofit sector.

Numerous library computer searches and conversations with nonprofit leaders, librarians and publishers of literature devoted to nonprofit sector leadership have uncovered a body of literature which speaks to organizational functions: budget, board members’ roles, organizational structure, funding, administrative responsibilities and such, but are found lacking when delimited to the role of the nonprofit leader, or nonprofit leadership per se. Further, there are essentially no references which combine the elements of nonprofit organizational culture and socialization to the activities of the leader (Appendix B - Computerized Library Search).

It seems appropriate that more studies be done specifically with the nonprofit organization leader in mind. Will a new basis of leadership be discovered? Are nonprofit leaders required to function differently from other sector leaders? It may be too early to expect this literature to

surface; however, it is incumbent upon nonprofit sector leaders to take the initiative and investigate the possibilities.²

The position of this dissertation is that research may become distorted when transferred among the various sectors. True, the probability of similarity can be recognized among sectors; yet at what point is there an epistemological/ontological flaw? McCauley and Hughes give their impression:

Because the nonprofit sector has some unique characteristics, we cannot necessarily generalize research results on corporate managers to managers in this sector. Nonprofit organizations' missions, governance structures, funding sources, and reliance on volunteers create differences in their internal dynamic and external relationships.³

This “generalized research” flaw seems obvious, yet, often ignored; or worse, it is accepted as being of no consequence. How can the literature of one sector be applied to another when the very essence of each is different, even contrary to each other? A cursory explanation of the sectors may be defined. For example, when considering the nonprofit, private, and public sectors some primary differences often suggested are funding base, organizational purpose, and human resources.

Funding Base

Private: The funding base is contractual. For a given product, an agreed upon amount is paid.

The market controls the cost and the quantity.

²Dennis Young, “Executive Leadership in Nonprofit Organizations,” in W.W. Powell (Ed.), The Nonprofit Sector: A Research Handbook, (CT: Yale University, 1987). Also, R.D.Herman, and R.D. Heimovics, “Nonprofit Chief Executives’ Careers and Work,” in Working Papers for the Spring Research Forum, (DC: Independent Sector, 1989).

³Cynthia D. McCauley and Martha W. Hughes, “Leadership in Human Services: Key Challenges and Competencies,” in Young, et al, Governing, Leading, and Managing Nonprofit Organizations, (DC: The Independent Sector, 1993), p.156.

Public: The funding base is assessed. For a given activity, regarded as necessary by the public or legislatively mandated for the public good, a tax is assessed. Granted, some public good is subsidized by a user's fee, but the primary cost is based upon the tax rate per citizen.

Nonprofit: The funding base is from a variety of sources. It specifically contributes to the services being provided by the respective organizations. This funding, also, may have a fee base that helps subsidize the cost, but the fee is usually less than the cost of the service in the private sector. In reference to all three sectors, the goods being provided may be incentive based. The significant difference is in the kind of goods being offered, and the way the goods are funded.

Organizational Purpose

Private: The motivation of the private sector is goods provided for a profit. The goods are designed to meet some perceived need of those who purchase them, but the purpose of the organization is to earn profits for all parties involved at the best market price.

Public: The public purse is to provide prescribed goods for the citizenry. Those goods speak to the collective good of those concerned. Goods tend to be for the advantage of the client or recipient. Another service, however, is regulatory. Rules and regulations may cause problems to those who must abide by them. Yet, the public good is strengthened because of the public mandate and the fact that the service is enforced by agency policy.

Nonprofit: The purpose of being is to address specific needs that are often ignored by either of the other sectors. Often a smaller base of a consensus is needed to initiate the service, and the population may be only a small segment of the community in need. Most often, however, it is a

community incapable of obtaining the necessities of quality living that bring the need to some public forum.

Human Resources

Private: Most often, the human resource base is the paid employee. Although there are some other constituencies involved, the paid employee is the primary base of operations. Therefore, there are considerations made by employers that may be necessary for the viability of the business that take precedence over the wishes of the employees. Decisions, right or wrong, can be and are made by the primary leader or leaders. Demand for profits and invested stakeholders make decisions that do not always set well with the human resource base, but the organization accepts their authority.

Public: Though similar to the private sector, there are other considerations that must be made by the public sector. The “profit” may be compared to meeting the need of the public interest, yet there is no monetary incentive for product development as such. The service is granted by the public agency with the intent to address a prescribed need — not to make a profit for the service being provided. Policy decisions are made by legislative mandate or political power brokers. Policy becomes a procedural control called rules and regulations. A prescribed constituency may or may not agree, but the policy remains until a new policy is drafted into law.

Nonprofit: The human resource base of this sector is usually mixed. The private sector may become involved for political reasons, such as, to be seen as supporting a particular public interest. The public agency is involved because public funds are being used to initiate the service.

Policy and organizational decisions are often beyond the control of any nonprofit organization personnel because the funding base may stipulate how the funds are used. Also, there is usually a volunteer constituency within a nonprofit organization that contributes political strength. They may or may not be willing to support a policy superimposed upon the organization by a funding base. The leader, consequently, becomes the negotiating party who must be able to balance the initiatives between the funding mandate and the volunteers.

The human resource issue may require a different leader dynamic for each sector, especially when it becomes necessary for the nonprofit organization to work from the mixed base of provider constituents. It seems logical, therefore, for the nonprofit leader to take this mixed-base dynamic into account when making decisions related to his or her agency.

Other areas of concern are product rendering and dissemination, process of implementation, and limits of tenure among numerous significant organizational stakeholders. These issues; however, are recognized, but not pertinent to the discussion of this dissertation.

A Literature of Presuppositions

When considering a theory base for any research, quite likely, there are some presuppositions necessarily made by the researcher. One such presupposition is that a general theory base is normally applicable when considering a particular issue. While this presupposition is appropriate upon occasion, it is the exception that must be challenged.

Generally speaking, it is not feasible to consider every exception on any given subject, but in the case of organizational sector characteristics; one must be advised. Psychological and sociological considerations may be transferable among the sectors, yet the unique organizational

characteristics of the three sectors need to be addressed on an individual basis.

To ignore the unique characteristics of sectors (i.e., private, public, nonprofit); then, becomes an epistemological barrier that cannot be taken lightly. Research seeks to hold an idea to its unique and simplest form. It would seem to be imperative, therefore, that organizational characteristics are individually considered. At least, those involved in organizational research should require the literature to address his or her particular sector of interest. This legitimating reference may be called relevant inference.

The notion that each sector has some unique qualities which must be considered when using the extant literature is pertinent to this study of a nonprofit community action agency. If a researcher accepts the definition of Lester Salamon and the differences in funding, organizational purpose and human resources among other particularly identifiable characteristics of the nonprofit organization, it seems that research must make some allowances to address these qualities. In addition to the aforementioned characteristics, though institutionalized to some extent, the nonprofit sector has no idealized organizational setting. It is not government controlled or operated, nor is it a corporate structure dependent upon profit sharing of one sort or another. Yet, each of these entities affects the character and operations of a nonprofit organization.

A nonprofit organization has a private sector mentality when efforts are made to make it conform to government regulations. It seeks the independence of the private sector, but it is not circumscribed by a market economy. Though the nonprofit may accumulate profits, the profits are not distributed to its employees or investors (e.g., board members). These profits are funneled back into the operation of the nonprofit's mission.

The powerful characteristic of self-governing is one of the unique qualities often overlooked or dismissed by a researcher. Outside entities do not control a nonprofit organization.

There are many internal and external influences placed upon a nonprofit organization, but none has dominant control of the organization. For example, the services of the nonprofit are not market driven as in the private sector. Special interest groups do influence the nonprofit; yet, it is not the majority opinion of the public sector that mandates the nonprofit sector's service delivery. Quite often, a minority issue becomes a primary service consideration for a nonprofit organization.

Another characteristic of a nonprofit organization that usually attracts the attention of the public is its reliance upon voluntary participation. No other sector relies so heavily upon volunteers. Volunteers are involved because of some vested interest. Their interests, therefore, affect the policies and services of the nonprofit organization. Do the volunteers control the nonprofit organization? Probably not, but they do influence policy and action.

In summary, these characteristics, as identified by Salamon, seem to call for some uniqueness consideration when designing research for a nonprofit organization which relates to extant organization or leadership theory. Also, the major body of leadership theory could venture some attention to the unique qualities of the nonprofit organization as it does with the public - private sector debate. This dissertation is an attempt to open such a dialog. It also makes the assertion that a nonprofit community action agency leader may be wise in paying close attention to the basic nature of his or her organization's culture and socialization as a symbolic representation of the spirit and soul of that organization.

The nonprofit sector is a vast array of specialized organizations. They have unifying characteristics as Salamon identifies.

Characteristics of a Nonprofit Organization

Lester Salamon provides six defining characteristics of organizations in the nonprofit sector:⁴

1. Formal - though not necessarily incorporated, they are institutionalized to some extent. They have a legal identity and legally enter into contracts without obligating its officers of personal financial responsibility for the organization's commitments.
2. Private - institutionally separate from government. They are neither a part of the governmental apparatus or dominated by government board members.
3. Non-profit-distributing - not dedicated to generating profits for their owners. If a profit is generated it must be reinvested in the basic mission of the agency. This differentiates nonprofit organizations from the other component of the private sector — private business.
4. Self-governing - equipped to control its own activities. They have their own internal procedures from governance and are not controlled by outside entities.
5. Voluntary - involved in some meaningful degree of voluntary participation. Usually, this takes the form of a voluntary board of directors, but extensive use of volunteer staff is also common.
6. Of public benefit - serving some public purpose and contributing to the public good.

Further, Salamon provides a rationale for the nonprofit sector as having five major considerations:

1. Historical - in the United States and many other countries, societies (i.e., voluntary organizations of social significance) predated the state. People met voluntarily to decide what was best for the common concerns of their respective communities. These voluntary organizations often continued to function even after government agencies entered the scene. They frequently helped government meet various needs for the common good.

⁴Lester Salamon, America's Nonprofit Sector: A Primer, (NY: The Foundation Center, 1992), p. 6.

2. Market Failure - the market is able to handle such commodities as consumer goods, but falls short when the goods are consumed collectively, such as clean air, national defense, or safe neighborhoods. Government attends to these interests by imposing a tax to remedy the problem. Nonprofit organizations, conversely, allow groups of individuals to pool their resources to produce collective goods they mutually desire but cannot convince a majority of their countrymen to support. Often these collective goods are for a constituent group other than the providers. Because nonprofit organizations do not exist principally to earn profits, they often are preferred providers in such situations.
3. Government failure - government functions on majority vote. By forming nonprofit organizations, smaller groupings of people can begin addressing needs that they have not yet convinced others to support.
4. Pluralism/Freedom - Nonprofit organizations encourage individual initiative for the public good just as the business corporation encourages individual action for the private good.

Government operations tend to be everywhere alike. With individuals and voluntary associations, on the contrary, there are varied experiments, and endless diversity of experience.⁵

5. Solidarity - a response to the need for some mechanism through which to give expression to sentiments of solidarity

. . . among democratic nations . . . all the citizens are independent and feeble; they can do hardly anything by themselves, and none of them can oblige his fellow man to lend him their assistance. They all, therefore, become powerless if they do not learn voluntarily to help one another. . . . If they never acquired the habit of forming associations in ordinary life, civilization itself would be endangered.⁶

⁵John Stuart Mills, On Liberty, Quoted in Bruce R. Hopkins, The Law of Tax-Exempt Organizations, 5th Ed. (NY: John Wiley and Sons, 1987), p. 7.

⁶Alexis deToqueville, Democracy in America, the Henry Reeve Text, (NY: Alfred A. Knopf, Inc., 1945), pp. 114-118.

Voluntary associations are thus needed especially critically in democratic societies to create artificially what the quality of conditions makes it extremely difficult to create naturally, namely, a capacity for joint action.⁷

With a view of these characteristics available, it seems appropriate that a literature be written specifically with the nonprofit organization in mind. Unique characteristics require unique considerations. This disposition seems to be lacking in the generic leadership literature; a primary neglect being recognized by this dissertation.

Background of the Study:

The Legislative Mandate

The study of nonprofit leadership has taken me into the historical development of Total Action Against Poverty of Roanoke, VA, and the legislative enterprise of the Johnson era called The Great Society, specifically, the War on Poverty. Combining public policy concerns with private, nonprofit organization implementation is of primary interest to students of Public Administration. The quest to understand the nonprofit organization is of increasing importance to the study of public administration because it allows for an in-depth study of this practice of public funding of private enterprise.⁸

Since their inception under the Johnson administration of the “War On Poverty,” Community Action Agencies, Title II of the Great Society legislation, have tenaciously maintained their legislative mandate. Throughout their history of federal budget cuts and the numerous attempts by successive administrations to accelerate their demise, the community action agencies

⁷Lester M. Salamon, America’s Nonprofit Sector: A Primer, 1992, pp. 102-103.

⁸Stephen R. Smith and Michael Lipsky, Nonprofits for Hire: The Welfare State in the Age of Contracting, (MA: Harvard University Press, 1993), pp. 171-187.

have continued their fight to remedy the human resource plight of the poor.

The community action initiative allegedly began when President John F. Kennedy was given a copy of Michael Harrington's book, The Other America, in 1962.⁹ The argument of this book convinced President Kennedy to use poverty in America as a major political agenda. Through the efforts of Walter Heller, Chairman of Kennedy's Council of Economic Advisers, a task force headed by Sargent Shriver was assigned the responsibility of developing a strategy which addressed the issue of poverty as a central theme for Kennedy's 1964 presidential campaign.

With the assassination of President Kennedy in 1963, Johnson adopted the poverty issue as a major strategy for his campaign. The "War On Poverty" became a major part of that strategy. It fit comfortably into the grand design of Johnson's "Great Society" movement.

On August 20, 1964, the legislative charter for the poverty bill was signed into law. It was a part of the Economic Opportunity Act. This unique community development program effort was to be identified, initiated and implemented by the local community involved in a community-based remedial process to eradicate poverty once and for all.

This initiative was congressionally approved and its implementation process was appointed by the President and entrusted to a new agency, the Office of Economic Opportunity (OEO). At its inception, it was directed from the protective circle of the White House and placed under Sargent Shriver as the OEO Director and Chief of Staff. Under President Johnson's authority, Shriver was responsible for the writing of the Economic Opportunity Act. Of significance to this study is Title II of the Act which addresses the issues of poverty. It fostered the notion of community action taken by an involved citizenry.

⁹Michael Harrington, The Other American: Poverty in the United States, (NJ: MacMillan, 1962).

The plan of Title II was for local communities to establish community action programs (CAPs). To give nominal authority to the states, these programs had a governor's veto provision. The governor of a state where a grant was being requested had thirty days to veto the request. However, the OEO Director had the legislative authority to override the governor's veto privilege. This authority brought about many contentious attitudes toward the legislation. Once established, the Community Action Agency (CAA) would receive up to 90% funding through OEO based upon a 10% match from local resources — a cash or in-kind service could be used as the match for the local 10% match requirement.

Through the support of the OEO and funding availabilities, the legislative plan stipulated that low-income people would be able to acquire the necessary skills, knowledge, and motivations to become self-sufficient. Thus, this legislation was to assist the poor of the American society to “pull themselves up by their own bootstraps.” The consensus was that America was, indeed, the land of opportunity for all who were industrious enough to adopt the Protestant work ethic. All industrious citizens could rise above the threat and throes of poverty — a political response to social Darwinism which contended that only the demonstrably fit deserved to survive, and that some of those who appeared unfit could be improved with the help of science.

Historical theories of the stewardship of wealth helped to define the responsibilities of the wealthy. For example, those whom fortune favored were expected to care for those “less lucky.”¹⁰ The “War On Poverty” movement, conversely, said that all were capable of rising above poverty if they were industrious. It elevated the unlucky, the poor, and sought to provide them the support necessary for them to succeed in life.

¹⁰Barry D. Karl, “Corporate Philanthropy: Historical Background,” in Corporate Philanthropy: Philosophy, Management, Future and Background, (DC: Council on Foundations, 1982), pp. 132-135.

A unique characteristic of the Title II legislation, and one that caused all manner of political rivalry, was the mandate of community control. The CAAs were to be led by the people of the community being served. The CAA board was to include public officials, members of civic groups, and representatives of the poor in the community. This tri-party board initiative became a power broker's group of stakeholders. The inclusion of the poor on the board with the power and authority to engage the minds of those present was the unique characteristic of the CAA board. It was not always received in good favor by the usual power brokers of the community.

The fact that Community Action Agencies, the highly visible and vocal advocates for the elimination of poverty, have continued to function as legislatively mandated speaks convincingly of their organizational success and responsible place in society. It should be noted that in the present literature regarding nonprofit organizations, the literature about the community action agencies primarily focuses on: (1) the activities of those agencies and how to manage them effectively; (2), their respective projects; (3), their funding methods; and (4), the nature of the projects they initiate. These obviously, are management considerations.

While these management concerns are informative and essential to the continued support of the Community Action Agency effort, only limited research is available regarding the leadership role in the nonprofit organization. Also, the attributes of leadership necessary for a nonprofit community action agency to be successful are equally neglected. This gap in the nonprofit organization literature is a primary concern of this dissertation.

The Community Action Agency

“This administration today here and now declares unconditional war on poverty in America, and I urge this Congress and all Americans to join with me in this effort.” With these

words, President Lyndon Johnson set into motion one of the programs which became identified with his administration — the War On Poverty, January 1964.

Two reactions from Congress began immediately after Johnson's declaration. The Democratic majority welcomed the proposal, but maintained that the larger group of aged and disabled citizens could be helped only by an improved public and private provision of insurance. The Republican minority said the antipoverty proposal was fine, but it was inadequate to the test, and the federal government's role should be far less than state and local efforts.¹¹ The proposed legislation provides for five basic funding opportunities according to President Johnson's plan:

1. It will give almost half a million underprivileged young Americans the opportunity to develop skills, continue education, and find useful work.
2. It will give every American community the opportunity to develop a comprehensive plan to fight its own poverty - and help them to carry out their plans.
3. It will give dedicated Americans the opportunity to enlist as volunteers in the war against poverty.
4. It will give many workers and farmers the opportunity to break through particular barriers which bar their escape from poverty.
5. It will give the entire nation the opportunity for a concerted attack on poverty through the establishment, under my direction, of the Office of Economic Opportunity, a national headquarters for the war against poverty.

The program was to be implemented by the Office of Economic Opportunity, a newly formed administrative office in the Executive Office of the President. Johnson appointed Robert Sargent Shriver, Jr., then Director of the Peace Corps, as OEO's first Director. Shriver was to be

¹¹David Zarefsky, President Johnson's War On Poverty: Rhetoric and History, (University of Alabama Press, 1980).

Johnson's personal Chief of Staff in the "War on Poverty." On February 18, 1965, Shriver was sworn in as a special Presidential assistant. His first role was to draft the legislation for the anti poverty program and to design the operations for the program.

Funding for the program was already included in the 1965 budget, and the program was to be initiated by July 1, 1965. The original budget was \$500 million and was increased by another \$426 million, by Johnson, to fund several pending programs.

The proposed program's agenda was to eliminate poverty by giving all Americans opportunities for work, for education and training, and for a chance to live in "decency" and "dignity" — these two words kept appearing in speeches and the rhetoric of public debate. Interestingly, the program, as initiated, was authorized and funded for only the three years of 1965, 1966, and 1967.

Of primary interest to this dissertation is Title II, the section which was designed to assertively, if not aggressively, address poverty at the local level through local, private nonprofit agencies. According to Title II, the programs were to be "developed, conducted, and administered with the maximum feasible participation of residents of the area and members of the group served . . ." Funding was granted up to 90% of the program costs the first two years for community programs that were dedicated to health, housing, home management, welfare, job training and educational assistance. Unless otherwise approved by the OEO Director, the third year funding was cut to 50% of the cost for all funded programs.

The first proposal stated that a plan outlining the proposed project was to be sent to the governor of the state involved. The governor had thirty days to review the proposal. The primary action on the part of the governor was approval, by taking no action, or rejection. If he did not reject the proposal, it was essentially approved for OEO to proceed with their approval or

rejection process. By the time the legislation had worked its way through Congress; however, the OEO Director was given the authority to override a gubernatorial veto for a Community Action, Neighborhood Youth Corps, or Adult Education program if the OEO Director thought the veto was inconsistent with the basic proposed purposes of the legislation. The OEO director and his staff were to work directly with the private, nonprofit agencies rather than working through already established public agencies. Obviously, this change in the legislation did not set well with many of the governors, nor with the local public agency leaders.

The conceptual genesis of the Community Action Agency pertinent to this study is the phrase in the legislation “maximum feasible participation of residents of the areas and members of the groups served.” The committee writing the proposed legislation was Daniel P. Moynihan, Chair, then Secretary of the Department of Labor; Assistant Attorney General Norbert A. Schlei, Frank Mankiewicz, Harold Horowitz, John Steadman, Adam Yarmolinsky, and Richard W. Boone.¹² No one seems to know who originated the term “maximum feasible participation.” Frank Mankeiwicz is given credit because it sounds like a lawyer’s term. He suggests otherwise. Adam Yarmolonsky recalls Richard W. Boone using the term.

The term “maximum feasible participation” caused many hours of debate in Congress and great frustration among the actors of implementation and the local governmental agencies. It was, however, a philosophical genesis, an ideological position in public legislation which defined this movement with its emphasis on citizen participation as a coherent, powerful means of addressing public issues. By requiring these parties of mutual interest to meet to discuss the needs of the communities at large, the legislation enforced networking from grassroots to Washington, and back to grassroots. This cycle of involvement set up a strong government-

¹²Daniel Moynihan, Maximum Feasible Misunderstanding - Community Action in the War on Poverty, (NY: Free Press, 1969).

people relationship.

“...the community action programs of the war on poverty, with their singular emphasis on maximum feasible participation of the poor themselves comprise by far the most notable effort to date to mount war systematic social response to this problem. As the work of social scientists and professional reformers, it must stand as a perceptive and timely initiative.”¹³

Joseph Handley says that a service approach to assisting the poor was fundamental to the early anti poverty programs of the 1960's. These were grouped together under the presidential term “War on Poverty.” They represented an attempt to rehabilitate the poor who were seen as deviant and to make them conform.

At the heart of the reformation through rehabilitation approach is the tenaciously held view that character defects and social pathology are the causes of poverty rather than the consequences. Thus, reformers shared with those outwardly hostile to the poor their deep misgivings about unrestricted grants of money. There must be redirection, not redistribution. The genuine flowering of the reformation through rehabilitation movement came with the War on Poverty. The basis of that war was rehabilitation: its grand strategy was directed at changing people.”¹⁴

The War on Poverty according to Boone, however,

“was an attempt to move administrative authority closer to the people who were directly affected by federal legislation. Not only did it allow a bypass of states, it endorsed new administrative instruments at the local level, thus offering the opportunity to bypass traditional instruments of local government.”¹⁵

This effort was a reaction to Harrington's book which found its impact not in detail, but in its central argument. The central argument convinced a sympathetic America that it “was not a single-class, affluent society that a complacent intellectual establishment had assumed, but a

¹³Daniel Moynihan, Maximum Feasible Misunderstanding, 1969, p. 161.

¹⁴Joseph F. Handler, Reforming the Poor - Welfare Policy, Federalism, and Morality, (NY: Basic Books, 1972).

¹⁵Richard W. Boone, National Academy of Public Administration's Conference on Crisis, Conflict, and Creativity, “Reflections on Citizen Participation and the Economic Community Act.” (Unpublished paper, Warrenton, VA, April 23-25, 1970).

deeply driven society in which the poor had been left to suffer unnoticed.”¹⁶ It was with this backdrop of American culture that the War on Poverty was implemented. The call went out to all communities large and small alike, that the federal government was going to eradicate poverty in the United States. With this notion as the back drop of concern, the Community Action Agencies (CAA) began their efforts. The case for this study is of one the community action agencies.

Overview of This Dissertation

The purpose of this dissertation is to study one nonprofit community action agency to see how selected characteristics and expectations relate to its effective operation. The dynamics within Total Action Against Poverty of Roanoke Valley, Roanoke, Virginia seem to suggest an interrelationship among leadership, organizational culture and socialization. It, consequently, has been selected as the case study subject.

This research further suggests that the interrelationship of leadership, organizational culture and socialization seems to foster a synergy which may have salient qualities that facilitate an effective community action agency. A notion requiring further thought and study is that effective leadership in a community action agency may necessitate an integrated, multifaceted systems orientation rather than a linear, single-issue management process which seems to be a primary focus of the literature.

Another aspect of this study is of particular interest to the public sector. When allocating public funds, public agencies often depend upon nonprofit organizations such as Community Action Agencies to assist with the implementation of specific service projects. For accountability, public agencies must evaluate the projects during the time of implementation and especially when

¹⁶Charles May, Losing Ground: America Social Policy, 1950-1980, (NY: Basic Books, 1984).

future funding requests are anticipated. In some cases, because of the seeming flexibility of a community action agency, the CAA project becomes a pilot project for a public program or for a private enterprise venture. Project accountability is vitally important for replication and future funding purposes. This accountability is more easily investigated when the nonprofit sector is better understood as having certain unique qualities, yet is held accountable to public funding specifications.

When the public or private sector funds a community action agency project, there is an expectation that the agency will meet the designated public need. In the community action agency, this effort requires interaction between its leadership and its client bases. In cases of public agency funding, the public agency becomes a direct partner with the nonprofit service agency to effectively resolve the community needs. The public agency, thereby, becomes a knowledgeable partner of the community and the service provided by the nonprofit CAA organization. The CAA, in such cases, becomes a primary extension of the public agency. To explore these issues, the following outline explains the direction of this study.

This dissertation presents its formal argument in six chapters. Chapter One presents the rationale for this study by first describing the notion of organizational (i.e., sector) characteristics — profit (private), public, and the nonprofit sectors. The focus is to present research specific to the qualities of the nonprofit CAA. Second, the purpose of this study is defined. Finally, the overview of the dissertation is presented.

Chapter Two reviews the literature which is specific to the nonprofit sector. The primary interest of this literature review is to draw a relationship among these significant areas of study which form the nucleus of the research problem.

Chapter Three presents the methodology regarding the specific case study of this

dissertation. The case study is explained giving justification for the single-case study methodology, research design, and the data collection process. Also, other related documents are explained: newspaper articles about the case in question, speeches by informed case leaders, and in-house publications about the organization. For purposes of case study validity, a detailed account of the specific data management technique is explained. The interview instrument is presented. An explanation of the researcher's intent of inquiry in Appendices C, C(b), and C(c).

Chapter Four presents the documentation of the research data. It begins with a brief historical view of Total Action Against Poverty, the case study of this dissertation. The data from the study of documents and interviews then are interpreted by the researcher to explain any significant and emergent information that might support or reject the intent of this dissertation. Further, the chapter extrapolates the data analysis to respond to the problem statement of this dissertation. The findings are used to explain the conclusions stipulated by a response to seven propositions central to the dissertation.

PROPOSITION ONE: Other members of the leadership team acknowledge that the Executive Director intends to influence this organization to accept a particular organizational culture and socialization.

PROPOSITIONS TWO: The Executive Director structures a strategy to influence his leadership team to facilitate a consensus for a particular organizational culture and socialization.

PROPOSITION THREE: The leadership team intentionally seeks to influence the organization to accept a particular organizational culture and socialization.

PROPOSITION FOUR: The leadership team intends to influence the organization to accept a particular organizational culture and socialization which anticipates an acceptance of the vision and philosophy communicated by the Executive Director.

PROPOSITION FIVE: The leadership team intentionally constructs a strategy which prescribes a particular kind of organization culture.

PROPOSITION SIX: The leadership team intentionally constructs a strategy for the implementation of a particular organizational socialization.

PROPOSITION SEVEN: The leadership team intentionally constructs a strategy which may foster a synergy within the organization by combining organizational culture and socialization.

The final chapter, Chapter Five, interprets the findings of this research project based upon the analysis of the data and the literature about this nonprofit CAA leadership, culture and socialization.

CHAPTER II

Review of the Literature

A theory-based literature which speaks to a particular study nurtures the investigative quality of any research project. It is important, therefore, that the literature of this study form the basis upon which this dissertation finds its rightful place. Essentially, the literature regarding the fields of leadership, culture, and socialization have both illuminated and inspired the focus of this research project; yet, this literature neglects the primary issue confronted by this dissertation, specifically, nonprofit leadership theory.

Previous research regarding organizational leadership, organizational culture, and workplace socialization (later referred to as organizational culture and socialization) is vast. Yet, this literature is incomplete when placed beside the organizational characteristics of a nonprofit CAA. It must be noted, however, that this researcher is not suggesting that extant theory in these three fields of study is irrelevant, or even inappropriate. The position taken in this dissertation is that these bodies of theory need to be expanded to reflect the characteristics unique to the nonprofit organization (Refer to Appendix D for a brief discussion of generic leadership research.).

The review of the literature in this dissertation section includes four principal divisions of reference. The first division will be the findings regarding the unique characteristics of the nonprofit sector. The second division is the notion of a different organizational leadership perspective. The third division considers the findings regarding organizational culture. The fourth division discusses the research devoted to workplace socialization. These four divisions will conclude with a section called Implications of the Literature to the Nonprofit Sector. In this section, these four principal divisions of documented research will be linked together to form the

body of literature supporting the premise of this dissertation.

Prior to those discussions, however, is a definition concern of leadership. What is the function of leadership? For example, some have made little or no distinction between leadership and management. Some have added a third dimension which focuses on administration. Are the functional aspects of leadership and management a pertinent concern for the nonprofit organization leader?

Leadership and Management

The frustration around drawing distinctions between leadership and management is not a new issue. The separation is important to this study. A brief explanation which compares the two, is important to this presentation. It is vital to the understanding of operating an organization that the executive of a nonprofit organization is usually responsible for both leadership and management. The contention of this study is that in the case of nonprofit organizations most of the extant literature focuses on the management aspects of the executive. Consequently, the leadership studies seem less documented.

To explain this confusion between leadership and management briefly and succinctly, three positions are presented. The first is a position taken by Behrman who says there are three divisions which must be considered: leadership, management, and administration. Leadership refers to the role of the executive to articulate the mission of the organization, he or she provides “a vision, an overriding goal and purpose that, as Burns reminds us, inspires both leaders and followers to enhance the dignity of society and the individual.”¹⁷ Management, to Behrman, is responsible for making the organization function within the parameters of the allocated resources.

¹⁷Jack Behrman, “Can Managers Be Leaders?” in Essays in Business Ethics, an unpublished manuscript, (NC: Chapel Hill, 1986).

It does not set goals or define purposes. Administration, then, is the process of getting all activities done as efficiently and effectively as possible.

Second, Zaleznik sees managers as trustees of the institution. The manager is responsible as the steward of the organizational goals and one who maintains the status quo. Leaders, conversely, seek new goals which better the existing organization and excite the followers to higher levels of accomplishments for the institution.¹⁸

Third, Bennis and Nanus define leadership and management as decisively different. For example, they coined the expression, “managers do things right and leaders do the right things.” They speak forthrightly about the leader being the one who articulates the vision of the organization to others. Leaders build trust in the activities of the organization and encourage others to participate in the vision. Meaning is given for the activities being performed by the organization, and communication among the members of the organization is vital. From their perspective, the leader is a meaning building catalyst for an organization. Through such efforts “accountability, predictability and reliability” become a part of the organizational fabric.¹⁹

To summarize the above three positions, Garner says, “The leader must be able to provide a sense of purpose and then construct a management system that will focus the energies of followers on that purpose.”²⁰ This idea provides a simple, yet distinct, understanding regarding management and leadership. The leader focuses on purpose and, then, he or she must design a

¹⁸A. Zaleznik and M. Kets de Vries, Power of the Corporate Mind, (Boston: Houghton Mifflin, 1975). Quoted in Bernard M. Bass, Bass and Stogdill’s Handbook of Leadership, 3rd Ed., (New York: Free Press, 1990). p. 386.

¹⁹W.G. Bennis and B. Nanus, Leaders: The Strategies for Taking Charge, (NY: Harper and Rowe, 1985), p. 43.

²⁰Leslie H. Garner, Jr., Leadership in Human Services. (CA: Jossey-Bass Publishers, 1989), p. 12.

means to accomplish that purpose. Whether the leader actually does the design or delegates that function to another is most often an issue of economics; however, the leader is responsible for the process.

Leadership

To introduce such a vast body of research related to leadership, one must arbitrarily find a starting point. The subject of leadership and its many facets is as old as civilized society. All history points to those who took the initiative to lead a nation, an organization, or a crucial event. Separate attention is also given to those who follow the leadership initiative. It is safe to say that the study of leadership embraces the whole of human existence. Throughout this study, “leader” refers to a singular person, Mr. Theodore Edlich, III, the Executive Director of the organization being studied; “leaders and leadership” refer to the Directors who are employees of that organization. The functions he/they perform are primarily seen as being the same. The terms are essentially interchangeable.

When one initiates a study of any subject, a working definition is a first consideration. A definition of leadership which speaks to the scope of this study is stated by J. Thomas Wren:

Leadership in its full compass is neither a position or title nor the actions of an identifiable “leader.” It is instead an interactive process in which leaders and followers engage in mutual goals. Viewed in this light, leadership occurs at all levels of society and engages all humans. A people approach to leadership must acknowledge all elements of the process, not just the actions of the leader.²¹

The above definition of leadership is only one of multiplied hundreds which could be quoted. This definition, however, includes some insights important to the premise of this dissertation. First, the concept of leadership is defined as being an “interactive process.” As will

²¹Thomas J. Wren, The Leader's Companion: Insights on Leadership Through the Ages, (NY: Free Press, 1995), pp. x-xi.

be posited throughout this dissertation, leadership becomes both an independent variable and a dependent variable when considering an interactive process. Leaders/leadership act and influence the organization. Too, they are influenced by the organization, as well.

Second, when leaders and followers engage in “mutual interaction” it brings to the forefront both the need for followers and the realization that without followers there are no leaders. The leader-follower model is vital to leadership understanding.

Third, the idea that leadership influences and is influenced by a “complex environment” must be recognized in contemporary society. Historically, this notion did not have as much credibility as is accepted today. The great man theory, trait theory, and the power and control leadership studies perceived leadership to be a one-way directive. Contemporary leadership theory emphasizes the key role of reciprocal considerations between leader and follower.

