

The Hauser Center for Nonprofit Organizations

NONPROFIT GOVERNANCE AND ACCOUNTABILITY

Senate Testimony

The US Senate Finance Committee has been considering increased regulation of domestic nonprofit organizations. Last June, they held hearings on the subject. Derek Bok and Marion Fremont-Smith of the Hauser Center both testified before the committee, commenting on the risks of regulation to very small organizations, and the need to better fund enforcement of existing regulations. Subsequently, members of the Hauser Center have been deeply involved in activities having to do with the Finance Committee's deliberations. Peter Frumkin and Derek Bok contributed to a discussion on the subject published in "Philanthropy" magazine. When the Senate Finance Committee charged Independent Sector with convening a panel and sub-panels to provide it with recommendations, the organization tapped Marion Fremont-Smith, who co-chaired the panel's group of Expert Advisors with Joel Fleishman of Duke University. In December, Marion and the Hauser Center joined the Urban Institute in hosting a one-day session on *Reassessing the Whys and Wherefores of Government Regulation of Charities*. Leading practitioners, scholars and lawyers, as well as representatives of state attorneys general offices and a liaison for the Senate Finance Committee gathered to examine the state role in regulation, as well as the role of the federal/state relationship. The Hauser Center will continue to track and contribute to the regulation discussion through our Program on Nonprofit Governance and Accountability.



Marion Fremont-Smith, Hauser Research Fellow and co-chair of a special advisory panel convened at the Senate's request.

Financial Stewardship in the Public Sector

Elizabeth Keating and the Hauser Center hosted a two-day conference from April 1-2 on Promoting Financial Stewardship in the Public Sector. The session brought together 70 leading practitioners and academics. The goal of the session was to develop a better understanding of sound stewardship in these institutions, which is important to many stakeholders such as taxpayers, service recipients, donors, regulators and employees. Featured speakers included Marion Fremont-Smith, Hauser Center Senior Research Fellow, Jack McCarthy, Senior Partner and Global Education Practice Leader, PricewaterhouseCoopers, Robert Culver, President of MassDevelopment, Marty Benison, Controller of the Commonwealth of Massachusetts and Ernest Almonte, Auditor-General of Rhode Island. The dinner panel featured a debate on Social Security between Stephen Goss (Chief Actuary of the Social Security Administration), David Mosso (Chair of the Federal Accounting Standards Advisory Board), and Howell Jackson (Professor, Harvard Law School).

Governance and Accountability

In collaboration with Harvard Law School, the Center launched a University-wide Nonprofit Governance and Accountability Project (NGAP), established with generous grants from Rita and Gus Hauser to the Hauser Center and Finn Caspersen to the Harvard Law School. Through its research fund, the project will disburse over \$1.5 million in grants to support outstanding work on nonprofit governance and accountability. The first round of grants will enable six Harvard faculty members to conduct research on topics ranging from the efficacy of nonprofit hospital boards to the role of nongovernmental organizations in global governance and policy making. In addition, NGAP's faculty seminars aim to build a "community of practice," connecting scholars from the various schools and disciplines with a stake in nonprofit accountability. The project will convene two conferences over the next five years, bringing scholars from other universities to campus for in-depth dialogue on the most critical aspects of nonprofit accountability.



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Dear Friends and Colleagues:

The past year has been a landmark one for the nonprofit sector in the United States, with increased scrutiny and proposed regulation by the US Congress. On the international front, NGOs have risen to the challenge in responding to the Tsunami in Southeast Asia or providing humanitarian aid in the war-torn Middle East, while experiencing challenges of their own, such as changes in federal funding or concerns about scandal in the wake of revelations about the UN's Oil for Food program. Social entrepreneurship is on the rise as a means to solve grave social ills, and we have witnessed resurgence in the role of religion in public life, politics and civil society.

