Foundations of Nonprofit Management PADM-GP.2125
Robert F. Wagner School of Public Service
New York University

Spring, 2016
Professors: Paula Gavin and Udai Tambar
Class: Wednesday 6:45pm – 8:25pm
Office Hours: On Request (Call 646.265.2104 P.Gavin or 917.601.0153 U.Tambar)
Please use paulagavin106@gmail.com and uday_tambar@yahoo.com
Prerequisite: P11.1020 (Managing Public Service Organizations) or Equivalent

Course Description
The purpose of this course is to deepen understanding of the nature and major trends of the nonprofit sector and its organizations, using theoretical lenses to explore key current debates and their implications for practice.

Examination of the role of the nonprofit sector in contemporary society and the practical concerns of management. Historical, descriptive, and theoretical issues relevant to the sector are explored. Special attention is paid to the changing relationships between public, for-profit, and nonprofit organizations. Further, the course engages students in critical thinking about managerial practice, including strategy, governance, entrepreneurship, and accountability. Students are encouraged to bring theoretical insights from their own experiences and that of their classmates to bear on case materials and the management literature.

The course reviews broad trends shaping the sector at a time when the lines between the private, public and nonprofit sectors are becoming more and more blurred. Understanding the legitimacy and capacity of the nonprofit sector to address collective problems in this context requires connecting the macro and micro dynamics of leadership and management, as well as linking practices to broader policy debates and issues.

Students in this course will identify and interpret key theories, issues, debates and challenges as experienced by practitioners in the nonprofit world, and will consider the implications for their own practice. The final paper will study a nonprofit organization to assess trends, functions, impact and strategic actions needed to fulfill mission and measures of success.

Classes involve a mix of brief lectures; discussion based on readings or written assignments; strategic plan case studies and guest speakers. The course readings focus predominantly on debates in the United States, but connections to international and global trends are surfaced where possible through targeted readings and class discussions. Please see the course overview – Foundations in Nonprofit Management.
FOUNDATIONS IN NONPROFIT MANAGEMENT

<table>
<thead>
<tr>
<th>OVERALL GOAL OF THE NONPROFIT SECTOR</th>
<th>KEY FUNCTIONS OF THE NONPROFIT SECTOR</th>
<th>CRITICAL TRENDS, ISSUES AND CHALLENGES NONPROFIT SECTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Serve the public good and create social value with solutions to social issues.</td>
<td>* Service Delivery * Civic Engagement * Social Entrepreneurship * Values and Faith</td>
<td>* Mission Impact * Sector Blurring/Convergence * Accountability * Financial Health/Funding/Sustainability * Professionalization of Staff * Governance</td>
</tr>
</tbody>
</table>

IMPLICATIONS FOR PRACTICE

Strategic Planning
- Mission, Vision, Goals and Strategies, Financial Proforma, Measures of Success
- Impact and Theory of Change

Financial Management
- Operating (Revenue Mix, Expense, Margins)
- Cash
- Capital
- Infrastructure
- Technology

Communications / Positioning
- Brand
- Marketing
- Stakeholder Management
- Collaboration & Partnership

Fundraising
- Cause and Case
- Plan and Campaigns
- Donor Research and Management
- Stewardship

Results and Effectiveness Measurements

Management Systems

Governance, Staff Excellence and Leadership
Course objectives
By the end of the course students will have developed an informed perspective of selected theories about the nature of nonprofit organizations as well as key issues and debates affecting the nonprofit sector and their implications for practice. To do so, students:

- Develop a foundation to become high impact leaders in the nonprofit sector.
- Identify key concepts and theories that explain the nature of the nonprofit sector, thus appreciating the distinctiveness of nonprofits in relationship to for-profits and public agencies.
- Be able to respond to arguments and positions about policy and management debates associated with the present and future of the nonprofit sector and its organizations.
- Apply theory to an actual nonprofit organization and develop an understanding of the sector, key themes associated with the sustainability of the nonprofit sector, its organizational ecosystem and impact.

Required texts
Available at the NYU Bookstore:


Available electronically via NYU’s online electronic journal service or NYU Classes and the NYU Bobst Library Course Reserves:

- Additional required readings from selected sources (** in schedule of assignments)
- Heart and Hammer, Paula Gavin, 2014

Course requirements and course reading
Students must complete the reading before class and engage actively in class discussion. Grades are determined as follows:

- **Three papers:**
  - Paper 1 (3-5 pages): 20 %
  - Paper 2 (5-9 pages): 20 %
  - Paper 3 (5-9 pages): 20 %
  - **Total from Papers** 60 %
- **Participation in Class** 15 %
- **Final Strategic Plan** (15 pages) 25 %

For deadlines see course overview below. Please submit two copies of all papers (double spaced and double sided).
Policies

- Attendance is critical. More than two unexcused (illness, etc.) absences will impact grade.
- Readings may not be directly discussed in class but provide necessary background.
- Papers due on time. Reviewed papers should be submitted within one week of grade for reconsideration.

