



LEVEL 7 ASSESSMENT SPECIFICATION

Student name:	Irene Chan	Student ID number:	2023583
Programme:	DBA		
Module:	Approaches to Research and Academic Communication		
Module code:	HKBM7000	Contribution to Overall Module Assessment (%):	40%
Lecturer:	Dr. Luk Chung Leung	Internal Verifier:	
Assignment Title:	In-class Presentation	Time Allowed:	25 minutes
Submission deadline:	14 August 2021	Return date of provisional marks & written feedback:	13 September 2021
Submission method:	Each students needs to present to the class a summary of the research proposal within 20 minutes. The presentation is designed to gauge the student's ability to communicate and present information related to research and academic matters. A soft copy of the PowerPoint slides used for the presentation should also be submitted via <u>Turnitin</u> before the presentation.		
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.		

DBA

Research Proposal

STUDENT NAME: Irene Chan
STUDENT NUMBER: 2023583
PROGRAMME NAME: DBA
MODULE CODE: HKBM 7000
MODULE: Approaches to Research and Academic Communications
LECTURER Dr. Luk Chung Leung
PRESENTATION DATE: 14 August 2021

Abstract

The purpose of this research paper is to conduct a strategic review of the **funding evaluation framework** for the **philanthropic foundations**. It also attempts to further theorise this evaluation process with a holistic planning framework- **3H (Heart- head- hand) framework**.^{*} Based on a field practitioner's perspective from the philanthropic sector and drawn from **documentations, reports, journals, articles, survey, interviews and field observation**, this study will existing funding evaluation frameworks adopted by philanthropic foundations. A **case study approach** is also conducted to study the funding framework for two charitable projects (2016 and 2020) funded by The Hong Kong Jockey Club Charities Trust by using the 3H framework.

(* Source: Yu, E (2020), Introducing 3H Framework,” working paper, City University of HK.)

Introduction

This presentation will focus on the research problems, objectives, design and data collection.



01

Research Problems

Philanthropic monies are limited and not sustainable, and a strategic deployment of funding resources are crucial for public good.

02

Research Objectives

To review and enhance the funding framework for philanthropic foundations.

03

Research Design

This paper is a descriptive, qualitative inductive research study. The research design is based a correlational research methodology. It also applies the 3H framework to evaluate and assess the performance of the case studies.

04

Data Collection / Analyses / Report

Case study approach and data collection from observation, semi-structured interviews, focus group and survey.



(I) Research Problems & Objectives



Philanthropic Sector Background

Hong Kong is a giving society. In 2019, it achieved a record high donation of \$12.7 B with close to 10,000 registered charitable organization. And 1.4m people is living under poverty line in HK.



Definition of Problems

Philanthropic monies are limited and not sustainable, and a strategic deployment of funding resources are crucial for its survival. Doing good but also doing well.



Primary Research Questions

Are the current evaluation frameworks commonly used by philanthropic foundations sufficient to assess projects and donations effectively ?



Research Objectives

To evaluate the funding framework for foundations which aims to enhance the funding effectiveness and efficiency so as to deliver better good for humanity and esp HK.



(I) Research Problems & Objectives



Review of Relevant Theories

Existing evaluation theories such as theory of change, BACKs, K-A-B and MEL. And apply 3H (Heart-Head-Hand) theoretical framework to evaluate grantees. (* Appendix)



Review of Relevant Literature

Review of strategic management theories and models such as Porter's 5 Forces, PESTEL, SWOT and 3H related theories and literature.



Hypothesis 1

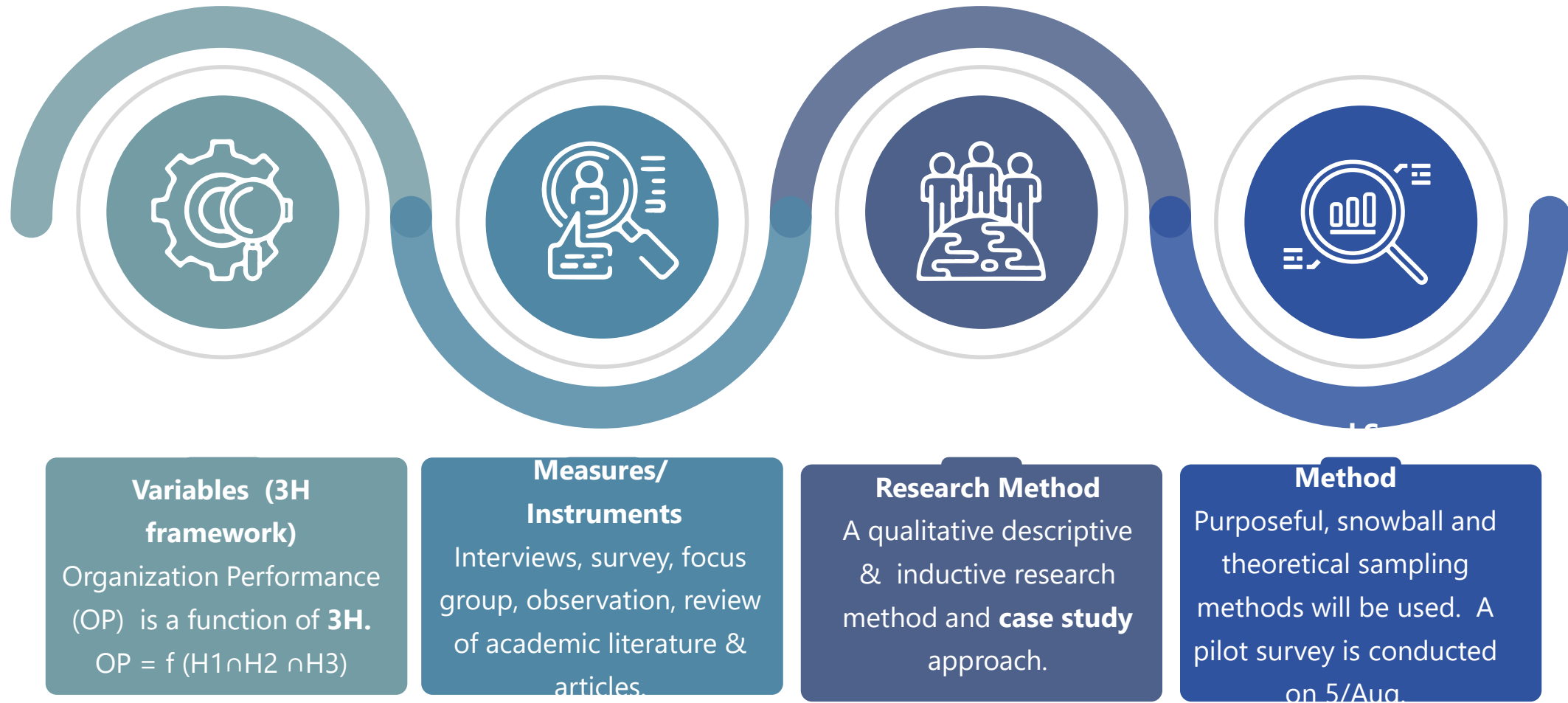
The existing funding evaluation frameworks deployed by philanthropic foundations are not holistic enough to evaluate projects and performance of NGOs.



Hypothesis 2

Based on H1, the funding review framework can be further enhanced and improved

(II) Research Design



3H Conceptual Framework

$$OP = f(H^1 \cap H^2 \cap H^3)$$



HEAD
 H^2



HAND
 H^3



Heart
 H^1

Heart-Head-Hand (3H) Conceptual Framework*

3H Framework:

Organisaton performance, the *dependent variable*, is a function of the complements among *Heart (H1)*, *Head (H2)* and *Hand (H3)* *independent variables* of that foundation. $OP = f(H1 \cap H2 \cap H3)$

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.

H¹ = Heart domain (people related: emotional appeal, leading, motivating and engaging people abilities)



Head

The **LOGIC** about why the strategic planning etc are needed.

H² = 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

H³ = Hand domain (task-oriented issues and competence related: operational/functional skills & abilities).

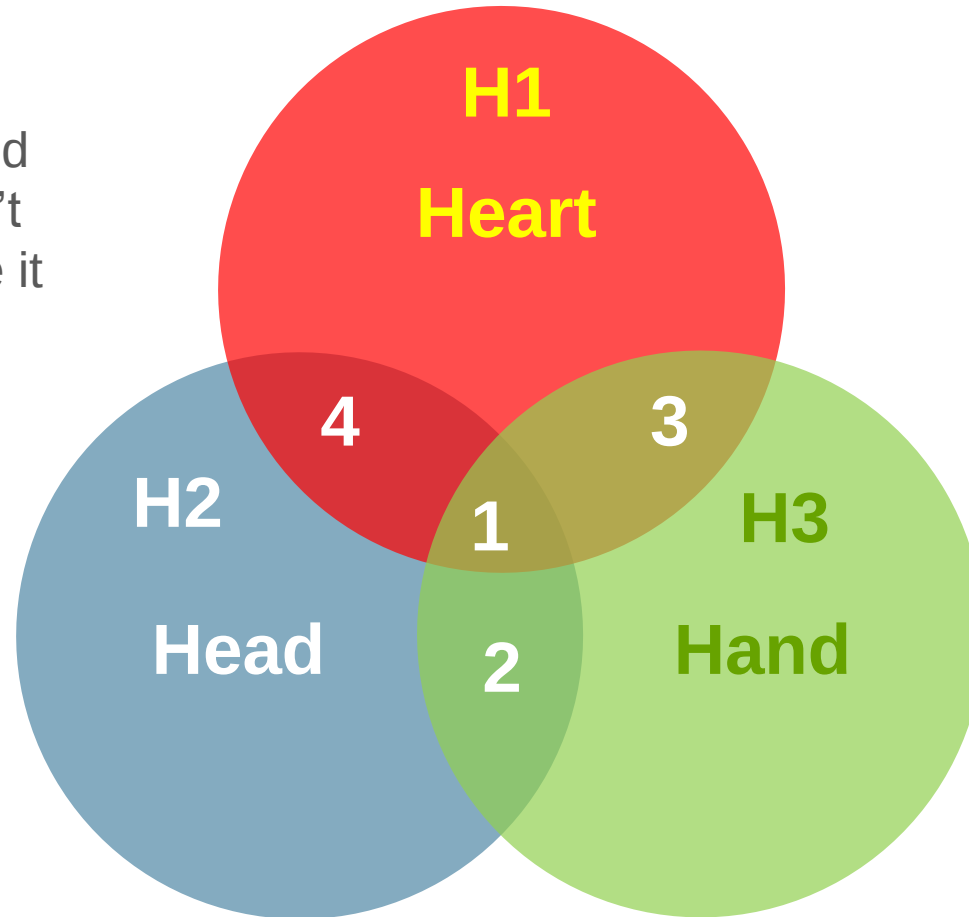
3H Framework's Venn Diagram for Philanthropic Foundation

Case 4

Committed NGOs and well planned but don't know how to execute it right
(H1, H2)-H3

Case 2

Uncommitted NGOs but capable of managing the right thing
(H2, H3)-H1



Case 3

Committed and capable NGOs, but not sure how to strategize or manage the right thing
(H1, H3)-H2

Case 1

Committed and capable NGOs of managing the right thing
(H1, H2, H3)

Case Study 1 : JC A Connect

To analyze the case based on 3H Framework.



