Developing a Theory and Philosophy of Management

Learning Objectives

Understanding the Manager’s Role

In a column in *Newsweek*, Robert Samuelson (1999) reflects on the topic “Why I Am Not a Manager.” By way of explanation, he states that managers face two contradictory demands: (1) they are expected to get results and (2) they must motivate their workers. As a result, he says, they get pressure from above and resentment from below. He confesses a grudging admiration for those who are able to do the job well but says he prefers a position in which he has no responsibility for managing anyone or anything.

Given the choice, why would anyone want a management position in an organization? Setting aside the many possible psychological, power-oriented, need-meeting, status-seeking, Maslow-framed explanations, there are many potentially fulfilling and rewarding components to the role of manager or administrator and many potential, tangible accomplishments for the good of the organization, the community, and the population served. There are also many challenges, and it is clear from more than a hundred years of experience that the role of manager is not for everyone, and that simply having the ambition to manage is not enough to do the job successfully.

What, then, does it take to excel as a manager or administrator? Before we get into the substantive content of the manager’s job, let’s briefly examine the expectations of the position. For many activities that we encounter during our lifetimes, there are clear practice routines that, if undertaken systematically and in a disciplined way, will lead to excellence. Golf and tennis are good examples. We can break down the motions necessary for the “perfect” swing or stroke, and if we devote
enough time to practice and feedback, we can work toward a tangible goal. The same
might be said of such functions as mastering the use of various types of software,
becoming an outstanding therapist, or excelling in the practice of surgery.

The key difference for managers and administrators is that, for them to excel, they
must achieve their accomplishments indirectly.

Success for the manager comes through managing people in a way that motivates
and enables them to work at their highest levels of productivity and in harmony with
one another so that the total organization demonstrates success in terms of efficiency,
effectiveness, quality, and productivity. Many managers have expressed the sentiment
that it would be so much easier if only they could do a task directly rather than assigning
it to a staff member! Getting the staff member to do the task in a positive way and pro-
ducing a quality piece of work, however, is what the manager’s job is all about. Nobody
cares whether or not the manager could do a better job by doing it him- or herself.

**Defining Management and Administration**

There is a tendency to use the terms *management* and *administration* interchangeably,
yet there are some subtle differences described in the literature and demonstrated in
practice. Sheldon (1966) distinguished the functions in this way:

*Administration* is the function of industry concerned in the determination of
corporate policy, the co-ordination of finance, production, and distribution, the
settlement of the compass of the organization, and the ultimate control of the
executive.

*Management* is the function in industry concerned in the execution of policy,
within the limits set up by administration, and the employment of the organiza-
tion for the particular objects set before it. (p. 32)

Weinbach (1994) sums up the role of the human services manager as follows:

Management can be thought of as those specific functions performed by persons
within the work setting that are intended to promote productivity and organiza-
tional goal attainment. (p. 11)

The critical difference between an administrator and a manager is that the admin-
istrator is involved in executive-level, policy-making, and decision-making functions,
while the manager is concerned with implementation of policy and decisions designed
to achieve a mutually agreed-upon set of goals and objectives, all guided by a mission
and a shared vision about the organization’s direction.

It is intended that this book will focus on the functions of the
implementer (the manager), the person whose job it is to make the
organization run in a productive and harmonious way. Job titles vary
and can include supervisor, program manager, director, planner, or
other such title, depending on the level of management.

The focus on the role of management is adopted for a number of
reasons. First, much is expected from human service organizations
today, and organizational effectiveness is highly dependent on good
management. Second, a manager’s role and responsibilities can be
categorized and broken down into components so that they can be
better understood and practiced. Finally, many organization-related functions overlap the domains of both management and administration, so the body of knowledge and range of skills have wide applicability. In the field of human services there are often positions that require the dual role of manager and administrator.

**Creating a Positive Work Environment**

Getting staff to perform at high levels has a lot to do with finding out exactly what motivates high performance.

Have you ever held a job that you absolutely loved? A job in which you couldn’t wait to get to work? A job in which you didn’t watch the clock, but if you did happen to notice it, you were constantly amazed at how the time flew by? What about the other end of the scale? Have you ever had a job you hated? A job in which you worked only because you had to, because you needed the money? A job in which you spent the absolute minimum amount of time and energy that was necessary to keep the job?

What do you think makes the difference between those two types of jobs? Is it the salary or the way people are treated? Is it the type of work employees do, or the ways in which employees are rewarded (or not rewarded) for good work?

The pursuit of answers to these questions will form the major theme of this book. These are some of the most important questions in all of management, because if you can create an organization in which people understand the job to be done, are committed to the organization’s mission, are competent to do the jobs to which they are assigned, love their work, and work well together, you will have put your organization in a position in which you can achieve maximum efficiency, effectiveness, quality, and productivity. On the other hand, if the drive to achieve excellence does not come from the collective efforts and motivation of the employees, no amount of close supervision, monitoring, evaluating, or threats will bring about an excellent organization.

**Establishing Criteria for Organizational Excellence**

In a sense, it might be said that the history of management thought is a story of the search for the correct formula that, when applied to the management of an organization, will ensure maximum performance. Management theorists, then, can be distinguished from one another by understanding their concepts of the “correct formula.”

For the proponents of scientific management theory in the early twentieth century, for example, the formula involved an assembly-line approach to manufacturing in which motion and energy were focused on certain limited tasks. If those who performed and supervised the tasks could perfect the motions and find the one best way, the production lines and, therefore, the organization would have achieved excellence.

For the proponents of human relations management in the 1940s and 1950s, employees needed positive attention and feedback from supervisors and others in the organization. If supervisors understood human behavior and motivation and would take the time to provide feedback and personalize the work environment, employees would perform at their highest levels and the organization would achieve excellence.

Douglas McGregor (1969), the author of the Theory X and Theory Y framework, presented a different argument. People were productive or unproductive, he believed, because of the assumptions management held about them—assumptions that then were
translated into how employees were treated. If managers understood that people were capable of investing themselves and their creative abilities in the job, and if managers saw their responsibilities as getting barriers out of the way and unleashing the potential of a creative and energetic workforce, employees would perform at their highest levels and the organization would achieve excellence.

Other management scholars have proposed that the formula for achieving maximum productivity can be understood from the perspective of employee participation in decision making (Likert, 1967), careful planning and establishment of objectives (Drucker, 1954), having a form and structure that is in harmony with organizational purpose (Burns & Stalker, 1961), or establishing quality control standards for organizational processes, products, and services (Deming, 1982).

**Excellence as Defined by Accreditation Standards**

Accrediting bodies have long dealt with what constitutes a range of performance from minimally acceptable to excellent. The Council on Accreditation (COA) is an organization whose purpose is to establish accreditation standards and evaluate social service agencies in relation to those standards. COA states that its accreditation gives assurance to various constituents that the agency meets rigorous standards and demonstrates that it (1) has effective management, (2) is fiscally sound, (3) designs programs to meet community needs, (4) continually monitors and evaluates service quality, (5) has qualified personnel, and (6) has safe, accessible facilities (Council on Accreditation of Services for Families and Children, Inc., n.d.). These six criteria provide a very general framework for understanding what a professional accrediting body might look for when evaluating an organization and making a judgment about its performance.

The Human Services Board Certified Practitioner (HS-BCP) is a certification created in a partnership between the Center for Credentialing & Education (CCE) and the National Organization for Human Services (NOHS). The HS-BCP Code of Ethics applies to everyone certified as a board certified practitioner. The code provides ethical practice guidelines and standards of conduct. It includes three sections: (1) Section A—Compliance with legal requirements and conduct standards, (2) Section B—Compliance with CCE Organizational Policies and Rules, and (3) Section C—Performance of services and other occupational activities. Each section further defines acceptable behaviors and rules (www.nationalhumanservices.org).

The National Association for Social Workers (NASW) code of ethics is built around six core values: service, social justice, dignity and worth of the person, the importance of human relationships, integrity, and competence. There are six ethical standards relevant to the professional activities of all social workers. These standards concern (1) social workers’ ethical responsibilities to clients, (2) social workers’ ethical responsibilities to colleagues, (3) social workers’ ethical responsibilities in practice settings, (4) social workers’ ethical responsibilities as professionals, (5) social workers’ ethical responsibilities to the social work profession, and (6) social workers’ ethical responsibilities to the broader society. Each section has many sub-sections spelling out in detail what is expected of a practitioner who is bound by this code (www.socialworkers.org/pub/code/code.asp).

The Joint Commission on Accreditation of Health Care Organizations (JCAHO) has over 180,000 U.S. and international standards for accrediting hospitals, clinics,
and other organizations that deliver health-related services (webstore.ansi.org). The National Committee for Quality Assurance (NCQA) is a private, not-for-profit organization that assesses and reports on the quality of managed health care plans. Since 1991, NCQA has reviewed plans against more than fifty different standards, which fall into one of six categories that lead to an overall accreditation score:

1. Quality Improvement (40 percent)
2. Physician Credentials (20 percent)
3. Preventive Health Services (15 percent)
4. Members’ Rights and Responsibilities (10 percent)
5. Utilization Management (10 percent)
6. Medical Records (5 percent)

Organizations are scored within each of the six dimensions. Standards are used to determine scores. A high score would represent excellence in managed health care. The purpose for all of these codes of ethics and accreditation standards is to insure that individual and organizational behavior is not simply left to the discretion of the individual or organization, but that everyone presenting professional credentials is held to the same standard and can assure clients, communities, and funding sources that they will operate in accordance with the highest standards of professional integrity (www.psninc.net/ncqa-accreditation.html).

