

APPENDIX GA36d

<i>LEVEL 7 ASSESSMENT SPECIFICATION</i>			
Student name:	Irene Chan	Student ID number:	2023583
Programme:	DBA		
Module:	Qualitative Research Methods		
Module code:	HKBM7003	Contribution to Overall Module Assessment (%):	100%
Lecturer:	Dr. Tamara Savelyeva	Internal Verifier:	
Assignment Title:	Research Article	Word count (or equivalent):	7, 500
Submission deadline:	October 25, 2021	Return date of provisional marks & written feedback:	
Submission method:	All written assessments, where practical and possible, must be submitted via Turnitin unless otherwise instructed by the Lecturer.		
Academic honesty / referencing:	Academic honesty is required. In the main body of your submission you must give credit to authors on whose research and ideas your work is based. Append to your submission a reference list that indicates the books, articles, etc. that you have used, cited or quoted in order to complete this assessment.		

QUALITATIVE RESEARCH METHODS

RESEARCH ARTICLE

HKBM 7003

DBA ASSIGNMENT

Qualitative research is a situated activity that locates the observer in the world.

Qualitative research consists of a set of interpretive, material practices that make the world visible. These practices transform the world.

They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self.

At this level, qualitative research involves an interpretive, naturalistic approach to the world. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them.

(Denzin & Lincoln, 2011, p. 3)

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1. Abstract

A Strategic Review of the Funding Evaluation Framework for Philanthropic Foundations

The **purpose** of this grounded theory study is to explore and understand the evaluation framework for the philanthropic foundations in Hong Kong. It aims to develop a strategic review of the funding evaluation framework and also theorises this evaluation process with a holistic planning and conceptual tool- 3 H (Heart- head- hand) framework.¹ (Yu, 2021). A theory is developed and grounded in the data gathered from the field.

The **research design and methodology** adopt a qualitative research process and methodology. The paradigm / interpretative frameworks of this study is based on social constructivism. The researcher is a field practitioner in the philanthropic sector and a natural setting will be applied. Based on my own perspective from this philanthropic space and preliminary findings drawn from a top-line interview questions pilot study with more than 28 philanthropic foundations in Hong Kong, this analysis explores the complexity of views in the sector.

Rather than starting with a theory, the research develops a theory inductively. The research methodology is characterised as an inductive approach shaped by the researcher's experience in collecting and analysing the data.

This qualitative research adopts an extensive **data collection** methods. It gathers multiple forms of data. It targets to cover a series of structured and in-depth interviews with around 50 philanthropic foundations and charitable practitioners. It also explores findings from focus groups, meetings, documentations, reports, academic journals, articles and field observations. It analyses the existing funding evaluation frameworks and tools adopted by the philanthropic foundations. It also studies the strategic generation and development process of these charitable organisations. A desk top case study is also conducted to analyse the funding framework for two charitable projects funded by The Hong Kong Jockey Club Charities Trust by using the 3H (Heart-Head-Hand) conceptual framework.

¹ Yu,E., (2021), "Seminar Day 1: Visions for the Future: Theoretical Perspectives on Management", Lecture Notes, HKBM 7006, University of Wales- Trinity Saint David, delivered on 19th and 20th June 2021

This study demonstrates that the philanthropic foundation's funding evaluation framework is one of the key success factors to create the desired social impact and pledged outcomes planned by the grantees/ NGOs. The 3H framework is found to be a useful tool for funders to evaluate projects and assess the capabilities and capacities of the grantees in a holistic manner. This will enhance the effectiveness and efficiencies of the implementation of the charitable projects and maximise its social impacts and benefits. When the 3H elements are developed and incorporated as a mind set during the funding process, this help theorise the process and evaluate the capacities of the grantees with a holistic approach. A grounded theory approach will be conducted to develop a theory for future funding evaluation for philanthropic foundations.

This is the first grounded theory study to apply the 3H framework in analysing the funding evaluation process of philanthropic foundations in Hong Kong.

In this paper, a philanthropic foundation is an independent legal entity set up for solely charitable purposes. Unlike a charity, which relies on public, donors or government fundraising to support its activities, the funding for a private foundation typically comes from a single individual, a family, or a corporation, which receives a tax deduction for donations. Depends on the primary source of funding, a foundation can be roughly categorised as a private foundation set up by individual or family (such as Li Ka Shing Foundation or Bill and Melinda Gates Foundation) and a corporate foundation set up by a company or commercial entity (such as Shell Foundation or Nike Foundation). This paper aims to explore and develop funding model and theory for foundations.

For this research, philanthropy is defined as the practice of organized and systematic giving to improve the quality of human life through the promotion of welfare and social change. Philanthropy is the contribution of money by a foundation or individual to non-profit or charitable organisation in order to help resolve social problem or social issue. It aims for a better good for mankind and humanity.

As for Hong Kong, it has achieved a new record of donation to the philanthropic sector every year. It also manifested in a three-fold upsurge in tax-exempt charitable donations in 18 years to a record high of HK\$12.7 billion in 2019. By most standard, Hong Kong is a giving society and ranked 25th out of 139 countries and regions, as 2017's "World Giving Index".

The act of giving is well established in Hong Kong and Asia and is part of the cultural fabric, with entrenched practices. Philanthropists in Greater China (Mainland China, Hong Kong, Macau and Taiwan) have become increasingly involved in giving, although in China philanthropy accounted for just 0.1 percent of its gross domestic product in 2014, significantly lower than 2 percent in the U.S.

In addition, some 60 per cent of Hong Kong's recurrent government budget was spent on education, social welfare and medical services. However, Hong Kong still has 1.4 million people who are currently living under the poverty line and with one in 4 children live in poverty. This phenomenon is not a strict dichotomy between doing well and doing good but a phenomenon which the philanthropic sector has to focus on. According to the results of the study on household income distribution in Hong Kong, the Gini Coefficient based on original monthly household income was 0.539 in 2016. Hong Kong's Gino index is similar to Brazil and Botswana.

There is a compelling case for philanthropy to do more, and do better.

This study aims to develop a theory for more impactful funding for philanthropic foundations so that they could do good but also do well. It is the humble wish of this researcher that more positive social impacts can be achieved for the betterment of the society and humanity.

Keywords: Qualitative Research, Grounded Theory, Axiology, 3H Framework, Strategic Planning, Evaluation, Social impacts, Philanthropy, Foundations and Charities.

Paper Type: Research Paper

(Part 1- Total word counts: 993)

2. Critique of a Research Article

Hillel Schmid and Hanna Shaul Bar Nissim, 2016, '*Government and Philanthropy in Israel*', *Springer Science + Business Media*, Soc 53, 307-314 (30 March 2016) <https://doi.org/10.1007/s12115-016-0018-4>.

Background: Israeli philanthropy have undergone tremendous growth and changes in both scope and volume in the last decades. Israeli donations totalled at US\$ 1.5 billion per year and showed an increase of 21% in comparison of previous years (2006-2007). A new generation of philanthropist has emerged from the electronics and high-tech industries where they accumulated their wealth. In addition, there is also an increase in the number of business and family foundations in Israel. They contribute to social and educational programs complementing the services provided by the government. (Schmid 2011, Schmid et al, 2009; Shimoni 2008).

Summary: In this article "*Government and Philanthropy in Israel*", Hillel Schmid and Hanna Shaul Bar Nissim (2016), from the Hebrew University of Jerusalem's The Paul Baerwald School of Social Work and Social Welfare, explore the relationships between the government and philanthropy in Israel. The main finding indicates that there is a gradual change of the relationship between the government and philanthropic foundations in Israel over the past years. They have turned their strained relationship into a more collaborative one. This has also resulted in the development of a series of innovative and creative, social, economic and educational initiatives. This change is the result of the '*Interfacing Round Tables*' which has created an ongoing dialogue and communication platform between the government, the business sector and non-profit organisations (NGOs). Nevertheless, there is still a perceived ideological and cultural gap that must be bridged in order to achieve the added value of collaboration for the benefit of all citizens in Israel. Cross sector partnership as an option is also proposed and discussed by the article.

This article describes, analyses and evaluates the changing relationship between government and philanthropy in Israel. It also conducts a comparative study between government and philanthropy across various countries which explores this topic inductively. This relationship varies in different countries such as US, UK, European countries like Sweden, Norway, Finland & Denmark, Canada and Australia. It also presents

the attitudes of the parties involved and focuses on the mission and role of philanthropy in the Israeli society, the form of developing relations, the extent of cooperation, and the constraints and limitations imposed on each party, including personal and organizational barriers. (Schmid and Nissin, 2016) Last but not least, it further explores the uniqueness of the Israeli case and evaluates whether this is also a part of a process development in many countries.

Research Questions: This article expands the scope of research in an attempt to understand the evolving and changing relationships between government and philanthropy in Israel and their dynamics. The key research questions for this research include: What reciprocal relations exist between government and philanthropy in Israel? To what extent is philanthropy perceived as complementary, supplementary, a substitute or a competitor to the government? What are the dilemmas, barriers, and challenges facing the relationships between government and philanthropy in Israel?

Research Design: This research deploys a qualitative interpretative approach in order to express the interviewees' experiences and perceptions as to the relationship between government and philanthropy in Israel.

Data Collection: The study uses a snowball sampling method to assemble the study population. A total of 48 interviews was conducted. The interviewees include 30 philanthropists (18 men and 12 women) and 18 high ranking government representatives (12 men and 6 women) from various government ministries such as Finance, Justice, Social Affairs and Social Sciences, Education and others. The interviews are in-depth semi-structured face-to-face interviews.

Data Analysis: The researchers also conduct content analysis on documents, minutes of meetings from 'Interfacing Round Table', position papers, government policies or decisions, minutes of meetings from various government agencies, committees of Israeli Parliament, contracts between government and philanthropic organisations, op-eds, reports and published articles on inter-sector relations in Israel.

An inductive and reflective approach applies to the content and data analysis for this paper. It also deploys two stages approach for its analysis. It conducts an initial analysis

using category construction in an *open coding*. A second phase data analysis is also performed to create an organised division of multi-categories. It also uses specific tactual markers. These are aligned with research questions and research attributes. It aims to present the perspectives and views from the majority of the 48 interviewees.

Critique: This research discusses an important topic. In Israel, the government is still central and dominant in the supply of services to the citizens. (Schmind, 2016) Government has always played a central role in Israel at all fronts especially the political and foreign relations' aspect. The role of philanthropy can supplement and complement the government policy in the social welfare sector which can generate more positive impacts for the society. Even there is much progress being made by both the government and philanthropic sector in term of collaboration and cooperation (as proven by the formation of the 'Interfacing Round Tables' and Government Decision No 3190) (Schmid & Nissim, 2016), there is still "a long road ahead for the creation of the ultimate ideal model for the establishment of a cooperative relationship based on unconditional trust between representatives of the government and the philanthropy." (Schmid & Nissim, 2016). This finding explains clearly that there is an immense potential of further collaboration between the public and private sectors. This study serves as a good basis for further analysis and research by academia and officials to explore additional models of cooperation with a view to enhance social good.

As discussed earlier, this article is a qualitative research study. It is my view that it has basically and sufficiently covered *all* key criteria and features of the qualitative research methodology and approach. Since there is no linear approach and no absolute truth in the qualitative approach as this research process is an ongoing exploration and can be filled with unexpected turns and twists (Savelyeva, 2021). Hence, a critical review of this article will be pursued and based on the fundamental paradigm and basis of the qualitative methodology. This critique analyses the article from several dimensions: *its philosophical assumptions, theoretical framework, approaches, key characteristics, processes, and research phases*. Lastly, I will also make a few observations into its findings and future directions.

Philosophical Assumption: When researchers conduct qualitative research, they are embracing the idea of multiple realities. (Caswell & Poth, 2018, p.53) But this assumption is not always stated in the paper. Different researcher embrace different realities and bring different values to the research, as do the participants being studied and the readers of the paper. This article employs a *methodological* philosophical assumption. It works with details and data before generalisation, describes details and uses inductive logic. (See Figure 14.1 in part 3 for situating philosophy and frameworks). But in view of the unique political, social, cultural and historical background of Israel, an *epistemological* assumption can be an alternative assumption. The researcher can spend time in the field with participants (both government bureaus and philanthropic sector) and become an insider. Subjective evidence can be obtained from participants and can lessen the distance between the interviewees and researcher.

Interpretive Frameworks/Paradigm: This research is based on *interpretivism* (*social constructivism*). It aims to understand the views of the Israeli government and its philanthropic sector and multiple realities are constructed through their experiences and interactions with others. Individual values are acknowledged and negotiated amongst individuals. *Axiological* belief and approach is clearly illustrated in this paper. But in view of this unique research topic, *pragmatism* can also be an alternative framework for analysis. Reality is useful and practical and it may work. Pragmatism involves both qualitative and quantitative approaches to data collection and analysis. It aspires to use the most appropriate method to address the research question and find solution to the real-world problem. (Caswell & Poth, 2018, p.74-75)

Approaches of Qualitative Research: The design and the use of distinct approaches to inquiry is fundamental to qualitative research methodology. (eg ethnography and narrative & see figure 14.1) This paper uses a *narrative* approach. It collects data in the field at the site and tells a story with field text. But challenges normally exist as active collaboration in the data collection is key and can be challenging. The issue of power relation may occur especially senior government officials are involved. It is my view that an *ethnography* approach can be explored for this research due to the unique cultural and

historical background of the geographical context of this study. For example, the shared patterns of the *specific culture* of the group of participants can be further explored.

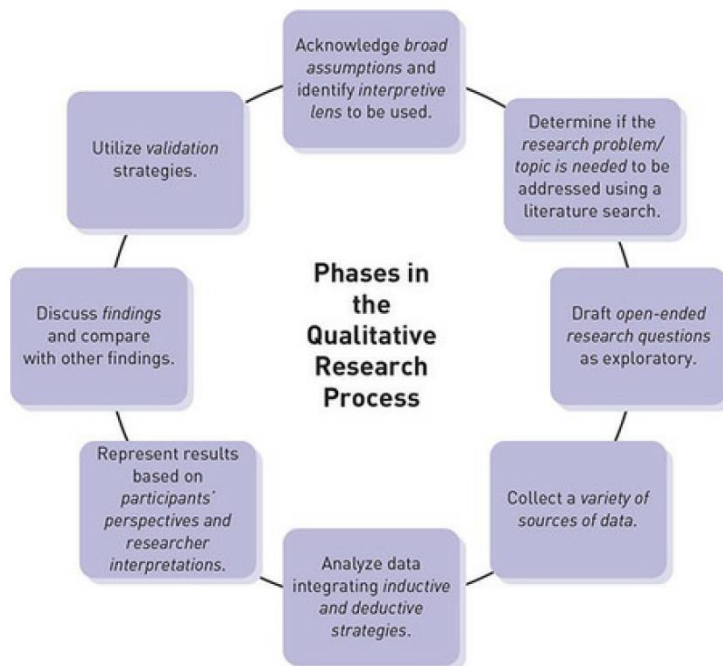
Characteristics of Qualitative Research: This article has employed all the key and common characteristics of a good qualitative research. (Caswell & Poth, 2018. P.83). It is conducted in a *natural setting* and it collects data in the field at the site where participants experience the issue under study. The researcher is also a *key instrument of the research* and they collect data themselves through examining documents, observing behaviour and interviewing participants (48 interviewees). It gathers *multiple forms of data*, such as interviews, observations, meeting minutes, government papers and documents, rather than rely on a single data source. This qualitative research also builds its patterns, categories, and themes from the 'bottom up' by organizing the data inductively to *complete reasoning through inductive logic*. In the entire research process, the researchers keep a focus on learning the meaning that the interviewees hold about the issue, not the meaning that the researchers bring to the research. It relies on the participants' *multiple perspectives and meanings*. This research is also *context-dependent* and is situated within the context or setting of participants and sites. The research process of this research is also emergent. The phases of the process thus change after the first phase and further progress into the second phase. Lastly, *reflexivity* applies in this study as the researchers '*position themselves*' in a qualitative research study. The researchers convey their background, how it informs their interpretation of the information in this study and what they have to gain from this paper.

Features of a Good Qualitative Study: The assessment of a good qualitative study is discussed by extensive literature. (Caswell & Poth, 2018, p. 87) This paper has met most of the features of the criteria. Firstly, the researcher frames the study within the assumptions and characteristics of the qualitative research approach. In short, all of the characteristics mentioned above. It also begins with a *single focus* and issue being explored. It also employs *rigorous data collection procedures* as it collects multiple forms of data and not just a single source of data. The researcher also includes detailed methods describing a rigorous approach to data collection, data analysis and report writing.