JC A-Connect:
Jockey Club Autism Support Network
賽馬會喜伴同行計劃

Basic Information

- Name: JC A-Connect
- Theme: Rehabilitation (SEN), Education
- Donation amount: \$168M (Phase 1) + \$243M (Phase 2)

Social Issues

- Autism Spectrum Disorder ("ASD") is the 3rd largest type of Special Educational Needs ("SEN") in Hong Kong
- An annual rise of 10-15% ASD students in mainstream schools, with 99% of mainstream schools are required to support ASD students
- ASD children require continuous and specific support to facilitate their learning and adaptation to the mainstream society
- Teachers and parents express constraints in their capability and expertise to render appropriate support to ASD children

Project Design

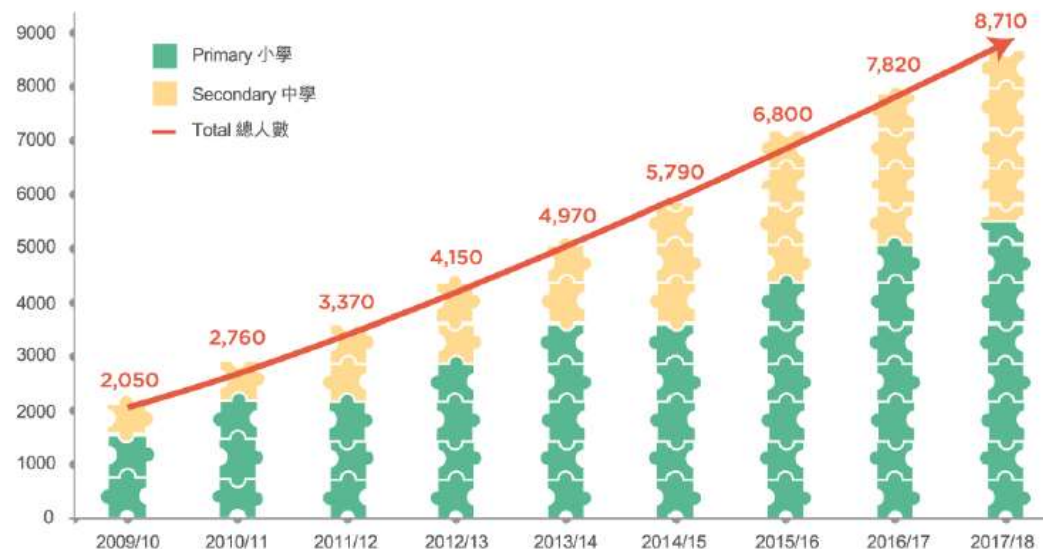
Holistic support for autistic children and their families in the mainstream school system:

- School-based coaching programme
- Family support and parent education
- Expertise building and talent development
- Resource development and dissemination

Case Study 2 : JC A Connect

To analyze the case based on 3H Framework.

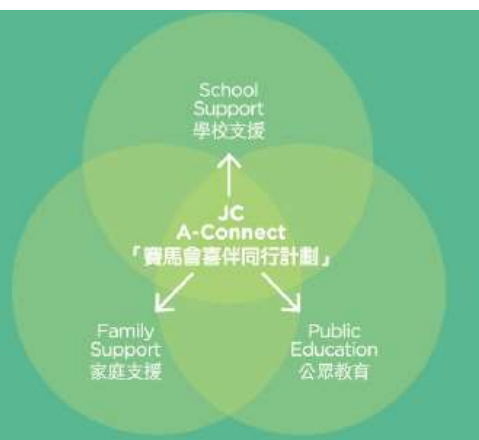
Number of students with ASD
in public sector ordinary schools
於普通公立學校就讀的自閉症學童人數



Layers of Support 多層支援

JC A-Connect seeks to provide holistic support for students with ASD through three primary programme components: School Support, Family Support and Public Education.

為全面支援自閉症學童，「賽馬會夥伴同行計劃」提供三個層面的服務：學校支援、家庭支援及公眾教育。



425

schools
間學校

- 40% of mainstream schools
近4成主流學校

5,074

ASD students
位自閉症學童

- 58% of ASD students in Hong Kong
近6成就讀主流學校的自閉症學童

796

coaches and NGO
professionals
名社福機構培訓導師及專業人員

- Trained through programme
接受專業培訓

14,957

teachers
名老師

- Trained through programme
接受專業培訓

33,830

parents/caregivers
位家長/照顧者

- Joined support programmes/
received consultation
參加支援活動/接受諮詢服務

26

training manuals
1套26冊訓練資源套

- Developed based on evidence-based
practices adapted for Hong Kong
引用外地具實證支持的訓練策略，
並將3年的計劃經驗及智慧結集成書，
發展成本地化的訓練教材

Case Study 2 : Covid-19 Emergency Fund

To analyze the case based on 3H Framework + agility, creativity and empowerment.



- Challenge for parents to educate and care for home-bound children
- Stress on carers for the old and disabled as social services are disrupted or halted
- Difficulty in accessing medical or social services for those with special needs or chronic conditions
- Loss of employment or income stability in affected industries
- Social isolation

Case Study 2 : Covid-19 Emergency Fund

To analyze the case based on 3H Framework.

Quotes from NGOs:

"Highly appreciate the simple and efficient application process, and thank the Trust for the generous support."

"Thanks to the Trust's timely support, we can catch good timing to order in advance high demand and much-needed items for the disabled and elderly."

Quotes from Beneficiaries:

"The care pack arrives in time, when I feel very anxious about not able to get sufficient necessities, it is like "sending charcoal in snowy weather."

"All the items in the care pack are very practical and thanks for the generous support, I have strong feeling of being cared for."



Case Study 2 : Covid-19 Emergency Fund

To analyze the case based on 3H Framework.



Bandwidth Support for E-Learning at Home Scheme

Launched in March 2020, the project brought together mobile carriers, NGOs and schools to offer free data bandwidth to underprivileged students for 4 months during class suspension to enable online learning and address digital divide. The Club further facilitated provision of free Zoom licenses to enable video conference online learning for schools in need. The Government has also regularized the Subsidy Scheme for Internet Access Charges to strengthen the support to students from grassroots families on e-learning.



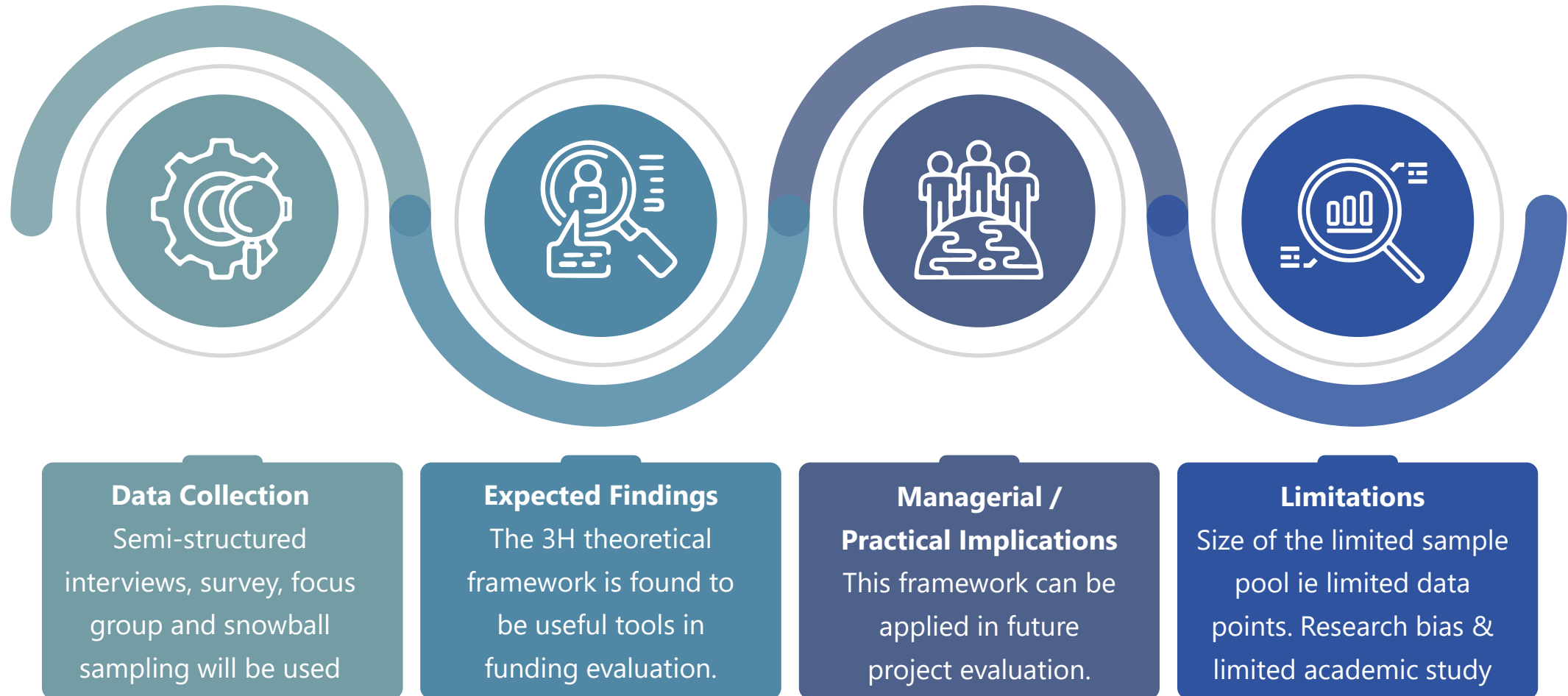
Jockey Club Food Assistance Programme

Initiated a food assistance programme to offer timely help for the underprivileged and those who face additional life challenges and through **private-public partnership** between food bank and food assistance / hot meal service providers and commercial delivery platforms

(# Play Video)

(III) Data Collection, Analyses and Report

Content analysis will be based on grounded theory.



(IV) Literature Review

Academic research related to the philanthropic sector is relatively limited but there are a few institutions like Lilly School (Indiana U) and VU University in Amsterdam.



Philanthropy/ Evaluation/ Strategic management

Center for Effective Philanthropy,
Stanford Social Innovation Review,
HBR, Grantmakers for Effective Org
and Council on Foundation, Centre
for Philanthropic Studies, Lilly
Family School of Philanthropy etc



Heart-related literature

Organizational Behavior related
(eg motivation, emotion,
commitment, engagement,
satisfaction) ; transformational
leadership, management of
change.



Head-related literature

Organization architecture
(Organization design, structure)
Strategic management related
(eg. Balanced scorecard),
PESTEL, Porter's 5 forces, SWOT



Hand-related literature

Competence related
(Functional strategy and
practice such as HR,
Operations, Finance, IT, Legal
etc)



(V) Pilot Questionnaire Survey Results (1)

On 5 Aug, a pilot survey (33 questions) was prepared by the student and a total of 25 responses (83%/ 30 foundations/NGOs) were received.



01

72%

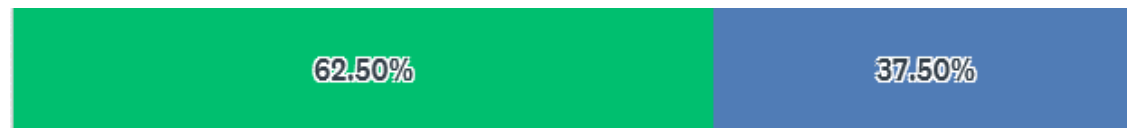
Q6: The foundation /organization does not have an evaluation officer/team dedicated to impact measurement or research



02

72%

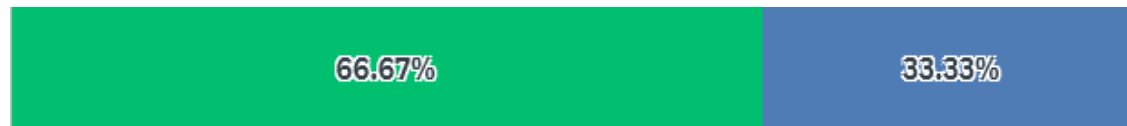
Q10: Evaluated the organizational capacities (Head / H2) of their potential grantees such as NGOs.



