

Carleton University

Public Policy and Civil Society: Options and Issues in Financing the Third Sector **PADM 5212-WINTER TERM 2009**

Instructor:	Ted Jackson	Time:	Tuesdays, 11:35-14:25
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Overview of the Seminar

This seminar will examine options and issues in public policy for financing civil society. Drawing on literature from development studies, economics, law, management, non-profit and philanthropy studies, political science, public policy and sociology, this course will explore debates, strategies, models, tools and laws, regulations and performance assessment associated with government policies that directly or indirectly promote grant-making, lending and equity investing in civil-society organizations. Both supply-side and demand-side policy issues will be examined for such areas of practice as government grants and contracts; private, community and venture philanthropy; earned income and hard-asset building; program-related investing; microfinance; community-based lending; long-term patient loan capital; registered savings plans for persons with disabilities; and targeted investing through pension funds. This course will focus mainly on the experience of Canada and other OECD countries, as well as that of selected developing countries.

Organization of the Seminar

In the first half of the course, classroom sessions will involve lectures, guest speakers and group exercises, and will make extensive use of case-study methods. During this period, participants will be asked to read at 50-60 pages of readings per week, and to present to the class a summary and analysis of one of the readings. Each participant will also be asked to submit a ten-page short essay examining the financing strategies and challenges of one of the case-study partner organizations for the course. In the second half of the course, class participants will be required to carry out a short action-research project on public policy and civil society with an external agency, which may be a government agency, research institute or non-profit organization. The action-research project will result in the production of a case study. Class participants will also be asked to prepare a second, ten-page short essay on a topic of their choice that is approved by the Instructor.

Grading

Participant grades will comprise the following components:

- Class Participation, 20%
- Short Essay 1, 20%
- Action Research Project Report (Case Study), 40%

-Short Essay 2, 20%.

Output Deadlines

Participants will be responsible for producing the following outputs on the specified target dates:

- 1) Summary and Analysis of a Course Reading: *in the first half of the course*;
- 2) Short Essay 1: *Tuesday, February 10, 2009*;
- 3) Action Research Project Report (Case Study): *Tuesday, March 31, 2009*;
- 4) Short Essay 2: *Friday, April 10, 2009*.

Page-number targets refer to double-spaced pages. The short essays will utilize the APA style guide for formatting references or footnotes. Plagiarism will result in a failing grade. Late outputs will be penalized. Outputs will be received by the Instructor via hand, email or fax until midnight of the due date.

Communication

All regular communication having to do with the course will be done using WebCT. Please check WebCT for emails alerting you to any last-minute changes.

Attendance at class is required. You are expected to attend a minimum of 10 out of a total of 12 classes. Any unapproved absences beyond these two will result in a one-mark deduction for each class you miss.

A Note on Grades

Carleton University uses a 12 point grading scale from A+(12, or 90-100%) to D- (1, or 50-52%). Normally, students do not get credit for courses with a grade less than B-. The School of Public Administration has adopted the following grade point equivalencies and interpretation for letter grades:

A+	12	Outstanding. For written work, virtually publishable. Demonstrates evaluative judgment and mastery of technical as well as literary aspects of writing.
A	11	Excellent. Demonstrates superior grasp of material and capacity understand and extend underlying patterns.
A-	10	Very good. Demonstrates clear grasp of material, its component parts, and capacity to analyze their relationships to each other.
B+	9	Good. Demonstrates basic understanding of material and ability to apply concepts. Written work is competent.
B	8	Satisfactory, but below average. Demonstrates comprehension of material with some limited ability to apply concepts.
B-	7	Adequate, but less than average. Demonstrates comprehension and understanding, with limited capacity for application.
C+	6	Less than adequate. A final grade of C+ is not normally sufficient for credit.
C to D-	5-1	Grades in this range indicate work that is passable in some respects but that does not meet the standards of graduate work. An example would be an assignment completed to the expectations of a senior undergraduate course.
F	0	Failure. Did not meet minimal requirements.