Fourth, “to achieve mutual goals” is another way of referring to a positive, effective organizational leadership dynamic. When leadership in its “full compass” is considered, a discussion will usually follow regarding the accomplishment of the organizational mission. Regardless of process, those involved — whether leader or follower — expect certain things to happen because of their effort. In turn, the result of their action will usually cause the interactive process to be continuously initiated. Such is a role of the leader. Following the discussion of management and leadership distinction, a contextual review of nonprofit organization leadership literature will be presented. (Further definitions are given in Appendices A and G(b).)

Management and Leadership Distinctive

Believing strongly in a distinctive difference between leadership and management and suggesting that distinction in this review of literature, it is appropriate that each term be clarified.

Management, per se, is not the subject of this dissertation. It is, however, a vital role of a leader and cannot be ignored if an organization is going to function at any level of efficiency or effectiveness.

Behrman argues that leadership, management, and administration are different activities. Management, he says, is the allocation of resources to achieve an agreed upon purpose; administration is the process of systems control, scheduling and accounting; and leadership articulates mission.²² This three-way division is an interesting concept. More often than not, management and administration are considered one activity. This separation further supports the notion that management and leadership are separate entities.

Salancik and Pfeffer see managers as trustees of an institution who preserve and strengthen the status quo. Leaders direct the organization to new heights of accomplishment. This distinction is supported by the contention that managers are controlled by the institutional rules and regulations, structures and policies; the leader works beyond the institutional mind set to discover uncharted opportunities for growth and expansion.²³

In the public administration literature, Larry Terry challenges the management model of leader characterized as the “heroic conception.” The “heroic conception” pictures the leader as powerful, revolutionary, and anti-traditional. He contends that public administration theorists have unfortunately adopted this leadership concept. Further, Terry challenges Doig and Hargrove’s counsel to adopt what he calls the business management model.²⁴

²²J. Berman, “Can Managers Be Leaders?” In Essays in Business Ethics, 1986.

²³G.R. Salancik and J. Pfeffer, “A Social Information Processing Approach to Job Attitudes and Task Design,” Administrative Science Quarterly, 23 (1977), pp. 224-253.

²⁴James Doig and Erwin Hargrove, (Eds.), Leadership and Innovation: Entrepreneurs in Government, (Baltimore: Johns Hopkins University Press, 1987), p. 4.

Rather, Terry asserts the acceptance of the position taken by Friedrich who considers the business management model as “poetic exaggeration.” Friedrich suggests that bureaucratic leaders favor evolutionary and incremental changes. Terry quotes Selznick who writes, “the rational action of individuals must be anchored in some way.”²⁵ Tradition becomes a hallmark to his position.

Following the positions of both Friedrich and Selznick, Terry asserts that rational action calls one to address tradition. The bureaucratic leader, therefore, embraces tradition as the foundation of authority which is in line with the Salancik and Pfeffer positions that a manager is the trustee of the organization, the one who preserves institutional integrity.

Specifically, management is considered a process of accomplishing the mission of an organization. It is, indeed, a part of the decision-making process which calls for the implementation of that mission. Also, management affects the quest for efficiency and effectiveness of the service or services being provided. Effectiveness in this sense refers to quantity and quality control of the services rendered. Efficiency is the benefit in terms of cost per unit. Simply stated, is the effort worth the total operational/opportunity cost.

From this perspective of management, one cannot escape the vital importance of quality management. Kennedy warns the leader to be careful and thoughtful when attempting quality management. Such activity requires acute consideration of informal structures and political dimension of the organization. Of primary importance is his suggestion that an educational format and specific training resources which are appropriate to the organizational setting and personnel, be implemented. In other words, management will require the attention of the leader to provide

²⁵C.J. Friedrich, “Political Leadership and the Problems of the Charismatic Power,” in The Journal of Politics, 23 (1961), p. 21. And P. Selznick, “The Idea of A Communitarian Morality,” in California Law Review (1987), p. 458.

education and training components which are essential to the success of the organization.²⁶

Leadership, when made distinct from management, has a primary and vital part to play that is significant to the life and health of any organization. Leadership points to the future design of the organization's mission. It provides the vision that keeps the organization viable in a changing society. Briefly stated, it refers to the intent of the person or persons who influence a larger defined group, an organization, to mutually address an issue in such a way as to make changes that reflect the best intentions of the whole. Bloch gives three criteria that help shape the mission of an organization:

1. The mission should reflect a deeply felt sense for the present and desirable future state of the organization.
2. It needs to be understood as both strategic and lofty (i.e., realistic and credible, attractive and understandable by stakeholders).
3. It must be shared by all involved in the mission of the organization.²⁷

With a clearly defined mission, an interesting phenomenon may occur with respect to management and leadership. For example, a nonprofit organization can adequately function with limited leadership being provided if its management profile is effective and efficient. Consequently, the studies on management seem to be prolific. The shortfall of this assumption, however, is seen when the organizational dynamics change (e.g., when the leader leaves, services are no longer a funding priority, the service being provided no longer exists or is of limited priority). At this point, the consequences of poor leadership within a nonprofit organization may be devastating. Funding sources usually support only currently needed services. If those services

²⁶Larry W. Kennedy, Quality Management in the Nonprofit World, (CA: Jossey-Bass Publications, 1991), pp. 151-152.

²⁷Peter Bloch, The Empowered Manager, (CA: Jossey-Bass Publishers, 1988), pp. 96-98.

are no longer viable, the organization suffers and its support base erodes. The organization without a leadership base to address the change may no longer be a viable commodity.²⁸

When organizational change is necessary, the leader of the organization is responsible for making the needed changes while maintaining the organization-at-large. This dual role of manager-leader becomes essential. It is at this point that most managers (those without sufficient leadership skills) either fail, or go to another organization whose service is still a viable commodity. Unfortunately, the non-led organization is left to flounder in hopes of finding another leader. One could hope that the new leader would have a futuristic vision and would encourage the organization to retool and retrain its existing staff in an effort to save the organization, its personnel, its clientele, and its mission. Koteen suggests that an organization cannot be successful unless the chief executive gives strong, consistent support to effective strategic performance; he or she must become a “general manager of strategy.”²⁹

Granted, the scenario often is not as clear cut as described above. The fact is that too often a newly appointed leader of a nonprofit organization is “promoted” to a level of incompetence because he or she was an effective middle-management employee who caught the attention of the leadership staff, or board of directors, responsible for hiring the new executive. The skills of leadership probably were not discussed, and the workshop circuit and in-service training not only came after the fact, but most often only focused on management details.

The inherent problem, the issue of this dissertation, is that when the leader of a nonprofit organization does realize the need to learn appropriate leadership skills there is the dilemma of

²⁸Jon Van Til, Mapping the Third Sector: Volunteerism in a Changing Social Economy, (NY: Foundation Center, 1988), p. 29.

²⁹Jack Koteen, Strategic Management in Public and Nonprofit Organizations, (NY: Praeger, 1991), p. 39.

how to obtain the needed skills. To that effort, he or she is likely to find a dearth of literature and workshop training which focuses on the specifics of leadership training for a nonprofit sector organization. More than likely the leader will find numerous leadership workshops which present more information on quick-fix management strategies and techniques and practically no information on the specifics of quality leadership. This issue becomes even more acute when an organization has only limited funds available for staff training.

A focused initiative of leadership training and understanding on the part of the leader of a nonprofit organization is of primary concern to this study. Believing that an organization relies significantly upon the leadership skill of its leader(s), it would seem plausible that strategic initiatives by the leader would have a direct influence upon the organization at large.

Too often practitioners and researchers limit their leadership focus by giving priority attention to management issues which tend to be linear, one-issue problems of management such as budget, personnel, problem solving/decision making, funding, or legal issues regarding any of the above rather than searching for the contextual whole.³⁰ Others have proposed integrating taxonomies of manager/leader behavior.³¹ This managerial, functional approach to leadership issues may cause vital leadership elements to be minimized or even ignored. The result can be a distorted understanding of the leader's role, and thereby, produce a dysfunctional "managerial" approach to organizational leadership. This approach to leadership may foster an unsuccessful organization — an organization which does not fulfill its mission and may unfortunately no longer remain viable in the workplace.

³⁰L. Smircich and G. Morgan, "Leadership: The Management of Meaning," Journal of Applied Behavioral Science, 18, (1982), p. 261.

³¹Gary A. Yukl, Leadership in Organizations, 2nd Edition, (NJ: Prentice Hall, 1989), p.128.

The often expressed initial step for effective leadership of a nonprofit organization is to become knowledgeable of extant management and leadership theory. The intent of this step is to encourage a clearer understanding of the differences between leadership and management. A study of this literature will offer the leader an entry level understanding of the leadership dynamic requirements which acknowledges the general effectiveness of his or her organization. At the same time, the leader must recognize the managerial and leadership responsibilities incumbent upon him or her. It must be understood “that leadership is not a mystical quality that you either have or don't have. It consists of a set of skills which can be learned and a set of characteristics which can be developed.”³²

The perceived lack of understanding of these two streams of literature, leadership and management, is one of the primary motivations for this dissertation. Besides a lack of leadership research directly related to nonprofit organizations, there is also a limited resource of leadership literature regarding the impact of the leader upon his or her nonprofit organization. A second and related issue is the conceptual consideration of the organization's culture. When perceived as a singularly focused, linear process, the managerial perspective of leadership may ignore a primary consideration for the leader of a nonprofit organization — the interrelatedness or networking between a leader and her or his organizational environment (e.g., constituency, board members, employees, interested citizens and clients, and possibly those in disagreement with the mission of the organization).³³

To address this perceived flaw in the leadership literature, this research suggests that the

³²Rich Lynch and Sue Vineyard, Secrets of Leadership, (IL: Heritage Arts, 1991), p.3.

³³Cyril O. Houle, Governing Boards: Their Nature and Nurture, (CA: 1989), pp. 166-183. Also, Robert D. Herman and Richard D. Heimovics, Executive Leadership in Nonprofit Organizations, (CA: Jossey-Bass Publishers, 1991), pp. 67-78.

leadership process is a multivariant process which causes many facets of leadership to be simultaneously synchronized — a synthesis of interrelated variables.³⁴ Consequently, this study precludes that any study which restricts leadership to managerial functions or a singular process of a functionalist nature simply ignores the complexity of leadership in an organizational context. Further, it is suggested that a linear, one-issue process ignores the complexity of the leadership dynamic. Although this dynamic may be characteristic of all organizational sectors — public, private, and nonprofit, the perspective of this dissertation stipulates a uniqueness of each of these sectors, and is particularly pertinent regarding nonprofit sector organization.

Bolman and Deal in their soul-searching, succinct book, Leading with Soul: An Uncommon Journey of Spirit, define leadership this way:

... we have repeatedly found that manager's first response is to focus on the rational and technical features of any situation. Analyze. Plan. Change policies. Restructure. Reengineer. These are sensible responses to many business problems, but they miss another, deeper dimension. Our work has taught us that the symbolic, expressive facets of organizational life are at the heart of inspired leadership . . . The signs point toward spirit and soul as the essence of leadership.³⁵

Spirit and soul are relational terms. People, according to Bolman and Deal, relate to each other through spirit and soul. What Bolman and Deal are emphasizing is that a leader must not ignore the fact that people are primary to the leadership role. It may be appropriate to suggest that managers tend to relate to organizational task(s), and leaders relate to people and their respective needs. In the literature, the study of organizational culture expresses the people dimension of an organization, and the influence of socialization is the process by which people

³⁴Gary L. Yukl, Leadership in Organizations, p. 128-146. Also, Lee G. Bolman and Terrence Deal, Reframing Organizations: Artistry, Choice and Leadership, (CA: Jossey-Bass, 1991), pp. 309-319.

³⁵Lee C. Bolman and Terrence E. Deal. Leading with Soul: An Uncommon Journey of Spirit, (CA: Jossey-Bass, 1995), p. 39.

become who they are in the context of a specific community. This is the premise being considered throughout this dissertation. The leader has a specific role to play within the organizational context. Organizational culture and socialization may be the means to incorporate the “spirit and soul” notion proffered by Bolman and Deal.

Following this notion of Bolman and Deal, it is suggested that a leader of a nonprofit organization should recognize and facilitate the dynamics created by the organizational culture and socialization within the organization she or he seeks to develop. These elements envelop the symbolic aspects of an organization. These may, indeed, be a distinct part of the leadership skills which are found to be unique to the nonprofit sector. The interrelatedness of leader and constituency is a primary and important consideration to the nonprofit leader. The blending of the two elements of organizational culture and socialization may have a plausible contribution to make to the effectiveness of a nonprofit organization with its intent to serve the needs of people. When this interrelatedness is initiated by the leader, it may, as well, have salient relevance to the success of the nonprofit organization.

The Nonprofit Sector Leadership Literature

Recognizing the lack of leadership literature specifically written from the nonprofit perspective, it seems essential to review the perception of distinctive circumstances regarding the nonprofit organization which makes such a consideration appropriate. Also, one must become aware of the mind set of the nonprofit leader who often sees little or no distinctive difference between management and leadership.

Too often, the primary leadership literature seems to ignore an acknowledgment of any unique qualities of the nonprofit organization. Unfortunately, leadership literature in general

presumes that the specificity of the organizational sector is of limited concern or inconsequential, and that the leadership characteristics of all organizations are essentially the same. This presumption seems short-sighted, if not misguided, especially when the nonprofit sector is being considered. Thus, while considering the leadership dynamic necessary to develop an effective nonprofit organization, the unique qualities of the nonprofit sector which may require different leadership strategies must be recognized. Frances Hesselbein, President and CEO of the Peter F. Drucker Foundation for Nonprofit Management, entertains this perspective saying,

Many third sector organizations have adapted appropriate private sector business practices, yet are aware of the need for solid research on management innovation in the nonprofit sector . . . Today's "social sector" organizations deserve and require their own sector research and resources.³⁶

Herman and Heimovics speak to this distinctiveness concern with the assertion that:

Nonprofit organizations are distinctive forms of organization, differing in fundamental ways from business and government. Like business, nonprofit organizations engage in voluntary exchanges to obtain revenues and other resources, and like governments, they usually provide services with public good characteristics.³⁷

Herman and Heimovics, authorities in nonprofit organization practices and research, concur that the executive position in a nonprofit organization fills a demanding and difficult role. In many instances the executive has a multiplicity of organizational roles and functions to perform. One such role which must be considered, although not a specific part of this study, is the relationship between a leader and the organization's board of directors.

Most all research regarding the nonprofit organization see it as a hierarchical organization. By United States law, the board of directors of the nonprofit organization is the highest authority

³⁶Dennis Young, Robert M. Hollister, and Virginia Hodgkinson, Governing, Leading, and Managing Nonprofit Organizations, (DC: The Independent Sector, 1993), p. xiii.

³⁷Robert D. Herman and Dick Heimovics, "Executive Leadership" in Handbook of Nonprofit Leadership and Management, (CA: Jossey-Bass, 1994), p. 137.

level. The executive is subordinate to the board.

The board, consequently, defines policies and procedures, accepts or rejects program proposals, and negotiates the financial aspects regarding budgets, funding opportunities, and overall goals. Pfeffer calls this hierarchical arrangement the “purposive-rational” model.³⁸ Elmore calls the model the “management systems” model.³⁹ Both models are reflections of the Weber bureaucracy model which stipulates the responsibility of decision-making as being hierarchically assigned.⁴⁰ Most nonprofit literature substantiates the notion that a board of directors is at the top of the organizational hierarchical structure and the executive implements the decisions and policies of the board.⁴¹

In reality, however, it is suggested that such an arrangement of a board of directors, being active in all matters related to the nonprofit organization, gives the board’s role a persona of a “heroic” ideal.⁴² It seems that boards seldom function as prescribed by the law or its rightful hierarchical position.⁴³ Middleton’s review of empirical data suggests that boards seldom function

³⁸J. Pfeffer, Organizations and Organization Theory. (Boston: Pitman, 1982).

³⁹R.F. Elmore, “Organizational Models of Social Programs Implementation,” Public Policy, 26, (1978), pp.185-228.

⁴⁰H.H. Gerth, and C.W. Mills, (Trans. and Eds.), from Max Weber: Essays in Sociology, (NY: Oxford Press, 1946).

⁴¹J.G. Alexander, “Planning and Management in Nonprofit Organizations,” in T.D. Connors (Ed.), The Nonprofit Organization Handbook, (NY: McGraw-Hill, 1980). William R. Conrad and William E. Glenn, The Effective Voluntary Board of Directors, (IL: Swallow Press Books, 1983). Andrew Swanson, Building a Better Board: A Guide to Effective Leadership, (DC: Taft Corporation, 1984).

⁴²Robert D. Herman, “Concluding Thoughts on Closing the Board Gap,” in R.D. Herman and J. Van Til (Eds.), Nonprofit Boards of Directors: Analysis and Applications, (N.J.: Transaction, 1989).

⁴³M. Middleton, “Nonprofit Boards of Directors: Beyond Governance Function,” in W.W. Powell (Ed.), The Nonprofit Sector: A Research Handbook, (CT: Yale University Press, 1987),

as intended. His term for the unique relationship between board and executive is “strange loops and tangled hierarchies.” The idea is that the board and the executive work together in some amiably shared relationship of organizational leadership — a team approach. Because of their respective roles and responsibilities, they are interdependent. Herman and Heimovics suggest that a more appropriate model would be a “social constructionist model.”⁴⁴ The social constructionist model:

. . . abandons assumptions of hierarchically imposed order and rationality, emphasizing that what an organization is and does emerges from the interaction of participants as they attempt to arrange organizational practices and routines to fit perceptions, needs, and interests . . . [it] recognizes that official or intended goals, structures, and participants interact and socially construct the meaning of ongoing events.⁴⁵

In this exchange, Herman and Heimovics explain an interesting and unusual phenomenon that is characteristic of nonprofit organizations. Atypically, the executive of a nonprofit organization assigns credit to the board for successful events and blames himself or herself for failures. Leadership studies, to the contrary, have all confirmed the “self-serving” notion of taking the credit for causing success while shifting the blame to others or luck when failure is experienced. The report also confirms the notion that in nonprofit leadership all successes and failures of the organization hold the executive as the responsible party.

Using the Quinn inventory⁴⁶ which is based on Yukl’s analysis to rate effectiveness or noneffectiveness of nonprofit organization leaders, Herman and Heimovics concluded:

p.149.

⁴⁴Robert D. Herman and Dick Heimovics, “Executive Leadership,” The Jossey-Bass Handbook of Nonprofit Leadership and Management, (CA: Jossey Bass Publishers, 1994), p. 139.

⁴⁵Herman and Heimovics, “Executive Leadership,” p. 139.

⁴⁶R.E. Quinn, “Applying the Competing Values Approach to Leadership: Toward an Integrative Framework,” In J.G. Hunt (Ed.) Managerial Work and Leadership: International Perspectives, (NY: Pergamon, 1983).

. . . that the effective executives provided significantly more leadership to their boards . . . took responsibility for supporting and facilitating their board's work . . . They see their boards as the center of their work.⁴⁷

To complete their study, Herman and Heimovics found these characteristics of an executive's leadership behavior:

1. Facilitating interaction in board relationships
2. Showing consideration and respect toward board members
3. Envisioning change and innovation for the organization with the board
4. Providing useful and helpful information to the board
5. Initiating and maintaining structure for the board
6. Promoting board accomplishments and productivity

Further, they suggest that the executive must proficiently engage in "external world" activities. Using the Bolman and Deal's multiple frame analysis (i.e., Structural, Human Resource, Political, and Symbolic), Herman and Heimovics found that successful executives of nonprofit organizations relied more heavily on the political frame. The political frame stresses the need for relational and conflict resolution skills

. . . to build alliances and networks with prominent actors or stakeholders to influence decisions about the allocation of resources. Those who use the political frame exercise their personal and organizational powers and are sensitive to external factors that may influence internal decisions and policies.⁴⁸

The idea is that the executive uses the multiple frame concept and does not rely on a single-issue concept of leadership perspective. Granted, there is a skill required for an executive to be able to understand and act within the political frame because of its multiplicity of interrelated actors and organizational complexities. Their findings support the premise of this study; however, of a need to recognize the multiple factors of nonprofit sector leadership.

In summary, Herman and Heimovics suggest four strategies which seem to be appropriate

⁴⁷Herman and Heimovics, "Executive Leadership," p. 141.

⁴⁸Herman and Heimovics, "Executive Leadership," pp. 148-149.

for the nonprofit organization executive:

1. Accept and act on psychological centrality
2. Provide board-centered leadership
3. Emphasize leadership beyond organization's boundaries
4. Think and act in political ways.⁴⁹

Organizational Culture Development

Organizational cultures are directly influenced when leaders set social processes in motion to achieve their visions of what their organizations should be like and what the organization should accomplish. In effect, leaders' visions provide the substance for new organizational cultures.⁵⁰ Organizational cultural development has an initial point which most often directly relates to the leader's vision for his or her specific organization.

Communicating the vision and mission of the organization is the role of the leader. Without this initiative the organization may be left without direction. It is incumbent upon the leader, therefore, to accept the responsibility to initiate a strategy conducive to the implementation of vision and mission for the organization. This is not to assume, however, that the leader is the only communicative force of sharing a vision and mission.

Schein developed a Three Layer Organizational Culture model which says: Layer One includes artifacts and creations which are visible but often are not interpretable; Layer Two encompasses values or the things that are important to people, values are conscious, affective desires or wants; and, Layer Three reflects the basic assumptions people make that guide their

⁴⁹Herman and Heimovics, "Executive Leadership," pp. 150-151.

⁵⁰Harrison M. Trice and Janice M. Beyer, The Cultures of Work Organizations, (NJ: Prentice Hall, 1993).

behavior; assumptions that tell individuals how to perceive, think about, and feel about work, performance goals, human relationships, and the performance of colleagues.⁵¹

Schein is careful to point out that:

The culture that eventually evolves in a particular organization is . . . a complex outcome of external pressures, internal potentials, responses to critical events, and, probably, to some unknown degree, chance factors that could not be predicted from a knowledge of either the environment or the members.⁵²

Since organizational culture involves shared expectations, values, and attitudes, it exerts influence on individuals, groups and organizational processes. Researchers who have suggested and studied the impact of culture upon employees indicate that it provides and encourages a form of stability.⁵³ Hence, the oft used term: “the glue of organizational identity.”

Although the concept of culture has spawned voluminous writings, the literature still lacks empirically based, theoretical research. Questions remain about the measures used to assess culture, and definition problems have not been resolved. There has also been the inability of researchers to show that a specific culture contributes to positive effectiveness in comparison to less effective firms with another cultural profile. Comparative cultural studies are needed to better understand how culture impacts individual and collective behavior.⁵⁴

Can a culture be created that influences behavior in the direction management desires? It is difficult to create core values. Imposing a “new” culture upon an existing or a tenured

⁵¹Schein, Edgar H., “Does Japanese Management Style Have a Message for American Managers?”, *Sloan Management Review*, Fall (1981), p. 64.

⁵²Edgar H. Schein, Organizational Culture and Leadership, pp. 83-89.

⁵³Linda Smircich, “Concepts of Culture and Organizational Analysis” Administrative Science Quarterly, September, (1983), pp. 339-358.

⁵⁴John M. Ivancevich and Michael T. Matteson, Organizational Behavior and Management, 4th ed., (Chicago: Irwin, 1996), p. 87.

organization is often met with resistance. Also, when a disparity exists between reality and a stated set of values, employees become confused, irritated, and skeptical. Employees tend to show a lack of enthusiasm and respect for an organization when a false image (i.e., identity) is portrayed. Creating a culture apparently does not just happen because a group of intelligent, well-intentioned managers meet and prepare a document. There is a time consideration for social acceptance which needs to be worked into the process of change.

The Gross and Shichman present a model they call “The Evolution of a Positive Culture” which emphasizes an array of methods and procedures that managers can use to foster a cohesive culture:⁵⁵ In particular, this model specifies that the intervening conditions are caused by methods of communication which lead to a History development; leadership and role modeling which lead to a sense of Oneness; reward systems, socialization and training as promoting a sense of Membership; and, intergroup relationships as an Exchange among organizational members. Schein states that these four Intervening Conditions: History, Oneness, Membership, and Exchange produce an outcome of a cohesive organizational culture. This model is a powerful representation of the process of culture development giving support to the idea of a multifaceted methodology to culture development

What is pertinent to this study is the idea of complexity. Indeed, research which accounts for all anticipated variables recounted above would beg the question of predictability. However, the idea of multiplicity does speak to the inadequacy of simplistic research into a vast area of organizational understanding. One intervention method of developing cultural cohesion is the process of socialization. In terms of culture, there is a transmittal of values, assumptions, and attitudes from the older to the newer employees which must be considered if cultural change or

⁵⁵Warren Gross and Shula Shichman, “How to Grow an Organizational Culture,” Personnel, September, (1987), pp. 52-56.

organizational development are anticipated.

Research related to nonprofit organizational study is limited regarding culture change; however, some points of consideration are: (1) cultures are elusive and cannot be adequately diagnosed, managed, or changed; (2) the difficulty of combining necessary techniques, skills and time to both understand and change a culture makes it impractical; (3) because cultures support and sustain people through difficult times of anxiety, people naturally resist an attempt to adopt a new culture.⁵⁶

Of import to this study is the process of culture building and renewal. Mainieto and Tromley refer to their model as Culture Changing Intervention Points.⁵⁷ The initial step of their model is at the point of hiring. Once hired, organizational socialization begins. The import of this stage is to prepare the newly hired employee for the culture into which he or she is to participate.

In this model, two choices are given the new employee: (1) remove deviates from the culture; or, (2) evidence acceptable behavior — accepting and adopting the organizational norm. Reinforcement begins at the point of behavior assimilation. Mainieto and Tromley refer to justification and cultural communication as the final stages which, in turn, may lead to an acceptable norm.

The pertinence of the above model to this dissertation is the reference to multiple intervention points where managers may influence the process of culture development. The aspect of influence is vital to the premise upon which this dissertation is founded.

Another important aspect is vision and mission as it relates to culture development is the

⁵⁶Harrison M Trice and Janice M. Beyer, “Using Organizational Rites to Change Culture, in Gaining Control of the Corporate Culture, Ralph H. Kilman, Mary J. Saxton, and Roy Serpa, (Eds.), (CA: Jossey-Bass, 1985), pp. 370-99.

⁵⁷Lisa A. Mainieto and Cheryl I. Tromley, Developing Skills in Organizational Behavior, (NJ: Prentice-Hall, 1989), p. 403.

formulation of organizational ideology. Trice and Beyer give a succinct organizational purpose of ideology:

. . . the most basic function of ideology is to create some semblance of order and ongoingness in an incomprehensible, often chaotic world. Ideologies serve to make social situations comprehensible and meaningful. People naturally tend to simplify what they perceive; ideologies act to structure that simplification.⁵⁸

Trice and Beyer continue by saying that members of an organization must sense that their leader is self-confident, has strong conviction, a dominant personality, and is able to “preach” his or her vision with drama and eloquence.⁵⁹

Dyer tells of two primary ways new cultures form which speak directly to this study:

1. Founders and other designated leaders formulate ideologies and forms and then influence followers to adopt them.
2. Ideologies and norms emerge spontaneously as people interact to solve problems of internal integration and external adaptation and are preserved as part of group life.⁶⁰ Ideologies are intentional, planned and directed toward those coming into the organization. Norms are said to occur naturally. The natural influence of tenured workers and the culture in general often speaks silently, yet powerfully of the ideology fostered by the founders and those who are among Dyer’s first type.

⁵⁸Mainieto and Tromley, Developing Skills in Organizational Behavior, 1989, p. 45.

⁵⁹Trice and Beyer, “Cultural Leadership in Organizations,” Organization Science, 1991, p. 163.

⁶⁰Gibb W. Dyer, “The Cycle of Cultural Evolution in Organizations,” in Ralph Kilmann, Mary J. Saxton, and Roy Serpa (Eds.), Gaining Control of the Corporate Culture, (CA: Jossey-Bass Publications, 1985), p. 210.

Trice and Beyer suggest, due to a dearth of available documentation in this area of research, eight prescriptive aphorisms regarding the issue of culture creation. They state, “Someone in a culture has to originate or recognize ideologies to which others can subscribe, make the ideologies understandable and convincing, and communicate them widely and repeatedly so that others come to share them. Someone has to develop and promulgate what we and others have called a *vision*.” These notions lend strength to leader influence and the power of culture.

They contend that someone must:

1. Discover and articulate distinctive ideologies
2. Recruit like-minded people
3. Devise and use distinctive cultural forms
4. Socialize to instill and sustain ideologies
5. Structure to influence subcultural formation
6. Remain flexible enough to adapt
7. Support innovative leadership
8. Let go gracefully.⁶¹

The ideology of an organization is the essence of what the culture will become. There is some disagreement about making a culture simple rather than recognizing it as a complex entity which demands persistent diligence to understand and maintain.⁶² Meyer contends this to be the dysfunctional aspect of ideologies. He states, “Organizational ideologies can lead to distorted perceptions of the world, excessive deviance compared to other organizations, behavioral rigidity and stagnation, and the outside world seeing members as heretics and fanatics.”⁶³ It becomes

⁶¹Trice and Beyer, The Cultures of Work Organizations, pp. 415, 428.

⁶²Karl E. Weick, “Cognitive Processes in Organizations,” Research in Organizational Behavior, 1, 1979, pp.41-74.

⁶³Alan D. Meyers, “How Ideologies Supplant Formal Structures and Shape Responses to Environments,” Journal of Management Studies, 19(1), 1982, p. 60.

essential, therefore, for someone to take the initiative to keep the culture current and the organization effective. This “taking the initiative” supports the idea of building an effective organizational culture. The culture has a persona that is malleable and can be changed or changed by a significant member(s) of the organization. The organization, thereby, maintains its proper perspective and addresses its strengths and weaknesses while adhering to its innate culture.

Organizational culture is said to be a configuration of rules, enactment, and resistance which are manifested in and through a number of artifacts, processes, and behaviors. Organizational behavior, then, is manifested in and mediated through a series of formal/informal, written/unwritten, moralistic/normative/legalistic rules which are constructed out of the interactions of various members of the organization.⁶⁴ According to Davis, rules develop out of a multitude of conscious/unconscious, rational/irrational interactions between various organization members.⁶⁵ This “interaction of various members” perspective differs from conventional approaches to organizational culture which contends that rules (i.e., prescriptive behaviors): (1) serve to unify the activities of organization members while engaging their commitment and values; and, (2) are not simply rational outcomes of the activities, interactions, of organization leaders.⁶⁶

Whichever perspective of organizational culture (i.e., culture/organization being acted upon by a leader or leadership, or a result of member interactions) one agrees with is acceptable to the issue of this dissertation. Either or both perspectives can be accepted because they speak

⁶⁴Albert J. Mills, “Managing Subjectivity, Silencing Diversity: Organization Imagery in the Airline Industry. The Case of British Airways,” Organization, Vol 2 (2), (1955), pp. 243-269.

⁶⁵Stanley M. Davis, Managing Corporate Culture, (MA: Ballinger), 1984.

⁶⁶Edgar H. Schein, Organizational Culture and Leadership, 1985, p. 9.

to the issue of influence. The leader and/or the organizational leaders may influence, that is, have an affect upon the culture. On the other hand, the organization may be seen as acting, thus, determining its own character. Whether this influence is initiated by persons within the organization or is a result of one leader's intervention, makes no significant difference to the notion that the organization's culture may be manipulated by those significantly related to the organization.

Culture development includes "the values that are shared by the members, the heroes who exemplify the organization's values, the rituals that provide for the expressive bonding of members and culture learning, and the stories that transmit the culture's values and ideas."⁶⁷ Trice and Beyer list these cultural forms as: rite, ceremonial, ritual, myth, saga, legend, story, folktale, symbol, language, gesture, physical setting, and artifact. Each of these elements carries with it an aspect of the organization's mystique. Even though they are a result of the internal environment of the organization, the leader may influence these cultural forms to the benefit of the organization.⁶⁸

Cultural values and norms make up the ideas and beliefs of the organization; the norms which are specific to that community. Weick suggests that the primary function of an organization is "sensemaking" whereby an organization's members develop a set of mutually acceptable ideas and beliefs about what is real, what is important, and how to respond both

⁶⁷Bernard M. Bass and Ralph M. Stodgill, Handbook of Leadership: Theory, Research, and Managerial Research, 3rd edition, (NY: Free Press, 1990), p. 586.

⁶⁸H.M. Trice and J.M. Beyer, "Studying Organizational Cultures Through Rites and Ceremonials," Academy of Management Review, 9, (1986), pp. 653-669.

individually and collectively. Weick specifically indicates that leaders are always in the process of sensemaking — creating new realities. Therefore, the leader must continually make sense of its reality. He indicates through his seven steps that sensemaking is a process that is:

1. Grounded in Identity Construction — an ongoing puzzle undergoing continual redefinition.
2. Retrospective — an attention process to the past which defines the present situational context.
3. Enactive of Sensible Environments — people construct reality through authoritative acts, both constraints and opportunities.
4. Social — mediated by talk, discourse and conversation which reveals sensemaking notions.
5. Ongoing — flows of happenings are constant and people are always in the midst of all happenings.
6. Focused on and by Extracted Cues — the simple, familiar structures from which people develop a greater sense of what is happening.
7. Driven by Plausibility Rather than Accuracy — sensemaking is about pragmatics, coherence, reasonableness, creation, invention, and instrumentality.⁶⁹

In short, sensemaking, according to Weick, is the process by which a leader enacts his or her operating environment and retrospectively “makes sense” of the decision-making process.”⁷⁰

Pfeffer says that “a task of leadership in organizations and in nations is to make activity meaningful and sensible, and in so doing, produce positive sentiments, attitudes, and feelings among those in the organization.”⁷¹ Deal and Kennedy carry this process a step further. They

⁶⁹Karl E. Weick, The Social Psychology of Organizing, (MA: Addison-Wesley, 1979).

⁷⁰Karl E. Weick, Sensemaking in Organizations, (CA: Sage, 1995), pp. 20-61.