03

62%

Q12: Evaluated the leadership/ staff competencies (Heart / H1) or organizational culture of their potential grantees such as NGOs



04

67%

Q14: Evaluated the operational competencies or capacities (Hand/ H3) of their potential grantees such as NGOs

Yes No



DBA Research

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14 August 2021

Pilot Questionnaire Survey Results (2)

On 5 Aug, a pilot survey (33 questions) was prepared by the student and a total of 25 responses (83%/ 30 foundations/NGOs) were received.



01

95% agrees

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



02

91% agrees

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



03

100%

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



04

100%

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.

■ Strongly agree
 ■ Agree
 ■ Neutral
 ■ Disagree
 ■ Strongly disagree



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UWTSD

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14 August 2021

Pilot Questionnaire Survey Results (3)

On 5 Aug, a pilot survey (33 questions) was prepared by the student and a total of 25 responses (83%/ 30 foundations/NGOs) were received.



01

73% agrees

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..



02

82 % agrees

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.



03

82% agrees

Q 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.

- 1) HK wide government controlled charities regulator
- 2) Stakeholder Engagement
- 3) Listen to the voices of users/ bring voice of the beneficiaries to the table
- 4) Hire the right team / But the industry is very short of talent in the sector
- 5) Avoid over elaborate systems, simplify where possible

■ Strongly agree
 ■ Agree
 ■ Neutral
 ■ Disagree
 ■ Strongly disagree

04

Comments:

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



(VI) Discussion

Discussion Tip #01

Can we achieve a more systematic, efficient and effective funding framework for philanthropic foundations ?

Discussion Tip #03

It is the hypothesis of this research that the 3H framework can help enhance the effectiveness of organizational capacities and capabilities so as to deliver and create more positive social impact to the society.

Discussion Tip #02

Can the 3H framework provide a more useful tool in strategic planning for foundations/ funders when evaluating their projects/grants?

Discussion Tip #04

How to leverage a better evaluation framework to facilitate this change?



(VII) Intended Conclusions

**Restate
Your Research
Questions**

**Show How Your
Result Answer these
Questions**

**Show What
Contribution You
Have Made**

**State Any Limitations
to the Work You
have Done**

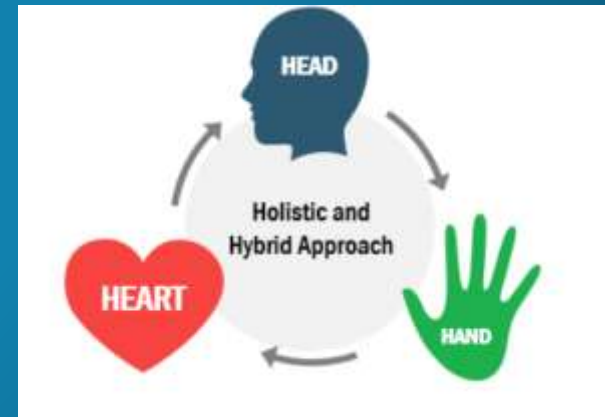
**Suggest
Future Research**

**Make Any
Recommendations**





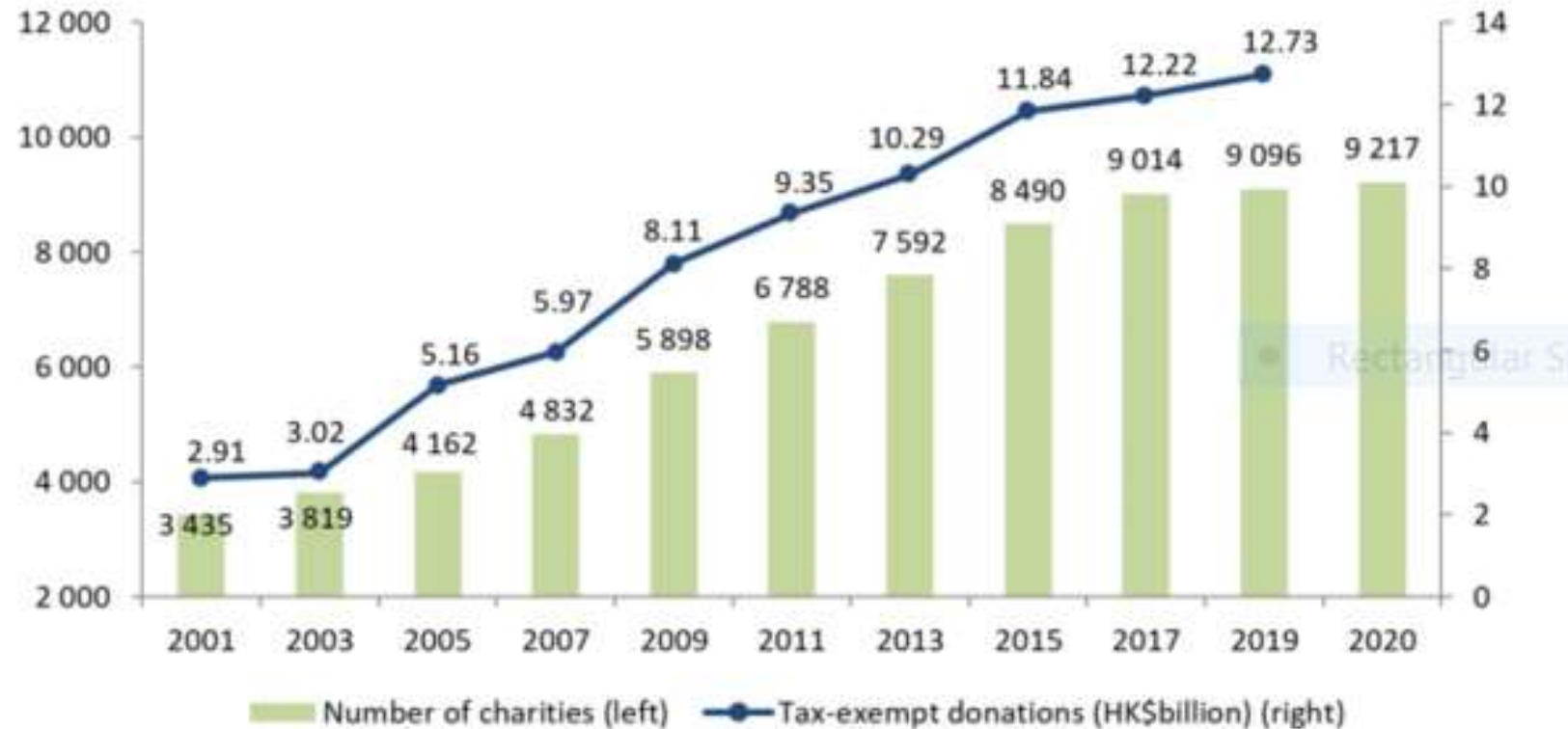
Thank you.



Appendice 1: Background information

Hong Kong is a giving society – new record donation every year.

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.

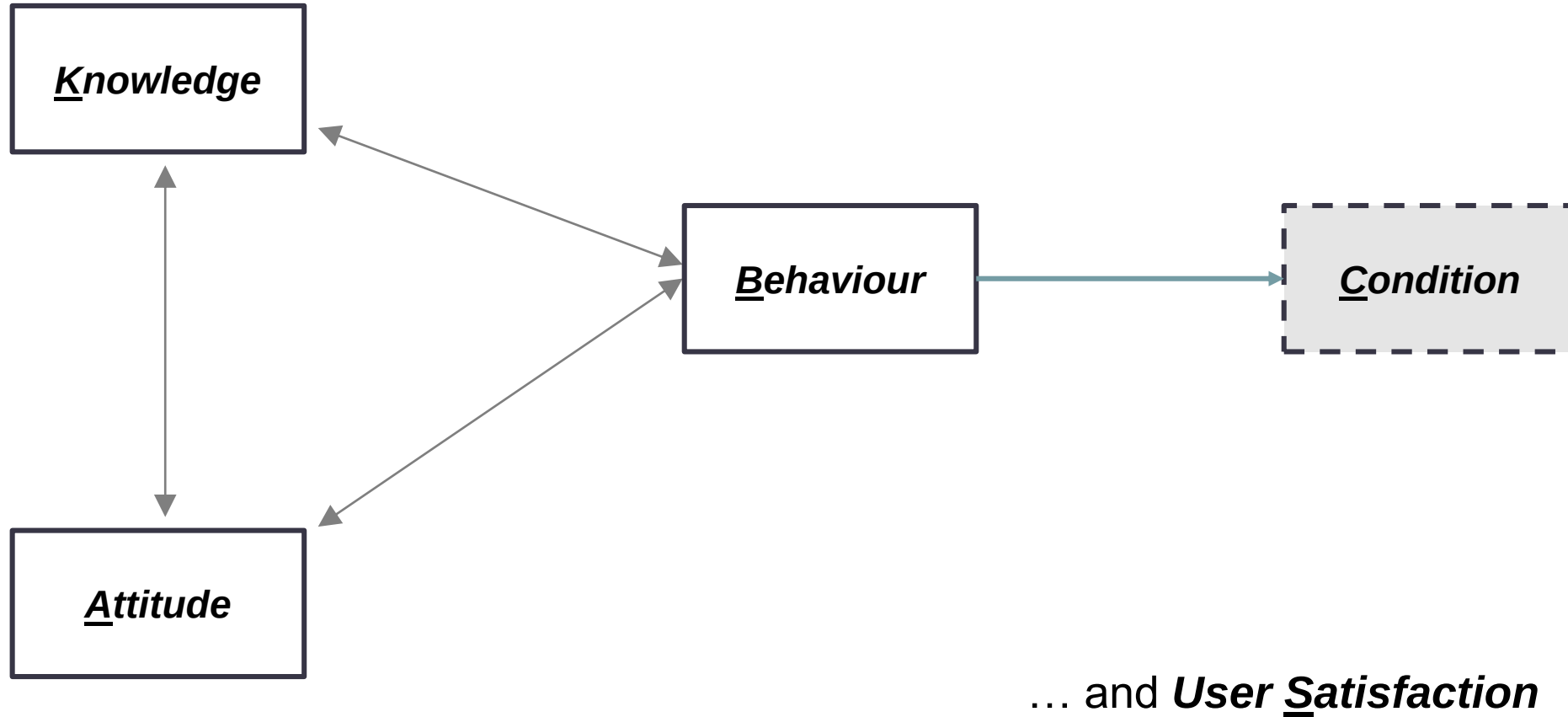
BACKS framework is based on “K-A-B” or “K-A-P” framework widely used in social science and public policy fields for evaluation



