



Selected bibliography: Self-Regulation and Good Practices

Last update: June 2007

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1. General

The Council on Foundations : accountability & governance

<http://www.cof.org/learn/content.cfm?ItemNumber=582&navItemNumber=2662>

Website published by : Washington, DC :
Council on Foundations

Visited on: 01/08/2006

As a part of its 2000 - 2004 Strategic Plan, the United States-based Council on Foundations (COF) has created this webpage on good practice, accountability and standards. The page describes how good practice is integrated with the COF's strategic plan and has links to other websites that describe best practice for foundations and community foundations.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Wings. Peer learning events. Codes and standards for grantmakers

http://www.wingsweb.org/programmes/peer_UK2005.cfm

Webpage published by : Worldwide
Initiatives for Grantmaker Support
(WINGS)

Last date modified: 2005

Visited on: 04/08/2006

This web page makes available online various resources related to codes and standards for grantmakers. They have been presented during the peer learning event organised by the Worldwide Initiatives for Grantmaker Support (WINGS) association and hosted by the Community Foundation Network from the 20 to the 22nd of May 2005 in London.

Publisher's contact details:

Brussels : Worldwide Initiatives for Grantmaker
Support Corporate Initiative (WINGS-CI)

Website: <http://www.wingsweb.org>

E-mail: wings@efc.be

Foundation accountability and effectiveness. - Washington, DC : The Aspen Institute, 2002. - 16 p.

This short pamphlet is a summary of the findings of a three day conference on the philanthropy landscape in the United States at the beginning of the 21st century. It offers several suggestions for increased foundation accountability and effectiveness towards reaching the potential of the United States third sector.

Available Online:

http://www.nonprofitresearch.org/usr_doc/Foundation_Statement.pdf

Publisher's contact details:

Washington, DC : The Aspen Institute

Website: <http://www.aspeninstitute.org>

E-mail: publications@aspenninst.org

Obedience to the unenforceable : ethics and the nation's voluntary and philanthropic community. - Washington, DC : Independent Sector, 1991/2002. - 30 p.

The United States-based Independent Sector (IS) wrote this statement of ethical behaviour for philanthropic organisations. It covers the theoretical aspects of ethical behaviour for philanthropists and suggests what philanthropic organisations should stand for and act upon in relation to ethics and values.

Available Online:

<http://www.independentsector.org/PDFs/obedience.pdf>

For additional information:

<http://www.independentsector.org>

Publisher's contact details:

Washington, DC : Independent Sector

Website:

http://www.independentsector.org/pubs_cart.htm

E-mail: info@IndependentSector.org

Foundations in Europe : society, management and law / Andreas Schlüter, Volker Then, Peter Walkenhorst (Ed.). - London : The Directory of Social Change ; Gütersloh : Bertelsmann Foundation ; Kent : Charities Aid Foundation (CAF), 2001. - XX, 875 p.

This book provides a comprehensive survey of the foundation sector in Europe. It includes comparative sections on the role of foundations in society and the legal framework of foundations, as well as thematic sections covering issues of governance, organisation and management.

For additional information:

<http://www.brookings.edu/press/books/foundationsineurope.htm>

Publisher's contact details:

London : The Directory of Social Change ; Gütersloh : Bertelsmann Foundation ; Kent : Charities Aid Foundation (CAF)

Website: <http://www.dsc.org.uk>

E-mail: info@dsc.org.uk

Funding Europe's solidarity : resourcing foundations, associations, voluntary organisations and NGOs in the member states of the European Union / Liam p. Doyle. - Brussels : Association for Innovative Cooperation in Europe (AICE), 1996.

This report identifies and discusses issues of concern to Europe's third sector. It describes its size, impact, operating infrastructure, patterns of growth and fields of activity as well as analysing issues which impact the sector's effectiveness. Profiles of the third sector in individual countries are also provided.

Publisher's contact details:

Brussels : Network of European Foundations for Innovative Cooperation (NEF) formerly known as Association for Innovative Cooperation in Europe (AICE)

Website: <http://www.nefic.org/>

2. Self-regulation

Strengthening transparency governance accountability of charitable organizations : a supplement to the final report to Congress and the Nonprofit Sector. - Washington, DC : Panel on the Nonprofit Sector, 2006. - 40 p.

The Panel of the Nonprofit Sector has released additional recommendations to the US Congress as part of its effort to strengthen the accountability of US charitable organisations. This supplemental report is a companion to the Panel's final report, which offers actions to be taken by the US Congress, Internal Revenue Service, and charitable organisations. This supplement focuses on nine areas, including international grantmaking and charitable solicitation among others. As the final report, its recommendations incorporate input from actors across the charitable community.

