
TOPICS: NGO FINANCIAL MANAGEMENT in Spring 2021 (BA4091D)

Course Code	BA4091D	Professor(s)	Robert Earhart
Prerequisites	None	Office Number	G-3A02
Class Schedule	R: 15:20-18:15 in G-002	Office Hours	Tuesday 15.00-16.00 and Thursday 10.30-11.30, or by appointment
Credits	2	Email	rearhart@aup.edu
Semester	Spring 2021	Office Tel. Ext.	579

Course Description

This course takes an interdisciplinary and comparative approach to NGO and mission-based management based on the assumption that management principles, though universal to some extent, vary significantly according to the context in which NGOs function. Managing NGOs in the contemporary context requires “big picture” management skills that will allow managers to think critically and accurately to analyse their external environments; they must effectively manoeuvre their organizations through the political, economic, ideological, and socio-cultural contexts in which they operate.

This course should be seen more as a collaborative “think tank” enterprise, rather than simply just another course in your schedule. You are not only a student, you are a colleague with me and with the other students. Consistent with this vision of a collaborative “think tank” pedagogy, this syllabus is simply a draft – the starting point of a co-created learning organization that will span the semester. As we move through our time together, I intend to take on more of a consultative and supportive role, providing structure and logistical support as you work towards meeting the course objectives as well as your professional and personal goals for the course. In the first three weeks of the course, we will cover foundational material as we negotiate the materials, projects, deliverables, and accountability mechanisms we will use.

We begin by examining how NGO managers manage within three strategic environments. These include:

1. The external macro-environment over which they have little or no control;
2. the operating environment of principal stakeholders (international, national, and local) over which managers have some influence; and
3. the internal environment over which they have a fair amount of control.

We will start the course taking these three environments into account, as we also consider five areas of inquiry, which will form the basic structure of our course for the first part. These include:

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1. Course Entry: An overview of the highly diverse and fragmented NGO sector
 2. Key NGO Management Concerns: conceptual frameworks for understanding the factors and contingencies of NGO operations.
 3. External Macro-environments: Economic, political, socio-cultural, and ideological forces that affect NGOs.
 4. Operating Environments: Principal players and key issues such as north-south relations, political economies, and partnerships.
 5. Internal Environments: Key internal management issues NGO managers face, as shaped by the concerns and frameworks we are considering.

Course Learning Outcomes

General Education

This is a required core course for students in the NGO & Mission Based Management track of the Masters of Science in International Management Program. This course may be taken as an elective for other programs.

Course Outline

The “participant-developed” course is not a standard mode of teaching. As a student, you are used to the professor determining the course material, as well as how you engage with that material. Although there will be some pre-determined curricula and pedagogical method in this course, much of what we cover and how we cover it is up to you, the students, to decide.

In the first two weeks of the course, we will spend some time structuring the core themes that we want to pursue, how we will spend our time in class, the deadlines for course deliverables (where negotiable), and how we want to structure group work and activities moving forward.

Some core materials and aspects to this course are fixed, but there is a large amount of room for you, the students, to decide what it is that you would like to focus on. In addition, the final project is largely up to you in terms of the topics, examples, issues and global regions that you wish to cover. To get us going, I have set up the course planning for the first three weeks, the non-negotiable benchmarks and ground rules as we move through the semester, as well as some suggestions. Our course schedule will be decided in Week 2. The final schedule and

materials will be up to you. We will start the process of course design in our first meeting and wrap up in our second course meeting. We will revisit our course planning in Week 10 through the end of the semester to adjust our planning for timing based on the course progress to that point.

Please keep in mind that once we negotiate a course plan, the materials and planning become obligatory, meaning that you agree to complete the work and deliverables as planned. Hence, it will be important to check-in regularly regarding the management of our course sessions and deliverables.

To help guide the planning process, here is a list of required materials that must be covered during the course and assessments that must be completed, as well as suggested materials that have been included in past seminars. I strongly encourage you to explore resources and topics prior to and immediately following our first course meeting.