A grade of A- or B+ should be considered as strong performances that hover around the average for graduate work. Grades will be awarded as letter grades, but I will calculate your final grades

as the weighted mean of the grade point equivalencies. Example: A- on a paper worth 30%; A- on a seminar worth 30%, and B+ on a paper worth 30%, and B+ for participation worth 10%:

A-	10 x .30 = 3.00
A-	10 x .30 = 3.00
B+	9 x .30 = 2.70
<u>B+</u>	<u>9 x .10 = 0.90</u>
Final	9.60 or B+

Please note in the example above that normally your letter grade will correspond to the interval in which your numerical grade falls (e.g., anything between 9.0 and 9.9 is a B+), but I reserve the right to round up to the next letter grade if I feel that the final grade point average does not reflect your true abilities or pattern of performance.

Requests for academic accommodation

Students with disabilities requiring academic accommodations in this course are encouraged to contact a coordinator at the Paul Menton Centre for Students with Disabilities to complete the necessary *letters of accommodation*. After registering with the PMC, make an appointment to meet and discuss your needs with me at least two weeks prior to the first in-class assignment. This is necessary in order to ensure sufficient time to make the necessary arrangements. Please ensure you submit completed forms to the Paul Menton Centre for the winter term course.

A Note on Plagiarism

Plagiarism is an instructional offence that occurs when a student uses or passes off as one's own idea or product work of another person, without giving credit to the source. The punishments for plagiarism at Carleton are significant. You could fail the course, or, under certain circumstances, be expelled from the university.

If you are using someone else's words –in a quotation—refer to the source in a footnote or bracketed reference. If you are paraphrasing someone else's text (that is, not quoting directly, but closely following the line of argument), refer to the source just as you would for a quotation, except that quotation marks are not used. If you are using someone else's ideas, acknowledge this in a footnote, or by a clear reference in the text of your essay.

Material copied from the Internet must be treated like material from a book or any other source. If you are quoting a source you found on the Internet, use quotation marks and refer to the location of the item (name the website; identify the electronic journal and issue, etc.) just as you would for a quotation from printed material. If you are paraphrasing material or borrowing ideas from an Internet source, the source must be identified in a footnote, just as a quotation would be. Excellent software is available for locating material that might have plagiarized from the Internet, and it will be used.

For further information, please refer to the section entitled "Instructional Offences" in the Graduate Calendar for university regulations.

Instructional Offences

The Senate of the University has enacted the following regulations for instructional offences at the graduate level. Any student commits an instructional offence who:

- (a) cheats on an examination, test, or graded assignment by obtaining or producing an answer by deceit, fraud, or trickery, or by some act contrary to the rules of the examination
- (b) submits substantially the same piece of written work to two different courses. Minor modifications and amendments or changes of phraseology do not constitute a significant and acceptable reworking of an essay or paper
- (c) contravenes the regulations published at an examination or which are displayed on the reverse side of a properly authorized examination booklet
- (d) commits an act of plagiarism. Plagiarism will be deemed to have occurred when a student either:
 - (i) directly copies another's work without acknowledgement; or
 - (ii) closely paraphrases the equivalent of a short paragraph or more without acknowledgement; or
 - (iii) borrows, without acknowledgement, any ideas in a clear and recognizable form in such a way as to present them as the student's own thought, where such ideas, if they were the student's own, would contribute to the merit of his or her own work
- (e) disrupts a class or other period of instruction if he or she:
 - (i) is a registered member of the class or period of instruction
 - (ii) is warned to discontinue any act or behaviour reasonably judged by the instructor of the course or period of instruction to be detrimental to the class, and having ignored such warning is ordered by the instructor to leave and refuses to leave
- (f) Any student found in violation of these regulations may be:
 - (i) expelled
 - (ii) suspended from all studies at the University
 - (iii) suspended from full-time studies; and/or
 - (iv) awarded a reprimand
 - (v) refused permission to continue or to register in a specific degree program, but subject to having met all academic requirements shall be permitted to register and continue in some other program
 - (vi) placed on academic probation
 - (vii) awarded a Fail or Absent in a course or examination

Allegations of instructional offence may be investigated by instructors and/or departmental chairs and, in all cases, will be reported to the faculty dean. The Dean will promptly advise, in writing, the student and the University Ombudsperson of the allegation and of the student's rights. The dean will review the allegation and if not resolved at that level, the allegation becomes subject to final disposition by a tribunal appointed by the Senate. Information about procedure governing tribunals is available from the Clerk of the Senate, Room 607, Robertson Hall.