⁷¹Jeffrey Pfeffer, “Management as Symbolic Action: The Creation and maintenance of Organizational Paradigms,” Research in Organizational Behavior, 3, (1981), pp. 2-3.

contend that the culture of an organization is a shared pattern of learned behavior. It is transmitted from one generation to the next.⁷²

This transmission of culture, the processing of shared patterns of learned behavior, from one generation to the next is also expressed in the research of Martin, Feldman, Hatch and Sitkin who collected three types of stories that members told to assess the distinctiveness of their own organization and the impact of how the organizational culture communicates what is to be expected from its leadership. The stories expressed: (1) whether the big boss was human and, when presented with an opportunity to perform a status-equalizing act, did or did not do so; (2) rule breaking; and, (3) how the boss reacted to mistakes. Martin, Feldman, Hatch and Sitkin's research lends credibility to the authority of the boss or leader in the organizational culture development .⁷³

Rosen's research speaks of the role of leadership authority in organizational culture development, as well. He completed an ethnographic study of an advertising agency that demonstrated how the senior management manipulated the language, gesture, and context of a breakfast ritual to ensure acceptance of the goals and practices of the company. The ritual reinforced and affirmed the bureaucratic structure of the organization and its capitalistic values all

⁷²T.E. Deal and A.A. Kennedy, Corporate Cultures: The Rite and Rituals of Corporate Life, (MA: Addison-Wesley, 1982).

⁷³J. Martin, M.S. Feldman, M.J. Hatch, and S.B. Sitkin, "The Uniqueness and Paradox of Organizational Stories," in Administrative Science Quarterly, 28, (1983), pp. 438-453.

of which were part of the leader's belief of how the organization should function — that which holds the organization together; the “glue,” so to speak.⁷⁴

Organizational Culture Identity

From early in its development, organizational culture is referred to as the “glue” that holds an organization together. The “holding together” connotes some degree of identifiable character of the organization. It, thereby, provides a source of organizational identity and distinctive character. For example, when an organization in decline is working through stages of renewal, the result of perceiving a change of culture may negatively affect the organization due to a self-perceived identity. Culture, the evidence of this identity, may become a constraint to innovation, since it manifests the organization's past glories.⁷⁵ Whether positive or constraining, culture seems to have a primary place in the development of an organization and; therefore, a meaningful place in this dissertation of organizational leadership study.

An organization's identity nurtures its culture. For example, Kilmann and Saxton list eight questions that an organization's culture answers:

1. What makes sense; what can be talked about?
2. Who am I; where do I belong?
3. Who rules; how, why, and by what means?
4. What are the unwritten rules of the game for what really counts; how do I stay out of trouble?
5. Why are we here and for what purposes?
6. What is our history, geography, and the structure we build?
7. What are the stories about ourselves and others?

⁷⁴M. Rosen, “Breakfast at Spiro's: Dramaturgy and Dominance,” Journal of Management, 11(2), (1985), pp. 31-48.

⁷⁵Edgar Schein, Organizational Culture and Leadership, 1985, pp. 154-155.

8. What are our morality and ethics? Are people basically good or evil?⁷⁶

When one begins to answer the above questions, the answers reflect the organization's identity which, in turn, interprets its culture. Weick says that when questions of this nature begin, sensemaking has begun.⁷⁷ This aspect of sensemaking is a continual process which indicate the cultural characteristics. This idea is also a part of Reginald Shareef's theoretical concept, Ecovision, which stipulates that "identity is the most influential reality constructor in the company's culture."⁷⁸ These notions allude to an environment which is always turbulent; always in a state of change or flux; a dynamic situation or circumstance.

⁷⁶R.H. Kilmann and M.J. Saxton, Organizational Cultures: Their Assessment and Change, (CA: Jossey-Bass, 1983).

⁷⁷Karl E. Weick, Sensemaking in Organizations, 1995, p. 77.

⁷⁸Reginald Shareef, "Ecovision: A Leadership Theory," p. 53.

Organizational Culture and Leadership

Leaders often ignore how powerful the organizational and social interrelationships are between leadership and culture. If attuned to organizational processes, one is likely to see a constant interplay between these two organizational elements. Leaders (i.e., leadership) have the capacity to create the strategies for cultural embedding and reinforcement. This process of cultural norms development may arise and change periodically because of the priority attention given them by the leaders, the influence of the environment upon the organization, and/or the interrelationship of the two upon its leaders. Wood and Bandura say that people can expand their organizational knowledge and interpersonal skills on the basis of information conveyed by modeling influences and observing other people's behavior and the consequences of it. These knowledge "bits" exemplify behaviors (i.e., self-identity norms) which constitute what is acceptable, proven, and established within the organizational culture. The behavior pattern is not one of mimicry, but one of being right and proper.⁷⁹ These models may be exemplified by the leadership.

For example, how the leader reacts to crises, how the leader presents him/herself as a role model, and how the leader implements recruitment strategies affect the interrelationship between him/herself and the organization. The leader who initiates these processes potentially influences

⁷⁹Robert Wood and Albert Bandura, "Social Cognitive Theory of Organizational Management," in The Academy of Management Review, Vol 14, 3, (1989), p. 362. Further reference, Albert Bandura, Social Foundations of Thought and Action: A Social Cognitive Theory, (NJ: Prentice-Hall, 1986).

the culture of that organization. A primary determinant of organizational culture, consequently, is through the influence of the leader.⁸⁰

Another avenue of consideration is the notion of time relevancy. The leader's influence can be historical and contemporary. The creation of what makes up an organization's culture is attributed to the entrepreneurial founders.⁸¹ For example, Schein noted that a founder creates a culture from a preconceived "cultural paradigm" in his or her head. Then, the founder and successor leadership shape the culture and the mechanisms to retain it. Schein assumes that a monolithic culture of shared values emerges which is guided and controlled by the founder or from the founder's perspective.⁸²

Others, however, see culture as more divergent and composed of many subcultures. The Sitkin and Boehm study suggests that the founder's values may conflict with those of various constituencies in the firm (i.e., the organization). Even though agreement and disagreement may coexist, according to their study, the majority of the firm seem to agree with the founders' position and values — the historical values.⁸³

⁸⁰Edgar Schein, Organizational Culture and Leadership, 1985.

⁸¹A.M. Pettigrew, "On Studying Organizational Cultures," Administrative Science Quarterly, 24, (1979), pp. 570-581.

⁸²Edgar H. Schein, "The Role of the Founder in Creating Organizational Culture," Organizational Dynamics, 12, (1983), pp.13-28.

⁸³J. Martin, S.B. Sitkin, and M. Boehm, "Founders and the Elusiveness of A Cultural Legacy," in P.J. Frost, M.R. Louis, C.C. Lundberg, and J. Martin (Eds.), Organizational Culture, (CA: Sage, 1985), pp. 99-124.

A similar consideration is that an organization's culture may be derived from its previous leadership (i.e., founders and/or successors). This *a priori* relationship may also affect subsequent leader-subordinate relationships. Anecdotal evidence and entrenched symbols abound when considering how an organization's leadership influences its culture. For example, Schein⁸⁴ states that leadership is critical to the creation and maintenance of culture. Bass⁸⁵ and Burns⁸⁶ suggest that while transactional leaders work within the organizational culture, transformational leaders work to change the culture. In either case, the leader is the one influencing the organizational culture, whether it is maintenance of the existing culture or a reformation of that culture.

According to Kiefer and Senge, transformational-type leadership pushes for a "metanoic" organization (i.e., a shift of mind; a learning organization that is continually expanding its capacity to create its future) which builds on such assumptions as: people are inherently good, honest, trustworthy, and purposeful; everyone has a unique contribution to make, and complex problems require local solutions. Leaders who build such cultures need to have personalities with a deep sense of conviction and purposefulness for the organization and its people. They are aligned around a particular vision which fosters a particular culture. They have the ability to balance reason and intuition, and the capacity to empower others. Such leaders display individualized consideration. These leaders facilitate communication among the constituencies and teach the organization. They "create" rather than "maintain" and are personally involved with the

⁸⁴Edgar H. Schein, Organizational Culture and Leadership, 1985.

⁸⁵Bernard M. Bass, Leadership and Performance Beyond Expectations, (NY: Free Press, 1985).

⁸⁶James M. Burns, Leadership, (NY: Harper and Row, 1978).

development of key managers. These organizations exhibit the fifth discipline which depicts “a learning organization.”⁸⁷

Transformational leaders are visionary executives who integrate creative insight and sensitivity that may ignore the limits which the present culture exemplifies. Transformational leaders combine versatility, focus, and patience to maintain the organization’s highly effective performance over the long term while in the process of change. Change is brought about by the interrelatedness of the leader and constituency (i.e., organization, stakeholders, interest groups). Again, whether maintenance or change (i.e., transactional or transformational), the leader is seen as the person having significant influence upon organizational realities (i.e., culture, “sensemaking”).

Another dimension to be considered is the possible combination of the two. For example, transformational leaders would use characteristics suited for a transactional leader in combination with transformational characteristics. This would allow the mechanics of organizational development to be implemented when appropriate and the infusion of relationship building while in the process of “getting things done.” Yukl's point is that both can exist simultaneously. It is not an either/or consideration. Simultaneous existence supports the idea of an interrelationship between leadership and management discussed above.⁸⁸

⁸⁷C. Kiefer and Peter N. Senge, “Metanoic Organizations” in J.D. Adams (Ed.), Transforming Work; (VA: Miles River Press, 1984); Also, C. Kiefer, “Leadership in Metanoic Organizations,” (VA: Miles River Press, 1984); Peter M. Senge, “Systems Principles for Leadership” in J.D. Adams (Ed.), Transforming Leadership, (VA: Miles River Press, 1986); Peter M. Senge, The Fifth Discipline: The Art and Practice of the Learning Organization, (NY: Doubleday, 1990).

⁸⁸Yukl, Leadership in Organizations, 1989.

Another combination idea is suggested by Tichy and Ulrich who argue that the two bases of effective organization performance are strategic thinking and culture building by the leaders. Strategic thinking develops a context which visualizes an organization's future. Through this process, a new reality emerges, and the leader influences a culture which is dedicated to the accomplishment of a specific organizational norm.⁸⁹

A particularly succinct synthesis which attracts the attention of this researcher is the paradox presented by Edward T. Hall in Beyond Culture. He says,

Western man has created chaos by denying that part of his self that integrates while enshrining the parts that fragment experience. These examinations of man's psyche have also convinced me that there are many different and legitimate ways of thinking. We in the West value one of these ways above all others — the one we call "logic," a linear system that has been with us since Socrates . . . Nevertheless, and in spite of many differences in detail, anthropologists do agree on three characteristics of culture: it is not innate, but learned; the various facets of culture are interrelated — touch a culture in one place and everything else is affected; it is shared and in effect defines the boundaries of different groups.⁹⁰

The question, then, is from whom or what do we learn our culture? If we accept the notion that culture reacts when stimulated, and that it influences a specific group or a defined community, the source of that stimulus is an important aspect of culture to investigate.

Building upon Hall's notion above, another related issue is whether leadership should be interpreted as a linear system in contrast to Morgan's "circles of causality." Questions that need to be asked include: Will contemporary methodology challenge the linear systems paradigm? Will the broader understandings of leadership quell the frustration of the leader's role in

⁸⁹N.M. Tichy and D.O. Ulrich, "The Leadership Challenge — A Call for the Transformational Leader," Sloan Management Review, 26(1), (1984), pp. 59-68.

⁹⁰Edward T. Hall, Beyond Culture, (NY: Doubleday, 1976), pp. 6, 13.

organizational development? Is there a legitimate concern whether leadership works within a linear or a mutual causality state? Morgan explains his “circles of causality” concept:

. . .as a kind of mutual causality. An understanding of mutual causality in complex systems shows that it is extremely difficult to halt change, to eliminate all positive feedback, or to preserve a given mode of organization interminably. A more appropriate strategy is to learn to change with change, influencing and shaping the process when possible, but being sensitive to the idea that in changing times new forms of system organization must be allowed to emerge.⁹¹

He states further that when we analyze situations as loops rather than lines we invariably arrive at a much richer picture of the system under consideration. This is a primary point of this discussion concerning leadership in a nonprofit sector setting. It seems appropriate to suggest that a nonprofit organization is a complex, internally and externally networking (organizational) system which can be viewed more clearly from the mutual causality perspective than the aforementioned linear systems approach.

Building on the observations of Weick and Morgan, Reginald Shareef presents an interesting theory which addresses the leader’s influence within an environment or an organization. His theory, Ecovision, says that an organization cannot engage in activities that do not “fit” with its self-identity. Contemporary organizations are constantly active and reactive within an environment of a multiplicity of stimuli. Shareef contends that a leader must be proactive and assertive in his or her effort to adapt the organization’s self-identity to a changing environment. He sees the environment as volatile and turbulent, always challenging the organization’s current reality. However, he contends the leader is in a positive, complimentary relationship with the environment, seeing it as a reality of circumstance — not hostile or

⁹¹Gareth Morgan, Images of Organization, (CA: Sage, 1986), pp. 251-254.

threatening. Simply, the leader is always the catalyst for self-identity changes, allowing the organization to continually transform itself in an ever changing operating environment.⁹²

Darth and Palus have introduced a concept which helps define the role of leadership in the organizational setting. Their terms is “meaning-making.” It is the process whereby private meaning is transferred into a public meaning. Their definition of meaning-making helps to strengthen the identity to culture development of sensemaking.

Meaning-making is all about constructing a sense of what is, what actually exists, and, what is important. People can and do construct a sense of what is and what is important for themselves; people also construct with others, together, a socially oriented sense of what is and what is important. When this happens in association with practice (work, activity) in a community, we say that the process of leadership is happening.⁹³

The emphasis of their concept is that leadership and followship work together to bring about the organizational context. The import of their idea which may be seen in this study is that culture happens in association rather than hierarchically mandated or strategized.

Along with the organizational culture is the mechanism of culture transmission; that is, socialization. Socialization, in this sense, is the process by which a culture is transmitted to the organization. Especially, it is vital to the organizational understanding and development of a new employee seeking to function and produce within the organizational environment.

Organizational Socialization

⁹²Reginald Shareef, “Ecovision: A Leadership Theory for Innovative Organizations,” Organizational Dynamics, 1991, p. 52.

⁹³Wilfred H. Drath and Charles J. Palus, Making Common Sense: Leadership as Meaning-Making in a Community of Practice, 1994, p. 9.

Added to this notion of interrelatedness between leadership and culture is a third element — organizational socialization. Socialization is usually discussed in connection with the rearing of the young. Today, however, the subject has been broadened to influence a lifetime process in the workplace and adult society as well.⁹⁴ Most roles provide the opportunity for maintaining or altering present values and for learning new ones.⁹⁵ (Further definition discussion of socialization is in Appendices A and G(b).)

Theorists have depicted socialization as a sequence of stages. Event though such a depiction can be misleading or confusing, the process of socialization seems to be a continual one. The demarcation between the stages is not precise, “However, it also seems clear that there is some kind of progression within any instance of socialization, and a sequence of stages is a convenient way to represent it.”⁹⁶

There is most likely a state of constant fluctuation because culture may require a flexible reality. The leader may be the one who initiates the process, but, there are other variables to consider. For example, the community (i.e., a specific organization) interprets, accepts, rejects, and modifies the process. It is suggested that to be effective there must be a systematically strategic process constantly at work to maintain the socialization process.

⁹⁴Orville Brim, “Socialization Through the Life Cycle,” in Orville Brim and Stanton Wheeler (Eds.), Socialization After Childhood, (NY: John Wiley, 1966). Also, Bernard Claussen, Muller Horst (Eds.), Political Socialization of the Young in East and West, (NY: Peter Lang, 1968), Jeylan T. Mortimer and Roberta G. Simons, “Adult Socialization,” Annual Review of Sociology, 4, (1978), pp. 421-454, and Anselm Strauss, Mirrors and Masks, (IL: Free Press, 1959).

⁹⁵Orville Brim and Stanton Wheeler, Socialization After Childhood, 1966.

⁹⁶Paul J. Glenn, Apologetics, (IL: TAN Books, 1980).

The labels for the stages of socialization, the socialization processes, may vary, but most theorists identify four stages: anticipatory socialization, encounter, assimilation, and departure. The expectation is that members pass through these four stages as they move from being outside the organization to becoming members within the organization. This progression through stages phenomenon is present as they move from role to role within an organization and then, as they leave that organization.⁹⁷

R.T. Pascale presents a model which presents a succinct methodology for the socialization process. His model is called The Process of Organizational Socialization.⁹⁸ In the model, a vital step given as number one is a careful selection of entry-level candidates. The step is the attempt to fit the subordinate with the culture. Whether this step is possible is a consideration of the need, the employer, and the candidate; it sets the stage for the remaining seven steps. The wise employer is both aware of the culture of the organization, and is aware of the impact of subordinates upon the culture and vice versa. The remaining steps reinforce the first — the fit of subordinate to organization: Selection, Techniques of promoting acceptance, In-house role modeling, Rewards for proper behavior, Values adherence, and Story sharing.

⁹⁷Daniel C. Feldman, "A Practical Program for Employee Socialization," Organizational Dynamics, 5(2), (1976), pp. 64-80. Meryl R. Louis, "Surprise and Sense Making: What Newcomers Experience in Entering Unfamiliar Organizational Settings," Administrative Science Quarterly, 25, (1980), pp. 226-251 and Frederic M. Jablin, "Organizational Entry, Assimilation, and Exit," in F. Jablin, L. Putman, K. Roberts, and L. Porter (Eds.), Handbook of Organizational Communications: An Interdisciplinary Perspective, (CA: Sage, 1987), pp. 679-737.

⁹⁸R.T. Pascale, "The Paradox of 'Corporate Culture': Reconciling Ourselves to Socialization," California Management Review, Winter (1985), p. 38.

The second step of Pascale, Selection, provides an insight which seems pertinent at this juncture of socialization study. Etzioni presents a principle he calls self-selection which has bearing upon the new employee (i.e., recruit) and the process of organizational socialization. Etzioni says that “if the organization can recruit participants who have the characteristics it requires, it does not have to develop these characteristics through training or education.”⁹⁹ Etzioni’s principle of self-selection is particularly salient as a component of nonprofit sector organizations. Of like consideration, Sigelman found that “socialization means cuing the recruit to matters of organizational style . . . [of] developing a sense of the limits of organizational tolerance, a more or less explicit theory of how people “make it” in the organization . . . along with building the recruit’s sense of belonging, of group solidarity.” The cuing process which Sigelman suggests is between senior reporter (employee) and new recruit; however, it may also refer to an accepted systematic training process. Downs adds to this insight saying that senior members of organizations typically have attitudes which are supportive of the organization and, consequently, these senior members become responsible members of organizational norms.¹⁰⁰ Further, Sigelman’s observation is that both the senior employee and the recruit share in a reciprocal arrangement where the senior performs the “dual function of attitude promotion and myth maintenance” for the organization, and the recruit willingly “tailor(s) his own behavior to the pattern set by more experienced reporters . . . which performs a socializing function for the

⁹⁹Amitai Etzioni, A Comparative Analysis of Complex Organizations,” (NY: Free Press), p. 158.

¹⁰⁰Anthony Downs, Inside Bureaucracy, Boston: Little, Brown, p. 230.

[organization], insuring continued . . . observance of policy norms.”¹⁰¹ This organizational norms acceptance on the part of the recruit is the self-selection principle which speaks to the Etzioni’s principle of self-selection in the organizational socialization sense. The formal stages of Pascale and others may be challenged at this point regarding self-selection when one seeks employment in a particular place of like mindedness versus organizational socialization processes. However, the stages of socialization are most often accepted by recruitment procedures and organizational leaders as a viable means of recruitment orientation.

Further, Pascale’s final steps of organizational socialization suggest training, rewards, and validation. Pascale does not specifically say the steps constitute a formal or systematic process of organizational socialization; however, it seems to be implied. He does say that if each stage is undertaken properly, it will increase the subordinates chances of having an effective career.

Another aspect of Pascale's process is that he contends that these stages may occur simultaneously, and they are continuous. This being the case, it is incumbent upon the leader to be aware of the stages and the status of each subordinate. Thereby, the culture is influenced consistently and strategically.

Whether this model is accepted or replaced by another methodology, the notion conducive to this study is that a rational strategy may be defined and implemented. The decision of methodology may be left to the leader(s), or the process may be administered in some in-house, mentoring fashion which seems to have no inherent methodology.

¹⁰¹Lee Sigelman, “Reporting the News: An Organizational Analysis,” American Journal of Sociology, 79 (1), (1973), p.140.

To strengthen this concept, five different activities which comprise effective accommodation socialization are often mentioned. They are: (1) designing orientation programs; (2) structuring training programs; (3) providing performance evaluation information; (4) assigning challenging work; and, (5) assigning demanding bosses.

Designing orientation programs is seldom given the attention it deserves. The new person comes into an ongoing social system which has evolved a unique set of values, ideals, frictions, conflicts, friendships, coalitions, and all the other characteristics of work groups. If left alone, the new employee must cope with the new environment in ignorance; when given help and guidance, he or she can cope more effectively.¹⁰²

Structured training programs are invaluable in the early moments of a new employee's career life. For these programs to be effective, training programs must provide frequent feedback about progress being made by the subordinate in acquiring the necessary skills for the job, but also the change in the cultural dimensions of the organization. What is not so obvious is the necessity of integrating formal training within the orientation program. Often, this is left to peers and happenstance indoctrination. Such behavior may harm the new employee, but what is more important, it disallows a contact with the leader for proper organizational culture and socialization development.

Performance evaluation, in the context of socialization, provides important feedback about how well an individual is getting along in the organization. These evaluation times are usually talk times between the subordinate and the leader. They provide times for understanding and

¹⁰²Douglas T. Hall and Frances S. Hall, "What's New in Career Management," Organizational Dynamics, Summer (1976), pp. 21-27.

observing organizational characteristics which may prove invaluable when misrepresentations have occurred.

Assigning challenging work to new employees is a principal feature of an effective socialization program. Too often, a new employee is allowed to coast into the organization with a limited work expectation; thus, giving him or her a false impression upon which to build misunderstandings. A challenging work simply says to the new employee what the organization's work expectations are going to be. Time will be allowed for an appropriate learning curve development; however, in due time, a certain level of productive work will be expected. The leader is responsible for this development period of adjustment.

Assigning supervisors with high expectations to new employees is initiated to communicate a level of competence regarding the new position. Such a supervisor instills the understanding that high performance is expected and rewarded. Equally important, the supervisor is always ready to assist through coaching and counseling. Socialization, then, is an important and powerful process for transmitting organizational expectations and the organizational culture.¹⁰³

Leaders need to recognize that organizational socialization is a lifelong process that involves many passages from role to role and from one stage of life and work to another. Much of the socialization employees experience is informal and comes from mentors, co-workers, role models, and supervisors. This informal socialization is of great positive benefit to an organization. However, leaders may consider how they can make influence these informal

¹⁰³J.E. Hebden, "Adopting An Organization's Culture: The Socialization of Graduate Trainees," Organizational Dynamics, Summer (1986), pp. 46-72.

processes so employees do not wander away from the central aims and values of the organization. Periodic training is one way to accomplish this.¹⁰⁴

Socialization - Training

For purposes of this study, training is recognized as a formal means by which organizational socialization is introduced and transferred to the organizational community. The literature about training and its effect on socialization focuses one's attention on the inherent attributes assigned to the success of an organization. The training dimension needs to take more responsibility for attitudes about continuing education so that it is not considered a retread or a repair factor, but a natural and inescapable aspect of work."¹⁰⁵

Further, the intent and content of training when initiated by the leader significantly affects the culture of an organization. The suggestion is that the interrelatedness between organizational culture and socialization fosters a unique opportunity for a leader's influence to be manifested in an organization. This dynamic, in turn, may nurture a synergy which enhances the opportunity of success for an organization. Just as the culture is strongly influenced by the leader, the socialization process is also a recognized opportunity for influence by the leader.¹⁰⁶

¹⁰⁴Trice and Beyer, The Cultures, 1993, p. 389.

¹⁰⁵Warren Bennis, "Organizations of the Future," Personnel Administration, September-October 1967.

¹⁰⁶Edgar Schein, Organizational Culture, 1985.

The organizational socialization process is only partially dependent upon the training strategy of the leader. A training strategy cannot be methodically cold and calculated toward a particular predetermined behavior, since it can be anticipated that an individual will receive the training from his or her own particular perspective. It is, however, a consideration of the leader of an organization to initiate this process for the benefit of that organization.

Lawler strengthens this argument by stating:

Because an important part of every participatively managed organization is the knowledge base of the employees, senior managers need to be particularly concerned about the kind of training that is available in their organization . . . They need to look at their own behavior and ask whether they are modeling the kind of learning behavior that they expect to see demonstrated by people through the organization . . . They should also participate in the training programs which involve their direct subordinates.¹⁰⁷

Since training is considered a primary means of conveying information about the organization, trainers are expected to help communicate role and organizational expectations (e.g., organizational values, norms, behaviors). In this sense, the trainer is a change agent. More appropriately, he or she may be considered an extension of the leader's organizational vision. Bennis takes this notion a step further by saying that organizations “are magnificent, if not deliberate, vehicles of socialization.”¹⁰⁸ When an organization takes the initiative to teach values, ethics, and norms, and to dictate what is right and what is wrong, it is in a deliberate process of socialization. Training, then, becomes a deliberate change process to foster organizational socialization and; thereby, transmit an organizational culture expectation.

¹⁰⁷Edward E. Lawler, III, The Ultimate Advantage: Creating the High-Involvement Organization, (CA: Jossey-Bass Publishers, 1992), p. 276.

¹⁰⁸Warren Bennis, “Organizations of the Future,” 1967.

In helping the change process, trainers are involved in strengthening those factors which promote change. Talbot suggests that these include: (a) increased objectivity; (b) better problem diagnosis and decision-making; (c) better facing up to problems; (d) the development of common language and approach for problems; (e) commitment to objectives and associated training.¹⁰⁹

Trainers will also be concerned about attacking those aspects of management behavior which impede change and effective training (e.g., traditional attitudes, thinking and approaches to problem-solving, lack of frankness, incomplete involvement, unwillingness to recognize conflicts and destructive competitiveness, the habit of blaming others).

Further, Talbot suggests that the process of training is seen as both continual and dynamic. It is a process whereby the leader is cognizant of and accepting of challenge and questioning, problem recognition, rethinking and skill development, definition of secondary learning needs, and formal training.

This new insight of lifelong change affirms the notion that socialization is not a one-way process, but a reciprocal process in which both the socializer (i.e., the training agent) and the person being socialized learn from each other. The leader, consequently, is influenced while in the process of influencing certain behaviors among followers. This reciprocal process supports the expectation that socialization through a systematic learning process could engender a synergy among those involved. This iterative process of reciprocal input is a consideration incumbent upon the leader. Behaviors are influenced and organizational success may be the result of the

¹⁰⁹John Talbot, "The Analysis and Costing of Management Training," in Bernard Taylor and Gordon Lippitt (Eds.), Management Development and Training Handbook, (England: McGraw-Hill Book Company, 1975).

leader's continual involvement in the socialization process. One must be careful, however, to recognize the human element in this relational process.¹¹⁰

Initially, in the socialization effort, the process is internalized by the leader and then systematically introduced to the followers. Once the internalization has been accepted by the followers, socialization has begun.¹¹¹ When the socialization expectations are internalized by the organization in general, a dominant culture reflects the anticipated characteristics. Evidence of this is found in retold stories that surface when members share organizational experiences. These stories speak of a particular ideological perspective.¹¹² During occupational training, recruits are inevitably indoctrinated into the new ways of thinking, new ideologies, values, and norms as they learn technical skills and organizational expectations. The combination of technical skills training and culture indoctrination normalizes socialization. An integrated, comprehensive unit is, thereby, established, and the leader has the occasion to exercise her/his vision for the organization.¹¹³

The value of this reciprocal process is to protect the integrity of relationship between leader and follower. This transformation hopefully facilitates the freedom of the organization to

¹¹⁰David A. Goslen, Handbook of Socialization Theory and Research, (IL: Rand McNally, 1969), and Karl Mannheim, "The Problem Generation," in Essays on the Sociology of Knowledge, Paul Kecskemeti (Ed.), (London: Routledge and Paul Kegan, 1928 and 1952).

¹¹¹Talbot Parsons, The Social System, (NY: The Free Press, 1951), and Orville Brim, "Socialization Through the Life Cycle," in Orville Brim and Stanton Wheeler (Eds.) Socialization After Childhood, (NY: John Wiley, 1966).

¹¹²Richard Pascale, "Fitting New Employees into the Company Culture," Fortune, 109 (11), (1984), pp. 28-40.

¹¹³Noel Tichy, Managing Strategic Change: Technical, Political, and Cultural Dynamics, (NY: John Wiley, 1983).

perform with a sense of mutual respect, a characteristic that is essential to the socialization process. This freedom may be threatened, however, when the leader of any group of people practices irresponsible manipulation. Responsible socialization processes are essential for any organization. It is a process of organizational and individual integrity.¹¹⁴

When the leader is working from a transformational orientation, which supports the values and personal worth of his or her constituents (i.e., subordinates), the machinery of organizational development is controlled and reasonable. When culture and socialization are systematically initiated within an organization's developmental spectrum and initiated from the transformational perspective of vision and philosophy, human freedom will be present in the socialization process.

The consideration of personal worth and higher values are reflected by an adopted and consistent behavior among the varied constituencies (i.e., leaders and followers). This level of organizational synergy, a unique oneness of the leader-follower relationship, is a positive result of leader-initiated compatibility between organizational culture and socialization through a systematic training process.

It must be kept in mind that even though human beings are free to accept or reject the leanings of biological and social influences, the existence of human freedom may still be in jeopardy. The ideas of George Herbert Mead may help to understand this crucially important concept. Mead recognized the power of society to act upon human beings. He argued that human spontaneity and creativity cause human beings to continually react to the demands of

¹¹⁴Warren Bennis, "Organizations of the Future," 1967.

society. On this basis, the process of socialization affirms an individual's power of choice. Within society, we are continually engaged in reflection, evaluation, and action.¹¹⁵

Although the process of socialization may initially suggest that we are like puppets, Peter Berger points out that “unlike puppets” we have the possibility of stopping in our movements, looking up and perceiving the machinery which attempts to move us. In doing so, the individual can act to change society, to pull back one’s own strings. This action/reaction affirms one's individual autonomy which is an aspect of human freedom. As Berger adds, the more one is able to utilize the sociological perspective to recognize how the machinery of our society works, the freer he or she is.¹¹⁶

Often forgotten, yet vitally important, is the notion that any socialization process is continual: change is constant. Not only is the process necessary for new members of the organization, it also affects those who have a history in the organization. It is continual in the sense that when the organization must change or adopt other cultural or organizational characteristics, the socialization mystique will be affected. This flexibility and continual flow of behaviors become a point of constant reference for the leader who lives within the culture of his or her organization. By knowing the process of change and using the strategy of socialization training, organizational culture may be influenced. This notion must accept the inability of anyone to completely determine the behavior of another, yet the influence of the leader by a systemic

¹¹⁵George Herbert Mead, Mind, Self, and Society, (IL: University of Chicago, 1934).

¹¹⁶Peter Berger, “Charisma and Religious Innovations: The Social Location of Israelite Prophecy,” American Sociological Review, 28 (1963), pp. 940-949, and John J. Macionis, “Socialization” in Sociology, 3rd Ed., (NJ: Prentice-Hall, 1991).

strategy of training, formal and informal, may well strengthen a synergy of an organization that fosters a supportive culture toward effectively meeting the mission of the organization.

Significance of the Literature Review
to the Rationale of this Dissertation

Too often, the search for organizational understanding is limited to one area of research (e.g., leadership, socialization, or culture). Such an approach is contrary to the focus of this dissertation. It is suggested that if one wants to gain an understanding of how a community-based, nonprofit organization functions, the combined effect of leadership, organizational culture and socialization must be considered as mutual elements of influence.

It is further suggested that a nonprofit organization has certain unique qualities and characteristics which foster this combination of resources. Whether it is Salamon's formal nonprofit organizational characteristics, or a small group of individuals who represent a minority interest, the nonprofit organization is seen as having characteristics and expectations that are different from both the public and private sector characteristics.¹¹⁷

This study suggests there is a need for a leader of a nonprofit organization to become absorbed in a thorough understanding of the culture and the socialization processes of his or her nonprofit organization. Taken a step further, such an understanding will prepare a foundation upon which the leader may facilitate an effective rendering of the organization's mission statement.

¹¹⁷Lester M. Salamon, America's Nonprofit Sector: A Primer, (NY: The Foundation Center, 1992), pp. 6-10.

It is at this point the research attempts to enlighten the current understanding of nonprofit organizations. The community-based, nonprofit organization Total Action Against Poverty is studied to gain insight into its leadership practices. These practices include leadership, organizational culture and socialization as viable considerations for organizational effectiveness.

CHAPTER III

METHODOLOGY

This chapter documents the comprehensive nature of the research methodology: the case study rationale, the justification of a single-case study methodology, the research design parameters of the study, the instrumentation, data collection, and data management procedure.

The Case Study Rationale

Yin explains that when a researcher is concerned about a contemporary phenomenon within its real-life context, when the boundaries between phenomenon and context are not clearly evident and when multiple sources of evidence are used, case study methodology is applicable.¹¹⁸

The real-life context of this study is a community-based, nonprofit organization which has functioned as an exemplary model since 1965. The TAP organization has had only two executive directors and one president of the Board of Directors during that time. The organization has maintained a rigorous growth and respected community service delivery position throughout its thirty-year history.

The boundaries between the phenomenon and context are not clearly evident, yet are open to study and documentation. To discover the relationship between the leadership and the organization's support staff, both employees and volunteers, is the primary interest of this dissertation. The intent of this research is to obtain and analyze the data to see what it can explain about this relationship between phenomenon and context.

¹¹⁸R.K. Yin, Case Study Research: Design and Methods, Revised Ed., (CA: Sage, 1989).

Multiple sources of evidence are used: interviews with organizational leaders, archival publications about the organization, newspaper and other outside-the-organization sources, speeches by the three primary leaders, and previously written documents. These data provide a basis of comparison for case study triangulation. They provide a rich resource among the primary actors of the organization's leadership and the organization in general. A documented comparison of the interviews is made through the use of a computer-based software program, WordCruncher, for the purpose of gaining specific insight into the leadership dynamic.¹¹⁹

Further, according to Schram, the case study method is designed to allow the researcher to delve into the “how” and “why” of a given phenomenon in an effort to illuminate a decision or set of decisions: (1) why they were taken, (2) how they were implemented, and (3) with what result. When considering the “how” issue, the point of inquiry is to explain: (1) how the phenomenon came to be, (2) how it functions, and (3) how it continues to function at its level of nationally recognized effectiveness. Specifically, the primary interest is the role of leadership influence within this organization. An understanding of this organization’s leadership dynamic should provide substantive light on the given phenomenon, the organizational culture, and socialization processes.¹²⁰

The “decisions” in this study are those which founded the organization. How did the organization come to be? How has it maintained its present ethos? Why are the identified

¹¹⁹James Johnson, WordCruncher for Windows, (UT: Johnson and Company - Electronic Publishers and Consultants, 1996).