Available Online:

http://www.nonprofitpanel.org/supplement/Panel_Supplement_Final.pdf

For additional information:

<http://www.nonprofitpanel.org/supplement/>

Publisher's contact details:

Washington, DC : Panel on the Nonprofit Sector

Website: <http://www.IndependentSector.org>

Strengthening transparency governance accountability of charitable organizations : a final report to Congress and the Nonprofit Sector. - Washington, DC : Panel of the Nonprofit Sector, 2005. - 112 p.

This final report incorporates input from the US charitable community gathered through field hearings and conference calls. It proposes an integrated package of actions to be taken by charitable organisations, by the US Congress, and the Internal Revenue Service, which together would strengthen the sector's transparency, governance, and

accountability. The Panel also released a supplemental report examining further areas which makes additional recommendations.

Available Online:

http://www.nonprofitpanel.org/final/Panel_Final_Report.pdf

For additional information:

<http://www.nonprofitpanel.org/final/>

Publisher's contact details:

Washington, DC : Panel of the Nonprofit Sector

Website: <http://www.IndependentSector.org>

Independent sector : issues : accountability

<http://www.independentsector.org/issues/accountability.html>

Website published by : Washington, DC : Independent Sector

Visited on: 31/07/2006

Description: In this section of its website, Independent Sector offers tools, resources, and links aiming to help nonprofits and foundations improve practice and self regulation, as well as information on proposals being considered by policymakers to strengthen legislative and regulatory oversight. It also includes a compendium of standards and codes of ethics and a checklist for developing a statement of values and code of ethics.

Publisher's contact details:

Washington, DC : Independent Sector

Website:

http://www.independentsector.org/pubs_cart.htm

E-mail: info@IndependentSector.org

Codes of conduct for partnership in governance, text and commentaries /

Tatsuro Kunnugi, Martha Schweitz. - Tokyo : The United Nations University, 1999. - 324 p.

Provisional Version presented to the World Civil Society Conference : Building Global Governance Partnerships 7-11

December 1999, Montreal. Pinpoints many of the strengths of civil society organisations, their outreach and diversity, fundamental values, and potential for constructive partnerships. Also covers the codes and principles established by the non-profit sector and how they relate to business and government. Full contents listing is provided.

For additional information: <http://www.unu.edu/>

Publisher's contact details:

Tokyo : The United Nations University

Website: <http://www.unu.edu/pub.html>

E-mail: mbox@hq.unu.edu

Towards voluntary sector codes of practice : a starting point for voluntary organisations, funders and intermediaries / Julian Ashby. - York : Joseph Rowntree Foundation, 1997. - 51 p.

This report describes a proposed set of principles for voluntary organisations who wish to improve their performance and professionalism. The report begins with a sample code of practice and discusses such topics as effectiveness, accountability, standards, user involvement, governance, voluntary action, equality and fairness, as well as staff management. Appendices include several checklists and some terminology and further reading.

For additional information:

<http://www.jrf.org.uk/knowledge/findings/socialpolicy/SPvol.asp>

Publisher's contact details:

York : Joseph Rowntree Foundation

Website:

<http://www.jrf.org.uk/bookshop/details.asp?pubID=69>

E-mail: publications@jrf.org.uk

L'argent du coeur / Nicholas Dufourcq (Dir.). - Paris : Hermann, 1996.

This volume includes various contributions from experts in the sector, which analyse the meaning of 'giving' from economic, philosophical and legal points of view. It includes and comments on the French code of practice (1991) that was set up by more than twenty associations with the goal to protect donors.

Publisher's contact details:

Paris : Hermann

Website: <http://www.hermann-editeurs.com/>

E-mail: hermann.sa@wanadoo.fr

Grantmaking and self-regulation /

Lance C. Buhl. - Washington, DC : Council on Foundations, [198?]. - 111 p.

This collection of documents and articles was prepared by the United States-based Council on Foundations (COF). The documentation was written primarily but not exclusively by the COF and it includes memoranda, minutes, relating to self-regulation, ethics, standards and good practice in the philanthropic sector.

For additional information: <http://www.cof.org/>

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org/>

E-mail: info@cof.org

3. Management General

Unlocking the power of the proxy : how active foundation proxy voting can protect endowments and boost philanthropic missions / Conrad McKerron. - New York : Rockefeller Foundation, 2004. - 60 p.

This report describes how foundations can and should institute a system of proxy voting, or a system by which shareholders can voice issues relating to corporate

governance and ensure that their vote is cast. Proxy voting can reinforce the foundation's mission, support environmental and social goals as well as improve management, transparency and accountability. The report describes steps involved in creating a proxy voting system and ways in which to maintain and monitor it.

