Paper Title: Inward-Looking Communities and Outward-Looking Communities: Joining in Networks of Social Action

Author(s):

Dr. Carl Milofsky, Bucknell University, Lewisburg, PA, USA

Description

How do communities participate in or contribute to social policy and social action initiatives initiated by government or by "third party government" oriented nonprofits? A critical issue is that some communities are sharply bounded and inward looking and as such they are neither interested in problems and needs that exist elsewhere in the community nor available for helping community-wide initiatives. Other communities actively bridge boundaries and cooperate with other groups, with human service organizations, with governmental agencies, and they seek to help individuals who are outsiders to their group.

This panel explores when and how bounded communities---we call them "communities in themselves---link into broader community networks of serving and helping. We ask why some communities erect and maintain boundaries that make them exclusive and unavailable for problem solving networks. We ask what makes formal nonprofit service organizations or governmental entities available to such communities that seek to contribute their skills and social capital to strengthening civil society. We ask how communities that are strong internally organize projects and programs that reach out and help others.

One source of our interest is in faith-based organizations and congregations that may reach out and provide social services or, alternatively, may be exclusive and even sources of sectarian conflict and elite domination. Strong internal organization may cause people to be tightly internally organized so that outreach is unimportant or even discouraged. When do members of faith-based organizations seek to help and work with people who are not part their community?

We also are interested, however, in community movements that are excluded or resisted by professionalized service organizations and agencies of government. Service organizations may maintain a dominant relationship to their clientele so that they are not open to the ideas, the volunteer assistance, or in kind resources offered by a grass roots community. The political process also may exclude groups because they are not significant in dominant sectarian or political groups or because they are a marginal segment of the population.

This panel will include papers dealing with American communities and with communities outside of the United States.

Paper #1: Nicholas Acheson, University of Ulster, and Carl Milofsky, Bucknell University

Problem Framing in Public Policy and Government/Voluntary Sector Partnerships: Marginal social movements and the policy process in Northern Ireland.

This paper concerns the difficulties "marginal social movements" have faced gaining full political voice in Northern Ireland where the policy process is structured on one side by intense sectarian conflict and on the other by a socialist and hegemonic state. Formal arrangements whereby government and voluntary and nonprofit agencies work jointly on policy and program innovation have been welcomed as being a more participative and inclusive form of public administration and have been an important aspect of the government reform in Northern Ireland since the "Good Friday Agreement" of 1998. But how inclusive and participative these arrangements can in fact be, will depend upon the ways in which the problems to be addressed are framed and the perceived relevance of these frames to communities of interest or identity that the new arrangements are supposed to be reaching out to.

We have done empirical research on interest groups that have been powerful agents of social change in other countries but are relegated to marginal status in Northern Ireland. The disabled liberation movement, the women's movement, and religious movements for social justice are examples. Such communities tend to be defined as irrelevant to the public policy and political processes in Northern Ireland. Being excluded, important interests are not addressed by the political or public administrative processes. Furthermore, the special orientations and concerns of those groups are ignored so that public services are unable to adequately address needs or forms of voluntary action generated by groups within these marginal social movements.

This paper will develop a conceptual framework to understand some of the dimensions of the limits to inclusive forms of public administration. It will discuss Local Strategy Partnerships in the United Kingdom as an administrative innovation in Northern Ireland and will offer a preliminary examination of the range of community interests that have found a place in the sun in these new arrangements. The kinds of interests that remain excluded will be identified and some reasons for their exclusion will be examined.

Paper #2: Eric Clay and Rebecca James, Cornell University

The practices of faith and the abilities of congregational leaders to serve outsiders.

How do the practices of faith of congregational leaders, their explicit spiritual practices, further and/or limit their ability to collaborate with other organizations, leaders and communities to address social issues? Data is taken from seven nationally known practitioners of faith-based community and economic development whose work is ground in local congregational communities. This paper offers an initial theoretical framework based on exploratory research reported in Clay's dissertation. The practitioners have been re-interviewed for this project to assess the congruence on their own assessment of their work with the dissertation findings.

One key issue in assessing practices of faith is viewing the practitioner in enough settings to compare their claims and ideals with actual practice – to see the moral and spiritual processes and outcomes at work. But an even more daunting issue is doing research with persons whose faith practices are situated in their lives in fundamentally different ways. We have constructed three operational categories to capture these differences, at a very basic level. The first is traditional/pre-modern, the second pluralist/modern and the third is constructivist/post-modern.

Most of the practitioners' examined here express their faith in either a post-modern or pre-modern concern for holistic well-being. In these frameworks faith and spiritual practices are considered public matters of personal freedom and discipline for publicly engaging community life. These practitioners report their daily faith and spiritual practices openly. The practitioners who carry their faith practices as a more "modern," or segmented dimension of their private lives speak less openly or freely of their practices. They exercise their faith as a more confidential, discreet or private matter, even when seeking a greater, more holistic good.

More pre-modern oriented practitioners emphasize the continuity with tradition of their practices, and they work more as elite gatekeepers bridging the interests of their specific communities with those of other communities, while enhancing their community and protecting it from outside interference. With these practitioners, it is hard to identify benefits that accrue to outsiders, as benefits are meant to bring outsiders into the community and tradition.

The more modern oriented practitioners are more inclined to frame issues as a competition of pluralist interests, economically, politically, morally and spiritually, and to see themselves as either players in the competition to set public policy or power brokers, or both. Their very real services to outsiders, who are assumed to remain outsiders, are often highly disciplined to further their elite goals. When they mention faith, they use more wooden, or formulaic responses, so their faith appears to be less at the analytical core of practice than reliance on secular historical, political and economic analysis.

More post-modern practitioners emphasize the constructed, improvised nature of there personal discipline. Their work constructs recognizable religious traditions, as well as viable economic and

social service efforts and programs, from ordinary elements that cut across racial, economic or religious boundaries. Their work appears to be opportunistic or idiosyncratic ways, as well as tied to traditional institutions and pluralist power concerns. It is not clear if this approach is a stable over generations of leadership.

The post-modern practitioners have grown their practices in ways that do not appear to be replicable in a formulaic manner, but they address more thoroughly the concerns for bonding social capital than the other two approaches. The pre-modern and modern practitioners work in ways more responsive to government policies or "third party government."

Paper #3: Jo Anne Schneider, Catholic University of America

Social Capital and Collaborations: Comparing Immigrant Serving Organizations that do and do not Collaborate with Faith Communities in Washington DC

Studies of collaboration among organizations note that organizations partner with each other based on previous connections and reciprocal needs (Powell 1990,Gulati and Gargiulo 1999). Milofsky and Hunter (1995) suggest that non-profits are linked to each other through network associations of organizations addressing similar problems or communities in themselves that are homogeneous communities focused inward. Some of these organizations may also participate in vertical relationships with the state. My work (Schneider forthcoming) suggests that some non-profits are part of inter-locking systems focused simultaneously on closed social capital within communities in themselves such as a worship community and network relationships with organizations providing similar services. Partnerships among organizations develop through social capital connections in these various networks.
   The proposed paper uses data from a study of non-profits providing services for immigrants in the Washington DC metropolitan area to examine what factors determine whether or not a non-profit serving immigrants collaborates with immigrant worship communities. Data consists of qualitative interviews with agency staff, analysis of agency documents, and a survey of 200 immigrant worship communities serving Africans, Koreans, Chinese, Muslims, Sikhs, Hindus, and Latinos. The paper would compare the social capital ties of organizations that partner with worship communities that participated in the survey with those that do not collaborate with these faith communities.
Several factors influence who an organization partners with. First, partnerships often depend on agency history - faith based organizations often collaborate with worship communities that helped found them, and some immigrant worship communities are part of those pre-existing churches. Second, immigrant faith communities develop their own organizations, forming collaborations based on the concerns within the bounded community. In this case, partnerships reflect the networks within the community in themselves. Third, organizations may be formed either from the immigrant community or by outsiders to serve immigrants, but by people oriented toward a particular problem focus rather than worship communities. While these organizations may have ties to the immigrant communities in themselves, they are more likely to partner with organizations in their social service agency networks than immigrant worship communities.

Paper #4 Suzanne Feeney, Portland State University

When Organizations Emerge from Personal and Community Networks: Comparing India and the United States.

This paper is the product of a trip by a group of ARNOVA researchers to observe a variety of community-based organizations in India founded by or primarily serving women. Most of the organizations we saw were organized around one or a few strong individuals who were able to build an entrepreneurial idea or a cooperative venture into a legally incorporated entity that had significant ties to the state and or to the formal economy. At the same time, participants in those organizations remain strongly tied to local community and family networks. Their network connections make it difficult for them to find the time to do their organizational work. It also is difficult for them to separate resources that properly belong to the organization from their need to provide care and support within their family

and community networks.

This kind of problem is one that confronts women who are community and political leaders in many non-western cultures. We tend to think that it is not such a great problem in the United States. However, work we at Portland State University have done supporting leaders in the local African American community suggests many parallel challenges for these individuals. Perhaps the problem is that the dominant economic, political, and social culture in America is so divorced from community and family roots that managerial thinking does not recognize the power of these network connections. They impose significant challenges to efforts at personal and organizational advancement. At the same time, they are a great source of strength and social capital for the people and the organizations in the African American Community.

The power of this comparison with women's organizations in India is that we can see the interplay between the personal and social world and the formal governmental and economic world more clearly in a non-western country than we can in the United States. The challenge for those of us interested in organizational development is to learn ways that social service organizations in community-oriented societies can build and develop. The principles of organization building are sharply different than those that govern the more legally formal and economically rational organizations that seem to capture the most attention from nonprofit scholars.

Paper Number: PN032038.1

Paper Title: Problem Framing in Public Policy and Government/Voluntary Sector Partnerships: Marginal social movements and the policy process in Northern Ireland.

Author(s):

Dr. Nicholas Acheson, University of Ulster, Coleraine, United Kingdom

Summary of Research

This paper concerns the difficulties "marginal social movements" have faced gaining full political voice in Northern Ireland where the policy process is structured on one side by intense sectarian conflict and on the other by a socialist and hegemonic state.

Description

Problem Framing in Public Policy and Government/Voluntary Sector Partnerships: Marginal social movements and the policy process in Northern Ireland.

This paper concerns the difficulties "marginal social movements" have faced gaining full political voice in Northern Ireland where the policy process is structured on one side by intense sectarian conflict and on the other by a socialist and hegemonic state. Formal arrangements whereby government and voluntary and nonprofit agencies work jointly on policy and program innovation have been welcomed as being a more participative and inclusive form of public administration and have been an important aspect of the government reform in Northern Ireland since the "Good Friday Agreement" of 1998. But how inclusive and participative these arrangements can in fact be, will depend upon the ways in which the problems to be addressed are framed and the perceived relevance of these frames to communities of interest or identity that the new arrangements are supposed to be reaching out to.

We have done empirical research on interest groups that have been powerful agents of social change in other countries but are relegated to marginal status in Northern Ireland. The disabled liberation movement, the women's movement, and religious movements for social justice are examples. Such communities tend to be defined as irrelevant to the public policy and political processes in Northern Ireland. Being excluded, important interests are not addressed by the political or public administrative processes. Furthermore, the special orientations and concerns of those groups are ignored so that public services are unable to adequately address needs or forms of voluntary action generated by groups within these marginal social movements.

This paper will develop a conceptual framework to understand some of the dimensions of the limits to inclusive forms of public administration. It will discuss Local Strategy Partnerships in the United Kingdom as an administrative innovation in Northern Ireland and will offer a preliminary examination of the range of community interests that have found a place in the sun in these new arrangements. The kinds of interests that remain excluded will be identified and some reasons for their exclusion will be examined.

Paper Number: PN032038.2

Paper Title: The practices of faith and the abilities of congregational leaders to serve outsiders.

Author(s):

Reverend W. Clay, Ph.D., Ithaca, NY, USA

Dr. Carl Milofsky, Bucknell University, Lewisburg, PA, USA

Summary of Research

How do the practices of faith of congregational leaders, their explicit spiritual practices, further and/or limit their ability to collaborate with other organizations, leaders and communities to address social issues? Data is taken from seven nationally known practitioners of faith-based community and economic development whose work is ground in local congregational communities.

Description

How do the practices of faith of congregational leaders, their explicit spiritual practices, further and/or limit their ability to collaborate with other organizations, leaders and communities to address social issues? Data is taken from seven nationally known practitioners of faith-based community and economic development whose work is ground in local congregational communities. This paper offers an initial theoretical framework based on exploratory research reported in Clay's dissertation. The practitioners have been re-interviewed for this project to assess the congruence on their own assessment of their work with the dissertation findings.