Current Books (requirements are in **bold text**):

David Lewis (2007) *The Management of Non-Governmental Development Organizations*

Chapter 1: Introduction

Chapter 2: Framing NGO Management

Chapter 3: The NGO Management Debate

Chapter 4: Concepts, Histories and Contexts

Chapter 5: NGOs and the Development Context

Chapter 6: NGO Roles in Development

Chapter 7: Organizational Theory, Ambiguity, and NGO Management

Chapter 8: Culture and Organization

Chapter 9: Service Delivery, Advocacy, Innovation and Evaluation

Chapter 10: NGOs and the Management Relationship

Chapter 11: NGOs and the Dynamics of Internal Management

Chapter 12: NGO Management and the Future

Mark Fisher (2009) *Capitalist Realism: Is There No Alternative?*

Jon Krakauer (2011) *Three Cups of Deceit: How Greg Mortenson, Humanitarian Hero, Lost His Way*

David Lewis (2007) *The Management of Non-Governmental Development Organizations*

Mark Schuller (2012) *Killing with Kindness: Haiti, International Aid, and NGOs*

Current Cases (requirements are in bold text):

- **Haiti Hope: Innovating the Mango Value Chain (2016)**
- **Management Costs at CHIP: A Way Forward for a Pakistani NGO (2015)**
- **Richard Lund: Personal Wealth and Philanthropy (2013)**
- *Team Rubicon: Bridging the Gap from Startup to National Organization (2015)*
- *United Nations Inter-Agency Coordination in Southern Africa: Boston Consulting Group (2006)*
- *CARE: Making Markets Work for the Poor (2008)*
- *Child in Need Institute: Non-Profit or Hybrid? (2013)*
- *Greenpeace's Unfriend Coal Campaign and Facebook (2012)*
- *miraclefeet.org: Fundraising and Financial Sustainability (2016)*
- *BRAC in 2014 (2014)*
- *Building Strong Partnerships at the Inter-American Development Bank (2015)*
- *Starbucks and Conservation International (2002)*
- *Patagonia (2010)*
- *Aspire Inc.: Financing Options for Healthier Nonprofits (2003)*
- *NGO Microfinance in the Tibet Autonomous Region (2008)*

Current Articles (requirements are in **bold** text):

- **Justin Elliott and Jesse Eisinger, and Laura Sullivan (2014) The Red Cross' Secret Disaster, ProPublica**
- **Khaldoun AbouAssi (2012) Hands in the Pockets of Mercurial Donors: NGO Response to Shifting Funding Priorities, Nonprofit and Voluntary Sector Quarterly, 42(3) 584–602, SAGE Publications**

Any books or book chapters, cases or articles that you identify and wish to pursue as a group can be added to this list for inclusion in the course curriculum. Any item not in bold can be switched out for something else.

Planning Process:

Our planning process may take the following trajectory, contingent upon what agreement we reach in terms of the planning process itself:

1. Agreement on the structure of the planning process (Week 1)
2. Agreement on themes and interests (Week 1 & 2)
3. Agreement on the timing of required materials (Week 2, Week 10)
4. Agreement on nature of the student-chosen materials (Week 2, Week 10)
5. Agreement on structure of learning (Week 2, Week 10)
6. Agreement on the nature of student chosen deliverables (Week 2, Week 10)
7. Agreement on course timing (Week 2, Week 10)
8. Agreement on assessments
9. Agreement on final course structures, accountability, and policies (Week 2)

I will have supporting documents and planning templates available in our first course meeting. Of course, some of this will be modifiable depending how the course unfolds, but please keep in mind that too many modifications and exceptions diminishes the course experience. As the course professor and the one ultimately responsible for ensuring that we meet the course objectives, I reserve the right to make adjustments or disallow requested modifications to the planning at any point during the course, especially in those cases where we run the risk of failing to meet the course objectives.

Course Calendar

This is a draft schedule and will be adjusted during the first three weeks of the course. Cases marked TBD are to be chosen by course participants.