Available Online:

<http://www.asyousow.org/publications/powerproxy.pdf>

Publisher's contact details:

New York : Rockefeller Foundation

Website: <http://www.rockfound.org>

Funding effectiveness : lessons in building nonprofit capacity grantmakers for effective organizations. - San Francisco : Jossey-Bass, 2004. - 176 p.

This guide is meant for leaders of foundations and other non-profit organisations and describes the practice of capacity building. Case studies are used to illustrate how capacity building has been used to increase organisation effectiveness.

Publisher's contact details:

San Francisco : Jossey-Bass

Website: <http://www.josseybass.com/WileyCDA/>

E-mail: consumers@wiley.com

Organizing foundations for maximum impact : a guide to effective philanthropy / Denis Prager. - Washington, DC : Aspen Institute, 2003.

This publication describes strategies for organising foundations so that they maximise their operational effectiveness and efficiency, as well as their programmatic effectiveness. It begins with a description of how foundations function in society and then describes management strategies from setting and evaluating goals and accomplishments, to

organising board members, executive management, and staff.

Publisher's contact details:

Washington, DC : Aspen Institute

Website: <http://www.aspeninstitute.org>

Foundations for success : emerging trends in grantmakers' use of internet. -

Washington, DC : Interactive Applications Group, Inc, 2004. - 28 p.

A consultancy report on the emerging trends in grantmakers' use of the Internet. It describes the evolution of the first 10 years of funders using the Internet and the ways in which the Internet is used as a tool to promote transparency, network building, knowledge management, and integrated grants management.

Available Online:

http://www.iapps.com/usr_doc/fnd4success_iapps.pdf

For additional information:

<http://www.iapps.com>

Publisher's contact details:

Washington, DC : Interactive Applications Group, Inc

Website: <http://www.iapps.com>

E-mail: info@iapps.com

The Wilder nonprofit field guide to crafting effective mission & vision statements / Emil Angelica. - Saint Paul :

Amherst H. Wilder Foundation, 2001. - 71 p.

Describes a step-by-step process by which a non-profit organisation can arrive at a clearly defined mission and vision statement. Worksheets and definitions help staff and executives build ownership for the process and come to a common understanding of organisational goals, thereby increasing the possibility for positive impact on the community.

Publisher's contact details:

Saint Paul : Amherst H. Wilder Foundation

Website: <http://www.wilder.org>

E-mail: webmaster@wilder.org

Neue wege in der führung von stiftungen / edited by Robert V.

Bennigsen. - Munich : Maecenata Verlag, 1999. - 73 p.

This volume contains documentation from the third Maecenata conference on the subject of donation management. In the collection of papers, authors topics include how to develop endowments, communications, transparency and marketing.

For additional information:

<http://www.maecenata-verlag.de/varia/bennigsen.htm>

Publisher's contact details:

Munich : Maecenata Verlag

Website: <http://www.maecenata-verlag.de>

E-mail: mi@maecenata.de

Staffing resources and program issues.

- Washington, DC : Council on Foundations, 1998. - 116 p.

This foundation management guidebook provides comparative information on staffing by grantmaker type and asset size and includes information on both paid and unpaid employees. It also has information on grantmaking-programme and management issues.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Everyday ethics : key ethical questions for grantmakers and grantseekers /

Sandra Trice Gray (Ed.). - Washington, DC : Independent Sector, [199?]. - 20 p.

This workbook contains a series of key questions that can serve as a starting point for reflection on the ethical behaviour

of an organisation. These questions cover management issues which are common to many third sector organisations, including commitment to the public good over commitment to the self and the prudent application of resources.

Publisher's contact details:

Washington, DC : Independent Sector

Website:

http://www.independentsector.org/pubs_cart.htm

E-mail: info@IndependentSector.org

Guide to donor involvement : basic considerations and best practices. -

Washington, DC : Council on Foundations, 1996. - 93 p.

This manual provides advice for establishing a working relationship between community foundations and their donors and how to remain inside of federal law for gathering donations.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

3.1. Governance

The source : twelve principles of governance that power exceptional boards. - Washington, DC : The Board Source, 2005.

Exceptional boards add significant value to their organisations, making discernible differences in advancing their missions. This book studies how a board rises to this level, defining governance not as a dry, obligatory compliance, but as a creative and collaborative process that supports chief executives, engages board members, and furthers the causes they all serve. This publication aims at helping non-profit boards make the best of their collective capacities.