However, there are a few areas which this paper can focus on. There is no detail about the *ethical conservations* for this research paper. This area should be covered extensively. It involves more than simply the researcher seeking and obtaining the permission of institutional review committee or boards. It means that the researcher considers and addresses all anticipated and emergent ethical issues in the study. In addition, the researchers do not *situate themselves* within this study to reflect their history, culture and personal experiences. This is more than simply an autobiography, telling about their background. This paper could focus on how individuals' culture, gender, history and experiences shape all aspects of the qualitative research, from their choice of a question to address, to how they collect data, to how they interpret the situation, and to what they expect to obtain from conducting this research. (Caswell & Poth, 2018, p.88)

In addition, his research can elaborate more on the different phases it employs during the research process. (Below Figure). This will shape a clearer structure of the article and articulate the whole research process in a more convincing manner. This will enhance the robustness and argument of the article.

Figure 3.2 Phases in the Qualitative Research Process



Source: Caswell & Poth, 2018, p. 92

Last but not least, there are a few perspectives in this article which can be explored and expanded further. Firstly, the study focuses on the new generation of philanthropists in Israel from the electronics and high –tech industries. However, it can *expand the sample group* to other key players in the philanthropic sector. The expanded scope of the research can better understand the evolving development between the government and philanthropy. For example, the study participants did not include donor advised funds, nor non-Jewish philanthropists and overseas or international donors. As mentioned earlier, their personal characteristics and culture of giving could be different from the participants of this study. This might impact the finding of this article.

Secondly, this article characterises the relationship of the government and philanthropy in the past as ‘lack of formal cooperation and lack of joint ventures.’ Some government officials expressed their ‘fear of philanthropy more than once and even went as far as to claim that it constitutes a threat to Israeli democracy.’ (Shmid & Nissim, 2016, p.309). The change in the nature of Israeli philanthropy and in the extent of contributions as well as its relationship with the government has received *very limited research attention*. (Schimid & Nissim, 2016; Almog-Bar and Zychlinski, 2014; Silber, 2012). There is still a long road ahead for the creation of the ultimate ideal model for the establishment of a cooperative relationship based on unconditional trust between representatives of the government and philanthropy in Israel. The empirical and theoretical contributions of this article can serve as a foundation for a further research on this topic to provide more options for the future directions.

Lastly, the article explains the *personal and structural barriers* and obstacles in the relations between the two parties extensively. For example, the lack of trust and appreciation, as well as suspicion, characterise the relations. And interaction between the two parties is also challenged by the encounter between different types of institutional logic and organisational cultures. However, this article can analyse other *external factors* such as *political, economic, social, technological, environmental and legal* (ie PESTEL framework). In addition, the *business* perspective can also add a relevant dimension to the collaborative effort. This will give more layers of analysis to explain the relationship between the establishment/regulator (ie the government) and the philanthropic sector.

Conclusion: Philanthropic donation in Israel stands at 0.7% of GDP, while in the US, the figure is 1.85%. In 2010, \$575 billion was sent around the world for philanthropic purposes, but only \$11 million came from Israel. Earlier in 2021, it was announced that Israel currently has 71 billionaires, placing it second in the world in the number of billionaires per capita. Israel is a 'unicorn' superpower, with about 60 companies worth over \$1 billion. The accumulated wealth in Israel is huge. Hence, this is a very important and interesting topic. A better understanding of the relationships between the two parties could facilitate a better understating of the need in finding the necessary balance in the division of labour between philanthropy and government, together with non-profit organisation and the commercial sector- for the benefits of the population in Israel and humanity at large.

An effective partnership is complementary and mutually beneficial. This will create better good for humanity in all aspects.

(Part 2- Total word counts: 2,546)

3. Research Proposal

A Strategic Review of the Funding Evaluation Framework for Philanthropic Foundations

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3. Research Proposal

Title: A Strategic Review of the Funding Evaluation Framework for Philanthropic Foundations

3.1 Introduction and Background

The purpose of this grounded theory study is to explore and understand the evaluation framework for the philanthropic foundations in Hong Kong.

In its earliest form, the word philanthropy comes from the Greek *philanthropia*, simply meant “love of mankind” – which actually makes no mention of money. Philanthropy means giving anything—time, money, experience, skills, or networks—in any amount to create a better world. Anyone with generosity of mind and spirit can take action and be a philanthropist. ² (Arrillaga-Andreessen, 2011).

In this research, a philanthropic foundation is an independent legal entity set up for solely charitable purposes and defined as the practice of organized and systematic giving to improve the quality of human life through the promotion of welfare and social change. (See Figure 1 for World’s Charity Ranking and Figure 2 for Philanthropic Foundations around the world). There is also a fundamental difference between charity and philanthropy. (See Figure 3).

As for Hong Kong, it has achieved a new record of donation to the philanthropic sector every year. For a population of approximately 7.48m, Hong Kong has close to 9,200 charitable organisations registered under Hong Kong Inland Revenue Department. (See Figure 4)

By most standard, Hong Kong is a giving society and ranked 25th out of 139 countries and regions, as 2017’s “World Giving Index”,³ (CAF, 2021) published by the UK-based Charities Aid Foundation. And in the inaugural “Global Philanthropy Report”,⁴

² Arrillaga-Andreessen Laura (2011), *Giving 2.0: Transform Your Giving and Our World*, 1st ed., Jossey-Bass.

³ Charities Aid Foundation (CAF), *World’s Giving Index 2021* (June 2021), *A Global Pandemic Giving Report*, https://www.cafonline.org/docs/default-source/about-us research/cafworldgivingindex2021_report_web2_100621.pdf. Hong Kong saw a significant drop in all scores in 2020 (p.13). But HK ranked 43th out of 114 in its score in ‘donating money to charity’. (p.20)

⁴ Johnson Paula D, (Lead Author), *The Global Philanthropy Report- Perspectives on the Global Foundation Sector*, (2020), Harvard Kennedy School, Centre for Public Leadership. https://cpl.hks.harvard.edu/files/cpl/files/global_philanthropy_report_final_april_2018.pdf

published by the Harvard Kennedy School in 2020, Hong Kong finished fifth among 39 countries and cities, based on philanthropic assets as a proportion of GDP ⁵ (Johnson, 2020) (See Figure 5).

In addition, some 60 per cent of Hong Kong's recurrent government budget was spent on education, social welfare and medical services. However, Hong Kong still has 1.4 million people who are currently living under the poverty line and with one in 4 children live in poverty. The Gini Coefficient in Hong Kong was 0.539 in 2016. ⁶ (See Figure 6) Hong Kong's Gini index is similar to Brazil and Botswana.

There is a compelling case for philanthropy to do more, and much better.

This study aims to develop a theory for more impactful funding for philanthropic foundations so that they could do good and also do well. It is the humble wish of this researcher that more positive social impacts can be achieved for the betterment of the society and humanity.

3.2 Statement of the problem

Mr Warren Buffet⁷ has once said, "making money is far easier than giving it away effectively." ⁸ The fundamental question remains, will all that giving, committed by foundations and billionaires, actually do any good? Creating lasting social impact and systemic change requires discipline and a clear evaluation framework and standard- a concept with which many foundations, grant makers and high yield wealthy individuals have traditionally struggled. Exempt from the accountability or ESG standard (just to name a few) imposed on business by the markets or on government by the voters, but philanthropy is free to explore and take more risks. (Ditkoff & Colby, 2009)

⁵ Ditto

⁶ Hong Kong Census and Statistics Department, (9 June 2017), Press release: Census and Statistics Department announces results of study on household income distribution in Hong Kong. Source: https://www.censtatd.gov.hk/en/press_release_detail.html?id=4180

⁷ Warren Buffet, is an American business magnate, investor, and philanthropist. He is currently the chairman and CEO of Berkshire Hathaway. He is considered as one of the most successful investors in the world and has a net worth of over \$100.6 billion as of April 2021, making him the world's seventh-wealthiest person. Source: https://en.wikipedia.org/wiki/Warren_Buffett

⁸ The Economist (2011), The Lessons of Philanthropy- Giving for Results, (14 May 2011 edition). In 2010, some 69 of America's billionaires and billionaire families have promised to give away at least half of their fortunes by signing the Giving Pledge championed by Bill Gates and Warren Buffet, two of the world's richest men.

On the other hand, one of the other most common concerns that foundations may have is how to measure the results and assess the impacts of their donations. Some donations yields immediate and tangible results, for example, funding the construction of a community kitchen. But what about donations that support complex projects like improving elderly palliative care or providing mental wellness support for youths? Which project should philanthropist support? What is the best way to evaluate grantee's capacities and make the right donation decision?

Foundations do not just want to do good, but they also need to give well.

The objective of this paper is to conduct a qualitative research on this under-researched area in Hong Kong. The impact and scale of the annual philanthropic donation in Hong Kong or around the world are huge. If we could formulate a more holistic and effective evaluation framework for philanthropic foundations, they could be better equipped to evaluate the capabilities and efficiency of NGOs. This will increase the positive social impacts generated by their donations or projects. The social impacts and social investment made by foundations could be improved and enhanced. This alternative evaluation framework and theory will do better good for the community.

3.2.1 Research Questions

This paper explores and understands the funding model of philanthropic foundations and its giving. Research questions (RQs) are refined statements of the specific components of the research problem. This study's **major** research question is: Can we achieve a new paradigm or framework in funding framework for philanthropic foundation which can help create more social impacts generated by charitable projects and programs? It understands and develops adequate theoretical conceptualisations of findings. A theory is developed. These are the sub-questions:

- What theory explains the phenomenon of the funding process of foundations? What are their experiences? What caused their funding decisions? What strategies did the foundations use?
- Are the current evaluation frameworks commonly used by philanthropic foundations (eg BACKS/ KAP/MEL) sufficient to achieve such purpose? (See Figure 7)
- Can a more strategic philanthropic funding framework help improve the situation?

- If so, can we do a more holistic framework to evaluate funding?
- Can the 3H (Heart-Head-Hand) framework provide a better and more holistic approach for this evaluation? (See Figure 8)
- Can the 3H framework provide a more useful tool in strategic planning for foundations/funders when evaluating their projects/grants?
- Can philanthropy create a better community in Hong Kong or humanity in general? (Figure 9 gives a theoretical mapping of the problem and challenge statement for this research).

3.2.2. Theoretical Background

This qualitative research is based on a **grounded theory** approach. (See Figures 10 & 11) and develops a theory around the funding process. A theory is needed to explain the funding framework used by philanthropic foundations for better social good. The intent of a grounded theory study is to move beyond descriptions and to generate or discover a theory. (Creswell & Poth, 2018). It will explain the process or an action. The participants (ie *philanthropic foundations*) in the study would all have experienced the process, and the development of the theory helps explain practices or provides a framework for further research. The qualitative research approach is chosen because the inquirer will generate a general explanation (a theory) of a process, an action, or an interaction shaped by the views of a large number of participants. (Creswell & Poth, 2018). Below Figure 10 highlights the challenges of this approach.

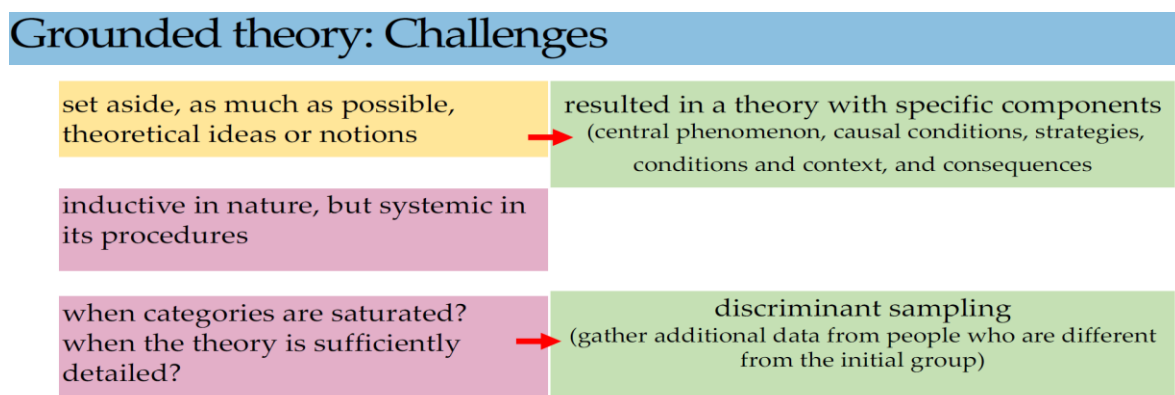
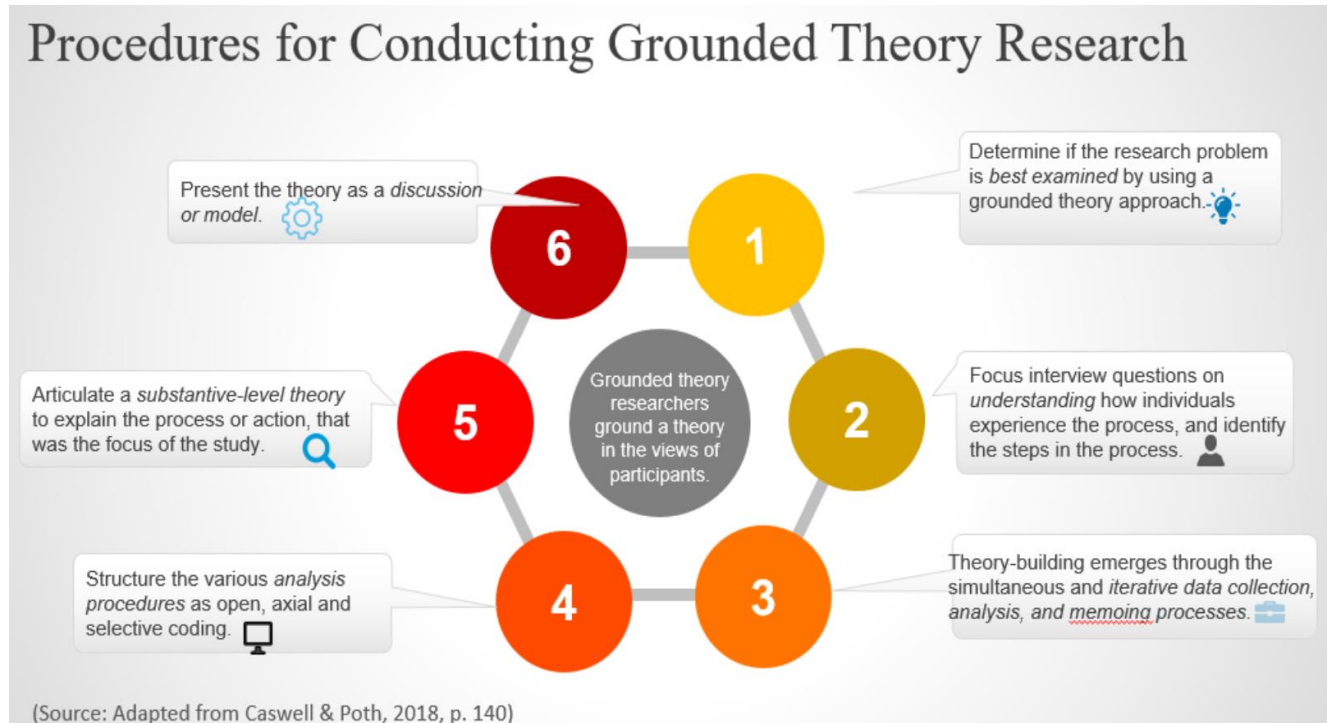


Figure 10: Grounded Theory- Challenges (Savelyeva, 2021, Lecture 1)

Figure 11: Procedures for Conducting Grounded Theory Research



3.2.3 Overview/ Critique of Key literature

Over the decades, there have been an extensive range of management, leadership and strategic planning definitions and literature. This research study also understands and reviews the key theories in related areas. This forms a basis of analysis and understanding of the fundamental management and leadership theories. This stage of research is useful and fundamental and this review aligns with the theories applied in 3 H conceptual framework.

An extensive desktop research on the relevant management theories is conducted by the researcher. The study reflects critically on the evolution of contemporary management theory and the relevance of these theories to actual management practices and relevance to the 3H framework. (See Figure 12).

The question of what constitutes a good management is a basic fundamental question which is always asked by academia and business practitioners, as in this study, by philanthropic foundation. According to Yu (2019), “a good management is an art and science of getting things done effectively and efficiently through people and other required resources guided by the 3H framework.” I also conduct a similar statement in our pilot

interview questions (Refer to Q28 in Appendix 1 and Figure 16) and 100% of the respondent agree with this statement.