Foundations of Nonprofit Management PADM-GP.2125
Assignments

Paper 1 Due: Class 3 (02/10/16)
Paper 2 Due: Class 7 (03/09/16)
Paper 3 Due: Class 11 (04/13/16)
Final Paper Nonprofit Strategic Plan
Due: Class 14 (05/04/16)

Specific guidelines for assignments will be discussed in class (please see the general descriptions). Grading will be based on: Strength of positions presented; Reflection of key nonprofit policy considerations; Quality of written communications (Please see grading criteria for specifics).
## Foundations of Nonprofit Management - Grading criteria for Papers– Spring 2016

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Overall writing</strong></td>
<td>(25)</td>
</tr>
<tr>
<td>The writing is fluid; sentences/paragraphs are well structured; proper grammar; shows command of graduate level vocabulary and understanding of concepts; polished, not drafty.</td>
<td></td>
</tr>
<tr>
<td><strong>2. Professional presentation</strong></td>
<td>(10)</td>
</tr>
<tr>
<td>Correct spelling/no typos; length limits honored; timeliness and other instructions followed.</td>
<td></td>
</tr>
<tr>
<td><strong>3. Strength of Position Presented (Analytical level)</strong></td>
<td>(20)</td>
</tr>
<tr>
<td>Uses material from class to develop and support ideas; demonstrates effort to integrate materials; memo has a logical flow that presents and develops a clear, unified position/argument; argument is consistent (no contradictions or gaps) and based on critical thinking.</td>
<td></td>
</tr>
<tr>
<td><strong>4. Positions and Recommendations</strong></td>
<td>(40)</td>
</tr>
</tbody>
</table>
| - Reflect critical theories and policy considerations in nonprofit sectors
  - Applies insights to a practical discussion of management and/or policy making. |        |
| **5. References**                                                      | (5)    |
| - References are used and cited appropriately*; at least **three** readings are cited and used. |        |

*You can use ANY reference system of your choice, as long as you are consistent.*
Foundations of Nonprofit Management PADM-GP.2125
Robert F. Wagner School of Public Service
New York University
Spring 2016

Description of requirements for the course: You will write three papers for this course. All papers are individual assignments. In addition, a final paper will be required on the last day of class.

Please plan to dedicate sufficient time to draft, re-write and edit the papers. These steps are necessary for good writing, which will be assessed along with the quality of the expressed ideas.

General instructions for papers

Format: Paper #1 3-5 pages and Paper #2 and 3 5-9 pages; line space: 1.5; minimum margin, 1”; 12 point font; consider Times New Roman a standard, or other, equally legible font; well presented, thoroughly proofed, reader-friendly memos without typos, please!

Please present and write papers to Professor Gavin at class per schedule in syllabus.

Do not forget to include your name on each page and to number the pages to facilitate printing.

Requirement: Please include citations and references from the assigned readings. Avoid the use of quotes unless you believe them to be absolutely necessary. To maintain the flow of your ideas without interruption, use endnotes and attach a separate page with the full references (in addition to the 5-9 pages for the narrative). Each memo should reference a minimum of three assigned readings (Frumkin counts as one.)

Paper #1: The evaluation of nonprofit sector in United States

Assignment #1 (3-5 pages): Opinion Editorial
The NYC Administration for Children’s Services (ACS) administers one of the largest publicly-funded childcare systems in the country, serving approximately 100,000 infants, toddlers, preschool, and school-aged children. ACS does not directly operate childcare programs. Most children are served through contracts with hundreds of private, non-profit organizations that operate childcare programs in communities across the city. To potentially improve effectiveness and efficiency, ACS plans to overhaul its current system by contracting exclusively with for-profit organizations. Nonprofits will be excluded from having any contracts. As the Executive Director of an effective and efficient nonprofit childcare provider, you need to introduce the nonprofit sector and its importance to policy makers and thought leaders. Your assignment is to write an op-ed to be published in the New York Times that makes the argument for the contracts to remain with nonprofit providers, i.e.,
counter the ACS proposal. Use critical analysis to present the size and the scope of the nonprofit sector.

Background reading for city’s childcare system:

**Paper #2: Analyzing theory and functions of nonprofits**

Assignment #2 (5-9 pages): Decision memo
You are the Executive Director of an organization that primarily focuses on direct service (e.g., select an actual organization or service area of your choice). To catalyze change in public policies impacting the delivery of your services, you want to add civic and political engagement to the organization’s core function. Your assignment is to write a decision memo to your Board of Directors recommending this new focus for the organization. In your analysis, 1) describe the organization’s service delivery function, including both its strengths and areas for improvement, and 2) use Frumkin’s framework to defend the rationale for expanding your core function.