For additional information:

http://www.boardsource.org/Bookstore.asp?category_id=25&Item=171

Publisher's contact details:

Washington, DC : The Board Source

Website: <http://www.boardsource.org>

E-mail: mail@boardsource.org

Peer learning event on governance and board development /

Gaynor Humphreys. - Brussels : Worldwide Initiatives for Grantmaker Support (WINGS), 2004. - 24 p.

Raising the standards of governance and institution-building processes is a continuing challenge for both emerging and more established grantmaker associations in different parts of the world. This report summarises the presentations and discussions from the peer learning event held in Washington, DC in September 2004, which aimed to assist grantmaker associations in developing an understanding of the process of board development. It also aims to clarify the roles and responsibilities of the association's members, its board and its staff team in terms of their respective leadership responsibilities, authority and accountability.

Available Online:

<http://www.wingsweb.org/download/PLE-USA04-Report.pdf>

For additional information:

http://www.wingsweb.org/programmes/peer_U_S2004.cfm

Publisher's contact details:

Brussels : Worldwide Initiatives for Grantmaker Support (WINGS)

Website: <http://www.wingsweb.org>

E-mail: wings@efc.be

Boards that work : a guide for charity trustees /

David Fishel. - London : Directory of Social Change, 2003. - 328 p.

The underlying principles of boards of directors and management committees are the focus of this book. Based on case studies and interviews with board

members and chief executives from voluntary organisations, it describes the responsibilities of, processes for and resources for effective management using this model.

Publisher's contact details:

London : Directory of Social Change

Website: <http://www.dsc.org>

Governing boards. - Washington, DC : Council on Foundations, 2002. - 116 p.

This foundation management guidebook examines the structure and size of foundation boards. It provides information on board member compensation, professional services, insurance, grant-making and board member demographics.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Self-assessment for foundation boards / Joshua Mintz, Denise Cavanaugh, Jane Pierson. - Washington, DC : BoardSource, 2000. - 66 p.

This guide offers ideas on how to stimulate communication among board members and the chief executive as well as ways to identify areas of board governance that need attention. The guide is accompanied by a questionnaire for board members to begin the process.

Publisher's contact details:

Washington, DC : BoardSource

Website: <http://www.boardsource.org>

Self-assessment for nonprofit governing boards kit. - Washington, DC : BoardSource, 1999. - 60 p.

In this self-assessment exercise, board of director members are asked to fill out a questionnaire to evaluate the boards performance and their contribution to it. The questionnaires are accompanied by a

users guide that facilitates analysis and tabulation of results.

Publisher's contact details:

Washington, DC : BoardSource

Website: <http://www.boardsource.org>

Nonprofit boards : roles, responsibilities, and performance / Diane J. Duca. - New York : John Wiley & Sons, 1996. - 208 p.

This publication outlines several different approaches to board structures and management for non-profit organisations. The author gears her advice primarily to chief executives and board members. Chapters cover governance, board size obligations, fund raising, legal and ethical issues, diversity, evaluation and meetings. Checklists and flowcharts to facilitate more effective board operations and to improve board members' management skills are included. Appendixes incorporate a sample code of ethics reprinted from a hospice in Florida and a sample 'position specification' from a charity that advertised for a new executive director.

For additional information:

<http://www.wiley.com/WileyCDA/WileyTitle/productCd-0471130206.html>

Publisher's contact details:

New York : John Wiley & Sons

Website: <http://www.wiley.com/WileyCDA/>

E-mail: consumers@wiley.com

Ten basic responsibilities of nonprofit boards / Richard T. Ingram. - Washington, DC : National Center for Nonprofit Boards, 1995. - 22 p.

This pamphlet, which was designed by a United States-based resource centre for non-profit management, describes the fundamental responsibilities of boards. It also includes a short list of responsibilities for board members as individuals.

Publisher's contact details:

Washington, DC : National Center for Nonprofit Boards

Website: <http://www.boardsource.org>

3.2. Staff / Volunteers management

Benefits and personnel policies. -

Washington, DC : Council on Foundations, 1999.

This foundation management guidebook describes various benefit plans offered by foundations to their full-time, part-time and retired employees including retirement, health, life insurance and other types of benefits. Also considered are different types of leave, severance allowances and travel time.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Financial Compensation in Nonprofit Organisations /

Brian O'Connell. - Maryland : Independent Sector Publications, 1995. - 100 p.

The recent spate of reports concerning the salaries of employees of non-profit organisations has raised questions in the minds of the general public about the appropriateness of the compensation of chief executives of organisations dedicated to serving society that depend primarily on voluntary contributions. These developments also highlight that the average board of trustees of a non-profit organisation, while legally and practically responsible for establishing the salary of the chief staff officer, often lacks a framework within which to assign appropriate compensation for an organisation's employees.