The Hauser Center recognizes all of these events as pieces in the puzzle of how to understand the functioning of the voluntary sector. They raise questions about governance, collaboration among sectors, transnational networks, the role of religion in public life, regulation, and efficiency and effectiveness. Our research, teaching and testimony over the last year have focused on these questions, and they will continue to do so.

We've seen another year of change for the Center. Our members are branching out, with Christine Letts becoming Associate Dean of Executive Education at the Kennedy School, and Xav Briggs, Sanjeev Khagram and Peter Frumkin taking tenured positions at MIT and the Universities of Washington and Texas, respectively. We have also just said farewell to our last class of doctoral fellows. At the same time, we have launched a multi-year research program in governance and accountability with colleagues from the Harvard Law School, a new distance learning initiative, and a new seminar series on religion, politics and public life. We're also welcoming new faculty, with Jack McCarthy (page 4) joining our additions from last year, Bryan Hehir, Dutch Leonard and Gordon Bloom.

In the last year, we have been able to realize more fully our University-wide mandate, while maintaining a strong base at the Kennedy School. Through our work on governance and accountability and on social entrepreneurship, we have forged even stronger ties with our colleagues at the Law School and the Business School, engaging in direct collaboration with them on both research and teaching. At the same time, we continue to work with the Kennedy School's new Dean, David Ellwood, on how Hauser as a research center can best contribute to the mission of the Kennedy School. We look forward to even more collaboration with faculty, researchers and students in other parts of the University this year.

As always, we want to thank you for your continuing interest and support. We welcome your thoughts and ideas, and will continue to stay in touch, share, and learn from one another.

Sincerely,

Mark H. Moore
Faculty Director



Student Sponsorship, Leadership 2005, and Social Entrepreneurship

Student Sponsorship

Each year, the Hauser Center provides financial support to a range of student activities. In fact, students are engaging in so many exciting and promising activities that we increased our giving for this past academic year.

During the Fall 2004 semester, the Hauser Center supported the Global Call to Action Against Poverty for a panel discussion on Poverty, Human Rights and Millennium Development Goals; the 2005 International Bridge Builders' Conference; the Harvard International Development Conference; and the Social Enterprise in Action student group for their participation in the annual Social Enterprise Conference.

In Spring 2005, the Hauser Center made grants to the Harvard-China Info-Rainbow (HCIR) Project for a conference; the 2005 annual Harvard Social Enterprise Conference; the KSG Latino Caucus and La Alianza at Harvard Law School for a panel on "Poverty Issues and Wealth Development" at this year's Latino Law and Public Policy Conference; the 1st Annual KSG Black Policy Conference; and the Harvard Journal of African American Public Policy for its conference, "Invisible: HIV/AIDS in African American Communities."

Social Entrepreneurship

Students at the Kennedy School, the Business School and the College have become increasingly interested in the pursuit of social entrepreneurship over the past few years. Faculty and research fellows at the Hauser Center have begun collaborating with others at the Kennedy School, the Faculty of Arts and Sciences and at the Business School in developing curriculum geared toward both pursuing social entrepreneurship and developing a critical understanding of the subject. This past year, Hauser Center faculty Mark Moore and Dutch Leonard, and research fellow Gordon Bloom launched a course, fondly called The Social Enterprise

Social Entrepreneurship (cont'd)

Collaboratory for students around the University to develop and pursue social enterprise ideas. They will teach the course again this year. In addition, a grant by the Catherine B. Reynolds Foundation to the Center for Public Leadership (CPL) set up a five-year fellowship program in social enterprise. Hauser faculty are working with our friends at CPL on curriculum development for the Reynolds Fellows. Looking ahead, we will be writing cases on successful social entrepreneurs with a team from Ashoka, and will be looking at additional ways to foster critical thinking and analysis about the pursuit and practice of social entrepreneurship.