¹²⁰W. Schram, “Notes on Case Studies of Instructional Media Projects,” Working paper for the Academy for Educational Development, (DC: December 1971), in Yin, Case Study Research, pp. 22-23.

characteristics important to the success of this organization? The collected data speak cogently to these interests.

Of further importance to this study is the second part of the Schram trilogy: “how they, (i.e., organizational culture and socialization) were implemented.” Organizational culture and socialization are the means of communication being considered in this dissertation. Two specific questions are vitally important to this research inquiry: (1) Is the “how” of implementation a result of a specific, intentional effort on the part of leadership, and (2) Is the “how” of implementation a result of the organization becoming an entity by its own design?”

Further, the case study methodology of this dissertation is limited to a single case. Yin states that a single-case study is appropriate when an investigator has the opportunity to observe and analyze a phenomenon previously inaccessible to scientific investigation. Although this organization has not been intentionally closed to the public, it has not been previously studied to the extent of this research project. It has been opened to this researcher without reservation. With this *carte blanc* permission to review the totality of the organization, a definitive study can be made.¹²¹

When utilizing the single-case study method, the researcher cannot overlook a certain vulnerability of the single-case study design. It is necessary for the researcher to accept, from the beginning, that the premise(s) which prompted the study may result in information contrary to the investigative expectations and motivations. Therefore, careful methodology is essential to protect the study from misrepresentation and undue researcher bias.

¹²¹Yin, Case Study Research, 1989.

To address the problem of misrepresentation due to case study vulnerability, four tests are essential to the development of the study design: construct validity, correct operational evidence, a chain of evidence, and key informants to review draft case study reports. The study design of this case study is information obtained from personal interviews, in-house promotional materials, and news media publications. The interview process was monitored by selected reviewers of the recorded data in an effort to reduce the level of subjectivity of interpretation by the researcher. An interesting note is made by Lawler that self-reports, despite their subjectivity, represent the most direct data available about the psychological state of a person. He further states that “. . . they provide better data on individual differences than do many objective measures of working conditions.” Subjectivity is a known part of the interview process. It is seen here as a strength of the researcher’s methodology.¹²²

To obtain case study construct validity, a methodology called “explanation building” was used. It is an attempt to explain a particular phenomenon and, thus, stipulate a set of causal links regarding the phenomenon. The reason for including the “explanation building” notion into this design is that if there are causal links which reflect critical insight into the leadership dynamic of this community-based, nonprofit organization, recommendations for future study may be appropriate. In case study analysis, causal links are spurious at best. This form of research does not lend itself to the substantive nature of casual effect reputedly found in quantitative empirical research.

¹²²Edward E. Lawler, “Quality of Worklife Interventions,” in Barry Star, Foundations of Organizational Behavior, (CA: Goodyear Publishers, 1977), p. 127.

The idea of explanation building in this sense is to establish whether there is an inferred causal link relationship among the elements of leadership, organizational culture and socialization. It cannot be ruled out that other elements may also be at work within the organization. Thus, when the researcher “infers” that a particular event resulted from some occurrence, based on an interview and documentary evidence collected as part of the case study, is that inference correct? The researcher must question further whether other rival explanations and possibilities have been considered? Is the evidence convergent? Does it appear to be airtight? These questions must be addressed before construct validity can be established.

The explanation building process is an ongoing process which Yin stipulates as:

- (1) making an initial theoretical statement or an initial proposition about policy or social behavior;
- (2) comparing the findings of an initial case against such a statement or proposition;
- (3) revising the statement or proposition;
- (4) comparing other details of the case against the revision;
- (5) again revising the statement or proposition;
- (6) comparing the revision to the facts of a second, third, or more cases
- (7) repeating this process as many times as is needed.

According to Yin, the gradual building of an explanation is similar to the process of refining a set of ideas in which an important aspect is gained only to entertain other plausible or rival explanations. The objective of “explanation building” is to show how these explanations

cannot be built given the actual set of case study events. In the process, the researcher must be careful not to wander from his or her original topic of interest.¹²³

One other word regarding causal inference pertinent to a single-case study is important at this point. Frankfort-Nachmias and Nachmias caution about extrapolations of causal inference from a single-case study. They suggest that as the number of case studies on a particular topic grows, it is important to integrate the findings of the various studies. They explain, “This technique, the case survey method, involves analyzing the content of case studies, aggregating the various case experience, and then making generalizations about the study as a whole.” The explanation supports the notion that conclusions are limited in the case study methodology. However, as a researcher does similar cases, he or she is able to draw some conclusions based upon similarities of the case survey method which allows for greater generalizations of like organizational research.¹²⁴

For case study reliability to be established, it is necessary for all data collection procedures to be clearly documented. Reliability means that another researcher can understand the evidence if the prescribed procedures are followed when making another case study at the same site at a different time. An accepted delimitation of case study methodology is that tests cannot be replicated across other similar cases. Reliability in a case study setting is tightly circumscribed to only the one particular case.

¹²³Yin, Case Study Research, 1989, pp. 113-115.

¹²⁴C. Frankfort-Nachimais and D. Nachimais, Research Methods in the Social Sciences, 5th edition, (NY: St. Martin’s Press, 1996), p. 147.

Although validity and reliability are always a concern, the criterion of case study analysis is essentially a question of plausibility. In other words, from the data observed, does the study offer a plausible explanation of the phenomenon in question. In this study, these data could strengthen the premise that the leader of a CAA may need to consider his/her influence upon organizational culture and socialization when seeking to develop a successful nonprofit organization.

The Justification of A Single-case Study Methodology

This dissertation utilizes a single-case study methodology to explore the leadership of a CAA. When considering a methodology for a proposed research project, it is necessary to define the rationale for one's choice of research procedure and; then, to rigorously initiate each step taken to assure a comprehensive and quality research design. The research design presented in this chapter seeks to meet this recommendation.¹²⁵

The contemporary phenomenon being researched is found within the real-life context of a single organization — Total Action Against Poverty (TAP). This organization is one of more than nine hundred such Community Action Agencies initiated by federal legislation in 1965; all are located within the United States. Following an intense week of leadership training sponsored by TAP and many hours of discussing the possibility of dissertation research, it was clear that TAP would be an exemplary organization for this proposed research project.

TAP is a nonprofit community action agency which contracts services through public, private, and fee-per-client assessments. The phenomenon of interest to this dissertation is

¹²⁵Yin, Case Study Research, 1989, pp. 21, 64.

whether specific leadership synergies are unique to this agency. On the surface, it appears that the leadership dynamic demonstrates salient characteristics which are uniquely suited to this organization. Considering the paucity of research specific to the leadership role of the nonprofit sector, this dissertation may shed some light on the unique qualities of leadership of similar nonprofit sector organizations.

The second justification of single-case study research presents the notion of comprehensive interaction. This notion expresses the idea of blended boundaries between context (i.e., the organization, its culture, its socialization) and the phenomenon being observed (i.e., leadership). It seems characteristic of the nonprofit organization that the leader, organization, reputation, public image, and inter-organizational understandings are uniquely blended. For example, when one element is changed (e.g., leadership, culture, or socialization processes), other organizational dynamics and characteristics are likewise affected. This phenomenon seems to be present in this organization. This research; consequently, may be found to support an understanding of comprehensive interaction.

The third justification for single-case study research is that multiple sources of evidence can be more readily obtained than with some other research techniques. For this study, three primary sources of data are used: personal interviews with primary leadership of the TAP organization, news media publications by and about TAP leadership and the organization, and in-house publications written for promotional purposes. These three data sources provide

triangulation, a mechanism for construct validity — the correct operational measures for the concepts being studied.¹²⁶

Marshall and Rossman explain the use of multiple sources of data as enabling researchers to:

- (1) obtain large amounts of expansive and contextual data quickly;
- (2) access immediate follow up data collection for clarifications and omissions;
- (3) uncover nuances in culture;
- (4) formulate hypotheses with greater flexibility;
- (5) establish background context for examination of activities, behaviors, and events;
- (6) discover the subjective side, the “native perspective” of organization processes;
- (7) facilitate discovery of complex intercommunications in social relationships; and,
- (8) enable analysis, validity checks and triangulation.¹²⁷

Referring to document collection, Yin points out that the foremost purpose of such evidence “is to corroborate and augment evidence from other sources.”¹²⁸ Documents provide verification of correct spellings, titles of personnel, dates and times, and other pertinent data. They may also corroborate or refute other documentation, thus giving the researcher direction for further investigation. As a safeguard, Yin warns the researcher of over reliance upon documents. All documents are written with a specific purpose in mind. The researcher must become aware of that purpose to forestall intrinsic bias.¹²⁹

¹²⁶Yin, Case Study Research, 1989, p. 40.

¹²⁷C. Marshall and G.B. Rossman, Designing Qualitative Research, (CA: Sage, 1989), pp. 102-103.

¹²⁸Yin, Case Study Research, p. 86.

¹²⁹Yin, Case Study Research, 1989, p. 88.

The recurring theme of the single-case study methodology is summed up in what Van Maanen calls the primary analytic task — to “uncover and explicate the ways in which people in particular settings come to understand, account for, take action and otherwise manage their day-to-day situations.” An understanding of an organization that is made possible by addressing leadership issues among those who have real-life experiences, becomes possible by this methodology.¹³⁰

Therefore, the three relevant situations for different research strategies presented by Yin form the basis for both the selection of the case study methodology and define the characteristics of this methodology: the “how” and “why” questions regarding the issues of the phenomenon being studied, no control over behavioral events, and a focus on contemporary events. These situations form the basis of this research design.

Case study methodology is context-based, contemporary, and people-focused; therefore, it becomes a knowledge gathering from within the organization. It allows the researcher to investigate tacit knowledge and day-to-day experiences from those directly involved within the organizational locus — the event center. Although there are some legitimate limitations to case study research, this methodology is the most appropriate means of testing the import of this dissertation. Based upon this concept of case study research, the following research design is formulated to substantiate this research project.¹³¹

¹³⁰J. Van Maanen, “The Fact of Fiction in Organizational Ethnography,” Administrative Science Quarterly, 24, (1979), pp. 539-611.

¹³¹J. Spradley, The Ethnographic Interview, (NY: Holt, Rinehart and Winston, 1979).

The Research Design

The research design is simply an outline which produces a logical order to a research methodology. Nachmias and Nachmias refer to the process of collecting, analyzing, and interpreting observations as a “logical model of proof.” This model allows the researcher to bring together inferences regarding the investigation at hand.¹³²

The research design also can be seen as a “blueprint” which addresses four research interests: (1) what questions to study, (2) what data are relevant, (3) what data to collect, and, (4) how to analyze the results.¹³³ Yin cautions the researcher to recognize that the research design is more than a prescriptive process. It is a descriptive event. It is a logical problem, and its purpose is to control the relationship between the gathered data, the evidence, and the research question. The research design is to be a unified plan of action which guides the researcher toward the research question.¹³⁴

Yin's definition includes a five component outline to guide the research. These components are: (1) a study's question, (2) a study's propositions, if any, (3) a study's unit of analysis, (4) a logic linking the data to the proposition or question, and (5) criteria for interpreting the findings. Using these five components, the research design for this study is as follows:

¹³²D. Nachmias and C. Nachmias, Research Methods in the Social Sciences, (NY: St. Martin's Press, 1976), pp. 77-78.

¹³³S.G. Philliber, M.R. Schwab and G. Samsloss, Social Research: Guides to a Decision-Making Process, (IL: Peacock Press, 1980).

¹³⁴Yin, Case Study Research, 1989, p. 29.

I. The Study's Question:

In case study methodology, the research questions focus on “how” and “why” issues. Therefore, the inquiry of this dissertation is to investigate the role of the leader within the context of a community-based, nonprofit organization. The question is whether such an influence exists, and whether it may be suggested that this influence, should it exist, can be strategically influenced by the leader via some predetermined expectations of organizational culture and socialization processes. This inquiry suggests a relationship between the influence of the leader upon both the organization's culture and socialization.

II. Proposition:

The propositional component is one of direction. It tells the researcher what is the primary point of the study. This specificity is essential for one to seek out the pertinent data and ask the appropriate questions.

This study fits the category Yin calls “exploration.” He contends that “Every exploration should still have some purpose.” Therefore, the purpose of this study is to discover converging patterns of leader influence upon the organizational culture and socialization, whether such an influence exists, and whether it can be initiated by the leader to facilitate organizational expectations.¹³⁵

III. Unit of Analysis:

¹³⁵Yin, Case Study Research, 1989, p. 30.

The unit of analysis for this study is the pattern of leadership influence and its relationship to organizational culture and socialization within Total Action Against Poverty, a community-based, nonprofit Community Action Agency located in Roanoke, Virginia. This study relates specifically to the leadership of TAP. Of primary interest is the Executive Director — his leadership influence, and the ramifications of that influence upon the organization. It is suggested that his leadership may be seen as intentionally influencing the organization culture and socialization.

The study encompasses the life span of the organization from its inception in 1965 through 1997. There are three natural divisions to this study: its inception under the leadership of its President, Cabell Brand; the beginning years under its first Executive Director, Bristow Hardin; and, the current years under its present Executive Director, Theodore Edlich, III.

IV. The Logic Linking of the Data to Propositions

Yin introduces an approach for case studies described by Donald Campbell called “pattern-matching.” This approach relates several pieces of information from the case being linked to a particular theoretical proposition.¹³⁶

In this study, the data are subjected to three stages of review. First, the data are selectively assigned to one of three areas of interest which seem to identify the locus of intent — leadership,

¹³⁶Donald Campbell, “Degrees of Freedom and the Case Study,” Comparative Political Studies, 8 (July 1975), pp. 178-193.

organizational culture and socialization. Second, the data are systematically linked to multiple areas of pattern-matching of interest and intent. Third, these findings are organized into a computerized data base program which allows further sifting of pattern-matching evidence.

V. The Criteria for Interpreting the Findings:

According to Yin, there is currently no precise way of setting a criterion for interpreting these types of findings. However, the anticipation is that when the researcher has completed the previous step of the research design, these will be forthcoming.¹³⁷

The conclusions drawn from the data will be subjected to the initial questions of the study. Should these questions provide insight into the internal nature of this community-based, nonprofit organization, they may have pertinent bearing on other such organizations and provide an incentive for future study regarding nonprofit organizations. The “face value” of such research can have an impact upon the initial proposition, yet its greater contribution may be to suggest further research on the problem from a different perspective which would allow more precise measurement.

Parameters of the Study

The qualitative researcher must have a predetermined idea, though often changed in the process of data gathering, of what are to be the limits of his or her study. In essence, where does the study begin, and what it will include encompasses the parameters of the study. “Abstractly,

¹³⁷Yin, Case Study Research, 1989, p. 35.

we can define a “case” as a phenomenon of some sort occurring in a bounded context.” The study's parameters determine the “bounded context”.¹³⁸

Miles and Huberman also make an observation that is of primary importance to the researcher regarding the “bounded context.” The obvious consideration is how inclusive should one's research project be? Some restraint is necessary if the project is to ever reach conclusion. While gathering data, some useful guidelines are: (1) identify new leads of importance, (2) extend the area of information, (3) relate or bridge already existing elements, (4) reinforce main trends, (5) account for other information already in hand, (6) exemplify or provide more evidence for an important theme; and, (7) qualify or refute existing information.

The “bounded context” of this study is the community-based, nonprofit organization in Roanoke, Virginia identified as Total Action Against Poverty. This Community Action Agency provides seven different divisions of service delivery: Education, Employment, Health, Housing and Homelessness, Community Development, Economic Development, and Crime Prevention. Included within these seven divisions are thirty-one (31) individual projects.

The data gathering process is limited to this agency. The interviews are from those who are directly involved with TAP including employees and volunteers. The volunteers are those who are serving or have served on the organization's Board of Directors.

This agency was established in June of 1965. Even though a major fire in December 24, 1989 destroyed much of its permanent records, a record account of the historical development of TAP is available in its original form and has been made available to this researcher. Since the

¹³⁸Matthew B. Miles and A. Michael Huberman, Qualitative Data Analysis, (CA: Sage, 1994), pp. 25, 31.

intent of this study is the exploration of its leadership, the data of particular interest to this research are readily available.

More specifically, sampling parameters include settings, actors, and events. Sampling means taking a smaller representative group for a study from the larger universe. If the conceptualization stands the test of the data, then statements can be made relevant to other like samples. Since this is a single-case study project, validity in the quantitative, empirical sense is not anticipated. The findings may justify further testing which could lead to a higher level of validity. According to Miles and Huberman, settings, actors, and events determine the choice of permutations possible for the study. Settings are the specific target of study, the place and limits of a particular area. In this case, it is the community-based, nonprofit organization, Total Action Against Poverty of Roanoke, Virginia. Actors are the individuals who will be interviewed to gain an understanding of the case in question. In this case, the actors are those who comprise the leadership team of TAP. Events are the actions done by the actors in the defined setting. For this study, the above stated parameters are:

Settings:

There are seven divisions of service delivery within the purview of TAP — Education, Employment, Health, Housing and Homelessness, Community Development, Economic Development, and Crime Prevention. Within these seven areas, there are thirty-one (31) individual projects. To gain an insight into the leadership structure and operations of TAP, the leadership of the seven divisions are interviewed. The selections are of (1) persons serving a

project employed by TAP who were present at the time the project was initiated, and whose director reports to the Executive Director, Mr. Ted Edlich; (2), programs which are presently in operation; (3), program directors or members of her or his staff who have participated in some phase of the in-service training program; (4) projects which have a service team of professionals and volunteers; and (5), project directors or the person(s) being interviewed who are willing to participate in the interview process.

Actors:

The persons involved in this research project will include the Executive Director of TAP, the President of the Board of Directors and other Board members, the program directors of each of the selected projects and/or a person she or he recommends for the interview, public agency liaison persons for the projects, and any private sector persons directly involved in the implementation of a project.

Events:

Each of the projects is reviewed prior to the interviewing process. The prior-to-interview data includes knowing the project Director, knowing the purpose of the project, knowing how it came into being, and knowledge of the most recent data regarding its performance. Although this information is not included in the body of this study, it provides the researcher with an understanding of the internal leadership dynamic of each specific project.¹³⁹

¹³⁹Miles and Huberman, Qualitative Data Analysis, 1994.

Instrumentation

Each interview is transcribed. Content analysis via computerized software is used to analyze the interview transcripts. The transcripts are amenable to this analysis; they are stored in computer files. The computer file is a part of the software package known as WordCruncher. Through this computerized process, each interview is studied to find salient evidence regarding the relationship among the elements of leadership, organizational culture and socialization.

The interview process consisted of nine questions asked of each interviewee (Appendix C). Each question prompted a response which is categorized as leadership, organizational culture or socialization in character, or any combination thereof. The specific interest is the insight the respondent has about TAP prompted by each question. No mention is made about leadership, organizational culture or socialization strategies, per se. The questions are designed to solicit a personal opinion regarding the organization from the persons being interviewed.

No questions are asked which would require background data or specific information such as funding dollars or statistical knowledge. No questions are designed to be confrontational or designed to be argumentative. If a question negatively affects an interviewee, the researcher proceeds to the next question. If the respondent prefers not to answer or has no opinion about the question, the researcher proceeds to the next question.

Each interviewee is asked if the researcher has his or her permission to tape the interview. It is explained that the taping process will make it possible for the researcher to correctly transcribe and analyze what the interviewee says. Further, the transcription will allow the researcher the opportunity to sift through all the information to find similar and dissimilar

comments among the interviewees' answers to the researcher's questions via the computerized system of analysis.

Also, a one page listing of words related to the characteristics of the TAP organization gleaned from a publication written by the Executive Director of TAP is administered. This listing will help the researcher find congruence among the interviewees' comments and make a prioritization specific to the characteristics of the TAP organization as expressed by the TAP respondents.

These characteristics, then, will be placed on a categorical chart listing the elements of leadership, culture, socialization, and combinations thereof. The categorical chart includes seven different considerations regarding the elements of: (1) leadership, (2) culture, (3) socialization, (4) leadership and culture, (5) leadership and socialization, (6) culture and socialization, and (7) culture, socialization and leadership.

The category chart provides insight into whether there is a significant relationship among the three elements. If there is a significant relationship among the three elements, the researcher can assume some degree of acceptance that an interrelationship does exist. Further, of particular interest is whether the interrelationship among leadership, socialization and culture may foster a synergy which may affect the success of the organization. The level of this synergy is not a part of this research project, but could become a future study of nonprofit organization leadership.

Data Collection

There are two phases of data collection for this research plan. The first is the written records concerning the TAP agency. These documents are gathered from numerous sources and used to reconstruct a historical map of the development of TAP from its inception to the present. These data are also expected to render an understanding of “how” and “why” TAP was started, the beginnings of its leadership, the aspirations of the founding members of the TAP team, and the organizational culture and socialization.

The second phase is present day focused. Since many of the original TAP team members are still working within the TAP infrastructure, it is possible that a continuum of understanding can be gathered regarding the historical trappings of TAP and the present manifestations of the organization.

These multiple sources of data allow the researcher the opportunity of viewing the case study from its many facets of organizational characteristics. This advantage is of particular interest to this study. It is noted in the literature that multiple sources of evidence provide for better case studies.¹⁴⁰ Yin, in particular, suggests that “the use of multiple sources of evidence in case study allows an investigator to address a broader range of historical, attitudinal, and observation issues.”¹⁴¹

Further, by using multiple sources the potential problems of construct validity also can be addressed, because the multiple sources of evidence essentially provide multiple measures of the

¹⁴⁰N. Gross, Implementing Organizational Innovations, (NY: Basic Books, 1971), and R.K. Yin, P.G. Bateman, and G.B. Moore, Case Studies and Organizational Innovations: Strengthening the Connection, (DC: COSMOS Corporation, 1983).

¹⁴¹Yin, Case Study Research, 1989, p. 97.

same phenomenon. This process of multiple evidence “is the development of converging lines of inquiry,” a process of triangulation referred to earlier in this chapter. The following sources of information (i.e., Phase One and Phase Two) provide the multiple sources of data: Documents and Interviews.¹⁴²

Phase One: Documents

The researcher gathered pertinent documents from as many sources as were made available to him. These include publications from the TAP resource center; the personal library of Cabell Brand, the first President of the Board of Director which covers the time from the birth of the organization until the present; writings and speeches of TAP's first Executive Director, Bristow Hardin, found in the personal papers of his wife's memorabilia regarding TAP; writings by the present Executive Director, Ted Edlich, and three books about TAP. The first is a published book, No Cease Fires: The War on Poverty in Roanoke Valley, by Edwin L. Cobb. The second book is in manuscript form, Total Action Against Poverty, by Beth Brand, Cabell Brand's daughter-in-law; and a third book, Some Do Care: Contemporary Lives of Moral Commitment, by Anne Colby and William Damon who selected TAP as one of their seven points of reference. The Colby and Damon book records the development of TAP from the perspective of Cabell Brand.¹⁴³

¹⁴²Yin, Case Study Research, 1989, p. 97.

¹⁴³Anne Colby and William Damon, Some Do Care: Contemporary Lives of Moral Commitment, (NY: The Free Press, 1992), pp. 229-258.

Phase Two: Interviews

The interview process was conducted over a nine-month period, July 1995 through February 1996. Interviews were selected from among the many people who have been directly involved with TAP during its thirty-year history. With the counsel of the Executive Director, Ted Edlich, and from suggestions made by those interviewed, the researcher sought the insight of thirty-three members of the TAP team. The interview process was essentially a structured, in-depth interview process.

Access into the leadership system of the projects initiated by TAP was approved by the Executive Director of TAP. An official letter of request outlining the purpose of this research was submitted to the Executive Director for his signature of acceptance and support (Appendix E, E(b)). It was suggested that this letter accompany the correspondence requesting the interview of TAP leadership.

Structured questions specifically addressing leadership, organizational culture, and socialization were asked of each interviewee. Thirty-three (33) interviews were conducted among TAP respondents. These are individuals among the leadership team of TAP operations. Interviews of the TAP personnel and key administrative staff were conducted after their respective project promotional material was studied. The project materials provided an opportunity for the researcher to become familiar with the staff responsibilities and the project intent before conducting the interviews.

Although the interview process was essentially structured, as Kvale points out, during an “open-ended” interview much interpretation occurs along the way.¹⁴⁴ The person describing his or her “life world” discovers new relationships and patterns during the interview. The researcher who occasionally “summarizes” or “reflects” what has been heard is, in fact, condensing and interpreting the flow of meaning. Miles and Huberman extend this notion further:

The same things are happening even when the interview question is much more structured and focused. So let's not delude ourselves about total “control” and “precision” in our instrumentation — while remembering that attention to design can make a real difference in data quality and the analyses you can carry out.¹⁴⁵

The researcher made a concerted effort to hold each interviewee to the intent of the essential questions of the interview process.

Each interview lasted approximately one hour. With the respondent’s permission, the interviews were recorded. Notes were taken during the interview. These notes assisted the researcher during the interview process to probe deeper into the organizational characteristics of TAP. The recording process helped to identify recurring patterns, examine the responses of those interviewed, and provided a mechanism to continuously evaluate the interview process. Each interview was transcribed and used to facilitate the WordCruncher analysis.

In addition to TAP employees, there were interviews with the leaders of organizations and agencies (public and private) who confer with TAP personnel to implement specific operations. It

¹⁴⁴S. Kvale, “The 1000 Page Question,” Phenomenology and Pedagogy, 6(2), (1988), pp. 90-106.

¹⁴⁵Matthew B. Miles and A. Michael Huberman, Qualitative Data Analysis, 2nd Ed., (CA: Sage, 1994), p. 35.

is believed that their insight into the project development process and the leadership of TAP is germane to this study.

To facilitate the interview process a protocol was designed with the concurrence of the Executive Director. This protocol was simple and interview friendly. It provided an introduction which seemed appropriate for a quality relationship between the researcher and the interviewee. It also provided an opportunity for the researcher to alleviate any pre-interview fears of the interview procedure. The protocol is:

Protocol:

After meeting with the Executive Director, the researcher was granted the opportunity to interview any present or past staff person, members of the Board of Directors, or any person directly or indirectly involved with the service delivery of TAP. The Executive Director communicated to each person appropriate for this study his desire that they participate in the process. Those considered appropriate were members of the staff who were Directors of the projects and their assistants, those who had tenure with the organization from its beginning — especially those who were on the staff with the first Executive Director, members of the Board of Directors, and any persons willing to be interviewed who had been hired within the last six months.

The researcher wanted to interview persons knowledgeable of the TAP organization especially in the areas of leadership, organizational culture, and socialization. The tenured staff members were important for an in-depth understanding of TAP, and the more recent employees of

the staff were of importance to assist the researcher to understand any process practiced by any persons affiliated with TAP who may have helped perpetuate its character during the early employment days — a reflection of its leadership, culture, and socialization.

Those who were willing to participate responded favorably to his request. To those potential respondents, the researcher wrote a letter (Appendix E) to each person explaining the project and his request for an interview if she or he wished to participate. As was written in the introductory letter, a follow-up phone call was made to schedule a time for an interview visit. All persons notified were graciously willing to participate. Each interview was friendly and informative and took place in an environment selected by the interviewee. Most of the interviews took the anticipated one hour. However, some of the interviewees took more time and wanted the researcher to have a tour-visit of the project office and to meet other TAP personnel. This was a cordial visit and of interest to the researcher.

Upon entering into the interview, the researcher explained who he was and what he was doing. The interview process was thoroughly explained to be certain there were no misgivings or questions concerning what was to take place. The researcher asked each interviewee if he might record the interview. He offered a transcript and/or a copy of the tape of the interview should he or she wish to have one upon completion of the process. One other safeguard was offered: the researcher explained that he would turn off the tape recorder at any time if the question or the statement of the interviewee called for information that might be of a confidential or conflictive nature.

To assure the researcher that the questions were easily understood and to the point of the needed data, the interview questions were reviewed by numerous uninvolved persons. Through this refinement process, it is believed that each question was succinct and encouraged the interviewees to tell their story of TAP in the areas of interest to the researcher without hesitation or fear.

The interview questions gave the interviewees an opportunity to tell of their experiences at TAP, its leadership, and their respective projects. The questions were designed primarily to stimulate their thought processes, not to uncover potential undercurrents of conflict at TAP. The last question of each interview gave the interviewee an opportunity to say anything he or she wished to add to the interview, and anything they felt was not previously asked by the researcher.

The interview process provided two forms of information. The first was the interview discussion; the second, was a written data sheet given to the interviewee for the purpose of selecting single descriptive notions characterizing the TAP organization. This data sheet was a listing of words and short phrases gleaned from a publication by the Executive Director, Ted Edlich. From the list of these thirty-five (35) words and short phrases, the interviewee was asked to: (1) select ten words which best describe TAP from his or her perspective; and (2), to prioritize the top five words of the ten selections. Additional spaces were also provided for the interviewee to list other appropriate words he or she believed to be characteristics of TAP.

The intent of this procedure and the careful documentation of the data gathering process was to develop a chain of reference to substantiate the conclusions drawn by the researcher, and to develop a probability of increased reliability of the information supporting this dissertation.

This process “is to allow an external observer to follow the direction of any evidence from initial research questions to ultimate case study conclusions . . . [thus, making it possible for a case study which] . . . addressed the methodological problem of determining construct validity; thereby, increasing the overall quality of the case.”¹⁴⁶

After the interview process was completed, the researcher expressed his gratitude to the interviewee for his or her responses and for allowing him the time to complete this phase of his research project.

¹⁴⁶Yin, Case Study Research, 1989, p. 102.

CHAPTER IV

Analysis of the Data

When using case study analysis, the researcher is advised to stay close to the data for fear of imposing *a priori* subjective findings upon the qualitative data. Consequently, the following observations are presented as pertinent findings regarding the questions which prompted this research project.

The data analysis provide the foundation upon which conclusions are formulated. Since this process may be distorted by subjective opinions and biases of the researcher, the hope is that the data speak so forthrightly that such a research abuse is futile.

To review, the quest of this research project is to identify the leadership dynamic of a CAA agency for interrelationships among the elements of leadership, organizational culture, and socialization. From the nonprofit literature search, the researcher found little documentation regarding the relationship among organizational culture, and socialization. These elements when considered singularly are prolific in the literature; however, when leadership influence within the nonprofit organizational context is added to the equation and the notion of an interrelationship among the three elements, the literature base becomes scant.

Considering the limited research base, this study focused on three primary data sources: interviews, in-house writings, and public media. The findings of these three sources of data are reviewed below. An accounting of what these data say about this nonprofit CAA is presented in this chapter.

Whether leadership influence is recognized by the organization and how specifically the leadership influence is perceived regarding the organizational culture and socialization are of particular interest. Further, organizational culture and socialization are seen as the mechanisms of leadership influence. The question is whether there can be found any conscious recognition of a specific or unified organizational culture and process of socialization, also, whether there is any evidence that either is intentionally influenced by the leadership. To begin to answer these questions, a historical view of the founding leaders is presented below.

The Founding Fathers: A Historical View

Cabell Brand, President 1965-1996

Total Action Against Poverty of Roanoke, Virginia began because one person thought the Economic Opportunity Act of 1964 had merit and was of particular interest to him. That person was Cabell Brand of Salem, Virginia.

Cabell Brand, born in 1923, has family generational roots in Virginia that positioned him as a “shaker and mover” in the state and particularly in the Roanoke Valley. His demeanor and his charismatic countenance are confident and poised. There is no doubt that Cabell Brand has a mission in life. The mission to which he has given more than thirty years of his life did not begin as a whim to be touted because some interesting legislation came out of Washington, D.C.

A graduate of Virginia Military Institute in electrical engineering, Mr. Brand found himself in public service immediately following World War II. He served as a State Department officer in Berlin during the Blockade of 1948. It was during those formative years that Mr. Brand decided

that once he returned to the states he would give 30% of his time to some form of community service. After his military and State service, he returned to his hometown of Salem, Virginia.

Mr. Brand's father owned a small shoe company known by its family name — Brand Shoe Company. It had been a family business since 1904. The young, energetic Cabell bought the small, struggling firm from his father and through years of hard work and successful business savvy, turned the struggling family shoe company into a multimillion dollar enterprise known as Stuart McGuire Shoe Company. Interestingly enough, there is no connection between the new name and the Brand family. It was a marketing strategy which proved appropriate. The company has since gone public with Cabell Brand owning its controlling stock. He continues to serve the company as its President.

The early commitment of 30% of his time to community service always remained a high priority for Mr. Brand. When the 1964 legislation, the Great Society initiative, came to his attention, it caught his imagination. After a time to review the legislation and traveling to Washington to talk with Sargent Shriver and his staff, Brand decided the antipoverty program, Title II, was needed in the Roanoke area. He set his mind and energies to bring the program into operation. In his first presentation to the Torch Club, an international discussion group in Roanoke, VA, Brand made these statements:

As I view it, the basic purpose of this type of legislation is a great deal more than just to help the poor. I view it as economic legislation rather than social legislation . . . In a democracy the human being is the most important element. His dignity as a human being, his ability to satisfy his basic needs for health, frugal comfort, and moral living at a decent level, is a minimum requirement for collective survival . . . This may sound like utopia, but this is the way economic strength works. The greater the standard of living, the greater the purchasing power of one segment of the economy, the greater benefits accrue

to other segments . . . By giving people an opportunity to help themselves everyone benefits.¹⁴⁷

After studying the legislation for six months, Mr. Brand asked the Roanoke Valley Council of Community Services to authorize him to go to the governments of Roanoke City, Roanoke County, and Botetourt County to seek their support for a committee to study the legislation. With a group of eighteen (18) chaired by Brand, composed of six representatives from Roanoke City, Roanoke County, and Botetourt County, the unanimous decision was made to start a community action agency as a private, nonprofit corporation.

Taking their name from a similar agency in Detroit, Michigan, Total Action Against Poverty (TAAP) was chartered on June 25, 1965. Later the acronym was changed to TAP. With nothing but the desire to address the needs of the poor, TAP board members met with Office of Economic Opportunity (OEO) staff and created their first budget of \$64,768.00 of which \$7,288.00 was the local in-kind match; this began the local Community Action Agency initiative.

Bristow Hardin, Executive Director 1967-1975

The first order of business was to hire an Executive Director. Thirty people applied for the position. Twenty were deemed qualified by the Board. The two primary considerations of the

¹⁴⁷Edwin L. Cobb, No Cease Fires: The War on Poverty in Roanoke Valley, MD: Seven Locks Press, 1984), pp. 33-34.