One key issue in assessing practices of faith is viewing the practitioner in enough settings to compare their claims and ideals with actual practice – to see the moral and spiritual processes and outcomes at work. But an even more daunting issue is doing research with persons whose faith practices are situated in their lives in fundamentally different ways. We have constructed three operational categories to capture these differences, at a very basic level. The first is traditional/pre-modern, the second pluralist/modern and the third is constructivist/post-modern.

Most of the practitioners' examined here express their faith in either a post-modern or pre-modern concern for holistic well-being. In these frameworks faith and spiritual practices are considered public matters of personal freedom and discipline for publicly engaging community life. These practitioners report their daily faith and spiritual practices openly. The practitioners who carry their faith practices as a more "modern," or segmented dimension of their private lives speak less openly or freely of their practices. They exercise their faith as a more confidential, discreet or private matter, even when seeking a greater, more holistic good.

More pre-modern oriented practitioners emphasize the continuity with tradition of their practices, and they work more as elite gatekeepers bridging the interests of their specific communities with those of other communities, while enhancing their community and protecting it from outside interference. With these practitioners, it is hard to identify benefits that accrue to outsiders, as benefits are meant to bring outsiders into the community and tradition.

The more modern oriented practitioners are more inclined to frame issues as a competition of pluralist interests, economically, politically, morally and spiritually, and to see themselves as either players in the competition to set public policy or power brokers, or both. Their very real services to outsiders, who are assumed to remain outsiders, are often highly disciplined to further their elite goals. When they mention faith, they use more wooden, or formulaic responses, so their faith appears to be less at the analytical core of practice than reliance on secular historical, political and economic analysis.

More post-modern practitioners emphasize the constructed, improvised nature of there personal discipline. Their work constructs recognizable religious traditions, as well as viable economic and social service efforts and programs, from ordinary elements that cut across racial, economic or religious boundaries. Their work appears to be opportunistic or idiosyncratic ways, as well as tied to traditional institutions and pluralist power concerns. It is not clear if this approach is a stable over generations of leadership.

The post-modern practitioners have grown their practices in ways that do not appear to be replicable in

a formulaic manner, but they address more thoroughly the concerns for bonding social capital than the other two approaches. The pre-modern and modern practitioners work in ways more responsive to government policies or "third party government."

Paper Number: PN032038.3

Paper Title:

Connections and Disconnect ions between Civic Engagement and Social Capital in

Author(s):

Dr. Jo Anne Schneider, Catholic University of America, Washington, DC, USA

Summary of Research

The proposed paper uses data from a study of non-profits providing services for immigrants in the Washington DC metropolitan area to examine what factors determine whether or not a non-profit serving immigrants collaborates with immigrant worship communities.

Description

Studies of collaboration among organizations note that organizations partner with each other based on previous connections and reciprocal needs (Powell 1990,Gulati and Gargiulo 1999). Milofsky and Hunter (1995) suggest that non-profits are linked to each other through network associations of organizations addressing similar problems or communities in themselves that are homogeneous communities focused inward. Some of these organizations may also participate in vertical relationships with the state. My work (Schneider forthcoming) suggests that some non-profits are part of inter-locking systems focused simultaneously on closed social capital within communities in themselves such as a worship community and network relationships with organizations providing similar services. Partnerships among organizations develop through social capital connections in these various networks. The proposed paper uses data from a study of non-profits providing services for immigrants in the Washington DC metropolitan area to examine what factors determine whether or not a non-profit serving immigrants collaborates with immigrant worship communities. Data consists of qualitative interviews with agency staff, analysis of agency documents, and a survey of 200 immigrant worship communities serving Africans, Koreans, Chinese, Muslims, Sikhs, Hindus, and Latinos. The paper would compare the social capital ties of organizations that partner with worship communities that participated in the survey with those that do not collaborate with these faith communities.

Several factors influence who an organization partners with. First, partnerships often depend on agency history - faith based organizations often collaborate with worship communities that helped found them, and some immigrant worship communities are part of those pre-existing churches. Second, immigrant faith communities develop their own organizations, forming collaborations based on the concerns within the bounded community. In this case, partnerships reflect the networks within the community in themselves. Third, organizations may be formed either from the immigrant community or by outsiders to serve immigrants, but by people oriented toward a particular problem focus rather than worship communities. While these organizations may have ties to the immigrant communities in themselves, they are more likely to partner with organizations in their social service agency networks than immigrant worship communities.

Paper Number: PN032038.4

Paper Title: When Organizations Emerge from Personal and Community Networks: Comparing India and the United States.

Author(s):

Dr. Suzanne Feeney, Institute for Nonprofit Management, Portland State University, Portland, OR, USA

Summary of Research

This paper is the product of a trip by a group of ARNOVA researchers to observe a variety of community-based organizations in India founded by or primarily serving women.

Description

This paper is the product of a trip by a group of ARNOVA researchers to observe a variety of community-based organizations in India founded by or primarily serving women. Most of the organizations we saw were organized around one or a few strong individuals who were able to build an entrepreneurial idea or a cooperative venture into a legally incorporated entity that had significant ties to the state and or to the formal economy. At the same time, participants in those organizations remain strongly tied to local community and family networks. Their network connections make it difficult for them to find the time to do their organizational work. It also is difficult for them to separate resources that properly belong to the organization from their need to provide care and support within their family and community networks.

This kind of problem is one that confronts women who are community and political leaders in many non-western cultures. We tend to think that it is not such a great problem in the United States. However, work we at Portland State University have done supporting leaders in the local African American community suggests many parallel challenges for these individuals. Perhaps the problem is that the dominant economic, political, and social culture in America is so divorced from community and family roots that managerial thinking does not recognize the power of these network connections. They impose significant challenges to efforts at personal and organizational advancement. At the same time, they are a great source of strength and social capital for the people and the organizations in the African American Community.

The power of this comparison with women's organizations in India is that we can see the interplay between the personal and social world and the formal governmental and economic world more clearly in a non-western country than we can in the United States. The challenge for those of us interested in organizational development is to learn ways that social service organizations in community-oriented societies can build and develop. The principles of organization building are sharply different than those that govern the more legally formal and economically rational organizations that seem to capture the most attention from nonprofit scholars.

Paper Number: PN032039

Paper Title: New Government Data Sources on Funding to the Nonprofit Sector

Author(s):

Gerard Keffer, US Census Bureau, Washington, DC, USA

Description

The US Census Bureau maintains key data sets on Federal Government grants provided to nonprofit organizations. The data sets are the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS). These two data sets contain a wealth of information on Federal funding of nonprofits that is of enormous value to nonprofit researchers. The Census Bureau has developed a very user friendly system for accessing data in the FAC. Staff from the Census Bureau will discuss the content of these data sets and conduct an online demonstration illustrating how to access them.

Paper Number: PN032039.1

Paper Title: A Demonstration of the Single Audit Database

Author(s):

 Gerard Keffer, US Census Bureau

Summary of Research

The US Census Bureau maintains key data sets on Federal Government grants provided to nonprofit organizations. The data sets are the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS). These two data sets contain a wealth of information on Federal funding of nonprofits that is of enormous value to nonprofit researchers. The Census Bureau has developed a very user friendly system for accessing data in the FAC. Staff from the Census Bureau will discuss the content of these data sets and conduct an online demonstration illustrating how to access them.

Description

The nonprofit sector receives over a third of its revenues through government funding sources. Some areas, like health and social and legal services, depend on government awards and payments even more heavily. The Federal Assistance Award Data System (FAADS), a central collection of selected data on Federal financial assistance compiled by the Governments Division of the Census Bureau, provides data users with the ability to track grants given out by federal agencies, including those awarded to nonprofit organizations. The Census Bureau has also been designated as the Federal Audit Clearinghouse (FAC) and receives the audits of states, local government, and non-profit organizations that receive federal grants. The Bureau has created a very user friendly system for accessing data on the FAC, which is public and free, and this data source is enormously valuable to researchers interesting in studying Federal funding of nonprofit organizations.

On January 29, 2003, Independent Sector held a special Research in Practice seminar on the subject of Federal funding of nonprofit organizations. Staff from the US Census Bureau conducted the seminar on the content of the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS), and illustrated how to access these data. The seminar was attended by more than 50 persons from nonprofit organizations, but mostly from the Washington, DC metropolitan area. Attendees found these data sources to be very useful for understanding the size and composition of Federal funds going to nonprofit organizations, and many have begun to use the data in their own research. The purpose of this special seminar is to make the information available to the broader community of nonprofit researchers at ARNOVA so they will be able to use these data sets in their own work.
Federal Funding and the Nonprofit Sector:
Census Bureau Data Sources

The Consolidated Federal Funds Report (CFFR), the Federal Assistance Award Data System (FAADS), and the Federal Audit Clearinghouse (FAC) are three data collection and dissemination systems administered by the Governments Division of the U.S. Census Bureau. Operating as executive agent for the Office of Management and Budget, the Census Bureau collects and publishes quarterly and annual detailed data on Federal Government grant awards and other assistance.

FAADS provides quarterly detailed information on the geographic distribution of Federal funds at a level of detail exceeding CFFR, primarily with respect to recipient identity and other individual award transaction information. FAADS data currently must be downloaded in "raw" text format, but an interactive query system is anticipated in the near future.
http://www.census.gov/govs/www/faads.html
govs.faads@census.gov
Data series included: 1996 to present (from 1983 on CD by request).

CFFR provides annual summary information on the geographic distribution of Federal funds at a level of detail including Federal agency, Federal award program, and FIPS location code (down to the county and, in some cases, place level). The annual CFFR consists of FAADS quarterly files, supplemented by salary, procurement, and other data files. The CFFR website includes an interactive query system.
http://www.census.gov/govs/www/cffr.html
govs.cffr@census.gov
Data series included: 1993 to present (from 1983 on CD by request).

FAS (Federal Aid to States) is an annual publication issued as a companion to CFFR. FAS generally covers federal grant outlays to state and local government recipients at a level of detail including Federal agency and program area (to state level geography).
http://www.census.gov/prod/2002pubs/01fas.pdf
govs.fas@census.gov
Data series included: 1998 to present (from 1984 on spreadsheet by request).

FAC provides detailed information on audits required of all public and nonprofit entities which spend in excess of $300,000 in Federal funds annually.   The FAC website includes an interactive query system.
http://harvester.census.gov/sac/
govs.fac@census.gov
Data series included: 1997 to present.

Paper Number: PN032039.2

Paper Title: Federal Assistance Award Data System as a Data Source

Author(s):

 Gerard Keffer, US Census Bureau

Summary of Research

The US Census Bureau maintains key data sets on Federal Government grants provided to nonprofit organizations. The data sets are the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS). These two data sets contain a wealth of information on Federal funding of nonprofits that is of enormous value to nonprofit researchers. The Census Bureau has developed a very user friendly system for accessing data in the FAC. Staff from the Census Bureau will discuss the content of these data sets and conduct an online demonstration illustrating how to access them.

Description

The nonprofit sector receives over a third of its revenues through government funding sources. Some areas, like health and social and legal services, depend on government awards and payments even more heavily. The Federal Assistance Award Data System (FAADS), a central collection of selected data on Federal financial assistance compiled by the Governments Division of the Census Bureau, provides data users with the ability to track grants given out by federal agencies, including those awarded to nonprofit organizations. The Census Bureau has also been designated as the Federal Audit Clearinghouse (FAC) and receives the audits of states, local government, and non-profit organizations that receive federal grants.   The Bureau has created a very user friendly system for accessing data on the FAC, which is public and free, and this data source is enormously valuable to researchers interesting in studying Federal funding of nonprofit organizations.

On January 29, 2003, Independent Sector held a special Research in Practice seminar on the subject of Federal funding of nonprofit organizations. Staff from the US Census Bureau conducted the seminar on the content of the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS), and illustrated how to access these data. The seminar was attended by more than 50 persons from nonprofit organizations, but mostly from the Washington, DC metropolitan area. Attendees found these data sources to be very useful for understanding the size and composition of Federal funds going to nonprofit organizations, and many have begun to use the data in their own research. The purpose of this special seminar is to make the information available to the broader community of nonprofit researchers at ARNOVA so they will be able to use these data sets in their own work.
Federal Funding and the Nonprofit Sector:
Census Bureau Data Sources

The Consolidated Federal Funds Report (CFFR), the Federal Assistance Award Data System (FAADS), and the Federal Audit Clearinghouse (FAC) are three data collection and dissemination systems administered by the Governments Division of the U.S. Census Bureau. Operating as executive agent for the Office of Management and Budget, the Census Bureau collects and publishes quarterly and annual detailed data on Federal Government grant awards and other assistance.