**Paper #3: Effectiveness of nonprofit sector**

Assignment #3 (5-9 pages): Background memo
New York Hall of Science presents 450 exhibits, demonstrations, workshops and participatory activities that explain science, technology, engineering, and math (for more information visit: http://nysci.org/). The Board of Directors wants to replicate its organization model across the country. Your assignment is to write a background memo for the Board on what issues of sustainability the organization needs to consider before moving forward with scaling its program model. In your analysis, consider nonprofit components discussed in the figure on page 2 of the syllabus (e.g., financial management, fundraising, governance, impact, positioning).
**Final Paper: Nonprofit Strategic Plan**

Select a nonprofit to assess for application of nonprofit theories and functions, effectiveness, and leadership as well as management. Present assessment of the nonprofit and critical issues facing the nonprofit in the next 2-3 years. Analyze and present the four nonprofit functions operating in this nonprofit. Develop a strategic action plan to address issues. Define theory of change, values, mission, vision, goals/strategies, measures of success. Create implementation time table to achieve nonprofit excellence.

<table>
<thead>
<tr>
<th>A NONPROFIT MODEL OF EXCELLENCE</th>
<th>STRATEGIC ACTION PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission</td>
<td></td>
</tr>
<tr>
<td>Vision</td>
<td></td>
</tr>
<tr>
<td>Theory of Change</td>
<td></td>
</tr>
<tr>
<td>Values</td>
<td></td>
</tr>
<tr>
<td>Goals – Strategies</td>
<td></td>
</tr>
<tr>
<td>Financial Plan</td>
<td></td>
</tr>
<tr>
<td>Measures of Success</td>
<td></td>
</tr>
<tr>
<td>Program Services</td>
<td></td>
</tr>
<tr>
<td>Planning, Management, People Systems and Standards</td>
<td></td>
</tr>
<tr>
<td>Governance – Organization (Staff and Volunteer) Development</td>
<td></td>
</tr>
<tr>
<td>Results Tracking and Action</td>
<td></td>
</tr>
</tbody>
</table>

Nonprofits exist for the public good and operate to accomplish a stated purpose through specific program activities. A nonprofit should have a well-defined mission and its programs should effectively and efficiently work toward achieving that mission.

Nonprofits are governed by an elected, volunteer Board of directors that should consist of individuals who are committed to the mission of the organization. An effective nonprofit Board should determine the mission and plans of the organization, establish management policies and procedures, assure that adequate human resources (volunteer and/or paid staff) and financial resources (earned income, government contracts and grants, and charitable contributions) are available, and actively monitor the organization’s management, financial and programmatic performance.
Foundations of Nonprofit Management - Student Information

1. Your name:

2. Your specialization at Wagner (if not a Wagner student, specify your NYU program location):

3. Your year at Wagner (or at your NYU program):

4. Your status as a student (part time or full time):

Background:

5. Present work status:

   Not working?

   Working as an intern? Where and for how long?

   Working as a paid employee? Where, for how long, doing what?

6. Previous work experience:

   How many years altogether have you worked as a paid employee?

   Briefly describe a relevant, recent job that illustrates your work experience (place and work assignment)

7. Briefly describe your motivation for taking Foundations of Nonprofit Management

8. Briefly describe your primary exposure to (and experience with) the nonprofit sector in general and nonprofit organizations and management in particular (as a leader in a boards, paid employee, volunteer, consumer, or stakeholder?)
Course Overview: Structure, Contents and Requirements

PART I: The nature of the nonprofit world

1. Introduction: the state of the nonprofit sector (01/27/2016)
2. The purpose and distinctiveness of the nonprofit sector (02/03/2016)

First paper due on Wednesday, February 10, 2016 (Class 3)

PART II: The nonprofit sector’s functions and organizations: dominant theories and their implications for policy and management

3. A Focus on Service Delivery (02/10/16)
4. A Focus on Civil and Political Engagement (02/17/16)
5. A Focus on Social Entrepreneurship (02/24/16)
6. A Focus on Values and Faith; Strategic Planning to Achieve Nonprofit Mission and Functions (03/02/16)
7. Integrating Theories and Functions of Nonprofit Sector and Positioning for Success (03/09/16)

Second paper due on Wednesday, March 9, 2016 (Class 7)