Board were: TAP needed an educator and someone who had an interest in the poverty issue, and one who exhibited the charisma to excite the valley's involvement in the "War On Poverty."

The person selected as the first Executive Director was Bristow Hardin. At that time, Hardin was principal of West End Elementary in Roanoke — one of the first schools integrated in southwest Virginia. It seems that Bristow Hardin was an extrovert of the first order who had a habit of disarming people by his often boisterous behavior. To assert his notion that all people were equal, Bristow Hardin used only first names of all his employees and acquaintances. Clifton "Chip" Woodrum, D-Roanoke City delegate to the Virginia legislature, said Bristow was the "mammoth stimulus on the horizon." Bristow earned many endearing names all of which characterized him as a loud, outspoken man who would rarely take "No" as an answer to any issue with which he became involved.

On July 17, 1965, the first TAP program began. It was, essentially, a Head Start program with a funding of \$187,000.00. An immediate call went out for help: furniture, supplies, most anything anyone would give was gratefully accepted. A local bank provided an old, abandoned warehouse as a temporary location for TAP and the first Head Start Center.

Bristow was quoted in his first press interview as saying that his aim for TAP was to give hope to the poor. Another direct quote was, "You have to change their values, attitudes, psychology to put the poor into the mainstream of American life." This, too, was the philosophy of those who drafted the Title II legislation.

From that first program of thirty years ago, TAP has initiated literally hundreds of programs and served hundreds of thousands of citizens in the Roanoke Valley greater community.

The second year, with no promise from the OEO staff, TAP operations increased its funding request to \$2.3 million. An immediate “No!” resounded from Washington, but was later changed to a supportive “Yes.”

As years went by, programs were added even when community action agencies were in the throes of legislative demise. The initiative to eliminate community action agencies was nationwide and very much a part of the day-to-day operations for those serving an unfortunate segment of our society. It was during this developmental time of TAP that a tragic toll rang through its corridors. Only ten years into its history, Bristow Hardin, the creative genius of TAP, died of a massive heart attack. “The effort must continue,” was the battle cry of the TAP organization and those who supported its mission.

Theodore Edlich, III, Executive Director

After a short time of mourning, which can only be characterized as spontaneous and colorful as the person of Bristow Hardin, the TAP board began the process of selecting a new Executive Director. Their selection was made. The new Executive Director was an in-house person who was one of the first hired, Ted Edlich. Edlich, a former Presbyterian minister, resigned his pulpit to join the TAP staff in 1968.

Of Bristow, Edlich made these comments in KEYNOTES, “I’m not as loud as Bristow. I couldn’t get away with as much as Bristow, but essentially, when you talk about beliefs, we’re the same. Those [who] come after will see that these values are well articulated in the way the organization runs.”

From 1975 to the present, Ted Edlich has maintained the legacy of Bristow Hardin and those who established the TAP Community Action Agency. He has built an empire dedicated to the elimination of poverty which includes seven divisions under the umbrella of TAP. Thirty-one programs are operating within the purview of seven divisions: Education, Employment, Health, Housing and Homelessness, Neighborhoods, Economic Development, and Crime Prevention. A master of organization and a person dedicated to his people, Ted Edlich stands tall in knowing how to address the concerns of the poor. Those who know him best affirm that only a few have his gift of taking people far beyond where they think they can go; few have his gift of taking an organization far beyond its logical level of performance.

To be sure, TAP is a total family concept where all issues of family life are addressed once they are discovered. The logo used by TAP has stood the test of time: “Not a handout, but a hand up.” Essentially, TAP is motivated to find a solution to poverty and eliminate it from society. TAP contends that with sound research, education, and community-wide ownership, the poverty issue will eventually eradicate poverty. “No hand outs” at TAP. TAP offers only hope and opportunity.

The warriors of poverty elimination stand today committed to the goals, aspirations and promises of the dream of President Kennedy initiated by President Johnson. They are undaunted in their quest to serving the less fortunate with the hope that this part of the American scene will one day be a condition of the past.

The Uniformity of Culture
The Study of Words

Of primary interest to this research is the notion of whether there is a perceived unified or identifiable culture among the leadership of Total Action Against Poverty (TAP). To obtain this information, a series of tests were made to identify particular characteristics of the TAP organization. The first step is to see if the leadership has a unified perception of the organization's culture, and if so, can that perception be described. These findings are based on the Word Study portion of the interview process.

The Word Study is an effort to see if there is a consensus of organizational characteristics of the nonprofit organization in question. The words are a subjective distillation of an article written by the Executive Director, Ted Edlich, about the activities of the organization. A list of these words was given to all interviewees. They were asked to select the ten words which best describe TAP. A five word prioritization was then requested.

All of the interviewees combined yielded the following prioritization: Dedicated to Mission Statement (6), Caring (5), A Working Family (2), Focused on Its Primary Agenda (2), Person Motivating (2), and Responsive (2). When these data are divided between TAP Staff and volunteers, the TAP Staff selected these priorities: Caring (3), A Working Family (2), Dedicated to Mission Statement (2), and Person motivating (2). The volunteers selected these priorities: Dedicated to Mission Statement (3), Caring (2), and Focused on Its Primary Agenda (2). These data are reflected in Chart One below.

The result of this information shows an acceptance of two primary Word Study indicators of TAP characteristics: Dedicated to Mission Statement and Caring. An interesting insight is also important at this point. Ted Edlich places the top priority as Caring and second priority as

Dedicated to Mission Statement. It may be plausible to assert that energy, whether collectively by the leadership team or specifically by Ted Edlich, is spent to encourage these characteristics within the culture of TAP.

CHART 1

WORD STUDY COMPARISONS OF INTERVIEWEES AND TED EDLICH

COMBINED (N=33) TAP STAFF (N=20) VOLUNTEERS (N=11) TED EDLICH

Dedicated to Mission	Caring	Dedicated to Mission	Caring
Caring	A Working Family	Caring	Dedicated to Mission
A Working Family	Dedicated to Mission	Focused on Primary Agenda	Entrepreneurial
Focused on Primary Agenda	Person Motivating		Results Oriented
Person Motivating			Team Focused

Working from the notion of a word priority individually selected by the interviewees, the following information, gleaned by the computer search WordCruncher, provides additional insight. In Chart Two, the result of the first test from all interviewees indicated a priority list of Education Oriented (.133), Needed (.071), Effective (.058), Efficient (.054), and Open to the Public (.051).

Education Oriented is a high priority, almost twice the level of the second choice, over the other top five characteristics. This finding is significant because Education Orientated is a hallmark of the attitude and sentiment of the legislative mandate and the rhetoric of those who sponsored and support the Community Action Agency concept.

Of further interest regarding this words testing is whether the employees of TAP and the volunteers of TAP have a similar unified perception of the characteristics of this organization's culture. A separate testing is made of each group. Of the 33 respondents, 20 are TAP Staff and 13 are volunteers. Most of the volunteers are active Board members. The results of this separation is also revealing to the issue of a unified culture. The TAP Staff selected Education Oriented as the first priority (.150). Efficient (.068), Open the Public (.058), A Working Family (.058), and Team Focused (.058) were distant priorities in the rank order.

The result of the volunteers priorities places new insight from their ranking. Needed (.136) was the top priority with Civic Minded (.102), Education Oriented (.090), Effective (.068), and Political (.068) distant priorities in rank order.

CHART 2: WORD STUDY CHART

COMPARISON OF TAP STAFF WITH VOLUNTEERS

WORD	COMBINED USE (n=33)		TAP STAFF (n=20)		VOLUNTEERS(N=13)	
A WORKING FAMILY	15	(.051)	12	(.058)	3	(.034)
ACCESSIBLE	4	(.014)	4	(.019)	0	(.000)
ASSERTIVE	1	(.003)	1	(.005)	0	(.000)
CARING	12	(.041)	11	(.053)	1	(.011)
CIVIC MINDED	9	(.031)	0	(.000)	9	(.102)
CONSTANT	5	(.017)	4	(.019)	1	(.011)
DEDICATED TO MISSION STATEMENT	8	(.027)	2	(.010)	6	(.068)
EDUCATION ORIENTED	39	(.133)	31	(.150)	8	(.090)
EFFECTIVE	17	(.058)	11	(.053)	6	(.068)
EFFICIENT	16	(.054)	14	(.068)	2	(.023)
EMPATHETIC	3	(.010)	2	(.010)	1	(.011)
ENTREPRENEURIAL	10	(.034)	5	(.024)	5	(.057)
EXPEDIENT	0	(.000)	0	(.000)	0	(.000)
EXTENSIVELY TRAINED	13	(.044)	11	(.053)	2	(.023)
FOCUSED ON PRIMARY AGENDA	9	(.031)	4	(.019)	5	(.057)
FUTURISTIC	2	(.007)	2	(.010)	0	(.000)
INFLUENTIAL	2	(.007)	1	(.005)	1	(.011)
IDENTIFIED WITH LEADERSHIP	0	(.000)	0	(.000)	0	(.000)
LEADER COMPETENT	6	(.020)	6	(.029)	0	(.000)
NEEDED	21	(.071)	9	(.043)	12	(.136)
OPEN TO PUBLIC	15	(.051)	12	(.058)	3	(.034)
PERSON MOTIVATING	1	(.003)	1	(.005)	0	(.000)
POLITICAL	14	(.048)	8	(.043)	6	(.068)
PROFESSIONAL	9	(.031)	9	(.043)	0	(.000)
QUALITY DRIVEN	2	(.007)	0	(.000)	2	(.023)
RESPECTED	1	(.003)	0	(.000)	1	(.011)
RESPONSIVE	8	(.003)	4	(.019)	4	(.045)
RESULTS ORIENTED	4	(.014)	2	(.010)	2	(.023)
STRATEGIC THINKING	11	(.037)	10	(.049)	1	(.011)
SURVIVOR	6	(.020)	3	(.015)	3	(.034)
TEAM FOCUSED	13	(.044)	12	(.058)	1	(.011)
THOROUGH	2	(.007)	2	(.010)	0	(.000)
VALUED	11	(.037)	10	(.049)	1	(.011)
VISIBLE	4	(.014)	3	(.015)	1	(.011)
ZEALOUS	1	(.003)	0	(.000)	1	(.011)

Does the separation of the two groups provide consideration for acceptance of a lack of unity? The numerical priority is important to this question. For example, Education Oriented for the TAP Staff is (.150) and the volunteers (.090). Although it is less for the volunteers, their numerical value is higher than the second priority of the TAP Staff. Value-wise, there is a mutual agreement. Efficient (.068) and effective (.068) which both speak to the work behavior of the organization are the same numerical value for the TAP Staff and the volunteers.

When these priorities are ranked side by side, we can see this relationship easily below.

CHART 3

TOP WORD CHOICES FOR RESPONDENTS: COMBINED, STAFF, VOLUNTEERS

COMBINED (N=33)	TAP STAFF (N=20)	VOLUNTEERS (N=13)
Education Oriented (.133)	Education Oriented (.133)	Needed (.136)
Needed (.071)	Efficient (.068)	Civic Minded (.102)
Effective (.058)	Open to Public (.058)	Education Oriented (.090)
Efficient (.054)	A Working Family (.058)	Dedicated to Mission (.068)
A Working Family (.051)	Team Focused (.058)	Effective (.068)
Open to Public (.051)	Caring (.053)	Political .068)

The remaining words speak to the respective interests of the two groups. The TAP Staff say they are a cohesive team working under the purview of the public. The volunteers say that TAP is needed, valued, and dedicated to serving the public. It is plausible they are expressing similar feelings while reflecting their perceptions through different word choices.

For a more in-depth study, a third test is done. The data gleaned by WordCruncher are separated by TAP Staff, Volunteers, Cabell Brand, and Ted Edlich to see the similarities and differences in their respective choices.

The chart below lists the top five priorities of the TAP Staff, Volunteers, Cabell Brand, Ted Edlich of the word studies processed by WordCruncher.

CHART 4

WORD STUDY COMPARISON OF INTERVIEWEES, BRAND, AND EDLICH

TAP STAFF(N=20)	VOLUNTEERS(N=13)	CABELL BRAND	TED EDLICH
Education Oriented	Needed	Education Oriented	Caring
Efficient	Civic Minded	Needed	Dedicated to Mission
Open to Public	Education Oriented	Dedicated to Mission	Entrepreneurial
A Working Family	Dedicated to Mission	Civic Minded	Results Oriented
Team Focused	Effective	Entrepreneurial	Team Focused
	Political		

Out of 165 possible choices (5 words X 33 respondents), the priorities reveal some noticeable consensus on the characteristics of TAP. Education Oriented and Dedicated to Mission are present in three of the possible four divisions. Civic minded, Entrepreneurial, Needed, and Team Focused are mentioned in the top priorities of two groups. Only three words: Efficient, Caring, and Political are mentioned in the top priority of one group.

The above chart (Chart 4) provides a comparison of these four entities. Although these data are not identical for all respondents, there are some important observations to make. For example, Education Oriented (selected by 3), Dedicated to Mission Statement (selected by 3), Needed, Entrepreneurial, and Team Focused (selected by 2) were among the highest priorities of the previous tests, as well. It is apparent that these words represent characteristics of importance.

Too, the dissimilarities may well be accounted for by the respective roles of those making the selections.

For example, what is interesting about these lists is that the priority selections of:

(1) The TAP Staff seems to be inclined to think in terms of “getting the job done” within the parameters of the organization — a managerial notion.

(2) The Volunteers present the perspective of who TAP is and how the organization is perceived in the community.

(3) Cabell Brand seems to put a high priority on purpose and process. The purpose is to eradicate poverty through an organization dedicated to its mission.

(4) Ted Edlich initiates his priorities from a base of personal concern and develops his priorities into organizational purpose and the notion of economic independence.

However, the agreement on Education, Dedicated to Mission, Needed, Entrepreneurial, and Team Focused supports a fairly uniform agreement on the value and purpose of TAP. The result is an internalized community effort, a synergy, to prepare the clients for a better future from having associated with TAP.

A second phase of testing is to review in-house publication and external media publications. The need for this study is to see if the printed media is expressing the same or a different perceptions of who TAP is and what TAP does. The primary in-house publication is their promotional newsletter — KEYNOTES.

This publication is primarily written by the TAP Staff and reflects activity and project attainments. This chart lists the number of Word choices noted in the in-house publication of TAP — KEYNOTES.

CHART 5

WORD STUDY CHART OF KEYNOTES PUBLICATION

Dedicated to Mission Statement	49	Civic Minded	24
Caring	41	Empathetic	24
Entrepreneurial	36	Extensively Trained	24
Person Motivating	36	Open to Public	23
Responsive	36	Results Oriented	23
Education Oriented	35	Constant	22
Professional	34	Valued	22
Effective	33	Leader Competent	21
Focused on Primary Agenda	33	Accessible	20
Political	32	Quality Driven	20
Futuristic	31	Thorough	19
Expedient	30	Zealous	19
Needed	30	A Working Family	18
Visible	30	Efficient	14
Assertive	28	Identified by Leader	12
Respected	28	Team Focused	11
Influential	27	Survivor	7
Strategic Thinking	26	Total Responses	918

After subjecting this publication to the Word Study test, the findings present the following priorities: Dedicated to Mission Statement, Caring, Entrepreneurial, Person Motivating, Responsive, and Education Oriented. In like manner, external Public Media is subjected to the Word Study test. The third phase to complete the study of the Word Studies is the external Public Media publications. The following priorities are explained in the chart below.

CHART 6

WORD STUDY CHART OF PUBLIC MEDIA PUBLICATIONS

Needed	9	Professional	2
Dedicated to Mission Statement	6	Respected	2
Effective	6	Responsive	2
Assertive	5	A Working Family	2
Caring	5	Quality Driven	1
Entrepreneurial	5	Results Oriented	1
Focused on Primary Agenda	5	Valued	1
Strategic Thinking	5	Visible	1
Thorough	5	Team Focused	1
Education Oriented	4	Accessible	0
Efficient	4	Constant	0
Futuristic	4	Expedient	0
Civic Minded	3	Extensively Trained	0
Empathetic	2	Identified by Leadership	0
Influential	2	Leader Competent	0
Open to Public	2	Survivor	0
Person Motivating	2	Zealous	0
Political	2	Total Responses	87

The top five priorities are: Needed, Dedicated to Mission Statement, Effective, Entrepreneurial, Education Oriented, and Caring. Again, the observation is easily made that a consistent similarity is present among the in-house and external media publications.

To investigate further the in-house personnel of TAP, a body of data which seems pertinent and vital to this research are publications written by the three founders of TAP: Cabell Brand, Bristow Hardin, and Ted Edlich. These data are gleaned from extant articles, speeches, and position statements made by these men. The chart below presents the findings related to Cabell Brand.

CHART 7

WORD STUDY CHART OF SPEECHES AND WRITINGS OF CABELL BRAND

Dedicated to Mission Statement	9	Thorough	7
Caring	8	Assertive	6
Civic Minded	8	Effective	6
Constant	8	Efficient	6
Education Oriented	8	Empathetic	6
Futuristic	8	Focused on Primary Agenda	6
Needed	8	Open to Public	6
Person Motivating	8	Professional	6
Strategic Thinking	8	Quality Driven	6
Survivor	8	Valued	6
Visible	8	Accessible	5
Zealous	8	Extensively Trained	5
Entrepreneurial	7	Identified by Leadership	5
Expedient	7	Leader Competent	5
Influential	7	Respected	5
Political	7	A Working Family	4
Responsive	7	Team Focused	3
Results Oriented	7		

This chart gives evidence that in the speeches and writings of Brand that priorities get lost in the selective process. The emphasis is toward addressing all of the Word Study words.

Further, the study of the speeches and writings of Bristow Hardin provide these insights into the priority considerations of first generation TAP.

CHART 8

WORD STUDY CHART OF SPEECHES AND WRITINGS OF BRISTOW HARDIN

Influential	5	Education Oriented	2
A Working Family	4	Efficient	2
Effective	4	Expedient	2

Focused on Primary Agenda	4	Futuristic	2
Needed	4	Leader Competent	2
Person Motivating	4	Respected	2
Political	4	Responsive	2
Results Oriented	4	Valued	2
Zealous	4	Visible	2
Accessible	3	Team Focused	1
Caring	3	Assertive	1
Dedicated to Mission Statement	3	Constant	1
Empathetic	3	Entrepreneurial	1
Open to Public	3	Strategic Thinking	1
Professional	3	Survivor	1
Quality Driven	3	Extensively Trained	0
Thorough	3	Identified by Leader	0
Civic Minded	2		

This chart gives evidence that in the extant writings, though limited, of Bristow Hardin essentially uses all the Word Study words.

In like manner, to consider the writings of Ted Edlich we find the following evidence:

The data in the chart below are gleaned from three writings of Ted Edlich other than the periodic KEYNOTES publication.

CHART 9

WORD STUDY CHART OF WRITINGS BY TED EDLICH

Assertive	2	Person Motivating	1
Civic Minded	2	Professional	1
Influential	2	Respected	1
Political	2	Results Oriented	1
Responsive	2	Survivor	1
Accessible	1	Thorough	1
Caring	1	Valued	1
Constant	1	Visible	1
Dedicated to Mission Statement	1	Zealous	1
Education Oriented	1	A Working Family	0
Effective	1	Team Focused	0
Efficient	1	Extensively Trained	0
Empathetic	1	Futuristic	0
Entrepreneurial	1	Identified by Leadership	0
Expedient	1	Open to Public	0
Focused on Primary Agenda	1	Quality Driven	0
Leader Competent	1	Strategic Thinking	0
Needed	1		

Twenty-seven of the 35 word are mentioned by Edlich. The limited data bank makes it difficult to compare Edlich’s emphases. When compared to two previous data source, KEYNOTES, Edlich essentially includes all 35 words.

Chart 10 represents the findings of this data search. Granted, there are differences which may be accounted for when considering the source; however, the consistency speaks forthrightly

that a similarity is present across the spectrum of TAP Staff, Volunteers, Founders, in-house publications and external media.

CHART 10

TOP FIVE RANKING OF THE WORDS BY SOURCE

STAFF & VOLUNTEERS	KEYNOTES	PUBLIC MEDIA
Education Oriented	Dedicated to Mission	Needed
Dedicated to Mission	Caring	Dedicated to Mission
Needed	Entrepreneurial	Effective
Entrepreneurial	Person Motivating	Entrepreneurial
Team Focused	Responsive	Strategic Thinking
		Thorough
		Focused on Primary Agenda
		Assertive
		Caring

The comparison of these priorities shows a consensus among a few of the Word choices. For example, Dedicated to Mission is represented in all groupings. Entrepreneurial is represented in all groupings. Needed is represented in two groups. Caring is represented in two groups.

A particularly interesting and pertinent phenomenon is found when the speeches, articles, and quotes of Bristow Hardin, Cabell Brand, and Ted Edlich, the founding fathers of TAP, are studied through the same lens of analysis as the above information. From these papers, it is consistent that essentially all 35 words (i.e., TAP Characteristics) are present in their presentations. Whether this occurrence is intentional or by chance is not known. However, the

observation that such blanket use of these characteristics affirms the notion that a unified opinion and desire for the TAP organization by these three founders of TAP is unquestionably present.

An interesting observation regarding the comparison between Cabell Brand priorities and those of Ted Edlich may represent their respective roles. For example, Brand believes that education is a primary way of ending the poverty cycle. To accomplish its mission, TAP must have a constituency of support. This constituency is brought together by observing the organization in process — Dedicated, Strategic Thinking, Entrepreneurial, Extensively Trained. The perception of TAP that is essential is that she is seen as a Caring institution, Respected in the community, seeking Results to eradicate poverty. When this perception is realized among the community leaders, TAP will have established a place of purpose needed in the community, and regarded as being Civic Minded.

On the other hand, Ted Edlich is the person primarily responsible for making TAP function in an environment often racked by budget cuts and inappropriate expectations and perceptions. Consequently, he sees TAP through a different lens. For example, through interviews, Ted has noted:

1. TAP is a Caring institution. If the TAP Staff does not have a heart of compassion to care for its clients, no amount of effort can break through the poverty barrier.
2. TAP accomplishes its goal of eradicating poverty by being Dedicated to its Mission, being Assertive, and Quality Driven.
3. The goal accomplishment is processed by a Team Effort which thinks Futuristically and keeps its ear to the Public agenda.

4. TAP stays abreast of the public agenda to develop insight into new ways to accomplish its mission. The process is like the Entrepreneur who seeks effectiveness by staying in touch with the realities of life while seeking better ways to attain success. The priorities substantiate the role of the person — the Executive Director.

In summary, the Word Study data, gathered from those directly involved in the leadership activities, bring to light understandings of who TAP is and what the organization seeks to accomplish. Each chart: (1) speaks to a unified spirit on many of the same characteristics; (2) presents an impression of the multiplicity of leadership interests; and (3) provides a focus for organizational study.

The leadership dynamic of the organization seems to be fostered by an acceptance of individual roles among the leadership team. Many references are made to the “family” of TAP, the team concept, and interrelationships inherent to the workings of the organization — the “spirit” of the organization. Whether each leader is in agreement with the other seems not to be an issue. The fact that they sense community; however, is vital to their day-to-day operations.

The leadership seems to be able to maintain their respective interests while owning their share of the total operation of the organization. The Word Study priority selections show a personal commitment to the organization. At the same time, each leader speaks freely of how the organization affects them personally, and how they are free to implement the strategies they believe to be important to the successful operation of the organization — effective client service.

The Word Study provides a unique opportunity to study the organization in that a baseline consensus of the leadership is revealed. The consensus provides a focus for this study and possibly for future studies about this organization and possibly others like it. The intent of the

Word Study is to ascertain a culture, observe the leadership dynamic, and see if there is a relationship among the three organizational elements of leadership, culture and socialization. The interviews present further information about TAP.

Leadership, Culture, and Socialization:

The Interviews

The strength of the Word Study data above supports the notion that a consistent culture is manifested throughout the organization, both in-house and external to the organization. Consequently, the next question is whether, by a more in-depth study of the interviews, one can see how the culture is maintained.

The information which follows is from the interview data and guided by the original propositions of this research project. Each idea is discussed and an accounting of the data findings follow the discussion. There are 318 primary statements reduced from all thirty-three interviews which speak directly to the questions of this research. Each statement is analyzed and placed into a specific category. The categories relate to the possible combinations of the three elements proposed by this study: leadership, organizational culture, and socialization. A random check of sixty-seven statements was made by five independent coders. Agreement on the interpretation of the intent statements was substantial. The Coder Packet is found in Appendices (F, F(b), F(c), F(d)).

Categories chosen for the interview data include: (1) Leadership, (2) Culture, (3) Socialization, (4) Leadership and Culture, (5) Leadership and Socialization, (6) Culture and Socialization, and (7) Leadership, Culture and Socialization (Appendix G). The interview

statements were categorized by the research into these categories. To carry this notion a step further, the seven options generated these findings:

CHART ELEVEN

SEVEN OPTIONS FOR CATEGORIZATION OF ELEMENTS

Socialization (S)	Culture (C)	Leadership(L)	Socialization plus Culture minus Leadership (S+C-L)	Socialization plus Leadership minus Culture (S+L-C)	Culture plus Leadership minus Socialization (C+L-S)	Socialization plus Culture plus Leadership (S+C+L)
7 (2%)	52 (18%)	124 (39%)	35 (11%)	12 (4%)	61 (19%)	27 (8%)
X1	X2	X3	X4	X5	X6	X7

Of the possible 318 choices of all interviewees responses, the findings in ranking order are: (1) Leadership with 39% (124 occurrences); (2) Leadership and Culture with 19% (61 occurrences); (3) Culture 18% (52 occurrences); (4) Culture and Socialization 11% (35 occurrences); (5) Leadership, Culture and Socialization 8% (27 occurrences); (6) Leadership and Socialization 4% (12 occurrences); and, (7) Socialization 2% (7 occurrences).

These data substantiate the notion of mutuality of relationship among the elements of leadership, organizational culture, and socialization. However, of particular importance is the notion of leadership singularly ranking first among the seven. Of the 318 interview responses cited, 124 or 39% stipulate “leadership” as the primary influence. Also, the notion of “leadership” is present in 70% of all the responses. It seems probable that the vast majority of respondents in this community-based, nonprofit organization believe that “leadership” plays a primary role of

influence in the success of the organization. When leadership is compared with organization culture and socialization, the data show: leadership to be 39%, culture 18%, and socialization is 2%. That being the case, 59% of the responses stipulate singular influences; however, 41% maintain a significance of the organizational influence is some combination of the three elements. Leadership, then, is the primary influence. Secondly, mutuality in the process of organizational development is significantly present.

Interview Findings

Interview questions were guided by seven propositions about the relationships among leadership, culture, and socialization. These propositions are stated below. Discussion of the findings are made in light of the interview questions which relate to the propositions.

PROPOSITION ONE: Other members of the leadership team acknowledge that the Executive Director intends to influence the organization to accept a particular organizational culture and socialization. Of particular interest is the first idea of whether or not the Executive Director is perceived as influencing the organizational culture and socialization processes.

From the interview question, “TAP is so extensive, how does TAP hold itself together?” Twenty-nine percent of the 126 responses said Ted [Edlich] is responsible for holding the organization together by his leadership and his influence. Twenty-five percent of the 126 responses said “the leadership” is responsible for holding the organization together. Combined, the whole of leadership is perceived as the element which holds the organization together by 54% of the responses given.

Other responses, however, were also given. For example, there were seven responses to question seven that said it was because the people of TAP liked what they do and consequently, the “holding together” was more of a “doing” perspective. Nine more said that they became caught up in what they were doing.

One person admitted that maybe there was no specific reason, it just happened. There were ten responses that stipulated some organizational reasons such as the internal support systems (e.g., finance, planning, staffing). Training was mentioned as a major component. Four

could not give a specific reason, but believed it was beyond human hands, for example, by angels, a mystery, or a miracle. Though these answers were given by only a few, the researcher believes that many of the team are convinced that what they are doing has a strong spiritual significance in their lives and the lives of those who become affiliated with TAP and are served by TAP.

There was one response given by an interviewee who is devotedly a part of the TAP team that TAP, indeed, does not “hold itself together.” The respondent suggested that the beauty of the organization and the reason TAP functioned so effectively is because there is no reason to hold it together. Success is fostered by letting it be itself and respond to its mission. The mission would “hold it together.” This is an interesting concept. There would be value in pursuing this notion further in future studies.

PROPOSITION TWO: The Executive Director structures a strategy to influence his leadership team to facilitate a consensus for a particular organizational culture and socialization. The second proposition seeks to see whether or not the Executive Director is perceived as taking initiatives to influence the leadership team (i.e., project directors and their assistants, volunteers, and Board members) toward a particular organizational culture and socialization.

The closest the data come to speaking to this question is in the discussions regarding training. TAP was structured from the beginning of Bristow Hardin’s era to recognize training as a major component of the organization. Ted Edlich was the first training specialist for TAP. Sensitivity training was initiated very early by the leadership. Through the years, training has been limited because of the funding cuts. However, training continues through the efforts of the leadership team (i.e., the directors). The Executive Director seemingly does not specifically

structure a strategy to influence either the leadership team or the staff. However, the respondents overwhelmingly referred to an unspoken expectation of organizational behavior which alluded to an intentional influence.

One respondent, in particular, stated it this way in response to interview question five: “I didn’t see that [referring to the way change is handled] as being structure, but it is intentional. Oh, yes...” The respondent questions whether or not the influence was structured or not, but emphatically expresses that a particular expectation was intentional. From observation and interviews, there seemed to be little evidence of a structured process of influence; however, both the organizational culture and socialization characteristics seemed highly visible and unified among all those affiliated with the organization.

One interviewee responded this way to question five referring to how change is implemented: “We do an enormous amount of training. We even had a training component because we realized that while we were out there trying to mend and nurture, that as a staff we need to do the same thing.” A more succinct response which may point toward the specificity of this notion was given by a member of the staff to question two which refers to why it is important to be apart of the TAP team: “If you want to survive you will kind of buy into this particular personality.” The attitude of this individual did not refer to a coercive behavior of strategically placed instructions, but an expectation that has been experienced through the years.

The attitude seems to be that no one is forced or instructed to act and function a particular way, but as time goes on, a certain behavior seems to emerge among the faithful. It affirms the notion that if you want to get things done, the way to do it is _____. Instruction, then,

becomes the expectation. From a nurturing spirit, the “team” is formed by the passing of time and program involvement and development.

PROPOSITION THREE: The leadership team intentionally seeks to influence the organization to accept a particular organizational culture and socialization. The third proposition seeks insight into whether or not the leadership team (i.e., the Executive Director, project directors and their assistants, volunteers, and Board members) of TAP either strategically or consciously attempts to promote a particular organizational culture and socialization.

There is no evidence that supports the question of whether the leadership team strategically attempts to intentionally influence the culture in some coercive, planned procedure, or process. Granted, training addresses the strategy notion; however, the program from the researcher’s perspective does not identify a prescribed strategy of culture implementation. The researcher does suggest, however, that internal and external training of recruits fosters the ideology ingrained within the TAP culture. There is a sense that one gains when talking to the leadership team, however, that fosters the opinion that “we are together in this thing called TAP.” A sense of values is strongly felt among this group. It is expressed in response to question one which asks how a respondent became involved with TAP and question seven which refers to why one stays involved with TAP. They speak of the TAP mission. They refer to the relationship between TAP and those it serves. The “process” may not be articulated in specific terms; however, there is a strong culture, a defined culture, and that culture which includes socialization is shared among leaders and constituents.

PROPOSITION FOUR: The leadership team intends to influence the organization to accept a particular organizational culture and socialization which anticipates an acceptance of the vision and philosophy communicated by the Executive Director for the organization. The fourth question is whether or not leader-initiated strategies are initiated by the leadership team with the anticipation that employees and/or volunteers become part of a particular organizational culture which supports the Executive Director's vision and/or organizational philosophy.

When one reads the speeches of Bristow Hardin, Cabell Brand, and Ted Edich, it becomes immediately evident that a particular culture is anticipated. These three organizational "fathers" articulated a particular culture and practiced what they preached. They strongly believe in the meaning of their organization, and although they may see it from different perspectives, the consensus of their opinions is the culture of TAP today. In this regard, it seems that the leadership team does influence the organizational culture and socialization which supports the meaning and values of the founding fathers.

What needs to be acknowledged is that this persona is not a driven notion toward organizational acceptance. It is a much more subtle feeling one gets when the image of TAP is mentioned. It is particularly present as a response to question eight which asks for a story explaining TAP. It seems to envelop one rather than coercing or requiring an acceptance. Those interviewed were more likely to say something to the effect of "this is who we are," rather than this is the way we are supposed to act and react.

PROPOSITION FIVE: The leadership team intentionally constructs a strategy which prescribes a particular kind of organizational culture. The fifth proposition is whether or not the organizational culture is consciously maintained through some particular strategy.

Building upon the aforementioned evidence it is plausible to suggest that a particular organizational culture is consciously maintained. A particular strategy, however, is the question. No such documentation was found. There is little doubt that intentional behavior on the part of the leadership team is evident; however, there is an acceptance of differing views tolerated and even expected. As one respondent said in response to question four which refers to how specific words were selected/chosen, they were not told how to act or think, but one either buys into the attitude of TAP or they usually don't stay. Another said, "If you are here over a year, you have a TAP mindset." The intent of "this is who we are" helped the interviewees respond to the Word Study selection process. In response to question three, which simply asks why they chose certain words, responses included emotions of personal experience while living with the TAP community.

It would be difficult to document the influence source of the organizational culture, but without question, the influence is shared by all TAP personnel that a unified culture exists. Further, a particular culture exists and is fostered by the TAP image both internally and externally. The question of strategy still lingers in the wings, so to speak. "Is there a specific strategy?" may become a definitional question. Does someone sit down and write out a strategy? Is there a document which says TAP personnel and volunteers will act a certain way? No, but there is validity to asking those kinds of questions. There is neither a written strategy or a document.

It is important, however, to refrain from being naive about this question. Expectations and influence are not relegated to written strategies and documents. An attitude, a gesture, a

response denoting a particular belief is also a strategy. In this regard, maybe one can say a strategy does exist. This strategy is emotional in nature and is manifested by verbal and nonverbal cues. If it is acknowledged by the constituency, it has a powerful influence upon the novice. One learns by this process of acceptance and/or nonacceptance.

This process leads to the next proposition: how the organizational culture is influenced. The third element, socialization, speaks to that issue. The researcher initiated this study with an interest in whether socialization can or should be a consideration in building a successful organization. Proposition six speaks to that interest.