FAADS provides quarterly detailed information on the geographic distribution of Federal funds at a level of detail exceeding CFFR, primarily with respect to recipient identity and other individual award transaction information. FAADS data currently must be downloaded in "raw" text format, but an interactive query system is anticipated in the near future.
http://www.census.gov/govs/www/faads.html
govs.faads@census.gov
Data series included: 1996 to present (from 1983 on CD by request).

CFFR provides annual summary information on the geographic distribution of Federal funds at a level of detail including Federal agency, Federal award program, and FIPS location code (down to the county and, in some cases, place level). The annual CFFR consists of FAADS quarterly files, supplemented by salary, procurement, and other data files. The CFFR website includes an interactive query system.
http://www.census.gov/govs/www/cffr.html
govs.cffr@census.gov
Data series included: 1993 to present (from 1983 on CD by request).

FAS (Federal Aid to States) is an annual publication issued as a companion to CFFR. FAS generally covers federal grant outlays to state and local government recipients at a level of detail including Federal agency and program area (to state level geography).
http://www.census.gov/prod/2002pubs/01fas.pdf
govs.fas@census.gov
Data series included: 1998 to present (from 1984 on spreadsheet by request).

FAC provides detailed information on audits required of all public and nonprofit entities which spend in excess of $300,000 in Federal funds annually.   The FAC website includes an interactive query system.
http://harvester.census.gov/sac/
govs.fac@census.gov
Data series included: 1997 to present.

Paper Number: PN032039.3

Paper Title: Working with New Government Data Sources

Author(s):

 Gerard Keffer, US Census Bureau

Summary of Research
The US Census Bureau maintains key data sets on Federal Government grants provided to nonprofit organizations. The data sets are the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS). These two data sets contain a wealth of information on Federal funding of nonprofits that is of enormous value to nonprofit researchers. The Census Bureau has developed a very user friendly system for accessing data in the FAC. Staff from the Census Bureau will discuss the content of these data sets and conduct an online demonstration illustrating how to access them.

Description

The nonprofit sector receives over a third of its revenues through government funding sources. Some areas, like health and social and legal services, depend on government awards and payments even more heavily. The Federal Assistance Award Data System (FAADS), a central collection of selected data on Federal financial assistance compiled by the Governments Division of the Census Bureau, provides data users with the ability to track grants given out by federal agencies, including those awarded to nonprofit organizations. The Census Bureau has also been designated as the Federal Audit Clearinghouse (FAC) and receives the audits of states, local government, and non-profit organizations that receive federal grants.   The Bureau has created a very user friendly system for accessing data on the FAC, which is public and free, and this data source is enormously valuable to researchers interesting in studying Federal funding of nonprofit organizations.

On January 29, 2003, Independent Sector held a special Research in Practice seminar on the subject of Federal funding of nonprofit organizations. Staff from the US Census Bureau conducted the seminar on the content of the Federal Audit Clearinghouse (FAC) and the Federal Assistance Award Data System (FAADS), and illustrated how to access these data. The seminar was attended by more than 50 persons from nonprofit organizations, but mostly from the Washington, DC metropolitan area. Attendees found these data sources to be very useful for understanding the size and composition of Federal funds going to nonprofit organizations, and many have begun to use the data in their own research. The purpose of this special seminar is to make the information available to the broader community of nonprofit researchers at ARNOVA so they will be able to use these data sets in their own work.

Paper Title: On Art and Community: Examining Relationships Between Arts Organizations, Non-Arts Organizations, and the Communities they Serve

Author(s):

 Ms. Linda Lampkin, The Urban Institute, Washington, DC, USA

Description

Nonprofit cultural organizations —from major museums to community theaters— engage local residents in their cultural offerings and work to improve their communities at the same time. Other types of nonprofits —such as religious institutions, human service providers, and community development corporations— incorporate art into their programs to improve service delivery and motivate their clients, volunteers, and members. Examples of these interconnected projects include: a major world music festival sponsored by an ethnic social services agency and a civil rights advocacy organization, churches that provide free concerts for their communities, and community art-making workshops in which neighborhood residents help create art for community celebrations.

Recent research highlights the importance of arts and culture to communities. This panel presents research from four studies that demonstrate multiple ways in which arts and culture are provided in community settings, including partnerships between arts and non-arts organizations, non-arts organizations as arts providers in their own right, and collaborative inquiry projects for mapping community assets. These studies demonstrate that arts and culture are useful for many different community purposes, and many kinds of nonprofit organizations use arts and culture in their programming. At the community level, nonprofit arts and non-arts organizations are interconnected in complex relationships that scholars are only beginning to understand.

Panelists will discuss the ways in which arts and culture permeate the many sectors of civil society, and will argue that a broader understanding of the role of arts and culture in communities is necessary to truly understand the role of nonprofit arts and non-arts organizations in communities. This approach is particularly useful to scholars of the nonprofit sector as we meet to discuss the dynamics of building and understanding a sector

Paper Number: PN032041.1

Paper Title: Linking Culture and Community Through Partnerships: Arts and Non-Arts Organizations Working Together

Author(s):

 Chris Walker, The Urban Institute, Washington, DC, USA

Summary of Research
This report is part of the series produced by the evaluation of the Community Partnerships for Cultural Participation Initiative. It examines funded partnerships between arts and non-arts organizations in nine sites around the country and data from two surveys of nonprofit organizations. Questions addressed include: Why do arts and non-arts organizations partner with one another? What resources do arts and non-arts organizations bring to cultural projects? What are the benefits of partnering with an organization in a different field? What risks do partners run and what strategies have they adopted to reduce these risks?

Description

This report is part of the series produced by the evaluation of the Community Partnerships for Cultural Participation Initiative. It examines funded partnerships between arts and non-arts organizations in nine sites around the country and data from two surveys of nonprofit organizations. Questions addressed include: Why do arts and non-arts organizations partner with one another? What resources do arts and non-arts organizations bring to cultural projects? What are the benefits of partnering with an organization in a different field? What risks do partners run and what strategies have they adopted to reduce these risks?

Arts and non-arts organizations partner in order to accomplish goals that neither can achieve alone. These joint efforts reveal complementary aims among partnering organizations which rest on the deep connection between culture and community. For example, people often participate in cultural life in community settings, motivated by social, family and civic concerns in addition to artistic ones. Research finds that people's cultural participation arises through other aspects of political, civic, religious, and community life, and that conversely, people's participation in community activities is often facilitated by cultural and artistic experiences. Community goals can be advanced by embracing the values, symbols, and techniques of those who create and present art, and cultural participation can be increased by connecting artistic experiences more closely with other forms of community life.

Some of the main findings of the report are:
- Non-arts groups are willing partners in efforts to connect arts and culture. Most already recognize the power of the arts to engage people in efforts to improve communities and help themselves get ahead. Many non-arts organizations maintain strong arts programs.

- Community and client improvement goals are the first priority for non-arts organizations. Partnerships between arts and non-arts organizations are most likely to succeed if arts partners find the areas where these goals overlap with their own community service missions.

- Arts organizations differ in their programs and goals. This means that their commitment to community takes different forms.   Some groups specialize in working with youth or community residents, for example. Others get needed assistance from non-arts partners that devote extra time to help artists work effectively with particular communities.

- Arts groups have standards for quality of product and performance that their non-arts partners must respect.   Many arts agencies have shown they can accommodate the community process and related issues without compromising those standards.

A broader public benefit is created when partnerships among arts and non-arts organizations create

new bridges between the publics, constituencies, organizational strengths, and missions of both types of organizations. As organizations accumulate experience in partnering, and develop working relationships throughout diverse sectors of the community, their special assets become more readily available for future efforts to enhance community life.

References:
Noland, Mariam and Katie Goatley. 2002. "How Community Foundations can Help Museums Fill Their Civic Missions." In Mastering Civic Engagement: A Challenge to Museums, edited by the American Association of Museums (49-56). Washington, DC: American Association of Museums.

Ostrower, Francie. 2003. Cultural Collaborations: Building Partnerships for Arts Participation. Washington, DC: Urban Institute.

Saguaro Seminar. 2000. Better Together: The Report of the Saguaro Seminar: Civic Engagement in America. Cambridge, MA: Kennedy School of Government, Harvard University.

Vidal, Avis and Nancy Nye, Christopher Walker. 2002. Lessons Learned From the Community Outreach Partnerships Program. Washington, DC: US Department of Housing and Urban Development, Office of Policy Development and Research.

Walker, Chris and Carlos A. Manjarrez. 2003. Partnerships for Free Choice Learning: Public Libraries, Museums, and Public Broadcasters Working Together. Washington, DC: Urban Institute.

Walker, Chris and Stephanie Scott-Melnyk with Kay Sherwood. 2002. Reggae to Rachmaninoff: How and Why People Participate in Arts and Culture. Washington DC: Urban Institute.

Walker, Chris, Maria-Rosario Jackson, and Carole Rosenstein. forthcoming. Culture and Commerce: Traditional Arts in Economic Development. Washington DC: Urban Institute.

Paper Number: PN032041.3

Paper Title: Who Provides Arts Programs in Knight Communities?: An Analysis of Nonprofit Data from IRS Form 990

Author(s):

Dr. Eric Twombly, The Urban Institute, Washington, DC, USA

Ms. Linda Lampkin, The Urban Institute - Center on Nonprofits & Philanthropy, Washington, DC, USA

Summary of Research

This study clarifies the activities of nonprofits that are located in the 26 communities in which the Knight Foundation makes grants. The information on programs and services from the 1998 and 1999 IRS Forms 990 filed annually by the nonprofits, as collected by the National Center for Charitable Statistics, has been classified using the Nonprofit Program Classification (NPC) system. When added to their organizational purposes, the classified programs and activities of nonprofits provide a deeper and more detailed description of what they do in local communities.

Description

This study clarifies the activities of nonprofits that are located in the 26 communities in which the Knight Foundation makes grants. The information on programs and services from the 1998 and 1999 IRS Forms 990 filed annually by the nonprofits, as collected by the National Center for Charitable Statistics, has been classified using the Nonprofit Program Classification (NPC) system. When added to their organizational purposes, the classified programs and activities of nonprofits provide a deeper and more detailed description of what they do in local communities.

Taking an inventory of arts and cultural opportunities in local communities has typically meant counting the number of arts organizations. But simply identifying arts-related groups significantly underestimates the arts and cultural options for local residents. In the Knight communities, there are over 1,700 traditional arts nonprofits, but almost 3,500 arts and cultural programs were identified from the activities listed by all nonprofits. Nearly one-quarter of arts and cultural programs in the Knight communities are provided by nonprofits that are not classified as arts organizations.

Research reveals that many types of nonprofits provide arts and cultural programs in local communities. Thus, the number of arts and culture opportunities for local residents is much greater if the entire nonprofit sector is considered. This research demonstrates a new tool for assessing community assets that is useful for community planning and grantmaking.

References:
Princeton Survey Research Associates. (1999a). John S. and James L. Knight Foundation Community Indicators Project: A Report on Public Opinion in Boulder, Colorado. Princeton, NJ.

Princeton Survey Research Associates. (1999b). John S. and James L. Knight Foundation Community Indicators Project: A Report on Public Opinion in Gary, Indiana. Princeton, NJ.

Princeton Survey Research Associates. (2002). John S. and James L. Knight Foundation Community Indicators Project: A Summary Report of National Public Opinion on Local Issues. Princeton, NJ.

Twombly, Eric C., and Lampkin, Linda M. (2001). An Analysis of Arts and Cultural Programs in Four Communities Using the Nonprofit Program Classification System. Washington, DC: The Urban Institute.

Paper Number: PN032041.4

Paper Title: Congregations and the Arts

Author(s):

Dr. Mark Chaves, University of Arizona, Tucson, AZ, USA

Summary of Research

In this presentation I use data from the National Congregations Study to explore congregations' artistic activity and religious variation in that activity. I argue that congregations' artistic activity is more central to their internal operations than either their social service or their political activities. I also argue that, because they are sites for so much artistic activity, congregations contribute to our society's cultural arena more than they contribute to either the social services arena or the political arena.

Description

In this presentation I use data from the National Congregations Study to explore congregations' artistic activity and religious variation in that activity. I argue that congregations' artistic activity is more central to their internal operations than either their social service or their political activities. I also argue that, because they are sites for so much artistic activity, congregations contribute to our society's cultural arena more than they contribute to either the social services arena or the political arena.

