

Management and Leadership in Social Work Practice and Education

Edited by
LEON H. GINSBERG



COUNCIL ON SOCIAL WORK EDUCATION
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CONTENTS

Foreword	Rino J. Patti	ix
Introduction	Leon H. Ginsberg	xi
Part I	Basics of Social Work Leadership and Management	1
	<i>Leon H. Ginsberg</i>	
Chapter 1	Management Theory and Human Services Practice	3
	<i>Leon H. Ginsberg</i>	
Chapter 2	Where Have All the Social Work Managers Gone?	22
	<i>Bruce D. Friedman</i>	
Chapter 3	PREP for Social Service Leadership: Directors' Career Paths, Experiences, and Insights	32
	<i>Terri Moore Brown</i>	
Part II	Management and Leadership with Special Groups and in Special Settings	53
	<i>Leon H. Ginsberg</i>	
Chapter 4	Challenges and Skills in Managing HIV Programs	55
	<i>Cynthia Cannon Poindexter</i>	
Chapter 5	Management Skills for Health Care Organizations	76
	<i>Colleen Galambos</i>	
Chapter 6	Competition and Cooperation Among Organizations Serving an Ethnic Community: The Case of the Hmong Suicide Prevention Task Force	90
	<i>Donna Hardina, Jane Yamaguchi, Xong Moua, Molly Yang, and Phoua Moua</i>	

Part III	Specialized Managerial Processes	105
	<i>Leon H. Ginsberg</i>	
Chapter 7	Managing Social Work Research	106
	<i>Joan Levy Zlotnik</i>	
Chapter 8	Designing Client-Centered, Performance-Based Human Service Programs	126
	<i>Bowen McBeath and Harold Briggs</i>	
Chapter 9	Management and Leadership in Contracting	143
	<i>Lawrence Martin</i>	
Chapter 10	Investment Strategies for Nonprofit Organizations	154
	<i>Raymond Sanchez Mayers and Fontaine H. Fulghum</i>	
Part IV	Principles and Issues in Nonprofit Management	165
	<i>Joel M. Levy</i>	
Chapter 11	Administration of Social Services Agencies: The Rural/Small Town Challenge	167
	<i>Peggy Pittman-Munke</i>	
Chapter 12	Fundraising and the Social Work Manager: It's All About Relationships	181
	<i>Joel M. Levy and Matt Aubry</i>	
Chapter 13	Human Resources in Social Cause-Based, Entrepreneurial, Not-for-Profit Organizations	218
	<i>Joel M. Levy</i>	
Chapter 14	Public Relations: An Essential Tool for Building an Organization's Identity and Promoting the Values, Mission, and Goals of Human Services Agencies	232
	<i>Joel M. Levy, Philip H. Levy, Ben Nivin, and Lynn U. Berman</i>	
Chapter 15	Maximizing Financial Resources for Quality Programs: Meeting Your Client's Needs	261
	<i>Joel M. Levy and Karen Wegmann</i>	
Chapter 16	Innovative Strategies for Leading and Managing Large Nonprofit Organizations	292
	<i>Joel M. Levy</i>	
Chapter 17	Strategic Planning for Not-for-Profits: A Brief Guide	327
	<i>Philip H. Levy, Joel M. Levy, and Joshua Rubin</i>	

Part V	Managing Social Work Education	347
	<i>Leon H. Ginsberg</i>	
Chapter 18	Some Special Characteristics of Management in Social Work Education	349
	<i>Leon H. Ginsberg</i>	
Chapter 19	Teaching Financial Management to MSW Students	361
	<i>Mark Ezell</i>	
Chapter 20	The Graduate Social Work Dean: Roles and Reflections	377
	<i>Jeanette C. Takamura</i>	
Chapter 21	Managing Baccalaureate Social Work Education	393
	<i>Michael R. Daley</i>	
Chapter 22	Social Work Education in Historically Black Colleges and Universities: Managing the Legacies and Challenges	411
	<i>Rufus Sylvester Lynch, Jacquelyn Mitchell, and Eugene Herrington</i>	
Chapter 23	A National Survey of Associate Deans in U.S. Accredited Graduate Social Work Programs: A Review of Their Roles and Characteristics	431
	<i>Stanley Blostein</i>	
Chapter 24	The Social Work Educator in Higher Education Administration	451
	<i>Paul R. Keys</i>	
About the Contributors		465
Index		471

FOREWORD

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For several decades Leon Ginsberg has been a leading social work administrator and academic. A former commissioner of a state human services agency, a professor and dean in schools of social work, and, recently, the editor of the journal *Administration in Social Work*, Ginsberg brings to this useful book on social work management a rich background as both practitioner and scholar. Having worked in both agency and academic domains, he is uniquely positioned to understand the demands of management practice and the kinds of information needed by those who work at this craft.

