

Nelson A. Rockefeller Center for Public Policy and the Social Sciences  
Dartmouth College

**PBPL 51: LEADERSHIP IN CIVIL SOCIETY: PHILANTHROPY IN  
THE NONPROFIT SECTOR**  
**Spring 2019 Term: 209 Rockefeller Hall**

Professor Ronald G. Shaiko  
204 Rockefeller Hall  
Telephone: 646-9146  
Email: Ronald.G.Shaiko@Dartmouth.edu

10A: Tues./Thurs., 10:10-12:00pm  
X-Hour: Wed., 3:30-4:20pm  
Office Hours: Tues./Thurs. 12:30-2:30pm  
and by appointment

**Course Philosophy:** This course will focus on four key social and political concepts—leadership, social capital, civil society, and philanthropy. In the United States as well as in other democratic societies around the world, the social and political space between the citizen and the state is often referred to as civil society. Civil society, broadly defined, includes what is variously labeled as the “voluntary sector,” the “third sector,” or the “nonprofit sector,” but civil society also includes the news media as well as the organizational and electoral aspects of political parties. The voluntary or nonprofit sector includes all nongovernmental organizations (NGOs) that impact the daily lives of citizens, such as philanthropic organizations, religious institutions, social movement organizations (SMOs), and public interest or collective action groups.

Leadership in civil society is manifest in many ways, particularly at the grassroots level in American society. As Alexis de Tocqueville observed, we are “a nation of joiners.” It is through the joining of forces in collective action that citizens have a more direct impact on public policy and the more general “pursuit of happiness” in contemporary society. It is through civil society that individual thoughts, preferences, and behaviors are aggregated to create social capital. According to Robert Putnam, social capital “refers to the connections among individuals—social networks and the norms of reciprocity and trustworthiness that arise from them.” Philanthropy emanates from these social interactions and the altruistic desire to promote goodwill and the general welfare of society. These aggregations of individual preferences, behaviors, and resources in support of collective, societal goals requires leadership.

This course will focus on those aspects of leadership that are directly applicable to the accumulation and utilization of social capital through the various organizational manifestations of civil society with a specific focus on the role of philanthropic leadership in supporting civil society. Students will explore the broad literature on nonprofit leadership as well as the more targeted literatures that address grassroots mobilization, religious (lay/servant) leadership, interest group influence, organizational maintenance (including the role of philanthropic support) and political representation, and the leadership problems associated with collective action. This seminar represents one of the leadership courses to be offered by the Nelson A. Rockefeller Center in its efforts to uphold the Dartmouth College mission—to educate and prepare Dartmouth students “for a lifetime of learning and responsible leadership...” Traditionally, this seminar has included a significant experiential learning component. Last spring, for example, the class focused its attention on the issue of affordable housing in the Upper Valley. The students solicited the input of civil society leaders in framing the issue; developed a survey on affordable housing that was sent out to Upper Valley residents. More than 400 residents responded to the survey.

With significant findings regarding the views of residents on the importance of the issue and possible solutions, the class organized a one-day conference hosted by the Rockefeller Center and co-sponsored by Vital Communities, an Upper Valley nonprofit organization with programmatic efforts focused on affordable housing. On Saturday, May 27, 2018 more than 75 Upper Valley residents participated in six morning and six afternoon community discussions on topics relating to affordable housing. The students presented their survey findings at the opening session and provided synopses of the morning and afternoon break-outs sessions at the closing session. The students published the survey results and the proceedings of the event through the Class of 1964 Policy Research Shop.

This term, we will be engaging the Upper Valley nonprofit sector with the support of the Philanthropy Lab, a program of the Once Upon a Time Foundation. The Philanthropy Lab will provide the class with up to \$50,000 to award to Upper Valley nonprofit organizations through a grant-making process. It will be the responsibility of the class to develop an assessment tool that will be used to evaluate both the substance of the grant proposals as well as the capacities of the proposing organizations to utilize the funds requested. For students who may have taken PBPL 45: Introduction to Public Policy Research last fall or in previous fall terms, you will be familiar with many of the nonprofit organizations who will be requesting funding. In fact, you may have assisted one of the organizations in preparing its grant proposal. We will likely provide up to ten grants of up to \$5,000 to Upper Valley nonprofit organizations. The class will be responsible to defining the parameters for giving and the types of grants to be awarded. In order to develop the appropriate assessment tools and to gain a better understanding of philanthropy in the Upper Valley we will hearing from several of the most active philanthropists in the region. We will learn from Dorothy Byrne, chair of the Byrne Foundation—a leading Upper Valley donor with more than \$72 million in grants in the past 15 years; Dick and Barbara Couch, chairs of the Couch Family Foundation and the Hypertherm-Hope Foundation. Dick Couch is a member of the Dartmouth Class of 1964; the Couch Family has provided more than \$1 million in support for the Rockefeller Center; Katie Merrow, director of the New Hampshire Charitable Foundation, Social Impact Program, which provides more than \$30 million in grants annually across the state; and Kevin Peterson, chair of the New Hampshire Community Development Finance Authority. We will also hear from Kate Norton '01, director of corporate and foundation relations and Ashley Doolittle, Associate Director of the Center for Social Impact.