Another body concerned with excellence in organizational functioning is the U.S. Department of Commerce. Every year, the president of the United States presents the Malcolm Baldrige National Quality Award to recognize U.S. companies for performance excellence. The point system used in judging applicants for the annual award uses seven criteria, with varying points allocated to each as follows:

<table>
<thead>
<tr>
<th>Categories</th>
<th>Point Values</th>
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<tbody>
<tr>
<td>1. Leadership</td>
<td>120</td>
</tr>
<tr>
<td>2. Strategic Planning</td>
<td>85</td>
</tr>
<tr>
<td>3. Customer Focus</td>
<td>85</td>
</tr>
<tr>
<td>4. Measurement, Analysis, and Knowledge Management</td>
<td>90</td>
</tr>
<tr>
<td>5. Workforce Focus</td>
<td>85</td>
</tr>
<tr>
<td>6. Process Management</td>
<td>85</td>
</tr>
<tr>
<td>7. Results</td>
<td>450</td>
</tr>
<tr>
<td>Total Points</td>
<td>1,000</td>
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The Baldrige Award is given to both business and nonprofit organizations. The emphasis is on continuously improving the quality of the product or service. Organizational results or outcomes are clearly important factors in selecting excellent organizations (http://www.baldridge.nist.gov/Business-Criteria.htm).

**The Opinions of Managers**

Harvey (1998) interviewed fifty-one persons in management positions in human service organizations, thirty-one of whom were at the highest level and the rest at lower levels in very large
Lessons Learned from Studies of Organizational Excellence

In summary, there are many different perspectives on the definition of excellence in organizational functioning. Themes that emerge from studies of excellence include (1) establishing a purpose and mission for the organization and ensuring that all systems are consistent with the mission; (2) creating an organizational structure that is consistent with organizational purpose and maximizes flexibility; (3) designing jobs in a way that will permit staff to use their expertise and creativity; (4) demonstrating commitment to high performance by rewarding productive staff; (5) collecting data and information about services that will permit evaluation and continuous program improvement; (6) budgeting and financing the organization in a way that is consistent with the mission; (7) recruiting and retaining the best-qualified and most productive staff; and (8) monitoring, evaluating, and providing feedback about staff performance in a way that leads to continuous improvement and high levels of productivity.

These themes will form the basis of many of the following chapters. The focus of this book is on ways to organize the many dimensions of social service organizations so that a framework for excellence can be created and systematically pursued by those committed to its achievement.

The Usefulness of Early Management Theory

Although literature on the field of business management dates back to the late nineteenth century, the study of human service management and administration is relatively recent. Most of the literature has come from the field of nonprofit management (social work, the arts, education, research, science, religion, philanthropy, and other such activities).

Theory is generally not one of the more popular areas of study for students and practitioners. However, in all of the natural and social sciences as well as in management, it is theory that gives applications and practices their consistency and integrity, and makes it possible to replicate and study a phenomenon. Since there is not a rich history of human services management theory, what we will attempt to do is to briefly examine the history of management thought, and to extract those principles that are useful in creating an eclectic framework for the management of human service organizations. Table 1.1 presents a brief overview of the theories to be discussed and the concepts potentially applicable to human services management.

We will touch only very briefly on the overall framework proposed by each of the management theories, so it is incumbent on the serious management scholar to further explore some of the original writings on his or her own. In the remaining sections in this chapter, we will explore how these basic concepts might be adapted or used to promote excellence in overall organizational functioning. Indicators of excellence include high levels of productivity, high quality of services provided, and optimum achievement of outcomes, all while operating at the lowest possible cost.
<table>
<thead>
<tr>
<th>Theory</th>
<th>Approximate Dates</th>
<th>Applicable Concepts</th>
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<tbody>
<tr>
<td>Scientific Management</td>
<td>Early 1900s</td>
<td>Management as a specialized role; the importance of training and preparation for the job; precision in the development of technology; research orientation</td>
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<tr>
<td>Bureaucratic Theory</td>
<td>Early 1900s through the 1940s</td>
<td>Accountability; defining jobs and placing them within a hierarchy; valuing competence and preparation for the job</td>
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<tr>
<td>Human Relations Theory</td>
<td>1930s through the 1950s</td>
<td>Recognizing the importance of cultures and subcultures within the organization; the influence of the group on individual performance; understanding the nature of meaningful rewards</td>
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<tr>
<td>Theory X and Theory Y</td>
<td>1960s</td>
<td>The nature of motivation in the workplace; the role of the manager in capturing and stimulating that motivation</td>
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<tr>
<td>Management by Objectives</td>
<td>1950s through the 1970s</td>
<td>Adapting to change; strengthening of selected management practices; enhancement of employee motivation; bringing greater precision to performance appraisal</td>
</tr>
<tr>
<td>Systems Theory</td>
<td>1960s through the 1980s</td>
<td>The input-throughput-output construct; understanding how the logic model is applied; and the ways in which organizations deal with an uncertain environment</td>
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<td>Contingency Theory</td>
<td>1960s through the 1980s</td>
<td>Providing alternative structure and design options; focusing on results instead of process as the primary consideration; recognizing the importance of a feeling of competence to workers</td>
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<tr>
<td>Total Quality Management</td>
<td>1950s with a reemergence in the 1980s</td>
<td>Quality is difficult to define and establish in the absence of a uniform technology; system for continuous quality improvement can be designed and implemented</td>
</tr>
<tr>
<td>Diversity Management</td>
<td>1970s through the 1990s</td>
<td>Standards of cultural and gender competence should be established in human service agencies; management theories and practices should be evaluated in the light of contemporary concerns about their fit to ethnic and gender issues</td>
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Scientific Management

Although extensive conceptualizing and writing about the functions of management did not occur until after 1900, the groundwork for scientific thinking about management was laid in the post–Civil War period. Foremost among those creating and promoting the principles and concepts was Frederick Taylor (1911).

Taylor recognized the need to view the production process as a system and to focus on the elements of planning, organizing, and controlling. From his perspective, the workplace was somewhat chaotic. Management had no clear concept of responsibilities; work standards had not been developed, so there were no agreed-upon expectations. There were no incentives for workers to work up to the limits of their capacities. Managerial decisions were based on hunch and intuition. Virtually no studies were done of overall flow within the workplace, and workers were required to perform tasks for which they had little or no aptitude (George, 1968).

Taylor presented a paper in 1903 to the American Society of Mechanical Engineers entitled “Shop Management,” in which he made the following points:

Wages. The objective of good management was to pay high wages and have low unit production costs.

Research. To achieve this objective management had to apply scientific methods of research and experiment to its overall problem in order to formulate principles and standard processes that would allow for control of the manufacturing operations.

Selection and Placement. Employees had to be scientifically placed on jobs in which materials and working conditions were scientifically selected so that standards could be met.

Training. Employees should be scientifically and precisely trained to improve their skill in performing a job so that the standard of output could be met.

Management/Worker Relationships. An air of close and friendly cooperation would have to be cultivated between management and workers in order to ensure the continuance of this psychological environment that would make possible the application of the other principles he had mentioned (George, 1968, p. 89).

The principles of scientific management that appear to have the most useful applications are: (1) management as a specialized role, (2) training and preparation for the job, (3) precision in the development and application of technology, and (4) a research orientation. These four principles will be discussed in the following paragraphs.

MANAGEMENT AS A SPECIALIZED ROLE

Because of the high levels of expectations of managers of nonprofit agencies today, there can be little doubt that management needs to be seen as a specialized role with its own body of knowledge and skills. It has been clearly demonstrated in other fields that people who are proficient in entry-level technical skills do not necessarily have the aptitude or the knowledge and skills needed to function as managers. Laurence Peter (1977) wrote a revealing treatise on what he referred to as the “Peter Principle.” Briefly summarized, his position was that a person who performs competently at one level often receives a promotion, and if the person again performs competently he or she receives another promotion. This continues until finally the employee reaches a level where he or she is not able to perform competently;
Peter calls this “reaching their level of incompetence.” He says they then remain in these positions and perform incompetently, perhaps until retirement.

It is not uncommon to find that those with the power to hire managers do not recognize the special expertise needed to achieve excellence in management. Good clinical skills may be valuable but are not sufficient to address the full range of demands of management and administration. A business background may provide some applicable experience, but it encompasses neither the values nor the professional and community context of social service management. For social service managers to be competently prepared to assume their responsibilities, the role of the manager must be conceptualized and defined as a specialized role.

**TRAINING AND PREPARATION FOR THE JOB** If social service management is conceptualized as a specialized role, then clearly there must be education and training in preparation for that role. Many universities have centers for the training of nonprofit managers. National conferences, workshops, and seminars are provided on management topics of interest and relevance to managers and administrators of social service agencies. A program of continuous professional development as a manager should be planned and adopted by any manager committed to excellence.

**PRECISION IN THE DEVELOPMENT OF TECHNOLOGY** A third principle of scientific management that is useful is the emphasis on precision in the development of technology. Social work is typically the primary discipline at the casework or case management level in social service agencies. Historically, the technology used by social workers has been far from precise. The approach to defining casework has been to provide general guidelines for a process and to encourage each individual to develop, in conjunction with the client, a plan for intervention. Thus, ten families with the same problem could conceivably have ten different plans, and if the caseworker changes, the plan may change also. Although there are good arguments for some degree of individuality, greater precision in defining the technology could lead to less trial and error, to greater efficiency, and to better results for clients.

**A RESEARCH ORIENTATION** It is clear that a lack of research on the effectiveness of interventions has limited the ability to streamline the helping process and make the technology more precise. For this reason, Taylor’s on-the-job research orientation deserves serious consideration if social service organizations expect to achieve excellence. The more data and information collected about the helping process and its results, the more likely it is that the technology will be improved, resulting in better and more permanent positive outcomes for clients. On-the-job research, data collection, data aggregation, and data analysis probably offer the best hope for social service agencies to achieve the kind of research and development capacity that has enabled many corporations to achieve excellence.

So as human service managers today consider what is relevant for the agency of the twenty-first century, some of the concepts and principles associated with scientific management, even though they are over one hundred years old, should be recognized for what they potentially can bring to the creation of an eclectic theoretical framework for human services management.
Many managers and others with experience in different types of organizations would argue that bureaucracy is one of the least popular approaches to organizational structure and design among practitioners. The simple use of the term bureaucracy brings to mind red tape, dehumanized interpersonal relationships with consumers and between coworkers, limits imposed by policy manuals, and a host of other negative stereotypes. We should be careful, however, not to allow the problems of implementation to overshadow the contributions of many of the theoretical concepts and principles of bureaucracy.