PROPOSITION SIX: The leadership team intentionally constructs a strategy for the implementation of a particular organizational socialization. The sixth proposition is whether or not organizational socialization is consciously maintained by a specific strategy.

There was reference to a particular strategy which may foster this notion given in response to the interview question six which refers to how TAP holds together. The responses were limited; however, a few spoke to this issue. Interestingly, the response referred to training. Two respondents made these observations about the TAP culture: "I think that [training] is a big part of it, because after you have gone through that type of training, you are more inclined to be more concerned about others and how you can be effective in working with other people." Another said: "I think that training has a lot to do with spirit of the family here at TAP." Training is a planned process. In that regard, maybe it can be said that TAP uses training to process a particular organizational socialization.

After studying the responses and observing the TAP culture, it seems more probable that training is an avenue to open the individual to a process of acceptance rather than an intentional influence upon a particular mode of culture building. Of the 318 responses analyzed, only seven specifically related to socialization. The fourth ranked possibility of the three elements was socialization and culture with 35 responses. The combination of socialization and leadership was sixth and socialization by itself was last. From this evidence, it seems that the socialization process was primarily acknowledged when combined with organizational culture. Yet, few saw it as a primary consideration.

Now, how or is this process implemented within the TAP organization? If TAP is an effective nonprofit CAA, then an assumption can be made that some effort is made to found a unified culture. If the culture can be described, then possibly one reason is that some formal or informal process of socialization is present within the system.

Taking this notion to the interviews, I was careful not to lead the respondent to use the terms socialization or synergy. It seemed vitally important to this study to see if either term surfaced during the discussions. Unfortunately, no significant use of either term was used by the respondents.

Therefore, the next step was to see if a process could be teased from the data. When talking with two particular respondents who have been with the organization from its inception, numerous references were made regarding the decision by Bristow Hardin to ensure that an extensive training program for all employees was to be a nonchallenged expectation.

Interestingly, Ted Edlich was the first employee assigned to the training component for all TAP staff.

The training program consisted of three or more stages. All employees were required to attend these training retreats and sessions. The sessions were designed after the NTL concept. Cabell Brand, Bristow Harden, and Ted Edlich (among others) attended the NTL training programs and became certified NTL trainers.

Because of limited funding, these sessions have been reduced in recent years. However, if one is perceptive to the situation that all first level supervisors are tenured employees and were exposed to the intense training component regimen, it is not presumptuous to assess its value to this organization.

PROPOSITION SEVEN: The leadership team intentionally constructs a strategy which may foster a synergy within the organization by combining organizational culture and socialization. The seventh proposition seeks to determine whether or not the leadership team is conscious of a synergy which may develop by combining organizational culture and socialization.

This interest of this proposition was not specifically found in the data. However, in response to interview question five which refers to how change is implemented two comments surfaced: “The other directors and myself and Ted always meet very frequently. I think it is the synergy of why people are here to begin with.” And, “We have done it all. That is where the synergy is... and we all do it together.”

The data express a developed organizational culture which is consciously maintained through a particular leadership interest of influence. The evidence that supports this proposition — that the leadership team intentionally constructs a strategy which may prescribe a particular kind of organizational culture — is only suggested in the interview process.

The points of reference include informal discussions among supervisors and employees, TAP staff and volunteers, and board members. There are numerous times of fellowship, banquets, and social gatherings when the accomplishments of TAP are shared. Usually, these times of sharing are from recipients of TAP services.

Although the training aspect of TAP is limited because of cost and funding criteria, the training done affirms the character of TAP as an open community, a supportive community, a place where one can vent her or his feelings and aspirations, a place where all are equal in the process of getting the job done, a place where a mistake is a learning process and not an end in itself. These and other like comments were shared during the interview process by supervisors, board members, staff, and volunteers especially in response to interview question seven which refers to why does one stay involved with TAP.

There is no specific evidence in the data which says the leadership team is expected to act or function a certain way, yet in every conversation with TAP employees and volunteers the TAP persona is articulated. The object of this organization is to become members of their selected community in mind and spirit in an effort to bring about change. The change they wish to make is the elimination of poverty in the Roanoke Valley.

Whether one can say this persona is induced by a specific strategy of indoctrination, training, or group think process is not the intent of this study. However, the fact that the organization does have a single-mindedness about its mission and culture speaks to the issue of some concerted initiative on the part of those who lead the organization to maintain this culture.

Such a unified culture must have some source of initiation or nurturing. Assuming this unified culture is the result of some concerted effort or influence by the leadership of the

organization, then a method of maintenance or initiating system should be evident. I contend that one need only look at the subtle socialization of the organization to find the answer to its unique culture. The interviews provided numerous statements to confirm a sharing of the culture and mission of TAP. It is possible that the inherent strategy is transmission by example and communication among those identified as TAP.

Regarding the issue of organizational socialization, it seems to be consciously maintained, yet there is not a particular, identifiable strategy. Although evidence that supports the proposition that the leadership team intentionally constructs a strategy for the implementation of a specific organizational socialization is not found in the data, it appears that the process is inherent to the organization and to those who attach themselves to the organization's initiatives. It is observed, however, that socialization is of particular interest to the leadership team of TAP. Each new member of the "team" is nurtured by the TAP family. The culture is shared and taught by this process. Though not specifically constructed, the persona of the organization is shared among those who become a part of the mystique which characterizes TAP.

The leadership team of TAP is also conscious of a synergy which seems to be present in their organization. The data do not provide evidence that supports the proposition that the leadership team intentionally constructs a strategy which develops or produces a synergy within the organization. However, the effect of a broad-based synergy is present in all aspects of the organizational life. It may be best described as a "togetherness" of the TAP family, or the constant "we" response from the team.

Further, there are incidents in the data where the leadership relate stories regarding TAP. These stories suggest that if TAP is touched in one place a result of that touching is noticed

throughout the organization. The organization as a whole enjoys the successes of one aspect of the organization which is noted in the media or other recognition source. In like manner, when one aspect is suffering, there is an empathetic concern throughout the organization. These emotions are a vital part of the culture, and members of the team are socialized to appreciate and empathize with a spirit of compassion for all who are touched by TAP.

Although one could say that the data do not support the above propositions since most were not confirmed by the data findings, there seems to be a plausible answer to this puzzle. It is reasonable to contend that in this organization with its deeply embedded culture that possibly the leader(s) are catalysts for reinforcing the meaning of the culture.

The historical theories that leadership as a hierarchically structured phenomenon where things happen because of some particular (i.e., strategically) directive may be challenged by this nonprofit community action agency. Rather, the leader(s) work within the culture to strengthen, enhance, reinforce what is being experienced by the organization. According to the literature, this is, indeed, leadership.

Therefore, these findings could lend support to several ideas of organizational development within the context of this nonprofit community action agency. Of particular interest, is the suggestion that a leadership team, influenced by an Executive Director — particularly one who is among the organization's founders — may influence a positive relationship between the organization's culture and socialization specific to the organizational development of a nonprofit organization by reinforcing the concept of meaning-making. Understanding this process which may bring about the results deemed vital to the successful operation of this nonprofit CAA may

well be the contribution of this dissertation to the field of nonprofit organizations which identify with the similar CAA's.

CHAPTER V

Implications of Findings for the Literature and Practice

Returning full circle in this section, the findings and literature are compared. The issue is whether the findings agree or disagree with the literature. If agreement is found, the concern is to what degree is there a consensus. If findings and literature disagree, the concern is to what degree is there a conflict between the two.

In the Abstract the intent of this study was presented. This initiative was “to explore the venue of leadership as it relates to a nonprofit community action agency.” The plan was to examine the role of the Executive Director to see how his leadership influences, maintains, and enhances the TAP organization. Further, it was suggested that organizational effectiveness may be nurtured through initiatives taken by the Executive Director to affect the organizational culture and that the socialization process may be a means to implement that influence.

Consequently, my initial step was to review the nonprofit literature to find relevant material regarding leadership. The findings were scant. Most of the literature spoke to the issue of management. Some sources assumed that management and leadership were the same entity. Other literature linked leadership and management; some added administration. This merging of terms and activities rendered the literature search as confused and impractical for research use.

The literature review affirmed my quest for a study which identified the specific role of the leader in a nonprofit setting. Further, I wanted to delve into the notion that leadership could make an impact upon the effectiveness of an organization if the leaders would strategically implement a plan which would influence the organizational culture. The suggestion was made that one way to affect the culture was through some process of socialization.

After reviewing nonprofit leadership, organizational culture, and socialization literature, I set out to explore the nonprofit CAA called TAP of Roanoke, Virginia. This organization was chartered with a commitment to eliminate poverty in the Roanoke Valley. Since its inception in 1965, it has implemented numerous projects and training programs which address that commitment. Because of its efforts, it has received national attention for its contribution to its mission. This exploration yielded pertinent data which allow me to suggest aspects of this organization which lead to its effectiveness.

Leadership

The leadership literature focuses on issues such as organizational uniqueness, the need for leadership to be focused on an organizational vision, intra-organizational communication, networking, understanding the political dimension of the organization, organizational change, strategic planning, training and skills development, a multiple synchronization of organizational characteristics, the executive-board relationship, the social-constructionist model among others, and the notion of influence among interrelated alliances, to name a few.

Obviously, the above list is too long to seek a concluding statement to these findings. Therefore, to expedite this comparison of literature to findings, it seems appropriate to use the four strategies suggested by Herman and Heimovics which state that the executive of a nonprofit organization needs to:

1. Accept and act on psychological centrality
2. Provide board-centered leadership
3. Emphasize leadership beyond organization's boundaries

4. Think and act in political ways.

The first strategy of “psychological centrality” simply states that the executive is expected to take ownership of his role in the organization. Throughout this discussion when the executive is mentioned, however, the inference suggests one of consideration for the role of all leadership. At TAP, leadership is a team concept. Therefore, to take ownership speaks to such matters as the executive being dedicated to the organizational mission, being responsible for the actions of the organization, and knowing that the “buck stops here.” The executive is the representative for the organization, yet recognizes the shared role of leadership within the organization.

The “dedicated to the mission” statement is more than obvious among the findings and writings regarding TAP. Realizing that the Cumulative Priority List embraces all eight divisions of the findings, the fact that “Dedicated to Mission Statement” is the highest priority among the findings with a reference point of 7 of a possible ranking of 8 — the highest ranking of all the priorities.

The second strategy is “board-centered leadership.” This notion refers to the need to communicate and work with this legal entity toward organizational effectiveness. If the list of TAP personnel and board are compared, the findings reveal an agreement on three of the five priorities: Education Oriented, Needed, and Political. This agreement substantiates the notion of a board-leadership relationship. An organizational entity does not become like minded without an agreement of purpose and a relationship that fosters that consensus of opinion.

Another aspect of this strategy is the fact that a CAA’s board is a particular mix of professionals, personnel, and service program recipients. This mix is the genius of the board-leadership relationship. It is a requirement of the statute which brought the CAA’s into existence.

All aspects of the organization are shared and acted upon by the board. This strategy seems well embraced by this organization.

The third strategy emphasizes the need for the executive to function beyond the organizational boundaries. Such words as Entrepreneurial, Open to the Public, Civic Minded, Responsive, and Survivor relate to this function. However, the broader issue of boundary extension is the relationship built between TAP and its many constituencies. Every interviewee spoke of how TAP is responsible for bringing together disparate groups of people to remedy a problem affecting a specific community. Networking is seen as an expected and vital role of the leadership.

The fourth strategy “think and act in political ways” is the most powerful notion of the four. Kennedy discussed the political dimension of a nonprofit organization. His advice to the leadership is to be warned of the importance of the political dimension.¹⁴⁸ Herman and Heimovics suggest that the primary criterion for the effective leader in a nonprofit organization is the political dimension.¹⁴⁹ They base their argument on the Bolman and Deal four dimensional analysis model.¹⁵⁰

The data support the political notion. The Cumulative Priority List ranks the political dimension of TAP among the top three. An interesting insight, however, is that neither Cabell Brand or Ted Edlich mention “Political” among their top five priorities. Granted, the researcher is aware of the political savvy of these two founders of the TAP organization. Yet, it seems ironic

¹⁴⁸Larry Kennedy, Quality Management, 1991.

¹⁴⁹Herman, “Executive Leadership,” 1994.

¹⁵⁰Bolman, Reframing Organizations, 1991.

that neither use the term as a top priority. That TAP is a highly visible political entity, is recognized by those who admire and those who reject the value of the TAP enterprise.

Do these four strategies cover the notion of leadership regarding TAP? Such an assumption would be absurd. However, the realization that TAP assertively addresses each strategy given by these authorities of nonprofit organizations, Herman and Heimovics, suggests a strong affinity between extant nonprofit organizational literature and the leadership dynamic of this organization called TAP.

Culture

To summarize the literature regarding culture and to compare that literature to the findings of this research project is the purpose of this section. To accomplish this goal, I have taken the primary theorist's positions and combined them into a succinct mapping of organizational culture thought. Building upon that discussion, I have alluded to the findings of the data regarding the cultural environment of TAP and have drawn some concluding remarks.

Mills points out that organizational cultures can be influenced. The "influence" of his reference is to all means of communication among the involved constituencies. He delineates communication as written, verbal, formal and/or informal. The constant is that it is interactively constructed.¹⁵¹

¹⁵¹Mills, "Managing Subjectivity," 1955.

Pettigrew adds the notion that organizational founders provide a legitimating factor. It is their influence which sets the dynamic of the organization.¹⁵² This notion is enhanced by the findings of Weick who coins the term “sensemaking.” Organizations are in the fluid process of becoming, of making sense. Culture forms a stabilizing effect to this process.¹⁵³

Stogdill and Bass step back and seek a definition of culture based upon their earlier findings. Their findings provide a “sense” of understanding the organization by observing the shared values and the inherent rituals of organizational bonding. They determined that stories of present and past experiences not only brought “sense” to the organization, they also transmitted its identity.¹⁵⁴

Schein concluded that when considering an organizational culture, complexity must be addressed. Complexity referred to all previous findings of communications, founder influences, and making sense in time consciousness which preserved the integrity of the organization.¹⁵⁵ It was Keifer and Senge who first presented the notion that a dynamic organization, some have suggested “organism,” is influenced by the initiatives of the leader which both creates and maintains an organization.¹⁵⁶ Edgar Schein, the recognized authority in culture and leadership research, brought the field of cultural studies to fruition by affirming the previous findings and

¹⁵²Pettigrew, The Politics of Organizational Decision-Making, 1973, and “On Studying Organizational Cultures,” 1979.

¹⁵³Weick, The Social Psychology of Organizing, 1979.

¹⁵⁴Bass, Stogdill’s Handbook, 1981

¹⁵⁵Schein, “Does Japanese Management,” 1981

¹⁵⁶Kiefer, “Metanoic Organizations,” 1984.

further developing the Keifer and Senge notion that, indeed, cultures are and can be influenced by leaders. The leader is seen as the catalyst to unify an organizational dynamic by acknowledging the significance of a historical and contemporary culture was a notion yet to be confirmed.

In recent years, these ideas regarding organizational culture have prompted research by Deal and Kennedy. Their findings suggest that culture is carried from one generation to the next by cultural artifacts. More recently, it is Trice and Beyer who suggest that organizational cultures are directly influenced when leaders set social processes in motion to achieve their vision.¹⁵⁷

What is found in the data are numerous cites regarding the “way TAP is.” Whether the term “culture” is used or not, most of those interviewed spoke of the persona of TAP by acknowledging its culture. It seems appropriate, if not essential, to take each facet of the culture studies cited above and see its relevance to the TAP culture. For example, when Mills says cultures can be influenced by the numerous avenues of communication, it is possible to enumerate the means taken by TAP to communicate its culture within its established and internalized community and through external news media.

This communication effort is seen as being successful by many observers. “TAP,” to many citizens, is a household term. Folks in the Roanoke Valley know who TAP is and what TAP stands for. From another perspective, the interviewees stated they believe strongly that their opinions are heard by their immediate supervisors; further, that those ideas and opinions are carried to the highest pertinent authority for hearing and possible implementation. The flow of communication is believed to be open throughout the organization which lends support to the notion that culture building is an interactive process.

¹⁵⁷Deal, Corporate Cultures, 1982, and Trice, The Cultures of Work Organizations, 1993.

Yet, overwhelmingly many said TAP is not fully understood by the general population, and that more needs to be done to communicate TAP's mission to the public. One rationale given stated that if TAP is better known and understood, more people would support its efforts.

The Pettegrew notion regarding the perpetuating influence of the founders is real and alive at TAP. As a few mentioned, "Bristow Hardin still haunts the halls of the TAP center today." A primary reason for this emotion may be that the founder of TAP, Cabell Brand, is still active as a "shaker and mover" of the TAP initiative, and Ted Edlich, the established leader and one who was among the principal founders, is visible and functioning daily for all TAP causes and initiatives toward mission accomplishment.

Trice and Beyer refer to this notion from the perspective of inherent ideology. In their definition, it appears that ideology precedes values and vision.¹⁵⁸ The founding fathers of TAP, indeed, had a clear picture about what TAP was to become. Cabell Brand spoke exclusively that TAP was an economic endeavor. It was to eradicate poverty by providing the necessary skills to add workers to the Roanoke valley's workforce. This would generate income for all concerned and would encourage the private sector to join forces with the TAP initiative. Bristow Hardin was from a public school education background. His contention was that through education the poor would be able to pull themselves up, so to speak. When Ted Edlich came along, the ideology of TAP was beyond its formative stage. Edlich, upon taking the Executive Director's position, stated emphatically that he had no intention of changing the direction or emphases of Brand and Hardin.

¹⁵⁸Trice and Beyer, The Cultures of Work Organizations, 1993.

This leads us to the Dyer concept of two ways a new culture forms: (1) founders and designated leaders; and (2) people interact to solve problems.¹⁵⁹ This idea is supported by the early emphasis on training. The founders insisted that all leaders would be trained into the working dynamic of TAP. The training program was personalized not simply function oriented. “We are...” “We act...” “We think...” often these words were heard in the interview process. TAP was founded on a particular ideology which was implemented through a systematic training program. The only problem restraining the researcher from saying it was structured is the lack of evidence of specificity toward a particular mindset. Indeed, a culture developed, but it seems that it was more subtle than a prescribed notion. Careful guidance and nurturing was the means of communication. Even the boisterous Bristow Hardin seems to have been careful to protect and guide, but not dictate deterministic behaviors.

Further, Trice and Beyer state that someone has to develop and promulgate what is often called a vision. Weick complements their idea by saying leaders develop a set of mutually acceptable ideas and beliefs about what is real, what is important and how one should respond individually and collectively.¹⁶⁰ There is little doubt that the founding fathers of TAP set these ideas in place. This can easily be seen in the logo adopted by TAP — “Not a hand out, but a hand up.” TAP was for helping people individually become his or her best in a productive society. It was not to be a charity or welfare system. This belief became a primary part of TAP’s culture. It is, in Trice and Beyer’s way of thinking, a projection of an ideological statement which defined TAP’s culture.

¹⁵⁹W. Gibb Dyer, “The Cycle of Cultural Evolutions,” 1985.

¹⁶⁰Karl E. Weick, Sensemaking in Organizations, 1995.

There is no doubt about a unified grasp of “who we are” among those interviewed. The Word Study which prioritizes the TAP characteristics shows a clear picture of a unified cultural understanding and a priority disposition of those characteristics. Speaking to the Weick notion of “sensemaking” and discovering the sense TAP makes inside and outside its greater community one gets the feeling of solidarity, of having an internalized confidence of purpose. They have worked through the notion of sensemaking, and continue to share that sense with others.

In contrast to this sense of security, the data also speak to an urgency to tell of the TAP quest, its mission. At times, there is an evangelistic fervor to proclaim the “good news” of TAP and its initiatives. As Ted Edlich said in an early conversation, “TAP is the best kept secret, yet untold.” The sentiment is shared by many in the CAA effort.

Others, in retrospect to their statements, referred to their feelings of impassioned concern about TAP and its future as “sometimes we don’t know what will happen, but we keep doing what we believe is important.” These kinds of statements, whether perceived as culture or not, are culture shining through a mist of fear and anxiety. This emotion, however, spurs the TAP family to action when the going gets tough.

“It is who we are,” they would say. This is an example of Stodgill and Bass’s shared values and organizational bonding. Their stories tell of triumphs experienced and often the agonies of defeat when revenues are not sufficient to support an initiative of the organization or a client did not perform as expected. Upon occasion, the stories are statements of acknowledging that an idea which led to a specific project was found to be invalid. So, the TAP team stops that initiative and becomes involved with a different effort. No mistake; no grief. The initiative is to move to the next perceived need.

This change in direction, too, supports the notion of culture building. The TAP “sense” is if the idea is good it will live and meet the need of its constituency. If not, it will stop. Failure is not the question, and at TAP it does not exist. There are times to stop, reassess, and move on. Mistakes are taken in stride as an effort not to be repeated, yet do not cause one to be reprimanded or dismissed. Mistakes are learning events. The TAP culture does not condemn, it only says that one learns by giving their best effort. These notions may well be a part of a viable culture that strengthens the internal fiber of TAP — that which holds it together and moves it to being productive.

There were numerous responses pertaining to what holds the magnitude of TAP together. The reference could allude to the “glue” notion, or to the rationale that Leadership alleviates the ever pending frustration of the unknown. Only a few interviewees responded with the assertion that “holding together” was not the issue. Their reason was that TAP did not concern itself with such a notion. Each effort is seen as an independent effort and may not need a TAP initiative to make it happen. Yet, one cannot ignore that the TAP image encompasses the vitality of the whole.

It is my opinion that the loose organization one senses about the internal workings of TAP is the same concept Schein suggests: culture is so vast, so complex, it may be illusive at any given moment. Germane to Schein’s concept is that being complex or simple, culture “is” and culture permeates the organization in its own specific uniqueness. Therefore, when the literature says an organization develops its culture from its constituency through communication and history, it asserts the contention that organizational characteristics are anticipated and initiated by the organization’s founders. Further, they can be influenced by leader initiatives. If I interpret the

data correctly, TAP provides a classic portrayal of organizational culture development as expressed in the literature.

Socialization

Several studies give us some insight into the notion of organizational socialization which are pertinent to this study. Trice and Beyer suggest that if socialization is to be effective, there must be a systematic, strategic plan constantly at work to maintain the socialization process.¹⁶¹ This suggestion lends primary importance to the findings which follow.

The theorists confirm and articulate the proposition and process of organizational socialization. The expectation is a unified culture. Although this is not a guaranteed outcome, the fact that a strategy is planned significantly influences an anticipated outcome.

Such values as: we are a flat organization where everyone's opinion is respected and vital to our mission; we work to aggressively address the needs of the poor; we are a "doing" organization; we are a family working together to accomplish our mission — the interview list is almost endless — are responses to the organizational culture and socialization. Even an observation that "If a new employee does not 'buy into' the way we are and the way we do things, she/he will not stay with TAP," tells of a culture where folks are socialized to recognize a value which affects tenure. Employees are seldom, if ever, fired at TAP; they simply do not coexist with the TAP mystique and move on to other employment.

The data give little evidence of a specific socialization process, however, considering the Etzioni principle of self-selection, it is plausible that most of the TAP employees, as recruits,

¹⁶¹Trice and Beyer, The Cultures of Work Organizations, p. 389.

know the basic tenants or characteristics of the organization prior to seeking employment. They in Sigelman's view have already made a socialization decision before seeking employment. This decision, if practiced throughout the organization, would lessen the need to design a specific system or methodology for training (i.e., socializing) the recruits.

It seems that the early training program of TAP fits the design of the theory stated above. The present executive was the trainer, the program was designed by him and implemented by a staff trained by him who are knowledgeable of the TAP organization — most of whom are still employees at the director level of TAP.

A possible exception which needs to be considered is what happened after the funds were no longer available. It is my opinion that the training was internalized. The training sessions continued on a more limited scale; however, the genius of this leader team concept is that the training was transferred to the division directors. These folk are trained and experienced. They are professionals capable of taking these socialization techniques to the division level and apply the training to their respective units. Again, the Etzioni and Sigelman findings of self-selection support the position of TAP in this process. Mentoring and modeling become the means of socialization.

Nothing of any consequence has changed since training has become less formal and limited due to decrease in training funds. The culture is enriched by the new personnel who share the TAP mystique which embodies the culture. The socialization process, though possibly less formal, is immediately available to all employees.

Does the data support this observation? Indeed, it does. Every supervisor related stories of how she or he nurtured the new employees, shared stories of TAP successes and "failures,"

talked of grand days and difficult days, encouraged the team spirit of mutual support, correction, and how to accomplish the assigned tasks. Hours upon hours are given to this exchange. Doors are left open for encounter conversations. Discussions take place in corridors and on project sites. Of equal importance, the volunteers and the employees share equal turf and care for each other as a family unit.

Through these experiences of learning and sharing, a culture emerges fostered by a socialization process that is now inherent to the organization. The process is continual and self-renewing. Processes may change, but the mission seems to remain intact, and the culture is deep.

It is my opinion that through this process a synergy develops which carries the organization through rough times and nurtures it in times of plenty. Synergy is the result of combining leadership, organizational culture, and socialization — the three elements of this dissertation.

The Process of Sustaining Nonprofit Organizations

The previous discussions have substantiated the data findings in reference to the literature. The question is, “What does it all mean?”

The contribution this study seeks to make to the nonprofit sector is in examining the patterns of leadership, and processes of culture building and socialization techniques. These three elements may engender an organizational synergy potential of inestimable value to a nonprofit organization.

Although a nonprofit organization, like the private or public sectors, must be accountable, it is accountable to client and benefactor. A nonprofit organization has an identity which tells

who it is and what it does. If the identity is lost or confused by its varied constituents, the organization suffers. Such a loss may be the result of a poorly articulated nonprofit organizational mission statement to its human resource base -- client and benefactor.

A unique characteristic of the nonprofit sector which distinguishes it from private and public sectors is its human resource base. Because of this characteristic, special attention must be given to its operation. The operational aspect to which I refer is its culture and its socialization practices — that which shapes its identity. These two elements, I suggest, make a powerful impact upon the nonprofit organization. They are present in both private and public organizations, but they may not be as crucial to the success of those organizations.

One process sustaining a nonprofit organization may be similar to the following plan: a vision is articulated by the nonprofit founder(s) which is based upon a particular, shared ideology. A constituency is brought together because of their acceptance of its founder's vision. The founder(s) enlists others to begin an initiative. The initiative must resonate upon supportive ears. With recruitment, begins the uniqueness of this nonprofit community action agency. People, per se, are not hired to do a job; they are brought together to implement a shared vision. It is accomplished by a "togetherness" effort. The leader sells his or her vision, and those recruited become partners in the implementation of the leader's vision. This partnership is an example of self-selection which supports the notions of sensemaking and meaning-making.

Once the vision is shared and a value system is articulated, a culture begins to form. Others join the effort and share in the vision. The culture is broadened, and the organization begins to implement its cause. The leader must make a decision at this point. Is the vision complete? Is the vision articulated so that all constituents can readily endorse the organizational

purpose? If not, the leader must act immediately to influence convergence and consistency of the vision. If yes, the leader is responsible to see that the vision is maintained throughout the organization. Trice and Beyer call this stage “custodial.” This is the moment when the individual in the socialization process “receive, understand, and accept [the] cultural messages sent.”¹⁶²

The next step for the leader is to decide how he or she will maintain an influence toward organizational unity. My suggestion, supported by this research, is that the leader can use a primary element of civil society already in place — socialization. The leader, therefore, develops a strategy which manifests the culture that endorses the vision. Each strategy must be continually evaluated and focused.

My study is an effort to see if this process is evident in the TAP organization. The data show that all elements are present and are effectively used throughout the organization of TAP. Some are forthright. Some are subtle.

The leader is the responsible initiator. She or he may choose to implement a different strategy than the one used at TAP. The suggestion of this research, however, is that for the nonprofit organization, the leader’s contribution to maintaining a strongly unified culture which supports the organizational vision assists that organization to survive the demands which are placed upon it by disparate systems.

Further, unless a strategically oriented plan of socialization, whether innate or explicit, is designed to maintain the internal integrity of the organization, the culture may dissipate and the organization may lose its direction, purpose, and support system. Thus, the need to continually

¹⁶²Trice and Beyer, The Cultures of Work Organizations, 1993, p. 133.

study the interaction in nonprofit organizations of leadership, culture, and socialization seems warranted.

Implications for Nonprofit CAA Leaders

After reviewing the literature and making appropriate applications to the interview and related data, it is feasible to address some impressions fostered by this study. The primary concept of leadership in nonprofit organizations usually relates to some evidence of charismatic relationship between leader and constituent. It seems feasible, however, that the leadership dimension in the nonprofit organization extends beyond a simple one-on-one charismatic relationship. My research seems to indicate an identity perspective which reaches beyond the individuals of the organization into the surrounding community. The leader, whether executive or staff leaders, projects an image conducive to the mission and culture of this CAA. If this is creditable, it seems appropriate that leaders in nonprofit organizations should take note of the findings of this research. These ideas may affect the attitude and behavior of the nonprofit sector leader.

Secondly, culture is a presence in every organization. Literature and my research seem to substantiate this premise. Whether the culture is a result of some prescribed stimuli, or described influence, or if left to its own innovation, an organization's culture does develop. Over time, the culture becomes an issue for an organization and/or its leader(s) to address. My research fosters the conclusion that this organization's culture is influenced by numerous forces. However, the primary influences of founding fathers, organizational mission, and leadership seem to have produced the unified, identifiable culture of TAP. It seems feasible to suggest that this culture has

been maintained by its primary leadership through their years of tenured service to the organization. These members of the leadership team foster, encourage, nurture, and exemplify the organizational image.

The positive side of a tenured, unified culture speaks to the effectiveness of the organization. Effectiveness of TAP is evidenced by mission accountability. However, a downside effect of a deeply embedded culture is a viable consideration of a leader. If the cultural influence upon an organization is not monitored, it can lead to a form of organizational myopia — seeing only what is expected and anticipated. Hence, the leader is obligated to keep an eye on the organization to thwart any impending stagnation or restrictive myopia which might result from its thick culture. According to my research, the process of correcting and developing a supportive culture is enhanced by the socialization process.

Socialization, in like manner, seems to be a vital link to the productivity of TAP. There is evidence of both formal and informal training which fosters the process of socialization. Through this process of informal and formal training, the culture is enhanced. The process that seems to be successful at TAP centers around two primary events: (1) in-service training on a periodic basis; and, (2) informal activities of “family” social events and conversation among employees. An agenda is not written or directed at these events; however, the thick culture is evident and voiced at each occurrence. Leaders take the initiative to keep the culture alive. The process is friendly, open, and non-threatening to all concerned. The member is allowed the freedom to accept or reject the message. The comment often heard upon several occasions suggests that those who accept stay with TAP; those who reject usually leave the organization. Research supports this circumstance by asserting a principle of self-selection by recruits. An interesting aspect of this

selection process is that those who leave usually remain friends of the organization. Many serve TAP through other means of involvement.

As mentioned earlier, leadership, culture, and socialization are present in all organizations. How is this nonprofit CAA different from other sector organizations? After making this study, it seems to me that this nonprofit CAA uniqueness is focused upon aspects of quantity and quality.

Quantity refers to the reiteration of characteristics. This organization affirms itself at every turn. Wherever the organization is touched it tells essentially the same story. It expresses similar priorities, and it reacts the same way to internal and external stimuli. The unified depth of leadership, culture, and socialization seems to permeate the organization at all levels and reverberates the same mission. For example, every interviewee presented the same image of TAP. The differences were in choices of circumstances, yet the story was essentially the same. Comments like “we care...” and “we work together to accomplish...” were prevalent throughout the organization. The “we” notion identifies their personal feeling of ownership. The organization is more than service, it is “I/We.” Marketing, a vital strategy in all organizations and businesses, is also a tool of quantity at TAP. All locations, which range from 27 - 33, have the same logo on the front of the center. Stationary which identifies each division is used for all correspondence. A centralized switchboard for incoming calls is maintained. Everyone in the organization is available to the team and to the public. Although these may be small and simple practices, I contend that they speak to the quantity aspect of this nonprofit CAA.

Where a different kind of organization may have these quantity aspects, as well, it seems vital to the communication of mission that TAP maintains a high profile by a reiteration of who

they are and what they do. The leaders stress this practice and, in turn, the organization identifies with its image. A cyclical process is, thereby, initiated an affirming process.

Quality refers to the intensity of affirmation practices of both internal and external stimuli. Each division of this organization speaks of excellence of character, intent, and service. The Word Study gives evidence that a depth of quality affirmation is also generated by the multiplicity of internal and external stimuli. A multiplicity notion (i.e., intensity) is observed when each venue of expression (e.g., internal media: Keynotes, interviews and external media: books, news media and interviews) tells the same stories.

It might be suggested that such a unified persona is simply an evidence of an organizational brainwash. This detraction is easily quelled, however, by observing that leaders act on their own to enhance the organization's mission. Each project leader is given the latitude of project design and implementation strategies. Brainwash, as a controlling factor, would restrict that process to a particular methodology and implementation strategy.

The nonprofit sector uniqueness of TAP to which I ascribe seems to foster individualized action while holding to a unified culture. Such a process seems to say that a cyclical interrelationship provides “method to madness” — a control agent to disparate notions.

When interviewees were asked the question of what holds such a disparate organization as TAP together, the responses varied. However, many respondents voiced the belief that when the organization manifests some degree of panic, they meet, “join together,” to discuss and remedy the situation. This disposition seems to project the idea that when the going gets tough “we plug into our culture” — the “who we are” quality of TAP — “and all will be well.” The interrelationship among the “family” is the glue that holds them together.

Therefore, after working through this study, it appears that each member of this circumscribed community is bonded together through the mission of TAP. Leaders, consequently, are wise in using their affirming influence of organizational socialization to support the unified culture which fosters the cyclical process of renewal and development which, in turn, seems to result in a sense of synergy toward organizational wholeness.

Although there were few examples of strategic involvement among the leaders and followers of TAP, there may be an alternative way of addressing this lack in the data. It could mean that this CAA is an example of a self-organizing organization engaged in sensemaking through its own culture. In this respect the organization seeks to make sense through their reference to the culture's value. The means whereby this cultural values building takes place is evidenced in the training sessions of the organization which speak to a particular perspective of "who we are" and "how we communicate with one another." The quality of its socialization process seems to be manifested by staff, volunteers, and community ownership. Although the socialization process is silent in the data, the attributes of the process can be heard and seen in the hallways, the social events, the times of crisis, and the times of celebration; wherever the TAP family meets to fellowship, plan the next project, or simply consult with other members of the team. These expressions are evidence of a meaning-making concept of organizational effectiveness building which fosters the deep culture of this community action agency.