3H framework is also a mind-set for managing people and organisational issues in a holistic manner. (Yu, 2019). Each H domain of the 3H framework has an array of established theoretical groundworks rooted from well-established literatures in respective fields. Take for instance, the detailed works of Bass (1995; 2010) can provide a good theoretical basis of transformational leadership, which forms a key part of H1 Heart domain. Strategic planning for H2 Head domain can be represented by Mintzberg (1987; 1994) whereas competence H3 Hand domain by Barney (1996; 2001). (Cheung & Yu, 2020, p.249)

We also study the perspective of Nicholls (1994). Instead of separating the domains into 3 categories, he focuses on creating a construct of leadership with three perspectives- inspirational, strategic and supervisory. Inspirational leadership focuses on people's personal beliefs while the other two focus on organisation and the operation. On the contrary, Yu (2019)'s 3H framework is a methodology for managing people and organisational issues in a holistic way to ensure individual performance and in turn the entire organisational performance can be efficiently and effectively managed. (Yu, 2021, p.9) This conceptual framework is using metaphoric expressions of *Heart, Head and Hand* to represent the vital dimensions of people, leadership, organisation and competencies/ operations respectively. A holistic solution to manage people and organisation issues means all 3-H dimensions have to be effectively and efficiently well-integrated and coordinated in order to create the best organisational performance. (Yu, 2021)

From the foundation's perspective, they are interested to know the NGOs' abilities to respond and manage risk generated from the external environment. Hence, I also analyse the organisation's competencies with other evaluation tools such as PESTEL, SWOT, Porter's five forces and balanced scorecard. (See Figure 13). This can be simply categorised as the **4th H** with a specific view to embed an all-rounded and holistic evaluation process on the organization performance. All these theories will be explored in the context of the funding process.

In addition, there are a few existing evaluation framework generally used by philanthropic foundations in evaluating performance of grantees and NGOs' performance.

The study conducts analysis of relevant models. A detailed reference list of some of the literature is summarised in Appendix 3. There are also a few research and non-profit think tanks which specialise in evaluation process for foundations, such as Council on Foundations, Centre for Effective Philanthropy, Bridgespan group, Centre for Asian Philanthropy and Society (CAPS), Asian Venture Philanthropy Network (AVPN), Foundation Exchange in Hong Kong and various relevant institutions. Extensive desktop research are conducted and structured interviews are sought with all key participants.

3.3 Research Methodology

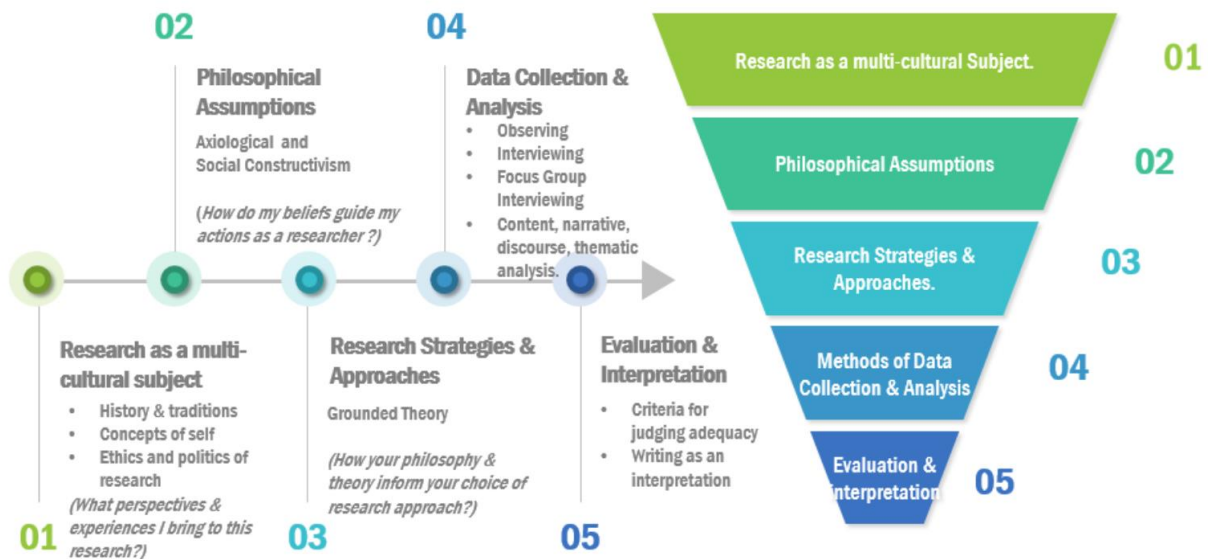
3.3.1 *Characteristics of qualitative research and philosophical assumptions*

Qualitative research, as a set of interpretive practices, privileges no single methodology over any other. Qualitative research always begins with assumptions and the use of interpretive and theoretical frameworks that inform the study of research problems addressing the meaning individuals or groups ascribe to a social or human problem. To study this problem, qualitative researchers use an emerging qualitative approach to inquiry, the collection of data in a natural setting sensitive to the people and places under study, and data analysis that is both inductive and deductive and establishes patterns or themes. The final written report or presentation includes the voices of participants, the reflexivity of the researcher, a complex description and interpretation of the problem, and its contribution to the literature or a call for change. (Creswell, 2013). This research thus focuses on inductive research activity. (Savelyeva, 2021, Lecture 1)

This approach forms the basis of this research study and the key phases of my approach are summarized in Figure 14 & 14.1. It shows the philosophical assumptions and paradigm and stances taken by me, such as my view of reality (**axiology**), and the procedures used (**methodology**). These assumptions are applied in this research through the use of this paradigm or interpretive framework (**social constructivism**). All researches bring value to a study, but qualitative research makes their values known in a study. This is the *axiological* assumption that also characterizes this paper.

Figure 14: Research process- Situating Philosophy and Interpretive Frameworks

Research Process: Situating Philosophy and Interpretive Frameworks for this Study



Source: Adapted from Creswell and Poth, 2018, p.50

3.3.2 Justification of suitable qualitative research methods

Social constructivism is justified in this research because individuals seek understanding of the world in which we live and work. They develop subjective meanings of their experiences and these meanings are varied and multiple, leading the researcher to look for the **complexity of views** rather than narrow the meanings into a few categories or ideas. This is important for me to apply this theoretical framework for this study to understand the current funding models conducted by different philanthropic foundations. It relies as much as possible on the participants' views of the situation. But they are not simply imprinted on individuals but are formed through interaction with others (hence social construction) and through historical and cultural norms that operate in individuals' lives. Rather than starting with a theory (as in postpositivism), inquirers generate or inductively develop a theory or pattern of meaning. (Creswell & Poth, 2018). Examples of writers who have summarized this position are Burr (2015), Crotty (1998), Lincoln and Guba (2000), and Schwandt (2007). The selection of the right qualitative research approach is essential. (Figure 15 highlights the summary & selection of the research approaches).

3.3.3 *Research Design*

This paper aims at applying the 3H framework (Heart-Head-Hand) (Yu, 2019) to review and reflect on the funding evaluation process of foundations. It also reviews the strategic generation process of charitable organisations and attempts to examine and reflect on the strengths and weaknesses towards a more holistic approach to enhance the funding evaluation framework for philanthropic foundations.

This research is a **qualitative inductive research study**. A pilot study of interview questions is conducted to confirm the possibility to continue the exploration of this research topic. This is **not** used as a quantitative research tool. These pilot questions will not be used in the data collection procedures as mainly open-ended research questions will be asked. This pilot study only aims to confirm the basic research problem and a general consensus of our propositions (See further details in Appendix 1 and 2). A total of 30 participants are invited to participate in this interview questions sample. A response rate of 83% is achieved (ie 25 participants responded). The sample is carefully selected from the philanthropic sector in Hong Kong which include private, corporate and family foundations, charitable trust, academia, donor advised funds, philanthropic consultant and intermediaries, NGOs and one UN agency (from a funder's perspective). (See Figure 16 for the pilot survey's top line summary, Figure 17 for participants' list).

Based on the selected sample from the professionals and practitioners from the philanthropic sector in Hong Kong, it is observed that 100% of the respondents agree that impact measurement and evaluation framework make foundations and organisations more efficient and effective. In addition, 100% also consider that a good management in philanthropic foundation is 'both an art and science of getting things done effectively and efficiently through people and other required resources guided by strategic and operational capabilities of the organisation.' (Cheung & Yu, 2020, p.249)

In addition, the pilot study also confirms that the basic assumptions of the 3H framework is generally accepted by the sample respondents. 82% of the respondents agrees that philanthropic foundations always have genuine motives for giving but people too often let their philanthropy be guided by their hearts alone. Hence, deciding what need to do to make change happen is a strategic choice and a holistic view that requires the head, heart and hand. (ie 3H approach).

Figure 16: Top line summary of pilot study of interview questions

This pilot study with a total of 33 interview questions is prepared by the researcher and sent to 30 potential participants. A total of 25 responses respond and the response rate is 83%. (See Appendix 1 and 2 for details of questions and pilot study results).



Figure 17: Pilot Study for Interview Questions- Participants' List

83% Completion Rate : 25 out of 30 invitees responded!

Invited : 30 Participated: 25

Invited Participants:

- Philanthropic Foundations (eg Croucher Foundation/ Chow Tai Fok Foundation etc)
- Family Foundation (eg Yidan Foundation)
- Charitable Trust (eg HK Jockey Club Charities Trust/ Community Chest/ Zonta NT Charities Trust)
- Corporate Foundation (eg Disney Foundation/ Hang Seng Bank/ Swire Trust)
- NGOs (eg Make a Wish Foundation/ St James Settlement/ HK Sheng Kung Hui Welfare Foundation/ HK Youth Federation Group/ Youth Square).
- UN Agency (eg UNICEF HK)
- Donor Advised Fund/ Philanthropic advisors / Consultants (eg AVPN/ CAPs)
- Stakeholders (eg academic/ Chicago Booth Business School)

A qualitative research design is conducted. This approach collects insights from the respondents and data collected helps develop a theory based on the 3H framework. The grounded theory research method is generated for this study – process-driven to understand the “how to” part of the research question.

3.3.4. *Data Collection Procedures*

This research deplores structured interviews as the core method for data collection. It asks open-ended questions without much structure, wanting to listen to the participants and shape the questions after I ‘explore’ by talking with a few individuals. Focus group is also conducted. It targets to invite more than 50 participants for these in-depth interviews. Interviewees are professional practitioners from the philanthropic or charitable sector such as foundations (private/corporate/family), funders, grant-makers, donors advised fund, charitable trusts, NGOs leadership, academia and other relevant stakeholders from the sector. I will also include the beneficiaries into this sample. (See Figure 17)

Purposeful sampling, snowball sampling and theoretical sampling are used throughout the study. For snowball sampling, an initial group of participants are selected from philanthropic foundations. After being interviewed, these respondents are asked to identify others who belong to the target sector or players in the learning community or ecosystem. Subsequent respondents are selected based on the referrals. Access to documents, giving records, public records of archival materials from interviewees will be sought for triangulation, though they may not be always available. Field notes, journals, articles, documents, artifacts, publications and observations are used for reflexivity, self-reflection and bias, if any. This report uses a synchronic approach and will move in a logical sequence from sector to sector without armature of time. (Savelyeva, 2021, Lecture 4) The study explores key features of the grounded theory approach such as memoing and axial coding. (Figures 18 and 19). New and emergent sources will be considered. The backbone of qualitative research is extensive collection of data, typically from multiple sources of information.

After organising and storing of data, masking the names of respondents are necessary and engaging in the ‘perplexing’ exercise of trying to make sense of the data. (Caswell & Poth, 2018). Analysis of the qualitative data will be conducted inductively from particulars to more general perspective, whether these perspectives are called codes, categories, themes or dimensions.

3.3.5. Ethical Procedures

The research takes note of potential ethical issues related to qualitative research. For example, the structured interviews ensure the privacy right of all respondents and all necessary consent are duly sought. The comfort level of the respondents are fully addressed in interviews. Video or audio taping are only pursued subject to the prior knowledge and full consent of the respondents. If debriefing sessions are conducted, respondents are informed about the objective, purpose and given opportunities to ask all questions, just to name a few. Ethical considerations occur at all the stages of the whole qualitative research process. Lastly, the quality criteria for qualitative research are fundamental for this paper and all key elements, such as trustworthiness, credibility, transferability, dependability and authenticity, are deployed to establish the research rigor for this study.

5 Significance of the Study

This research contributes to a more in-depth understanding of existing evaluation framework for philanthropic foundations. It develops an understanding of the evaluation process and theorise the ‘3H’ framework for foundations. This conceptual framework provides a holistic framework to evaluate the capabilities of the grantees/NGOs and enhances the effectiveness and efficiencies of the charitable projects. Existing evaluation frameworks are helpful to measure social impacts of projects but a more holistic framework will further enhance the evaluation process. It also analyses the strategic generation and development process of the charitable organization using existing models such as PESTEL, Porter’s 5 Forces, SWOT and balanced scorecard approach.

This research also reviews relevant existing literature on the topic. Academic literature that directly links evaluation process to philanthropic foundations in Hong Kong is almost non-existent. This particular gap in research literature is explored and investigated. (See Appendix 3)

6 Role of Researcher

As the researcher of this study, I am an experienced charities’ professional and have been working in the philanthropic sector since 2000s in various capacities, including general management, governance, risk analysis, issues management, fundraising, development, communications and policy advocacy. Currently, I am working in the

communications field at the largest charitable trust in Hong Kong. Based on the preceding experiences, I may not be totally unbiased in observations about various issues that make up the objective of this research. However, this potential or probable researcher bias are managed or mitigated by the fact that I have assumed a wide variety of roles in the management and business sectors as well. This background helps strike a balance between various perspectives and is an additional advantage for my research especially we have to see through the theoretical lens of ‘heart-head-hand’ framework and interpretative frameworks from a practitioner’s perspective.

Moreover, my previous experiences equips this study with a ‘holistic view’, this extra 4th H is the basic foundation of the 3H framework. It is the view of the researcher that we also evaluate the organisation from an external perspective through a holistic view as well, ie an *outside in* approach. For example, the charitable organization has to manage the political, social, economic and legal challenges well in order to enhance the effectiveness of the projects (ie PESTEL model). They cannot just focus internally and neglect the external environments. Philanthropic foundation has to embed this holistic perspective as part of their evaluation process.

7 Limitations

This study aims to review the strategic funding framework for foundations. The basic purpose of this paper is to develop an understanding of the existing evaluation framework for philanthropic foundations. Its intended finding is to develop a new theory for the sector if the 3H conceptual framework can actually provide an alternative funding evaluation framework.

This provides a holistic perspective to evaluate the capacities and competencies of NGOs/ grantees. If *more* capable organisations can be identified, the projects could create *more* social benefits for the community in Hong Kong. This will maximise the impacts of our donation which has always been the goal for most philanthropic foundation or funders. This is the ultimate strength of this study.

However, this study are only carried out in the context of Hong Kong and the sample base are also limited to the philanthropic foundations and NGOs locally. More research work can be considered for other countries (especially Asian countries) by

leveraging this funding framework or this mind-set of reasoning and theory of evaluation. For example, the cultural dimension of philanthropy is always be a research area of interest. Is there any difference between East and West in doing philanthropy? Is there any cultural difference in the funding evaluation mind-set or framework between different countries? While adopting or adapting Western concepts or values in philanthropy, ethnic Chinese families and individuals are noting differences and challenges. (Harper, 2020, p.141) “In addition to their own underlying values, worldviews, cultural traditions, social norms, and historical legacies, the legal or political constraints of their countries may not naturally fit with Western perspectives in philanthropy.” (Harper, 2019)

There are many research topics in the field of philanthropy which need to be further explored or studied. Is there an ‘Asian way’ to carry out philanthropy? Harper also highlights other issues or concepts in her dissertation. For example, Asian Giving face and Saving Face, Familial and Ancestral Memory, Pragmatic versus Rational, East-West values. (Harper, 2019)⁹ All foundations can do good but can also do well.

8 Expected Outcomes

“The most terrible thing about the spectacular scenes of destruction that have played out around the world over the past weeks is that there seems to be no safe place from which to observe them. The ground under the German town of Erftstadt is torn apart like tissue paper by flood waters; Lytton in British Columbia is burned from the map just a day after setting a high temperature record; cars float like dead fish through the streets-turned-canals in the Chinese city of Zhengzhou.”¹⁰ Environmental issue is just the tip of the iceberg. There are many other issues faced by our youth, elderly, special needs children and actually all segments of the population in every country, every city.

In 2020, Covid-19 has kept one third of the world population homebound during the pandemic. It is the humble wish of the student that philanthropy can play a small part to alleviate the situation slightly and they can do more good for the community.

⁹ Harper Tan Marina (2019). A friend of the researcher and she is a professional and veteran practitioner in the philanthropic sector. She is now working as a senior director for advancement at the University of California, Davis. Her PhD dissertation was completed in August 2019 with Indiana University.

¹⁰ The Economist, (24 July 2021 Edition), “No Safe Place- the extreme of flood and fires are not going away, but adaptation can lessen their impact.”

A review of foundations' funding evaluation framework helps allocate the scarce resources to respective organisation/NGOs which can demonstrate or achieve better performance and hence, create more social impacts and benefits to the community. The 3H conceptual framework is the basis of this qualitative research study and based on the field work such as structured interviews, focus group, observations and desk-top research, we aim to establish this correlation and generate a theory from the data gathered.