Session 1: Overview of the NGO sector (Part I) – 16 January

Reading:

Fisher, Mark (2009) *Capitalist Realism: Is There No Alternative?*

Lewis, Ch. 1

Assignment:

Read course syllabus, purchase textbook and case coursepack, set groups

Session 2: Overview of the NGO sector (Part II) – 23 January

Reading:

Lewis, Ch. 1 & 2

Case: United Nations Inter-Agency Coordination in Southern Africa (Case)

Assignment:

Report on Research of NGO Types

Case Reports (All Groups)

Session 3: Key NGO Management Issues and Conceptual Frameworks (Part I) – 30 January

Reading:

Lewis, Ch. 2

Case: Haiti Hope: Innovating the Mango Value Chain (2016)

Assignment: Case Reports (All Groups)

Session 4: Key NGO Management Issues and Conceptual Frameworks (Part II) – 6 February

Reading: Lewis, Ch. 2 & 3

Article: The Red Cross' Secret Disaster (on Blackboard)

Case: Management Costs at CHIP: A Way Forward for a Pakistani NGO

Assignment: Case Report (TBD)

Session 5: Operating Environments (Part I) – 13 February (*Requires Time or Day Change*)

Reading: Lewis, Ch. 3 & 5

Case: Patagonia

Assignment: Case Report (TBD)

SPRING BREAK – NO CLASS 20 February or 27 February

Session 6: Operating Environments (Part II) – 5 March

Reading: Lewis, Ch. 7

Assignment: Case (TBD)

Online Midterm Exam Due on 11 March

Session 7: Internal Environments (Part I) – 12 March

Reading: Lewis, Ch. 8

Assignment: Case (TBD)

Session 8: Internal Environments (Part II) – 19 March

Reading: Lewis, Ch. 9

Building Strong Partnerships at the Inter-American Development Bank (Case)

Assignment: Case (TBD)

Session 9: Critical Reflection on NGO Management – 26 March

Reading: Lewis, Ch. 10

Article: Hands in the Pockets of Mercurial Donors

Canadian Cancer Society: Fundraising Controversy (Case)

Assignment: Case Reports (All Groups)

Session 10: Critical Reflection on Mission-Based Management – 2 April

Reading: Lewis, Ch. 11

Krakauer, J. (2011), *Three Cups of Deceit*

Case (TBD)

Assignment: Seminar Discussion

Session 11: NGO & Mission-Based Marketing – 9 April

Reading: Article: Berglind & Nakata (2005) Cause-related marketing: More buck than bang?

Eikenberry, A. M. (2009). The Hidden Costs of Cause Marketing

Assignment: Case (TBD)

Final Project Bibliographies Due

Session 12: Final Projects Workshop I – 16 April

Reading: Self-Directed

Assignment: Case (TBD)

Session 13: Final Project Workshop II – 23 April

Reading: Self-Directed

Assignment: Case (TBD)

Final Project Proposals Due

Session 14: Final Exam Period – 4 May (12.00-14.30)

Reading: Self-Directed

Cases (TBD)

Assignment: Final Projects Due

Textbooks

Title	Author	Publisher	ISBN	Required
Mission-Based Management: Leading Your Not-for-Profit In the 21st Century	Peter C. Brinckerhoff	John Wiley 3rd Edition - Not Available at the Bookstore	9780470432075	Yes
Mission-Based Management: An Organizational Development Workbook	Peter C. Brinckerhoff	John Wiley & Sons Inc. - Not Available at the Bookstore	9780470625064	Yes

Attendance Policy

Students studying at The American University of Paris are expected to attend ALL scheduled classes, and in case of absence, should contact their professors to explain the situation. It is the student's responsibility to be aware of any specific attendance policy that a faculty member might have set in the course syllabus. The French Department, for example, has its own attendance policy, and students are responsible for compliance. Academic Affairs will excuse an absence for students' participation in study trips related to their courses.

Attendance at all exams is mandatory.

IN ALL CASES OF MISSED COURSE MEETINGS, THE RESPONSIBILITY FOR COMMUNICATION WITH THE PROFESSOR, AND FOR ARRANGING TO MAKE UP MISSED WORK, RESTS SOLELY WITH THE STUDENT.

Whether an absence is excused or not is ALWAYS up to the discretion of the professor or the department. Unexcused absences can result in a low or failing participation grade. In the case of excessive absences, it is up to the professor or the department to decide if the student will receive an "F" for the course. An instructor may recommend that a student withdraw, if absences have made it impossible to continue in the course at a satisfactory level.