So it is not surprising that Professor Ginsberg has chosen to focus this book on skills and practice guidelines that can be applied easily and directly to the tasks and roles assumed by social work managers, many of whom have not had the benefit of extensive prior educational preparation or experience in management. Nor is it surprising that the authors assembled to produce this book are largely people who are, or have been, administrators. Managers often do not have the time to write for publication, so it is a pleasure to see their extensive contributions to this book. Their insights, based on firsthand experience, give the chapters a currency and authenticity that students and managers will appreciate. The chapters in this book speak in a voice that is easily accessible and specific, without sacrificing the depth that their subjects require.

Social work managers practice in a wide array of human services organizations, at all levels of administration (supervisory, program, and executive), and in variety of line and staff positions. For this reason it is often difficult for managers to apply broad theories and general practice propositions to their particular circumstances. The introductory chapter provides a useful overview of relevant management theories to orient the reader to the latest strategic thinking in the field. But while these theories provide a context, they cannot provide, as Ginsberg is quick to admit, day-to-day guidance on how to address the particular demands that arise in different settings and levels of management. This book seeks to address this challenge by offering chapters on management in specific kinds of organizations and key administrative processes. For example, the reader will find chapters on management in both public and non-profit organizations, in health settings, in schools of social work, in programs for

HIV-AIDS and suicide prevention, and so on.

Cross-cutting these chapters on specific settings are a number of good chapters on specialized management functions, including management of agency research, purchase of service, performance-oriented information systems development, and investment strategies for social agencies. Included here also is an excellent chapter by Joan Levy Zlotnik that provides a wealth of information on how to access social work-relevant research online, on funding sources, strategies for building agency-university collaboration, and trends in evidence-based practice research. These chapters deal with essential skill sets that are increasingly central to the responsibilities of social work administrators.

Two context specific sections in the book, nonprofit agencies and schools of social work, will be especially helpful to managers in these arenas. Six chapters in the section on nonprofits, introduced by Joel Levy, who also contributes to many of these chapters, address in considerable detail such management challenges as leadership, fundraising, financial management, public relations, and human resources administration. The chapters in this section are produced primarily by agency administrators and reflect the latest practices and strategies required in an increasingly complex nonprofit sector.

Another sector-specific part of the book deals with academic administration in social work schools. Aside from occasional monographs, relatively little has been written on this subject in either textbooks or periodicals. Like agency administrators, deans and other academic administrators tend to have little time to devote to writing about their craft, let alone continue with their substantive research interests. This is unfortunate, because new deans and other academic leaders generally have little formal preparation for these jobs, and the transition from teaching and research to management is not easy. Fortunately, this section contains a number of chapters that can serve as something of a primer for new deans as well as an opportunity for seasoned deans to reflect on their practice.

Although this book is mostly about helping managers with context and role-specific skills, it also has a broader purpose: to improve the quality of social work leadership in society. Bruce D. Friedman rightly argues in his chapter, *Current Issues in Social Work Management*, that social work managers play a key role in policy formulation and advocacy for disenfranchised groups and, to this extent, are key spokespersons for the profession. Yet there is evidence that social workers may be losing out in the competition for top leadership positions in both the public and nonprofit sectors. One of the ways this slide can be stemmed is for social work administrators and social work management scholars and researchers and their respective associations to work on a common agenda concerned with recruitment, education and training, research, mentoring, and the development of practice standards like those promulgated by the Network of Social Work Managers. This book, with its rich blend of contributions from the practice and academic communities, is a promising sign that such collaboration may be in the making.

INTRODUCTION

Leon H. Ginsberg

Leading and managing are among the persistent preoccupations in American life. A review of almost any day's and any town's newspapers will show stories about politics and political figures; presidents, governors, and mayors; school systems and their superintendents; law enforcement managers such as chiefs of police; and, frequently, stories about social agencies and their managers. Clearly, leaders and managers as well as their tasks have high public profiles.

This book is about social work leadership and management, subjects that have been important in the social work literature for much of its 110-year history. Some readers may confuse this book and its contents with "case management," a term that is prominent in the delivery of social services. Barker (2003) defines *case management* as "A procedure to plan, seek, and monitor services from different social agencies and staff on behalf of a client" (p. 58). That process has become common in much of human services work and there are case managers with varying levels of education who perform these services. Sometimes the process is referred to as *case integration* (Barker, 2003) or *case coordination*. However, classic social casework includes such efforts to bring a number of services to bear on a client's needs, and social caseworkers provide referral and coordination services to try to better meet the needs of clients. There are many texts on case management, such as Summers (2008), for those who want to learn more about it.

