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Richard L. Edwards and John A. Yankey, Editors



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Foreword

Effective management is of great import to social work for a pragmatic reason: effective managers ensure the delivery of quality human services. Developing effective managers, therefore, is a fundamental concern for the National Association of Social Workers. As the primary organization for professional social workers, NASW is committed to helping social workers enhance their skills and professional standing and to improving the lives of people in our society.

One of NASW's objectives has been to communicate the importance of sound modern management tenets to the provision of human services, but until recently we have had limited vehicles for doing so. I am pleased to say that *Skills for Effective Human Services Management* is the third management book to be published by the NASW Press in the past three years.

The profession has long needed a book like this one that can serve as a basic text for preparing practitioners to become skilled managers. Within these 22 chapters, the reader will find a solid foundation for the management skills needed to head any human services organization. Collectively, the chapters present the careful analysis of individuals who are seasoned administrators, as well as excellent scholars.

The editors, Richard L. Edwards and John A. Yankey, are to be congratulated. In constructing this book, aimed at upper- and mid-level managers, they developed a clear organizing framework—the competing values framework—that will help managers recognize and deal with the complexity of managing a human services organization. Then they guided the authors in delineating the skills required so that each chapter relates directly to the framework, but is free of any artificial shaping to fit it. Chapters can be used together or on their own to work on specific areas. The result is a cohesive book that will challenge the reader and deliver substance that fills in the gaps in their preparation for management.

Skills for Effective Human Services Management happily fills a void in the social work literature. The book will be a superb addition to the texts used in schools of social work to prepare future managers. With its framework and skills-building exercises in each chapter, it also will be an excellent self-guided text for current managers and those who aspire to be upper-level managers.

Many human services organizations are led by social workers; therefore, the profession has a responsibility to prepare its practitioners to fill the roles of chief operating officers and chief executive officers. I am pleased that the NASW Press is bringing this book to the profession.

MARK G. BATTLE, ACSW NASW Executive Director

Acknowledgments

In any edited book project, there are many individuals who contribute to the final product. We first wish to thank the authors of the individual chapters. Without their efforts, this book would not exist. We also thank Chris Ball for his editorial assistance during the early phases of manuscript preparation and Wendy Almeleh for her efforts in the final editing process. Special appreciation goes to Alma Martin, at Case Western Reserve University's Mandel School of Applied Social Sciences, who cheerfully provided us with word-processing services; our publisher, Linda Beebe, at NASW Press, for her counsel and support throughout all phases of this project; and Nancy Winchester, managing editor at NASW Press, for coordinating the publication process.

Others who deserve special thanks include Mark Litzler, who contributed the original cartoons included in the book, and Professors Robert E. Quinn and John Rohrbaugh, who originally conceived of the competing values approach to organizational effectiveness that was later developed by Quinn into the approach to leadership that serves as the framework for this book.

Finally, we want to thank all of our students, colleagues, and mentors, who have, over the years, taught us so many valuable lessons about management. For our managerial strengths, we give them full credit; for our shortcomings, we take responsibility.

R.L.E. and J.A.Y.

Introduction to the Volume

The world of management in the human services is changing rapidly. Part of the change is related to changing conditions—increased incidences of social problems, reduced governmental appropriations for human services programs, evolving service technologies, and the like. Yet, part of the change is also related to developments in management in the for-profit arena.

In the early 1980s, traditional approaches to American management began to be questioned. The characteristics of successful businesses and managers were identified, and questions were raised about whether management-education programs were really preparing leaders for the realities of contemporary management. A major study of the curricula of schools of business (Porter & McKibbon, 1988) suggested that management-education programs needed to place a greater emphasis on human skills. Quinn, Faerman, Thompson, and McGrath (1990, p. v) noted that

what is now available in management education is necessary but insufficient. All... modern organizations, as never before, and even at the lowest levels, are in need of competent managerial leaders. They want technical ability but they also want more. They want people who can survive and help the organization prosper in a world of constant change and intense competition. This means both technical competence and interpersonal excellence.