Many professional social work and other human service practitioners, including many managers, will spend a good part of their professional lives working within bureaucratic organizations. It is, therefore, useful to attempt to understand the basic concepts and principles of bureaucratic theory and to weigh their value in the light of the realities of twenty-first-century practice.

The theoretical framework for bureaucratic management was created by Max Weber. His greatest contribution was *The Theory of Social and Economic Organizations* (1947). Weber was looking for a way to bring orderliness and predictability to the workplace, to minimize chaotic, random behavior, and to resolve problems of authority and decision making, all worthy objectives, most would agree. It is important to remember that he proposed his principles at a time when (1) lines of authority were not always clear, (2) people were appointed to positions based not on their expertise but on their connections, (3) neither job expectations nor the rules of operation were in writing, and (4) much of the work environment was managed from day to day. A careful analysis of Weber’s contributions reveals that he did much to promote written policies and procedures, written job descriptions, requirements for education and expertise to qualify for positions, and other positive contributions.

It is interesting to note that so many of the rights and privileges that are taken for granted in the workplace today find their roots in bureaucratic theory. Separating one’s personal life and personal time from any obligation to an employer is one of these commonly accepted principles. Having a clearly defined set of expectations for a job and hiring an employee because of his or her qualifications and ability to meet these expectations are others. Large organizations would find it extremely difficult to carry out the work of the organization, to communicate effectively, or to hold employees accountable, without the concept of hierarchy. And the concept of a career ladder, providing avenues...
for promotion, has served to provide stability for organizations by allowing employees to stay with the same organization rather than having to move on to advance.

Weber himself stated that the primary reason that the bureaucratic form of organization advanced so quickly was its technical superiority over any other form of organization. All functions within the organization, he believed, are raised to the optimum point in a bureaucracy.

The principles of bureaucratic theory that appear to have the most useful applications are: (1) accountability, (2) defining jobs and placing them within a hierarchy, and (3) valuing competence and preparation for the job. These three principles will be discussed in the following paragraphs.

**ACCOUNTABILITY** If there is one feature that stands out in a bureaucracy, it is that of accountability. One of the reasons that governments so often opt for a bureaucratic structure is that within this structure it is possible to pinpoint responsibility for decision making. Other models may offer more in terms of flexible work arrangements and productivity, but in organizations in which accountability for decision making is highly valued, bureaucracy becomes one of the more practical options. Given considerations of organizational liability for worker performance, it is perhaps not surprising that many government organizations continue to operate under bureaucratic structures even when other options offer promise of higher levels of productivity.

**HIERARCHY AND DEFINITION OF RESPONSIBILITY** Another important characteristic of well-run bureaucracies is an orderly workplace. Drawing on the principles that all jobs should be clearly defined and should fit within a hierarchy, we find that bureaucratic organizations tend to establish clear domains for their departments, programs, and units as well as for each employee. Ideally, this should mean that employees are able to function with a certain degree of independence without having to rely on direction from others to perform routine, daily tasks. By the same token, however, defining the parameters for the functioning of departments, programs, units, and individuals can also be limiting when it comes to applying professional knowledge and skill to decision making. Although not useful in all human service organizations, some form of hierarchical structure is indispensable in large agencies.

**PREPARATION FOR THE JOB** Like Taylor, Weber supports the idea that competence and preparation for the job must be a qualification for hiring and retention. For many years in the field of social services, positions have been downgraded in terms of their expectations for professional education, with years of experience substituting for years in school. Successful agencies today recognize that a carefully constructed job analysis can provide a sound framework for hiring decisions, and that these decisions should be based on demonstrated preparation for the job, not on impressionistic data. As we develop a theoretical framework for human services management and administration, it will become clear that the notion of competence and preparation for the job has an important place in that framework.

There are undoubtedly other principles that are useful, but the principles of accountability, clearly defined organizational subdivisions, clearly defined job functions, as well as competence and preparation for the job stand out as useful principles for the management of human service organizations.
Human Relations Theory

One of the more interesting stories that emerges in a review of the history of management thought is the story behind human relations theory. Elton Mayo is generally acknowledged to be the discoverer of the concepts and principles that form human relations theory. Mayo was a Harvard professor who conducted experiments from 1927 to 1947 at the Department of Industrial Research at Harvard.

The story of how Mayo undertook a study of attitudes and reactions of groups under varying conditions is well known, but is worth repeating here. Conducted at the Western Electric Company’s Hawthorne Works in Chicago from 1927 to 1932, the original study was designed to learn the effects of illumination on productivity and output. The hypothesis to be tested was grounded in principles of scientific management that better illumination would result in increased productivity. As expected, productivity rose when illumination was increased for the experimental group, but surprisingly it also rose for the control group for which no increase in illumination was provided. In fact, productivity continued to rise in both groups even when illumination was decreased to a bare minimum for the experimental group (George, 1968, pp. 128–129).

In another experiment, conditions of work were changed so that experimental groups were given rest periods of varying lengths to test the effects of rest on the rate of productivity. While the rate of production showed a consistent increase, it was not related to the length of the rest periods and, therefore, could not be attributed to them. When the rest breaks were abolished and the longer day was restored, productivity continued at a high level in the experimental group (Etzioni, 1964, p. 33). What Mayo and his associates were able to demonstrate from these experiments was that it was not, in fact, the manipulation of the physical environment that led to higher productivity but rather the fact that the workers knew they were being watched and that the products of their teamwork were being monitored and compared. This factor, since referred to as the Hawthorne effect, led to the discovery that social and interpersonal effects were much more powerful predictors of productivity than were factors relating to the physical environment. Etzioni (1964) summed up the findings of these experiments in these five points:

1. Productivity. The level of production is set by social norms, not by physiological capacities. In order to understand the productivity of a given worker or unit, one would have to understand the social environment as well as the demands of the job.

Application of Bureaucratic Theory to the Management of Human Services

An Information and Referral agency operated a “hotline” to respond to people in the community who had a need but didn’t know where to go to get help. There were four workers and they worked in shifts to cover the phones sixteen hours per day. As calls increased, the United Way offered to fund four more positions. Workers were used to working out informal agreements to cover for one another when they needed to take a day off or go on vacation. When the new employees came on board, the original four tended to stick together and let the four new employees fend for themselves. The informal arrangements no longer worked, and it was clear that a more formal structure was needed.

1. What principles of bureaucracy would need to be applied to bring about a more orderly workplace?
2. How might the principle of accountability be applied to ensure that each worker was carrying his or her full responsibility?
Rewards. Noneconomic rewards and sanctions significantly affect the behavior of the workers and largely limit the effect of economic incentive plans. The amount of work done by a worker will be greatly influenced by the worker’s need for acceptance and approval by his or her coworkers. The establishment of informal norms and sanctions for “rate-busting” have given further credibility to this principle.

Group Behavior. Often workers do not act or react as individuals but as members of groups. This is similar to the foregoing principle, and explains why management rewards and sanctions sometimes do not change behavior if the group in the workplace has established its own set of norms. The behavior of members of labor unions is a good example.

Group Support of Leaders. Leadership is important for setting and enforcing group norms and it is important to recognize the difference between informal and formal leadership. Groups are most effective when they are led by those who are accepted and acknowledged as leaders by the group members themselves. Management-imposed leaders will be less effective in setting and enforcing group norms.

Inclusion through Communication. Communication between the ranks and participation throughout the ranks in organizational decision making are important factors in any attempt to understand worker behavior and productivity. Workers who feel included, especially in decisions that affect them directly, are likely to participate in the life of the organization in a more positive way than those who feel left out. (pp. 34–38)

The major contributions of Mayo and his colleagues centered around the attitudes and reactions of workers under varying conditions. They discovered that there is a culture or perhaps several subcultures in the workplace that can be observed and analyzed. They also discovered that for productivity to be maximized, attention must be given to both the personal needs for a feeling of belonging in the workplace and to the company’s needs for high levels of output. Managers trained using the findings and conclusions of human relations theorists were taught about how to generate cooperation and teamwork, and how to increase an employee’s feelings of belonging in the workplace. They did not, however, lose sight of the fact that these tactics were used for a purpose: to encourage the worker to work at high levels of productivity, thereby adding value to the organization.

The principles of human relations theory that appear to have the most useful applications are: (1) recognition of the importance of cultures and subcultures within the organization; (2) the influence of the group on individual performance; and (3) understanding the nature of meaningful rewards. These three principles will be discussed in the following paragraphs.

ORGANIZATIONAL CULTURE The notion of a culture or subculture within the social service agency is an important one. For example, professionals in the human services arena typically see themselves as being committed to a value system that focuses on the needs of clients and view it as the organization’s responsibility to develop the necessary resources to meet client needs. Informal leadership may support an attitude among staff that managers are merely “bean counters,” or people who can’t see beyond the resource limitations of the agency, and don’t share the same level of compassion or concern for
those in need as the staff. These attitudes and commitments can create a subculture that sets itself in opposition to management and can lead to low morale and low levels of productivity. Conversely, understanding the nature of organizational culture and keeping open lines of communication can strengthen and enhance performance.

**THE INFLUENCE OF THE GROUP** Recognition of the importance of social norms and group behavior in the workplace can help the manager of a human service agency avoid the pitfalls inherent when a subculture is created. Employees tend to behave as members of groups, and productivity is set by social norms. Building on these understandings, a manager can design communication and decision-making systems, for example, that provide staff with the necessary budget and regulatory information to make informed decisions. Armed with this information, staff can then participate in the decision-making process in a meaningful way.

**UNDERSTANDING AND UTILIZING MEANINGFUL REWARDS** The issue of rewards is addressed in several theoretical frameworks. Early assumptions focused on monetary rewards; later efforts focused on such issues as wages, hours, and working conditions. Mayo was one of the first to recognize that noneconomic rewards significantly influenced behavior. Within the human relations framework, those noneconomic rewards tended to focus on such factors as group acceptance and approval. For others, as we will see, they had to do with the nature of the work itself.