However, more research and studies need to be done in the future to consolidate this concept and view with more real cases which can generate another theory or model. This will benefit the philanthropic sector, not just in Hong Kong but around the world.

*One of the most valuable times to assess a grant is **before** it's made.*

*But donors- whether individuals, families or foundations-
can consider assessment at any time. As a form of due diligence
with grantee partners, it is a natural part of thoughtful, effective philanthropy.*

(Rockefeller Philanthropy Advisors, 2021)

*“Wealth is not new. Neither is charity. But the idea of using private wealth
imaginatively, constructively, and systematically to attack the fundamental problems of
mankind is new.”*

*John Gardner
(Former Carnegie Corporation president)*

(Part 3- Total words count: 4,577)

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List of Figures

Figure 1: World's Top Private Foundation or Donors List (2019/2020)

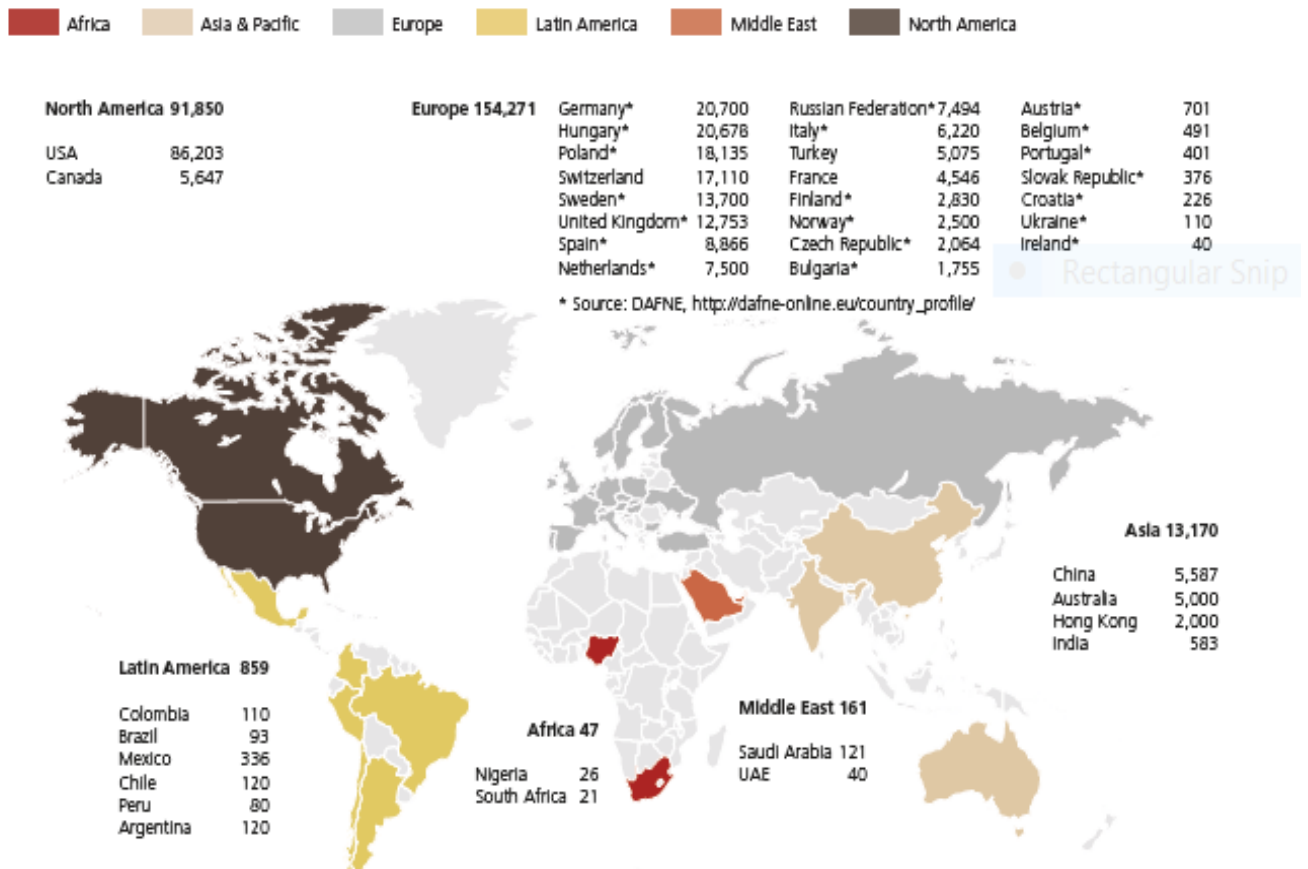
RANK	ORGANISATION (COUNTRY)	FOUNDED	\$2019/20*	% CHANGE
1.	Bill and Melinda Gates Foundation (USA)	2000	\$4.16bn	10%
2.	Wellcome Trust (UK)	1936	\$1.07bn	87%
3.	Novamedia/Postcode Lotteries (Netherlands)	1989	\$895.9m	7%
4.	Hong Kong Jockey Club (China)	1993	\$549.2m	2%
5.	Lilly Endowment (USA)	1937	\$542.8m	9%
6.	The Walton Family Foundation (USA)	1987	\$525.8m	-21%
7.	William and Flora Hewlett Foundation (USA)	1967	\$454.5m	9%
8.	The Robert Wood Johnson Foundation (USA)	1972	\$396.6m	-7%
9.	David and Lucile Packard Foundation (USA)	1964	\$333.3m	-0%
10.	Andrew W. Mellon Foundation (USA)	1969	\$313m	1%
11.	La Caixa Foundation (Spain)	1990	\$302.4m	-3%
12.	The Simons Foundation (USA)	1994	\$296m	13%
13.	Oak Foundation (Switzerland)	1983	\$294m	-18%
14.	Church Commissioners (UK)	1836	\$279.1m	183%
15.	Helmsley Trust (USA)	2011	\$279m	13%
16.	Volkswagen Foundation (Germany)	1961	\$278.9m	22%
17.	Children's Investment Fund Foundation (UK)	2002	\$254.1m	18%
18.	Aktion Mensch (Germany)	1964	\$232.6m	7%
19.	WK Kellogg Foundation (USA)	1930	\$219.8m	-36%
20.	IKEA Foundation (Sweden)	1982	\$217.2m	10%

Source: https://www.cityam.com/wp-content/uploads/2020/12/World-19_20-scaled.jpg

Figure 2: Philanthropic Foundations around the world

Foundations around the world

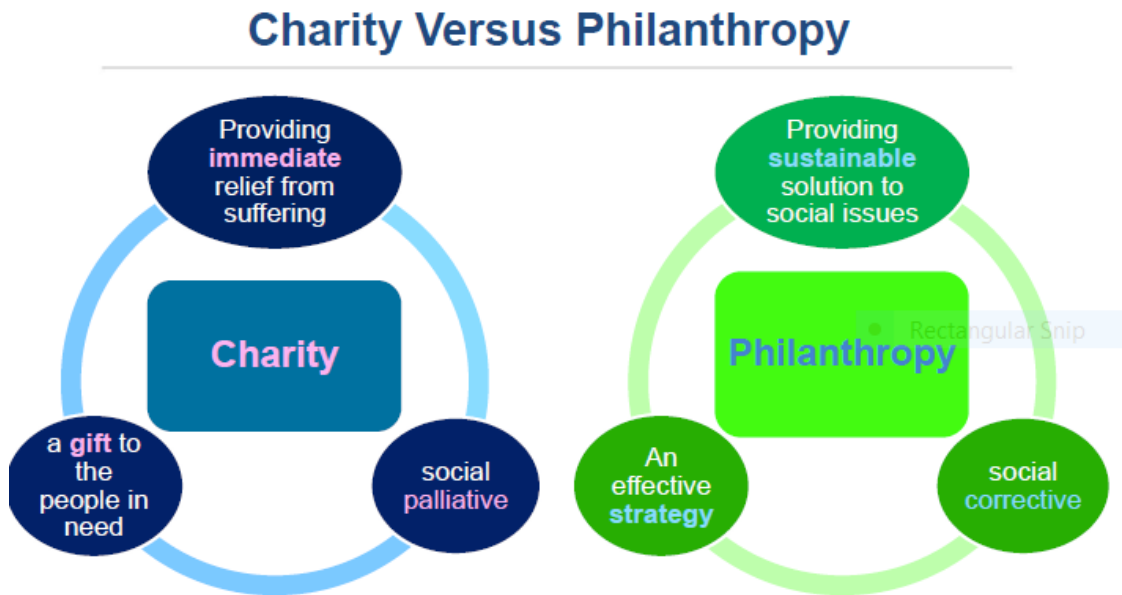
Institutional philanthropy has a global reach. 260,358 foundations in 38 countries and Hong Kong were identified, representing only a partial picture of the sector.



Source: Paula D. Johnson (Lead Author), The Global Philanthropy Report- Perspectives on the global foundation Sector, (2020), Harvard Kennedy School, Centre for Public Leadership, p.13.

https://cpl.hks.harvard.edu/files/cpl/files/global_philanthropy_report_final_april_2018.pdf

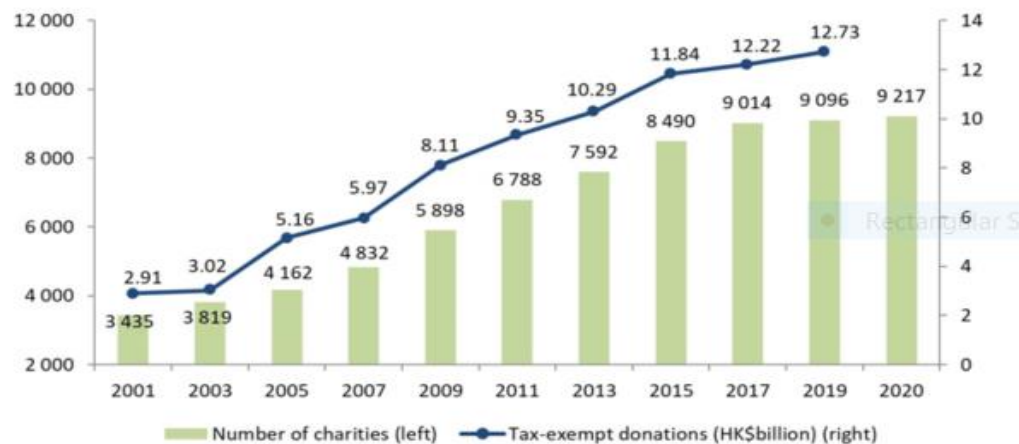
Figure 3: Comparison of Charity and Philanthropy



(Source: Laura Arrillaga-Andreessen (2011), Giving 2.0: Transform Your Giving and Our World, 1st ed., Jossey-Bass and internal document)

Figure 4: Charities and tax exempt donations in Hong Kong (2020)

Figure 1 - Charities and tax-exempt donations in Hong Kong ^{(1), (2)}



Notes: (1) Including donations exempted from salary tax, profits tax and personal assessment since 2003. For 2001, the figure only includes exemptions from the first two types of tax.

(2) As at 31 March each year.

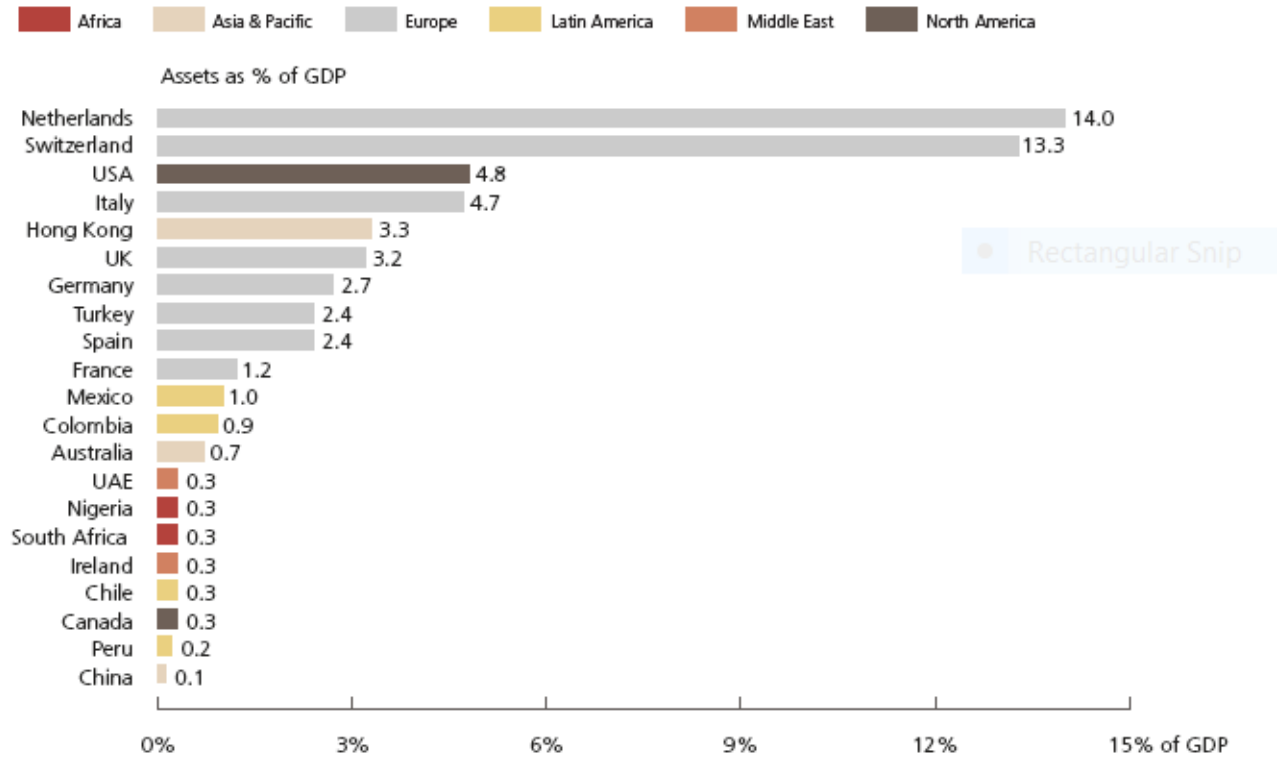
Source: Inland Revenue Department.

(Source: Hong Kong Inland Revenue Department.)

Figure 5: Assets as proportion of GDP – by Country and Hong Kong

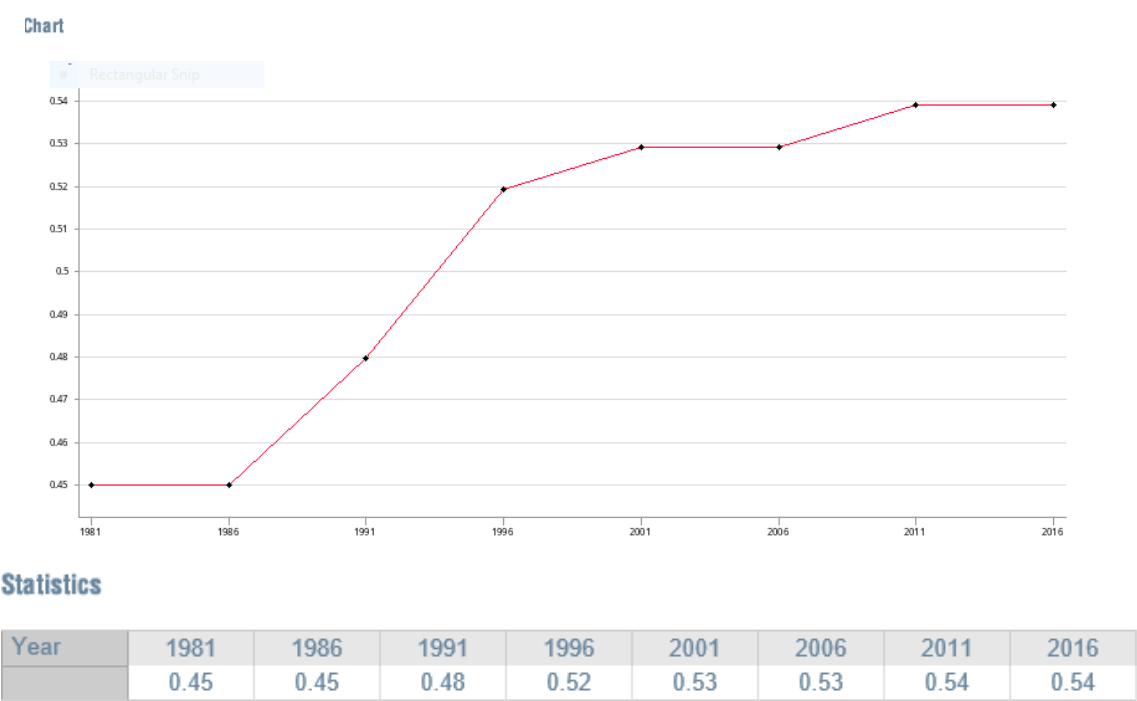
Assets as proportion of GDP

Two countries report philanthropic assets topping 10% of GDP. In eight additional geographies, the percentage of assets to GDP is between 1% and 5%.