LEADERSHIP 2005: Moral Leadership and the Right to Rule

In March 2005, the Hauser Center joined the Kennedy School's Center for Public Leadership, Safra Foundation Center for Ethics, and Center for Business and Government in hosting the annual LEADERSHIP research conference. This year's focus was "Moral Leadership and the Right to Rule." The conference brought together 100+ research-oriented attendees from Harvard, other universities and nonprofit organizations to hear papers and discuss questions of moral leadership with leading thinkers in the field.

The conference featured presentations of seven academic papers on the psychology of moral leadership, corporate accountability, the legitimacy of state foundations and changes of regime, legitimacy and democracy, and the legitimacy of international law and institutions. The presenters and panelists represented a broad range of disciplines and institutions, including the John F. Kennedy, Harvard Business, Medical, and Law Schools, Yale, Queen's University, Princeton, Stanford, Columbia, University of Virginia and Berkeley.

SPONSORED SPEAKERS

Spotlight on Social Entrepreneurship

The Hauser Center has dramatically increased its focus on social enterprise and entrepreneurship in the past year.

As part of that focus, we hosted Bill Drayton, founder of Ashoka, and Rowena Young and Alex Nicholls of the Skoll Center for Social Entrepreneurship at the Said Business School in March 2005.

Each speaker attended a series of both public and private gatherings on social enterprise and social entrepreneurship. They met with students and Hauser faculty and researchers to learn from each others' experiences. They also attended Harvard's annual Social Enterprise Conference.

It was an honor to have all three of them, and we look forward both to future visits, and to partnering with their institutions in further exploring the role and impact of social entrepreneurship in solving public problems.



Comings and Goings

Welcome to Jack McCarthy

The Hauser Center is pleased to welcome a new principal. Jack McCarthy will join the Kennedy School and the Hauser Center in October as an Adjunct Lecturer. Jack joins us from PricewaterhouseCoopers, from which he is retiring after 36 years. During his time at PwC, he served as the Global Education Practice Leader as well as the US Nonprofit Practice leader. Through that experience, Jack has become a leading authority on business, financial reporting, governance and technical issues for the education and not-for-profit sectors. Jack has published extensively in his field, including co-authoring *Financial and Accounting Guide for Not-for-Profit Organizations* (John Wiley & Sons) and *Understanding Financial Statements* (Association of Governing Boards of Universities and Colleges) in addition to numerous PwC publications on governance, auditing, endowment management, executive compensation and the Sarbanes-Oxley Act. Jack will bring this practical experience into the classroom, where he will teach financial management, and to his research on accounting, governance and accountability, and financial challenges facing the nonprofit sector.



New Hauser principal Jack McCarthy

Hauser Community Branching Out

Christine Letts

Christine Letts will become the Associate Dean for Executive Programs at Harvard's John F. Kennedy School of Government. While Chris will assume leadership of Executive Programs as her primary responsibility, she will continue as a faculty lead on the Hauser Center's Executive Education Distance Learning Partnerships, and will remain the Rita E. Hauser Lecturer in the Practice of Philanthropy and Nonprofit Leadership. In addition, Chris will continue with her research interests in philanthropy and effective nonprofit management and governance.

Xavier de Souza Briggs

At the end of the Fall semester, Xav Briggs left Harvard after many years to join the faculty at MIT. Xav has spent a good deal of his career at Harvard and at the Kennedy School in particular. He was connected to the School and its citizens while working in the Clinton Administration, and spent two years here as an MPA student a little more than a decade ago. Xav began his new role as Associate Professor of Sociology and Urban Planning at MIT in Spring 2005, but will continue to stay connected to Hauser and KSG through his role as a Hauser Fellow and through research collaborations with colleagues.

Peter Frumkin

Peter Frumkin will leave the Kennedy School in August to assume his new role as Professor of Public Affairs at the Lyndon B. Johnson School of Public Affairs at the University of Texas at Austin. At the Lyndon B. Johnson School, he will also be the director of the new RGK Center for Philanthropy and Community Service. Drawing on his experience at the Hauser Center, he has an exciting challenge ahead to create an effective nonprofit center for the university.

