Learning Philanthropy: Engaging in the Study and Practice of Giving
Northwestern University
School of Education and Social Policy (SESP)
SESP 351
Spring 2014

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Class: Tuesdays, 2:00 pm - 5:00 pm
Location: Annenberg Hall, Room 303, Baldwin Studio
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COURSE DESCRIPTION

An aim of this course is to engage students in the study of philanthropy and the practice of giving. We bring to this examination a particular set of perspectives emphasizing philanthropic giving intended to improve the lives of children and adults and the opportunities afforded them. As a class, we will interrogate this focus and the role of philanthropy in the United States by studying its history, social meanings, motivations, and effects. Students will learn about philanthropy in light of relationships with the nonprofit sector and government, socio-cultural and historical contexts, and influences on why individuals give. In addition to developing rich understandings of theory and actions in philanthropic practices, students will be asked to explore their own conceptions and values about philanthropic purposes and outcomes. By the end of the course, students should have gained knowledge and experience that will enable them to more thoughtfully and diligently engage in the practice of giving.

In the grant-making lab part of this course, students will have the unique opportunity to experience the satisfaction, challenges, and responsibility of giving away money with the intention of promoting a public benefit. Expectations are high for participation and engagement in course assignments and class discussion, and for professionalism in the community-based activities. Together, students and professors will decide, through deliberation and discussion, why and how this money will be granted to benefit people and causes of the students' choosing. All recipients must be U.S. 501(c)(3) organizations; all grants will be awarded by the end of the spring 2014 quarter. This laboratory component of the course is made possible by an initiative of the Once Upon A Time Foundation of Ft. Worth, Texas. The Foundation has entrusted the class with these resources to enhance students' understandings of and engagement in philanthropy.

COURSE REQUIREMENTS

This course will require individual reflection as well as large- and small-group analyses and discussions of the readings and videos. Through dialogue and discussion, our goal is to facilitate your explorations of major ideas and practices in philanthropy. Students thus are expected to arrive at each class session on time and having read the materials assigned, prepared to participate constructively in class discussions.

One third to one half of each class will be devoted to the grant-making lab. Each student is assigned to one of several workgroups based on individual and class topic priorities. In this portion of the course, students are expected to participate in discussions and other activities of the workgroup leading to a plan, argument, and decision about an organization to fund, and at what level. These other activities may include establishing goals and principles for giving, investigating and visiting nonprofit organizations on site and other performances of due diligence, engaging in discussions, and reaching collective decisions. For each session, the workgroup should select a facilitator and recorder. Benchmarks are provided for lab activities to help guide progress toward final recommendations.

Assessments of individual work account for 60% of the final grade; the grant-making lab accounts for 40%. Assignments are due by 11:59 pm (CDT) on the specified due date. No late assignments will be accepted after the last class. Late assignments received before the last class will lose ½ grade.

Five components make up the course requirements: Participation, Reflection Papers, Workgroup Class Presentations, Reviews of Other Workgroup Presentations, and the Workgroup Portfolio. Except for the in-class workgroup reviews, the papers and workgroup portfolios should be submitted on Canvas.

<u>Participation</u> (15%):

This component includes attendance, coming to class prepared, active and constructive involvement in information gathering and due diligence discussions and activities, posting information on Canvas as requested, and constructive participation in final decision-making activities. One absence is excused without penalty. Each student is expected to participate in two site visits to organizations being considered for funding by her/his workgroup.

<u>Reflection Papers</u> (40%):

Paper 1 (20%): Philanthropic autobiography (2-4 pages), with references to course readings. This paper is an opportunity for you to reflect on yourself and your times of giving. What are key values or principles that motivated this giving? What connections of your views and experiences can be made to the readings, as support for or further illustrations of your points? Cite course readings in American Psychological Association (APA) style. **DUE APRIL 15, 2014**

Paper 2 (20%): In two to four pages, identify a challenge you have discovered in giving away money wisely through your readings, through class discussions, or through the unfolding of your group's activities. Describe how this challenge occurred to you, and why you find it difficult. Does this possible pitfall make you hesitate to give or to ask for money? Why or why not? How would you guard against its worst effects? Include and reference at least four class readings to support and/or elucidate your ideas. Cite course readings in APA style. **DUE MAY 20, 2014**

<u>Workgroup Class Presentations</u> (15%):

Presentation 1 (5%). Power-point/video/oral presentation on the finalist 3-4 organizations the workgroup is considering for funding, including the following:

1. Overview of your topic and context: your workgroup's topic (e.g., poverty, education, child/youth development, health and wellness); the workgroup mission statement; and the workgroup theory of change.
2. A brief description of the 3-4 organizations under consideration and compelling reasons why the workgroup considers these the leading candidates for funding.
3. Kinds of information you would like to collect at the site visit; questions/issues on which you would like advice from the class.