(Source: Johnson, 2020)

Figure 6: Gini Coefficient in Hong Kong (1981-2016)



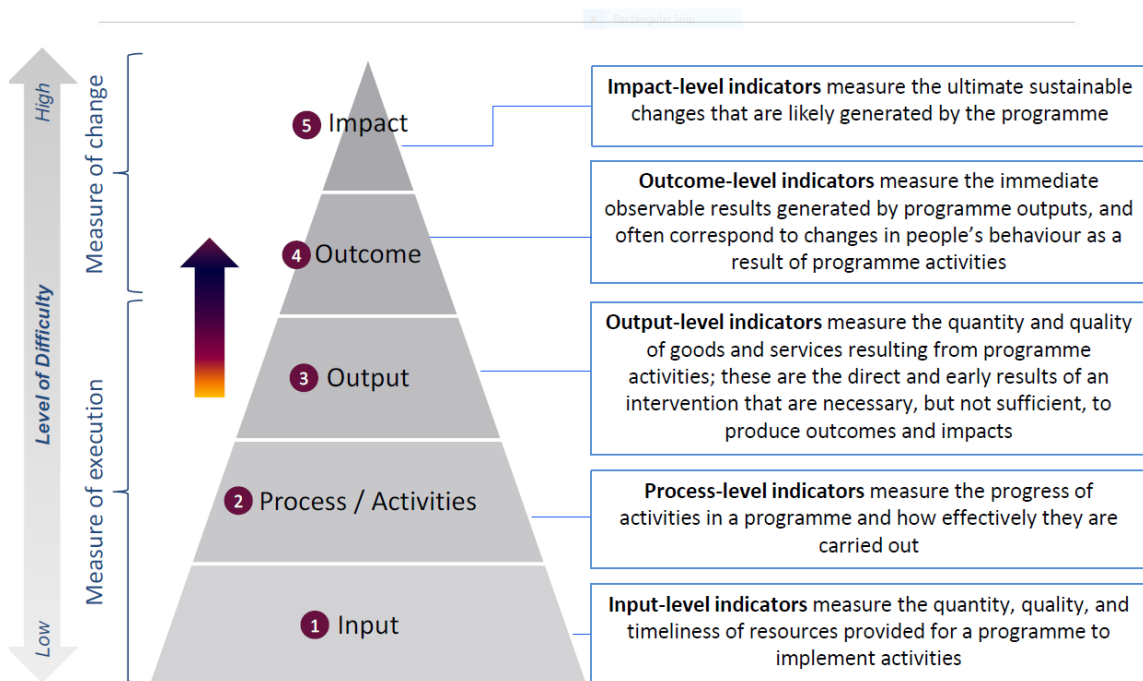
Footnote

All figures are collected from Census and Statistics Department since 1981.

(Source: HK Census and Statistics Dept.)

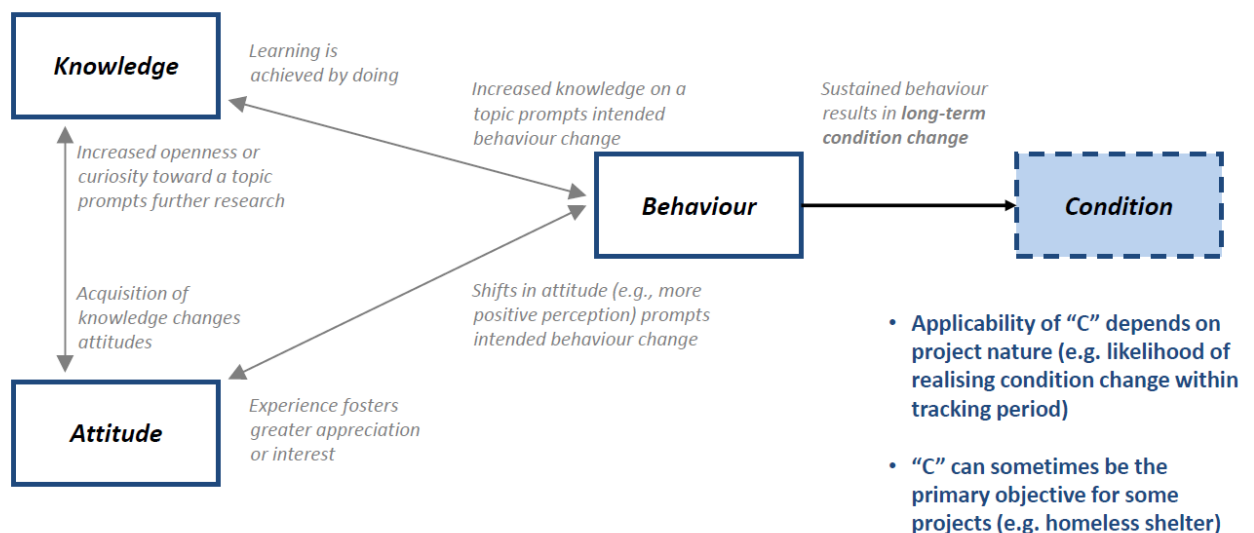
Figures 7: Evaluation Models Commonly used by the philanthropic sector

7.1 Case Sample- Project monitoring and evaluation hierarchy used by philanthropic funder



(Source: HKJC's presentation to HKCSS)

7.2 Outcome Indicator Framework BACK(S)- target key drivers of behavioral changes



(Source: HKJC presentation to HKCSS)

7.3 BACKS Indicators

Case Sample: BACKS indicators can apply to the evaluation of charities projects

	Youth	Elderly	Sports & Recreation	Arts, Culture & Heritage	Education & Training	Medical & Health	Rehab. Services	Family Services	Environmental Protection
Behaviour	% increase in beneficiaries who demonstrate the intended behavioural change								
	% increase in average amount of time beneficiaries spend on the intended behaviour								
Attitude	% increase in beneficiaries who express confidence in themselves or in their abilities								
	% increase in beneficiaries who express an interest, desire, or motivation toward an activity								
	% increase in beneficiaries who express an intended change in perception								
Condition	% of beneficiaries whose circumstances has changed as a result of the project								
	% of beneficiaries whose status has changed as a result of the project								
Knowledge	% increase in beneficiaries who can accurately articulate key information about a topic								
	% increase in beneficiaries who have acquired a new skill at a proficient level								
	% increase in beneficiaries with enhanced capacity or capabilities								

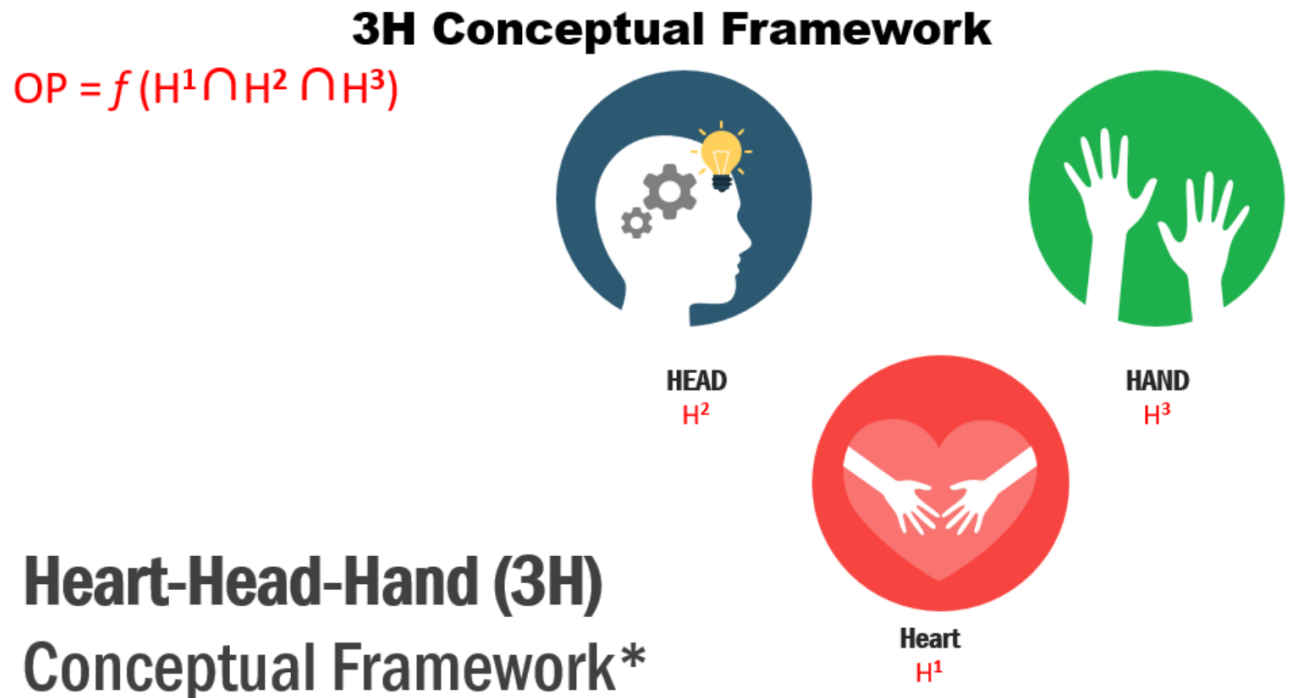
(Source: HKJC presentation to HKCSS)

7.4 “K-A-B” of “K-A-P” Framework used in Social Science

Presentation Source: HK Council of Social Science, Presentation made by HK Jockey Club Charities Trust to HKCSS (2017)

http://ebp.hkcss.org.hk/ppt/conference/2017_1/Session3/Bryan_and_Ada.pdf

Figure 8: 3H Conceptual Framework for our research to review the funding evaluation framework for philanthropic foundations



Source: Yu, E. (2021), Seminar Day 1, Vision for the Futures, HKBM 7006, Lecture Notes, UWTSO, Delivered on 19 & 20 June 2021

3H Framework:	Organisaton performance, the <i>dependent variable</i> , is a function of the complements among <i>Heart (H1)</i> , <i>Head (H2)</i> and <i>Hand (H3)</i> independent variables of that foundation. $OP = f(H^1 \cap H^2 \cap H^3)$	
Description:	3H domains is hypothesised positively correlated with the organisational / foundation performance.	
 Heart	The EMOTIONS about why the people are important for performance & the future.	H^1 = Heart domain (people related: emotional appeal, leading, motivating and engaging people abilities)
 Head	The LOGIC about why the strategic planning etc are needed.	H^2 = Head domain (strategic, organisation and business model related: logical & strategic planning, organisational design, cognitive abilities)
 Hand	KNOWLEDGE of what to do to support the performance	H^3 = Hand domain (task-oriented issues and competence related: operational/functional skills & abilities).

Figure 9: A Challenge Statement for this Research paper

A Research Brief (Challenge Statement)

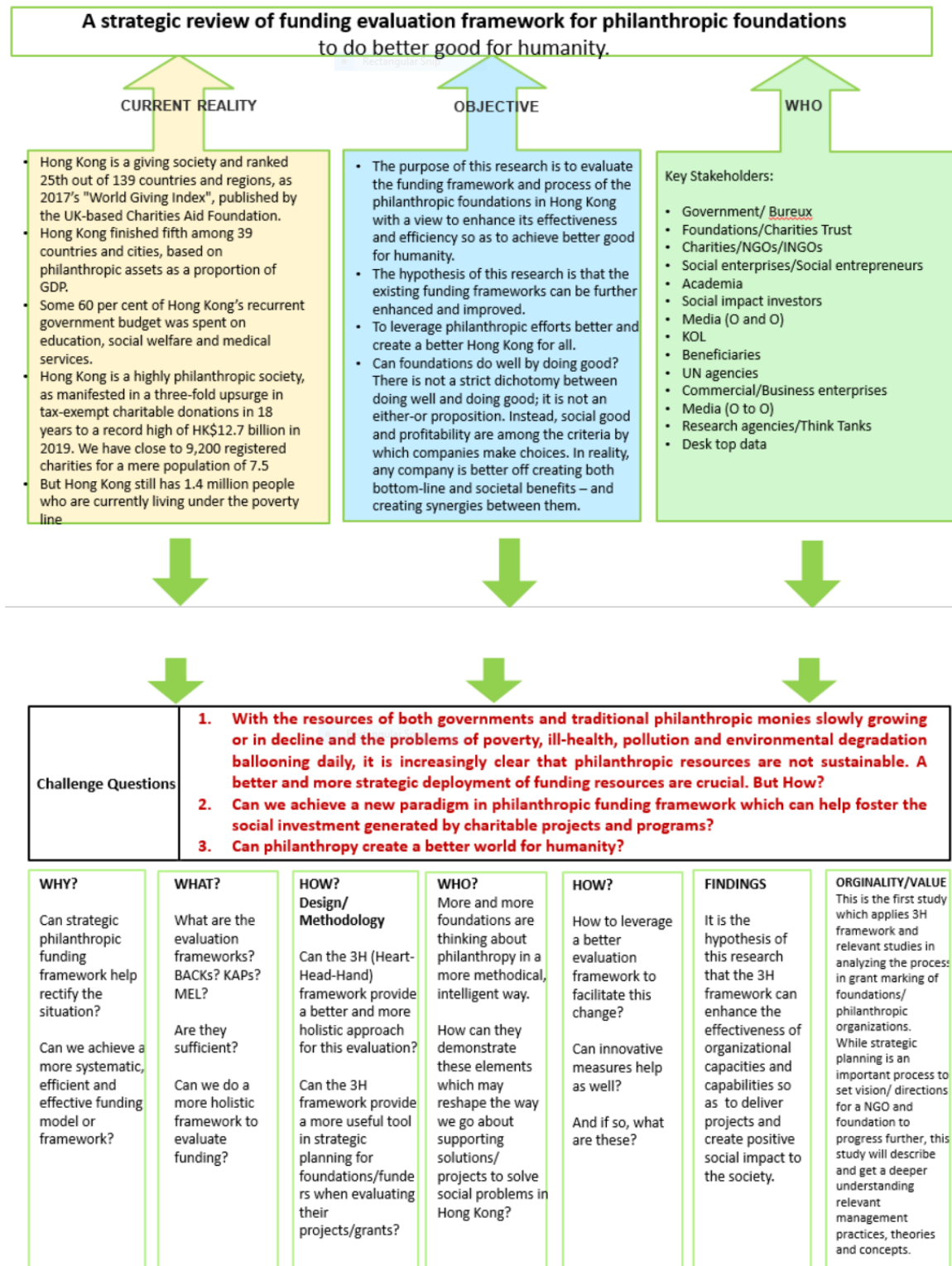
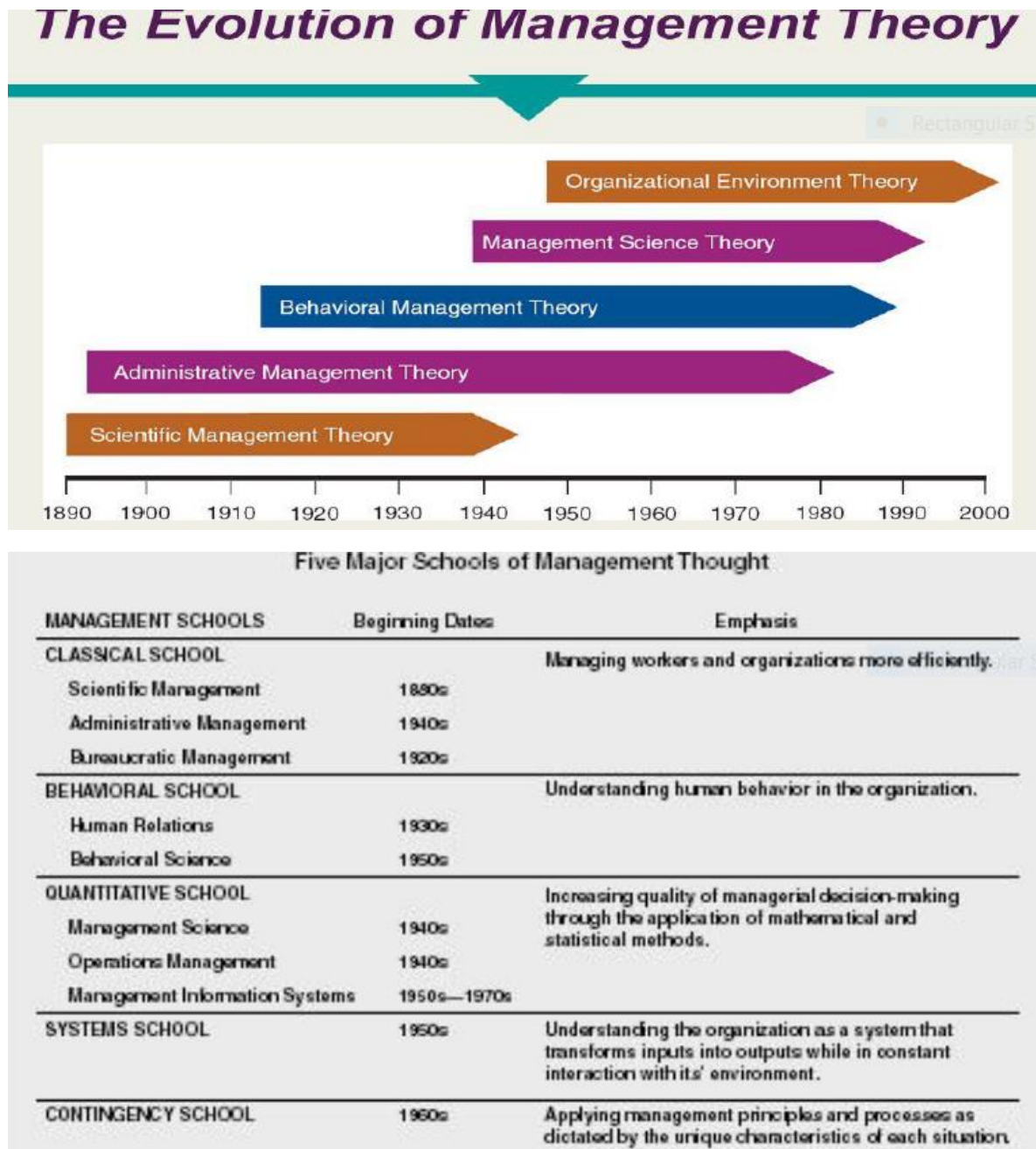