But this book isn't about case management; it's about the administration and management of human services programs. Both the National Association of Social Workers and the Council on Social Work Education have published books in the past on these subjects. This author's coedited book, *New Management in Human Services*, with Paul R. Keys, who is also a contributor to this volume, was published in two editions, in 1988 and 1995, by NASW Press.

More recently, Rino J. Patti, who edited the journal *Administration in Social Work*, before this editor succeeded him, also edited *The Handbook of Social Welfare Management*, a thorough and detailed text on the subject.

One of the earliest efforts at scholarship about social work leadership and management was the publication nearly 40 years ago of *Social Work Administration: A*

Resource Book, edited by Harry A. Schatz and published by CSWE in 1970. It was large and not nearly as attractive as typical texts today, at a time when social work books from commercial publishers were just beginning. This volume's spiffy cover was far removed from the appearance of Schatz's early efforts. But the social work management literature goes back further. Mary Richmond, whom some consider the founder of modern social work education in the 19th century, was a leader in the development of theories of "scientific philanthropy" when she served in various capacities with Charity Organization Societies and in the first social work education program, at the New York School of Philanthropy (Austin, 2000).

But the literature from the past and more current times on managing and leading social work programs is extensive. Rino Patti (2000) cites *Problems in Administration in Social Work* by P. Atwater, published in 1940 by the University of Minnesota Press. In 1973, Rosemary Sarri wrote *Effective Social Work Intervention in Administration and Planning Roles: Implications for Education* under the auspices of CSWE. Other works include Demone and Harshbarger's *A Handbook of Human Services Organizations*, published in 1974 by Behavioral Publications; R. M. Cyert's *The Management of Nonprofit Organizations*, published in 1975 by D. C. Heath; Harleigh Trecker's *Social Work Administration: Principles and Practices*, published by Association Press in 1977; Mark Miringoff's *Management in Social Welfare*, published in 1980 by Macmillan; Crow and Odewahn's *Management of the Human Services*, published by Prentice-Hall in 1987; and Rino Patti, John Poertner, and Charles Rapp's edited *Managing for Service Effectiveness in Social Welfare*, published by Haworth. Rapp and Poertner also collaborated on *Textbook of Social Administration: The Consumer-Centered Approach* in 1992, published by Longman and, in 2007, by Haworth Publishing. Also in 1988, David Austin published *The Political Economy of Human Service Programs* with JAI Press. The NASW Press published Felice Perlmutter and Wendy G. Crooks's *Changing Hats While Managing Change: From Social Work Practice to Administration* in 2004. Ralph Brody's *Effectively Managing Human Service Organizations*, now in its 3rd edition, was published by Sage in 2004. Barry Dym wrote *Leadership in Nonprofit Organizations: Lessons from the Third Sector*, published by Sage in 2005, and Mark Hughes's *Organizations and Management in Social Work* was also published by Sage, in 2007. *Person-Centered Leadership for Nonprofit Organizations* by Jeanne M. Plas was published by Sage in 2000, and Peter Kettner's *Designing and Managing Programs*, in its third edition, was published by Sage as well. Other important works for students of social work management include Brody's (2005) *Effectively Managing Human Service Organizations*; Dym's (2005) *Leadership in Nonprofit Organizations: Lessons From the Third Sector*; and Hughes's (2007) *Organizations and Management in Social Work*.

That's only part of the literature of social work leadership and management, and more may be published before this book is in print.

In addition to social work's own literature, writers on leadership and management are prolific in world literature. Their tradition is long and ranges from sources in the Bible and the Middle Ages, to the writing of Machiavelli, to modern-day academic and popular writers about leadership and management.

The existing social work leadership and management literature is extensive and cited frequently by the authors of the various chapters here. However, this book differs from much of that literature in several ways. For one, the authors represent both management practice and academic scholarship on management issues. One of the shortcomings in the social work professional literature in our field of professional practice is that few practitioners, compared with teachers and researchers, write about their work. Clearly, practitioners have special insights that professors and other scholars, who often serve as consultants and board members of social agencies, may not have. Several current and former social work managers publish their work in this book, and most of these practitioner-authors are also current social work educators, on a part-time basis. So this book, we hope, transcends the often large gap between the practice of social work and its theoretical bases. Some examples are the chapters authored, or co-authored with his colleagues, by Joel Levy, chief executive officer of the multimillion-dollar Young Adult Institute of New York. Paul R. Keys, a frequent writer on management issues, worked in public social services and as a faculty member before he became a university administrator in Missouri and now in Illinois. This editor is a social worker who moved back and forth between management practice and social work education during his 50-year social work career.