**Theory X and Theory Y**
Douglas McGregor’s essay, “The Human Side of Enterprise,” provided an interesting perspective on organizational effectiveness and efficiency. In this essay, McGregor identified two different ways of looking at employees and motivation, and he referred to these perspectives as Theory X and Theory Y (McGregor, 1969). An interesting note is that neither framework is considered by scholars to be a theory, and most likely even McGregor did not intend to make such a claim. He was simply writing an essay and making some observations about the attitudes of management; yet the names *Theory X* and *Theory Y* have survived, and even been expanded upon, as management literature has been developed over the years.

**Application of Selected Principles of Human Relations Theory to the Management of Human Services**

At the New Life Residential Treatment Center for adolescents, the director was seen as very demanding on child care staff. His focus seemed to be totally on the efficient running of the Center, making sure that workers reported on time and stayed until the end of their shifts. He was perceived as a person who was not concerned about the needs of the staff. When new staff were hired, no matter how much they wanted to be perceived as cooperative and valued employees, the older employees were always successful in coopting them into the “slave labor” mentality, and as a result they were soon cutting corners and using any excuse not to show up at work.

1. What principle of human relations theory would be applicable in converting long-time employees into a team of employees who would work well together for the best interests of the children and the organization?
2. What kinds of a reward system do you think would be most effective in influencing employees to enjoy and be committed to their jobs?
McGregor referred to one perspective as the conventional view of management and called it Theory X. This view, he said, can be summed up in three propositions:

*Management's role in the organization.* Management is responsible for organizing the elements of productive enterprise—money, materials, equipment, people—in the interest of economic ends.

*Management's role with employees.* With respect to people, this is a process of directing their efforts, motivating them, controlling their actions, and modifying their behavior to fit the needs of the organization.

*Stimulating employee performance.* Without this active intervention by management, people would be passive—even resistant—to organizational needs. They must, therefore, be persuaded, rewarded, punished, controlled—their activities must be directed. This is management's task. We often sum it up by saying that management consists of getting things done through other people. (pp. 157–158)

McGregor (1969) went on to state that there are additional beliefs implied, as follows:

- The average man is by nature indolent—he works as little as possible.
- He lacks ambition, dislikes responsibility, prefers to be led.
- He is inherently self-centered, indifferent to organizational needs.
- He is by nature resistant to change.
- He is gullible, not very bright, the ready dupe of the charlatan and the demagogue. (p. 158)

McGregor criticized existing management theories and philosophies as being unaware of human factors. He characterized management approaches as falling within a range of possibilities—from coercion and threat, close supervision and tight controls at one extreme, to weakness, permissiveness, and a focus on worker satisfaction at the other. Neither extreme, he believed, was effective because neither took into consideration the realities of human behavior and factors associated with motivation.

A more realistic approach, he believed, could be characterized in four propositions, which McGregor (1969) referred to as *Theory Y:*

*Management's role in the organization.* Management is responsible for organizing the elements of productive enterprise—money, materials, equipment, people—in the interest of economic ends.

*Employee commitment.* People are not by nature passive or resistant to organizational needs. They have become so as a result of experience in organizations.

*Employee motivation and capacity.* The motivation, the potential for development, the capacity for assuming responsibility, the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there. It is a responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.

*New management role.* The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their own goals best by directing their own efforts toward organizational objectives. (pp. 163–164)
In short, McGregor was attempting to establish the premise that management attitudes toward employees and the ways in which managers behaved toward employees on the job were important factors in the levels of productivity achieved within organizations. If, on the one hand, managers believed that workers wanted to be told what to do and did not want to have to make decisions, then managers would respond with close supervision and controlling behavior. If, on the other hand, managers believed that workers were talented and energetic people who were prepared to invest high levels of energy and commitment in their work, managers would respond by creating a work environment that allowed workers to perform at their highest levels. The differences in these two approaches, he believed, did not require vastly different resources; they could be accounted for simply in the way the manager approached the relationship with workers and the amount of creativity and responsibility workers were allowed to exercise. A Theory Y approach, he believed, had the potential to yield much higher levels of productivity.

The principles of Theory X and Theory Y that appear to have the most useful applications are: (1) the nature of motivation in the workplace and (2) the role of the manager in stimulating and capturing that motivation. These two principles will be discussed in the following paragraphs.

**MOTIVATION IN THE WORKPLACE**  
A great deal of research since McGregor’s time has, in fact, supported the idea that many people come to the workplace highly motivated to work for the good of the organization and want the feeling of satisfaction for a job well done. This is especially true in human services where people select their careers not because of the financial or material gains they expect to make, but because they hope to find fulfillment in helping others. When management creates an oppressive environment or fails to organize the elements of productive enterprise in a way that will allow for creative and effective use of energies, employee enthusiasm becomes stifled, and a potentially productive worker can be turned into a clock watcher. McGregor also recognized that not all employees approach work with a sense of excitement and interest. However, he believed that it was much more common to find that management has squelched employee enthusiasm than it was to find that employees did not measure up to management challenges.

**STIMULATING EMPLOYEE MOTIVATION**  
Management inherently holds a great share of the power in an organization, including the power to create, mold, shape, and influence organizational culture. Used creatively, this power can become a resource that brings a high level of energy into the workplace by establishing meaningful challenges and ensuring that the structure and the resources are appropriate to allow for meeting expectations. Instead of using the role in a positive way, some managers succumb to the temptation to exercise their power directly by giving orders rather than by finding ways to motivate. As we will see, there are many opportunities in a well-designed personnel system to track employee performance and to ensure that high performers are rewarded and low performers are not. But it takes a disciplined, skillful manager to design and use these systems in a way that maximizes productivity.

Although these ideas have been further developed over the years, we should credit McGregor with introducing the important principles that employees are most productive when they are challenged and allowed to use their abilities, and management functions best when it understands how to motivate and challenge employees.
Management by Objectives

In concluding his article on Theory X and Theory Y, McGregor commented that the principles underlying Theory Y were consistent with what Peter Drucker called management by objectives (MBO) as contrasted to management by control. Management by objectives is a theoretical framework created by Drucker (1954), which proposes an approach to planning in which management makes clear its goals and expectations, employees understand and identify their own talents and interests, and together management and staff create a plan that meets organizational expectations and needs while also meeting worker goals and achieving employee job satisfaction. In this way, management promotes the Theory Y principles of motivating the workforce by structuring work in a manner that enhances worker productivity toward the achievement of organizational goals.

Drucker (1959) summarized some of the principles of MBO in his discussion of decision making. “Risk-taking entrepreneurial decisions,” he said, “always embody the same eight elements”:

- Objectives. The part of a long-range plan that organizes future activities toward the achievement of hoped-for results.
- Assumptions. Beliefs held by people who make and carry out decisions about the realities of the organization and its environment.
- Expectations. The results considered likely to be achieved.
- Alternative courses of action. Since there is never one right decision, it is incumbent upon planners to evaluate other viable courses of action, including no action.
- The decision. For planning to move ahead, someone, ultimately, must select a course of action.
- The decision structure. Carrying out the plan will have implications for allocation of resources, requiring a series of decisions and commitments.
- The impact stage. In order for a plan to be implemented, effort must be focused in a particular area by selected employees. This, in turn, may shift certain burdens to other employees. This impact must be carefully structured and implemented.
- The results. Expected results are clearly specified. Progress toward achievement is monitored, and results are measured. (pp. 101–102)
These concepts have contributed to the development of program planning and strategic planning models in which goals, objectives, and activities are specified, written out in detail, implemented, monitored, and used as a basis for an evaluation of effectiveness as illustrated in Figure 1.1.

Probably the major contributions of MBO have been the introduction of a focus on expectations and results, and the introduction of precision and measurement into the planning process. Management theories developed prior to MBO tended to focus on the past and the present. Scientific management brought research and a scientific approach into the workplace, but its focus was on efficient functioning in the present. Bureaucratic theory introduced a rational structure and policies that supported consistency and objectivity in decision making, but its focus was also on efficient functioning in the present. Human relations efforts were devoted to maximizing productivity in the present. None of these theories questioned the direction of the organization. Organizational expectations were a given.

Management by objectives had an important impact on management thinking. If competitors are thinking about direction and future expectations, it becomes incumbent upon the organization that hopes to thrive to develop and translate into a plan its own visions for the future. In addition, the planning orientation has the potential to take some of the drudgery out of necessary, routine, daily work. It brings to mind the responses of the three stonemasons who, when asked what they were doing, the first replied, “I am cutting stones.” The second answered that he was shaping and preparing some of the raw materials for a construction project. The third said, “I am building a cathedral.” People who work within an organization that has a vision and a plan for an exciting and challenging future can more easily overlook the unpleasant and tedious parts of work because they focus on the organization’s vision of the “cathedral.”

The principles of MBO that appear to have the most useful applications are: (1) techniques for adapting to change, (2) strengthening of selected management practices,
(3) enhancing employee motivation, and (4) bringing greater precision to the performance appraisal. These four principles will be discussed in the following paragraphs.

**ADAPTING TO CHANGE** Human service agencies have a special need for looking ahead, predicting future problems and needs, and translating them into goals and objectives. An agency that focuses on the present only and sees its function as serving existing clients and community needs often becomes insensitive to changing community economic and social conditions and falls into the rut of providing business as usual. Many social service programs were originally conceptualized and planned many years ago. They may or may not be designed and structured in a way that they are able to meet contemporary needs. Introducing a future orientation into program and organizational planning can help ensure that services are consistent with current and changing client needs, not just those of the past.

**STRENGTHENING MANAGEMENT PRACTICES** Management practices in the absence of a sound and consistent application of management theories and techniques can become inconsistent and counterproductive. In the complex world in which organizations attempt to meet changing human needs, coupled with increasing demands for accountability, MBO provides a conceptual framework and a format for carefully laying out organizational, program, unit, and individual expectations that can allow an organization to run much more smoothly and efficiently than it would without a plan. The framework and format have the further advantage that the plan, if properly developed and produced, carries a sense of ownership among workers, supervisors, and managers that contributes momentum toward achievement of commonly agreed-upon goals and objectives.