COURSE SCHEDULE

Session 1

Tuesday, January 6, 2009

- Course Outline, Schedule, Readings and Case Study Project; Student Self-Introductions
- Options and Issues in Financing the Third Sector: 15 Key Questions
- Readings: Phillips, Independent Blue Ribbon Panel, Gibson et al
- Optional Readings: Hall et al, Scott, Campbell

Session 2

Tuesday, January 13, 2009

- Introduction to the ARP/Case Study Project
- The Case Study Approach-Guest Speaker-Paula Speevak Sladowski, CVSRD
- Briefings by and Q&A with Partner Civil Society Organizations
- Readings: Cabinet Office, Elson, ICNL, Naidoo, Vincent, Morena, Fowler

Session 3

Tuesday, January 20, 2009

- Policy Context: Canadian and International Options and Issues
- Readings: Holloway, Fowler, Norton, Foster and Fine

Session 4

Tuesday, January 27, 2009

- Resource Mobilization Strategies of CSOs: Challenges and Opportunities
- Philanthropy I: Foundations –Types, Operations, Capacity Building
- Federal Policy Briefing Note: Objectives and Structure
- Readings: McInay, Ramos & Nielson, Moreno and Plewes, Winder

Session 5

Tuesday, February 3, 2009

- Philanthropy II: Venture Philanthropy, Intermediaries and Campaigns
- Case Study Analysis: Social Venture Partners' Replication
- Readings: Laughren, Pharoah, Sbarbaro

Session 6

Tuesday, February 10, 2009

- Earned Income: Practice and Policy Dimensions
- ARP/Case Study Projects: Group Formation, Initial Discussions
- Readings: Davis & Etchart, Steckel et al, Marwell & McInerny
- Short Essay 1-Due Midnight, February 10, 2009 (By hand, email, fax-10 pages)

Winter Break

Tuesday, February 17, 2009

- No Class

Session 7***Tuesday, February 24, 2009***

- Social Finance I: Concept and Debt (Loan) Financing
- ARP/Case Study Projects: Work Planning and Methodology
- Readings: Martin, Wood, Emerson & Bonini, Bruck, Daphnis, Talen et al

Session 8***Tuesday, March 3, 2009***

- Social Finance II: Equity-PRIs, ETIs and Other Strategies
- ARP/Case Study Projects: Key Questions/Data Sources/Relevant Models
- Readings: Carmichael, Shillington

Session 9***Tuesday, March 10, 2009***

- ARP/Case Study Projects: Data Collection and Analysis

Session 10***Tuesday, March 17, 2009***

- ARP/Case Study Projects: Data Analysis/Write-Up

Session 11***Tuesday, March 21, 2009***

- ARP/Case Study Projects: Write Up/Presentation Preparation

Session 12***Tuesday, March 31, 2009***

- ARP/Case Study Projects: Finalization and Submission of Reports
- ARP/Case Study Report-Due Midnight, March 31, 2009 (By hand, email, fax-10 pages by each team member)

Session 13***Tuesday, April 7, 2009***

- Presentations of Case Study Project Reports to Partner CSOs

Final Output***Friday, April 10, 2009***

- Short Essay 2-Due Midnight, April 10, 2009 (By hand, email, fax-10 pages)

READING LIST

Context-Canada

Phillips, S.D. "The Intersection of Governance and Citizenship in Canada: Not Quite the Third Way." IRPP Policy Matters, 7 (4), 2006. 31 pages. ISSN: 1492-7004.

Hall, M., C.W. Barr, M. Easwaramoorthy, S.W. Sokolowski and L.M. Salamon. *The Canadian Nonprofit and Voluntary Sector in Comparative Perspective*. Imagine Canada, Toronto, 2005. 39 pages. ISBN: 1-55401-103-5.

Scott, K. "Funding Matters." Summary Report. Canadian Council on Social Development, Ottawa, 2003. 19 pages. ISBN: 0-88810-519-3.

Independent Blue Ribbon Panel on Grant and Contribution Programs. "From Red Tape to Clear Results." 30 pages. ISBN: 978-0-662-49799-8.