Each author was asked to prepare a practical and accessible treatment of his or her subject. The book is designed for managers and potential managers in both social work agency management and social work education. It is also designed to be a text for social work students, many of whom will become managers within a few years of completing their studies. That is generally the framework of the entire book—practical approaches to leadership and management issues in our field. One goal is to offer direct and rapidly usable information for social agency managers at all levels of responsibility and to directors of social work education programs. Applying theoretical and sometimes abstract concepts to their highly specific and complicated tasks is challenging, and we hope this book will help them in their work. We also hope the book will be used in the classroom by students. BSW and MSW programs are required to educate their students about leadership and management, and many of their graduates quickly become managers and supervisors of social welfare programs. When they assume those roles, we hope they will remember the lessons of this book.

There are some other emphases here that are not often found in the literature. Although deans and directors of social work programs share their insights through groups such as the Bachelor's Program Directors and the National Association of Deans and Directors, their ideas have not been shared often with the larger social work community. In this book, directors such as Michael Daley of the University of South Alabama and Jeannette Takamura of Columbia University offer practical comments on their roles.

In another way, the book is different because it provides some information on management in rural areas, a subject of some importance to those who manage the many nonmetropolitan area agencies.

Historically Black colleges and universities' (HBCUs') social work programs are an important and large segment of social work education. However, they are not often

discussed in the professional literature. The chapter by Rufus Sylvester Lynch, Jacquelyn Mitchell, and Eugene Herrington, based in part on a series of meetings of HBCU social work programs, provides special insights into their challenges.

So, with due respect to the existing social work management literature, this book offers itself as a new and different contribution to that literature.

Why so many books on management? Michael J. Austin and Mark Ezell's special issue of *Administration in Social Work* (2004) included articles that noted the relatively small number of management courses in social work schools. The numbers of students who choose the management track in those MSW programs offering them are relatively small, which means sales of related textbooks, which often constitute the bulk of social work publication sales, must also be small.

However, for social work's whole existence, the common belief is that management of services is perhaps the most crucial subject in the lexicon: more important than casework, group work, or community organization; able to achieve massive change with a pen stroke; the basis for the gain or loss of millions of dollars and the employment or unemployment of thousands of social workers. There was never a time when large numbers of social work leaders did not believe that preparing effective managers was at the top of the most critical items on the profession's agenda.

Several reasons form the basis for that belief, including those already mentioned about the essential power of persons in managerial positions. Another is the reality of social workers with a degree of success in line worker and supervisory positions being promoted rather quickly into management. A number succeed and are in demand for other managerial work, but others fail and may drag their programs down with themselves.

Social work may also have a dearth of people interested in and qualified for managerial positions. It is not a subject taught in detail to most students. And many of the students who take such courses don't visualize themselves as potential managers and, consequently, don't take the course content seriously—although managers are what they may become within the first 5 years after they graduate. For many, management isn't what they chose to do when they became social workers, and, therefore, they resist aspiring to or moving into such positions.

There are almost always more social work management jobs than there are those who are qualified to hold them. For educators, the list of vacancies for social work department chairs, deans, or directors tends to exceed the demand for higher-rank professors.

Objectives of the Book

This book is designed to achieve several objectives. The authors, who are distinguished social work leaders, managers, and scholars of management, were oriented with these objectives in mind.

1. Provide practical, easy-to-understand, and up-to-date information about the basics of managing human services programs.
2. Serve as a text for students in courses dealing in part or entirely with the management of social welfare agencies.

I Basics of Social Work Leadership and Management

Leon H. Ginsberg

The opening chapters of this book trace some basic theories about management and leadership in social work that serve as a backdrop for the rest of the volume.

Chapter 1 is an overview of the current management literature of both social work and general theories of management found in the works of scholars and practitioners in other fields. Tom Peters and Robert Waterman, whose various works on the pursuit of excellence in organizations continue to influence scholarship and practice from the time they were published 30 years ago, have regularly updated their ideas and examples with books, videos, and audio. Other classical theorists, such as W. Edwards Deming, who developed the concept of Total Quality Management, and many predecessors, such as Mary Parker Follett and Luther Gulick, are included as well.

The book also pays some attention, especially in chapter 1, to what some might call “pop” theories of management. The dearth of materials on management, as well as the huge audience for works on the subject, prompts authors to write about the subject from all kinds of perspectives. There are books about Attila the Hun’s management theories and even one on the management style of popular television character Tony Soprano, and the management literature pays some serious attention to such classical theorists as Machiavelli. Of course, not all or even most management theories can be covered in a single chapter. One of the goals of the chapter—and the book—is to help readers learn how much literature there is and how much we do not know.