In written and oral exchange, class members will have an opportunity to ask questions about the workgroup's rationale and organization choices. **MAY 6, 2014**

Presentation 2 (10%). Power-point/video/oral presentation on the workgroup's recommendation and rationale for funding, including the following:

1. Overview of your topic and context: your workgroup's topic (e.g., poverty, education, child/youth development, health and wellness); the workgroup mission statement; and the workgroup theory of change.
2. Organization choice: provide several compelling reasons why your group selected the organization that you are recommending; include a brief overview of the nonprofit organization and key learnings from the site visits and other due diligence investigations of the organization;
3. About the recommended organization: a brief description of the organization; the organization's mission statement/principles; what you learned about the organization from site visits and other due diligence investigations; the amount you propose to give to the organization and why you propose that amount; how the organization intends to use the funds, and anticipated results and outcomes of this award.
4. Why this organization? Evidence that the organization is worth funding, organized along the criteria for judging organizations developed in class.

The intention is to present a persuasive argument designed to inform others about what you want to do, and why. Workgroup members should be prepared to answer questions about selection criteria, selection process, merits of the recommendation, and anticipated results. The presentation is limited to a maximum of 30 minutes: **JUNE 3, 2014**

<u>Reviews of Other Workgroup Presentations</u> (5%)
Class members will have an opportunity to critique the presentations made by other workgroups. Would you support a recommendation to fund this organization? Why? Why not? What questions remain? What additional information would be helpful to you? Any suggestions for improvement? Written review sheets will be shared (anonymously) with the other workgroups. In-class reviews are due by the end of class for Presentation 1 and by the end of the class for Presentation 2.

<u>Workgroup Portfolio</u> (25%):
The workgroup portfolio is comprised of five (5) documents. One portfolio per workgroup will be accepted.

(1) A written report (5-10 pages) including all elements of your PowerPoint presentation. The report should include the following. **DUE JUNE 9, 2014**

    a. Overview of your topic and context: your workgroup's topic (e.g., poverty, education, child/youth development, health and wellness); workgroup mission statement; workgroup logic model.

b. Organization choice: the 3-4 organizations considered and a brief description of each; several compelling reasons for why your group selected the organization that you are recommending; a brief overview of the nonprofit organization and key learnings from the site visits and other due diligence investigations of the organization;
c. About the recommended organization: a brief description of the organization, including its mission, history, location, and populations served; what you learned about the organization from site visits and other due diligence investigations; the amount you propose to give to the organization and why you chose that amount; how the organization will use the funds; and anticipated results and outcomes of this award.
d. Why fund this organization? Evidence that the organization is worth funding, organized along the criteria for judging organizations developed in class.

(2) Citation for the award: a 100-word statement about each organization selected to receive an award that could be used as a press release (and can be incorporated into your presentation at the reception). **DUE JUNE 9, 2014**

(3) Draft email of declination to be sent to each organization that you visited but decided not to fund. Instructors are to review the emails prior to their being sent to the organization. **DUE JUNE 5, 2014**

(4) Memo (2-3 pages) to the next cohort of students including the following information (2-3 pages). **DUE JUNE 9, 2014**
   a. Reasons for giving money to your organization
   b. Expectations/intended uses of the grant, including a timeline of activity for the next year
   c. Questions that should be asked of the organization in one year in regards to the activities and outcomes to be completed/achieved (What should others look for in one year to know that your grant-making has achieved what you intended?)

(5) A 5-minute PowerPoint to accompany the presentation of awards to your organizations at the reception. **JUNE 10, 2014**
   The PowerPoint should consist of 1-3 slides including the following information:
   1. Name of the organization
   2. Information for a contact person (executive director and/or other individual(s) attending the reception)
   3. Pictures of the organization and/or its clients (if available)
   4. Brief description of what the organization does
   5. Your workgroup's reasons for choosing to fund the organization

AWARDS RECEPTION
One of the highlights of the course is the awards reception. Here, for all class members and their guests who can attend, is the opportunity to spotlight each grantee's work and for the workgroups to award symbolic checks to representatives of the selected organizations. **JUNE 10, 2014**

COURSE MATERIALS
Articles and book chapters can be downloaded from the online course-management system, Canvas, or found online at the link provided. As these readings will be the focus of class discussions, students should have access to digital or print copies during the class. Below are website links to information that you may find useful about nonprofit organizations of interest and philanthropy.