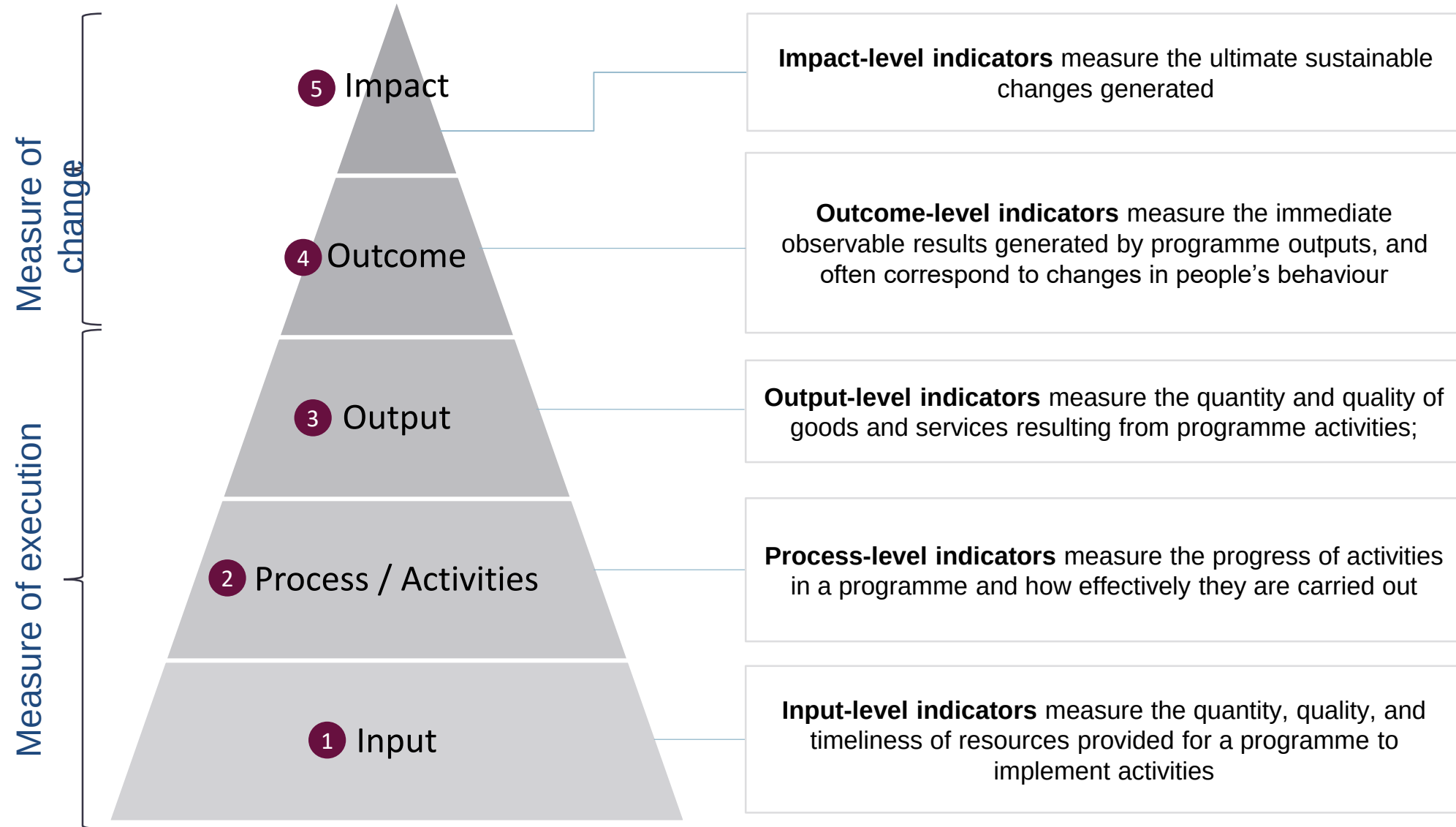
Case Sample: BACKS indicators can apply to the evaluation of charities projects

	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 <u>behavioural change</u>								
	% 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								

Case Sample: Outcome indicator framework “BACK(S)” target key drivers of behavioural changes covers charities projects



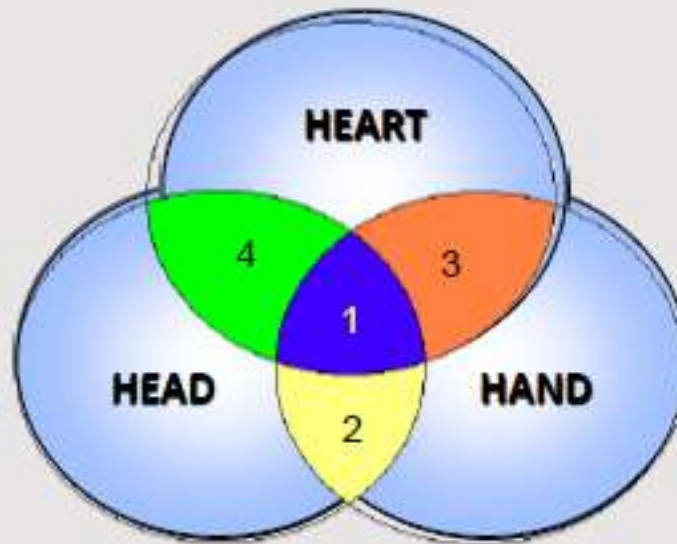
Case Sample- Project monitoring and evaluation (MEL) hierarchy used by Foundation/ Funder



Dr Yu's 3 H Holistic Framework will be studied and applied in the paper

Yu's 3H Holistic Management Framework

Scenarios resulting from different H domains' interceptions – fulfilling the necessary and sufficient conditions **$OP = f(H^1 \cap H^2 \cap H^3)$**



- Case 1- Committed & capable of managing the right thing ($H^1 \cap H^2 \cap H^3$)**
- Case 2 – Uncommitted but capable of managing the right thing ($H^2 \cap H^3$) - H^1**
- Case 3 - Committed & capable, but not sure managing the right thing ($H^1 \cap H^3$) - H^2**
- Case 4 - Committed and well planned but don't know how to execute it right ($H^1 \cap H^2$) - H^3**

Appendice 2: Pilot Survey Results

Survey on Evaluation Framework for Philanthropic Foundations / Organisations

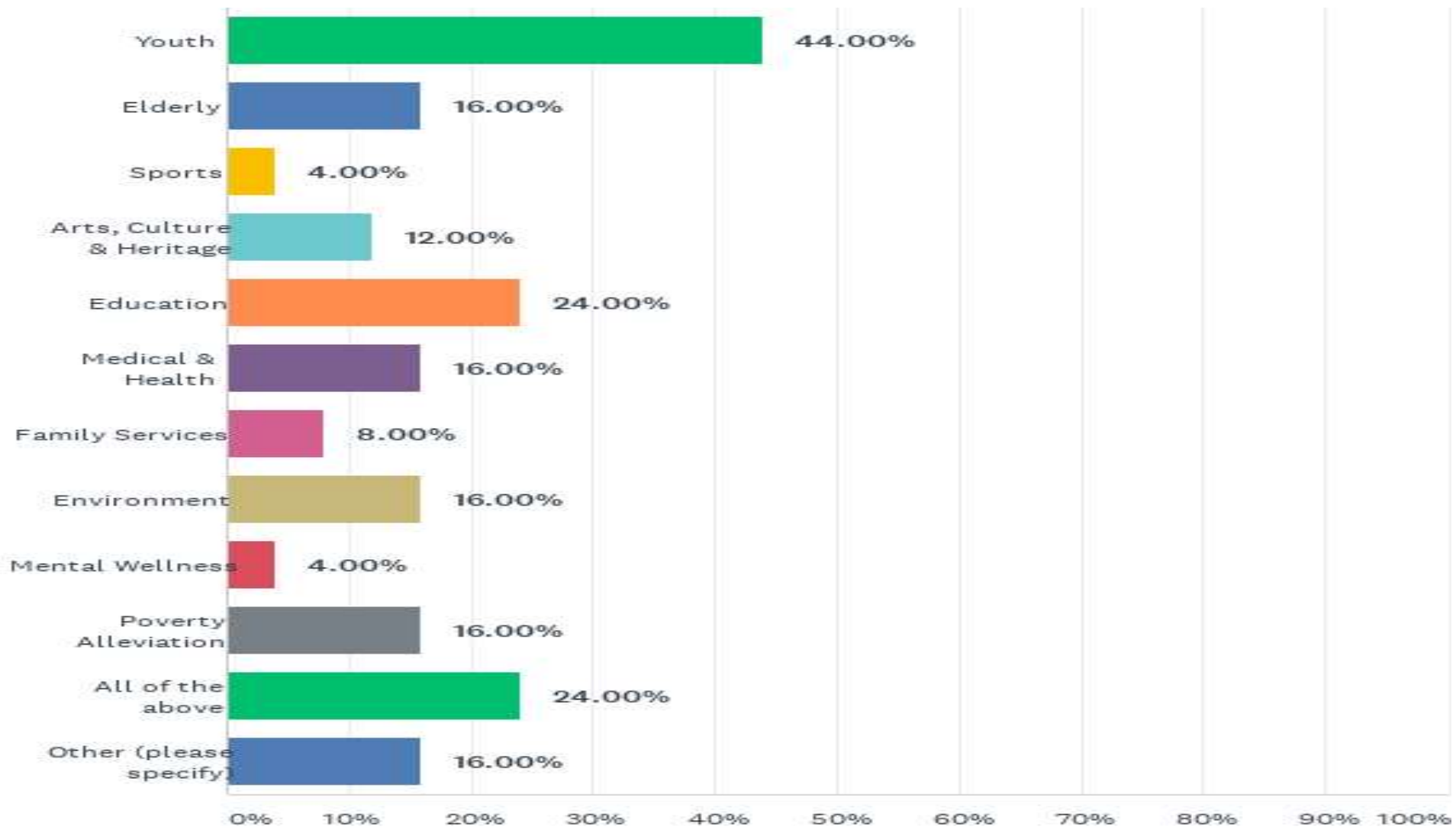
- Thursday, August 12, 2021

25

- Total Responses
- Date Created: Thursday, August 05, 2021
- Completed Responses: 25
- Total Invitees: 30 (83%)