**Course Readings:** As there are distinct academic and applied social science literatures surrounding each of the four core concepts as well as for the distinct aspects of civil society that we will be analyzing throughout the term, we will rely heavily on a wide variety of journal articles and book chapters, rather than a few book-length monographs, that touch on one or more of the concepts. As such, this course will rely heavily on class readings posted on Canvas. Please read each week's readings in the order presented below in the class schedule. There are two books that we will be reading throughout the term that should be purchased for the class. Each of the books may be ordered online. A copy of one of the books listed for Week 1 on the class schedule should be purchased as well.

James L.Perry, ed., Jossey-Bass Reader on Nonprofit and Public Leadership  
(Jossey-Bass, 2010);

Peter Robert Sawyer, Socialization to Civil Society: A Life History Study  
of Community Leaders (State University of New York Press, 2005).

**Course Requirements:** This class will be conducted in the seminar format. There are no prerequisites for the course, although a basic knowledge of the American political system will be useful. The course may be used as one of the courses toward the minor in public policy and may also be used to fulfill one of the three courses in the public policy track—Leadership in Public Policy. Throughout the term there will be multiple opportunities for students to make oral presentations in class. These presentations, along with general class participation will account for 20 percent of the final grade. The first writing assignment for the class will involve the application of one of the books on leadership assigned in Week 1 of the course to the core concepts of social capital, civil society, and philanthropy. The five books listed in Week 1 are broad treatments of the concept of leadership that incorporate a variety of environments—corporate/business, political, and nonprofit. The task for the student is to discern the degree to which these broad analyses are applicable to leadership in civil society. Given that there are five books to be analyzed, it is obvious that multiple students will be analyzing the same book. Following the completion of the written assignment, students who worked on the same book will join forces to make a presentation to the class on that book; the presentation will include a written synopsis of their joint findings (to be distributed to all students) as well as an oral presentation to the class. In this manner, all students will be exposed to each of the five books on leadership. The first written assignment (five-to-six pages) will account for 15 percent of the final grade. Evaluation of the oral and written aspects of the group presentations will be incorporated into the class participation portion of the final grade. The first assignment will be due on **Thursday, April 11, 2019** in class. Group presentations will be made on Tuesday, April 16 in class. Following completion of the first assignment, there will be a midterm examination given as a take-home test—it will be emailed to students on Monday, April 29 at noon and will be due in class on **Tuesday, April 30, 2019**. The midterm exam will account for 30 percent of the final grade. Following the midterm examination, students will be paired with Dartmouth alumni who have demonstrated significant giving capacity. Each student will interview his/her match based on the methodology employed in Peter Robert Sawyer, [Socialization to Civil Society: A Life History Study of Community Leaders](#). Students will then transcribe the interview and complete the philanthropic assessment tool to be handed out in class. The transcript and assessment (four-to-five pages), will be due in class on **Thursday, May 16, 2019**, and will account for 10 percent of the final grade. The final class project—grant proposal evaluations and awarding of grants—will be conducted in teams to be determined in class; division of labor between teams will also be discussed in class. Final grant decisions will be made by **Tuesday, May 21, 2019**. The formal presentation of grant awards will take place on **Thursday, May 23, 2019**. The final project will account for 25 percent of the final grade. In summary, each student will be evaluated on the following basis:

Class Participation.....	20 percent (includes formal presentations)
Assignment 1.....	15 percent (due April 11, 2019)
Midterm Examination.....	30 percent (due in class, April 30, 2019)
Assignment 2.....	10 percent (due May 16, 2019)
Final Project.....	25 percent (due May 23, 2019)