General sites:
Idealist.org (clearinghouse for nonprofit ideas and news)
Nonprofithub.com (large list of links organized by category)
Greatnonprofits.org (searchable database on nonprofits)
Guidestar (basic data on NPOs, including the tax form 990; the site is free but registration is required)
Charitynavigator.org (financial health and accountability reviews of 6000 major national charities)
Urban institute (general social and economic policy research institute, with section devoted to nonprofits and philanthropy)
Harvest Today (nonprofit and philanthropy news service)
Givewell.org (research on charities)
National Center for Charitable Statistics (http://nccsdataweb.urban.org/)
Independent Sector: www.independentsector.org (broad-based coalition dedicated to improving America's third sector)
Foundation Center, www.fdncenter.org (database on foundations)

On philanthropy:
Donors Forum (www.donorsforum.com): organization dedicated to strengthening Illinois philanthropy and the nonprofit sector
The Chronicle of Philanthropy (national weekly devoted to covering philanthropy)
The Non-Profit Times (monthly news magazine)
Ashoka: www.ashoka.org (supports social entrepreneurship, with section devoted to nonprofits and philanthropy)
Center on Philanthropy at Indiana University (www.philanthropy.iupui.edu)
EPhilanthropyFoundation.org (organization dedicated to promoting online philanthropy, includes ezine)
Philanthropy News Digest (http://fdncenter.org/pnd)
American Association of Fundraising Counsel (http://www.aafrc.org : organization dedicated to ensuring ethical behavior amongst philanthropies)
The Philanthropic Initiative (www.tpi.org : offers strategic services to philanthropists)
American Institute of Philanthropy (www.charitywatch.org : general purpose philanthropy website, including ratings of organizations
Center for Strategic Philanthropy & Civic Service (http://cspcs.sanford.duke.edu)
Non-Profit Quarterly (www.nonprofitquarterly.org)
Wealth and Giving Forum, Boston College: www.wealthandgiving.org/people_schervish.html
Science of Generosity Initiative, University of Notre Dame: http://generosityresearch.nd.edu/

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> To give away money is an easy matter and in any man's power. But to decide to whom to give it, and how large, and when, and for what purpose and how, is neither in every man's power nor an easy matter.
>
> Aristotle
> *Nicomachaen Ethics*, 360 BCE

COURSE MEETINGS

APRIL 1 INTRODUCTION: PERSPECTIVES ON PHILANTHROPY

What is philanthropy, and why engage in such practices?
Introductions and discussion of admissions essays – what you bring to the class
What you hope to get out of the course
What we want to accomplish and how we will go about it
Course Overview

Readings:
Andrew Carnegie. 1901. Part 1. *The Gospel of Wealth and Other Timely Essays*. http://archive.org/details/cu31924001214539

Watch: Charlie Rose Show on the Giving Pledge with Bill and Melinda Gates, Warren Buffett, June 16, 2010: http://www.charlierose.com/watch/50064709

Peter Singer. December 17, 2006. What Should a Billionaire Give – and What Should You? *The New York Times Magazine*.

Andrew Ross Sorkin. August 29, 2011. The Mystery of Steve Jobs's Public Giving. *The New York Times*: dealbook.nytimes.com/2011/08/29/the-mystery-of-steve-jobss-public-giving/

Caroline Preston. October 26, 2011. Steve Jobs Found Much to Dislike About Philanthropy. https://philanthropy.com/blogs/the-giveaway/steve-jobs-found-much-to-dislike-about-philanthropy/909

Olivier Zunz, December 23, 2011. Philanthropy by the Rest of Us. *The New York Times*. www.nytimes.com/2011/12/23/opinion/christmas-seals-and-mass-philanthropy.html?_r=1

LAB: Four to five workgroups have been constituted, based on each student's priority interests. Over the quarter, you and other members of your workgroup will work together to recommend to your class peers a grant to a nonprofit organization. In this first session, introduce yourselves to one another. What are your initial instincts about giving to particular causes and/or organizations? Begin to identify principles that will guide your decisions.

APRIL 8 MISSION AND THEORY OF CHANGE

What is it that you hope to accomplish with this gift? What problems are you addressing? How will this gift help? What are key assumptions that underlie your theory of change?