Paper Number: PN032042

Paper Title: Civil Society and Transnational Advocacy Networks in Asia

Author(s):

 Dr. James V. Riker, The Democracy Collaborative, University of Maryland, College Park, MD, USA

Description

Considerable debate exists about the democratic potential of civil society in Asia. Over the past two decades, a wide variety of new societal groups have become increasingly visible and active in policy advocacy in Asia in both domestic and transnational political arenas. This panel examines the emergence and political influence of these new advocacy groups from a variety of perspectives. Two papers analyze the general growth of these new types of civil society organizations and networks in the region and focus on the domestic and transnational forces that have reshaped state-society relations in Asia. The other papers turn to the specific country cases of China, Indonesia, and South Korea to examine how domestic and transnational political processes have stimulated, hampered or otherwise influenced the evolution of NGOs and other advocacy groups in each country.

Paper Number: PN032042.1

Paper Title: Political Globalization and the Growth of Transnational Environmental Networks

Author(s):

Dr. Kim Reimann, Georgia State University, Atlanta, GA, USA

Summary of Research
This paper analyzes how processes of political globalization – the growth of international regimes and organizations, the spread of Western international NGOs (INGOs) to new parts of the world, and the rise of new international sponsors of the environment – have stimulated and shaped the emergence of these new transnational NGO networks in Asia.

Description
Over the past three decades NGOs working on environmental issues in Asia have proliferated and are now part of an increasingly dense web of societal groups and activists with national, transnational, and international ties. This paper analyzes how processes of political globalization – the growth of international regimes and organizations, the spread of Western international NGOs (INGOs) to new parts of the world, and the rise of new international sponsors of the environment – have stimulated and shaped the emergence of these new transnational NGO networks in Asia. To explore these processes in greater detail, the paper examines three environment-related NGO campaigns in the Asian region: lobbying of the Asian Development Bank; campaigns focused on toxic chemicals; and campaigns devoted to preserving mangroves.

Paper Title: The Structure and Dynamics of Transnational Cooperation in the Korean Environmental Movements: From Rio to Johannesburg

Author(s):

 Mr. Sukki Kong, Harvard University, Cambridge, MA, USA

Summary of Research
Using the case of South Korea, this paper focuses on the structure and dynamics of transnational linkage and local empowerment both in terms of mobilizing resources and socializing ideas. First, the paper examines the impact of the UNCED Conferences at Rio de Janiero in 1992 and the Johannesburg in 2002 on both the Korean environmental movements and the government policy-making. Next, to explore how effectively local movements apply transnational resources and norms into local concerns and how domestic barriers interfere with transnational cooperation, the paper analyzes two environmental campaigns of the late 1990s in South Korea.

Description
Although there has been a convergence of scholarly interest in norms and transnational networks among international relations and social movement scholars recently, many researchers have tended to ignore possible differences between short- and long-term process across movement sectors at different levels of transnational linkages. Using the case of South Korea, this paper focuses on the structure and dynamics of transnational linkage and local empowerment both in terms of mobilizing resources and socializing ideas. First, the paper examines the impact of two international conferences – the UNCED Conferences at Rio de Janiero in 1992 and the Johannesburg in 2002 – on both the Korean environmental movements and the government policy-making. Next, to explore how effectively local movements apply transnational resources and norms into local concerns and how domestic barriers interfere with transnational cooperation, the paper analyzes two environmental campaigns of the late 1990s in South Korea: the Tong River Anti-Dam Construction and the Saemankeum Anti-Land Reclamation campaign

Paper Number: PN032042.3

Paper Title: The Dynamics of Globalization in Indonesia: INFID as a Transnational Advocacy Network

Author(s):

Professor Annette Clear, University of California, Santa Cruz, Santa Cruz, CA, USA

Summary of Research
This paper will examine the dynamics of globalization within Indonesia by focusing on a particular type of global influence, namely a transnational advocacy network. The International NGO Forum on Indonesian Development (INFID) is an illustration of a transnational advocacy network, focused on a set of principled ideas and values related to development in Indonesia. The paper will present the theoretical puzzle of how a transnational advocacy network such as INFID affects state behavior; will detail INFID's empirical story; will analyze the negative impact of its dependence on the international community; and will explore its efforts to indigenize itself.

Description

This paper will examine the dynamics of globalization within Indonesia by focusing on a particular type of global influence, namely a transnational advocacy network. The International NGO Forum on Indonesian Development (INFID) is an illustration of a transnational advocacy network, focused on a set of principled ideas and values related to development in Indonesia. Four sections will comprise my paper. The first will present the theoretical puzzle of how a transnational advocacy network such as INFID affects state behavior; the second will detail INFID's empirical story; the third will analyze the negative impact of its dependence on the international community; and the fourth section will explore its efforts to indigenize itself.

Paper Number: PN032042.4

Paper Title: International NGOs and their Roles in China's Evolving Civil Society

Author(s):

 Qiusha Ma, Oberlin College, North Ridgeville, OH, USA

Summary of Research

Yunnan Province is called by many international and Chinese NGO activists "the capital of NGOs in China." This paper will examine some of the most important aspects of development of the nongovernmental and nonprofit organizations (NGOs) in Yunnan province, including their organizational structures, operations, financial conditions, and relations with local government. The paper will analyze the reasons behind the rapid surge of nongovernmental organizations in the shaping of these NGOs' missions, management and growing patterns. Yunnan NGOs' development will be used as a case here to test the theoretical concept of civil society in characterizing China's evolving nongovernmental sector.

Description

Yunnan Province is called by many international and Chinese NGO activists "the capital of NGOs in China." This paper will examine some of the most important aspects of development of the nongovernmental and nonprofit organizations (NGOs) in Yunnan province, including their organizational structures, operations, financial conditions, and relations with local government. The paper will analyze the reasons behind the rapid surge of nongovernmental organizations in the shaping of these NGOs' missions, management and growing patterns. Yunnan NGOs' development will be used as a case here to test the theoretical concept of civil society in characterizing China's evolving nongovernmental sector. This study will also compare the state of these NGOs with Chinese NGOs' conditions in general, and argue that the emergence of a civil society in China has not been, and will not be, an even or a balanced development.

Paper Number: PN032044

Paper Title: Empirical Studies of Giving and Volunteering II

Author(s):

Dr. Richard Steinberg, Indiana University-Purdue University at Indianapolis, Indianapolis, IN, USA

Description

The COPPS (Center on Philanthropy's Panel Study)tracks the philanthropic behaviors of approximately 7,500 families as they change over time. Sample families have been members of the Panel Study on Income Dynamics (PSID), an ongoing household survey conducted by the University of Michigan's Institute for Social research, for up to 30 years, and have been surveyed repeatedly about their income, wealth, and household structure and intermittently about a variety of other topics. For the first time in 2001, the COPPS was appended to the PSID and data from this wave is now publicly available. COPPS will be repeated in the 2003 wave and thereafter as funding allows.

This panel presents four papers that use the COPPS to understand various aspects of giving and volunteering.

Paper Number: PN032044.1

Paper Title: Patterns of Giving and Volunteering in COPPS 2001

Author(s):

Dr. Richard Steinberg, Indiana University-Purdue University at Indianapolis, Indianapolis, IN, USA

Dr. Mark Wilhelm, IUPUI, Indianapolis, IN, USA

Summary of Research

This paper presents summary statistics for the 2001 wave of the Center on Philanthropy's Panel Study and a host of cross-tabulations relating various types of giving and volunteering to other types and relating COPPS data on giving and volunteering to other variables contained in the Panel Study of Income Dynamics relating to income, wealth, family composition, occupation, help received from others, mental and physical health, alcohol consumption, race, ethnicity, and education. We conclude with a brief summary of the survey's methodology.

Description

This paper presents summary statistics for the 2001 wave of the Center on Philanthropy's Panel Study and a host of cross-tabulations relating various types of giving and volunteering to other types and relating COPPS data on giving and volunteering to other variables contained in the Panel Study of Income Dynamics relating to income, wealth, family composition, occupation, help received from others, mental and physical health, alcohol consumption, race, ethnicity, and education. We conclude with a brief summary of the survey's methodology

Paper Number: PN032044.2

Paper Title: Giving and the Past

Author(s):

 Ms. Patricia Hughes, St. Cloud State University, St. Cloud, MN, USA
 Dr. William Luksetich, St. Cloud State University, St. Cloud, MN, USA

Summary of Research
This paper will explore the factors affecting giving and volunteering considering a historical perspective of the individual's economic, demographic, and environmental characteristics. In addition to the contemporaneous factors that affect the current level of giving we will include the historical patterns and changes in a person's life that have brought them to their current status and giving pattersn. We will use data from the COPPS.

Description
This paper will explore the factors affecting giving and volunteering considering a historical perspective of the individual's economic, demographic, and environmental characteristics. In addition to the contemporaneous factors that affect the current level of giving, we will include the historical patterns and changes in a person's life that have brought them to their current status and giving patterns. We will look at whether history plays a role in determining the areas and amounts that people choose to donate.

While much has been done on contemporaneous factors that affect the giving of time and money, we will include the path of these variables over time, considering the variability, timing, and permanence of factors that affect current philanthropic behavior. While the attitudes and incomes of the parents obviously play a role in forming the attitudes of the children, we wish to include how an individual's economic and family circumstances have changed over time and whether that plays a role in their observed philanthropic behavior.

This will fill an important gap in understanding giving patterns based on only contemporaneous factors. While we might see variations in giving patterns based on age or other demographic characteristics, there is much conjecture about what is going on in the person's life that is causing such changes. We hope to uncover how changes in income, religious affiliation, family structure, health, etc. have brought each individual to their current state of giving.

The data used in this paper come from the Center on Philanthropy Panel Study at Indiana University-Purdue University Indianapolis, which appended a supplemental survey to the Panel Study on Income Dynamics conducted by the University of Michigan's Institute for Social Research. The data allow us to track a sample family's economic, demographic, and environmental factors over a thirty year period, and relate this history to the family's current philanthropic behavior. We will consider how quickly individuals adjust to changes in economic factors, and whether changes in philanthropy tend to be permanent or short lived.

Paper Number: PN032044.3

Paper Title: The Nature of Charitable Giving: A New Economic Theory and Empirical Test of
Philanthropy

Author(s):

Hayden W. Smith, Yale University, New Haven, CT, USA

Dr. Natalie Webb, Naval Postgraduate School, Monterey, CA, USA

Summary of Research

Unlike previous literature which regards charitable giving as a consumption expenditure, we treat gifts
as transfer payments. This changes the specification used to estimate the effects of income, wealth,
and taxes on giving. We use the 2001 COPPS and the 1999 and 2001 waves of the PSID to implement
the new approach.

Description

Economists and other social scientists have only begun to scratch the surface of understanding
charitable giving. In this paper, we survey the treatment of charitable giving in the economics and
nonprofit literature, noting that economists have treated giving as a consumption expenditure. We
reclassify gifts as transfer payments, and discuss the new calculus required to understand giving
decisions. We also extend previous studies by presenting a new model of
giving, where tax consequences of giving due to income and price changes are augmented by the
inclusion of wealth measures. We then analyze how gifts are affected by income and wealth taken
together. The analysis includes asset transfer for individuals, both inter vivos and after death. We
summarize the tax consequences of viewing giving this way, and discuss new empirical tests necessary
to properly characterize philanthropy.

Using the Center on Philanthropy Panel Study (COPPS), we intend to analyze philanthropic behavior of
the 7500 families studied in the supplemental survey to the Panel Study on Income (PSID) for 2001.
Because there is only one year
of philanthropy data, we will perform a cross-sectional analysis of giving using demographic variables
and looking at changes in wealth, income, taxes,and other relevant variables from the previous PSID
and the 2001 PSID.   We
hope this analysis may lead to more study of giving behavior where not only the price and income
effects of giving are examined, but wealth, changes in capital (asset) values, and changes in prices of
assets are included as well.

Paper Number: PN032044.4

Paper Title: Household Supply of Charitable Contributions and Volunteer Labor

Author(s):

 John Straub, Texas A&M, Bryan, TX, USA

Summary of Research
We extend Chiappori's (1992) model of household bargaining and labor supply decisions to the additional decisions of family donations and volunteering by each spouse. We estimate a static version of this model using data from the PSID and the COPPS. We also discuss plans to exploit the additional information regarding changes in each respondent's giving and volunteering over time when the 2003 wave of the COPPS becomes available.