Much of the management literature comes from fields such as business administration and educational leadership, so social workers have usually found it necessary to adapt those disparate foundations to practice in the social work field.

Social work management has a growing literature of its own, some examples of which are included in this first part of the book.

Bruce D. Friedman, president of the National Network for Social Work Managers and chair of the Social Work Department at California State University, Bakersfield, raises some of the current issues faced in the social work management field in chapter 2. The Network, a long-standing forum for those engaged in managing social programs, holds an annual institute. It also is tied to *Administration in Social Work*, the Network’s official organ.

Because this book blends issues of leadership and management in social work practice with the management of social work education—as well as teaching students about management concepts—several chapters deal with education for leadership and management. Terri Moore Brown's chapter (3) on preparing students for social agency management focuses entirely on an approach to providing that education.

Part I should serve as a useful introduction for the rest of the book, which focuses on more specialized topics. Please note that some of the chapters in this section will help readers better understand some of the later ones. It is also a good primer on the overall subject of social work leadership and management.

1

Management Theory and Human Services Practice

Leon H. Ginsberg

A majority of licensed social workers are involved, for at least part of their assignments, in managing human services agencies. In the National Association of Social Workers (NASW) study of licensed social workers (Center for Health Workforce Studies, 2006), 69% of the social workers who responded to the survey indicated they were engaged in administration and management. However, most of those carried out administrative and management tasks only part of the time—generally as supervisors or managers of various kinds of client services. Only 20% of those surveyed devoted half or more of their time to administration and management. The study found that almost all licensed social workers (96%) were engaged in some form of direct service to clients. Although the licensed workers who were studied often engaged in consultation (73%) community organizing, (34%) policy development, (30%), and research (19%), these, along with administration and management, were secondary responsibilities to their providing direct services to clients.

Managing Social Welfare Programs

The practices of managing social welfare programs and social workers are explicated in detail in social work's own management literature, which is extensive and growing. However, social work management benefits from the much more extensive general literature on management, which has a long history, as discussed later in this chapter. It comes from such fields of study as business administration, public administration, and specialized fields comparable to social work such as educational and health services administration. To make that literature useful to social work management and other nonprofit fields, however, adaptations must be made, because much of the general management literature focuses on making a profit. Terms such as production and productivity have to be translated into social work terms. Producing automobiles, for example, is not the same as serving clients—although numbers of cases, interventions, and services may serve as proxies for dealing with units of production. Some more commonly used management concepts such as managing by

objectives and outcomes, discussed later in this chapter, are more readily translated into the various outcomes social welfare agencies pursue.

Some management literature has an ongoing debate about the qualifications of managers in specialized efforts and organizations. For example, is managing a school significantly different from managing a retail store? Both settings require articulation of objectives, some organizing and structuring, some measurement of efforts, supervision and training of personnel, and other common functions. For some theoreticians, management is management—whether it is management of social services or management of a business. Increasingly, social agencies are turning to the business world for its managers. Even more common, they seek those with educational preparation in public administration. Some universities employ people with successful business management backgrounds instead of educational experience, and, in many cases, they succeed.

In the minds of others, management requires personnel with the specific preparation associated with the endeavor. Social agencies, that approach would say, need social workers as managers. Schools need people specially prepared as educators or school administrators. Businesses require managers with experience in business. The ethical mandates of the professions, including the human services professions, are central to managing organizations effectively that deal with those professions, advocates for managers with subject matter experience believe.

Some of those who hold that only subject matter specialists are equipped to manage programs in specific areas are accused of emphasizing their professions rather than the needs of their organizations. Some lawyers effectively and ethically manage human services agencies. Social workers and business administrators manage some medical practices. So the question of appropriate preparation for quality management is not settled by empirical evidence.

The argument will not be settled by this text, but readers can expect to read about it often in the social work management literature.

The Management Literature

Some of the largest sections of most American bookstores and libraries are those containing academic and popular books on business. And one of the most popular areas of business is management.

Despite management's prominence and focus in American society, managers of all kinds account for only 4.6% of the U.S. workforce, according to *Schott's Miscellany* (2008). The importance placed on management is probably related to the impact managers are seen as having on the rest of the workforce and the economy.

Every professional field, like social work, has its own specialized administration and management literature. Business administration is one of the largest professional fields in higher education, and much of its curriculum is based on studies of and preparation for management positions. Health care fields, especially hospital administration, devote a good bit of their efforts to managing programs and services. Education—elementary, secondary, and higher—has bodies of literature on administration, along