Readings:
Thomas J. Tierney and Joel L. Fleishman. 2011. What Are My Values and Beliefs? *Give smart: Philanthropy that gets results*. New York: PublicAffairs, pp. 21-48

Paul Brest and Hal Harvey. 2008. Choices in Philanthropic Goals, Strategies, and Styles, & Analyzing Problems and Developing Solutions. *Money well spent: A strategic plan for smart philanthropy*. New York: Bloomberg Press, pp. 21-57

W.K. Kellogg Foundation. January 2004. *Logic Model Development Guide*. www.wkkf.org/knowledge-center/resources/2006/02/wk-kellogg-foundation-logic-model-development-guide.aspx. Chapter 1, pp. 1-14

Council on Foundations, Legal Services and Ethical Standards Group. *Conflict of Interest: IRS Sample Policy Annotated for Grantmakers*
http://c.ymcdn.com/sites/www.philanthropynetwork.org/resource/collection/D7B306E0-13DB-4C30-B5D5-8B4C88FC06F4/Conflicts-of-Interest-IRS-Sample-Policy1.pdf

LAB: Begin drafting a mission statement and theory of change for workgroup giving, highlighting the principles and goals that will guide your workgroup's decisions. In addition, together, the class will develop a Conflict of Interest policy.

APRIL 15 WHY GIVE?

Do you expect everyone to be charitable, or is someone who gives to charity going beyond the call of duty? How do personal philosophies intersect with ideas about improving society?

Readings:

Peter Frumkin. 2006. Giving Styles. *Strategic giving: The art and science of philanthropy*. Chicago: University of Chicago. p. 253-292 eBook - http://nucat.library.northwestern.edu/cgi-bin/Pwebrecon.cgi?BBID=5607181

Peter Singer. 2009. *The Life You Can Save: Acting Now to End World Poverty*. NY: Random House, pp. 3-41

Patricia Illingsworth. 2011. "Giving Back: Norms, Ethics and Law in Service of Philanthropy," in Patricia Illingsworth, Thomas Pogge, and Leif Wenar (eds), *Giving well: The ethics of philanthropy*. Oxford University Press, pp. 196-219

Rob Reich, "Not Very Giving," *The New York Times*, September 4, 2013
http://nyti.ms/17AvnVY

GUESTS:

Charles A. Lewis, Lewis-Sebring Family Foundation, Evanston, IL
Casey Lewis Varela, Lewis-Sebring Family Foundation, Evanston, IL

LAB: Complete the mission statement and theory of action. ****By the next Lab on April 22, each workgroup member is to have conducted online reviews of two organizations of interest and posted a brief report (1-2 paragraphs) about each one**. Don't contact the organizations yet.

REFLECTION PAPER 1 DUE

APRIL 22 THE NONPROFIT SECTOR IN THE U.S.: MISSION AND SCOPE

What is the nonprofit sector in the United States and why do we need it? For whom and for what?

Readings:

Peter Frumkin. 2002. The Idea of a Nonprofit and Voluntary Sector, *On being nonprofit: A conceptual and policy primer*. Cambridge, MA: Harvard University Press, 1-28

Kevin C. Robbins. 2006. The Nonprofit Sector in Historical Perspective: Traditions of Philanthropy in the West. In Walter W. Powell & Richard Steinberg (eds), *The nonprofit sector: A research handbook* (2nd Edition). New Haven: Yale University Press, pp. 13-31

GUEST TBD

LAB: Discuss information about the organizations proposed by group members. Weigh the merits. Start narrowing down the number of organizations.

APRIL 29 WORKSHOP ON GATHERING INFORMATION

What information is important to gather to inform your decision to support a nonprofit organization? What information about the organizations is needed in advance of contact and site visits? Where do you find it? Conducting site visits: making contacts, stating purpose, interviewing and other data gathering and evidence, observations and taking field notes.

Readings:

Robert Emerson, Rachel Fretz, and Linda Shaw. 2011. In the Field: Participating, Observing, and Jotting Notes. *Writing ethnographic fieldnotes*. Chicago, IL: University of Chicago Press (2nd edition), pp. 21-43

Steinar Kvale. 2008. The Interview Situation. *Interviews. An introduction to qualitative research interviewing*, pp. 124-143

Wayne Booth, Gregory Colomb, Joseph Williams. 1995. *The craft of research*. Chicago: The University of Chicago Press, pp. 88-93

Joel J. Orosz. 2000. Site Visits, & The Ethics of Grantmaking. *The insider's guide to grantmaking: How foundations find, fund, and manage effective programs*. San Francisco: Jossey-Bass, pp. 130-142 and pp. 252-261

LAB: Select the top 3-4 nonprofit organizations, and for each organization provide the contact information (contact name, mailing address, email address) on Canvas. The instructors will send letters of introduction to these organizations prior to your contacting the organization. Assign responsibility for the workgroup presentations on May 6.