Description

Families make the following interrelated decisions: how much should each member work, how much should each member volunteer, and how much money should the family contribute to charitable organizations. We explore the relationships among these decisions using data from the Center on Philanthropy's Panel Study (COPPS) linked to the Panel Study on Income Dynamics (PSID). This source offers a big advantage over alternative data sets such as the Giving and Volunteering in the US surveys conducted for Independent Sector because it's matched with the standard PSID data. Even in a single cross-section, this provides the opportunity to estimate rich
models of household decision making.

For example, Chiappori (1992) considers models in which each spouse in a married couple has a separate utility function. The joint labor supply
choice is the result of bargaining in which the household reaches a Pareto-efficient allocation of each spouse's leisure and goods. Barmby
(1994) has estimated such a labor supply model with British data. The PSID's philanthropy module would allow estimation of a similar model that also incorporated charitable giving and volunteering. It would also certainly permit estimation of models based on the more standard "household utility function approach" [e.g. Van Soest (1995), Ransom (1987)].

The general idea of extending a labor supply model seems quite natural for a model of volunteer labor. All the more so since most commodity demands are probably not separable from labor supply [Browning and Meghir (1991)and Kohlhase (1986)].

Exploiting the additional advantages of longitudinal data when it becomes available is also very exciting. Thus, we design our static model with the panel data extension already in mind, and will describe our strategy for exploiting future waves.

Paper Number: PN032045

Paper Title: Empirical Studies of Giving and Volunteering I

Author(s):

Dr. Richard Steinberg, Indiana University-Purdue University at Indianapolis, Indianapolis, IN, USA

Description

The COPPS (Center on Philanthropy's Panel Study)tracks the philanthropic behaviors of approximately 7,500 families as they change over time. Sample families have been members of the Panel Study on Income Dynamics (PSID), an ongoing household survey conducted by the University of Michigan's Institute for Social research, for up to 30 years, and have been surveyed repeatedly about their income, wealth, and household structure and intermittently about a variety of other topics. For the first time in 2001, the COPPS was appended to the PSID and data from this wave is now publicly available. COPPS will be repeated in the 2003 wave and thereafter as funding allows.

This panel presents three papers that use the COPPS to understand various aspects of giving and volunteering.

Paper Number: PN032045.1

Paper Title: Immigrant Assimilation and Charitable Giving

Author(s):

Professor Una Osili, IUPUI, Indianapolis, IN, USA

Dan Du, Rand Graduate School, Santa Monica, CA, USA

Summary of Research

We investigate charitable behavior and informal giving among U.S. immigrants -- how they give, to whom, and how their participation changes with duration of stay in the United States. The empirical analysis uses data from the Center on Philanthropy Panel Study – COPPS, which includes both charitable giving and informal giving (private transfers to family, friends and neighbors). The results will contribute to our understanding of the adaptation of immigrants to new philanthropic traditions and their potential contribution to the nonprofit sector in the U.S.

Description

More than half of all Americans contribute to charitable organizations or volunteer time. For this reason, charitable giving is thought to be an intrinsic aspect of American social and economic life. In this paper, we investigate charitable behavior and informal giving among U.S. immigrants. This is an important topic for several reasons. First, immigration plays an increasingly crucial part in shaping demographic and economic trends in the U.S. Given the unique role that the nonprofit sector occupies in the United States, particularly in the provision of public goods and services, and employment, it is important to understand how immigrants give, and to whom, and how their participation in charitable activity changes with duration of stay in the United States. Second, the civic and social dimensions of immigrant assimilation remain poorly understood. To date, much of the existing research has focused on the assimilation of immigrants within education, labor markets and the use of transfer payments. However, immigrant participation in charitable activity may also have broad implications for civic and social engagement, as well as for the transmission of social norms of philanthropic behavior across generations.

In this paper, we aim to provide new evidence on the extent of immigrant participation in charitable giving, and the key determinants of assimilation. We recognize that private transfers may take place outside organized channels, and thus we also investigate patterns of informal giving for both natives and immigrants. The empirical analysis in this paper is based on data from the Center on Philanthropy Panel Study – COPPS. A unique strength of the data is that we can study charitable giving, as well as informal giving, which includes private transfers to family, friends and neighbors over time. There are few existing sets that allow us to observe changes in charitable giving and informal giving for immigrants and natives. It is important to note that the PSID also contains high quality data on income and wealth, which are typically unavailable within existing data sets on philanthropic behavior, allowing us to control for the household's economic resources. Furthermore, the data set also contains a rich set of economic and socio-demographic variables including migration and labor market experience, family networks and ethnic background.

To our knowledge, this is the first economic study to investigate differences in the size and composition of charitable giving for immigrants relative to that of natives. In addition, we investigate how duration of stay in the U.S. affects informal and formal giving among U.S. immigrants. The results of this study have the potential to contribute to important debates concerning the adaptation of immigrants to new philanthropic traditions, and their potential contribution to the nonprofit sector in the U.S.

Paper Number: PN032045.2

Paper Title: Religious Affiliation and Philanthropy

Author(s):

 Thomas Smith, University of Illinois-Chicago, Chicago, IL, USA

Summary of Research

   Using the 2001 PSID family and individual files, this research examines the relationship between religious affiliation and philanthropic behavior. Similar to Duncan (1999), this study uses a utility maximizing framework to model the decision to give time and/or money. In addition to characteristics that capture the opportunity cost of volunteering time and the ability to contribute cash (see e.g. Reece 1979, Freeman 1997)—this model also includes religious identifiers to explain gifts to secular and nonsecular causes.

Description

   Using the 2001 PSID family and individual files, this research examines the relationship between religious affiliation and philanthropic behavior. Using a model similar to Duncan (1999), this study uses a utility maximizing framework to model the decision to give time and/or money. In addition to the standard set of personal and family characteristics that capture the opportunity cost of volunteering time and the ability to contribute cash—personal and family income, hours spent working, size and characteristics of immediate family (see Reece 1979, Freeman 1997 for example)—this model also includes religious identifiers. The results suggest that individuals with specific religious affiliations have a greater propensity to contribute time and money. These results are consistent with other literature and add to literature by examining the impact of religious affiliation on the decision to donate time and money to both secular and non-secular areas.

Paper Number: PN032045.3

Paper Title: An Empirical Test of the Golden Rule

Author(s):

Arthur Brooks, Syracuse University, Syracuse, NY, USA

Summary of Research
Do people do as they would be done by? More tangibly, do recipients of gifts tend to respond by giving? I analyze this using the 2001 wave of the COPPS and the PSID, which include data on both giving and income from all sources, across a broad cross-section of the population. I investigate how different sources of donated funds to individuals--intra-family gifts, charity from strangers, government transfers, etc.--affect the propensity to give, controlling for poverty, sociodemographics, and other factors and relate results to theories of donor motivation.

Description

Do people do as they would be done by? More tangibly, do recipients of gifts tend to respond by giving? This is a hard question to answer,
because most studies on charitable giving focus on large donors--those unlikely to be recipients of charity. The 2001 Panel Study of Income
Dynamics, however, provides a new source of data on both giving and income from all sources, across a broad cross-section of the population.
In this paper, I will investigate how different sources of donated funds to individuals--intra-family gifts, charity from strangers, government
transfers, etc.--affect the propensity to give, controlling for poverty, sociodemographics, and other factors. I will also connect the empirical
results to established theories on the motives for charitable giving.

Paper Number: PN032047

Paper Title: Peacebuilding: Building and Rebuilding Civil Society in the aftermath of Ethnic Violence

Author(s):

 Dr. Dwight W. Jackson, Greenville College, Greenville, IL, USA

Description

East Africa was a region of tribal societies just one hundred years ago. Historically, this social and cultural pattern has been disrupted periodically. Contact with traders from the Middle East and India and most notably the slave trade with these regions and Europe were minor in comparison with the sustained arrival of Europeans beginning in the mid 19th Century. The imposition of modern state systems that replaced the rule of local chiefs within the context of colonialism has fractured the fabric of traditional politics. Market economies have challenged traditional land usage and the agricultural base of social relationships. Missionaries have either enticed or imposed a deistic belief system delivered in modern organizations over the traditional family centered animism.

This panel examines select aspects of traditional and modern values and questions whether they can contribute to the creation of a sustainable peace through strengthening and rebuilding civil society. The Peacebuilding, Healing, and Reconciliation Programme (PHARP) is an international nongovernmental organization established as a response to the Rwandan genocide. PHARP has developed training for congregational and community leaders, conducting trainings in Kenya, Rwanda, Uganda, Ethiopia, Democratic Republic of Congo, Burundi and Tanzania. In these training programs PHARP seeks to achieve peace with justice by promoting healing and reconciliation through conflict resolution, capacity building, networking, nonviolent action, and research for community transformation (www.pharp.org). PHARP is about the creation of civil society.

This panel targets the programming of PHARP in Kenya and Rwanda communities where significant cultural and social transitions are occurring. Papers will evaluate data collected from four sources: 1) PHARP staff, 2) PHARP program related documents, 3) PHARP trainees, and 4) representatives of the communities in which the training has taken place. Data analysis will utilize domain analysis to identify patterns and themes with and about the training program

As PHARP continues to promote peace and reconciliation in Rwanda, Kenya, and throughout East Africa, it is critical to determine how its program impacts tribal and community relations and promotes social justice. This information will facilitate the program's adaptation and modification to ensure that the needs of Kenyans and Rwandans are met and ethnic, tribal, and community tensions are decreased.

This panel informs grassroots practice and theory. The international context permits researchers to apply current knowledge in a radically different and radically changing environment.

Adelman, H., and Suhrke, A. (1999). The path of a genocide: The Rwanda crisis from Uganda to Zaire. New Brunswick: Transaction Publishers

Denzin, N. and Lincoln, (1994). Handbook of qualitative research. Thousand Oaks, California: Sage Publications.

Eder, K. (1993). The New Politics of Class. London: Sage

Giddens, A. (1979). Central Problems in Social Theory: Action, Structure, and Contradiction in Social Analysis. Berkley, CA: University of California Press

Giddens, A. (1984). The Constitution of Society. Berkley, CA: University of California Press

Giddens, A. (1990). The Consequences of Modernity. Standford, CA: Standford University Press

Giddens, A. (1991). Modernity and Self-Identity: Self in Society in the Late Modern Age. Standford, CA: Standford University Press

Gidron, B., Katz, S.N., and Hasenfeld, Y. (2003) Forging peace: How peace/conflict resolution organizations can help diminish hostilities: A study of three conflicts. In Snapshots, Jan./Feb. 2003, 27, The Aspen Institute: Washington, D.C.

Miles, M.B. and Huberman, A.M. (1994). Qualitative data analysis: A sourcebook of new methods. Thousand Oaks, California: Sage Publications.

Patton, M.Q. (1990). Qualitative evaluation and research methods. Second Edition. Newbury Park, CA: Sage Publications.

Peacebuilding, Healing, and Reconciliation Programme (PHARP) www.pharp.org

Strauss, A. and Corbin, J. (1990). Basics of qualitative research: Grounded theory procedures and techniques. Newbury Park, CA: Sage Publications.

Yin, R. (1994). Case study research: Design and methods. Revised Edition. Thousand Oaks, California: Sage Publications.

Paper Title: Environmental Challenges: The Ability of a Regional Nongovernmental Organization to Impact the Development of Civil Society

Author(s):

 Dr. Stephen Wernet, Saint Louis University, Saint Louis, MO, USA

Summary of Research

This study utilizes a program evaluation for assessing environmental challenges unique to a grassroots NGO serving a multi-national region. Many of the issues raised by Young (1998) regarding third party government and Anheier and Cunningham (1994) regarding the internationalization of the nonprofit sector are applicable to this investigation.

Data was collected from four PHARP sources: 1) staff, 2) documents, 3) trainees, and 4) representatives of the communities in which the training has taken place. Data analysis will utilize domain analysis. Researchers from multiple cultures combine the strengths of insider-outsider perspectives tested by several team members in 2002.

Description

This study utilizes a program evaluation for assessing environmental challenges unique to a grassroots NGO serving a multi-national region. Many of the issues raised by Young (1998) regarding third party government and Anheier and Cunningham (1994) regarding the internationalization of the nonprofit sector are applicable to this investigation.