Publisher's contact details:

Maryland : Independent Sector Publications

Website:

http://www.independentsector.org/pubs_cart.htm

E-mail: info@IndependentSector.org

3.3. Equality & Fairness (Equal opportunities)

Fairness in funding : an equal opportunities guide for grant-makers / Roland Doven, Fiona Ellis. - London : Association of Charitable Foundations, 1995. - 63 p.

This handbook for grantmaking draws on the experience of the UK's grantmaking trusts and foundations, to provide a guide for grantmakers who wish to improve fairness in grantmaking. It advocates policies that provide equal access to funds for all organisations and individuals and ways to guard against the perpetuation of myths or stereotypes about certain grantseekers.

For additional information:

<http://www.acf.org.uk/publications/goodprac.htm>

Publisher's contact details:

London : Association of Charitable Foundations

Website: <http://www.acf.org.uk>

E-mail: ahubrath@acf.org.uk

3.4. Grant-making (from assessing applications to funding)

Best practices in grants management. - Washington, DC : Council on Foundations, 2001. - 124 p.

This guidebook describes the process of how to administer grants: from evaluating a proposal and a grantee to closing the files when the grant is expired. It has sample letters and forms in appendices and tips on how to track and evaluate programmes.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Establishing grants administration procedures / A. Scott DuPree, David Winder [et al.]. - New York : The Synergos Institute, 2000. - 18 p.

This set of guidelines is extracted from a complete guide to grants administration. The guidelines describe how to set up and follow a procedure to administer grants: from creating an application form to evaluating proposals.

Available Online:

<http://www.synergos.org/globalphilanthropy/00/fbsprogram5.pdf>

Publisher's contact details:

New York : The Synergos Institute

Website: <http://www.synergos.org>

E-mail: synergos@synergos.org

The insider's guide to grantmaking : how foundations find, fund, and manage effective programs / Joel J. Orosz. - San Francisco : Jossey-Bass, 2000. - 303 p.

This guide gives practical suggestions and guidelines for making foundation grants and developing skills for effective and ethical grantmaking. The author outlines the place of foundations in society and history, as well as the role of programme officers in daily foundation operations. Among other topics, it describes how to build relationships with grantees and how to review and decline their proposals, how to ensure that funds are being used properly and how to evaluate impact.

Publisher's contact details:

San Francisco : Jossey-Bass

Website: <http://www.josseybass.com>

3.5. Finance / Investment

The investor's toolkit : generating multiple returns through a unified investment strategy / Jed Emerson, Timothy Freundlich, Shari Berenbach. - [s.l.] : [s.n.], 2004. - 38 p.

This paper offers an introduction to the concept of managing financial assets using a strategy that maximises not only economic performance, but also social and environmental returns. It also explores the current state of this evolving investment approach, as well as the logic driving its inevitable expansion. This work is intended to broaden understanding of the diverse investment vehicles presently available, as well as to analyse how these trends might play out for different types of investors. The future of financial asset management as a field is also considered.

Available Online:

<http://www.blendedvalue.org/media/pdf-investors-toolkit.pdf>

For additional information:

<http://www.blendedvalue.org/publications/additional.html>

Publisher's contact details:

Website: <http://www.blendedvalue.org>

E-mail: jed@blendedvalue.net

Succeeding with social enterprise : quick tips for building sustainable non-profit organisations through earned income / Warren Tranquada, John Pepin. - London : Directory of Social Change, 2004. - 45 p.

This reference guide provides information for non-profit organisations that either have or plan to have a business that will provide funding for its mission. It gives tips on how to maximise the value earned by an enterprise.

Publisher's contact details:

London : Directory of Social Change

Website: <http://www.dsc.org>

Total foundation asset management : exploring elements of engagement within philanthropic practice / Jed Emerson. - [s.l.] : [s.n.], 2003. - 21 p.

This essay discusses foundation assets and addresses the question of how foundation staff should work to engage those assets in the creation of value, and how those concerned with fulfilling the true potential of philanthropy should view returns generated as a result of the appropriate allocation of those foundation assets.

Available Online:

<http://www.blendedvalue.org/media/pdf-foundation-asset-management.pdf>

For additional information:

<http://www.blendedvalue.org/publications/additional.html>

Publisher's contact details:

Website: <http://www.blendedvalue.org>

E-mail: jed@blendedvalue.net

Building your endowment / Edward C. Schumacher. - San Francisco : Jossey-Bass, 2003. - XIX, 88 p.