Sanjeev Khagram

Sanjeev Khagram will leave the Kennedy School in July to assume his new role as Associate Professor of Public Affairs and International Studies, as well as Director of the Mark Lindenberg Center for Humanitarian Action, International Development and Global Citizenship at the University of Washington. In addition, he will take on a new role as the Senior Advisor to the Tutu Peace Center in South Africa. He will remain co-director of the Transnational Studies Initiative, which will be based at both the Lindenberg Center and at Harvard.

While we will miss our colleagues sorely, this change also reflects one of our goals at the Hauser Center—the branching out of our intellectual community, bringing a broader examination and understanding of nonprofits and civil society to other communities of students, scholars and practitioners. We are delighted we will continue to work with Chris, and look forward to continuing our collaboration with Xav, Peter and Sanjeev even as they take on their new roles.

Spotlighted Research

Program on Religion and Public Life, J. Bryan Hehir and Mary Jo Bane

The Hauser Center's Program on Religion and Public Life began the *Religion, Politics and Public Life Faculty Seminar Series* last fall. Co-convened by J. Bryan Hehir, Parker Gilbert Montgomery Professor of the Practice of Religion and Public Life, and Mary Jo Bane, Thornton Bradshaw Professor of Public Policy and Management, the series creates a conversation across disciplines to examine the public policy, legal, constitutional and sociological ramifications of religion in civic and political life, both nationally and internationally.

Executive Education Distance Learning Partnerships, Christine Letts and L. David Brown

Executive Education Distance Learning Partnerships aims to create programs and materials in cooperation with partner agencies who can deliver executive education to nonprofit and civil society leaders who would otherwise not have the resources to participate in our programs at Harvard. This initiative combines partnerships with other organizations, distance-learning technologies (e.g., CD-ROM, website, online discussion), and our experience with creating effective executive education experiences to promote wide dissemination of civil society capacity-building programs. The project has been exploring executive education partnerships with universities and civil society organizations in Colombia, Mexico, and India this past year. We are currently developing materials to support our partners in delivering two pilot modules: (1) Performance Measurement for Nonprofit Organizations; and (2) Strategic Management for Civil Society Organizations. We hope that this initiative in the long term will enhance the capacity of local actors to strengthen civil societies as well as extend our ability to learn about local innovations with our partners.

National Purpose, Local Action: Effectiveness in Local Groups and Chapters of the Sierra Club, Marshall Ganz

NPLA is research project initiated by the Sierra Club Board of Directors that has sparked a return to grassroots mobilization within one of the nation's oldest and largest membership-based organizations. Two years ago, Marshall Ganz assembled a research team comprised of Kenneth T. Andrews of the University of North Carolina, Chapel Hill, Hahrie Han of Wellesley College, and Matthew Baggetta and Chaeyoon Lim, Ph.D. candidates in Sociology at Harvard. In September 2003, the team trained 150 facilitators from the Sierra Club volunteer membership to conduct self-assessment sessions in 4,000 local groups and chapters nationwide. After collecting and analyzing these data, as well as data from written surveys, phone interviews with club leaders and community and club financial and demographic data, the team presented its preliminary findings to the Board of Directors in July 2005 in Halifax, Nova Scotia. The project's final report will be released in September.

Women in Informal Employment: Globalizing and Organizing (WIEGO), Martha Chen

Women in Informal Employment: Globalizing and Organizing (WIEGO) is a global research-policy network based at the Hauser Center. WIEGO seeks to improve the status of the working poor, especially women, in the informal economy through better statistics, research, programs, and policies and through increased organization and representation of informal workers. In January, WIEGO co-organized a conference in Ahmedabad, India on membership-based organizations of the poor with Ravi Kanbur of Cornell University, Renana Jhabvala of the Self Employed Women's Association in Ahmedabad, India, and Karl Osner of the Exposure Dialogue Program, and Carol Richards of the Richards Foundation.