Peacebuilding, Healing and Reconciliation Programme (PHARP) is an international nongovernmental organization established as a response to the Rwandan genocide. PHARP has developed training for congregational and community leaders, conducting trainings in Kenya, Rwanda, Uganda, Ethiopia, Democratic Republic of Congo, Burundi and Tanzania. In these training programs PHARP seeks to achieve peace with justice by promoting healing and reconciliation. In recent years PHARP has added special training for women and youth. PHARP's programs address those affected by conflict and violence through conflict resolution, capacity building, networking, nonviolent action, and research for community transformation (www.pharp.org) PHARP does not have the capacity within the organization to undertake a comprehensive evaluation of its program. In order to compensate for this lack of capacity, PHARP has invited this evaluation. The goal of this paper is to report on an evaluate of the training for religious congregations and communities in Kenya and Rwanda.

The following objectives will guide this study:

Objective 1: Did PHARP implement the model of training it intended to implement?

PHARP has developed a training protocol for use within local community contexts. It is PHARP's objective
· To increase knowledge and awareness of the root causes, reality and results of violent conflict in Africa.
· To build and strengthen the capacity of local communities so as to promote peace, nonviolent action, healing, counseling and reconciliation in Africa.
· To serve as a resource for training, materials development and mediation for those seeking to work in peacebuilding, healing, and reconciliation in Africa.
· To develop sustainable networks with organizations in the field of reconciliation, nonviolent conflict transformation, and organizational development.
Targeting training for organizations and community groups for more than eight years has resulted in program expansion into seven countries and programming for multiple age sets. Training has been tailored for a variety of groups including religious congregations, women's organizations, and

geographic communities. This evaluation will assess the degree to which training has consistently followed the projected training protocol.

Objective 2: How has the PHARP training been utilized by participants?

PHARP has strategized to build capacity and develop networks in order to strengthen peacebuilding in Africa. Of particular interest is the extent to which training has been incorporated into personal, community, and professional lives.

Objective 3: What impact has the PHARP training had upon the communities and participants?

PHARP expects its programming to increase capacity and to result in networks of peacebuilders. This evaluation will assess the degree to which individuals have incorporated training into daily patterns.

METHODOLOGY

A grounded theory approach will be used in this project. In this approach, the researcher generates an abstract analytical schema of a phenomenon, i.e. a theory that explains some action, interaction or process. This is accomplished primarily through collecting interview data, making multiple visits to the field (theoretical sampling), attempting to develop and interrelate categories (constant comparison) of information, and writing substantive or context-specific theory (Strauss & Corbin, 1990).

In qualitative research, the central concerns for rigor have to do with truth value, consistency, replicability and neutrality (Denzin and Lincoln, 1994). These issues are addressed through both data collection and data analysis. In data collection, it is believed that the more observations upon which inferences are made, the more likely the rigor of the inquiry will withstand examination. Increasing observations will be accomplished in this study through multiple observations.

Sample. The population for this study will include all 33 congregations and communities in two of the countries that participated in the PHARP training between 1995 and 2002. This population represents 16 congregations and communities in Kenya and 17 congregations and communities in Rwanda. In total, this represents 1452 individuals, 503 in Kenya and 949 in Rwanda.

Data Collection Procedure. Data will be collected from four data sources: 1) archived and contemporary documents from PHARP, 2) interviews with key actors within PHARP, 3) interviews with key actors from congregations and communities trained in the PHARP model, and 4) interviews with key actors from congregations and communities not trained in but possibly benefiting from the PHARP model. These four data sources will provide in-depth information about the training curriculum, benefits, strengths, weaknesses, and impacts evolving from the PHARP initiative.

Data Analysis. In qualitative research, the central concerns for rigor are addressed not only through data collection but also through data analysis. (Denzin and Lincoln, 1994; Miles and Huberman, 1994; Patton, 1990). In this project, truth value or credibility will be achieved through iteration and triangulation.

The process of data analysis will be documented through creation of a decision trail. This is a recording technique utilized in qualitative research to record each step of the data analysis process. Creation of the trail will enable future researchers to follow and understand the decisions and choices made by the research team throughout the data collection and analysis processes.

Paper Title: The Phoenix? Civil Society after ethnic conflict Subsides

Author(s):

 Dr. Dwight Jackson, Greenville College, Greenville, IL, USA

Summary of Research
Can African societies that experience the challenges of violence and on-going tribal conflict create the public sphere we call civil society? Traditional societies are oriented towards past and use experience and knowledge to legitimate current practice. This orientation towards the past requires symbols and institutions that reinforce group membership most often based upon some biological or construct understanding of kinship. The deconstruction of this system is little understood. Current theoretical understandings would benefit from an exploration that moves the conversation beyond the pejorative to an appraisal of the cost and benefits of the transition from traditional to modern institutional patterns.

Description

The tribal societies of Africa were inundated by their contact with modern societies. Colonial administrators, missionaries, and merchants transported new products, new ideas, and new technology which would shatter the hold tradition and decentralized social units had upon the populations of the area. The fluid boundaries of tribal territories became solidified in the 'state-like' frontiers of colonial Africa. The resilient ideas of traditional time and space distinctions encountered the demand for increasing specificity of clocks and calendars. The decentralized, utilitarian focused local religion for the divine focused faiths of Christianity and Islam. The agrarian subsistence farming needs of local populations for the commodity based agriculture needs of colonial powers. (Mbiti 1999)
Upon the tribal patterns of both social and system integration impact with Europe and the Islamic worlds have

Within the framework of structuration theory Rwanda would be considered a 'society' only to the extent that its social systems "stand out in 'bas-relief' from a background of a range of other systemic relationships in which they are embedded" (1984, p. 164). Rwanda is a society in formation. While Rwanda's the rule of the mwamis (kings) prior to the colonial era indicated that state identity was emerging, the five decades of German and Belgium administration significantly impacted the development of its national identity. The struggles between Tutsi and Hutu for dominance in post-colonial Rwanda are well documented. The recent genocide in 1994 indicated that submerged ethnic identities could emerge to ignite the fires of violence.

The properties identified by Giddens that form the 'bas-relief' properties consists of three structural principles which produce clusters of institutions that persist over time and extend over a specific locality. These principles are:
1. An association between the social system and a specific local or territory.
2. The existence of normative elements that involve laying claim to the legitimate occupation of the locale.
3. The prevalence, among the members of the society, of feelings that they have some sort of common identity, however that might be expressed or revealed. (1984, pp.164-165)
In pre-modern Rwanda, these principles were applicable to each tribal identity. As modern institutions emerge, the validity of these properties can be examined in a living laboratory.

Giddens (1991, 1990, 1984, & 1979) writes extensively on issues of modernity and the particular characteristics of modern institutions. His structuration theory offers a powerful framework in which to examine the activities of individuals and collectives, particularly within the contexty of modern institutions. Individuals take action within frameworks that provide opportunity for action and simultaneously restrict that opportunity. Modern societies transform fundamental issues of family, religion, economic activity, and political structures.

Traditional societies are oriented towards past and use experience and knowledge to legitimate current practice. This orientation towards the past requires symbols and institutions that reinforce group membership most often based upon some biological or construct understanding of kinship. The deconstruction of this system is little understood. Current theoretical understandings would benefit from an exploration that moves the conversation beyond the pejorative to an appraisal of the cost and benefits of the transition from traditional to modern institutional patterns.

Can African societies that experience the challenges of violence and on-going tribal conflict create the public sphere we call civil society? This is the question that this paper attempts to address.

Data for this paper will be collected from four sources: 1) PHARP staff, 2) PHARP program related documents, 3) PHARP trainees, and 4) representatives of the communities in which the training has taken place.

Data analysis will utilize domain analysis to identify patterns and themes with and about the training program. Validity will be addressed through triangulation. Researchers from multiple cultures combine the strengths of insider-outsider perspectives tested by several team members in 2002.

Paper Number: PN032047.3

Paper Title: Gacaca: An Alternative Rwandan Path to Civil Society

Author(s):

 Ms. Carrie Menendez, Saint Louis University, St. Louis, MO, USA

Summary of Research

The government of Rwanda recently initiated the gacaca system in the summer of 2002. The trials are informal, traditional trials in which community members fill the roles of prosecutor, defender, and judge. Through interviews and review of printed materials, the effectiveness of these trials will be examined. Specific attention will be given to both structures' potential utility as mediating structures in emerging social structures in Rwanda.

Description

In 1994, more than 800,000 Rwandans were killed in the genocide that was spawned by tribal and political clashes between the Hutu tribe and the Tutsi tribe (Adelman & Shurke, 1999). As a result, tribal tensions and anger still subsist among the citizens of Rwanda and surrounding countries. Currently, the government, church, international NGO's, and local grassroots organizations are attempting to alleviate this lasting anxiety. The objective of my research is to examine how effective these mediating structures are, being that they are modern institutions in traditional cultural settings. This project will focus on two institutions that currently work towards building peace in Rwanda. The study will be focused around two main research questions: 1) What impact has the PHARP training had upon the communities and participants? 2) How do Rwandans perceive the gacaca system as a means of promoting justice and peace in their community?

The first is Peacebuilding, Healing, and Reconciliation Programme (PHARP), which is a regional nongovernmental organization currently working in East Africa. This organization works with communities, congregations, and women's and youth groups in order to equip local leaders to train and change individual and structural behavior to lead to the lessening of the likelihood for future violence. The second structure is a government run, innovative traditional court system, called gacaca. The government of Rwanda recently initiated the gacaca system in the summer of 2002. The trials are informal, traditional trials in which community members fill the roles of prosecutor, defender, and judge. Through interviews and review of printed materials, the effectiveness of these trials will be examined. Specific attention will be given to both structures' potential utility as mediating structures in emerging social structures in Rwanda.

A grounded theory approach will be used in this project. In this approach, the researcher generates an abstract analytical schema of a phenomenon, i.e. a theory that explains some action, interaction or process. This is accomplished primarily through collecting interview data, making multiple visits to the field (theoretical sampling), attempting to develop and interrelate categories (constant comparison) of information, and writing substantive or context-specific theory (Strauss & Corbin, 1990).

Data collection will be conducted from three sources: 1) PHARP staff, trainees, and the communities they support, 2) PHARP program related documents, and 3) representatives and observations of the communities in which the gacaca trials have taken place. Interview teams that are prepared to utilize appropriate languages while collecting data.

Paper Number: PN032047.4

Paper Title: The Congregation: How do Religious Organizations Contribute to Civil Society in Africa

Author(s):

 Ms. Melissa Kindermann, Greenville College, Greenville, IL, USA

Summary of Research
With the international scope of mission organizations, these organizations become what Giddens terms 'intersocietal structures' (Giddens, 1984). While developing local Christian congregations and organizations, the mission organizations span the space between the sending and receiving cultures. The missions organizations reproduce cultural patterns as they work to achieve their objectives. In this way local Christian congregations and organizations are shaped by both local values and non-local cultural values. This paper seeks to discover the impact and influence of Christian congregations and organizations as bearers of both the local (traditional) and non-local (modern) values in the process of building civil society.

Description
Traditional societies are oriented towards the past and use experience and knowledge to legitimate current practice. This orientation towards the past requires symbols and institutions that reinforce group membership most often based upon some biological or construct understanding of kinship. The deconstruction of this system is little understood. Current theoretical understandings would benefit from an exploration that moves the conversation beyond the pejorative to an appraisal of the cost and benefits of the transition from traditional to modern institutional patterns.

Within modern societies, organizations which operate out of a Christian framework or which advance Christian objectives are also bearers of the patterns and logics are embedded in the culture of each of these societies. Following Giddens and Eder these organizations are both consumers of culture and producers of culture. As such these organizations will both act to achieve their state organizational objectives and will reproduce their cultural patterns in the process of achieving these objectives.

With the international scope of mission organizations, these organizations become what Giddens terms 'intersocietal structures' (Giddens, 1984). While developing local Christian congregations and organizations, the mission organizations span the space between the sending and receiving cultures. The missions organizations reproduce cultural patterns as they work to achieve their objectives. In this way local Christian congregations and organizations are shaped by both local values and non-local cultural values. This project seeks to discover the impact and influence of Christian congregations and organizations as bearers of both the local (traditional) and non-local (modern) values in the context of social transitions.

The first situation in which data will be gathered is Kenya. Kenya is a creation of the British colonial period. It encompasses many ethnic units and languages because of its designation as a colonial administrative unit. Its key location as a portal to the interior of Africa made the building of a railroad and some agricultural development of interest. The tribal situation has generally been muted by the power of KANU the dominate political power from independence to December of 2002. Ethnic violence has sporadically erupted. It has often accompanied efforts by some to either politically or economically dominate a region. With the increased political destabilization of the entire region of East Africa, Kenya has become more likely to experience violence.