This book describes ways in which an endowment programme can be put in place in a non-profit organisation. It is designed as a practical approach to endowment fund raising, therefore much of its content consists of worksheets. The workbook format allows users to apply the ideas and concepts presented therein to their organisation.

For additional information:

<http://www.josseybass.com/WileyCDA/WileyTitle/productCd-0787960101.descCd-tableOfContents.html>

Publisher's contact details:

San Francisco : Jossey-Bass

Website: <http://www.josseybass.com>

E-mail: permcoordinator@wiley.com

2002 investment performance and practices of community foundations / Michael A. Miller. - Washington, DC : Council on Foundations, 2003. - 112 p.

This annually updated publications describes investment performance and practice of a selection of community foundations in the United States. Finances are compared in charts and tables and analysed in areas such as asset composition, relationship of composition to performance, and fees paid for management. A glossary of terms is included.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

The role of foundations in sustainable development : statement for Johannesburg (WSSD). - Osnabrück : Bellagio Forum for Sustainable Development, 2002. - 2 p.

This statement was prepared by the Bellagio Forum, an organisation composed of foundations that promote sustainable development. In the statement, the authors describe their mission to promote sustainable development and how it relates to a forthcoming summit on the topic.

Available Online:

http://bfdserver.enovum.com/en/components/com_docman/dl2.php?archive=0&file=c3RhGvTZW50X3dzc2QucGRm

For additional information:

<http://bfdserver.enovum.com/en/content/view/22/57/>

Publisher's contact details:

Osnabrück : Bellagio Forum for Sustainable Development

Website: <http://www.bfsd.org>

E-mail: info@bfsd.org

Finances, portfolio composition, investment management and administrative expenses in private foundations. - Washington, DC : Council on Foundations, 2001. - 96 p.

This foundation management guidebook discusses the basics of financial management and investment for philanthropists.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Ethical investment : how the Joseph Rowntree Charitable Trust does it. - York : The Joseph Rowntree Charitable Trust, 1997. - 28 p.

A short review describing the history and basics of the process of ethical investment. The example for ethical investment is taken from the Joseph Rowntree Charitable Trust, which hopes to further its goals by investing in a socially responsible manner.

For additional information:

<http://www.jrct.org.uk/text.asp?section=000100030007>

Publisher's contact details:

York : The Joseph Rowntree Charitable Trust

Website: <http://www.jrct.org.uk/>

E-mail: angela.forster@jrct.org.uk

Investissements éthiques : expériences françaises et étrangères / Alain Ragot, Hugues Robert. - Paris : Fondation de France, 1990. - 32 p.

Based on the American experience in the field of ethical investments, this study identifies ways that French associations can use ethical investment as a funding source.

Publisher's contact details:

Paris : Fondation de France

Website: <http://www.fdf.org>

E-mail: fondation@fdf.org

3.6. Communication / Knowledge management

Knowledge management : where foundations in Europe stand and where they want to go - Results of a survey on knowledge management, April 2004. - Brussels : European Foundation Centre & King Baudouin Foundation, 2004. - 7 p.

This report describes and analyses the results of a survey conducted by the European Foundation Centre and the King Baudouin Foundation about the issue of knowledge management in European foundations. Funders were asked about the existence and types of knowledge management they use, objectives for knowledge management, and what types of tool foundations use for knowledge management.

Available Online:

<http://www.efc.be/ftp/public/kmsurvey/kmresults.pdf>

For additional information: <http://www.efc.be>

Publisher's contact details:

Brussels : European Foundation Centre & King Baudouin Foundation

Website: <http://www.efc.be>

E-mail: library@efc.be

3.7. Evaluation

Reflections on philanthropic effectiveness / Jed Emerson. - [s.l.] : [s.n.], [2004?]. - 12 p.

This paper is based upon the comments, thoughts and ideas of over 35 foundation representatives brought together in Heidelberg, Germany, as part of the International Network on Strategic Philanthropy. It is not a comprehensive review of issues related to philanthropic effectiveness, but rather a reflection of

how some of those involved in philanthropy approach a question that is viewed with increasing importance, namely: How should we best pursue efforts to maximise the effectiveness of philanthropy?

Available Online:
<http://www.blendedvalue.org/media/pdf-philanthropic-effectiveness.pdf>

For additional information:
<http://www.blendedvalue.org/publications/additional.html>

Publisher's contact details:
Website: <http://www.blendedvalue.org>
E-mail: jed@blendedvalue.net

Foundations and evaluation : contexts and practices for effective philanthropy

/ edited by Marc T. Braverman, Norman A. Constantine, Jana Kay Slater. - San Francisco : Jossey-Bass, 2004. - 352 p.