The business sector has become inundated with books on what makes for excellence, for high productivity, and for overall success (see, for example, Blake, Mouton, & Allen, 1987; Kanter, 1983; Lawler, 1986; Ouchi, 1981; Peters & Waterman, 1982). To a great extent, the management of human services organizations has been influenced by what is occurring in the for-profit or business sector. There is more stress on excellence, on leadership, and on accountability. Yet, the very things that are now being stressed in the world of business—the human skills—are the things that human services managers have historically been best at. The trick is for human services managers to identify and acquire the technical skills and competencies that are called for in today's human services organizations and to integrate them with the human relations skills and competencies that have always been their forte.

Human services managers often experience some difficulty in using texts and training materials that have been developed for the for-profit sector. This book addresses the particular needs of human services managers. The content is aimed primarily at mid- and upper-level managers, who can benefit directly from it as they strive daily to attain excellence, as well as indirectly, as they help those whom they

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supervise do a better job of managing. But, even though it is directed mostly to managers, this book will also be useful in social work and other human services programs that include management education and training as part of their curricula.

Organizing Framework

The organizing framework for this book is a metatheoretical model of organizational and managerial effectiveness called the competing values framework (Edwards, 1987, 1990; Edwards, Faerman, & McGrath, 1986; Faerman, Quinn, & Thompson, 1987; Quinn, 1984, 1988; Quinn et al., 1990; Quinn & Rorhbaugh, 1981, 1983). This model, which is described more fully in Chapter 1, serves to integrate four contrasting sets of management skills: boundary-spanning skills, human relations skills, coordinating skills, and directing skills. Each set of skills has two inherent roles that managers must play to be successful in that sphere of organizational activity. The eight roles are those of broker, innovator, facilitator, mentor, monitor, coordinator, producer, and director. The competing values framework helps make explicit the fact that managers must function in a world of competing values, in which their daily activities most often do not represent a choice between something "good" and something "bad," but, rather, a choice between two or more "goods" or values. As used in this book, the competing values framework helps managers to consider the complexity and multiplicity of their roles within their respective organizations and stresses the point that the performance of a role is rarely an "either-or" situation.

The first section of the book provides an introduction to the competing values framework. The remaining chapters are organized in four parts that relate to the four major sets of skills. Each chapter covers the roles associated with the particular set of skills that are addressed in its respective section. Taken as a whole, the eight roles shed considerable light on what is expected of managers and the competencies they must develop to be effective.

The validity and importance of the eight roles have been demonstrated in several empirical studies. One study (Quinn, Denison, & Hooijberg, 1989) of more than 700 managers revealed that the measures of the eight roles met standard validity tests and that the roles appear in the four indicated quadrants. Another study (Pauchant, Nilles, Sawy, & Mohrman, 1989), involving over 900 managers, also found support for the eight roles and indicated that of 36 possible roles, these eight were considered the most important ones to be performed by managers. Still another study (Quinn, 1988) found that managers who did not perform these eight roles well were considered ineffective, whereas managers who did perform them well were considered very effective.

Learning Approach

This book is designed to be used in a number of ways. It can be used as an individualized learning tool, a primary text in a management-training or educational

setting, or a supplement to other texts. The chapters are organized in a manner that facilitates the development of competencies that are needed to perform the various managerial roles. The structure of the chapters represents a variation of a learning model developed by Whetten and Cameron (1984), which involves assessment, learning, analysis, practice, and application. The first chapter includes an assessment instrument that will enable managers to gain insight into their relative strengths and weaknesses in relation to the eight roles. The succeeding chapters include a narrative section that provides the reader with information about the particular topic addressed in that chapter, examples particularly relevant to human services managers, and one or more skills-application exercises that provide opportunities to apply the material to realistic situations.

The particular topics addressed in the chapters were identified as a result of the editors' experiences as hands-on human services managers and as trainers and educators. It is believed that the array of topics covers many competencies that are not typically found in a single management book, but that are vitally important in the real world of human services management. In choosing the authors of the various chapters, the editors were intent on including those who have had substantial hands-on experience in human services management and who reflect the diversity of gender, race, and ethnicity in the contemporary human services work force. In addition, the editors believe that effective management requires, along with a range of technical and human skills, a sense of humor. Thus, a number of cartoons have been included in the book.

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THE ORGANIZING FRAMEWORK



T his book is organized in accordance with an approach to organizational and leadership effectiveness known as the competing values approach. In this section, Richard L. Edwards and David M. Austin provide an overview of the roles that managers must perform, comparing and contrasting the roles of managers in the forprofit, public administration, and nonprofit sectors. They then identify three broad types of skills that managers must have, suggesting that the desired mix of these skills will vary depending on the level that a manager occupies in the organizational hierarchy.