Students must be mindful of this policy when making their travel arrangements, and especially during the Drop/Add and Exam Periods.

Grading Policy

Student Performance will be evaluated based on the following factors:

Participation, Discussions & Case Studies	40%
Take-home midterm exam	10%
Final Project	50%

- 1. Participation, Discussions & Case Studies (40%)** This course is organized as a seminar group which means that you must come prepared (having read all the assigned readings) to actively participate in your own learning and that of your colleagues. Each student will make presentations on various topics and take turns leading discussions. Your full presence is very important and will be presumed a bare-minimum standard in the course.
- 2. Take-home midterm exam (10%)** Because your final paper is based on having a solid understanding of NGO management basics, you will be assessed on this understanding with a take-home exam to be completed once the core material in the first five weeks has been completed, ideally prior to the Spring Break. The exam will be timed and administered electronically on Blackboard.
- 3. Final Project (50%)** This project represents an important part of the course because it is an opportunity to learn about and compare in greater depth the differences and similarities in contexts that NGOs face across different regions of the world. By the end of the second week, you will begin to develop a final paper topic based on your particular interests. You will be responsible for educating the rest of students on NGO management problem by critically analysing an NGO or a problem relating to NGO

management. You will be expected to share your final report findings with the other students in the course during the final exam period.

Grading Scale

Excellent	Good	Satisfactory	Unsatisfactory
100-95 A (4.0)	89-87 B+ (3.4)	79-77 C+ (2.4)	73-70 C- (1.7)
90-94 A- (3.7)	86-84 B (3.0)	76-74 C (2.0)	69-64 D+/D (1.0)
	83-80 B- (2.7)		60-63 D- (0.7)
			Under 60 F (0)

Please keep in mind that you will need to do at least 2.5 to 3 hours of reading, research, group meetings and/or writing for every hour that we spend in the course if you intend to complete the course successfully. Perhaps you will need to put in more time if you intend to get an 'A'. Please keep this in mind as we move through the semester.

Other

FINAL PROJECT:

Your final project topic is entirely up to you, but it must meet **all** of the following criteria:

1. The topic must be centered on a problem or testing a theory in mission-based or NGO Management. It is not required that you cover an NGO – social enterprise, mission-based enterprises, government or private for-profit enterprises that borrow NGO techniques are all fair game.
2. The result must be at least 20 pages of text or more (11 point font, double-spaced with reasonable margins) or 20 minutes of visual content (video or visual media – powerpoint with voice over) or 30 minutes of audio (podcast or audiofile). Video or audio files must be accompanied by a written summary and bibliography.
3. You must include at least 10 academic or peer-reviewed references.
4. It must be theoretically grounded, with materials from the course and those that you identify from your own research.
5. You must submit your final project version one week prior to our final exam period, on 13 May 2019, so that your classmates and I will have time to review it before the final exam meeting. During our final exam, your work must be presented to the class in a 10-15 minute executive style presentation.

We will discuss these criteria and finalize it in the first two weeks of the course.

CASE & TOPICAL PRESENTATIONS:

There will be a minimum of three required case or topical analysis presentations required for each colleague during our time together:

1. An **individual presentation** on a **case or a topic selected by each course member**. These will be scheduled by the end of the second week of the course and must occur by the 9th week of the course. Your presentation should be no more than 20-30 minutes in length, including a facilitated discussion.
2. A **group presentation on a case study** related to any of the themes of the course of the group's choice. Each group must contain 2-3 students. These will be scheduled the first week of the course and must occur by the 5th week of the course. These presentations should be no more than 40 minutes in length, including a facilitated discussion.
3. A **group presentation on a topical area of NGO or mission-based management** in a group composed of different members than the case study presentations. These must be completed by the 12th week of the course. These presentations should be no more than 30 minutes in length, including a facilitated discussion.