MAY 6 WORKGROUP PRESENTATIONS #1

Power-point/video/oral presentation on the finalist 3-4 organizations that the workgroup is considering for funding, including the following:

1. An overview of your topic and context: your workgroup's topic (e.g., poverty, education, child/youth development, health and wellness); the workgroup mission statement; and the workgroup theory of change.
2. A brief description of the 3-4 organizations under consideration and compelling reasons why the workgroup considers these the leading candidates for funding.
3. Kinds of information you would like to collect at the site visit; questions/issues on which you would like advice from the class.

In written and oral exchange, class members will have an opportunity to ask questions about the workgroup's rationale and organization choices.

LAB: What additional information do you need about these organizations? The workgroup should develop common questions to ask and materials to collect from each organization. Decide who will visit which sites, in teams of 2-3 students. Each student should visit two sites.

MAY 13 EFFECTIVENESS, ACCOUNTABILITY, AND LEGITIMACY

How do you think about effectiveness and accountability – for nonprofit organizations, for the field of philanthropy, as well as for your own grantmaking?

Readings:

Peter Frumkin. 2006. Central Problems: Effectiveness, Accountability, and Legitimacy, *Strategic giving: The art and science of philanthropy*. Chicago: University of Chicago, pp. 55-89. http://site.ebrary.com/lib/northwestern/Doc?id=10271872&ppg=94

Thomas J. Tierney and Joel L. Fleishman. 2011. What Is "Success" and How Can It Be Achieved? *Give smart: Philanthropy that gets results*. New York: PublicAffairs, pp. 49-79

Dan Pallotta. March 2013. The Way We Think About Charity is Dead Wrong. www.ted.com/talks/dan_pallotta_the_way_we_think_about_charity_is_dead_wrong.html

Jennifer Amanda Jones. Buchanan: Pallotta's TEDTalk "Rooted in Fallacy and Distortion." *NPO Quarterly*, September 27, 2013 http://www.nonprofitquarterly.org/policysocial-context/22976-buchanan-pallotta-s-tedtalk-rooted-in-fallacy-and-distortion.html#.Ut8jlPeDAzQ.email

LAB: Take stock of your progress. Review any site visit or other information about the organizations. What else needs to be done? You should be nearing agreement on one nonprofit organization to advance for funding.

MAY 20 GRANTMAKING: ASSESSING THE WORK

What are your expectations for the gifts you make? How might the return on investment be evaluated?

PANEL DISCUSSION: Members of the 2013 Learning Philanthropy class talk about the intentions of their workgroup and the reports submitted by the funded organizations

Readings:
Memos written to the 2014 class by the four 2013 workgroups

Reports from the organizations awarded gifts in 2013

Paul Brest and Hal Harvey. 2008. Assessing Progress and Evaluating Impact. *Money well spent: A strategic plan for smart philanthropy*. New York: Bloomberg Press, pp. 135-148

Paul Brest. Spring 2012. A Decade of Outcome-Oriented Philanthropy. *Stanford Social Innovation Review*
http://www.ssireview.org/articles/entry/a_decade_of_outcome_oriented_philanthropy

LAB: Decide on the nonprofit to recommend for funding. Assign responsibility for the class presentation and portfolio components. Who will have responsibility for which parts of the class presentation and the workgroup portfolio? The workgroup portfolio, including all the components, is to be submitted as one document.

REFLECTION PAPER 2 DUE

MAY 27 REFLECTIONS ON GIVING: MOTIVES, PURPOSES, RESPONSIBILITY

Reading:
Julie Salamon. 2003. *Rambam's Ladder: A Meditation on Generosity and Why it is Necessary to Give.* New York: Workman Publishing

LAB: Continue discussions about workgroup presentations and portfolio documents.

JUNE 3 WORKGROUP PRESENTATIONS OF RECOMMENDATIONS

In-class reviews of other workgroups are due by end of class.

****THE FINAL CLASS MEETS ON A DIFFERENT DAY AND TIME**

MONDAY, JUNE 9, 2014
9:00 AM – 11:00 AM DECIDING WHO GETS WHAT

WORKGROUP PORTFOLIO IS DUE

TUESDAY
JUNE 10, 2014 PRESENTATIONS OF AWARDS AND RECEPTION
4:30 PM – 6:00 PM

Each philanthropy workgroup will make a brief presentation about its chosen organization and award the check to a representative from that organization.

3/23/14