Gibson, K., S. O'Donnell and V. Rideout. "The Project-Funding Regime: Complications for Community Organizations and their Staff." Canadian Public Administration, 50 (3), 2007, 411-435. 24 pages. ISBN: 008-4840.

Campbell, C. "Towards an Enabling Environment for the Non-profit Sector." Industry Canada, Ottawa, 2006. 14 pages. (Unpublished Mimeo).

Context-International

Cabinet Office. "The Future of the Third Sector in Social and Economic Regeneration: Final Report" (Excerpts). Her Majesty's Treasury, London, 2007. 13 pages. ISBN: 978-0-10-171892-9.

Elson, P.R. "Tracking the Implementation of Voluntary Sector-Government Policy Agreements: Is the Voluntary and Community Sector in the Frame?" International Journal of Not-for-Profit Law, 8 (4), 2006. 17 pages. ISSN: 1556-5157.

International Center for Not-for-Profit Law. "Recent Laws and Legislative Proposals to Restrict Civil Society and Civil Society Organizations." International Journal of Not-for-Profit Law, 8 (4), 2006. 9 pages. ISSN: 1556-5157.

Naidoo, K. "Civil Society Accountability: 'Who Guards the Guardians?'" Presentation to the United Nations, New York, 2003. 5 pages. (Unpublished Mimeo).

Vincent, F. "NGOs, Social Movements, External Funding and Dependency." Development, 49 (2), 2006, 22-28. 7 pages. ISSN: 1011-6370.

Morena, E. "Funding and the Future of the Global Justice Movement." Development, 49(2), 2006, 29-33. 4 pages. ISSN: 1011-6370.

Fowler, A. "Civil Society Research Funding from a Global Perspective: A Case for Rredressing Bias, Asymmetry and Bifurcation." Voluntas, 13 (3), 2002, 287-300. 13 pages. ISSN: 0-957-8765.

Resource Mobilization Strategies

Holloway, R. Towards Financial Self-Reliance. London: Earthscan, 2001, 3-28. 25 pages. ISBN: 1-85383-773-3.

Fowler, A. "Options, Strategies and Trade-offs in Resource Mobilization." In M.Edwards and A. Fowler (eds). NGO Management: The Earthscan Reader. London: Earthscan, 2002, 366-385. 19 pages. ISBN: 1-85383-848-9.

Norton, M. The Worldwide Fundraiser's Handbook. London: Directory of Social Change, 1998, 34-49. 15 pages. ISBN: 1-873860-75-7.

Foster, W. and G. Fine. "How Nonprofits Get Really Big." Stanford Social Innovation Review, Spring 2007, 46-55. 9 pages. ISSN: 941156365.

Philanthropy

McInay, D.P. How Foundations Work. San Francisco: Jossey-Bass, 1998, 1-20. 20 pages. ISBN: 0-7879-4011-9.

Ramos, H. A.J. and S. Nielsen. "Social Justice Philanthropy: Reflections from the Field." In S. Lawrence (ed). Social Justice Grantmaking. New York: The Foundation Center, 2005, 43-52. 9 pages. ISBN: 1-59542-052-5.

Moreno, E. and B. Plewes. "Thinking Globally? Canadian Foundations and Trends in International Philanthropy." Canadian Council for International Cooperation, Ottawa, 2007. 15 pages. (Unpublished Mimeo).

Winder, D. "Mexico." In H.K. Anheier, A. Simmons and D. Winder (eds). Innovations in Strategic Philanthropy. New York: Springer, 2007, 37-55. 18 pages. ISBN: 978-0387-34252-8.

Laughren, P. "How Can We Do Better?" Alliance, 12 (2), 2007, 30-34. 5 pages. ISSN: 1359-4621.

Pharoah, C. "The Stellar Rise of the New Philanthropic Intermediary." Alliance, 12 (1), 2007, 48-51. 4 pages. ISSN: 1359-4621.

Sbarbaro, C. "Social Venture Partners' Replication." Case Teaching Resource, The Electronic Hallway, University of Washington, Seattle, 2002. 27 pages.