PART III: Issues of sustainability and capacity of nonprofit organizations

8. Strategic Planning in Nonprofits (03/23/16)
9. Strategic Planning, Fiscal Responsibility and Financial Management (03/30/16)
10. Positioning, Fundraising and Governance (04/06/16)
11. Measuring, Replicating and Scaling up Results / Sustainability (04/13/16)

Third paper due on Wednesday, April 13, 2016 (Class 11)

12. Strategic Planning, Governance and Global Issues in Nonprofit (04/20/16)
13. Leadership, Management and Creating Excellence in Nonprofits (04/27/16)
14. Strategic Plans: Presentation of Final Papers (5/4/16)

Final paper – Strategic Action Plan Due May 4, 2016 (Class 14)
Instructions to prepare for Class 1:
Introduction: The state of the nonprofit sector (01/27/16)

Readings:

Available on NYU Classes:
** Nonprofit Sector in Brief: Public Charities, Giving, and Volunteering, 2014, Urban Institute.**
** Nonprofit Sector in New York prepared by Independent Sector**
** NYS Nonprofit Revitalization Act June 2013**

**501 c – Wikipedia**

** Heart and Hammer, Paula L. Gavin**

Instructions:

1. Please browse The Nonprofit Sector in Brief: from Urban Institute Almanac, 2014, then choose one particular table or chart of interest. Develop a question of interest to you about the nonprofit sector based on the data presented in that table. Be prepared to discuss it and the motivation behind it in class.

2. Identify key issues in the nonprofit sector.

3. Read NYS Nonprofit Revitalization Act and identify key requirements for nonprofits in New York State.

Please bring Student Information sheet to Class 1.
Schedule of Classes and Assignments

PART I: The nature of the nonprofit world

1. Introduction: The state of the nonprofit sector (01/27/16)

Available on NYU Classes:
** Nonprofit Sector in New York prepared by Independent Sector  
** NYS Nonprofit Revitalization Act June 2013 (S5845)  
**501 c – Wikipedia  
** Heart and Hammer, Paula L. Gavin

2. The Distinctiveness and Purpose of the Nonprofit Sector (02/03/16)


PART II: The nonprofit sector’s functions: dominant theories and their implications for policy and management

3. A Focus on Service Delivery (02/10/16)

Frumkin, Peter. Chapter 3: Service Delivery (pp. 69-95).


Paper 1 – Due Class 3, Wednesday, February 10, 2016
4. A Focus on Civil and Political Engagement (02/17/16)

Frumkin, Peter. Chapter 2: Civic and Political Engagement (pp 29-63)

** Bass, Gary. “Advocacy in the Public Interest”, Center for Public and Nonprofit Leadership, Georgetown University, 2009, pp. 2-17


5. A Focus on Social Entrepreneurship (02/24/16)

Frumkin, Peter. Chapter 5: Social Entrepreneurship (pp. 129-162).


6. A Focus on Values and Faith; Strategic planning to Achieve Nonprofit Mission and Functions (03/02/16)

Frumkin, Peter. Chapter 4: Values and Faith (pp. 96-128).


7. Integrating Theory and Functions of Nonprofit Sector and Positioning for Success (03/09/16)

Frumkin, Peter. Chapter 6: Balancing the functions of nonprofit and voluntary action (pp. 163-181).


** Heather McLeod Grant; Leslie R Crutchfield, Creating High-impact Nonprofits. Stanford Social Innovation Review; Fall 2007; 5, 4


Second paper due class 7 on Wednesday, March 9, 2016

PART III: Issues of sustainability and capacity in nonprofit organizations

8. Strategic Planning in Nonprofits (03/23/16)


** Susan Colby, Nan Stone and Paul Carttar. *Zeroing In On Impact: In an era of declining resources, nonprofits need to clarify their intended impact*, Stanford School of Business, Fall 2004


9. Strategic Planning, Fiscal Responsibility and Financial Management (03/30/16)


10. Positioning, Fundraising and Governance (04/06/16)


** Council on Foundations “Philanthropy on Trial”. April 12, 2011. Opening Statements and “Philanthropy on Trial Overview”


** The Wall Street Journal, *Why Can't We Sell Charity Like We Sell Perfume?* Dan Pallotta, September 14, 2012


11. Measuring, Replicating and Scaling up Results / Sustainability (04/13/16)


Paper 3 Due Class 11, Wednesday, April 13, 2016

12. Strategic Planning, Governance and Global Issues in the Nonprofit Sector (04/20/16)


** New Yorkers Volunteer 2011-2012, New York State Commission on National and Community Service**


13. Leadership, Management and Creating Nonprofit Excellence (04/27/16)

** Nonprofit Self Assessment Tool, TACS**


14. Final Paper – Strategic Plan (Due Class 14 – May 4, 2016)

   Class Presentation