The contribution of this study opens a dialog for considering both the organizational characteristics of a nonprofit CAA and how these characteristics affect and are effected by organizational culture and socialization. It is vital to the literature of similar nonprofit CAA to consider what is unique about these organizations and how best to use extant literature to address

the needs of effectiveness and efficiency. Future studies regarding organizational culture and socialization in other settings may bring to light ways to extrapolate vital information for leaders of nonprofit CAA's. Total Action Against Poverty of Roanoke, Virginia may, indeed, be a model for future studies as an example of a self-organizing organization and may have lessons for other nonprofit sector, public sector, and private sector organizations.

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APPENDIX A

Definition of Terms

Community Action Agency — An agency set into operation by the Johnson Administration on August 20, 1964 and following as a part of the Economic Opportunity Act. The CAA's established the concept of community action where an identified program could receive 90% federal funding to attack poverty at the community level when matched by a 10% local monies or in-kind services. The CAAs were to concentrate their efforts toward eliminating the causes of poverty in the United States.

Culture (Organizational) — The term “culture” was first recorded by Edward B. Taylor (1871) who defined culture as “that complex whole which includes knowledge, beliefs, art, morals, law, custom and any other capabilities and habits acquired by men as a member of society.” Selznick views organization culture as the process of infusing values into an organization and that this process is crucial for its formation of a distinct character.¹⁶³ Philips states that culture is a set of assumptions commonly held by a group of people. The set is distinctive to the group. The assumptions serve as guides to acceptable perceptions, thought, feeling, and behavior, are tacit among members, are learned and are passed on to each new member of the group.¹⁶⁴ In an effort to address the divergent conceptualizations of culture in organization settings Sackman has developed a conception of culture in terms of cultural knowledge. Her cognitive perspective to

¹⁶³Peter Selznick, Leadership in Administration: A Sociological Interpretation, 1957.

¹⁶⁴M.E. Phillips, A Conception of Culture in Organizational Settings, 1984.

the kinds of cultural knowledge are: Recipe Knowledge (do, don't do, should do), Dictionary Knowledge (what), Directory Knowledge (how), and Axiomatic Knowledge (why).¹⁶⁵

Drawing upon the concepts of culture in an organizational setting will help direct the notion presented in this work; however, the primary consideration for this research is the relationship of leader upon culture and visa versa as an organization is brought toward effectiveness. The notion also calls for the leader to initiate a particular strategy to bring about organizational coherence by culture building and socialization which may, in turn, leads to organizational synergy.

Dominant Culture — An organization has a public persona which reflects its mission. This persona is supported by the characteristics which make image and culture congruent. The congruence between image and culture defines the dominant culture. Essentially, the dominant culture reflects the mission statement of an organization.

Ethos of Organizations — The characteristic and distinguishing attitudes, habits, beliefs of an individual or of a group is known as its ethos.¹⁶⁶ The term is used when discussing the innate culture of organizations. With it comes a mystical attitude that something is beyond or greater than the immediate and concert characteristics of the group or organization.

¹⁶⁵Sonja A. Sackamn, Cultural Knowledge in Organizations: Exploring the Collective Mind, 1991.

¹⁶⁶Victoria Neufeldt and David B. Guralnik, (Ed.),Webster's New World Dictionary of American English, 3rd Edition, (NY: Simon and Schuster, 1991).

Executive — The person who directs the actual operations of the organization under the control of a board to whom he or she is responsible.

Leader/Leadership — A person that leads, directs, commands or a guiding head, as of a group or activity/the position or guidance of a leader; the ability to lead. Among the numerous definitions of leader/leadership one finds such suggestions as: The process by which an agent induces a subordinate to behave in a desired manner.¹⁶⁷ . . . the activity of influencing people to cooperate toward some goal which they come to find desirable¹⁶⁸ . . . the process of influencing the activities of a group in its efforts toward goal setting and goal achievement¹⁶⁹ . . . The definition most closely meeting the rigors of this research is one given by Burn's which states that "leadership occurs when one or more person engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. It is grounded in conscious choice among real alternatives."¹⁷⁰

Networking — The developing of contacts or exchanging of information with others in an informal network, as to further a career. For purposes of this research, networking is a process whereby all related components of project delivery are enlisted to bring about synthesis. The

¹⁶⁷W.G. Bennis, "Leadership Theory and Administrative Behavior," in Administrative Science Quarterly, 1959.

¹⁶⁸O. Tead, The Art of Leadership, 1935.

¹⁶⁹R.M. Stogdill, "Leadership, Membership, and Organizations, Psychological Bulletin, 1950.

¹⁷⁰J.M. Burns, Leadership, 1978.

networking process may include private, public and voluntary sector individuals or groups; those directly involved with service delivery and/or those who are only tangentially involved with one or more of the sectors identified.

Nonprofit Organization: In this study a nonprofit organization is any organization which qualifies for a 501(c)(3) Internal Revenue Service exemption. Further, in this study of a community-based, nonprofit organization known as a Community Action Agency, it is necessary for the organization to have representative participation from private, public and voluntary sectors both on its Board of Directors and within the service delivery projects.

Organizational Socialization — A pattern of shared basic assumptions that the group learns as it solves its problems of external adaptation and internal integration that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems.¹⁷¹

Profit Organization — A profit organization is designed to derive a profit which is an excess of sales revenue relative to the cost of production. The cost component includes the opportunity cost of all resources, including those owned by the firm. Therefore, profit accrues only when the

¹⁷¹Edgar Schein, Organizational Leadership and Culture, 1992.

value of the good produced is greater than the sum of the values of the individual resources utilized.¹⁷²

Socialization — The process through which an individual learns to be a member of society...the imposition of social patterns on behavior.¹⁷³ Socialization is the process of group renewal as newcomers are transformed into full-fledged members. It is the process of transmitting culture, of transforming members.¹⁷⁴ Both definitions call for imposed behavior upon an individual. Although this is usually considered a child to adult process, recent research has emphasized that it is a life-long process which affects all aspects of one's life.

Staff — The people employed by an agency or organization to carry out its work under the direction of the executive leader.

Synergy — The simultaneous action of separate agencies which, together, have greater total effect than the sum of their individual effects; the combined or correlated action of direct organs or parts, as of muscles working together. This term carries a double meaning for the understanding of this study. It reflects the internalized application by the leader to combine dominant culture building and socialization through systematic training. This process anticipates a

¹⁷²James D. Gwartney, Richard L. Stroup, A.H. Studenmund, Economics: Private and Public Choice, 6th Ed., (NY: Dryden Press, 1976), p. 56.

¹⁷³Peter Berger and Bridgett Berger, Sociology: A Biographical Approach, 1972.

¹⁷⁴Everett K. Wilson, Sociology: Rules, Roles, and Relationships, 1971.

positive affect upon the organization. The leader's expectation is that this synergy will bring about a successful organization. Secondly, it reflects the external effect of other service providers working together (networking) to make a particular project of social action possible.

Synthesis — The putting together of parts or elements so as to form a whole. The synthesis process in this research is the leader's design to bring together leadership and management characteristics. The notion is that leadership is not a one dimension process. It requires a synthesis of many components into one interrelated whole.

Training — A systematic mode of instruction designed to produce environments that shape behavior to satisfy stated objectives (e.g., the acquisition of skills, rules, concepts, or attitudes that result in improved performance in another environment.¹⁷⁵

¹⁷⁵Irwin L. Goldstein, Training in Organizations, 1993.

APPENDIX B

Computerized Library Search of Leadership,

Organizational Culture and Socialization

In the effort to find information related to the nonprofit leadership, nonprofit sector — by its many names — a computerized library search was conducted. Below is the result of that search using leadership, nonprofit leadership, not-for-profit leadership, culture, socialization, and combination of these terms.

PROQUEST: January 1992 - February 1994

<u>Search Title</u>	<u>References</u>
leadership, nonprofit	0
leadership volunteer	2 (health care)
not-for-profit	638
not-for-profit leadership	0
leadership, socialization	0
not-for-profit, socialization	0
not-for-profit, culture	0
nonprofit, socialization	0
nonprofit, leadership	1
nonprofit, culture	1
socialization, nonprofit	0
socialization, leadership	0 (jazz)
socialization, culture	0
leadership, culture	3
socialization, culture	0
socialization, training	0
nonprofit, leadership, training	0
not-for-profit, leadership training	0
not-for-profit, leadership, training	0
not-for-profit, organization	103 (accounting)
not-for-profit, leadership	0
organization, culture	64

PROQUEST, December 1986-December 1992

nonprofit leadership	0
not-for-profit leadership	0
leadership socialization	0
leadership culture	3
socialization training	1
organization culture	40

voluntary organization	60
culture socialization	1

HUMANITIES

not-for-profit organization	0
voluntary organization	0
nonprofit organization	0
not-for-profit, organization, leadership	0
nonprofit organization, leadership	0
culture	4896
culture, nonprofit organization	0
culture, socialization	0
culture, workplace	0
socialization, workplace	0
socialization, training	0
leadership	346
leadership, nonprofit organization	0
leadership, not-for-profit organization	0

PERIODICAL/PUBLICATION INFO PSYCHLIT

leadership	1813
nonprofit	128
nonprofit leadership	0
not-for-profit organization	1
culture	3686
culture, leadership	1
socialization, leadership	1
socialization, learning	4
socialization, teaching	1

SOCIOFILE: January 1974 - April 1994

leadership	3656
leadership, nonprofit organization	0
leadership, not-for-profit organization	0
culture	24977
culture, organization	22
socialization	18880
socialization, culture	10
socialization, nonprofit	0
socialization, not-for-profit	0
leadership, culture	5
nonprofit leadership, training	0
not-for-profit organization	0

culture training		6
organization, socialization	30	
organization, culture, training		0

SOCIAL SCI INDEX: February 1983 - February 1994

leadership		1494
leadership, nonprofit	529	
not-for-profit organization	11	
not-for-profit leadership	0	
nonprofit organization		115
leadership nonprofit	0	
socialization	620	
nonprofit, socialization		0
socialization, training	0	
culture, nonprofit		0
culture, not-for-profit	0	
voluntary organization, culture	0	
culture, socialization	0	
nonprofit organization, culture	0	
nonprofit organization, socialization	0	
socialization, nonprofit		0
socialization, not-for profit	0	
socialization, organization	0	
culture, organization	2	
culture, workplace	0	
socialization, workplace	0	
socialization, training	0	
culture, training		0
leadership, training	7	
leadership, socialization	0	
leadership, culture	0	
nonprofit, training	0	
leadership, socialization, culture	0	

DISSERTATION ABSTRACTS: January 1993 - March 1994

nonprofit, organization, leadership	0
nonprofit, culture	0
nonprofit, socialization	0
nor-for-profit organization	0
not-for-profit, leadership	0
leadership, nonprofit organization	0
socialization, training	0
organization, culture	12

Also, on July 29, 1994, I was able to have a conversation with Dr. Dennis Young, Mendel Professor of Nonprofit Management and Governing Director for the Mendel Center for Nonprofit Organizations of Case Western Reserve University, author and editor of Nonprofit Management and Leadership. Dr. Young cited one book he believed may be of some interest, but knew of no literature directly related to my subject of interrelation leadership, culture and socialization.

I contend that the above information supports my statement that literature regarding my research is not available. Thus, my research project is of vital importance when considering the leader's role in a nonprofit organization.

APPENDIX C

Interview Instrument

1. How did you become a part of TAP?
2. Why is it important to you to be a part of the TAP team?
3. Would you take a few minutes and mark the words which you believe most correctly characterize the basic tenants of TAP?
4. How did you come to accept these characteristics as basic tenants of the TAP organization?
5. What is the most important change you have seen during your time with TAP? How was this change implemented?
6. TAP is so extensive. How does it hold itself together? How do you know your responsibilities within the complexity of TAP activities?
7. Why do you stay involved with TAP?
8. If you had an opportunity to tell one story which best tells what TAP is, what story would you tell?
9. Is there anything else you think I should know about TAP, its mission, its leadership, its strengths and/or weaknesses, its character.

APPENDIX C(b)
Word Study Instrument

Please review this list of organization characteristics. Circle the ten characteristics you believe to be the primary characteristics of the TAP organization. Of those ten, prioritize the top five characteristics.

“A working family”	Identified by leadership
“Team focused”	Leader competent
Accessible	Needed
Assertive	Open to public
Caring	Person motivating
Civic minded	Political
Constant	Professional
Dedicated to its mission statement	Quality-driven
Education oriented	Respected
Effective	Responsive
Efficient	Results oriented
Empathetic	Strategic thinking
Entrepreneurial	Survivor
Expedient	Thorough
Extensively trained	Valued
Focused on its primary agenda	Visible
Futuristic	Zealous
Influential	Other: _____

APPENDIX C(c)

Interview Questions and Data Intent

Each person interviewed was asked the same questions regardless of their role in the TAP system. Each question was prefaced by a qualifying statement. Each question is to elicit a response which can be categorized as culture, socialization, or leader focused. The following statements with the corresponding question were asked.

1. In my conversations with others affiliated with TAP, there seems to be many reason why people are a part of the TAP system. How did you become involved? [This is an opening question and not intended to give information pertinent to the three categories. If the response does speak to any of the three elements, I will use it accordingly. The intended response simply logs the person's affiliation with TAP regarding tenure and position.]
2. Since TAP speaks to so many varied community and personal needs, why is it important to you to be a part of the TAP team? [This question is to encourage a response regarding the purpose of participation. "TAP team" is intentionally leading the interviewee to acknowledge the team approach or discount its importance.]
3. In reading about TAP and hearing stories about TAP, I have tried to list some words that best describe TAP. Would you review these words and select the ten you think best describes TAP as you know it? Then, of those ten would you prioritize the first five? [This process allows the

respondent to think through the list of 35 words and select the words that help define TAP as they know it. The prioritization process will help me see their selective process and reveal a more precise picture of TAP from their perspective. These words will become a vantage point for the three divisions of importance to my dissertation: culture, socialization and leadership.]

4. These words are important to you for some reason, or how you have come to understand TAP in a particular way. How did you come to your decision to select these words as characteristics of TAP? [The respondent is now given an opportunity to explain TAP as he or she sees it. The question is to prompt the respondent to become vocal about the TAP organization and how it functions. This response is crucial to the documentation of this dissertation.]

5. Changes have taken place throughout the 25 year history of TAP. These changes have affected funding, for example, and program and personnel. What is the most important change you have seen during your involvement with TAP? How was this change implemented? [This is a two part question. The first is to elicit a response of a priority nature. I want to know if there is a specific issue that has affected the interviewee within the organizational setting. The second is more specific to the nature of TAP management. I want to know if these changes affected the culture, if the respondent felt a particular socialization process took place during the implementation of change, if there is a specific process implemented by the TAP system to address change.]

6. TAP as I understand it has 25 to 31 programs running simultaneously. How can an organization so vast in its plan of operation hold itself together? [This question is specific to the organizational format of TAP. For example, the respondent can answer the question from either a culture perspective, a socialization perspective, or from the leadership perspective. I need to know if the respondent believes there is a specific way TAP functions on a daily basis.]

7. From my perspective, I think you could put your skills and interests in many other areas of service to your community. Why do you stay involved with TAP? [This question gives the respondent an opportunity to express his or her feelings about the importance of the TAP mission. I am seeking an emotional response from the respondent. This question, hopefully, will help me understand the essence, maybe unique quality of the TAP organization.]

8. There are many stories about what TAP does and has done. If you were asked to give a spontaneous interview before the world, what story would you tell that explains what TAP is? [This is a charged question which focuses the respondent on that essential character of selling TAP to others. I want to delve as deeply as possible into whether TAP is a cultural entity, a socialized environment, or a leader inspired organization.]

9. I have covered all the information I know to ask you. Is there anything I have left out? Is there anything you would like to add to my research about TAP; its mission, its leadership, its strengths and/or weaknesses, its character? [This is an open ended question to let the respondent say anything about my questions, interview process, or about TAP specifically or in general. The

hope is that the respondent will have something to “preach” about that he or she has not been able to tell an “outsider” which is of utmost importance. It may be possible to hear something that reveals more about TAP than the structured questions.]

APPENDIX D

Leadership Literature Review

When one begins the study of leadership, it seems logical to find a definition which has a broad base of acceptance among researchers, scholars and practitioners. This idea, however, uncovers a primary dilemma of such a study. One only needs to review Bass and Stogdill's seminal volume, Handbook of Leadership, to discover the futility of such a notion as one acceptable definition.¹⁷⁶

Likewise, there are those who contend the study of leadership to be a seemingly inappropriate exercise. Scholars have studied leaders and leadership over the years, yet there seems to be a constant battle over the definition of leadership, leader, or who leaders are. This disparate resource of leadership literature is succinctly stated by Joseph C. Rost:

...the great majority of leadership scholars study the subject from an unidisciplinary perspective. Indeed, I believe that this perspective is part of the overall, fundamental problem. The reality is that there are very few leadership study scholars. Rather, there are anthropologists, educators, historians, management scientists, organizational behaviorists, political scientists, social psychologists, and sociologists who have developed an expertise in leadership. Thus, the leadership literature is primarily a mixed bag of subspecialized literature from these disciplines.¹⁷⁷

¹⁷⁶Bernard M. Bass, Bass and Stogdill's Handbook of Leadership: Theory, Research, and Managerial Applications, 3rd Edition (NY: Free Press, 1990).

¹⁷⁷Joseph C. Rost, Leadership in the Twenty-First Century (Westport, CT: Praeger Publisher, 1993), p.15.

Another perspective, which is the one taken by this researcher, is in the form of categorizing the development of popular theories of leadership. For example, the following approaches are often chosen by leading theorists: power-influence, trait, behavioral and situational theories. This position is presented as a means of organizing the field to make leadership study more feasible. To assist in this presentation of leadership, the four approaches defined by Yukl are given.¹⁷⁸

Using Yukl's overview structure to present the major approaches to leadership research provides a convenient handle for a succinct mapping of this vast body of literature. His structure categorizes four distinct approaches: (1) power-influence approach; (2) trait approach; (3) behavior approach; and, (4) situational approach. .

To be brief without losing content integrity each of these approaches are presented. The leading theorists of each approach are presented along with their respective findings which speak to the strengths and weaknesses of the approach.

POWER-INFLUENCE APPROACH

Yukl begins his presentation with this statement:

Most of the power research has been too superficial to provide clear and unequivocal guidelines for leaders on the best way to exercise power with subordinates. Nevertheless, by drawing upon a diverse literature in the social sciences that includes research on power, leader behavior, motivation, communication, counseling, supervision, and conflict resolution, it is possible to develop some tentative guidelines for leaders.¹⁷⁹

With this limitation in mind he proceeds to present his findings.

¹⁷⁸Gary A. Yukl, Leadership in Organizations, 2nd Edition, (NJ: Prentice Hall, 1989).

¹⁷⁹Gary A. Yukl, Leadership in Organizations, 1989, p. 43.

This approach credits the leader as the responsible person for determining the effectiveness of an organization. There is a myopic quality to this approach which focuses on the actions and control of the leader. This focus is due to the leader's position of power and influence upon the organization. Taken for granted is the willingness of the subordinates to be compliant to that position of power.

The research on power and influence usually begins with the French and Raven Taxonomy of: reward, coercive, legitimate, expert, and referent power. Briefly, in reward power the subordinate complies to gain a reward within the power of the agent. In coercive power, the subordinate complies to avoid disfavor believed to be in the hands of the agent. In legitimate power, the subordinate complies because it is believed that the agent rightfully has the authority of request. In expert power, the subordinate complies because it is believed the agent has special knowledge of the best way to accomplish a task. In referent power, the subordinate complies because of admiration or respect, and the agent's approval is intrinsically important.¹⁸⁰

Further findings of Podsakoff and Schriesheim suggest that expert and referent power positively correlates with subordinate satisfaction and performance. They further state that legitimate, reward, and coercive power sometimes results in lower subordinate satisfaction and performance and at other times has no effect on these criteria. Their conclusion is that effective leaders rely on expert and referent power more than ineffective leaders.¹⁸¹

¹⁸⁰Wendell L. French and B.H. Raven, "The Bases of Social Power," in D. Cartwright, Studies in Social Power, (Ann Arbor, MI: Institute of Social Research, 1959), Quoted in Yukl, Leadership, pp. 15-25.

¹⁸¹P.M. Podsakoff and C.A. Schriesheim, "Field Studies of French and Raven's Bases of Power: Critique, Reanalysis, and suggestions for Future Research," Psychological Bulletin, 97, 1985, 387-411.

The limitations of the power and influence studies focus on the questions of why subordinates act/respond differently, whether power is a single function stimulus or a multiple-function stimuli. The studies of power seem to vacillate between leader and subordinate influence. This ambiguity seems to challenge the primary notion which stipulates that a leader is the only focal point in the relationship. Also, there is the aspect of reward which seems to influence the behavior of the subordinate. If the subordinate receives some form of reward from the leader, is the leader in danger of accepting the potential power of influence from the subordinate?¹⁸²

Warren delineated between a subordinate's attitudinal commitment (i.e., expert, referent, legitimate) and behavior compliance (i.e., coercive and reward).¹⁸³ Podsakoff, Todor, and Slov suggest that contingent punishment when combined with reward can have a positive effect on subordinate behavior. Both seem to focus on the potential influence of the subordinate upon the leader. These limitations to the basic notion of leader power and influence greatly weaken this theoretical position.¹⁸⁴

Whether further research can confirm the use of power and influence as a means of leader effectiveness still remains a subject of discussion. Kotter does suggest that it is more likely that a

¹⁸²R.L. Kahn, et.al., Organizational Stress: Studies in Role Conflict and Ambiguity, (NY: Wiley, 1984).

¹⁸³D.J. Warren, "Power, Visibility, and Conformity in Formal Organizations," American Sociological Review, 1968, pp. 951-970.

¹⁸⁴P.M. Podsakoff, W.D. Todor, and R. Slov, "Effects of Leader Contingent and Noncontingent Reward and Punishment Behaviors on Subordinate Performance and Satisfaction," Academy of Management Journal 125,(1982), pp. 810-821.

mix of the powers introduced by the French and Raven Taxonomy is reasonable. Of course, such a mix distorts and potentially weakens the position of the power notion.¹⁸⁵

The notion of influence is studied from the perspective of upward, downward or lateral positioning regarding leader, subordinate and peer considerations. Interestingly, the influence notion of Kipnis and others rendered the same five bases as the French and Raven Taxonomy of: rational persuasion, exchange tactics, legitimate requests, pressure tactics, and personal appeal.¹⁸⁶ This research though thorough and well documented leads one to say that most power and influence research has been too superficial to provide clear and unequivocal guideline for leaders seeking a “best way” to exercise power with subordinates.¹⁸⁷

THE TRAIT APPROACH

This approach observes the characteristics of the leader and seeks to determine those personal attributes which characterize his or her leadership style. Numerous studies proliferated research during the 1930s and 1940s.

¹⁸⁵J.P. Kotter, The General Managers, (NY: Free Press, 1982).

¹⁸⁶D. Kipnis, S.M. Schmidt, and I. Wilkerson, “Intra-organizational Influence Tactics: Explorations in Getting One’s Way,” Journal of Applied Psychology, 65 (1980), 440-452. Also, R. Mowday, “The Exercise of Upward Influence in Organizations,” Administrative Science Quarterly, 23 (1978), pp. 136-156. L.W. Porter, R.W. Allen, and H.L. Angle, “The Politics of Upward Influence in Organizations,” in C.L. Cummings, B.M. Shaw (eds.), Research in Organizational Behavior. (Vol. 3), (Greenwich, CT: JAI Press, 1981), W.K. Schilit and E.A. Locke, “A Study in Upward Influence in Organizations,” Administrative Science Quarterly, 23 (1982): pp. 304-316.

¹⁸⁷Yukl, Leadership, p. 43.

These early research projects focused exclusively on personal traits. The current research, however, is focused on skills of the leader. In the early studies, the personal attributes were primarily physical (e.g., height, appearance) in nature. Later studies of personality qualities included self-esteem, dominance, emotional stability, and ability (i.e., general intelligence, verbal fluency, creativity, and social insight).¹⁸⁸

Stodgill reviewed 163 trait studies done between 1949 and 1970. He found that trait theory is one of the earliest approaches for studying leadership. The basic assumption of this approach is that an individual possesses certain characteristics (traits) which make him or her a “natural” leader. These leaders are supposedly endowed with these characteristics. These characteristics set them apart from the general population. It is their destiny to be a leader. They simply used their natural gifts and are effective leaders. Regardless of whether the situation influenced them or they influenced the situation, they would rise to leadership.¹⁸⁹

Theorists sought an understanding of these characteristics between 1920 and 1950. Numerous empirical studies were conducted.¹⁹⁰ These projects suggested that once pertinent characteristics were identified, then, it was possible to focus one's attention on changing the leader to adopt or learn certain identifiable traits which seemed to be characteristics of effective leaders.

¹⁸⁸Yukl, Leadership, p. 173.

¹⁸⁹R.M. Stodgill, Handbook of Leadership: A Survey of Literature, (NY: Free Press, 1974).

¹⁹⁰J.M. Jackson, “The Effect of Changing the Leadership of Small Work Groups,” Human Relations, 6 (1953): pp. 25-44; Also, N.A. Rosen, “Leadership Change and Work Group Dynamics: An Experiment,” (NY: Cornell University Press, 1969); and C.H. Wyndham and H.M. Cooke, “The Influence Quality of Supervision of the Production of Men in Moderately Hard Work,” Ergonomics (1964): pp. 139-149.

The notion is that whether one is born with these traits or not, once identified they can be learned by those in leadership roles. Trait theorists sought to identify these unique characteristics.¹⁹¹

Stogdill reviewed 124 trait studies done between 1904 and 1948. The traits identified by these theorist were expanded to include intelligence, alertness to the needs of others, understanding of the task, initiative and persistence in dealing with problems, self-confidence, and desire to accept responsibility and occupy a position of dominance and control. What was discovered in the research of traits regarding dominance and intelligence, were some points of negative correlations.¹⁹² Yukl contends that this may indicate a curvilinear relationship, but does not take this notion to a conclusion of interpretation.

Stogdill concluded that from the evidence of his 124 trait studies that leaders differed from nonleaders in many respects. However, the results differed from situation to situation. To him, therefore, the situation had a significant influence upon the conclusions drawn. The result of these studies seemed to affirm the rationale that a leader possessing certain identifiable traits might be successful in one situation and not successful in another. The situation, then, becomes a constant variable which must be considered.

Again in 1974, Stogdill reviewed 163 trait studies conducted between 1949 and 1970. He found that research methodology was more extensive and thorough. The traits were also

¹⁹¹Bass, Stogdill's Handbook of Leadership, 1981; and, R.G. Lord, C.L. DeVader, G.M. Allegin, "A Meta-Analysis of the Relation Between Personality Traits and Leadership: An Applicatin of Validity Generalization Procedures," Journal of Applied Psychology, 71 (1986): pp. 402-410; and R.D. Mann, "A Review of Relationships Between Personality and Performance in Small Groups," Psychological Bulletin, 56 (1959): pp. 241-270; and R.M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Psychology, 25 (1948): pp. 35-71; and Handbook of Leadership: A Survey of Literature, (NY: Free Press).

¹⁹²Yukl, Leadership, p. 174.

extended. Particular attention was given to administrative and technical skills and specific aspects of managerial motivations. Based on this stronger, more consistent methodology, more consistent results were documented. Many of the previous findings were affirmed and found to be relevant. Stogdill concluded his work by giving the following conclusion to his trait profile study of successful leaders:

The leader is characterized by a strong drive for responsibility and task completion, vigor and persistence in pursuit of goals, venturesomeness and originality in problem solving, drive to exercise initiative in social situations, self-confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other persons' behavior, and capacity to structure social interaction systems to the purpose at hand.¹⁹³

Whatever traits are necessary for a leader to accomplish the above summarization seems to be the direction taken by trait theorists. Today, there is an attempt to balance both viewpoints of the situational approach and trait approach, "It is now recognized that certain traits increase the likelihood that a leader will be effective, but they do not guarantee effectiveness, and the relative importance of different traits is dependent on the nature of the leadership situation."¹⁹⁴

BEHAVIORAL APPROACH

The primary characteristic of this approach is its emphasis on what leaders actually do on the job. Research about this approach seems varied and diverse. Data are obtained from direct observation, diaries, anecdotal information gathered from interviews, activity patterns of time

¹⁹³Stogdill, "Personal Factors," p. 64.

¹⁹⁴Bass, Handbook of Leadership, 1981.

utilization, differing managerial positions and perceptions. These research tools seem to fall into the category of observation research regarding the behavioral idea.

Other research which falls into the behavioral approach is of a comparative nature: effective versus noneffective leaders, for example. Other methodologies have included comparative studies between leader opinion versus subordinate opinion questionnaires. There is a small body of literature which utilizes field and laboratory experiments to investigate how leader behavior influences subordinate satisfaction and performance. There are also critical incident studies of effective and ineffective managerial behavior. Decision making by leader and group processes fall into this body of research, as well. A larger body of research within this approach includes charismatic leaders and transformational leaders when compared to transactional leaders.

For example, Mintzberg observed that most managerial activities required about nine minutes and that only one-tenth took more than an hour.¹⁹⁵ Guest, Ponder, and Walker found that most activities lasted less than two minutes.¹⁹⁶ Sayles found fragmented responsibilities a key consideration. Most of these activities were reactive in nature and placed time demands on the leader. Another example, a budget meeting involving decisions requiring an expenditure of millions of dollars was followed by a discussion regarding a complaint about a broken water

¹⁹⁵H. Mintzberg, The Nature of Managerial Work, (NY: Harper and Rowe, 1973).

¹⁹⁶R.H. Guest, "Of Time and the Foreman," Personnel, 32 (1965): pp. 478-486; and Q.D. Ponder, "The Effective Manufacturing Foreman," in E. Young (Ed.), Proceedings of the Industrial Relations Research Associations Meetings, (WI: 1957): pp.41-54; and C.R. Walker, R.H. Guest, A.N. Turner, The Foreman in the Assembly Line, (MA: Harvard University Press, 1956).

fountain. Magnitude and priority consideration seemed to have no bearing on time and action requirements.¹⁹⁷

The stereotypical belief about leaders is the amount of time given study and analysis. It is assumed that primary attention is given to such actions. McCall, Kaplan, and Gerlach observed that problems are not presented “neatly wrapped and ready for choices.” Consequently, very little time is spent on reflective planning, but on the fragmented day-to-day operations.¹⁹⁸

Further, leaders tend to be just as fragmented when dealing with personnel. Rather than spending time with subordinates and bosses (a vertical relationship) much time is spent with others (lateral relationships) who are both inside and outside the organizational responsibilities. Most time seems to be spent on these lateral involvements.¹⁹⁹

Such involvements, however, are not to be interpreted as unimportant. Kanter found that lateral involvements were important if not essential when implementing change or when routine operations are interrupted. Further, these lateral contacts become important when a support system becomes necessary for influence and/or funding requests are made. The notion of networking falls into this category of managerial activity.²⁰⁰

¹⁹⁷L.R. Sayles, What Effective Managers Really Do and How They Do It, (NY: McGraw-Hill, 1979).

¹⁹⁸W.W. McCall, Jr., R.E. Kaplan, and M.L. Gerlach, “Caught in the Act: Decision Makers at Work,” Technical Report Number 20. NC: Center for Creative Leadership, (1982): p. 9.

¹⁹⁹J.P. Kotter, The General Managers, (NY: Free Press, 1982).

²⁰⁰R.M. Kanter, “The Middle Manager As Innovator,” Harvard Business Review, (July-August 1982), pp. 95-105, and The Change Masters, (NY: Simon and Schuster, 1983).

To address this multiplicity of managerial actions, Mintzberg developed a Taxonomy of 10 managerial roles of Interpersonal Behavior:

1. Figurehead — managers are obligated to perform symbolic duties of a legal and social nature even though they have marginal relevance to the job or managing.
2. Leader — provides guidance to subordinates, ensures they are motivated, and creates favorable conditions for doing the work.
3. Liaison— behavior is intended to establish and maintain a web of relationships with persons and groups outside of the manager's organizational unit (networking).
4. Monitor — seeks information from a variety of sources (i.e., reading reports and memos, attending meetings and briefings, and conducting observational tours) for the good of the organization.
5. Disseminator — assimilates information and transfers it to the appropriate parties as organizational value statements or responses to subordinate's questions.
6. Spokesman — an effective communicator of information to those influential people both inside or outside the organization.
7. Entrepreneur — acts as an initiator and designer of controlled change to exploit opportunities for improving the existing situation.
8. Disturbance-Handler — deals with sudden crises that cannot be ignored, as distinguished from those problems that are voluntarily solved by the manager.
9. Resource Allocator — allocates resources such as money, personnel, material, equipment, facilities, and services. By retaining the power to allocate resources, the manager maintains

control over strategy formation and acts to coordinate and integrate subordinate actions in support of strategic objectives.

10. Negotiator — during negotiations activities include resource allocator, spokesperson, and facilitator of organizational commitments.²⁰¹

THE SITUATIONAL APPROACH

Simply, the situational approach emphasizes the influence situational factors have upon the leader. The particulars of a situation include such issues as the nature of the work being performed by the organizational unit, the abilities and motivations of the subordinates, the external environment, and the role requirements placed upon the leader by all participating parties.

Situational approaches theory is divided into two major subcategories. One line of research seeks to discover how the situation influences leader behavior. Role theory is used to describe this category. Role theory is primarily interested in the extent to which managerial work is the same or unique across different types of organizations and levels of management. The leader is the focal point.

The second line of research attempts to identify aspects of the situation that “moderate” the relationship of leader traits or behavior to leader effectiveness. The situation is the focal point.

²⁰¹H. Mintzberg, The Nature of Managerial Work, (NY: Harper and Rowe, 1973), Quoted in Gary A. Yukl, 2nd Edition, Leadership in Organizations, (NJ: Prentice-Hall, 1989), pp. 62-65.

The assumption is that different behavior patterns (or trait patterns) will be effective in different situations, and that the same behavior pattern is not optimal in all situations. This approach is also referred to as the “contingency” approach.

Most of the situational theories regarding effective leadership were developed during the 1970s. With the exception of the Vroom-Yetton model, these theories focused on both the task-oriented and relationship-oriented behavior. The basic assumption of the Vroom-Yetton model is that participation increases decision acceptance if it is not already high; and the more influence subordinates have, the more they will be motivated to implement a decision. Therefore, joint decision making encourages subordinate compliance, and support is greater than either consultation or autocratic decision processes.