## Class Schedule and Reading Assignments:

### March 26-March 28

Week 1: The Leadership Literature: Throughout the twentieth century, scholars and practitioners have wrestled with the concept of leadership. In the first decades of the century, “great man” theories (innate ability, born to lead) captured the attention those attentive to leadership. In the 1930s, group theories of leadership (how leadership emerges and develops in groups) emerged. By the 1940s and into the 1950s, trait theories (what traits are common in all leaders) were in vogue. Through the 1950s and 1960s, the behavioral revolution had its impact on the study of leadership as the focus shifted to what key behavioral patterns result in leadership. By the late 1960s and into the 1970s, broad theoretical treatments gave way to contingency or situational analyses (establishing which leadership styles or behaviors succeeded in specific environments or situations). By the 1980s, excellence emerged as the guiding principle in leadership studies (what interactions of traits, behaviors, key situations, and group facilitation allows individuals to lead organizations to excellence). Today, the leadership literature is more broad in scope and diverse in focus than at any point in the past century. The leadership arena, dominated by social psychologists and management scientists in its earlier stages, is now populated by social scientists of all stripes—anthropologists (culture), historians (incorporating time and context), political scientists (political dynamics/power), and sociologists (institutions and societies). We will explore this evolution of leadership in class and through each of the five contemporary works on leadership presented in the readings.

Readings: **Read one of the following books:**

James MacGregor Burns, Leadership (Harper and Row, 1978);  
Robert K. Greenleaf, Servant Leadership (Paulist Press, 1977, 2002);  
Warren Bennis and Burt Nanus, Leaders: Strategies for Taking Charge (HarperCollins, 1985, 1997);  
James M. Kouzes and Barry Z. Posner, The Leadership Challenge (Jossey-Bass, 1987, 2007);  
John P. Kotter, Leading Change (Harvard Business School Press, 1996).

**All read:** James L. Perry, ed., The Jossey-Bass Reader on Nonprofit and Public Leadership, Chapters 1-5, pp. 5-67; and  
Rob Reich, Just Giving: Why Philanthropy is Failing Democracy and How It Can Do Better, Chapter 3: “A Political Theory of Philanthropy,” pp. 106-134.

### April 2-April 4

Week 2: Social Capital, Civil Society, and Philanthropy: The concepts of social capital, civil society, philanthropy are staples of social science discourse surrounding the creation and maintenance of participatory, civically engaged, democratic societies throughout the world. This week, we will analyze these concepts and focus on the organizational and leadership aspects imbedded in each concept. This week we will be joined by **Kate Norton '01**, director of corporate and foundation relations, and **Ashley Doolittle**, associate director, Center for Social Impact. Norton and Doolittle will discuss the philanthropy project we will be undertaking this term.

Readings: Robert M. Putnam, Bowling Alone, Chapters 1-9, pp. 15-180;  
 E.J. Dionne, Jr., "Introduction: Why Civil Society? Why Now?" in Community Works: The Revival of Civil Society in America (Washington, DC: Brookings Institution Press, 1998), pp. 1-14.  
 Robert M. Putnam, "Social Capital: Measurement and Consequences." (ND: typescript), 14 pp. + tables;  
 Theda Skocpol, Diminished Democracy: From Membership to Management in American Civic Life (University of Oklahoma Press, 2003), Chapters 2-4, pp. 20-174;  
 Francis Fukuyama, "Social Capital," in Lawrence E. Harrison and Samuel P. Huntington, eds. Culture Matters: How Values Shape Human Progress, pp. 98-111;  
 Martin Morse Wooster, "Philanthropy and America's 'Social Capital' Divide," Philanthropy Daily, June 11, 2018;  
 Bruce R. Seivers, Civil Society, Philanthropy, and the Fate of the Commons, Chapter 8: pp. 122-144.  
 Andrew Carnegie, "Gospel of Wealth," (1899).  
 Darren Walker, "Toward a New Gospel of Wealth," (2015).

### **April 9-April 11**

Week 3: Leadership in Civil Society Organizations: Now that we have established the broad parameters of civil society—what is part of it and what is not—we will turn our attention to leadership in the context of organizing, funding, and maintaining civil society organizations. This week we will be joined by **Katie Merrow**, director of the New Hampshire Charitable Foundation, Social Impact Program; and **Kevin Peterson**, chair of the New Hampshire Community Development Finance Authority. Merrow, and Peterson will assist us in developing an assessment tool for our grant evaluation process. We will begin developing our selection criteria and the call for proposals.