**ENHANCING EMPLOYEE MOTIVATION** The employee motivation factor is an important one. Provision of direct services can be difficult, emotionally stressful, and can leave workers with a lonely feeling. If, on the other hand, management can successfully structure and implement a team concept in which employees see themselves as working together toward goals and objectives about which there is a shared commitment and around which there are advance agreements, stress and feelings of isolation can be significantly reduced. In a team environment, the synergy produced can become perpetually reinforcing to employee and team motivation.

**MORE PRECISE PERFORMANCE APPRAISALS** A final advantage of MBO for human services is that the system contributes to more precise performance appraisals. We will discuss the role of performance appraisal in more detail in Chapter 9, but perhaps we can summarize the issues by simply stating at this point that the ability to reward exceptional performance and to avoid rewarding poor performance is among the most powerful tools available to a manager in achieving excellence in organizational and program performance. MBO provides a very precise format in which goals, objectives, and activities are identified and responsibilities assigned to specific individuals. A system is thereafter designed to monitor completion of tasks and activities and to evaluate quality of performance and results achieved. This, then, becomes the basis for performance appraisal, a documented chronology of completions and accomplishments rather than a vague reconstruction of past performance. Building incentives into a precisely planned
and monitored MBO system can go a long way toward improving overall organizational and program performance.

**Systems Theory**

Daniel Katz and Robert Kahn (1966) were among the first authors to recognize the applicability of systems concepts to organizations. Systems theory was originally conceptualized and developed by a biologist, Ludwig von Bertalanffy (1950), who recognized that certain principles that applied to the interdependence of parts in living organisms also applied to other systems. Katz and Kahn took selected systems concepts a step further and applied them to organizations. They believed that the following characteristics seemed to define all open systems:

*Importation of energy.* No social structure is self-sufficient or self-contained. All need resources and raw materials from the environment to survive. This importation of energy is typically referred to as *input*. In human service organizations, *input* refers to clients to be served and the resources available to serve them.

*The throughput.* Open systems use the energy available to them to transform or reorganize raw materials received as input. Clients represent the raw materials that (hopefully) become transformed from individuals or families with problems to individuals or families in which problems have been alleviated or resolved.

*The output.* Open systems export some product into the environment. A client who has completed all the services prescribed represents this product in human service organizations.

*Systems as cycles of events.* The pattern of activities defined by input, throughput, and output has a cyclic character; that is, successful completion of the cycle provides sources of energy and resources for repetition of the cycle. This is more easily recognized in organizations in which products are produced and sold and the profits used to regenerate the cycle. Successful resolution of client problems, in the same way, contributes to the generation of resources that allows the cycle to continue.
Information input, negative feedback, and the coding process. In addition to receiving energy and resources from the environment, open systems receive information. Some of this information comes in the form of negative feedback and allows the system to correct its deviations from course. This helps to keep the system in what is called a steady state. Consumer and client satisfaction and service effectiveness typically define the types of feedback received by human service organizations.

These are just a few of the concepts that help define the organization as a living system in which inputs, including raw materials, are imported from the environment, are converted in the throughput process, are exported back into the environment as output, and provide information in the form of feedback that helps correct the process and keep the organization stable. This process is depicted in Figure 1.2.

The principles of systems theory that appear to have the most useful applications are: (1) understanding organizational inputs, throughputs, outputs, and outcomes; (2) understanding how the logic model is applied; and (3) recognizing the ways in which human services organizations need to deal with the environment. These concepts will be discussed in the following paragraphs.

UNDERSTANDING ORGANIZATIONAL INPUTS, THROUGHPUTS, AND OUTPUTS Human service organizations are continuously under pressure to be accountable for the resources expended. And it should be recognized that human service agencies are not all small operations involving a few staff and a few hundred thousand dollars a year in the budget. Some social service agencies have become conglomerates with budgets of over $100 million. Furthermore, programs initiated at the federal level and funneled through state administration to local service delivery agencies often involve multibillion-dollar nationwide efforts. It is certainly legitimate that questions are asked about what happened to the money and what results were achieved.

The systems model contributes a great deal to our understanding of organizational efficiency and effectiveness. Using systems concepts—inputs, throughput, outputs, and outcomes—programs and services can be defined, implemented, tracked, monitored, and evaluated. Without these analytical tools, organizations and systems would have great difficulty meeting accountability expectations. The systems model has been applied successfully to program planning in the human services (Kettner, Moroney, & Martin, 2013) and to performance measurement (Martin & Kettner, 2010). The ability to collect and use data and information effectively to improve the efficiency, effectiveness, and quality of services is greatly enhanced by the systems model.

UNDERSTANDING HOW THE LOGIC MODEL IS APPLIED Drawing on the basic concepts of systems theory, most nonprofit agencies today and their funding sources use what is called the logic model to define the elements that go into an analysis of the system.
The concepts used to define both the logic model and systems theory are very similar. The United Way of America uses four program elements: inputs, activities, outputs, and outcomes (United Way of America, 2006; Hatry, van Houten, Plantz, & Greenway, 1996). Knowlton and Phillips (2009) use a slightly different terminology, and add some elements, including (1) resources, (2) activities, (3) outputs, (4) short-term outcomes, (5) intermediate or long-term outcomes, and (6) impact. The similarities between the logic model and systems theory are fairly obvious, as they both trace the production process from initial use of resources through service provision, achievement of results, and eventual impact on the community. The logic model is depicted in Figure 1.3.

This model allows the planner or manager to see the rational flow of addressing a problem and applying a process, while maintaining a focus on the purpose of the entire effort: effecting positive changes in the lives of clients and reducing the size and scope of a problem in a community. Definitions and applications of inputs, process, outputs, outcomes, and impact will be addressed in more detail in Chapter 10.

**DEVELOPING AND MAINTAINING RELATIONS WITH CRITICAL ELEMENTS OF AN ORGANIZATION’S ENVIRONMENT**

The third major contribution of systems theory to human services management has to do with the importance of organizational-environment relationships. Organizations need an active, ongoing relationship with a number of elements in their environment in order to ensure their relevance and survival.

For a human service organization, the message is, first, that in order to maintain its steady state, an organization must tend to issues affecting clients and consumers, including accurate assessment of changing needs, and service effectiveness. Second, there must be working relationships with those who provide the financial resources, the personnel, the space, and other resources in order to ensure that future needs are met.

**Definitions:**
- **Resources and Raw Materials**
  - Actions that are performed using resources to achieve outputs
  - Services provided by the organization and received by clients/consumers
  - Benefits received as measured upon completion of services
  - Benefits received at point when follow-up measure is taken
  - Change in size and scope of community problem or need

**Example:**
- **Resources:**
  - Staff, Volunteers
  - Money, Goods, Space, Technology
- **Raw Materials:**
  - Clients/Consumers

- **Actions:**
  - Job training classes
  - Completion of all courses prescribed
  - Knowledge and skill acquired from courses completed
  - Hired and completed at least six months in a job for which trained
- **Outcomes:**
  - Reduction in unemployment in the community
Third, there must be an awareness of activities and efforts undertaken by competitors. This usually means other agencies that serve the same population and provide the same service. Competition is usually for both clients and grants or contracts. Fourth, there must be a good working relationship with accrediting bodies, government regulating bodies, and other such organizations that establish the parameters within which human service agencies function. The foregoing represent four components of an organization's environment that are critical to its success and sometimes even to its survival.

Well-run agencies have a strategy for dealing with these external entities. An agency executive once observed that she probably knew more about what was going to happen to her agency in three to five years than she did about what was going on today.

If the agency executive understands her responsibility as a part of the institutional system (the system that deals with the external environment), that is exactly where the executive should be placing her priorities. This external focus gives recognition to the agency's dependence on positive interactions with these external entities. Competent and reliable people must continue to fulfill the functions of the managerial system (the system that manages internal operations), so that the executive is free to deal with these most important external components.

Although the concepts and constructs drawn from systems theory may not be extensive, their value as conceptual tools used to develop a sound theoretical framework for human services management is significant.

**Contingency Theory**

Beginning in the 1960s and continuing through the 1970s, research findings were published on a number of projects that challenged the premise that loose structures and maximum flexibility for employees led to the highest levels of productivity.

Prominent among these were the findings of Burns and Stalker (1961), who examined at least twenty firms in the United Kingdom. The companies studied were drawn from a variety of industries; the focus was on what types of management methods and procedures produced the highest levels of productivity. What they found was that demands from organizational environments varied, and these, in turn, influenced the predictability of tasks and functions to be performed in the process of producing products and/or services. For example, consumer demand for household appliances might require one type of structure and process (assembly line), whereas law enforcement may require another type (community policing teams). The determining factor is the nature of each organization's demands from the environment and the types of tasks and functions necessary to meet those demands.

These findings resulted in the development of a typology of organizations, which Burns and Stalker referred to as (1) mechanistic organizations (at one end of the continuum) and (2) organic organizations (at the other). A mechanistic organization was defined as one that tended to be fixed and somewhat rigid, with predictable tasks and a relatively stable environment. An organic organization was defined as one that is more loosely structured, that provides consultation rather than supervision, and that establishes outcome expectations for workers rather than tasks. These organizations function best in an unstable environment in which inputs are unpredictable and the organization is expected to respond to changing environmental conditions.

Although some human service organizations may find themselves in a steady or predictable environment, it is much more likely that they will need to learn to survive in an
unsteady or turbulent environment, given the nature of the social and economic problems agencies are expected to address. If this is the case, then an organic-type structure will lead to higher levels of productivity and better results. Table 1.2 summarizes the elements of an organization and how they would be structured or designed in a mechanistic organization versus an organic organization.

There were several additional studies designed to explore the relationship among organizational structure, efficiency, and effectiveness. One is particularly worth mentioning. In 1970, two researchers published an article based on some of the findings of Burns and Stalker and others (Morse & Lorsch, 1970).