Earned Income

Davis, L. and N. Etchart. Profits for Nonprofits: An Assessment of the Challenges in NGO Self-Financing. Santiago: Nonprofit Enterprise and Sustainability Team (NESsT), 1999, 8-21, 34, 130-133. 18 pages.

Steckel, R., R. Simons, J. Simons and N. Tanen. Making Money While Making A Difference. Homewood: High Tide Press, 1999, 219-230. 11 pages. ISBN: 0-9653744-9-1.

Marwell, N.P. and P.B. McInerney. "The Nonprofit/For-Profit Continuum: Theorizing the Dynamics of Mixed-Form Markets." Nonprofit and Voluntary Sector Quarterly, 34 (1), 2005, 7-28. 21 pages. ISSN: 089-7640 J344.

Social Finance

Martin, P. Rt.Hon. "Unleashing the Power of Social Enterprise." Speaking notes for a presentation to the Munk Centre, University of Toronto, Toronto, 2007. 13 pages. (Unpublished Mimeo).

Wood, A. "The Business Case for Philanthropy and the Commercial Opportunities of the Growing Citizen Sector." Ashoka, London, 2007. 12 pages. (Unpublished Mimeo).

Emerson, J. and S. Bonini. "The Blended Value Map: Tracking the Intersects and Opportunities of Economic, Social and Environmental Value Creation," Executive Summary. Blendedvalue.org, 2003. 19 pages. (Unpublished Mimeo).

Bruck, C. "Millions for the Millions." The New Yorker, October 30, 2006. 12 pages.

Daphnis, F. "Housing Microfinance: Toward a Definition." In F. Daphnis and B. Ferguson (eds). Housing Microfinance: A Guide to Practice, Bloomfield: Kumarian Press, 2004, 1-14. 14 pages. ISBN: 1-565-49-182-3.

Talen, A.C., M.A. Weiss and S. Sarkar. "The Future of Microfinance in the United States: Research, Practice, and Policy Perspectives." In J.H. Carr and Z.Y. Tong (eds). Replicating Microfinance in the United States. Washington, D.C.: Woodrow Wilson Center Press, 2002, 331-351. 20 pages. ISBN: 1-930365-11-X.

Carmichael, I. "It's our Jobs, It's our Money: A Case Study of Concert." In I. Carmichael and J. Quarter (eds). Money on the Line: Workers' Capital in Canada. Ottawa: Canadian Centre for Policy Alternatives, 2003. 28 pages. ISBN: 0-88627-287-4.

Shillington, R. "The Disability Savings Plan: Policy Milieu and Model Development." Caledon Institute on Social Policy, Ottawa, 2005. 30 pages. ISBN: 1-55382-157-2.

Useful Websites

The following websites are recommended:

Alliance Magazine	alliancemagazine.org
Ashoka	ashoka.org
Association for Non-Profit Research and Voluntary Action	arnova.org
BC Social Venture Partners	bctsvp.com
Canadian CED Network	ccednet-rcdec.ca
Centre for Voluntary Sector Research and Development	cvsr.org
Charities Aid Foundation	charitynet.org
Charity Village	charityvillage.com
Chronicle of Philanthropy	philanthropy.com
CIVICUS	civicus.org
Community Foundations of Canada	cfc-fcc.ca
Enterprising Non-Profits Program	enterprisingnonprofits.ca
Imagine Canada	imaginecanada.ca
International Centre for Nonprofit Law	icnl.org
International Fund-Raising Group	ifrg.org.uk
International Society for Third Sector Research	istr.org
Johns Hopkins Non-Profit Sector Project	jhu.edu/-ips/CNP
IRED International	ired.org.ch
Philanthropic Foundations of Canada	pfc.ca
Prince of Wales Business Leaders Forum	oneworld.org/pwblf
Resource Alliance	resource-alliance.org
Social Capital Partners	socialcapitalpartners.ca
Social Economy Centre, University of Toronto	sec.oise.utoronto.ca
Social Enterprise Magazine	socialenterprisemagazine.org
Social Enterprise Coalition (UK)	socialenterprise.org.uk
Social Investment Organization	socialinvestment.ca
Synergos Institute	synergos.org
Tides Canada Foundation	tidescanada.org
United Way of Canada	unitedway.ca
Volunteer Canada	volunteer.ca