Please keep in mind that for each of these deliverables, some criteria apply:

- For group presentations, all students in the group must be involved in the presentation and in facilitating the subsequent discussion.
- All groups must submit their presentations and discussion materials (in summary format or their power point slides) by email at least 30 minutes before the course where it is due. (See Assignment Submission Guidelines). **Cases must be accompanied by a full outline of your case analysis or PowerPoint slides and/or presentation materials.**
- You may choose whether or not to use PowerPoint for your presentations. You are strongly encouraged to use some sort of visual materials (slides, handouts, or posters) to support your efforts and to help organize the discussion.
- If you are absent during your group's presentation, you will not receive credit for the presentation. Please refer to the absence policy.
- If your group is scheduled to present a case and fails to do so, the group will not receive any credit for the presentation. The only exception will be if a majority of the group members have an approved absence in advance or an emergency absence approval from the Student Affairs Office, in which case alternative arrangement will also be made in advance. To prevent scheduling chaos, no last-minute changes to our agreed upon schedule are allowed.

Since you will be expected to work with groups of people with different skill sets and capabilities throughout your professional lives, it is good practice to discuss how to organize yourselves, who will work on which cases, and who will create the presentation materials. A well organized and functional group will drastically reduce the overall workload for individual students and provide a truly enhanced learning opportunity. Indeed, part of your learning about mission-

based management will come from your experiences working with your groups. Group members are expected to contribute an equal amount to the overall effort throughout the course, although specific contributions may be different. Also, please keep in mind that both the high-achieving and under-performing group members will be revealed during the peer evaluation process.

Assignment Submission Guidelines:

1. Format

- Include your name (on the top of the first page) as well as page numbers. For group assignments, all group member names and the group number should be included.
Papers missing names will not be graded.
- Format the document using an 11-point font (or larger), double spacing is preferred but not required.

2. Electronic Files

- Should be saved as an MS Word or PDF document if submitting the files by email.
- The file name should start with student's last name, first initial, section, and assignment number. Any file with the wrong file name and/or format will not be graded. For example, the fourth assignment completed by John Smith in Section A in MS Word would be named as: Smith J-4.doc
- Unless otherwise noted in class, assignments will be due before class commences. Late assignments will be marked down one full grade for each subsequent class session where it is late.
- Due to the spam filtering system at AUP, please use your AUP e-mail account to send assignments. It is your responsibility to verify whether or not your assignments have been received on the course attendance sheet that is handed around each class.

COURSE POLICIES:

1. **Laptops & Mobile Phones:** Laptops should be not be used during classes unless specifically necessary for an in-class project. Exceptions may be made for the purposes of taking notes. **Mobile phones are to be turned off and put away at all times while class is in session. Please do not send or receive text messages during class, even on silent mode.** Moreover, mobile phones are not allowed in the room during exams under any circumstances. Students found to be using a mobile phone or other electronic device during exams will be asked to leave and will automatically receive a failing grade. No exceptions.
2. **Communication:** We will use Blackboard for this course. Students are expected to check the Blackboard site, as well as their AUP email during the course for updates. All assignments will be posted here as well as course reader materials and other resources. If you must reach me, please contact me via email for an appointment or visit during my office hours.
3. **Assignments:** Students are expected to turn in all course assignments on time. Late submissions will not be accepted unless prior arrangements are made or the process for

emergencies is strictly followed. Assignments will be marked down one full grade level for being late for each course session where the assignment still has not been completed, making the highest possible grade a 'B' after missing the first course deadline, a 'C' for the second course session, etc. It is the student's responsibility to make sure assignments that are sent electronically have been received and that the attachments can be opened. Successful assignment submission by email will receive a reply.

4. **Food and Drinks:** I am not going to set a policy on this as we are all adults and professionals, but please be mindful of our classroom environment. Please don't spill or make a mess. Clean up after yourself.
5. **Professional Behavior:** Students are expected to behave in a professional manner at all times during the course. Disruptive behavior or simple cases of academic dishonesty on assignments or exams will result in a failing grade for the assignment or exam in question. More severe cases of academic dishonesty, such as plagiarism, cheating or harassment will result in disciplinary actions up to, and including, immediate failure of the course and referral to other disciplinary bodies of the University. You are expected to uphold professional standards at all times while you are in the university program.
6. **Other Policies:** For all other policies and procedures, students are bound by the University's general policies and procedures. Copies of the University policies on absences and academic dishonesty were given to each student at registration. Students are responsible for adhering to these policies.