Their findings led to a new set of assumptions, which they called contingency theory. Morse and Lorsch (1970) included the following:

- Human beings bring varying patterns of needs and motives into the work organization but one central need is to achieve a sense of competence.
- The sense of competence motive, while it exists in all human beings, it may be fulfilled in different ways by different people depending on how this need interacts with the strengths of the individual's other needs—such as those for power, independence, structure, achievement, and affiliation.
- Competence motivation is most likely to be fulfilled when there is a fit between task and organization.
- Sense of competence continues to motivate even when a competence goal is achieved; once one goal is reached, a new, higher one is set. (p. 67)

Contingency theory has essentially put to rest the notion that there is one best way to structure and design an organization. In response to the question, “What is the best structure and design for an organization?” the correct answer is, “It depends.” The challenge among contemporary management researchers and consultants is to answer

<table>
<thead>
<tr>
<th>Table 1.2</th>
<th>Factors Descriptive of Mechanistic and Organic Organizations</th>
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<tbody>
<tr>
<td><strong>Characteristics of Mechanistic Organizations</strong></td>
<td><strong>Characteristics of Organic Organizations</strong></td>
</tr>
<tr>
<td><strong>Focus of work</strong></td>
<td>Jobs tend to be highly specialized; separated into discrete tasks</td>
</tr>
<tr>
<td><strong>Locus of responsibility</strong></td>
<td>Decisions are made high in the organization</td>
</tr>
<tr>
<td><strong>Supervision</strong></td>
<td>Supervisor assigns and directs work; supervisor integrates work performed</td>
</tr>
<tr>
<td><strong>Structure</strong></td>
<td>Hierarchy</td>
</tr>
<tr>
<td><strong>Communication</strong></td>
<td>Tends to be top-down; information is seen as power</td>
</tr>
<tr>
<td><strong>Basis of prestige</strong></td>
<td>Seniority; experience; knowledge of the organization; best interests of the organization</td>
</tr>
</tbody>
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the question, “On what does it depend?” The answer tends to be that it depends on
the mission, purpose, and function of the organization and the ways in which existing
technologies are capable of producing products and services to meet organizational and
environmental expectations.

The principles of contingency theory that appear to have the most useful applica-
tions are: (1) providing structure and design options, (2) focusing on results rather
than process as the primary consideration, and (3) recognizing the importance of a
feeling of competence for a worker. These principles will be discussed in the following
paragraphs.

PROVIDING STRUCTURE AND DESIGN OPTIONS One contribution of contin-
gency theory to human services management is the recognition that there is more than
one way to structure and design an organization. It may be that within certain types of
agencies there are departments or units that function better and more effectively with
a mechanistic design, whereas others achieve maximum productivity following the
organic model.

A careful examination of the conditions under which mechanistic or organic
designs are preferable raises a number of questions. Can some programs and services
operate efficiently following a mechanistic design? Or, given the turbulent environ-
ment within which many social service agencies and programs operate, are they always
better served by opting for an organic model? Human service agencies and programs
typically address such problems as violence, abuse of drugs and alcohol, or child abuse.
For most human service agencies, inputs, including client problems, are unpredictable.
Throughputs can be translated into routine tasks only in a very general sense. The key to
effectiveness, at least for some types of organizations, seems to be the kind of flexibility
described as fitting within the organic model.

IMPROVING EFFECTIVENESS THROUGH RESULT-ORIENTED TEAM
INTERACTION It is the organic model within contingency theory that provides the
legitimization for specifying results expected rather than tasks to be performed, for es-
ablishing a climate of team cooperation toward the achievement of shared goals, for
defining supervision in terms of consultation rather than giving orders, for shared ac-
countability, and for valuing professional knowledge and skill over knowledge of in-
ternal organizational functioning. Mechanistic systems essentially manage the process;
organic systems manage the results.

This is not to say that an organic structure eliminates the need for following certain
expectations for accountability or bureaucratic procedures. Those requirements remain
in effect in all types and sizes of agencies. The important issue is that they need not drive
either structure or decision making. They can exist comfortably within an organic orga-
nization, department, or unit.

THE IMPORTANCE OF A SENSE OF COMPETENCE The recognition of the im-
portance of a sense of competence is also of value in human service organizations. If
undertrained and unprepared workers are presented with challenges beyond their ca-
pacity, they are unlikely to enjoy their work or to perform at high levels of productivity
because they will not feel a sense of competence. Conversely, if highly educated and
well-prepared professionals are asked to do only routine eligibility work, they, too, are
likely to feel negatively toward the job, to perform at low levels, and to lack a sense of competence. Recognizing the importance of a sense of competence, the skilled manager will match employees to work responsibilities that neither exceed nor fail to rise to the level of their abilities to do the job.

**The Issue of Quality**

The concept of quality in classical theories does not receive much attention, for the theories tend to focus on productivity. However, as organizations, including human service agencies, have responded over the years to demands for increased productivity, it was recognized that productivity is often increased at the expense of quality. Increasing productivity in a counseling agency, for example, can be a relatively simple matter of putting individuals into groups for group therapy, thereby increasing the number of people treated by one worker in one hour from one to as many as six or eight. But is it sound in terms of the quality of treatment received? Another example is day care. Productivity in a day care center can easily be increased by doubling the number of children cared for without increasing staff. But will each child receive the quality of care needed for healthy development? It was these types of questions and issues that prompted a focus on quality as an important concern.

**TOTAL QUALITY MANAGEMENT (TQM)** A number of scholars have contributed to the concepts and principles that form the basis of TQM, the most prominent of these being W. Edwards Deming (1982). His focus on quality dates back to the 1920s, when he worked at Western Electric’s Hawthorne plant in Chicago, the same plant where Mayo conducted his studies that led to the formulation of human relations theory. For many years, Deming’s ideas were largely ignored in the United States, but in post–World War II Japan they were welcomed. Much of the turnaround in the Japanese economy was credited to the work of Deming. *Kaizen*, the Japanese term for quality management, is based to a great extent on Deming’s ideas (Imai, 1986).

One concern central to any discussion of TQM is what is meant by the term *quality*. It is common to find among practitioners the expectation that quality is a one-dimensional concept, and that fine quality, like good art or music, is defined as being in the eye (or the ear) of the beholder. Martin (1993) has summarized the research on quality and lists fourteen different dimensions that can be used when applying the term to human service programs, including (1) accessibility, (2) assurance, (3) communication, (4) competence, (5) conformity, (6) courtesy, (7) deficiency, (8) durability, (9) humaneness, (10) performance, (11) reliability, (12) responsiveness, (13) security, and (14) tangibles (p. 28). From these and other works on TQM, it is clear that the concept is multidimensional and that it can be understood only by learning what it means to customers or clients.

The principles of Total Quality Management (TQM) that appear to have the most useful applications are: (1) quality is difficult to define and (2) Systems for continuous quality improvement can be designed and implemented. These principles will be discussed in the following paragraphs.

**DEFINING QUALITY IN PRACTICE** Provision of social or mental health services to people in need involves what is sometimes referred to as a “soft technology.” As a result, much of what transpires between helper and person-in-need is determined on
a case-by-case basis. Because of the unique needs of individuals and families, and because of the idiosyncratic ways in which people deal with their problems, it is difficult to establish uniform approaches to what appear, on the surface, to be similar problems. However, inroads are being made into developing more precise technologies by testing various models that have demonstrated effectiveness with certain types of problems. As this type of research increases, there will be more tangible ways to deal with the issue of quality in practice.

DEVELOPING SYSTEMS FOR CONTINUOUS QUALITY IMPROVEMENT If organizations are to define and monitor service quality, human service professionals must begin to survey consumers and clients on a regular basis to determine how they define quality: what factors are important to them in the course of receiving services? Accrediting organizations have introduced the concept of continuous quality improvement. What this means is that organizations providing health and human services, in order to be accredited, must demonstrate that they have in place a system to collect data on quality of services provided. Then, having determined a level of service quality in measurable terms, the organization must demonstrate that it has in place mechanisms to make use of its findings by improving the quality of services provided in the next and subsequent years. Quality can no longer be treated as a vague concept to which agencies give tacit support. Concerns about service quality have received increasing attention in the provision of health and human services. The issue of quality is emerging as a prominent focus among managers and clinicians alike, along with efficiency, effectiveness, and productivity.

The Issue of Diversity Putting together a workforce that is representative of a community in terms of culture, ethnicity, and gender is yet another important challenge to the human services administrator or manager. Cultural and gender differences reflect fundamental variations in what people value. There is ample evidence to suggest that different ethnic groups perceive the same phenomena differently, and likewise men and women commonly, as a group, tend to have their own unique perspectives. These differences result not merely from being excluded historically from decision making, but because human service administrators or managers recognize the strength, accuracy, and importance of their perceptions and what they could contribute to ensure sound decisions. It is incumbent on human service agency decision makers to reach across ethnic and gender lines in the interest of providing the best possible services to clients and community.

The primary reason for existence of human service organizations is to address individual, family, neighborhood, community, and social problems and needs. Given this purpose, it is critical that the voices that help shape organizational and programmatic approaches to problem solving be representative of diverse community perspectives. Effectiveness in meeting community and client needs depends on bringing together a diverse staff and developing the kind of openness to alternative perspectives that fosters growth among all staff and enhances the quality and relevance of services provided.
BEYOND RACE AND GENDER  In his book, Beyond Race and Gender, Thomas (1991) conceptualizes three levels of organizational diversity, which he entitles (1) affirmative action, (2) valuing differences, and (3) managing diversity.

He argues that affirmative action should be understood merely as a first level of change. Although affirmative action made an important contribution toward bringing ethnic minorities and women into entry-level positions, it is time, he says, to recognize these policies as a minimalist approach and move toward more progressive and productive management techniques.

Thomas suggests that there are higher levels to which organizations can move when they are ready to progress beyond the first level of affirmative action. The second level he calls “valuing differences.” Organizations using this approach focus on individual and interpersonal growth in terms of mutual understandings of cultural and gender issues. Such techniques as staff development, training, and group discussion foster a climate of mutual respect and learning to appreciate and value differences, rather than equating difference to inferiority.