Readings: John W. Gardner, On Leadership, (abridged version on Canvas);  
 Jim Collins, "Good to Great and the Social Sectors," Monograph, 2005, pp. 1-35.  
 Ronald G. Shaiko, Voices and Echoes for the Environment: Public Interest Representation in the 1990s and Beyond (Columbia University Press, 1999), Chapters 2-3, 6-7, pp. 25-91, 139-190;  
 Simone Joyaux, "Building a Culture of Philanthropy in Your Organization," Nonprofit Quarterly, March 27, 2015;  
 Peter Singer, "What Should a Billionaire Give—and What Should You?" The New York Times Magazine, December 17, 2006;  
 Peter Frumkin, Strategic Giving: The Art and Science of Philanthropy, Chapters 4-5, pp. 125-173;  
 Rob Reich, Just Giving: Why Philanthropy is Failing Democracy and How Can It Do Better (Princeton, 2018), Chapter 2: "Philanthropy and Its Uneasy Relation to Equality," pp. 65-105.  
 James L. Perry, ed., The Jossey-Bass Reader on Nonprofit and Public Leadership, Chapters 6-10, pp. 69-176.

## April 16-April 18

Week 4: The Roles of Patrons and Foundations in Philanthropic Support for Civil Society: It is difficult to imagine the growth and endurance of contemporary social movements in the United States without the support of foundations and patrons. Evidence of the influence of foundations in both liberal and conservative movements over the past century is captured in the readings for this week. **Tim Gill** is invited to join us via Zoom this week.

Readings: Andy Kroll, "Meet the Megadonor behind the LGBTQ Rights Movement: How Tim Gill Turned a \$500 Million Fortune into the Nation's Most Powerful Force for LGBTQ Rights," Rolling Stone, June 27, 2017;  
Michael Barker, "Foundations and the Environmental Movement," Counterpunch, September 13, 2010;  
David Callahan, "White Money vs. White Privilege: Philanthropy and Civil Rights from Selma to Ferguson," Inside Philanthropy, January 19, 2015;  
Eli Clifton, "Who Else Is in the Koch Brothers Billionaire Donor Club?" The Nation, November 3, 2014;  
Kelly Riddell, "Ideological Billionaires Sway Universities' Agendas with Big Bucks: Soros, Bloomberg, Steyer, Kochs among Donors Playing on College Field," The Washington Times, August 26, 2015.

## April 23-April 25

Week 5: Who Leads? Women and Men/Young and Old—Gender and Age Cohort Differences: This week we will look specifically at the leadership ranks in civil society organizations and compare the demographics of nonprofit leaders to leaders in other sectors of society. We will also explore the consequences of the exit of baby boomers from the leadership ranks and the possible resulting leadership deficit and the impact of diversity on social capital building.

Readings: Ronald G. Shaiko, "Female Participation in Association Governance and Political Representation: Women as Executive Directors, Board Members, Lobbyists, and PAC Directors," Nonprofit Management and Leadership (Winter 1997), 8 (2), pp. 121-139;  
Ronald G. Shaiko, "Female Participation in Public Interest Nonprofit Governance: Yet Another Glass Ceiling," Nonprofit and Voluntary Sector Quarterly (Fall 1996), 25 (3), pp. 302-320;  
Deborah B. Balsler and JoAnn Carmin, "Leadership Succession and the Emergence of an Organizational Identity Threat," Nonprofit Management and Leadership (Winter 2009), 20 (2), pp. 185-201;  
Linda Dulin, "Leadership Preferences of a Generation Y Cohort," Journal of Leadership Studies (2008), 2 (1), pp. 43-59;  
Janet L. Johnson, "The Nonprofit Leadership Deficit: A Case for More Optimism," Nonprofit Management and Leadership (Spring 2009), 19 (3), pp. 285-304;  
Tom Watson, "A Gender Lens for Giving: Women in Philanthropy Urged to Invest More in Women and Girls," Forbes, Sept. 18, 2014;  
James L. Perry, ed., The Jossey-Bass Reader on Nonprofit and Public Leadership, Chapters 24-34, pp. 451-622.  
Robert D. Putnam, "*E Pluribus Unum*: Diversity and Community in the Twenty-first Century—The 2006 Johan Skytte Prize Lecture," Scandinavian Political Studies (June 2007), 30 (2), pp. 137-174.

## April 30-May 2

Week 6: Philanthropic Leadership at the Grassroots Level—Building Community: We will pursue the inter-relationships between social capital, civil society, leadership, and philanthropy at the local level to uncover the social networks that serve and support local communities. This week we will hear from several philanthropic leaders from the Upper Valley: **Dick and Barbara Couch**/Couch Family Foundation and Hypertherm Hope Foundation and **Dorothy Byrne**/Byrne Foundation.