Even without the violence, Kenya has struggled under the pressures to modernize. Possessing the best economy of the region at independence, Kenyans have been unable to continue to develop the processes and structures that would allow them to participate fully in the community of nations. Modernizing education, language barriers, creating stable political institutions, and sustaining a growing standard of living while possessing one of the highest population growth rates in the world has been

challenging.

Our second site has more publicly demonstrated its struggles with cultural and social transitions. Rwanda is a society in which three ethnic communities have lived together for five centuries in a society structured by traditional values and institutions. The Twa, Hutu, and Tutsi share much in common: language, apparent social integration, economic activity, and history. Original inhabitants of the region, the Twa (one percent of the population), have never participated significantly in economic or political life. The Hutu (roughly 84-85 percent) dominated political and economic life in Rwanda until the 1994 coup d'état. In neighboring Burundi, it has been the minority Tutsi (some 14 percent) who have dominated the public institutional life of the country. The ethnic strife and conflict associated with these populations has been a sub-theme of the region, sending millions to their death and millions more into exile in the neighboring countries of the Democratic Republic of the Congo (DRC), Tanzania, Uganda, and Kenya. Genocidal episodes have occurred in both countries since the late 1950s. Burundi and Rwanda are not unique. Similar struggles are a part of the growth patterns of the six countries of the larger Great Lakes culture that includes eastern DRC, southern Uganda, northern Tanzania, and Kenya. Conflict among these populations has repeatedly escalated into episodic genocide.

. Data for this paper will be collected from four sources: 1) PHARP staff, 2) PHARP program related documents, 3) PHARP trainees, and 4) representatives of the communities in which the training has taken place.

Data analysis will utilize domain analysis to identify patterns and themes with and about the training program. Validity will be addressed through triangulation. Researchers from multiple cultures combine the strengths of insider-outsider perspectives tested by several team members in 2002.

Paper Number: PN032053

Paper Title: Respecting Donors' Intentions and Privacy

Author(s):

 Professor Evelyn Brody, Chicago-Kent College of Law, Chicago, IL, USA

Description

Recent news stories highlight the growing willingness of dissatisfied donors and attorneys general to enforce restrictions on gifts, and suits by charities to enforce promises to give. At the same time, policy makers are considering a range of donor-related issues from the relationship between donations and government transfers for disaster relief, to the right of donors to protect information about themselves and their giving. This panel will explore the legal, practical, and policy framework for thinking about these issue.

Paper Number: PN032053.1

Paper Title: Restricted Gifts: How to Build Positive Relationships For the Long-Term

Author(s):

 Dr. Eugene Tempel, IUPUI, Indianapolis, IN, USA

Summary of Research
This presentation will discuss how nonprofits can build stronger relationships with their donors and steer clear of the pitfalls that can lead to dissatisfaction between the involved parties and their philanthropic intentions.

Description
The issues of donor intent and philanthropic endeavors have become forefront in public debate in part because of several high profile cases that have resulted in some form of legal action initiated by the donors or the philanthropic institutions which received their gifts. Many of these disputes could have been avoided by clear and concise communication between the donors and the representatives of the nonprofit organizations they sought to benefit. This presentation will discuss how nonprofits can build stronger relationships with their donors and steer clear of the pitfalls that can lead to dissatisfaction between the involved parties and their philanthropic intentions.

Paper Number: PN032053.2

Paper Title: The Legal Framework for Restricted Gifts

Author(s):

 Professor Evelyn Brody, Chicago-Kent College of Law, Chicago, IL, USA

Summary of Research

As co-Reporter for the American Law Institute's Project on Principles of the Law of Nonprofit Organizations, Evelyn Brody is currently drafting chapters that cover the legal issues raised by donations and donor control -- including choice of form for a new charity, unrestricted and restricted gifts, reforming restrictions that can no longer be carried out (equitable deviation and cy pres), and amendments to charitable purposes.

Description

As co-Reporter for the American Law Institute's Project on Principles of the Law of Nonprofit Organizations, Evelyn Brody is currently drafting chapters that cover the legal issues raised by donations and donor control -- including choice of form for a new charity, unrestricted and restricted gifts, reforming restrictions that can no longer be carried out (equitable deviation and cy pres), and amendments to charitable purposes. The nonprofit project, like other ALI projects, is targeted to practitioners, judges, and legislators, and the "principles" format allows a statement of not only what the law is, but what the law should be. By the time of the ARNOVA meeting, these draft chapters will reflect comments from the project's Advisers and Members Consultative Group.

Paper Number: PN032053.3

Paper Title: Do Donors for Disaster Relief Care If Others Give? The Relationship Between Private Charity and Other Compensation Systems

Author(s):

Mr. Robert Katz, Indiana University School of Law, Indianapolis, IN, USA

Summary of Research

My paper will examine the legal relationships between charity and several other injury systems, and the theories of donor intent that inform them. The interaction between such systems becomes especially knotty when victims who have received charitable aid simultaneously seek monetary awards for the same injury under a legal or statutory regime. The availability of multiple sources of benefit may result in some victims being made better off financially after an injury than before.

Description

Our society hosts a variety of systems for addressing the social and economic costs of personal injury, including tort law, private insurance, social insurance, public compensation schemes and, of course, private charitable relief. My paper will examine the legal relationships between charity and several other injury systems, and the theories of donor intent that inform them. The interaction between such systems becomes especially knotty when victims who have received charitable aid simultaneously seek monetary awards for the same injury under a legal or statutory regime. The availability of multiple sources of benefit may result in some victims being made better off financially after an injury than before.

The overcompensation phenomenon was observed following September 11, 2001, when some survivors received several hundred?thousand?dollar gifts from 501(c)(3) exempt organizations. Some of these same persons may also be eligible to receive multi?million?dollar awards from the Federal government's September 11 Victim Compensation Fund (Fund). Critically, a Fund claimant's award will not be reduced by the charitable gifts she has received. One generally sees the same results in the torts context: a tortfeasor's liability will not be reduced by the benefits an injured person receives from third parties, including charitable organizations, even if they cover all or a part of the harm for which the tortfeasor is liable.

These outcomes are often defended on grounds that the donors intended their gifts to supplement whatever benefits victims do or can obtain from other sources. Reducing a victim's compensation by the amount of charity received, it is also asserted, will discourage future giving. My paper will analyze and assess these claims in the context of disaster and emergency relief. I will argue that this account of donor intent is deficient because it assumes that the private donor is indifferent to diminutions in victims' needs as a result of assistance provided from other sources, be it other private donors, tort damages, or the government. Yet many people who contribute to disaster relief organizations (DROs) aim (at least in part) to mitigate the victims' disaster-related suffering, rather than either restore them to - or - elevate them beyond - the status quo ante. The likelihood of this being so is higher for donors who contribute to general or multi-disaster DROs such as the American Red Cross, as opposed to disaster-specific DROs such as the September 11th Fund. For such donors, the more faithful result may be to require victims to reimburse the charity out of any payment received through tort litigation or compensation claim. Moreover, the knowledge that any surplus donations will help future disaster victims will increase rather than decrease the incentives of such donors to contribute. Lastly, insofar as donors wish to enrich disaster victims, rather than simply meet their basic needs, the charity law ban against private benefit prohibits charitable organizations from implementing such wishes.

Paper Number: PN032053.4

Paper Title: Consumer Rights In the Nonprofit Sector: The Problem of Donor Privacy

Author(s):

Prof. Norman Silber, Hofstra University, Hempstead, NY, USA

Ely R. Levy, Hofstra Law Review, Hempstead, NY, USA

Summary of Research

This Article will address privacy concerns arising out of the trading, selling and renting of personal information about charitable donors. Drawing from the experience of consumers in the commercial context, it considers whether donors who make gifts qualify as consumers who make purchases, and thus should fall within the reach of traditional consumer statutory protections.

Description

This Article will address privacy concerns arising out of the trading, selling and renting of personal information about charitable donors. Drawing from the experience of consumers in the commercial context, it considers whether donors who make gifts qualify as consumers who make purchases, and thus should fall within the reach of traditional consumer statutory protections. It will ultimately recommend limitations on the collection and use of personal data about donors by nonprofit organizations, and suggest a federal opt?out approach to promote the protection of consumer privacy interests in the nonprofit sector.

Paper Number: PN032055

Paper Title: Research on Fundraising Costs

Author(s):

Thomas H. Pollak, The Urban Institute, Washington, DC, USA

Description

Donor concerns about how their money was spent in the wake of the events of September 11 illustrates that people care about how nonprofit organizations account for and spend the money given to them. Most nonprofit organizations spend the lion's share of their money on programs, but all have administrative costs that they must cover as well. Most, whether they acknowledge it or not, have fundraising expenses. To date, nonprofit sector researchers have contributed little to our understanding of the capacity of nonprofit organizations to track and allocate their expenses to relevant categories, or how these expenses are actually distributed. This is an important topic, since transparency of spending is an important component of nonprofit accountability.

Paper Number: PN032055.1

Paper Title: Professional Fundraisers and Joint Cost Allocations: Form 990 versus Survey Data

Author(s):

 Mark Hager, The Urban Institute, Washington, DC, USA

Summary of Research
This paper explores reporting of two nonprofit cost items that have drawn recent public policy attention, the contracting of professional fundraisers and the allocation of program, fundraising, or administrative expenses across more than one functional category. It contrasts the formal reporting of these items on Form 990 with survey reports.

Description

Form 990
Form 990 is the document that nonprofit organizations with a federal charitable exemption file annually with the IRS. The smallest organizations are not required to file, and small ones are allowed to file an abbreviated form, but more than 150,000 nonprofits currently file the long form. Since nonprofit organizations are not required to make their financial statements available to the government or the public, Form 990 is the only publicly available documentation of nonprofit finances. Consequently, it forms the basis for a range of comparisons geared toward assessing the accountability and contribution-worthiness of nonprofit organizations in the United States.

A Survey of Nonprofit Financial Reporting
In the fall of 2001, our team drew a sample of nonprofit organizations that had recently filed Form 990. We called and mailed surveys to 3069 organizations. After vigorous follow-up and a lengthy field period we received 1540 responses, a 50.2 percent response rate. While Form 990 is typically filled out by internal accounting professionals or external accounting firms, the survey was typically filled out by executive or fundraising staff. Consequently, it provides several points of comparison regarding the reporting of financial activities.

Professional Fundraising Expenses
Nonprofits contract with external professional fundraising firms as one of a range of strategies for bringing contributions into their organization (Hager, Rooney, Pollak 2002). Greenlee and Gordon (1998) report that engagement of professional fundraisers is rare, with only about 3 percent of the organizations in their study reporting use of a professional solicitor. Nonprofit organizations are instructed to report professional fundraising fees on Line 30 of Part II of Form 990. Of the 1540 organizations that returned a survey, a little over 5 percent reported fees on this line. However, more than 7 percent reported contracting with a professional fundraiser in their responses to the survey. In our larger paper, we consider the characteristics of organizations that report professional fundraisers only in the survey (6 percent), those that report professional fundraisers only on Form 990 (4 percent), and the minority that manage to report it on both (1 percent). However, the collective results indicate that the percentage of nonprofits that engage external professional fundraising solicitors may be closer to 13 percent than 3 percent.

Allocation of Joint Costs
Because researchers, watchdogs, and the media use financial data (usually from Form 990) to calculate financial efficiency ratios, nonprofit organizations are motivated to count as many expenses as possible as program expenses rather than fundraising or administrative expenses. When educational or other programmatic materials contain appeals for funds, nonprofits are tempted to consider the entire cost of the materials as program expenses rather than fundraising expenses. To curb this practice, the Financial Accounting Standards Board wrote guidelines in Statement 117, the American Institute of

Certified Public Accountants published Statement of Position 98-2, and the U.S. Office of Management and Budget released Circular A-122. All provide generally accepted accounting practices for splitting multi-function (joint) costs across categories of programs, fundraising, and administration.

However, the technical details of allocating joint costs across functional categories has escaped the attention of many nonprofit organizations. Of the 1540 organizations in our study, only 1 percent reported joint costs in Part II of Form 990. In our survey, we said "many organizations combine educational campaigns (or other program activities) with fundraising appeals," and then asked "Does your organization combine program and fundraising activities?" More than 1 in 4 organizations in the study said that they do. When we asked if they allocate the costs to both programs and fundraising in their financial statements, over 14 percent said that they do. This finding points to systematic underreporting of joint cost allocations in Form 990.

Greenlee, J.S. & T.P. Gordon. 1998. "The Impact of Professional Solicitors on Fund-Raising in Charitable Organizations." Nonprofit and Voluntary Sector Quarterly 27(3): 277-299.