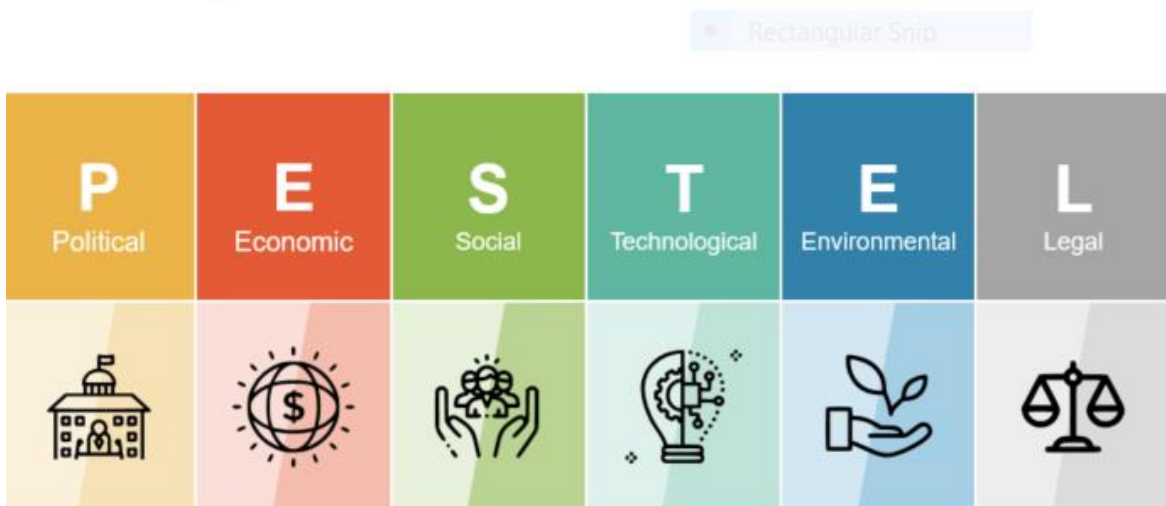
Figure 12: The Evolution of Management Theory



(Source: Yu E, 2021, Lecture Notes, p.7-8)

Figure 13: PESTEL and SWOT for Foundations

PESTEL Objective



SWOT Analysis

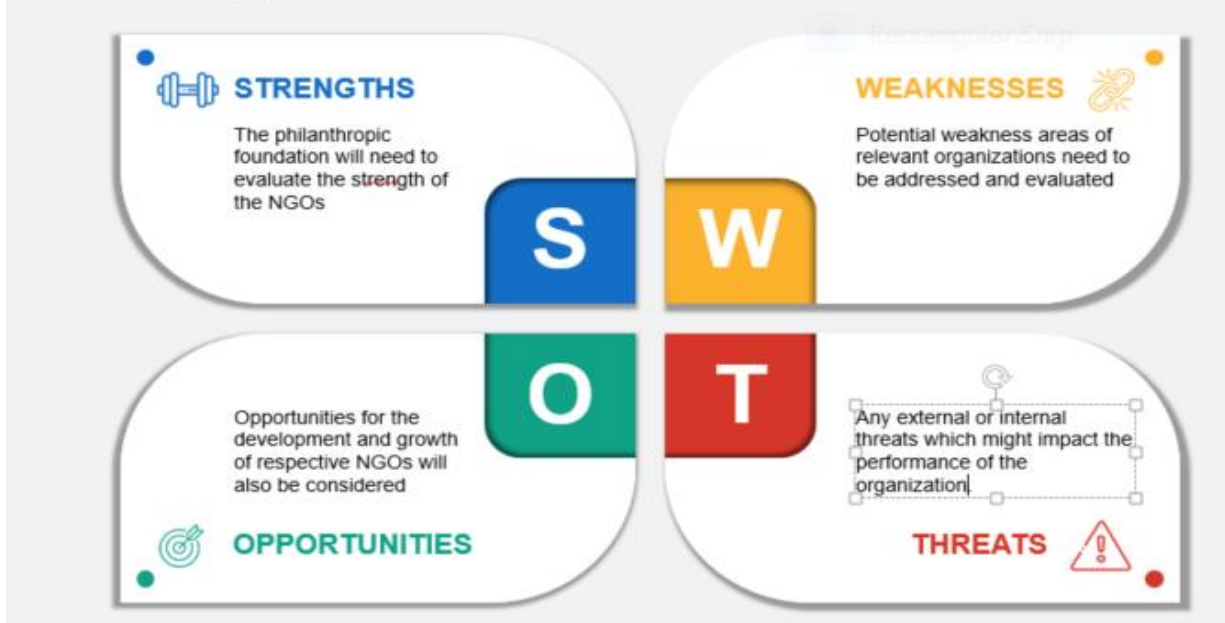
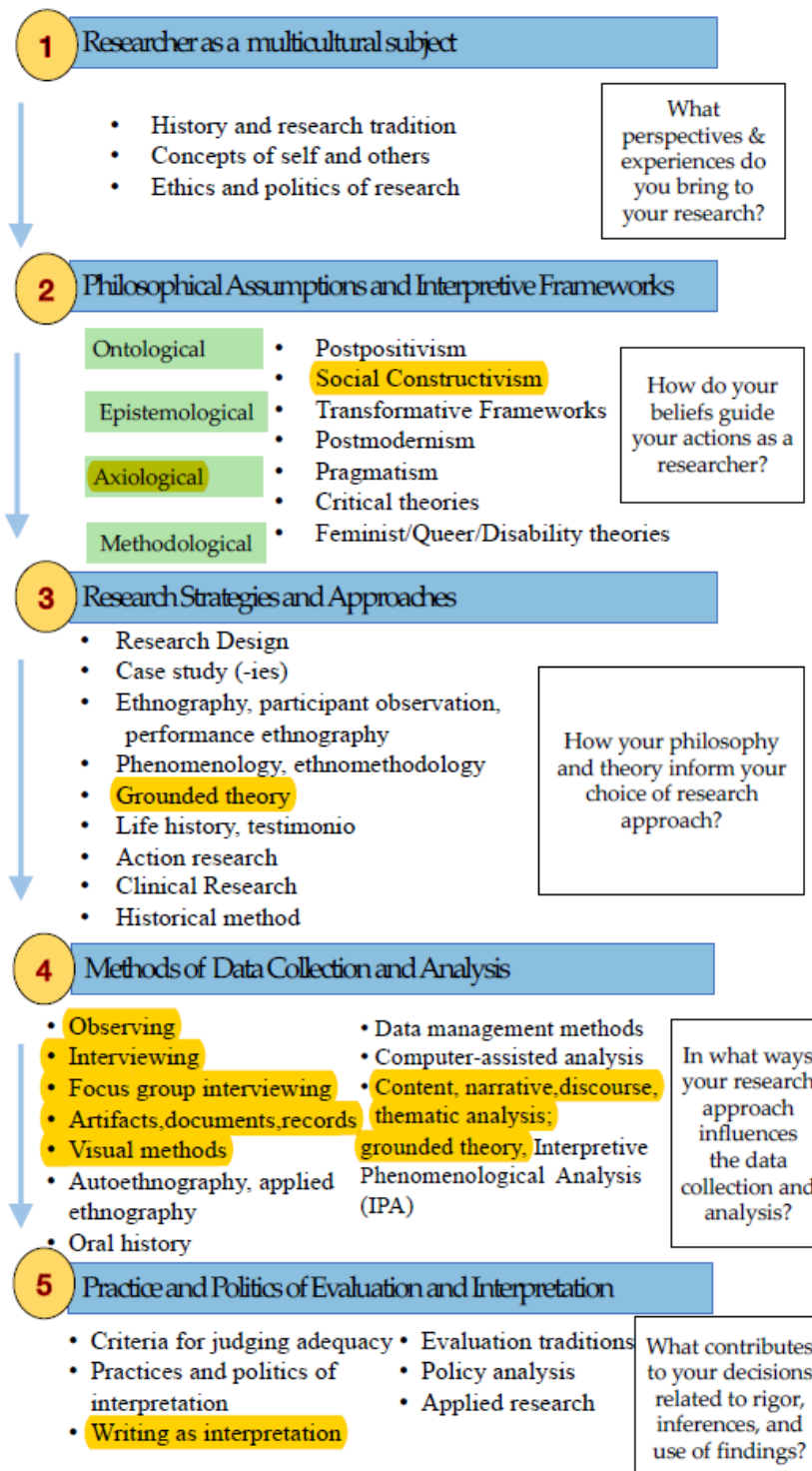
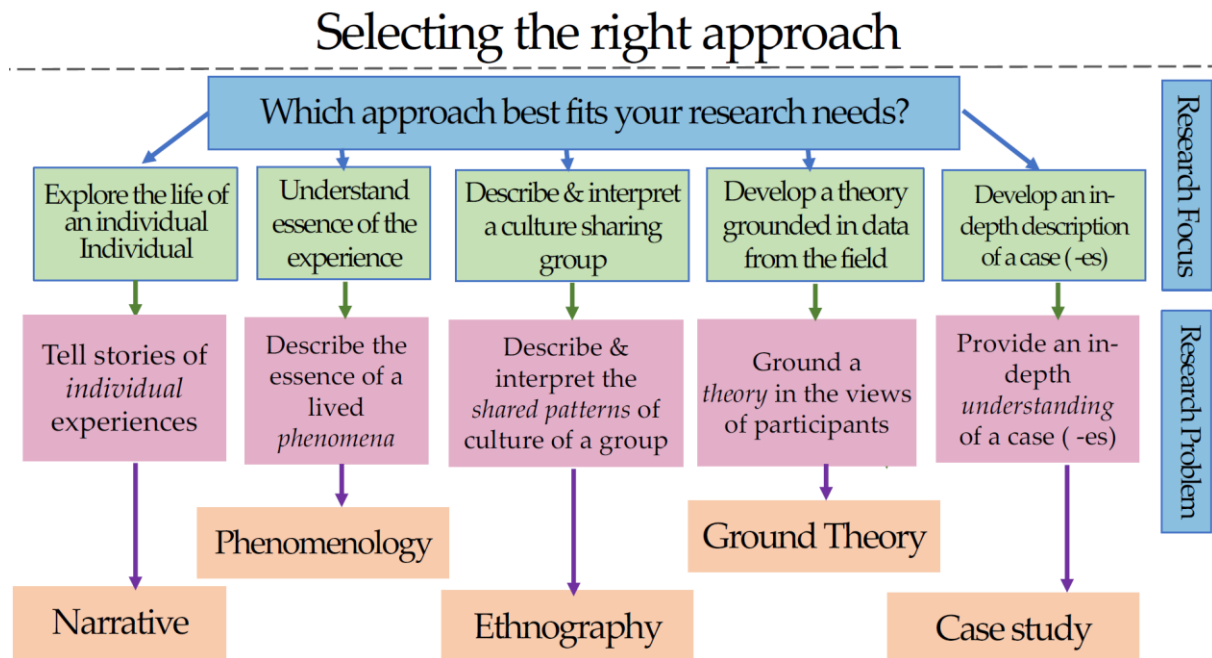


Figure 14.1 Situating Philosophy and Interpretive Frameworks within the Research Process for this Study (highlighted in yellow)



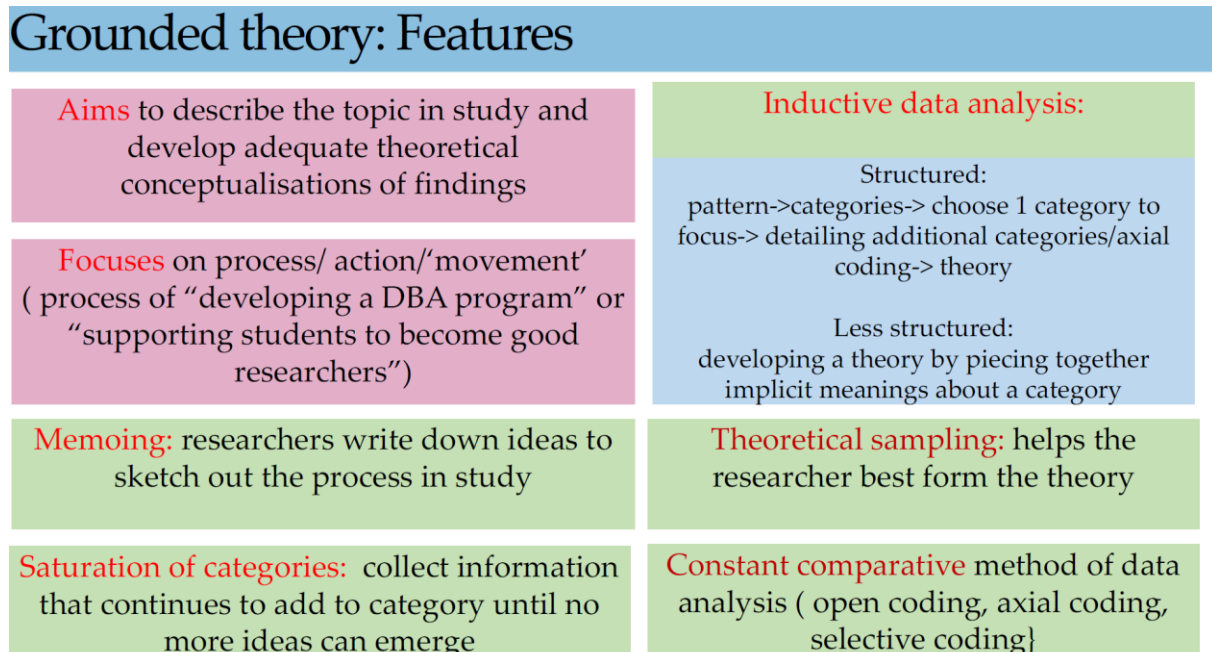
Source: Savelyeva, T (2021), Lecture 1

Figure 15: Selecting the right qualitative research approach



Source: Savelyeva, T (2021), Lecture 2, p.34

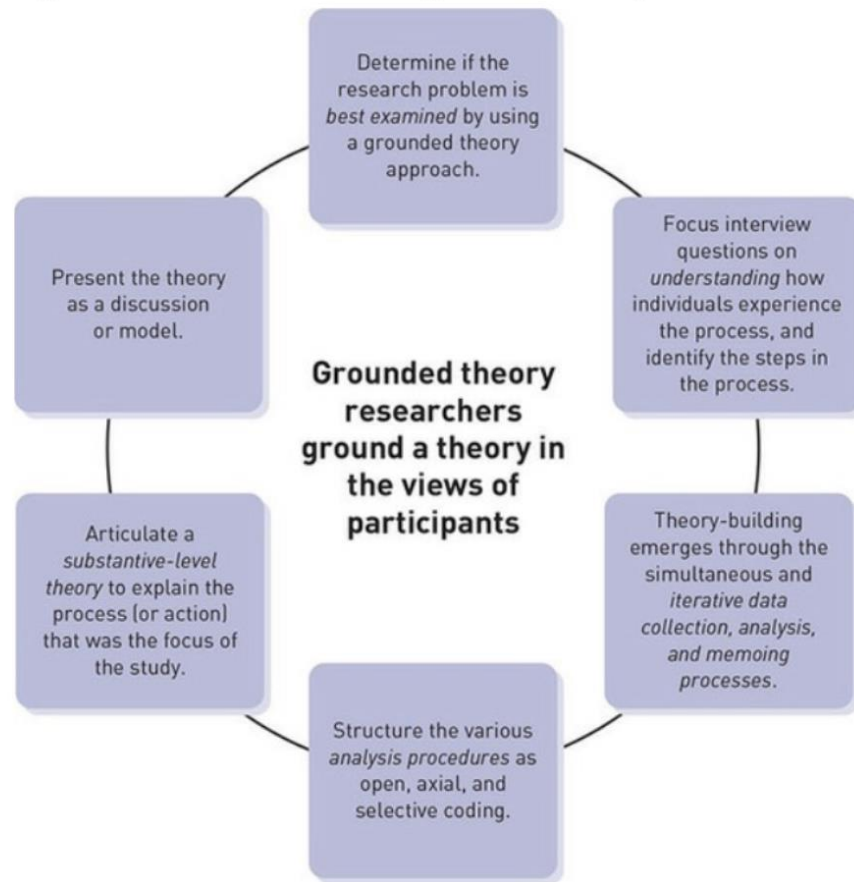
Figure 18: Grounded Theory – Features



Source: Savelyeva, T (2021), Lecture 2, p.52

Figure 19: Procedures for Conducting Grounded Theory research

Figure 4.4 Procedures for Conducting Grounded Theory Research



p. 140

Source: Savelyeva, T (2021), Lecture 2, p.52 & Caswell & Poth (2018), p.140

Appendices:

Appendix 1: Interview Questions for Pilot Study

Interview Questions Evaluation Framework for Philanthropic Foundations/Organizations

Target respondents: CEO/ Senior management / Grant making executives/ Evaluation Head of HK-based foundations or NGOs (grantees) or advisors/consultant/field experts that primarily serve the Hong Kong community.