Based on research funded by the Packard Foundation, this book provides a guide to the practice of evaluation in the foundation world. It has contributions from many of the leading figures in the field of evaluation and promotes the use of evaluation within the foundation framework.

Publisher's contact details:
San Francisco : Jossey-Bass
Website: <http://www.josseybass.com/WileyCDA/>
E-mail: consumers@wiley.com

Assessing performance at the Robert Wood Johnson Foundation : a case study / Phil Guidice, Kevin Bolduc. - Cambridge : The Center for Effective Philanthropy, 2004. - 15 p.

This case describes the efforts of one foundation to establish a foundation-wide performance assessment system to evaluate how effectively the organisation was performing and to identify ways in which to improve the way it functions.

Available Online:
<http://www.openminds.com/indres/rwifcasestudy.pdf>

For additional information:
<http://www.effectivephilanthropy.com>

Publisher's contact details:
Cambridge : The Center for Effective Philanthropy
Website: <http://www.effectivephilanthropy.org>
E-mail: alysed@effectivephilanthropy.org

NGO manager organisational assessment tool (OAT) / Marco Kirschbaum. - [s.l.] : NGO Management Group, 2004. - 24 p.

The purpose of the Organisational Assessment Tool (OAT) is to help organisations to assess their situation with regard to leadership, performance and results. It aims to facilitate the finding of strong and weak areas, causes of problems and identification of appropriate solutions. The OAT focuses on six dimensions to improve management capacity: governing structure, management processes, human resources, financial resources, relationships and results. Useful references about evaluation are included.

Available Online:
http://www.ngomanager.org/tools/OAT_July_2004.pdf

For additional information:
<http://www.ngomanager.org/tools.htm>

Publisher's contact details:
NGO Management Group
Website: <http://www.ngomanager.org/index>
E-mail: editors@ngomanager.org

A measured approach : impact assessment report. - London : Lloyds TSB Foundation for England and Wales, 2003. - 59 p.

This report describes the foundation's plan to undertake a 3 year pilot study to

assess the impact they have on the community in which they operate. This particular volume focuses on the 2002 evaluation exercise.

Available Online:

http://www.lloydstsbfoundations.org.uk/downloads/a_measured_approach_full.doc

For additional information:

http://www.lloydstsbfoundations.org.uk/impact_assessment.html

Publisher's contact details:

London : Lloyds TSB Foundation for England and Wales

Website: <http://www.lloydstsbfoundations.org.uk>

E-mail: Guidelines@lloydstsbfoundations.org.uk

When and how to use external evaluators / Tracey A. Rutnick, Marty Campbell. - Baltimore : Association of Baltimore Area Grantmakers, 2002. - 12 p.

This report describes how external evaluators can be used to help foundation set programme goals, identify lessons, make midcourse adjustments, and measure programme effectiveness. It also gives tips on how to frame the consulting engagement to produce the maximum benefit. A short glossary of evaluation terms is included.

Available Online:

http://www.nyrag.org/usr_doc/UsingEvalConsultants.pdf

Publisher's contact details:

Baltimore : Association of Baltimore Area Grantmakers

Website: <http://www.abagmd.org>

E-mail: info@abagmd.org

Indicators of effectiveness : understanding and improving foundation performance. - Boston : The Center for Effective Philanthropy, 2002. - 42 p.

This publication describes ways in which foundations can assess and improve their performance and social impact.

Descriptions of current practice are based on interviews with foundation executives as well as surveys taken from 3500 foundations, based in the United States and active in 23 countries, as to how they conduct performance assessment.

Available Online:

<http://www.lawrenceassociates.com/Files/TCEPIndicatorsofEffectiveness.pdf>

Publisher's contact details:

Boston : The Center for Effective Philanthropy

Website: <http://www.effectivephilanthropy.org>

E-mail: alysed@effectivephilanthropy.org

Striving for philanthropic success : effectiveness and evaluation in foundations. - Gütersloh : Bertelsmann Foundation, 2001. - 176 p.

The volume includes the presentations and opening statements made at the 2000 International Foundation Symposium sponsored by the Bertelsmann Foundation. The core questions dealt with are: the relationship of output, outcome and impact of foundation work, transparency and accountability of foundations, and the establishment of efficient management structures within the sector.

Publisher's contact details:

Gütersloh : Bertelsmann Foundation

Website: <http://www.bertelsmann-stiftung.de>

E-mail: info@bertelsmann-stiftung.de

Assessment of the chief executive / Jane Pierson, Joshua Mintz. - Washington, DC : Boardsource, 1999. - 48 p.