Hager, M.A., P. M. Rooney & T.H. Pollak. 2002. "How Fundraising is Carried Out in U.S. Nonprofit Organizations." International Journal of Nonprofit and Voluntary Sector Marketing 7(4): 311-324.

Paper Number: PN032055.2

Paper Title: Understanding Fundraising Costs: Exploring the Practices of Exceptional Organizations

Author(s):

 Tom Pollak, The Urban Institute, Washington, DC, USA

Summary of Research
The proposed paper will examine fundraising expenses for several carefully selected "pure" subsets of organizations that have a variety of characteristics that we hypothesize are related to differences in fundraising performance. For each of these groups, a "comparison group" of organizations with similar size, age, and activity characteristics will be randomly selected that can be compared statistically with the "pure" subsets.

Description

Analyses of overhead costs in the nonprofit sector to date have found significant but relatively weak relationships between "the fundraising ratio" (the ratio of direct private contributions received to fundraising expenses) and the size, activity area (NTEE major group), and age of nonprofit organizations, among other factors. This analysis was based on an examination of data for all operating 501(c)(3) public charities filing IRS Forms 990 (Hager, Pollak & Rooney, 2001).

One of the weaknesses of this approach is the heterogeneity of organizations within each activity area, and unusual financial situations of others that may be confounding and weakening the results. Some of these problems may be related to mis-classification of NTEE codes or errors in financial reporting; others to the receipt of unusually large donations or one-time expenditures, especially by smaller organizations that can play havoc with regression models.

The proposed paper will seek to bypass these anomalies by examining several carefully selected "pure" subsets of organizations that have a variety of characteristics that we hypothesize are related to differences in fundraising performance. For each of these groups, a "comparison group" of organizations with similar size, age, and activity characteristics will be randomly selected that can be compared statistically with the "pure" subsets. The "pure" groups include:

Market Leaders. Anecdotal evidence suggests that a relatively small number of organizations receive a disproportionate percentage of favorable press coverage and media attention, both within local and national markets. These organizations range from the award-winning museum or performing group with a reputation for innovation to the human service organization singled out by public officials. In many cases, these may be among the largest organizations in a market. We hypothesize that these organizations are likely to have higher ratios of contributions to fundraising expenses. These organizations will be identified through a combination of sources including newspaper searches in selected metropolitan areas and level of contributions received through sources linked to reputation (e.g., United Way campaigns), and level of contributions relative to their peer organizations.

Wealthy Membership or Audience. Nonprofit theorists have distinguished between organizations that provide amenity and redistributive goods (Wolpert 1993). In the arts field, these may range from a local community theater with a target audience of middle-class households to the major opera company that attracts the wealthiest patrons within a community (Ostrower 1995 & 2002). In education, the "membership" for Harvard University (alumni and families of current students), to take one example, is likely to be far more affluent than the market for a small and relatively unknown small college. We hypothesize that amenity organizations with a wealthy "membership" or high-cost product or service are more likely to have a more favorable fundraising ratio.

Fastest Growing Nonprofits. Do organizations that grew the fastest during the past decade -- either in

terms of growth in total revenue, private contributions, or total public support -- spend disproportionately more or less on fundraising expenses than organizations that began the decade at a similar size? IRS data going back through the early 1990s provides both the level of reported fundraising expenses and the level of public support, which, unfortunately, includes both private contributions and government grants. The limitations of the public support variable will be dealt with by linking these data to smaller databases available through the IRS Statistics of Income Division in order to approximate the level of private contributions.

From a methodological standpoint, this approach represents a different way of analyzing IRS Form 990 data. Existing research almost always uses the 990 data for the total population of organizations, or uses the data as a sampling frame for survey research. Like the IRS Statistics of Income Division's (SOI) Exempt Organizations Sample, this approach relies on a subset of organizations for Form 990 data. However, unlike the SOI sample, the sample will not be heavily skewed toward the largest organizations. A secondary goal of this paper will be to test the efficacy of this methodological approach.

Douglas, James. Poltical Theories of Nonprofit Organizations, in Powell (ed.), The Nonprofit Sector: A Research Handbook (43-54, p.51)

Hager, Mark et al. Variations in Overhead and Fundraising Efficiency Measures:
The Influence of Size, Age, and Subsector. Miami, FL: ARNOVA Conference 2001.

Hansmann, Henry. Economic Theories of Nonprofit Organizations. in Powell (ed.), The Nonprofit Sector: A Research Handbook

Ostrower, Francie. Why the wealthy give : the culture of elite philanthropy. Princeton, NJ: Princeton University Press. 1995. xii, 190 p.

Ostrower, Francie. Trustees of culture : power, wealth, and status on elite arts boards. Chicago, IL: University of Chicago Press. 2002. xxv, 133 p.

Powell, Walter W. (ed.), The Nonprofit Sector: A Research Handbook. New Haven, CT: Yale Univ. Press, 1987.

Wolpert, Julian. Patterns of Generosity in America: Who's Holding the Safety Net. New York: Twentieth Century Fund. 1993.

Paper Number: PN032055.3

Paper Title: The Internal Management of Overhead Costs

Author(s):

 Tom Pollak, The Urban Institute, Washington, DC, USA

 Dr. Patrick Rooney, IUPUI, Indianapolis, IN, USA

Summary of Research

Over the past several years, a variety of research papers and presentations have explored fundraising and administrative costs in the nonprofit sector. This research has drawn from a variety of sources including IRS Forms 990, state charity registration information, and survey data. While each raises provocative questions about variations in and quality of overhead cost reporting, these sources alone are insufficient to answer the questions that they raised. Case studies will include questions covering a range of different areas.

Description

Over the past several years, a variety of research papers and presentations have explored fundraising and administrative costs in the nonprofit sector. (See, e.g., Cordes & Wilson, 2000; Greenlee & Gordon, 1998; Hager, et al, 2002; Pollak 2002) This research has drawn from a variety of sources including IRS Forms 990, state charity registration information, and survey data. While each raises provocative questions about variations in and quality of overhead cost reporting, these sources alone are insufficient to answer the questions that they raised.

Among other findings, this line of research has uncovered evidence of large reporting problems with many organizations reporting substantial income from direct contributions while incurring zero fundraising costs. (Cordes & Wilson) Further, only a small percentage of organizations track staff time - the major expense for most organizations - by fundraising tactic and functional expense category (program, fundraising, and management and general). A series of at least ten case studies will explore these and other issues in much greater detail. These case studies will be drawn from organizations in the overhead cost study sample. This paper and presentation will focus on the results of these case studies.

The case study teams will seek to interview chief executive, chief financial and chief development officers (or equivalent positions) in at least ten organizations. The protocol will include questions covering a range of different areas. These questions will vary for depending on the structure of the organization (e.g., does the organization have a chief development officer, or does the CEO assume primary responsibility for fundraising?) and the known practices of the organization.

We will probe all organizations to better understand how they make decisions about the allocation or assignment of expenses into the various functional expense categories. Who makes the decisions? Do they feel pressure from funders to reduce their overhead rates? Do they adjust or massage the numbers at the end of the fiscal year? What types of systems do they have in place and how well do they work? What are the perceived costs and benefits of their current practices? Of improving their cost management practices?

A second line of investigation will focus on the interview with the chief development officer and will address a number of questions: How are fundraising costs and revenue are tracked? By specific tactic, or overall? Are they satisfied with their current tracking systems? How do they think about their fundraising costs and revenues? Do they expect every type of fundraising to generate a profit, or are some "loss leaders" that support other tactics? (E.g., are special events intended to generate new donors who will give more later?) Do they compare their fundraising performance to others? Is that useful to them? Who do they consider their "peer group" for purposes of such comparisons?

Of the ten or more case studies, at least three will focus on organizations that report employing detailed "real time" cost management systems, including tracking both staff time and other expenses by both functional expenses and fundraising tactics. For these organizations, we will explore how they view the costs and benefits of these systems with an eye toward assessing if it is practical for these types of systems to be implemented in the majority of nonprofit organizations that do not have utilize these types of systems.

Another three will focus on the "zero cost fundraisers" - organizations reporting substantial direct contributions but zero fundraising costs. Are there legitimate explanations for reporting no fundraising expenses? If they rely solely on volunteers, how do they manage the volunteers? Are they familiar with generally accepted accounting principles (GAAP)? Are there gaps in knowledge that might be filled by nonprofit umbrella organizations, the IRS, auditors, or state charity offices?

In short, we expect these case studies to provide a new layer of depth to researchers' understanding of overhead costs in the nonprofit sector. We also expect that this study may be valuable for policy-makers seeking to ensure an accountable sector in which organizations uniformly report comparable information to their own boards as well as to donors and regulators.

Cordes, J.J. and Wilson, S. 'Costless fundraising: Deconstructing the evidence,' Paper presented at the ARNOVA annual meeting: New Orleans, LA (2000).

Greenlee, Janet S & Gordon, Teresa P. "The impact of professional solicitors on fund-raising in charitable organizations". Nonprofit and Voluntary Sector Quarterly vol. 27 (September 1998) p. 277-99.

Hager, Mark, et al. How fundraising is carried out in US nonprofit organizations. International Journal of Nonprofit and Voluntary Sector Marketing, vol. 7, no. 4, pp.311-324 (2002).

Pollak, Thomas. Cost accounting practices in the nonprofit sector. Presention at the ARNOVA annual meeting: Montreal, Can. (2002).

Paper Number: PN032055.4

Paper Title: The Efficiency of Nonprofit Telemarketing Campaigns

Author(s):

 Dr. Elizabeth Keating, Hauser Center for Nonprofit Organizations, Harvard University, Cambridge, MA,

Summary of Research
Submitted separately.

Description
Submitted separately.

Paper Number: PN032056

Paper Title: Trends in Civic Leadership in Six American Cities, 1931-1991

Author(s):

 Dr. Peter Dobkin Hall, Harvard University, Cambridge, MA, USA

Description

This group of papers will explore the changing social characteristics of civic leadership in six American cities -- Atlanta, Boston, Cleveland, Los Angeles, Philadelphia, and the Twin Cities -- between 1930 and 1990. Each paper takes a different approach to the problem: The first paper is a descriptive and analytical investigation of board membership and religious affiliation; the next paper reviews these religious affiliation findings in the light of the social science literature on religion and civic engagement; the last paper explores the methodological possibilities of the Six Cities Data.

The Six Cities database, on which all these papers are based, is the most comprehensive existing collection of information on the social characteristics of members of nonprofit boards in the United States. It was originally assembled by a team of three dozen researchers working under the supervision of Rikki Abzug in a project sponsored by Yale's Program on Non-Profit Organizations.

Paper Number: PN032056.1

Paper Title: A Methodist is a Baptist with Shoes; a Presbyterian is a Methodist with a College
Education; an Episcopalian is a Presbyterian with Money: Religion and the Stratification of

Author(s):

 Dr. Peter Hall, Harvard University, Cambridge, MA, USA

Summary of Research

This paper will review theories of relation between religious belief and practice and civic engagement in
the light of findings on board membership and religious affiliation based on the 6 Cities data.

Description

The 6 Cities database is a compilation of the social characteristics of the directors and officers of major
nonprofit organizations in Atlanta, Boston, Cleveland, Los Angeles, Philadelphia, and the Twin Cities, in
1931, 1961, and 1991. This paper will review theories of relation between religious belief and practice
and civic engagement in the light of findings on board membership and religious affiliation based on the
6 Cities data.

Paper Number: PN032056.2

Paper Title: What Happened to the 'Protestant Establishment'?: Big Changes in the Religious
                Backgrounds of American Trustees, 1931-1991

Author(s):

Dr. David Hammack, Case Western Reserve University, Cleveland, OH, USA

Summary of Research

Using the 6 Cities database (see above), this paper examines shifts in the religious affiliation of
members of boards of directors of major community organizations, 1931-1991.

Description

Using the 6 Cities database (see above), this paper examines shifts in the religious affiliation of
members of boards of directors of major community organizations, 1931-1991.

Paper Number: PN032056.3

Paper Title: Exploring the relative impact of time period, place/space and type on nonprofit board
leadership, 1931-1991: Choosing the best approximating models

Author(s):

Dr. Rikki Abzug, New School University, New York, NY, USA

Summary of Research
This paper tests methods of assessing shifting residential patterns among board members of major
community organizations in the light of the 6 Cities data.

Description
This paper tests methods of assessing shifting residential patterns among board members of major
community organizations in the light of the 6 Cities data.