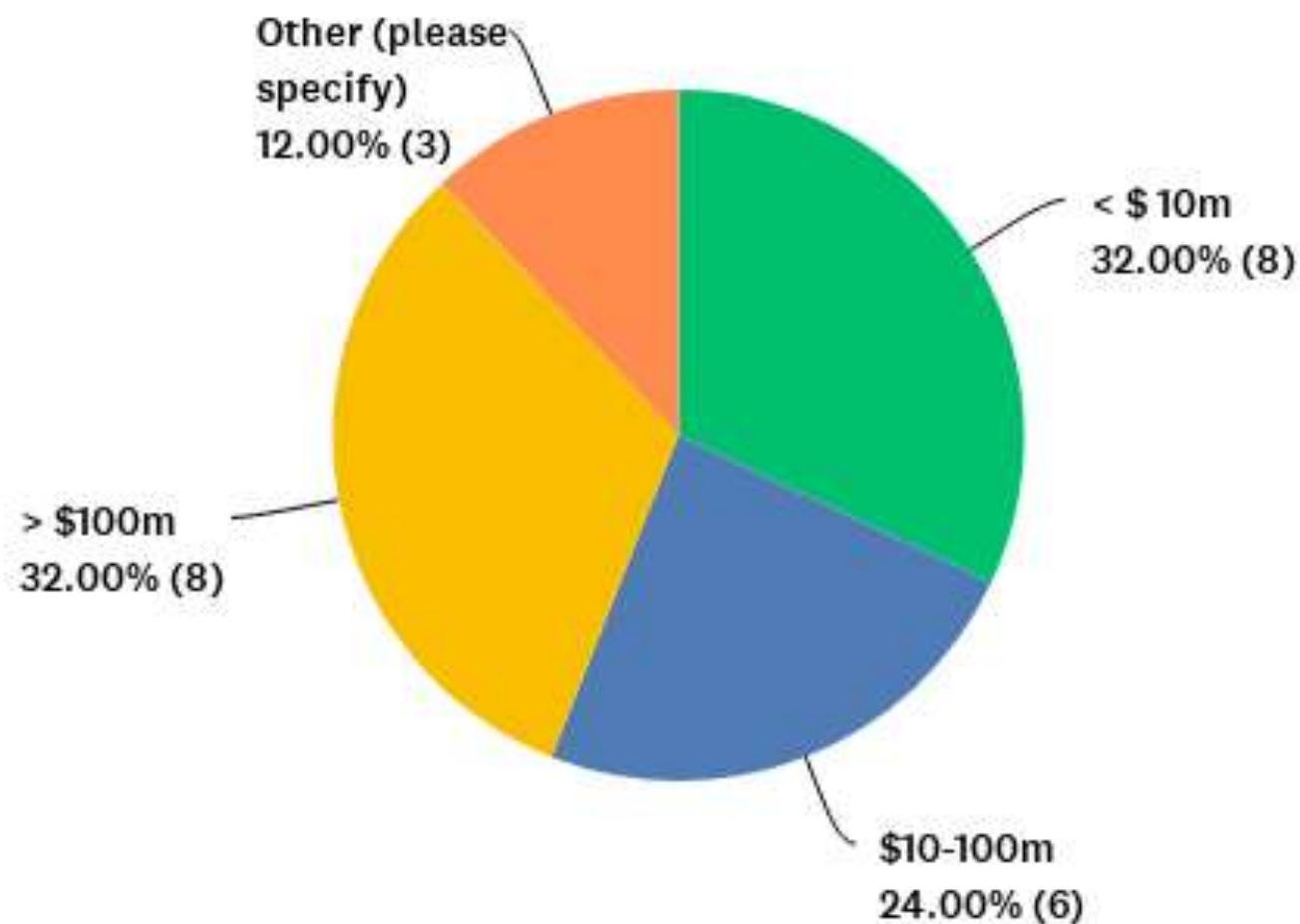
Q1: Please specify the sector or area of interest that best describes the work / projects done by your Foundation / Organisation?

• Answered: 25 Skipped: 0



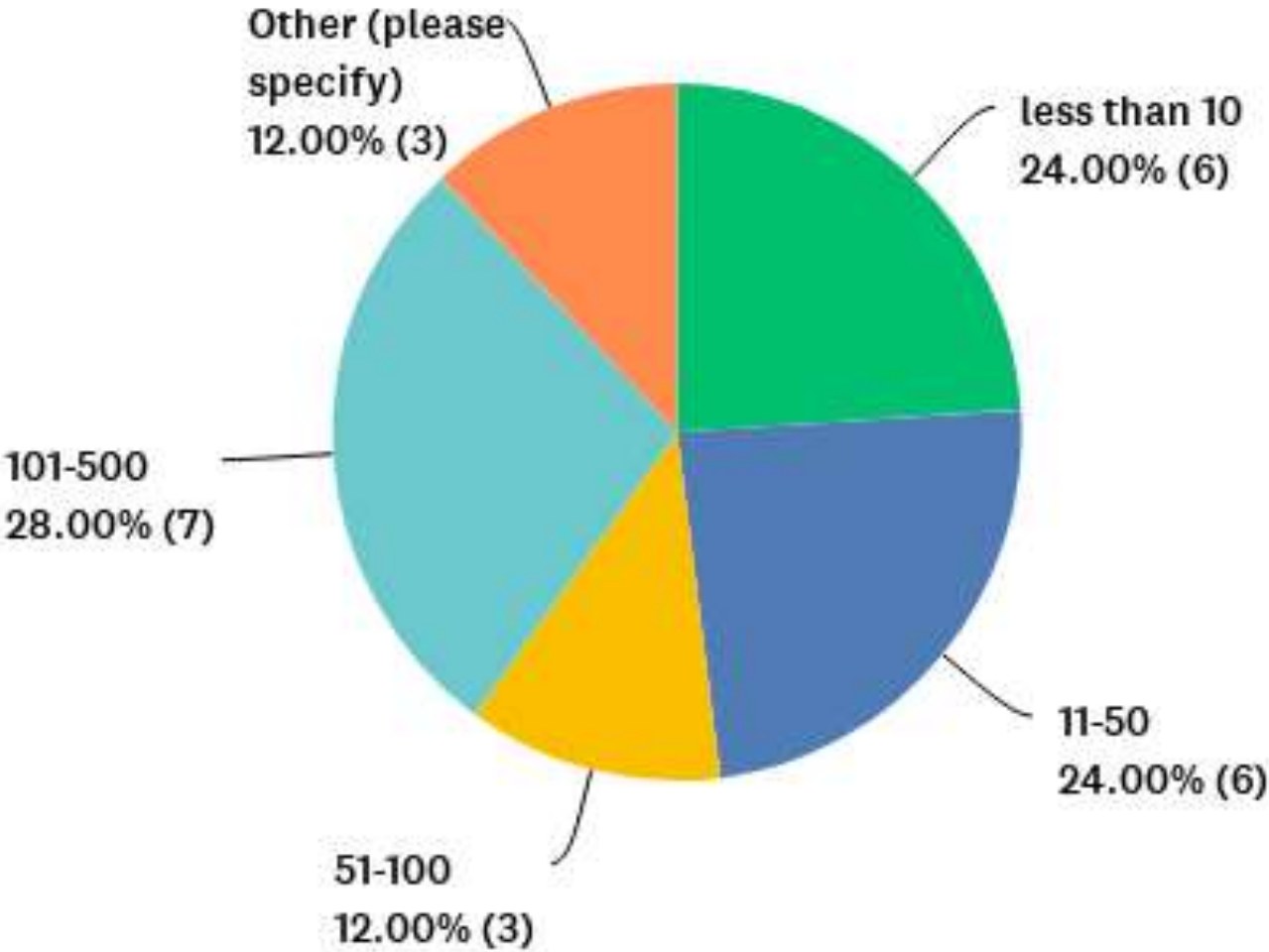
Q2: What is the annual giving of your foundation? (HK\$)

- Answered: 25 Skipped: 0



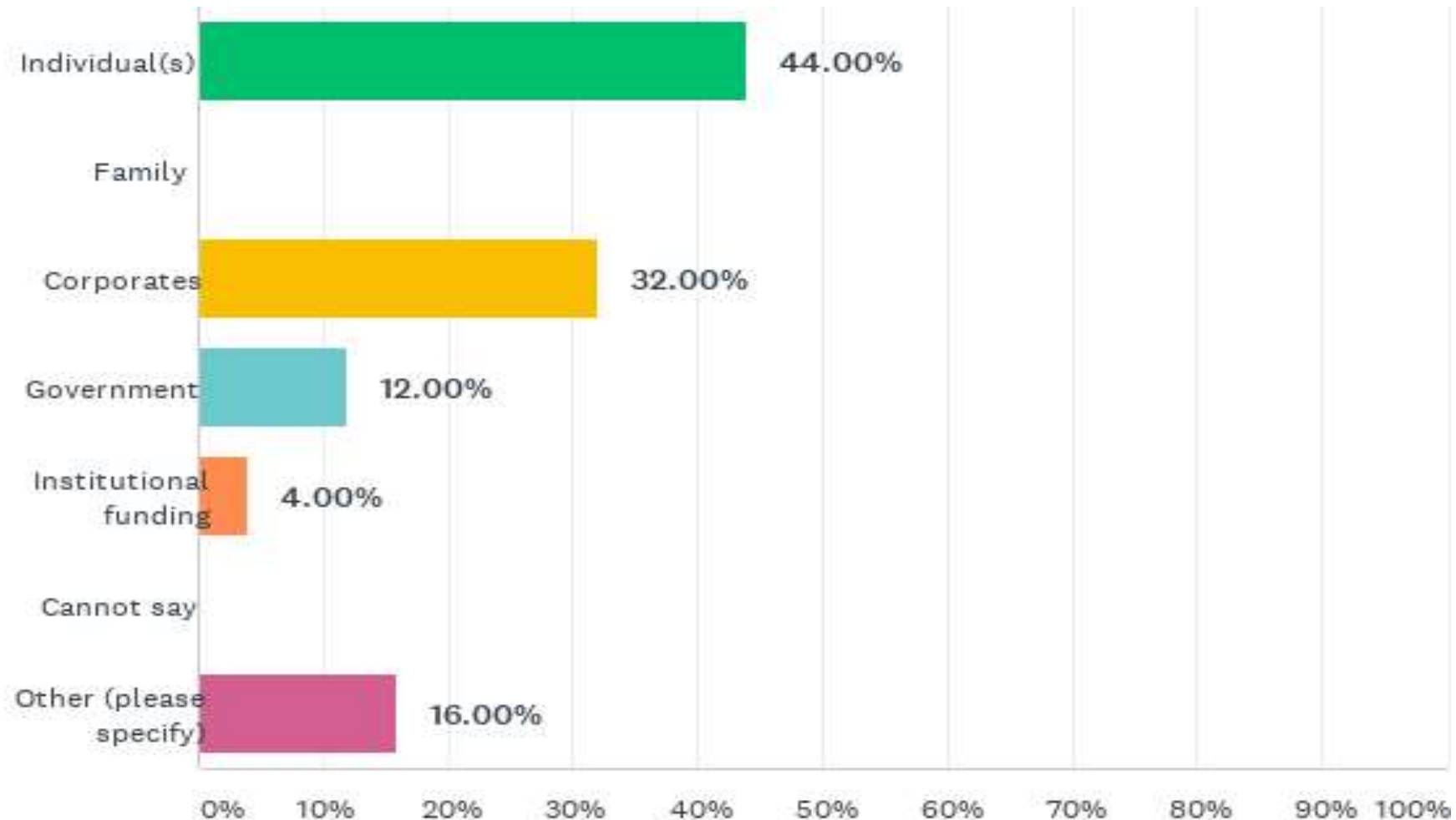
Q3: How many staff do you have in your Foundation / Organisation?