Civil Society Legitimacy and Accountability, L. David Brown and Jim Honan

The Civil Society Legitimacy and Accountability project is co-organized by Dave Brown from the Hauser Center and CIVICUS: World Alliance for Citizen Participation, and is funded by the Sasakawa Peace Foundation. The project examines, researches and disseminates information on the issues, challenges, and strategies for fostering and strengthening civil society legitimacy and accountability around the world. As part of this project, the Building Civil Society Legitimacy and Accountability Workshop took place in Montréal, Canada from May 26th to May 28th, 2005. The workshop was co-led by teams from the Hauser Center and Harvard (Professors Dave Brown & Jim Honan) and CIVICUS, with participation from leaders of several other initiatives on legitimacy and accountability.



Hauser Center Doctoral Fellows Academic Year 2004-2005

For the past five years, the Hauser Center has sponsored a two-year, in-residence pre-doctoral fellows program for five-to-six Harvard-based advanced degree students focusing their research on topics of importance to the nonprofit field. As of this June, the Center will conclude the first phase of its fellowship program. Twenty-seven junior scholars have completed the program, many of whom are now teaching in tenure track positions around the country (Cornell, University of Chicago, MIT, Harvard, University of California Berkeley, University of Michigan, University of Colorado, University of Iowa, Texas Christian University, Lehigh University, and Boston College). Their presence across this mix of institutions is an important part of advancing understanding of the nonprofit sector.

The Hauser Center is developing phase two of its fellowship program for doctoral students. We are revising the design based on what we have learned, and seeking new funders. We also actively seek to include doctoral students in specific research projects here at the Hauser Center, in order to continue attracting the brightest minds to our subjects of interest. The following five fellows have completed the program this year and comprise the final cohort of the first phase of the fellowship.

Warigia Bowman, Kennedy School of Government

"Governance, Institutions and Infrastructure" – Ms. Bowman's research focuses on how nonprofits work in inter-organizational collaborations to promote the use of the Internet as a development tool in poor areas in Africa. Warigia is finishing her dissertation and is a lecturer in the Faculty of Economics and Business Studies at Kabarak University in Nakuru, Kenya.

Prabha Kotiswaran, Law School

"Dangerous Sex, Invisible Labor and Other Stories of Lumpenproletariat" – Ms. Kotiswaran is studying the politics of prostitution law reform in India in light of the emergence of the national sex workers' movement and its demands that sex work be treated as a form of labor and sex workers as workers in the informal economy. She is finishing her dissertation and is a visiting fellow with the Center for Law, Gender and Sexuality at the University of Westminster School of Law in London.

Jonathan Laurence, Graduate School of Arts and Science, Government

"Managing Transnational Islam: Muslims and the State in Western Europe" – Mr. Laurence's work examines integration policies towards Muslims in Europe and the contemporary creation of representative councils for the prayer spaces and religious organizations that have developed among the populations of immigrant origin in Western Europe. Jonathan will defend his dissertation in the late summer and formally graduates in November 2005. He joins the faculty at Boston College as an Assistant Professor of Political Science.

Moria Paz, Law School

"Jewish Transnational Governance Projects and the Development of International Law: 1880-1930" – Ms. Paz's project addresses the relationship between transnational groups and state power from a historical, cultural and legal perspective by focusing on the case study of several movements within the Jewish diaspora in Europe between 1880 and 1930. Moria is finishing her dissertation and will be a Visiting Scholar at both American University Washington College of Law and George Washington University Law School.