Edwards and Austin then discuss the competing values framework, which organizes the roles that managers must play within four distinct sets of skills: boundary spanning, human relations, coordinating, and directing. Eight specific roles, two related to each set of skills, are identified and their implications are discussed. The authors suggest that managers must function in an environment of multiple role demands and competing values that they must understand if they are to be effective.

The chapter concludes with a self-assessment instrument that enables individuals to develop a graphic profile of their relative strengths in relation to each of the eight managerial roles identified in the chapter. The graphic profile suggests areas of content included in this book that may be of particular value for building skills.





Managing Effectively in an Environment of Competing Values

Richard L. Edwards and David M. Austin

We live in an era in which organizational life is characterized by shifting priorities, changing patterns in the allocation of resources, and competing demands. Human services managers are often called on to function in a milieu of reduced governmental appropriations for human services, heightened demands for those services, and higher expectations for accountability. It is sometimes suggested that the only constant in management today is change. Contemporary managers must contend almost daily with rapidly changing political, economic, and social conditions. They must be equipped with a broad range of knowledge, skills, and abilities to perform in a competent, effective manner.

The Executive Role

The role that top-level managers in human services organizations must perform is similar to, but distinct from, that of their counterparts in other types of organizations (Austin, 1989). In the for-profit corporate sector, there is what is perhaps the simplest version of the role of chief executive officer (CEO), which combines policymaking and implementation. In the corporate or industry model, the CEO serves as a member of the corporation's board of directors, as well as its senior administrator. With this model, the ultimate yardstick for measuring the effectiveness of the executive's performance is the level of financial return to the shareholders. Another commonly recognized version of the CEO role is that of the generalist public administrator, in which the CEO is believed to be responsible for the implementation of policy, but not for its formulation. This model is predicated on the belief that elected legislative bodies make policy, and administrators or managers have the responsibility for carrying out policy directives (Wilson, 1978).

With the public administration model, several yardsticks are used to measure the effectiveness of the administrator. These include the consistency of implementation with legislative intent; continuity of the governmental organization; and break-even financial management—that is, operating within the limits of available financial resources (Austin, 1989).

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Although there is often a tendency to try to fit the characteristics of the CEO role in voluntary nonprofit and governmental human services organizations into either the for-profit corporate or public administration model, the role of the human services manager is actually distinctive and, in many ways, more complex (Austin, 1983). What the human services manager does is shaped both by the organizational characteristics that nonprofit and governmental organizations share with other types of formal organizations and by the distinctive characteristics of human services organizations (Austin, 1988).

Like their counterparts in the corporate world, human services managers are usually active participants in the formation, as well as in the implementation, of policy, even when their positions are formally defined as not including policymaking. In the real world of the human services manager, most policy issues are brought to an agency's policy board as a recommendation of the top-level manager or executive. Like their counterparts in the world of public administration, human services managers are concerned with such issues as the extent to which implementation efforts are congruent with policy, with the ongoing health of their organizations, and with break-even performance. Also like their public administration counterparts, human services managers have no direct personal economic stake in their organizations' financial performance. Their salaries do not increase in proportion to the size of their organizations' budgets, nor do they get year-end bonuses that are based on financial performance.

Despite these similarities, the role of the human services manager is also different from that of either the corporate executive or the traditional public administrator. Perhaps the most significant difference involves the criteria used to determine success. In the human services sector, the most important yardstick for judging the performance of the human services manager is the quality of the services provided by the organization (Patti, 1987). Another important difference is that the position of the human services manager involves dealing with the interface between two distinctive social structures—the service-production organization and the organized professions of human services (Austin, 1989).

Different Managerial Skills

The position of human services manager and the preferred style of executive performance involve an interactive, adaptive "contingency" process between the individual and the structural context. In turn, that process is shaped both by the operational characteristics of a particular organization and by the situation of that organization in its environment. The job of the human services manager is, of necessity, a proactive one. Effective performance in this position requires leadership in the broadest sense. In providing such leadership, the human services manager is invariably confronted by a series of competing values or demands that are likely to pull her or him in many directions at once and thus that require skill in