• Answered: 25 Skipped: 0



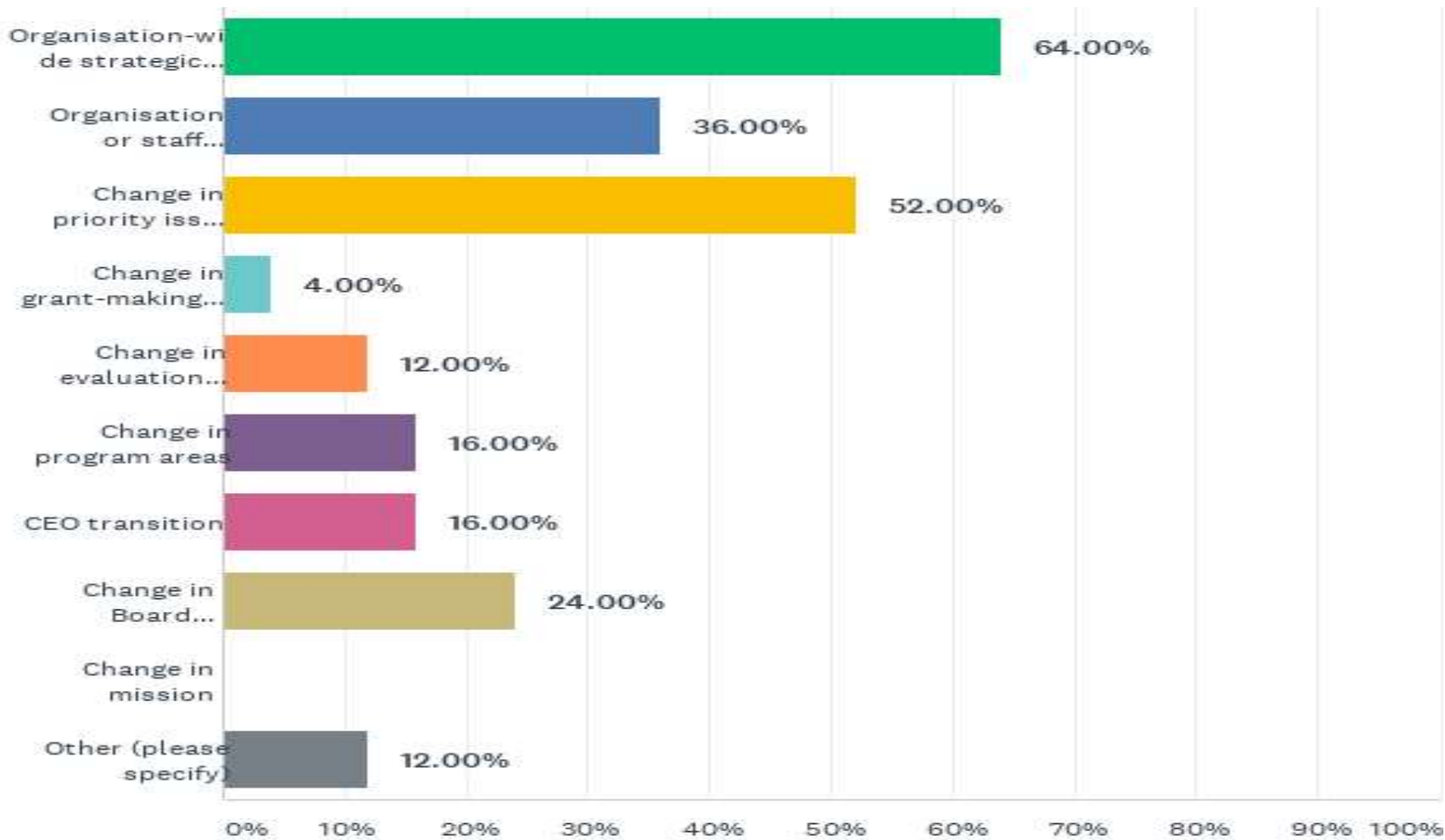
Q4: Which of the following(s) is your Foundation's biggest source of income / funds?

- Answered: 25 Skipped: 0



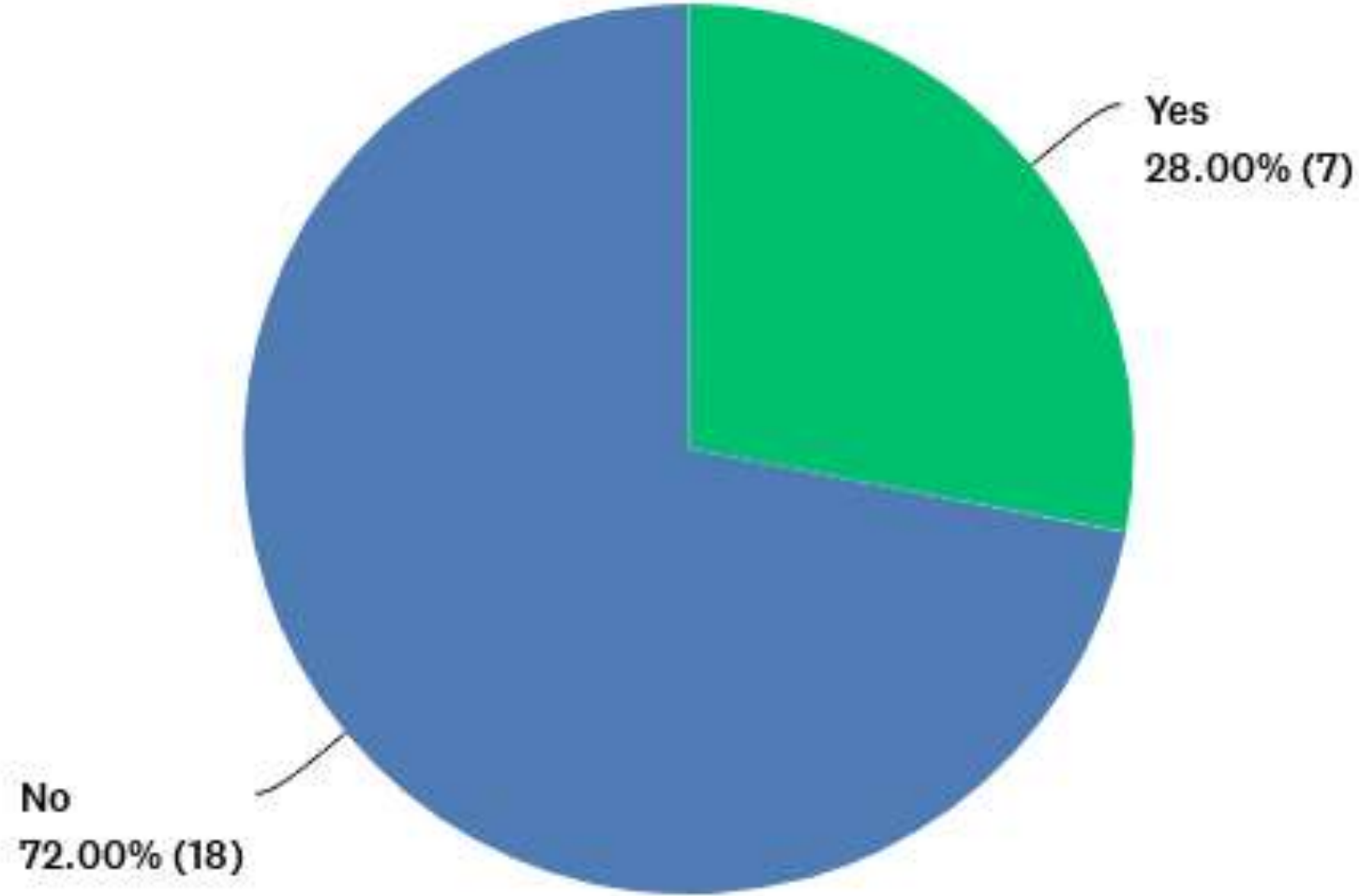
Q5: Which of the following(s) change(s) happened in your Foundation during the last 3 years?

• Answered: 25 Skipped: 0



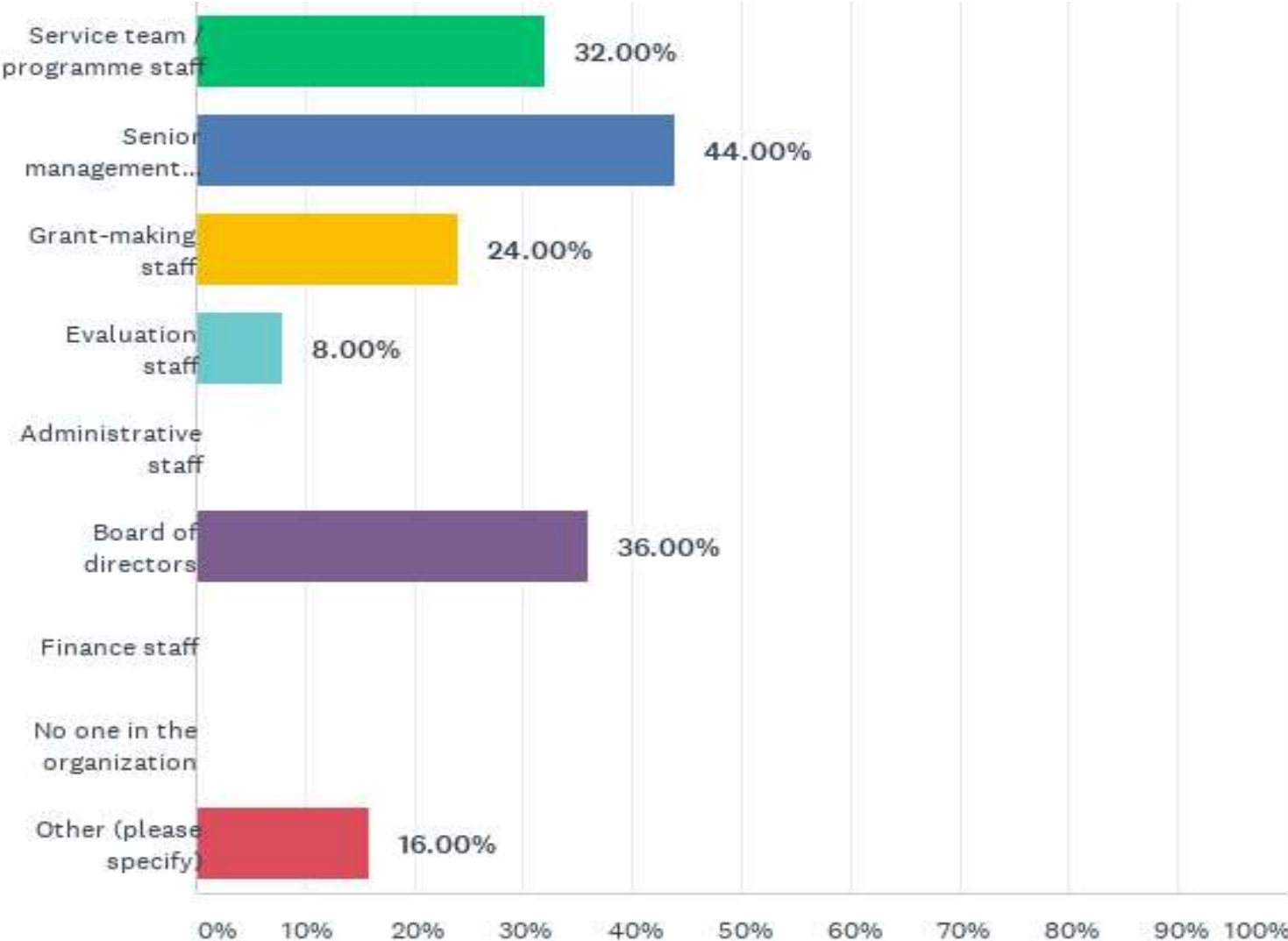
Q6: Does your organisation have an "evaluation officer" (or person / team dedicated to impact measurement or research)?