Evans introduced the path-goal notion which included two leadership behaviors: (1) supportive leadership which gives consideration to subordinate's needs, displays concern for their welfare, and creates a friendly climate in the work unit; and (2) directive leadership which lets subordinates know what they are expected to do. It gives specific guidance and asks subordinates to follow rules and procedures, schedules, and coordination of work.²⁰²

House said that the motivational function of the leaders consists of increasing payoffs to subordinates for work-goal attainment and making the path to these payoffs easier to travel by clarifying it, reducing roadblocks and pitfalls, and increasing the opportunities for personal satisfaction “en route”.²⁰³ House and Dessler follow that same notion with their finding that

²⁰²M.G. Evans, “The Effects of Supervisory Behavior on the Path-Goal Relationship,” Organizational Behavior and Human Performance, 5, (1970): pp. 277-298.

²⁰³R.J. House, “A 1976 Theory of Charismatic Leadership,” In J.G. Hunt and L.L. Larson, Leadership: The Cutting Edge, (IL: Illinois University Press, 1977): pp. 189-207.

leader behavior will be viewed as acceptable to subordinates to the extent that the subordinates see such behavior as either an immediate source of satisfaction or as instrumental to future satisfaction, thus, requiring the leader to address the needs concerns of the subordinates.²⁰⁴

The significant idea of this theory, therefore, is that the effect of a leader's actions on subordinate satisfaction is not necessarily the same as the effect on subordinate effort. Depending on the situation, leader behavior may affect both the same, or both differently, or one but not the other.

Again, as a situational theory, path-goal theory says that the effect of leader behavior on subordinate satisfaction and effort depends on the situation, including task characteristics and subordinate characteristics. These situational moderator variables determine both the potential for increased subordinate motivation and the manner in which the leader must act to improve motivation. Situation variables also influence subordinate preferences for a particular pattern of leadership behavior, thereby influencing the impact of the leader action on subordinate satisfaction.²⁰⁵

House and Mitchell extended Evans theory by two behaviors: (3) participative leadership which states that the leader will consult with subordinates and take their opinions and suggestions into account; and (4) achievement oriented leadership which consists of setting challenging goals,

²⁰⁴R.J. House and G. Dessler, "The Path-Goal Theory of Leadership: Some Post Hoc and A Priori Tests," In J.G. Hunt and L. Larson, Contingency Approaches to Leadership, (IL: Southern Illinois Press, 1974), p. 13.

²⁰⁵Yukl, Leadership, 1989, pp. 99-100.

seeking performance improvements, emphasizing excellence in performance, and showing confidence that subordinates will attain high standards.²⁰⁶

According to Yukl, research conducted to test path-goal theory has yielded mixed results. The testing which relates to this dissertation shows that leader behavior increases subordinate satisfaction for unstructured tasks. Also, that supportive behavior increases role clarity, and performance for unstructured tasks. Participative leadership and achievement-oriented leadership have yet to be researched adequately.²⁰⁷

Despite path-goal leadership theory weaknesses, it has made a contribution to leadership theory by providing a framework to guide researchers in identifying potentially-relevant situational moderator variables.²⁰⁸

Hersey and Blanchard introduced a leadership theory, originally called the “life cycle theory of leadership,” then renamed it situational leadership theory. The theory attempts to explain effective leadership in terms of the moderating effect of one situational moderator variable on two broadly defined initiating structures.²⁰⁹

²⁰⁶R.J. House and T.R. Mitchell, “Path-Goal Theory of Leadership,” Contemporary Business, 3, Fall (1974), pp. 81-98, and Evan, Organizational Behavior, 5 (1970), pp. 277-298.

²⁰⁷M.G. Evans, “Path-Goal Theory of Leadership: A Meta-Analysis,” An unpublished paper. Toronto: University of Toronto, 1986, and J. Indvik, “Path-Goal Theory of Leadership: A Meta-Analysis,” In Proceedings of the Academy of Management Meetings, (1986), pp. 189-192.

²⁰⁸Yukl, Leadership, 1989, p. 104.

²⁰⁹P. Hersey and K.H. Blanchard, “Life Cycle Theory of Leadership,” Training and Development Journal, 23(2), (1969), pp. 26-34, and Management of Organizational Behavior, 3rd edition., (NJ: Prentice-Hall, 1977).

According to situational leadership theory, the level of subordinate maturity determines the optimal level of leader behavior. For example, as a subordinate's maturity increased beyond the moderate level, the leader's relational and task behaviors decrease.²¹⁰

Of the few studies testing this theory, Blank, Weitzel, and Green and Hambleton and Gumpert, found only partial and weak support. Graeff, for example, states that there is no coherent, explicit rationale for the hypothesized relationship between leader behavior and effectiveness in different situations. Maturity is defined too broadly and is conceptually ambiguous according to Barrows. The manner in which leader behavior is operationalized in their LEAD questionnaire is also deficient according to Blake and Mouton, and Graeff.²¹¹

The Vroom-Yetton normative model builds upon two participative behavior models, Tannenbaum and Schmidt noted that a leader's choice of decision procedures reflects forces in the leader, forces in the subordinates, and forces in the situation, and Maier pointed out the need for leaders to consider both the quality requirements of a decision and the likelihood of subordinate acceptance before choosing a decision procedure.²¹²

²¹⁰Yukl, Leadership, 1989, p. 104-105.

²¹¹W. Blank, J.R. Weitzel, and S.G. Green, "Situational Leadership Theory: A Test of Underlying Assumptions," in a paper presented at the Academy of Management Meeting, (IL: 1986). R.K. Hambleton and R. Gumpert, "The Validity of Hersey and Blanchard's Theory of Leaders Effectiveness," Group and Organizational Studies, 7 (1982), pp. 225-242. C.L. Graeff "The Situation Leadership Theory: A Critical Review," Academy of Management Review, 8, (1983), pp. 285-296. J.C. Barrows, "The Variable of Leadership: A Review and Conceptual Framework," Academy of Management Review, 2, (1977), pp. 231-251. R.R. Blake and J.S. Mouton, "Management by Grid Principles or Situationalism: Which?" Group and Organizational Studies, 7, (1982), pp. 207-210.

²¹²R. Tannenbaum and W.H. Schmidt, "How to Choose A Leadership Pattern," Harvard Business Review, 36, (March-April 1958): pp. 95-101. N.R.F. Maier, Problem-solving Discussion and Conferences: Leadership Methods and Skills. (NY: McGraw-Hill, 1963).

Vroom and Yetton carry these two notions further in specifying which decision procedures will be most effective in each of several specific kinds of situations. The model is based on an analysis of how leader's decision behavior affects decision quality and subordinate acceptance which, in turn, affects subordinate performance.

Numerous studies have been conducted to test the Vroom and Yetton model. In general, the results in this research supports the model. Its support comes from the observations that the model focuses on specific aspects of behavior rather than broadly defined behaviors, it includes meaningful intervening variables, and it identifies important aspects of the situation moderating the relationship between behavior and outcomes.²¹³

Noted weaknesses are: the decision process are treated as a single, discrete episode at one point in time; some important decision procedures are excluded; leaders are assumed to have the skills necessary to apply the model — no guidelines are provided. However, regardless of

²¹³A. Crouch and P. Yetton, "Manager Behavior, Leadership Style, and Subordinate Performance: An Empirical Extension of the Vroom-Yetton Conflict Rule," Organizational Behavior and Human Decision Processes, 39, (1987), pp. 384-396. J.T. Etting and A.G. Jago, "Participation Under Conditions of Conflict: More on the Validity of the Vroom-Yetton Model," Journal of Management Studies, 25(1), (1988), pp. 73-83. M.E. Heilman et al., "Reactions to Prescribed Leader Behavior as a Function of Role Perspective: The Case of the Vroom and Yetton Model," Journal of Applied Psychology, 69, (1984), pp. 50-60. C. Margerison and R. Glube, "Leadership Decision Making: An Empirical Test of the Vroom and Yetton Model," Journal of Management Studies, 16 (1979), pp. 45-55. A.G. Jago and V.H. Vroom, "An Evaluation of Two Alternatives to the Vroom/Yetton Normative Model," Academy of Management Journal, 23 (1980), pp. 347-355. D. Tjpsvold, W.C. Wedley, and R.H.C. Field, "Constructive Controversy: The Vroom-Yetton Model and Managerial Decision Making," Journal of Occupational Behavior, 7 (1986), pp. 125-138. V.H. Vroom and A.G. Jago, "On the Validity of the Vroom-Yetton Model," Journal of Applied Psychology 63 (1978), pp. 151-162.

perceived deficiencies situational leadership theory has given emphasis to the notion of flexible, adaptable leader behavior.²¹⁴

Further, regarding situational theories in general some behavioral scientists agree that these theories are not useful. For example, McCall contends that the hectic, fragmented pace of managerial work and the relative lack of control over it by managers makes it impossible to apply complex theories that specify the optimal behavior for every type of situation. McCall also questions the underlying premise of a “one best way” behavior.²¹⁵

The Yukl Taxonomy is by far the most elaborate of the situational models of leadership. Yukl proposes an integrating taxonomy based on a combination of approaches including factor analysis, judgmental classification, and theoretical deduction. The model has four broad categories: giving-seeking information, making decisions, influencing people, and building relationships. It has eleven middle-range behavior categories, and a much larger number of specific component behaviors.

Yukl explains that decision behaviors are used: (1) to plan an efficient organization, (2) to determine what resources are needed to do it, (3) to solve technical problems and handle subordinate effort, (4) to reinforce desirable behavior, (5) and to lobby for resources and support from peers and superiors. Each middle-range behavior is relevant for any manager, but the relative importance of the different behavior categories depends on the situation. This would include the current state of the intervening variables, the relative importance of the intervening

²¹⁴Yukl, Leadership, 1989, pp. 119, 108.

²¹⁵W.W. McCall, Jr., “Leaders and Leadership: Of Substance and Shadow,” in J. Hackman and E.E. Porter, Jr. (Eds.) Perspective on Behavior in Organizations, (NY: McGraw-Hill, 1977).

variable as determinants of unit effectiveness, and the opportunities for improving each intervening variable.

The value of the Yukl Taxonomy is that many intervening variables may be considered simultaneously. Granted, research practice would prefer less complex models; however, the issue of leadership is not an either or situation. This position is taken by all of the approaches given above. Hence, it is necessary for one to consider the multiplicity factor. Whether the Yukl model has merit is yet to be validated. Time will speak to such considerations. However, what is worth considering here is that complexity is addressed. From this position, other such models will be refined to bring about clearer and more refined research.

According to Yukl, the third approach, the behavioral, brought attention to the activities of leaders. Barnard introduced the need to include more behavioral, intuitive, and emotional elements into the functional areas of organization leadership. Further, he identified the functions of leadership as: the determination of objectives, the manipulation of the means, the instrumentation of action and the stimulation of a coordinated effort. Research methods at that time were primarily ethnographic in nature calling upon direct observation, diaries and interviewing techniques.²¹⁶

The final major emphasis is the situation approach emphasizing the importance of situational factors such as the leader's authority and discretion, the nature of the work performed by the leadership team, subordinate ability and motivation, the nature of the external environment, and the role requirements imposed on a manager by subordinates, peers, superiors, and outsiders.

²¹⁶Chester Barnard, The Functions of the Executive, (MA: Harvard University Press, 1938).

Similarly, Selznick suggested these as functions of organization leadership: definition of the institutional mission and goals, the creation of a structure accomplishing the purpose, defense of institutional integrity, and reevaluation of internal conflict.²¹⁷

In 1978, a new leadership concept presented in the seminal book by McGregor Burns, Leadership, became popular. Its focus was on the notion of followership. This important literature influenced a change in the way leadership is viewed. The contribution by Burns was a definitional shift between transactional leadership and transformational leadership.²¹⁸

Transformational leadership is usually considered a part of the literature labeled charismatic leadership. House limits his indications of charismatic leadership to characteristics of:

1. Followers' trust in the correctness of the leader's beliefs.
2. Similarity of followers' beliefs to those of the leader.
3. Unquestioning acceptance of the leader by followers.
4. Followers' affection for the leader.
5. Willing obedience to the leader by followers.
6. Emotional involvement of followers in the mission of the organization.
7. Heightened performance goals of followers.
8. Belief by followers that they are able to contribute to the success of the group's mission.²¹⁹

²¹⁷P. Selznick, Leadership in Administration: A Sociological Interpretation, (IL: Rowe, Peterson, 1957). Quoted in Bernard M. Bass, Bass and Stogdill's Handbook of Leadership, 3rd Edition, (NY: Free Press, 1990), p. 32.

²¹⁸J.M. Burns, Leadership, (NY: Harper and Rowe, 1978).

²¹⁹R.J. House, "A 1976 Theory of Charismatic Leadership," in J.G. Hunt and L.L. Larson, Leadership: The Cutting Edge, (IL: Southern Illinois Un Press, 1977), pp. 189-207.

Though more broadly defined, transformational leadership has many of the characteristics of charismatic leadership. To House's view of charismatic leadership, Burns speaks more of the leader's efforts to raise the consciousness of followers by appealing to higher ideals and moral values such as justice, liberty, equality, peace, and humanitarianism. The second characteristic of Burn's concept is that this effort can be initiated by others within the organization. It is not limited, therefore, to the primary leader. To the characteristics of charismatic leadership, Burns adds the dimension of the mutuality between leaders and followers in a relationship toward height ideals of morality and motivation.

The concept of transformational leadership also takes on the attributes of process. Burns describes leadership as “a stream of evolving interrelationships in which leaders are continuously evoking motivation responses from followers and modifying their behavior as they meet responsiveness or resistance, in a ceaseless process of flow and counterflow.” This notion of interrelatedness is particularly important to the issue of this dissertation which will be addressed in the summation of this review of the literature. When a leader is continually evoking motivational responses from followers and modifying their behavior he or she is affecting this interrelatedness notion.²²⁰

Challenging Burns theoretical premise, Bass softens the expectations of the leaders who holds to the high standards of idealism and humanitarianism and accepts the notion that transactional leaders have a viable role in leadership theory. He also is willing to accept those leaders who have become known as appealing to lower-order needs such as Adolph Hitler and Rev. Jim Jones of the Jonestown massacre. Further, Bass is accepting of the notion that

²²⁰J.M. Burns, Leadership, (NY: Harper and Rowe, 1978), p. 440.

transformation leadership and transactional leadership can be used simultaneously. The combination, he contends, can lead to effective leadership.²²¹

Another dimension to be considered is the combination of the two: that a transformation leader would use characteristics suited for a transactional leader in combination with transformational characteristics. It is conceivable that the flexibility required to function in society can also be practiced by a leader. Transactional leadership relates well to the management functions necessary for any organization to perform its task. The transformational characteristic, in turn, would allow a leader to be visionary and sensitive to the aspirations of those linked to the organization.²²²

Another combination idea is suggested by Tichy and Ulrich who argue that the two bases of effective organization performance are strategic thinking and culture building by the leaders. Strategic thinking develops a context which visualizes an organization's future. Through this process a new reality emerges and the leader influences a culture toward the accomplishment of a specific organizational norm.²²³

Rost responds to the positions of Burns and Bass, and has proffered a significantly different notion on how leadership is exercised. Rost gives us this definition of leadership: "Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes." Rost adds the words "intend real changes" to the formula of

²²¹Bernard M. Bass, Leadership and Performance Beyond Expectations, (NY: Free Press, 1985).

²²²Yukl, Leadership, 1989, p. 268.

²²³Noel Tichy and D.O. Ulrich, "The Leadership Challenge - A Call for the Transformational Leader," Sloan Management Review, 26(1), (1984), pp. 59-68.

transformational leadership in reference to “mutual purposes.” Of particular interest to this research is the notion of intent. Rost is forthright in stipulating that intent is a primary issue in the leadership role and not simply goals and objectives to be met. These functions, he contends, may be considered the byproduct of leader-follower intent, but do not qualify or delimit the leadership dimension.²²⁴

This survey of leadership literature is tragically brief. This literature is so vast in scope and deep in research the researcher suggests that serious students and practitioners of organizational leadership devote herself or himself to its thorough study. The information of this presentation is a beginning. The sources given will guide those interested in further study to greater depth of the resources readily available.

In no way does this researcher wish to exclude this wealth of research from the study of nonprofit leadership study. He is suggesting only that the student and practitioner of nonprofit organizational leadership begin to promote research and study to the unique qualities of the nonprofit sector.

²²⁴Joseph C. Rost, Leadership in the Twenty-first Century, (CT: Praeger Publishers, 1993).

APPENDIX E

Sample Letter to Interviewees for Ted Edlich

This is a letter given to Ted Edlich to distribute to his staff, if he so chose, explaining my interest in subsequent TAP interviews.

Date

Dear...

Within the week, you will be receiving a phone call from Paul Welleford. Paul is a PhD candidate at Virginia Tech. He is beginning his research for his dissertation which deals with nonprofit organization development.

Paul has asked if TAP would be interested in being a case study for his research. I am pleased that he has selected our organization for his study. As you know, I believe that TAP has a great story to tell and I look forward to assisting Paul in this venture.

I ask that you show him every courtesy appropriate to his efforts and make sufficient time available to him for a thorough discussion of your leadership and involvement at TAP. You will find Paul to be a gracious person and willing to hold anything you may want to express as confidential information.

Thank you for your support of this effort. We are fortunate to have Paul select us for his study. I look forward to his completed dissertation. I am sure it will be a valuable document to us.

Sincerely,

Ted Edlich

APPENDIX E(b)

Letter to Potential Interviewees

Paul B. Welleford
18 Lake Avenue
Salem, VA 24153

March 16, 1995

Dear,

Your name was given to me by Ted Edlich as one who could assist me with a study I am doing. I am a PhD candidate at Virginia Tech and am writing my dissertation on the leadership dynamic of nonprofit organizations. The study I wish to pursue relates to the role of leadership and its effect upon the success of a nonprofit organization.

For the past couple of years, Ted and I have been discussing using TAP as the case study for my dissertation. Just recently, my committee approved my prospectus for the research I want to pursue. I am now able to proceed with this study.

Ted has been gracious regarding this process and has suggested that I contact you as a potential interviewee for my case study. What this means is that I am asking for the privilege to talk with you about your understanding of TAP. The questions are designed to delve into the organizational characteristics of TAP and how TAP functions. There are no confrontational questions or questions that would require you to take a speculative position. No question requires documented information or research on your part.

My interview with Ted took about 40 minutes. I think that my interview with you would require about the same amount of time. In the next few days I will be calling to see if you would be willing for me to have the opportunity for an interview with you. I hope you will be available and willing to assist me with this study. I am convinced that TAP has a leadership profile that could assist other nonprofit organizations to successfully fulfill their mission. This is the information I hope to be able to share upon completion of my research.

Thank you for your attention to this request. I look forward to talking with you soon.

Sincerely,
Paul B. Welleford

APPENDIX F

Chart of Responses - Seven Alternatives

Interpreted by the Researcher

These are the possible responses which seem appropriate for this study:

1. Statements which reveal the influence of socialization within/upon the organization. These are identified by the initial “S”.
2. Statements which reveal the influence of culture within/upon the organization. These are identified by the initial “C”.
3. Statements which reveal the influence of leadership within/upon the organization. These are identified by the initial “L”.
4. Statements which combine the mutual influence of Socialization, Culture, and Leadership within/upon the organization. These are identified as follows:
 - a. Socialization plus Culture minus Leadership: $S+C-L$.
 - b. Socialization plus Leadership minus Culture: $S+L-C$.
 - c. Culture plus Leadership minus Socialization: $C+L-S$.
5. Statements which combine the mutual influence of Socialization, Culture, and Leadership within/upon the organization. These are identified by the initials “SCL”.
6. A cumulative graph will be determined after a search of the data. These statements accept the mutuality reference of influence whether intentional or unintentional. All findings will be included in a totals box as such:

Socialization (S)	Culture (C)	Leadership(L)	Socialization plus Culture minus Leadership (S+C-L)	Socialization plus Leadership minus Culture (S+L-C)	Culture plus Leadership minus Socialization (C+L-S)	Socialization plus Culture plus Leadership (S+C+L)
3	35	92	19	13	75	77
X1	X2	X3	X4	X5	X6	X7

If there are counts in each of the boxes (X1 through X7), there is evidence that mutuality exists. Mutuality is evidenced by the presence of X4 through X7. The percentage of occurrence is of no consequence because no baseline is established. The chart simply proves a relationship exists between socialization, culture and leadership. It can be said, however, that leadership influence is effectual, that a synergy does exist, and that mutuality is important to organizational success.

APPENDIX G

Letter of Intent to Coders

Dear:

Thank you for your willingness to help me with my data analysis. In the packet, you will find a list of words, four sections of “Comments From Interview” and a Glossary of Terms.

I need for you to review the list of Words and the four sections of “Comments...” and, then, based on your understanding of the definitions given in the “Glossary...” categorize each word or statement into: culture (a culture reference), socialization (a socialization process), or leadership (that which refers to something done by the leadership). If put into a position of more than one choice or no clear choice, force into only one category.

Obviously, there are no right and wrong answers, per se. However, I am looking for similarities in the choices I have made regarding each of the words and statements and those who help me review this process.

If you want, you can use “C” to indicate culture; “L” to indicate leadership; or “S” to indicate socialization.

When you have completed, please give me a call during the day and evening at 540-387-0417, or after 11:00 p.m. at home 540-389-4780. I will make arrangements to pick up your results. Also, if you want to mail this material to me: Paul B. Welleford, 18 Lake Avenue, Salem, VA 24153, or FAX: 540-389-4780.

Again thank you for assisting me with this part of my dissertation.

APPENDIX G(b)

Definition of Terms for Coders

Culture

The term “culture” was first recorded by Edward B. Taylor (1871) who defined culture as “that complex whole which includes knowledge, beliefs, art, morals, law, customs and any other capabilities and habits acquired by men as a member of society. Selznick (1957) views organizational culture as the process of infusing values into an organization and that this process is crucial for its formation of a distinct character. Philips (1984) states that culture is a set of assumptions commonly held by a group of people. The set is distinctive to the group. The assumptions serve as guides to acceptable perceptions, thought, feeling, and behavior, are tacit among members, are learned and are passed on to each other. Schein (1992) defines culture as a pattern of shared assumptions that the group learned as it solved its problems or external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. Once shared assumptions exist, however, a culture survives through teaching them to newcomers. Sackmann (1991) presents a conception of culture in terms of cultural knowledge. Her cognitive perspective to the kinds of cultural knowledge are: Recipe Knowledge (do, don't do, should do), Dictionary Knowledge (what), Directory Knowledge (how), and Axiomatic Knowledge (why).

The use of the term “culture” in this study refers to shared assumptions that define the organizational characteristics which, in turn, make the organization unique — its distinctive

character. It defines the organization for what it is. By whatever process it became, it is seen for what it is. Those characteristics define its culture. Terms (words) are given to express that uniqueness. When the words are accepted (assumed to be real), culture has become real by its own definition.

Socialization

Most definitions include the notion of process. Berger and Berger (1972) define socialization as the process through which an individual learns to be a member of society and the imposition of social patterns of behavior. Wilson (1971) defines socialization as the process of group renewal as newcomers are transformed into full-fledged members. Trice and Beyer (1993) refer to organizational socialization as consisting of social processes through which organizations transmit to members the expectations associated with their roles. In particular, members of established cultures communicate to newcomers systematic sets of expectations for how they should behave.

The use of the term “socialization” in this study refers to the process by which one is made a member of the organization. Further, it is suggested that the process is deliberate and defined and can be implemented by those of influence. It is further suggested that the leadership is a primary influence to the implementation of the socialization process.

Leadership

Webster's New World Dictionary gives the definition as a person that leads; directing, commanding, or guiding head, as of a group or activity/the position or guidance of a leader; the

ability to lead. Among the numerous definitions of leadership, Bennis (1959) suggests it as the process by which an agent induces a subordinate to behave in a desired manner. Tead (1935) calls leadership the activity of influencing people to cooperate toward some goal which they come to find desirable, and Stogdill (1950) sees it as the process of influencing the activities of a group in its efforts toward goal setting and goal achievement. Leadership is an interaction between two or more members of a group that often involves a structuring or restructuring of the situation and the perceptions and expectations of the members (Bass 1990). Rost (1991) sees leadership as an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes. Followers and leaders develop a relationship wherein they influence one another as well as the organization and society.

When taking the notion of leadership to its successful conclusion a definition that emerges is by Bolman and Deal (1995) who say that effective leadership is a relationship rooted in community. Successful leaders embody their group's most precious values and beliefs. The ability to lead emerges from the strength and sustenance of those around them.

A succinct definition that speaks to the mutual purposes come from Callahan (1990) that leaders lead toward discovery and fulfillment. Leaders do not manage or administrate, manipulate or dictate, process or enable, mandate or command, threaten or scare. They do not push, prod, or poke — they lead. Leaders lead. And the grouping — whether a local church, a subcultural grouping, a movement, or a nation — senses that this person is helping them toward discovery and fulfillment.

The use of the term leadership in this study refers to the person or persons who influences a larger defined group (i.e., organization) to mutually address an issue in such a way as to make changes that reflect the best intentions of the whole.

APPENDIX G(c)
Word Study List for Coders

Please review this list of organization characteristics. Circle the ten characteristics you believe to be the primary characteristics of the TAP organization. Of those ten, prioritize the top five characteristics. For example, TAP is:

“A working family”	leadership
“Team focused”	Leader competent
Accessible	Needed
Assertive	Open to public
Caring	Person motivating
Civic minded	Political
Constant	Professional
Dedicated to its mission statement	Quality-driven
Education oriented	Respected
Effective	Responsive
Efficient	Results oriented
Empathetic	Strategic thinking
Entrepreneurial	Survivor
Expedient	Thorough
Extensively trained	Valued
Focused on its primary agenda	Visible
Futuristic	Zealous
Influential	Other:
Identified by	<hr/>

APPENDIX G(d)

Interview Statement for Coders

Statement: In reading the many documents about TAP, I have found words that keep coming up. Here is a list of those words. Would you select the words that best describe TAP from your perspective.

Question One: Why did you select your list of words?

Because I think that really addresses TAP.

I always believed in... and how I always worked, and the others at TAP worked with that.

I learned it from my position, experiences, and the survival of the fire [that totaled the home office of TAP] and seeing how we were able to rebound.

I have always received the feeling that not only did folks that I worked with care about my performance at work, but they also cared about me as a family. That kind of thing that is important.

By working for as many years as I have for TAP.

I think the caring...you've got to be able to care about other people.

One is I have first hand perspective on everything TAP does. And, since I have been here the last two years and three months it has been total crisis management...complete.

Well, I think they are a part of my own philosophy/ideology.

Just over the years my exposure to what they have done and being exposed to Cabell [Brand] and Ted [Edlich]. A lot of them [words] reflect Cabell and Ted's characteristics.

It is a family thing, you take care of your co-workers, staff.

Cabell [Brand] set a tone for the agency in terms of it being first class, hiring the best people, being ambitious about changing what we could affect, always had the sense that there was nothing we could not do.

I think that [training] has a big part of it, because after you have gone through that type of training you are more inclined to be more concerned about others and how you can be effective in working with other people.

What they did was to go out there and they found out where the resources were and they started responding to that need.

She [my supervisor] is only there to suggest and gave me the ball and run with it as opposed to you are not given too much flexibility and you can't be creative. Innovative that is a plus.

Question Two: There seems to be a very unique team spirit at TAP. If this is true, how did this come about?

I think there are some real deep roots there that took place a long time before I came on the scene. Back in the day of Bristow [Hardin] and all that went with that era.

Our goals have been very complementary of each other's. We've worked together through the years. We've supported each other.

Cabell [Brand] has been a good link between TAP and the people they have been trying to help.

The team spirit is here and the people are working for a common goal.

One of my concerns and frustrations with TAP was that I didn't always feel that the right hand always knew what the left hand was doing.

The strength of TAP is always what makes TAP difficult to communicate. When you say TAP, you can go on for days and days and days.

Question Three: TAP is very extensive. How does it hold itself together?

I think I should have circled "professional," because they are.

There is an attitude that is sympathetic/business minded.

He [Ted Edlich, the Executive Director] talks things through.

I think it is caring for people.

I would say leadership.

I see it as leadership.

Through the seven divisions.

I think that initially there was Bristow Hardin, and then there was Ted Edlich, and then there is Cabell Brand. [These men are the founders of TAP.]

Because of the support system...financial, planning, administrative.

I think basically it has worked because Ted [Edlich] has been so good at really being the cohesive force on the day to day basis.

They have different departments.

He [Ted Edlich] puts a lot of trust into the people who run the programs.

We are not into self-importance or independence.

We have done it all.

He [Ted Edlich] has been providing leadership.

I'm not sure. I think I will find out as time goes on.

I think I would like to be a social worker. Rich or poor, it doesn't matter.

I think it is in communication between the directors and Ted [Edlich].

I think it is because the people are interested in it, that are working in TAP, and trying to bring everything together.

That is where Ted comes in the leadership and management of his staff.

I think it is held together by the leadership.

Organizationally it has a structure and that structure has critical documents: yearly plan, financial system, contracts, funding sources.

I think there is a certain kind of person that would work here.

It is some kind of miracle.

There was never any doubt in our minds [that we would survive the fire that totaled the home office of TAP]. We came together in tight times.

Whenever Ted and Cabell leave, it is going to take a strong individual like one of those guys [Ted Edlich, Cabell Brand] or two people maybe. I don't know who is going to run it.

Question Four: TAP has had to change through the years. How did TAP address the change/implementation process?

That [flexibility] is... One of the miracles of TAP is its ability to survive.

We work with supervisors. If you have questions, you can go to them and ask.

We have a very well developed personnel control system.

A lot of it comes through my department, because that is part of our job here, reading the Wall Street Journal, for example. Reading the papers. Reading publications.

They are very adaptable. They can change.

I think their leader is extremely capable.

Unless we get the grant we can't have the program.

I think it's dependent on the outside forces impacting on the organization. What that was [the change] or whether the organization took on a new project and that changed how we did things.

I have seen it grow into a local thing seeking both private and public funds more on the local level for cuts they were experiencing.

The office staff and they have council meetings. Then, they run it through Ted [Edlich].

They [directors] are a source of intelligence plus you get the planning department in here which is supposed to follow the Federal Register and read all the grants.

One thing that is a key factor is TAP's success. I know that Ted [Edlich] has really been wonderful and a lot of the changes and the president [Cabell Brand].

That is how that particular issue came together: a business plan, then directives inside the staff and within the board to initiate the plan and move on.

OK. Something doesn't fit, so you stay there until it makes sense or until everybody is OK with it.

They [Cabell Brand, Bristow Hardin, Ted Edlich] were always ahead of my thinking at times like that. Bristow loved change. Ted loves the challenge of change.

Ideas are articulated about what change of environment is and the adaptations you are going to have to make.

I think I would venture to say because of Ted's [Edlich] leadership and his spunk and the fight in him, TAP wouldn't have survived.

Our response was to react to the necessary things that were going on. They were funding cuts.

Some of the board members such as Cabell Brand who were involved with it more day to day would bring it to the board.

They are always planning.

It is power over [Ted Edlich down the chain of command], changes that evolved behind closed doors, implemented behind closed doors and were then announced, internal shifts.

APPENDIX H

Interview Data Responses

Interpreted by the Researcher

The following data come from the four questions: #2 regarding being a part of the TAP team; the “team spirit” as many referred; #3 regarding the word selection process; #5 regarding the change process of TAP; and #6 regarding the demand placed upon the organization to “hold itself together.”

The results were:

139 leadership responses

110 socialization responses

47 culture responses

The following data come from the words selection. These words were categorized as being culture, socialization or leadership oriented.

The results were:

118 socialization responses

112 leadership responses

100 culture responses

The following data come from the prioritization of the words selected as number one by each respondent.

The results were:

14 culture responses

11 socialization responses

9 leadership responses

If these responses are totaled the results are:

260 leadership responses

239 socialization responses

161 culture responses

Of the 660 responses categorized as culture, socialization and leadership, these percentages are reflected:

39% refer to leadership

36% refer to socialization

24% refer to culture

These data suggest that among the influence components of socialization, culture and leadership, the respondents listed leadership as the highest level of influence, socialization as the second level of influence and culture as the third level of influence.

It appears that all three components are important to the operation of this case study; that leadership seems as slightly more influential than either socialization and culture.

Of singular importance to this research credibility, however, is the recognition that these three elements are recognized as significant properties of influence. Although leadership is only a slight priority of the three, it does give credence to the influence factor of the leader. This credence allows the researcher to suggest that further study be made as to the importance of leadership influence upon the other two areas as significant and essential to the successful operation of a community-based nonprofit organization.

APPENDIX I

Letter of Appreciation to Research Participants

April 3, 1998

Dear

Thank you for assisting me with the data research for my dissertation. The data have been analyzed and reveal some important information about TAP which may be of help to other community-based nonprofit organizations.

The dissertation committee approved my writing and has granted me the rights and privileges of a PhD. This is a milestone for me, yet it may be more important to the research regarding nonprofit organizations seeking the means to enhance the effectiveness of their organizations.

As I have believed from the beginning, TAP portrays a significant legacy to community action agency efforts. By example of effectiveness, you who make up the leadership body have proven that initiatives can be taken to address the needs of those who need “a helping hand.”

Again, thank you for making my work a pleasant task and a rewarding experience. A copy of my dissertation is in Ted’s office should you wish to review it. Please feel free to call upon me if my study offers you points of concern, or if you would like to discuss ways of using the data for other such projects.

Sincerely,

Paul B. Welleford

VITA

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ACADEMIC RECORD

PhD, 1989 Virginia Polytechnic Institute and State University
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Emphasis: Nonprofit Organization Leadership

M.P.A., 1979 University of Tennessee
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Emphases: Personnel Administration/ Management/ Leadership

M.C.M., 1965 Southwestern Baptist Theological Seminary
Fort Worth, Texas
Emphases: Church Music Administration, Choral Conducting

B.M, 1961 George Peabody College of Vanderbilt University
Nashville, Tennessee
Emphases: Music Education K-12, Vocal Performance, Church Music

Since 1965, my work experience has focused on local church music ministry, church and leadership development. This endeavor will continue. Future plans include continued research and publications regarding the nonprofit sector with particular interest in leadership and organizational development. Also, nonprofit organization consulting and nonprofit organization conference participation are anticipated.