Duration: 15-20 mins.

Numbers of Questions: 33

Method: Link provided to invitees and survey formulated on SurveyMonkey software.

Numbers of invited participants: 30

Numbers of responses: 25

Response Rate: 83%

	Questions	Answers
	(I) Foundation Characteristics	
1	Please specify the sector or area of interest that best describes the work/projects done by your Foundation/Organization?	a. Youth b. Elderly c. Sports d. Arts, Culture & Heritage e. Education f. Medical & Health g. Family Services h. Environment i. Mental Wellness j. Poverty Alleviation k. All of the above l. Other, please specify (Free text)
2	What is the annual giving of your foundation? (HK\$)	- < \$ 10m - \$10-100m - >\$100m - Other, please specify (Free text) - Cannot say
3	How many staff do you have in your foundation/ organization?	a. Less than 10 b. 11-50 c. 51-100 d. 101-500 e. Other (Please specify)
4	Which of the followings is your foundation's biggest source of income/funds?	f. Individual(s) g. Family h. Corporates

		i. Government j. Institutional funding k. Other funding sources, please specify: _____ l. Cannot say
5	Which of the following change happened in your foundation during the last 3 years?	- Organization-wide strategic planning or strategy afresh - Organization or staff restructuring - Change in priority issues within program areas - Change in grant-making system or process - Change in evaluation system or funding framework - Change in program areas - CEO transition - Change in Board Composition - Change in mission Other, please specify (Free text)
	(III) Organizing/ Responsibilities for Evaluation	
6	Does your organization have an "evaluation officer" (or person / team dedicated to impact measurement or research)?	Yes No
7	Who is primarily responsible for evaluation work in your foundation/organization?	a. Service team / programme staff b. Senior management (Executive and Service Heads) c. Grant-making staff d. Evaluation staff e. Administrative staff f. Board of directors g. Finance staff h. No one in the organization i. Other, please specify (free text)"
8	For (6) above, do the staff also have programmatic grant making responsibilities?	Yes No
9	Do you have staff who were responsible for supporting /learning separate from evaluation?	Yes No
	(IV) Evaluation Framework	
10	Do you evaluate the organizational capacities of your potential grantees such as NGOs?	Yes No
11	If Yes ,	- Vision and mission

	Please choose the areas which you will focus on or interested in related to your grantees?	-Organizational design -Organizational structure -Strategic management capacities -Strategic planning process -Annual planning policies -Management planning & control -Risk management capacities -Other, please specify (Free text)
12	Do you evaluate the leadership/staff competencies or organizational culture of your potential grantees eg NGOs?	Yes No
13	If Yes , Please choose the areas which you will focus on or interested in related to the grantees?	- Organizational behavior (eg focus on staff motivation, emotion, commitment, engagement, satisfaction, loyalty, trust) -Organizational culture/ core values - Leadership abilities or capacities - Leadership values - Collaboration - Respect for people - Staff empowerment /accountability - Agility or resilience -Other, please specify (Free text):
14	Do you evaluate the operational competencies or capacities of your potential grantees eg NGOs?	Yes No
15	If Yes, please choose the areas which you will focus on or interested in related to the grantees?	- Operational readiness - HR function / staff capacities - Finance or IT abilities - Management processes & systems - Established organizational processes, policies and procedures - Legal Compliances - Crisis management or emergency preparedness - Past successful projects for references - Other, please specify (free text):

16	How commonly is Impact Measurement applied in your Foundation to evaluate the effectiveness of your donations (inc work and project)?	a. We measure the outcome or impact of our donation for a small proportion of our projects / activities b. We measure the outcome or impact of our donation for about half of our projects / activities c. We measure the outcome or impact of our donation for all or nearly all of our projects / activities d. We do not measure the outcome or impact of our donation
17	Has the amount of effort your foundation puts into measuring its impact changed during the last five years?	a. Yes, we do more b. Yes, we do less c. No
	If selected Yes, we do more: (Q17)	
18	What were the main reasons for this increase? (You may select up to 3)	a. A change in requirements b. Impact measurement prioritized by board / senior management c. Hired someone with programme evaluation/impact measurement skills d. Wanted to be more efficient / keep up with best practice f. Wanted to know the difference our projects/programs were making g. Wanted to improve the effectiveness of our donations h. Wanted to improve the management quality of our foundation and get things done more effectively and efficiently h. Other, please specify (free text)
	If Selected Yes, we do less (Q17)	
19	What was the main reason for this decrease?	a. A change in foundation's requirements b. No longer had the knowledge / staff to measure c. Reduction in related funding d. Change in priority in the foundation/organisation e. Did not see the value of impact measurement or evaluation f. Other, please specify (free text)

20	How did your organisation/foundation collect information about its projects / activities in the last year? (You may select all that apply)	a. Recorded outputs b. Recorded outcomes and impact c. Used case studies or interviews d. Used focus groups e. Used customer or user satisfaction forms f. Used questionnaires or surveys designed by your organisation g. Used standardised questions developed and tested by researchers or professional bodies h. None i. Other, please specify (free text)
21	Which, if any, of the project planning models below has your foundation/ organisation used? (You may select all that apply)	a. Logic model / logical frame b. Theory of change c. Do not use any models like these d. Don't know
22	Has your Foundation/ organisation used any of the following evaluation practices? (You may select all that apply)	a. Pre- and Post- measurements (before and after measures) with programme participants only b. Studies with control groups c. Long-term follow-up of service users after they have stopped using the services provided by your organisation d. Randomised control trials e. Economic evaluation (e.g., SROI or cost-benefit analysis) f. None g. Others, please specify (free text)
	(V) Benefits of Evaluation	
23	Has measuring your foundation's /organisation's impact led to any of the following benefits? (You may select all that apply)	a. More effective allocation of spending and resources for our foundation b. Improved services and practices c. Increased donation d. Changes in strategy e. More effective partnerships with other organisations/ grantees f. Increased publicity and communication (including with policymakers, grantees etc.) g. None h. Other, please specify (free text)

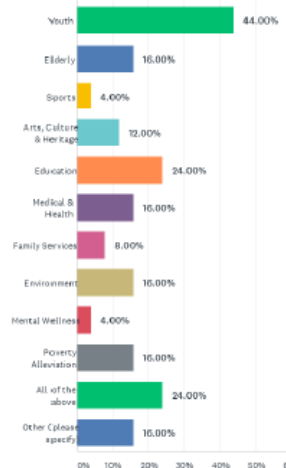
24	How did your foundation/ organisation use results from impact measurement in the last year? (You may select all that apply)	a. Internal learning activities (e.g., project progress meetings, sharing across service teams, post action review, etc.) b. Presentation or report to stakeholders (eg Board/ founders/ donors) c. Publicity / promotional activities or materials d. Presentation or sharing with other foundations or grantees e. Other external communications (e.g., annual report, website, etc.) f. Academic publications g. Other, please specify (free text)
25	Who would you say is the primary audience(s) for your foundation's/organisation's impact measurement results?	a. Board of directors b. Senior management c. Grantees d. Internal staff (in your own foundation) e. Peer organisations (other foundations) f. Policymakers (incl. government) g. NGOs/ Service deliveries organisations h. Other, please specify (free text)
	(VI) Importance and Readiness	
	For each statement below, please say the extent to which you agree or disagree:	5 - Strongly agree 4 - Agree 3 - Neutral 2 - Disagree 1 - Strongly disagree
26	Impact measurement and evaluation framework can make foundations/ organizations more effective & efficient.	
27	There is a pressing need to build sector capacity and strengthen the evaluation methods/framework for philanthropic foundations and/or NGOs in HK.	
28	A good management in philanthropic foundation is both an art and science of getting things done effectively and efficiently through people and other required resources guided by strategic and operational capabilities of the organization.	

29	Competent strategists in foundation are required to adopt a holistic manner to envision the overall business environment and social trends, identify opportunities, foresee challenges and threats as well as to effectively respond faster than others in order to address the social needs.	
30	Making money is far easier than giving it away effectively. In business, you go after the low-hanging fruit, whereas in philanthropy you are trying to tackle problems that are inherently difficult and long term.	
31	Philanthropic Foundations always have genuine motives for giving, but people too often let their philanthropy be guided by their hearts alone. Deciding what you will do to make change happen is a strategic choice and a holistic view that requires your head, your heart and your hand.	
32	Foundations and charities are learning, if you want to do good, you have to do well. You have to work just as hard at giving away money as you do at making it.	
	(VII) Recommendation	
33	What additional suggestions do you have for strengthening evaluation practices among foundations/funders in Hong Kong?	Free Text

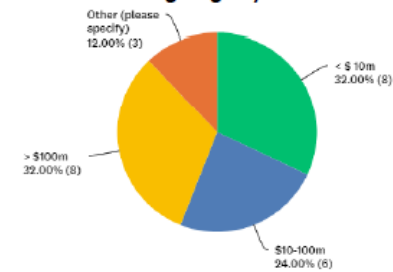
Appendix 2: Topline Results for Pilot Study

Appendix 2: Pilot Survey Findings Foundation Characteristics

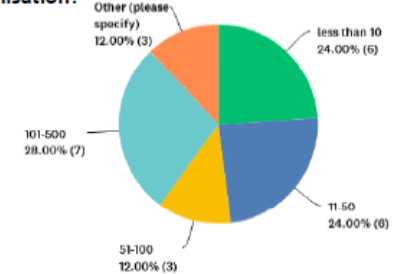
Q1: Please specify the sector or area of interest that best describes the work/projects done by your Foundation / Organisation?



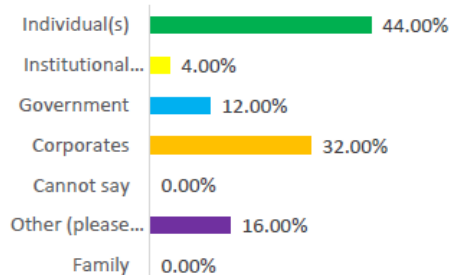
Q2: What is the annual giving of your foundation? (HK\$)



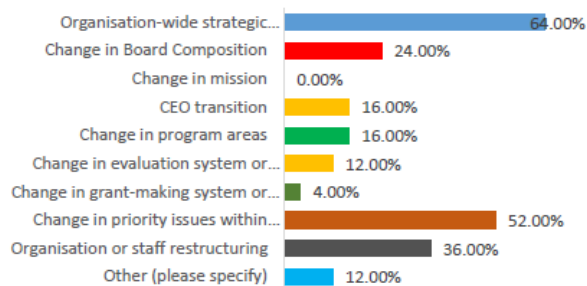
Q3: How many staff do you have in your Foundation / Organisation?



Q4: Which of the following(s) is your Foundation's biggest source of income/funds?

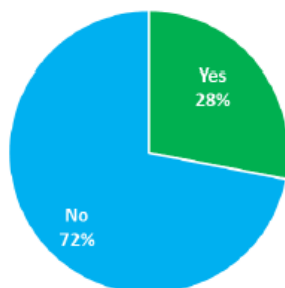


Q5: Which of the following(s) change(s) happened in your Foundation during the last 3 years?

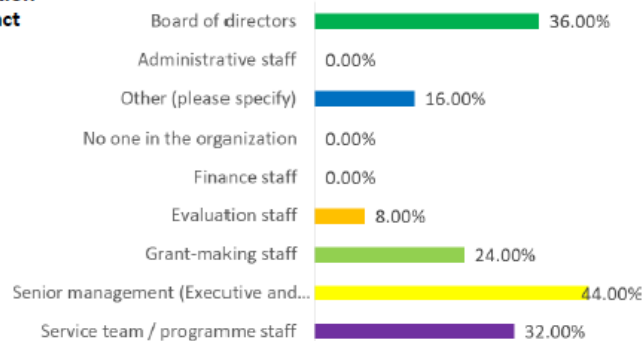


Organizing/ Responsibilities for Evaluation

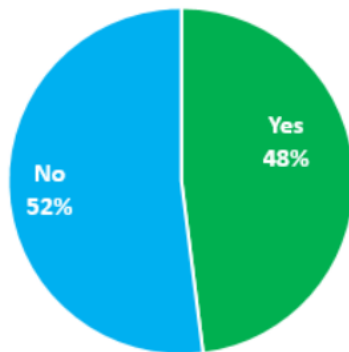
Q6: Does your organisation have an "evaluation officer" (or person / team dedicated to impact measurement or research)?



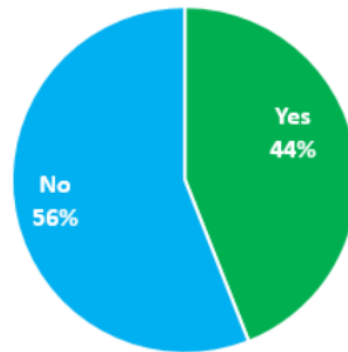
Q7: Who is primarily responsible for evaluation work in your Foundation / Organisation?



Q8: For (7) above, do the staffs also have programmatic grant making responsibilities?

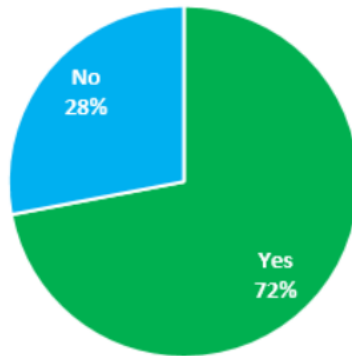


Q9: Do you have staffs who were responsible for supporting / learning separate from evaluation?



Evaluation Framework

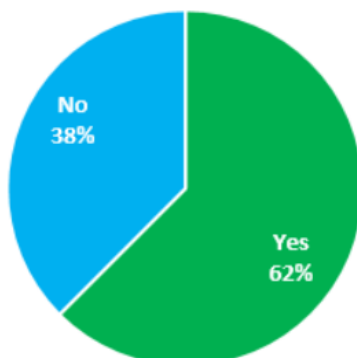
Q10: Do you evaluate the organizational capacities of your potential grantees such as NGOs?



Q11: Please choose the areas which you will focus on or interested in related to your grantees?



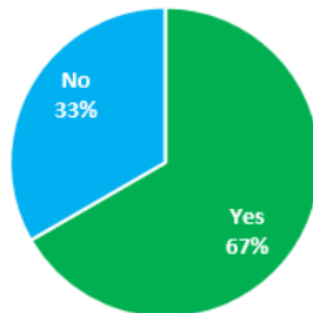
Q12: Do you evaluate the leadership/staff competencies or organisational culture of your potential grantees e.g. NGOs?



Q13: Please choose the areas which you will focus on or interested in related to the grantees?



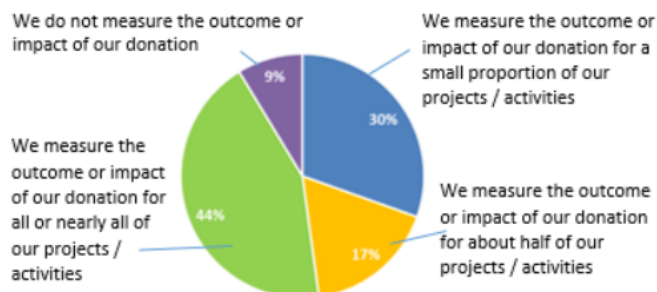
Q14: Do you evaluate the operational competencies or capacities of your potential grantees e.g. NGOs?