• Answered: 25 Skipped: 0



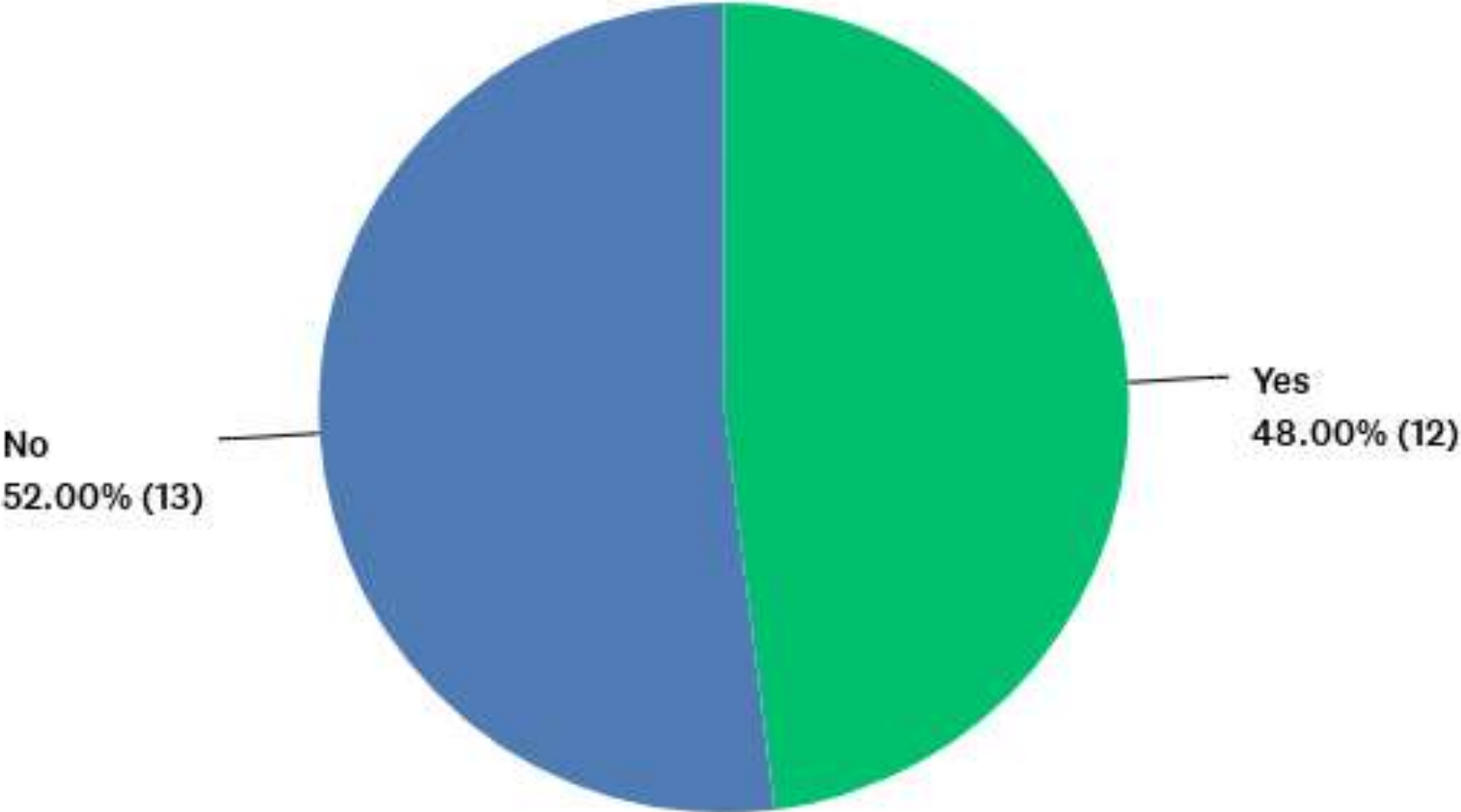
Q7: Who is primarily responsible for evaluation work in your Foundation / Organisation?

• Answered: 25 Skipped: 0



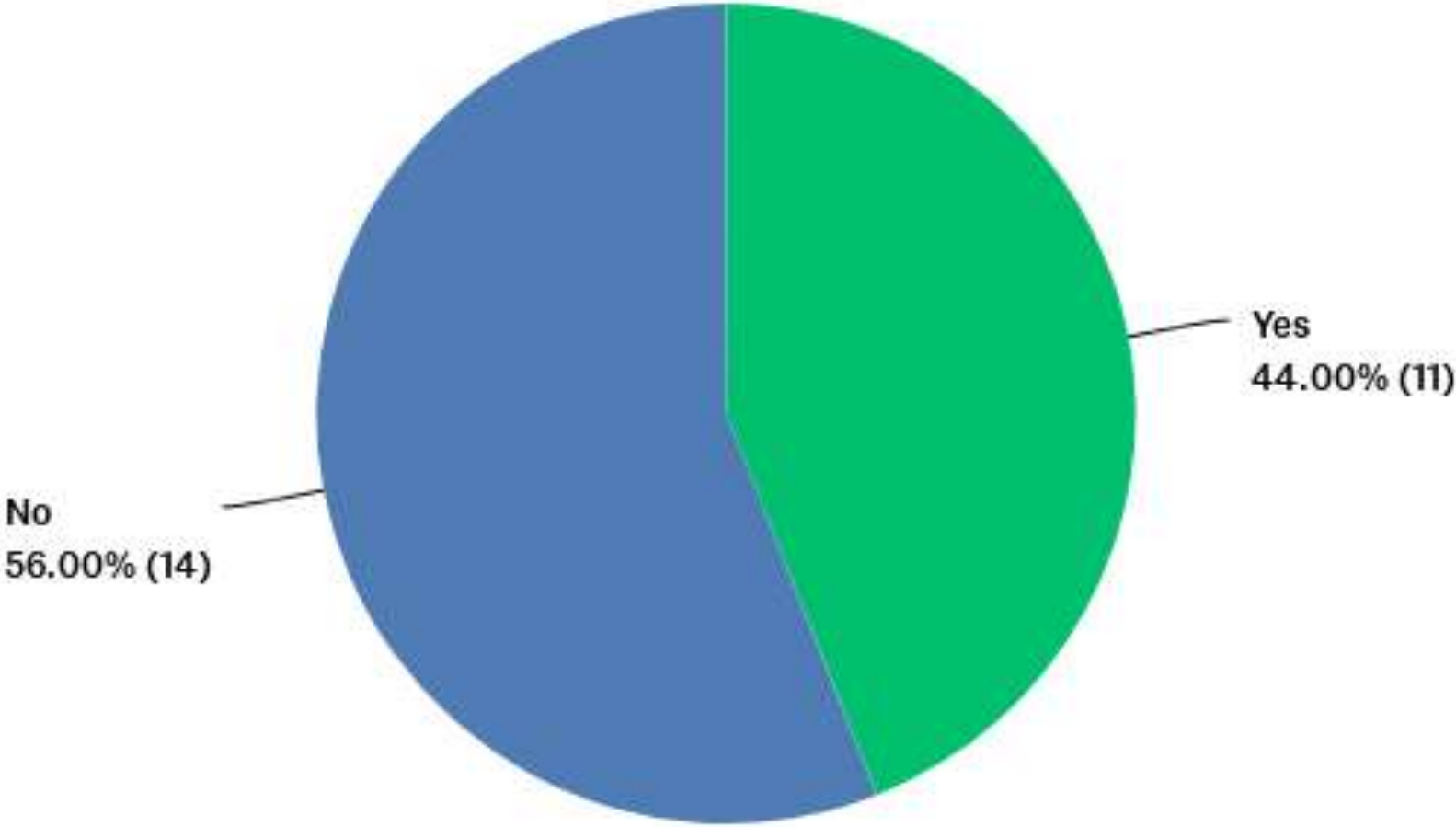
Q8: For (7) above, do the staffs also have programmatic grant making responsibilities?

• Answered: 25 Skipped: 0



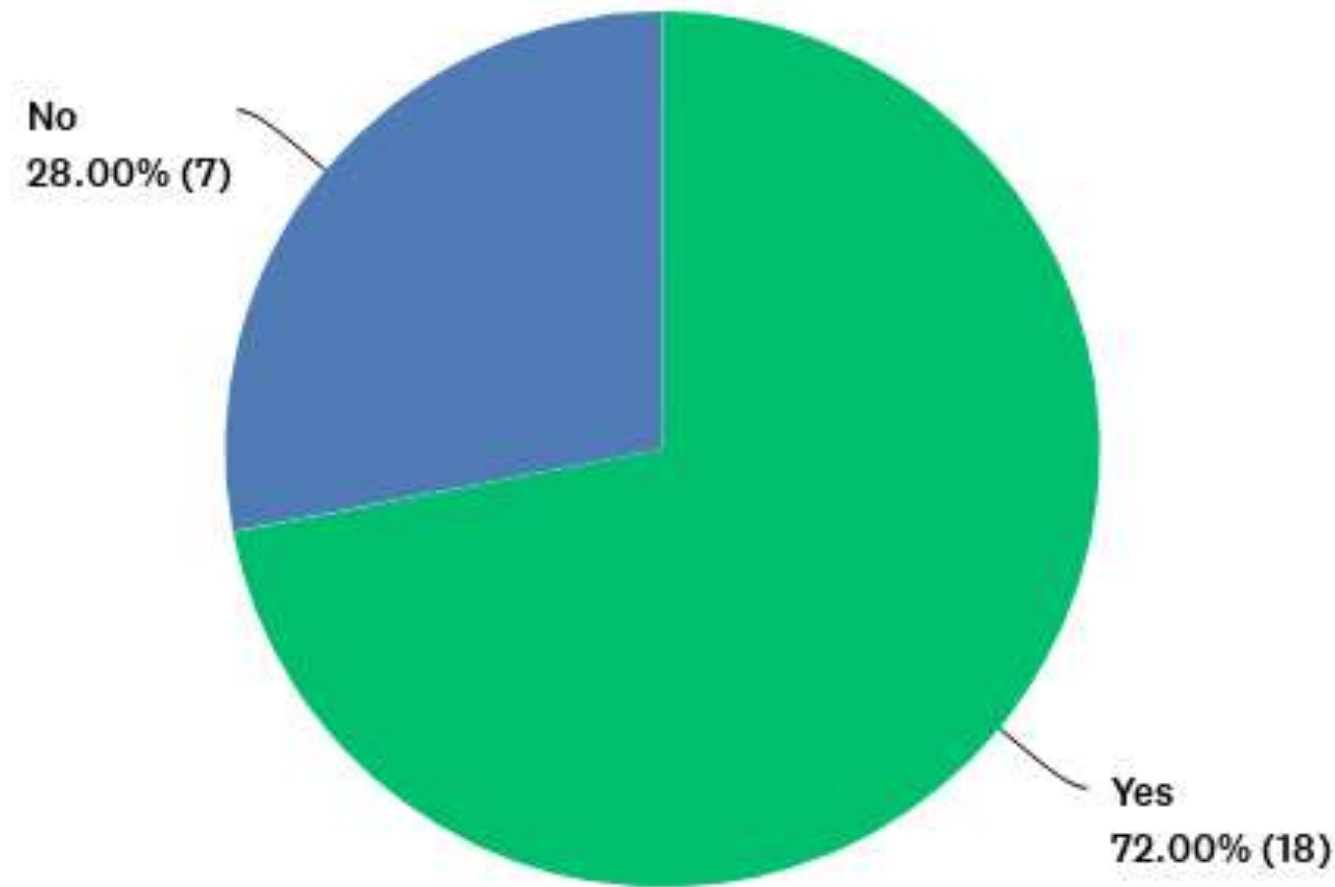
Q9: Do you have staffs who were responsible for supporting / learning separate from evaluation?