This handbook suggests a process and provides tools for boards of directors to use when they are evaluating the performance of a chief executive. It also

provides an analysis of how annual reviews can be beneficial when evaluating management performance. An example of a questionnaire to measure the level of satisfaction with how the chief executive is carrying out their responsibilities is included.

Publisher's contact details:

Washington, DC : Boardsource

Website: <http://www.boardsource.org>

Monitoring and evaluation : a practical guide for grant-making trustees / Des Palmer. - London : Association of Charitable Foundations, 1998. - 84 p.

Handbook aimed at funders which gives guidance on how to monitor and evaluate both their own work and that of the organisations they fund. The book is divided into four sections including: an introduction to monitoring and evaluation; an outline of various monitoring and evaluation techniques; an example of how best to manage workload; and ideas on how to encourage the promotion of monitoring and evaluation as routine practice.

Publisher's contact details:

London : Association of Charitable Foundations

Website:

<http://www.acf.org.uk/publications/order.htm>

E-mail: ahubrath@acf.org.uk

European foundations and corporate funders : evaluation methods. -

Brussels : European Foundation Centre & Compagnia di San Paolo, 1998. - 32 p.

Presentation of the results of a survey carried out by the European Foundation Centre (EFC) and Compagnia di San Paolo. These results were made public at the EFC General Assembly and Conference in Turin in November 1998. The questionnaire asked participants to describe three phases of grantmaking activity and external evaluation of projects. Results are analysed through statistics, graphics and written explanation.

Available Online:

<http://www.compagnia.torino.it/english/comunicazioni/pdf/report.pdf>

Publisher's contact details:

Brussels : European Foundation Centre & Compagnia di San Paolo

Website: <http://www.compagnia.torino.it>

E-mail: info@compagnia.torino.it

Evaluation with power : a new approach to organizational effectiveness, empowerment, and excellence / Sandra Trice Gray [et al]. - San Francisco : Jossey-Bass, 1997. - 178 p.

In this book, the authors attempt to present a new vision of evaluation as a means of organisational learning to support mission attainment. Organisational effectiveness and considering evaluation as ongoing, internal, achievable and educational object are principles which are highlighted. Issues such as increasing the effectiveness of evaluation as a useful management tool and using evaluation to strengthen key areas of grantmaking policy are covered.

Publisher's contact details:

San Francisco : Jossey-Bass

Website: <http://www.josseybass.com/WileyCDA/>

E-mail: consumers@wiley.com

Evaluation essentials for small private foundations / Alfred L. Castle. - Washington, DC : Council on Foundations, 1991. - 16 p.

This manual provides advice for evaluating grantmaking activities and guides a grantmaker through the process beginning with a pre-grant evaluation, monitoring the project's process and post-grant assessment.

Publisher's contact details:

Washington, DC : Council on Foundations

Website: <http://www.cof.org>

E-mail: info@cof.org

Sustainability index for information and resource centres : self-evaluation tool for the Orpheus Civil Society Network. - [s.l.] : Orpheus Civil Society Network, [199?]. - 9 p.

This self-evaluation tool was written to help an organisation assess its effectiveness either on its own or with the help of a consultant. It describes ways in which to reflect on various aspects of best practice including vision, resource management, service provision, human resources, financial management, and external relations.

Publisher's contact details:

Orpheus Civil Society Network

4. Disclosure & public accountability

4.1. Communication to the public/ media

Foundations and public information : sunshine or shadow. - Washington, DC : National Committee for Responsive Philanthropy (NRCP), 1980.

This study was one of the first analyses of public information on the largest foundations in the United States. As well as describing statistics on accountability and public information, it makes recommendations for change. Since it was released, and has led to major changes in the information the US Internal Revenue Service requires including making annual reports. Identifies 22 key items of information that all foundations should disclose.

Publisher's contact details:

Washington, DC : National Committee for Responsive Philanthropy (NRCP)

Website: <http://www.ncrp.org>

E-mail: info@ncrp.org

4.2. Reporting

Corporate philanthropy and public reporting : sunshine or shadow. - Washington, DC : National Committee for Responsive Philanthropy (NRCP), 1988. - 15 p.

This volume examines the public reports of two hundred top profit-making corporations which publicise their grantmaking activities. The document serves to examine the quality of this reporting, based on a twenty-seven criteria 'disclosure scale' developed by the National Committee for Responsive Philanthropy (NRCP). The scale considers the provision of information on program/funding criteria, application and proposal evaluation.

Publisher's contact details:

Washington, DC : National Committee for Responsive Philanthropy (NRCP)

Website: <http://www.ncrp.org/index.asp>

E-mail: info@ncrp.org