Maple Razsa, Graduate School of Arts and Science, Anthropology

"There Is No War Between Nations, There Is No Peace Between Classes: Transnational Activism in the Wake of Yugoslavia" – Mr. Razsa's work examines the struggles of those participating in civil initiatives in the former Yugoslavia, emphasizing the importance of articulating anti-nationalist sentiment in contesting the dominant vision of Serbia and of defending a public space that made life bearable for the Serbian Croats, Muslims, Hungarians, Jews and Serbs that constituted its membership. Maple has completed the first cut of his final project, "The Bastards of Utopia," and will spend the following year in Croatia finishing his research to complete his dissertation.



Hauser Center Publications

Hauser Center scholars write and publish on a variety of subjects regarding nonprofits and non-governmental organizations. This past year yielded the publication of a number of Hauser-affiliated books. We feature some here.

Mary Jo Bane, Brent Coffin

Taking Faith Seriously: Valuing and Evaluating Religion in Liberal Democracy, published by Harvard University Press in 2005.

This book grew out of the Hauser Center's Intellectual Foundations seminars on the public roles of faith-based organizations, and examines the complex ways in which religion and American democracy are interwoven. The authors suggest a new way of evaluating religion in public life based on the social roles it performs. They also probe the potential, as well as the risks, for more constructive engagement between these sectors. The volume was edited by Hauser Principals Mary Jo Bane and Brent Coffin. Hauser and KSG-affiliated contributors are Mark Moore, Peter Dobkin Hall, Ronald F. Thiemann, Julie Boatright Wilson, Christopher Winship and Ziad Munson. The book also includes contributions by Omar M. McRoberts, Nancy T. Ammerman, and Amy Reynolds.

Martha Chen

The Progress of the World's Women 2005

The book is a joint publication of United Nations Development Fund for Women (UNIFEM), United Nations Development Program (UNDP), and the International Labour Office (ILO), and focuses on women, work, and poverty, with special attention to informal employment, the Millennium Development Goals, and the Poverty Reduction Strategy Papers. It will be published in September 2005. Marty Chen (WIEGO Coordinator), Joann Vanek (WIEGO Statistics Program Director) and Francie Lund (WIEGO Social Protection Program Director and Assistant Professor at the University of KwaZulu Natal), have co-authored the publication, with contributions from Christine Bonner (WIEGO Organization and Representation Program Director) and Renana Jhabvala (Self-Employed Women's Association National Co-ordinator and Chairperson of SEWA Bank and SEWA Bharat). James Heintz (Assistant Research Professor, University of Massachusetts-Amherst) serves as technical advisor to the volume.

Martha Chen (cont'd)

Good Jobs, Bad Jobs, No Jobs: Labor Markets and Informal Work in Egypt, El Salvador, India, Russia and South Africa

Marty Chen and Joann Vanek co-wrote the concluding chapter of this book. Edited by Tony Avirgan, L. Josh Bivens and Sarah Gammage, it was launched in Spring 2005 at the Ford Foundation in New York City, where Marty Chen was asked to serve as a speaker.

Richard P. Chait, William P. Ryan, Barbara E. Taylor-
Governance as Leadership: Reframing the Work of Nonprofit Boards, published by John Wiley & Sons in 2004.

Hauser Faculty Fellow Richard Chait, Hauser Center Research Fellow Bill Ryan, and co-author Barbara Taylor examine the tradition work of the nonprofit board, and introduce a critical third dimension of effective trusteeship, which they term *generative governance*.

Peter Dobkin Hall

"Historical Perspectives on Nonprofit Organizations in the United States" in Robert Herman (ed.), *The Jossey-Bass Handbook of Nonprofit Management and Leadership* Second Edition, published in 2004.

Working Paper Series: Recent Highlights

No. 25 "Organization Development for Social Change" by L. David Brown, Jane G. Covey, and Mark Leach

No. 26 "Effective Foundation Boards: The Importance of Roles" by Christine W. Letts

No. 27 "Assessing Financial Vulnerability in the Nonprofit Sector" by Elizabeth K. Keating, Mary Fischer, Teresa P. Gordon, Janet S. Greenlee.

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