The third and highest level Thomas refers to as managing diversity. Organizations adopting this approach review their overall culture and their core values and ask themselves questions about whether they are achieving maximum productivity. Are they allowing the diversity represented among employees to work to its highest advantage in terms of achieving organizational goals? Where it is not, all dimensions of the organization need to be reevaluated to ensure that employees are being used to the full extent of their talents and abilities, including the diverse perspectives that bring richness to the organization.

GENDER ISSUES IN HUMAN SERVICES MANAGEMENT  In her examination of the role of gender in practice knowledge, Figueira-McDonough (1998) discusses the systematic exclusion of women from participation in the construction of knowledge. She makes the following observation:

The history of women’s everyday life demonstrates how it has been experienced differently from men’s and how it may have produced different types of knowledge and understanding. It is this dissociation between women’s experience and traditional knowledge that is conducive to interpretative distortions of women’s reality. (p. 6)

The significance of this observation for organizations is that women’s conceptual contributions to the management of organizations have, in many ways, been absent from consideration in developing the major theoretical themes in the field of management. Netting and Rodwell (1998) create a lens through which organizations can be understood in a way that incorporates and values gender. This exploration leads to questions about (1) the fit of theory to women’s identity, (2) shaping perspectives from the context of women’s history, (3) what constitutes meaningful participation for women, and (4) what information influences the way women understand the organization and its activities.

Women form the numerical majority of both staff and clients in human service organizations. It is critical that the full range of gender perspectives be fully incorporated and integrated into management philosophy, theories, and practices.

The principles associated with diversity management that appear to have the most useful applications are: (1) standards of ethnic and gender competence should be
established for human service agencies and (2) management theories and practices should be evaluated and applied in the light of contemporary concerns about their fit to ethnic and gender issues. These principles will be discussed in the following paragraphs.

**ETHNIC AND GENDER COMPETENCE** Cultural and gender competence present a constant challenge to human service agency management and practice in that there are ongoing findings in practice and research that call for updating and adjustment. Cross, Bazron, Dennis, and Isaacs (1989) made an important contribution to understanding that there are levels of agency cultural competence which they define as: cultural destructiveness, cultural incapacity, cultural blindness, cultural precompetence, cultural competence, and cultural proficiency. It would not be a great leap to apply the same concepts to gender competence.

Thomas (1991) points out that cultural competence is equally important in the management of organizations. When people of color are employed as part of a strategy to achieve organizational diversity but are excluded from important decision-making roles, opportunities are lost and programs lose their relevance over time. The same basic arguments can be made in relation to gender considerations. Historically, women have been excluded from contributing a perspective that has potential value in the management of organizations. As human service organizations move into a new era of diversity, there must be assurances that programs and services are designed and managed by those who have clearly established their credentials as having cultural and gender competence. The kind of dialogue that can emerge from negotiations around such issues as program design, job design, and measurements of quality and effectiveness can enrich an agency and help to retain its relevance and vitality.

**INCORPORATING GENDER ISSUES INTO MANAGEMENT PRACTICES** Netting and Rodwell (1998) argue that theories and practice models need to be reexamined from a perspective of relevance to gender. They propose a “reconstruction of the assumptions that have been part of organizational theory so that gender sensitivity can occur” (p. 302). Their reformulation proposes five new assumptions, as follows:

*Interdependence.* Organizations and environments are interdependent, are not always distinctive, and are mutually influential. Organizations should avoid overly rigid distinctions between their own elements and those of their environment.

*Constant change.* Organizations are constantly changing within a changing global community. Decisions and actions to effect change occur in multiple ways. Uncertainty presents possibilities and challenges. Attempts to control uncertainty are not the only logical responses. Change processes should be engaged in a positive way.

*Politics and decision making.* Every decision made and every action taken is political and represents a choice among values. Decision making cannot always be linear and technically clear. Sometimes it is necessarily tentative and incremental and requires frequent reformulation.

*Use of language.* Language is political and symbolically communicates power. Selection of terms used in management should be done with sensitivity to gender differences.
Application of Selected Principles of Diversity to the Management of Human Services

An agency called Community Neighborhood Services was located in a heavily Latino neighborhood and was designed to help address housing, employment, medical, and educational problems. The staff of twelve was made up of four Caucasians, one African American, one Asian, and six Latinos. Eight were women and four were men. Neighborhood people were given the option where possible to select the staff member they preferred to work with, and the vast majority were turning to the Latino caseworkers for help while most of the non-Latino clients asked for women caseworkers. As a result, the Latino caseworkers and the non-Latino women had very large caseloads and the rest of the staff had only a few cases. The director, a Latino, called a staff meeting to try to find a way to address this problem and to even out the workloads.

1. How would you approach the issues of culture and gender competence with the staff?
2. What management practices would need to be addressed in order to address culture and gender competence and even out workloads?

Incorporation of multiple rationalities and realities. Organization cultures are distinctive, and organizations are comprised of diverse persons with different realities. There are multiple rationalities and realities. Managers should take care to acknowledge voices that have been traditionally ignored.

These new assumptions should be given careful consideration in developing an integrated theoretical framework for human services management. Issues of culture, gender, and diversity will be critical in defining what approaches hold promise for human service agencies in the twenty-first century.

Evidence-Based Practice and Evidence-Based Management

Evidence-based practice (EBP) has become a standard in many fields of practice, including human services. While the field of medicine is credited with the earliest use of the concept, many fields, including mental health, child welfare, and education, are increasingly incorporating research findings into decision making. EBP can be defined as application of research and clinical evidence to decisions made about practice. Human service practitioners have a long history of making assessments based on the facts surrounding the case under consideration, so it is not a great stretch to turn to research and clinical findings for help in making decisions. The National Association of Social Workers states that “EBP is a process in which the practitioner combines well-researched interventions with clinical experience, ethics, client preferences, and culture to guide and inform the delivery of treatments and services” (NASW, 2009).

Based on these same concepts and assumptions, evidence-based decision making has become an expectation for managers as well. Managers have two responsibilities here: (1) to facilitate in every way possible the accessing of sound research and evaluation data for use in decision making and (2) aggregating data wherever possible to document both program successes and needs for improvement. Data-based decision making can be incorporated into many areas of organizational life if managers are alert to its potential, and are willing to share information with staff in the interest of problem solving.
A more detailed discussion of exactly what data are needed for sound evidence-based management will be covered in Chapter 10.

**A Framework for Organizational Excellence**

In summary, there are many different perspectives on a definition of excellence in organizational functioning. Themes that emerge from studies of excellence include (1) establishing a purpose and mission for the organization and ensuring that all systems are consistent with the mission; (2) creating an organizational structure that is consistent with organizational purpose and maximizes flexibility; (3) designing jobs in a way that will permit staff to use their expertise and creativity; (4) developing a human resources plan committed to diversity; (5) recruiting and retaining the best-qualified and most productive staff; (6) monitoring, evaluating, and providing feedback about staff performance in a way that leads to continuous improvement and high levels of productivity; (7) demonstrating commitment to high performance by rewarding productive staff; (8) collecting data and information about services that will permit evaluation and continuous program improvement; (9) budgeting and financing the organization in a way that is consistent with the mission; and (10) periodically evaluating organizational and management performance.

These themes will form the basis of many of the following chapters. The focus of this book is on ways to organize the many dimensions of social service organizations so that a framework for excellence can be created and systematically pursued by those committed to its achievement.

**Toward an Integrated Theoretical Framework for Human Services Management**

**The Importance of System Integrity**

As we have seen, there are many perspectives on how organizations maximize productivity, efficiency, effectiveness, and quality. Over the years it has become increasingly clear that there is no one best way, as Taylor had hoped, yet there are many right ways to manage an organization and its personnel. Organizational life, as we have observed, is a complex, multidimensional phenomenon. Developing an eclectic theoretical framework for the management of human service organizations, therefore, requires that we, first, identify the dimensions; second, identify the theories and principles that help us to understand each dimension; and, third, examine the overall framework in terms of its internal consistency and integrity.

Following the very sound and practical framework developed by Miles (1975), the text will examine the organizational and human variables that contribute to the understanding of organizational behavior. Next, the text will propose a framework for understanding the role of the manager. The manager is responsible for integrating organizational and human variables both vertically (over time) and horizontally (across all components of the organization) in a way that promotes optimal productivity. The combination of (1) anchoring a framework firmly in established theoretical principles, and (2) applying these principles in a consistent manner provides a sound approach to management that has the potential for remaining practical and relevant, and (3) leading to the achievement of organizational excellence.
Neither theory nor the realities of practice alone should drive decision making in management. Rather, in making decisions, managers should have one foot firmly anchored in an understanding of the history of management thought and the other fully immersed in a knowledge of contemporary practice issues. As decisions are required, no assumptions need be made that theoretical principles always be followed regardless of their current relevance. Neither is it assumed that the current situation alone should always dictate the parameters for problem solving. Rather, both theory and current realities should be seen as having something to offer. Drawing from both in an interactive and dynamic way, new and constantly relevant approaches are derived and new theoretical principles are conceptualized and established for testing. This relationship is depicted in Figure 1.4.

**Selecting the Organizational and Human Variables to Be Considered**

Not all organizational and human variables presented in the previous sections on management theory are equally important for human services management. Principles drawn from the foregoing management theories are intended to help human service agency managers to begin to formulate their own theories about what variables they consider important, given the types of organizations, staff, and communities that characterize the agency. The theories and principles proposed are not intended as final, definitive ending points. Rather they are intended as a beginning, as a guide to managers in helping them to formulate their own theories and models.