Readings: Robert M. Putnam, Bowling Alone, Chapters 16-22, pp. 287-363;  
Rob Riech, “What are Foundations for?” Boston Review, March 1, 2013;  
David Leonhardt, “What Makes People Give?” The New York Times Magazine, March 9, 2008.  
Peter Robert Sawyer, Socialization to Civil Society: A Life History Study of Community Leaders, entire, pp. 1-160;  
Amitai Etzioni, Andrew Volmert, and Elanit Rothschild, eds., The Communitarian Reader: Beyond the Essentials, Chapter 13-14, 16-18, pp. 138-148, 161-188.  
James L. Perry, ed., The Jossey-Bass Reader in Nonprofit and Public Leadership, Chapters 11-23, pp. 332-444.

**(TAKE-HOME MIDTERM EXAM DUE IN CLASS, APRIL 30.)**

## May 7-May 9

Week 7: The Organization of Leadership in Nonprofit Organizations: We will analyze the leadership structures of civil society organizations, with particular attention to such structures at the grassroots level. We will analyze the relationships between boards and staffs as well as between volunteers and paid staff. We will also explore the differences in mission—e.g., arts, children, elderly, homeless (anti-poverty), education, recreation/sports—and strategy—e.g., service provision, advocacy, and representation.

Readings: Miriam M. Wood, ed., Nonprofit Boards and Leadership: Cases in Governance, Change, and Board-Staff Dynamics (Jossey-Bass, 1996), “Part Two: Complexities in the Board-Staff Relationship,” Chapters 5-10, pp. 95-188;  
William A. Brown, “Exploring the Association between Board and Organizational Performance in Nonprofit Organizations,” Nonprofit Management and Leadership (Spring 2005), 15 (3), pp. 317-339;  
Nancy Winemiller Basinger and Jessica Romine Peterson, “Where Stand Depends on Where You Sit: Participation and Reactions to Change,” Nonprofit Management and Leadership (Winter 2008), 19 (2), pp. 243-257;  
Hillel Schmid, “Leadership Styles and Leadership Change in Human and Community Service Organizations,” Nonprofit Management and Leadership (Winter 2006), 17 (2), pp. 179-194.

## **May 14-May 16**

Week 8: Religion, Faith-Based Organizations and Civil Society Leadership: When analyzing the contours of civil society in the United States today, one finds significant linkages between organized religious institutions and the provision of services to citizens that are not or are poorly provided by the state. There is also a clear link between religiosity and philanthropy. This week we will analyze civil society through the lens of faith-based organizations and assess the leadership provided by such organizations.

Readings: E.J. Dionne, Jr. and John J. DiIulio, Jr., eds., What's God Got to Do with the American Experiment? (Brookings Institution Press, 2000), Chapters 16-22, pp. 115-170;  
Louis W. Fry, "Toward a Theory of Spiritual Leadership," The Leadership Quarterly (2003), 14, pp. 693-727;  
Jim Wallin, God's Politics (HarperCollins, 2005), Chapter 20: "The Ties that Bind," pp. 321-340;  
Ronald G. Shaiko, "Same-Sex Marriage, LGBT Organizations, and the Lack of Spirited Political Engagement," in Craig Rimmerman and Clyde Wilcox, eds., The Politics of Same-Sex Marriage (University of Chicago Press, 2007), pp. 85-103;  
Larry C. Spears, "The Understanding and Practice of Servant-Leadership," Servant Leadership Research Roundtable, 2005, 8 pp.;  
Robert D. Putnam and David E. Campbell, American Grace: How Religion Divides and Unites Us (Simon and Schuster, 2010), Chapters 13-15, pp. 443-550.  
Melanie A. McKittrick, J. Shawn Landres, Mark Ottoni-Wilhelm, and Amir D. Hayat, "Connected to Give: Faith Communities—Key Findings from the National Study of American Religious Giving" (September 2013);  
Ida Berger, "The Influence of Religion on Philanthropy," Working Paper Series Number 33, February 2006, Ryerson University.

## **May 21-May 23**

Week 9: Completion of Grant Proposal Evaluations and Awarding of Grants to Upper Valley nonprofit organizations. Formal awards ceremony will take place on Thursday, May 23 in the Class of 1930 Room in the Nelson A. Rockefeller Center. The ceremony will include remarks from the President of Dartmouth College, Phil Hanlon.

## **May 28**

Week 10: Concluding Session: Assessment of the Grant-making Process. Lasting commitments to philanthropy through Philanthropy Lab programming. Reflection and lessons learned about leadership in civil society for the next generation.