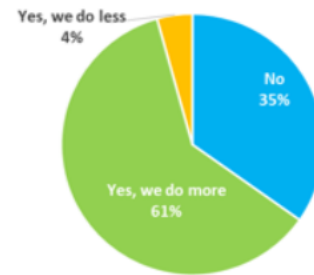
Q15: Please choose the areas which you will focus on or interested in related to the grantees?



Q16: How commonly is Impact Measurement applied in your Foundation to evaluate the effectiveness of your donations (inc work and project)?



Q17: Has the amount of effort your foundation puts into measuring its impact changed during the last five years?

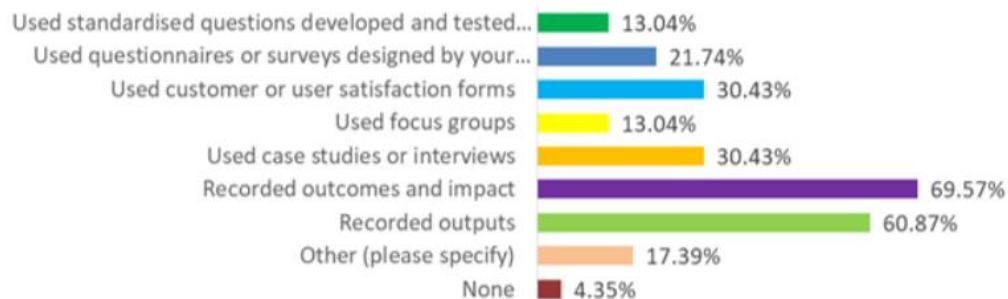


Q18: What's the main reason for this increase?

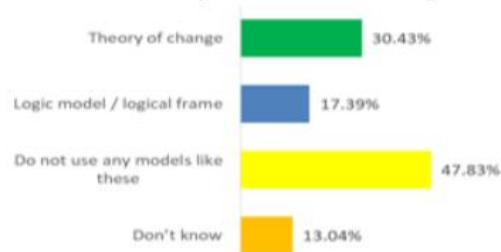


Q19: What's the main reason for this decrease? Answered: 1 A change in foundation's requirements

Q20: How did your Foundation / Organisation collect information about its projects / activities in the last year?



Q21: Which, if any, of the project planning models below has your Foundation / Organisation used?

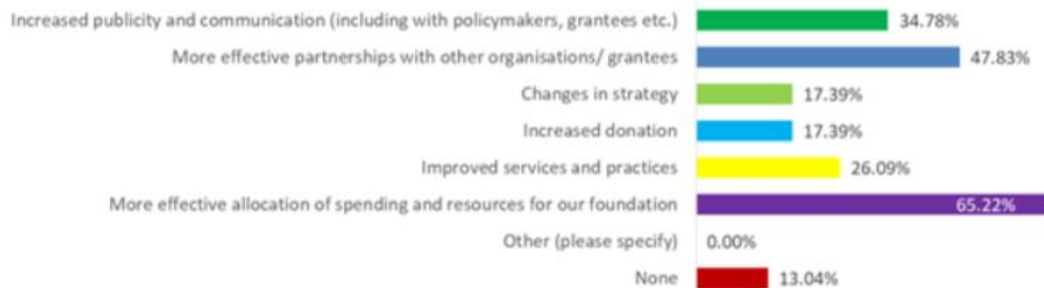


Q22: Has your Foundation/ organisation used any of the following evaluation practices?



Benefits of Evaluation

Q23: Has measuring your Foundation's / Organisation's impact led to any of the following benefits?



Q24: How did your Foundation / Organisation use results from impact measurement in the last year?

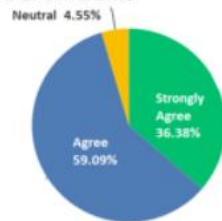


Q25: Who would you say is the primary audience(s) for your Foundation's / Organisation's impact measurement results?

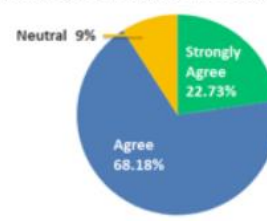


Importance and Readiness

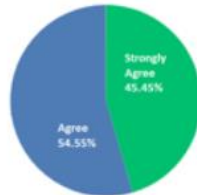
Q26: Impact measurement and evaluation framework can make foundations / organisations more effective & efficient.



Q27: There is a pressing need to build sector capacity and strengthen the evaluation methods / framework for philanthropic foundations and/or NGOs in HK.



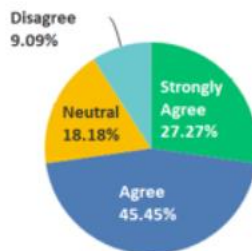
Q28: A good management in philanthropic foundation is both an art and science of getting things done effectively and efficiently through people and other required resources guided by strategic and operational capabilities of the organisation



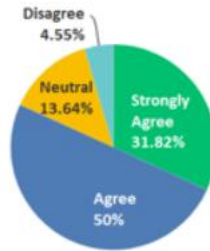
Q29: Competent strategists in foundation are required to adopt a holistic manner to envision the overall business environment and social trends, identify opportunities, foresee challenges and threats as well as to effectively respond faster than others in order to address the social needs.



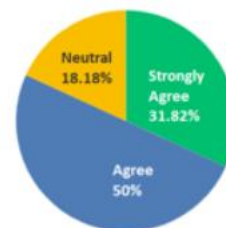
Q30: Making money is far easier than giving it away effectively. In business, you go after the low-hanging fruit, whereas in philanthropy you are trying to tackle problems that are inherently difficult and long term.



Q31: Philanthropic Foundations always have genuine motives for giving, but people too often let their philanthropy be guided by their hearts alone. Deciding what you will do to make change happen is a strategic choice and a holistic view that requires your head, your heart and your hand.



Q32: Foundations and charities are learning, if you want to do good, you have to do well. You have to work just as hard at giving away money as you do at making it.



Recommendation

Q33 What additional suggestions do you have for strengthening evaluation practices among foundations / funders in Hong Kong?

- HK wide government controlled charities regulator
- Stakeholder engagement
- Bring voice of the beneficiaries to the table
- Listen to the voices of users
- Hire the right team
- The right people but the industry is very short of talent in this sector.
- Avoid over elaborate systems, simplify where possible (do we really need to evaluate this?), use cloud-storage systems where possible
- Organisations need to look at long-term results and impact, ie, not short-sighted and merely going after short-term results.

Appendix 3

Literature Review – Further reading lists on Evaluation in Philanthropy

Connolly, P. Maximizing Foundation Effectiveness: Aligning Program Strategy, Organizational Capacity, Strategic Planning and Performance Assessment to Achieve Success. (TCC Group, 2008)

Evaluation as a Pathway to Learning. (GEO, 2005)

Evaluation in Philanthropy: Perspectives from the Field. (GEO, 2009).

Is Grantmaking Getting Smarter? A National Study of Philanthropic Practice. (GEO, 2008).

Kramer, M. The Evaluation Matrix. (Perspectives on Community Foundations, FSG Social Impact Advisors, 2004).

Kramer, M., Graves, R., and Hirschhorn, J. From Insight to Action: New Directions in Foundation Evaluation. (FSG Social Impact Advisors, 2007)

Higher Impact: Improving Performance: Insights From a Gathering of Foundation CEOs, Trustees and Senior Executives. (The Center for Effective Philanthropy, 2005)

Grantmakers for Effective Organizations and the Council on Foundations: Evaluation in Philanthropy, 2009.

Let's Make Evaluation Work: A Planning Guide for Foundation Trustees. (The James Irvine Foundation, FSG Social Impact Advisors, 2009)

Ostrower, F. Foundation Effectiveness: Definitions and Challenges. (The Urban Institute, 2004)

Patrizi, P., McMullan, B. Evaluation in Foundations: the Unrealized Potential (W.K. Kellogg Foundation, 1998).

Planning and Evaluation at the Pew Charitable Trusts: Returning Results. (The Pew Charitable Trusts, 2001).

Prager, D. Organizing Foundations for Maximum Impact: A Guide to Effective Philanthropy. (Aspen Institute, 2003)

York, P. Learning As We Go: Making Evaluation Work for Everyone, A Briefing Paper for Funders and Nonprofits. (TCC Group, 2003)

Evaluation Books

A Funder's Guide to Evaluation: Leveraging Evaluation to Improve Nonprofit Effectiveness, by Peter York, (Fieldstone Alliance, 2005)

Evaluation for Foundations: Concepts, Cases, Guidelines & Resources. (Council on Foundations, Jossey-Bass, 1993).

Foundations and Evaluation: Context and Practices For Effective Philanthropy, by M.T. Braverman, N. A. Constantine, and J. K. Slater (eds). (Jossey-Bass, 2004).

FSG Social Impact Advisors. Trustee Evaluation Tool Kit, 2009.

Evaluation in Organizations: A Systematic Approach to Enhancing Learning, Performance, and Change, by D. Russ-Eft and H. Preskill, 2nd Edition (Basic Books 2009).

Developmental Evaluation by Michael Quinn Patton (Guilford Press, 2010).

Utilization Focused Evaluation #4 by Michael Quinn Patton. (Sage Publications, 2008).

Evaluation Bibliography

Cousins, J. B. & Whitmore, E. (1998). "Conceptualizing participatory evaluation". In E. Whitmore (Ed.). Participatory Evaluation Approaches, New Directions in Evaluation. No. 80. (pp. 5-23). San Francisco : Jossey Bass.

Patton, M. Q. (2002). Qualitative Research and Evaluation Methods, 3rd Edition, (Sage Publications)

Patton, M. Q. (2008) Utilization-Focused Evaluation: 4th Edition (Sage Publications)

General Evaluation Books

Community Impact Evaluation, by Nathanie; Litchfield (University College, London Press -- UCL Press, 1996)

Empowerment Evaluation: Knowledge and Tools for Self-assessment and Accountability, by D.M. Fetterman, S. Kaftarian, and A. Wandersman, (Sage Publications, 1996)

Empowerment Evaluation: Principles in Practice, by D. M. Fetterman and A. Wandersman (Sage Publications 2004)

Evaluation, 2nd Ed., by Carol H. Weiss (Prentice Hall, 1997)

Evaluation: A Systematic Approach, 7th Ed., by Peter Rossi and Howard Freeman (Sage Publications, 2004) (textbook)

Evaluation for the 21st Century, by Eleanor Chelimsky and William R. Shadish (Sage Publications, 1997) (A reader)

Evaluation in Organizations: A Systematic Approach to Enhancing Learning, Performance, and Change, by D. Russ-Eft and H. Preskill, 2nd Edition (Basic Books 2009)

Evaluation Strategies for Communicating and Reporting: Enhancing Learning in Organizations, by R. Torres, H. Preskill and M. Piontek, Sage Publications, 2004.

Evaluator's Handbook, by Joan L. Herman, L. L. Morris, and Carol Taylor Fitz-Gibbon (Sage Publications, 1987)

Handbook of Practical Program Evaluation, by Joseph S. Wholey, Harry P. Hatry, and Kathryn E. Newcomer, Editors, 2nd Edition (Jossey-Bass 2004)

Impact Analysis for Program Evaluation, by Lawrence Mohr (Sage Publications, 1995)

Program Evaluation: Alternative Approaches and Practical Guidelines, by B.R. Worthen, J.R. Sanders, and J. Fitzpatrick (Addison, Wesley, Longman, 2003)

Evaluation Bibliography

Cousins, J. B. & Whitmore, E. (1998). "Conceptualizing participatory evaluation". In E. Whitmore (Ed.). *Participatory Evaluation Approaches, New Directions in Evaluation*. No. 80. (pp. 5-23). San Francisco : Jossey Bass.

Patton, M. Q. (2002). *Qualitative Research and Evaluation Methods*, 3rd Edition, (Sage Publications)

Patton, M. Q. (2008) *Utilization-Focused Evaluation*: 4th Edition (Sage Publication).

Recommended List (Qualitative Research Design)

Bennett, J. (2009) *Doing your social science dissertation*, London: Sage.

Boeije, H.R. (2009) *Analysis in Qualitative Research*, London: Sage.

Costley, C., Elliott, G. and Gibbs, P. (2010) *Doing Work based Research: approaches to enquiry for insider-researchers* London: Sage

Easterby-Smith, M., Thorpe, R. and Jackson, P (2012 4th ed) *Management Research*, London: Sage.

Gibbs, G. (2008) *Analysing Qualitative Data (Qualitative Research Kit)*, London: Sage.

Gill, J. and Johnson, P. (2002) *Research Methods for Managers*, 3rd Ed., London: Sage.

Gobo, G. (2008) *Doing Ethnography*, London.

King, N. and Horrocks, C. (2010) *Interviews in Qualitative Research*, London: Sage.

Marshall, C. and Rossman, G.B. (2010) *Designing Qualitative Research*, 5th Ed., London: Sage.

Ritchie, L. and Lewis, J. (2003) *Qualitative Research Practice: A Guide for Social Science Students and Researchers*, London: Sage.

Saunders, M., Lewis, P., Thornhill, A (2009) *Research Methods for Business Students*, 5th Ed., Harlow: Pearson Education.

Silverman, D. (2010) *Qualitative Research*, 3rd Ed., London: Sage.

Woods, P. (2005) *Successful Writing for Qualitative Researchers*, London: Routledge.

Terminology

Key Terms in Evaluation

Assessment- is a synonym for evaluation, but often used to refer to a technique or a mini-study.

Baseline Study- An analysis describing the situation prior to an intervention, against which progress can be assessed and comparison made. A baseline study, for example, might assess conditions in a specific neighborhood (eg. Poverty level) before the launch of a grantmaker funded initiative aimed at improving those situations.

Compliance/ Monitoring – type of evaluation where evaluation questions are focused on adherence to pre-specified procedures.

Emergent Learning- Learning that happens in the course of an initiative or project, when goals and outcomes are not easily defined. Using ‘emergent’ or ‘developmental’ evaluation methods, a grantmaker can generate feedback and learning as work unfolds. New learning, in turn, can be used to define or change strategies over time.

Formative evaluation- An evaluation that is carried out while a program is under way to provide timely, continuous feedback as work progresses. Sometimes called ‘real-time evaluation’ or ‘developmental evaluation’. It focuses on ways of improving and enhancing programs, and are conducted in the early or ongoing stages of a program.

Goals- are conditions (usually broad) that programs are working towards. (eg to promote well being).

Indicator- A quantitative or qualitative variable that provides a simple and reliable means to measure results or to demonstrate changes connected to a specific intervention. It is a measureable and observable characteristic of changes that represent elements of an outcome. (eg normal birth weight is an indicator of a healthy baby outcome.)

Inputs- The various components of a specific intervention, as measured in financial, human and material resources.

Learning community- A group of grantmakers, grantees and/or other constituents who come together over time to share evaluation results and other learning and to identify pathways to better results. Sometimes called a ‘community of learners’.

Logic Model- A conceptual picture or ‘roadmap’ of how a program or intervention is intended to work, with program activities and strategies linked to specific outcomes and desired results.

Objectives- something that is worked for or strived for, which can be observed or measured.

Qualitative Data- consist of detailed description of situations, events, people, interactions, and observed behaviors; direct quotations from people about their experiences, attitudes, beliefs and thoughts; and excerpts or entire passages from documents, correspondence,

records and case histories. Qualitative data collection methods permit the evaluator to study selected issues in depth and detail and typically produce an extensive account of detailed data about a much smaller number of people and cases.

Quantitative Data- come from questionnaires, tests, standardized observation instruments, and program records. Quantitative data collection methods permit the complexities of the world to be broken into parts and assigned numerical values. To obtain quantitative data, it is necessary to be able to categorize the object of interest in ways that permit counting.

Outcomes- The broader changes or benefits resulting from a program, as measured against its goals (eg. An X percent reduction in emergency room visits.) Also, results for participants, during and/or after participation in a program. Compare with outputs below.

Outputs- The direct products of a program, usually measured in terms of actual work that was done (eg. # of sessions held, meetings held, reports published, # of participants served.) (Compared with 'outcomes' above.)

Participatory evaluation- A form of evaluation that engages a range of stakeholders in the process of designing the evaluation and tracking results, based on the goal of ensuring that the evaluation is useful and relevant to all involved.

Research- in social science is also a systematic collection of information, but it is undertaken to discover new knowledge, test theories, establish universal truths and generalize across time and space.

Social return on investment (SROI)- A measure that sets out to capture the economic values of social benefits created by an initiative or project.

Summative evaluation- An evaluation that assessed the overall impact of a project after the fact, often for an external audience such as a grantmaker or group of grantmakers.

Theory of Change- A systematic assessment of what needs to happen in order for a desired outcome to occur, including an organization's hypothesis about how and why change happens, as well as the potential role of any organisation's work in contributing to its vision of progress.

Triangulation- multiple streams of information obtained by either collecting different kinds of data about the same object, using different workers to complete the same tasks; using multiple methods to obtain data; using multiple perspectives to analyze information.

~ THE END ~