A number of authors have used variations on Fayol’s definition of management as planning, organizing, commanding, coordinating, and controlling (Fayol, 1949). Robbins, Decenzo, and Coulter (2011) use (1) planning, (2) organizing, (3) leading, and (4) controlling as their organizing themes. Montana and Charnov (2008) use (1) strategic planning, management and operational control, (2) operational planning, management and operational control, and (3) evaluation and feedback as their definition of the management process.
There is pretty much universal agreement that understanding and carrying out management responsibilities requires a grasp of organizational and human variables. The management theories discussed in this chapter have provided a great deal of insight into what it is that managers need to understand about the organization in order to manage well. Many of these same theories emphasize the importance of enabling staff to work at the highest levels of productivity. Contemporary authors have also contributed much to our understanding of such issues as organizational culture, ethnicity, gender, and the need for a sense of competence in the workplace.

By way of summary, the following lists of organizational and human variables are intended to help the human services manager to develop a sort of road map for successful management by identifying those variables most critical in the field of human services. With the approach to theory and practice depicted in Figure 1.3 in mind, the key concepts of a theory for management of human service organizations include the following:

**A Summary of Organizational Variables to Be Addressed by Human Services Managers**

**Organizing**
- Understanding the organization as a system with inputs, throughputs, outputs, outcomes, feedback, and with many subsystems
- Understanding the need for organizational structures need to be flexible, appropriate, and based on careful analysis

**Planning**
- Understanding the significance of the organization's environment
- Establishing mission, goals, and objectives
- Understanding the importance of quality
- Ensuring carefully crafted job design, consistent with job description and performance evaluation systems
- Monitoring, evaluating, and undertaking research

**Controlling**
- Maximizing the use of technology

**Leading**
- Introducing internally consistent motivation and reward systems
- Understanding the importance of internal consistency throughout the entire system

**A Summary of Human Variables to be Addressed by Human Services Managers**

**Organizing and Planning**
- Understanding the employee’s need for attention and recognition, personalization, finding a niche, and developing an identity
- Understanding the value of introducing autonomy and entrepreneurship into agency practices wherever possible
- Understanding the importance of diversity and incorporation of multiple perspectives into all aspects of organizational life
Leading

- Understanding the employee’s need to use knowledge, skills, and creativity, and the need for a sense of competence
- Understanding the importance of the social group
- Recognizing that productivity comes through people, and recognizing that the needs of these people must be met for them to want to maximize productivity
- Recognizing the importance of internal consistency and that employees are always aware when mixed messages are given

Both organizational and human variables need to be addressed as the organization goes about its day-to-day business. Integrating these variables in a way that maximizes performance and productivity is the job of the manager. Figure 1.5 attempts to depict the various domains human service organization managers and administrators are expected to oversee.

The Manager as Integrator

The foregoing organizational and human variables can best be understood as falling on a continuum that is roughly contiguous with the mechanistic-organic continuum as defined by Burns and Stalker (1961). Organizational structure, for example, can range
from a traditional, hierarchical, bureaucratic structure to a loosely designed project team. Job design can range from a highly detailed specification of tasks to general statements of areas of responsibility. Reward systems can be rigidly structured along the lines of seniority and preestablished performance criteria. Managers can also establish annual team objectives and take peer evaluation into consideration, revising criteria on an annual basis to create a reward system.

Miles (1975) points out that it is not implementation of a highly structured versus flexible system that enhances or discourages productivity as much as it is consistency or inconsistency within the system. For example, an organization's goals and objectives may promote high levels of performance in relation to achieving results with, and for, populations served. The job design, however, may be so rigid that workers find themselves severely limited in their attempts to help clients to achieve results. This inconsistency leads to low levels of morale and, consequently, to low levels of performance.

Who, then, decides where on the continuum from structured, mechanistic to fluid, organic a particular organization ought to fall? The answer is that it is the responsibility of the management team, with appropriate input and participation from staff, board, clients, and other constituencies. Managers and administrators are the people who are held accountable for overall organizational and program performance. These are the people who have an overview of all of the organizational components and the extent to which they are integrated. These are the people who are in a position to act as go-between from the policy-making board to program-implementing staff. In short, the role of the management team is to design and implement a system that will ensure internal consistency and integrity in organizational performance.

**Management Roles and Responsibilities**

Table 1.3 lists areas of management responsibility and is intended to help managers design the organizational and human variables in a way that fits the unique needs of the organization, staff, and community. Managers’ goals should always be to define, design, and establish subsystems of the organization in a way that ensures that they are internally consistent and support efficiency, effectiveness, quality, and productivity. The remaining chapters of this book are organized around these responsibilities and roles in an attempt to direct managers of human services organizations toward organizational integrity.

There is no question that these roles and responsibilities represent a very tall order. No one said that the role of managers and administrators in a human service organization was easy, and these roles are clearly not for everyone. But a systematic mastery of each of these components will help a manager to understand the meaning of excellence in the management of human service organizations. Each can be carried out in a manner that is consistent with a mechanistic, highly structured organizational theory and philosophy or with an organic, flexible approach. The decision should be made based on what form is optimum, given the purpose and function of the organization. Consistency is the key to success and is a step in the direction toward achievement of excellence. The following chapters are designed to interpret management expectations in greater detail for each of the roles specified.
Table 1.3  The Functions of Human Service Managers

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Management Responsibility</th>
<th>The Role of the Manager</th>
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<tbody>
<tr>
<td>1</td>
<td><strong>Analysis of the Entire System</strong></td>
<td>Assess purpose of the organization, expected outcomes, needed technologies, state of the art. Define organizational and program inputs, throughput, outputs, and outcomes. Use as an overarching framework the concept of system integrity.</td>
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<tr>
<td>2</td>
<td><strong>Establishment of Mission and Goals</strong></td>
<td>Ensure consensus on shared vision. Create a process for ongoing development and refinement of organizational and program goals, objectives, and activities, with input from all stakeholders. Examine mission, goals, and objectives from the perspective of system integrity.</td>
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<tr>
<td>3</td>
<td><strong>Creation of Ideal Structure</strong></td>
<td>Assess existing structure and reporting and control systems. Create “ideal” structure for maximizing efficiency, productivity, effectiveness, and quality in terms of the organic/mechanistic continuum. Consider how the structure is organized to protect the technical core, ensure high quality and competent management, and attend to the needs and demands of the task environment. Examine all components from the perspective of system integrity.</td>
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<tr>
<td>4</td>
<td><strong>Creation of Ideal Job Design</strong></td>
<td>Develop a job analysis for each position within the organization. Create “ideal” job designs for maximizing efficiency, productivity, effectiveness, and quality recognizing employee need to use knowledge, skills, and creativity. Evaluate all positions from the perspective of how they fit into the overall system to accomplish stated mission, goals, and objectives. Ensure system integrity.</td>
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<tr>
<td>5</td>
<td><strong>Establishment of a Human Resources Plan</strong></td>
<td>Prepare a plan that is grounded in an analysis of the needs of the organization for professional and technological expertise. The plan should include a complete job analysis for each position, together with a plan for recruitment and selection of personnel that is grounded in human resources law and meets the diverse needs of the organization and its clientele.</td>
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<td>6</td>
<td><strong>Design of a Recruitment, Screening, and Selection System</strong></td>
<td>Establish a system for recruiting a broad and diverse pool of applicants. Design a screening system that will ensure selection and hiring decisions that are consistent with the expectations established in the job analysis for the position. Check against organizational variables to ensure system integrity.</td>
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<td>7</td>
<td><strong>Establishment of Principles for Supervision, Training, and Staff Development</strong></td>
<td>Ensure that supervision is appropriate to the needs of the employee, taking into consideration what is known about employee needs and motivation in the interest of maximizing performance. Provide training that is appropriate to the employee's need for knowledge and skill. Encourage the employee to focus on his or her career goals and to prepare for advancement toward them.</td>
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<tr>
<td>8</td>
<td><strong>Design of Motivation and Reward System</strong></td>
<td>Understand what motivates employees. Design a system that ensures that those who work the hardest and demonstrate the highest levels of commitment to organizational mission, goals, and objectives—and achieve the best results—receive the highest rewards. Incorporate both intrinsic and extrinsic rewards into the system. Check the system against all other components to ensure internal consistency.</td>
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(Continued)
Summary

This book was written from the perspective that human services management is a professional discipline with a body of knowledge, skills, and values. Management theories, although created for for-profit businesses and industries, have much to offer as a theoretical foundation for the management of human service organizations. However, theories created for for-profit businesses alone are not sufficient to meet the needs of human service management.

No one theory can encompass the complexities involved in managing human service organizations, but certain principles and themes can be extracted from each, to form an integrated, eclectic theoretical framework useful for human services management.

Management knowledge and professional ethics form the foundation for achievement of excellence in the practice of management. There are things that can be done by managers and administrators to achieve excellence in an organization; it’s not accidental,
and it’s not based on personality alone. The major responsibilities of managers have to do with finding ways to get staff to feel a sense of achievement and success, thereby enhancing productivity. Overall, the importance of a manager’s theoretical and philosophical framework is that it forms the basis for consistency and integrity in practice.

An excellent manager is one who excels in getting others to do their best work to achieve the goals of the organization. An excellent manager coordinates all the complex organizational variables in a way that employees identify their own success with the success of the organization. There are many sources to turn to for the purpose of defining excellence in management. Research on management has produced a number of dimensions that can be used to define excellence. Accrediting bodies have also established standards that can be used to define excellence.

One important dimension of good human services management is being able to draw on the work of many management theorists since the early 1900s and to extract those principles that contribute to a better understanding and better management of human service organizations. Theories discussed in this chapter include Scientific Management, Bureaucratic Theory, Human Relations Theory, McGregor’s Theory X and Theory Y, Management by Objectives, Systems Theory, Contingency Theory, Total Quality Management, and Diversity Management.

Selected theoretical principles are used to support a number of themes that are important to the achievement of excellence in the management of human service organizations. Ten organizational variables help to define the parameters within which organizational consistency and integrity will be practiced. Seven human variables help to define the parameters within which employees will be nurtured and productivity maximized. The person responsible for integrating organizational variables and human variables in a way that supports maximum productivity is the manager. Thirteen management roles are defined that, if performed with consistency and integrity, will lead to organizational excellence.

References