• Answered: 25 Skipped: 0



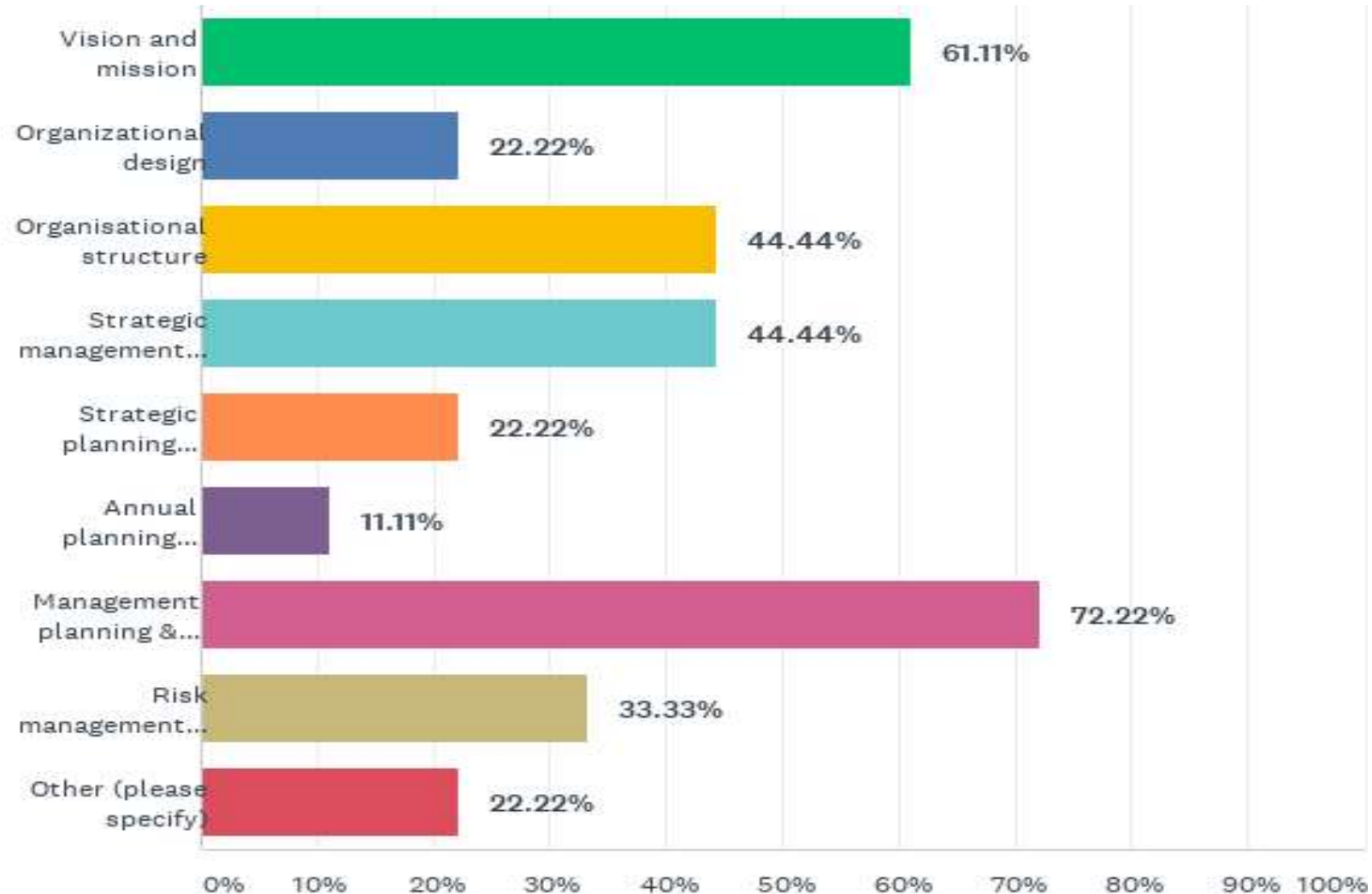
Q10: Do you evaluate the organizational capacities of your potential grantees such as NGOs?

• Answered: 25 Skipped: 0



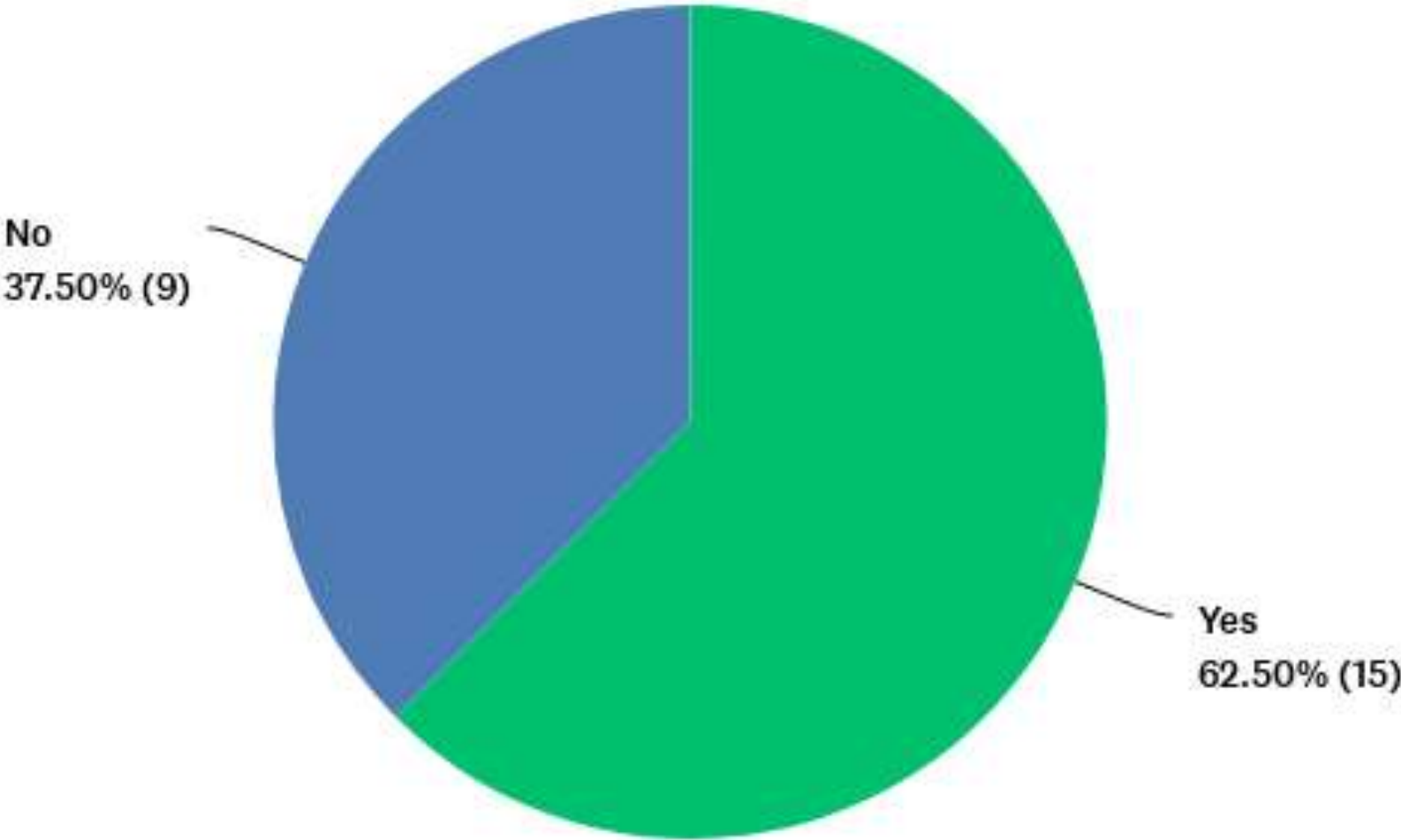
Q11: Please choose the areas which you will focus on or interested in related to your grantees?

- Answered: 18 Skipped: 7



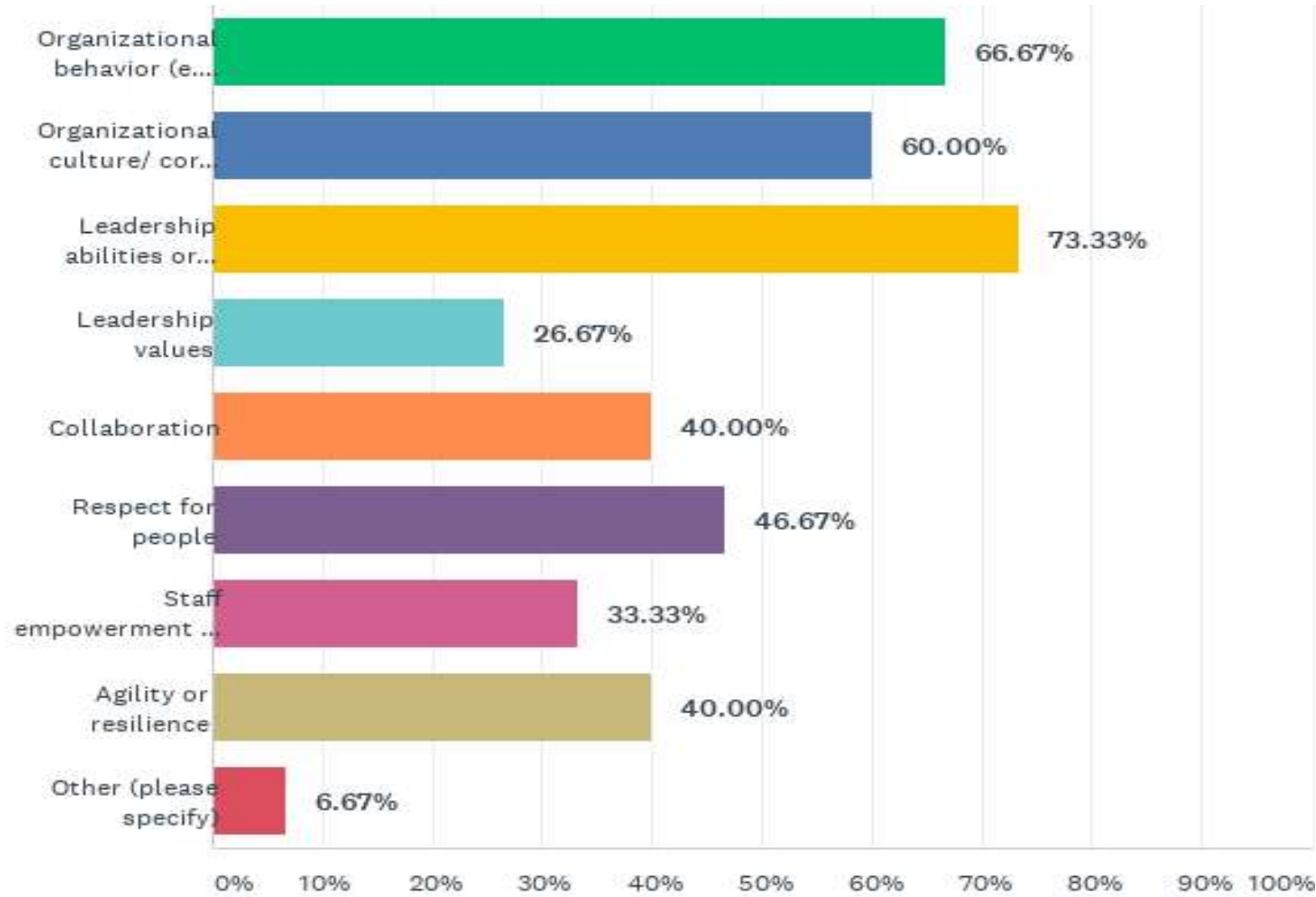
Q12: Do you evaluate the leadership/staff competencies or organisational culture of your potential grantees e.g. NGOs?

• Answered: 24 Skipped: 1



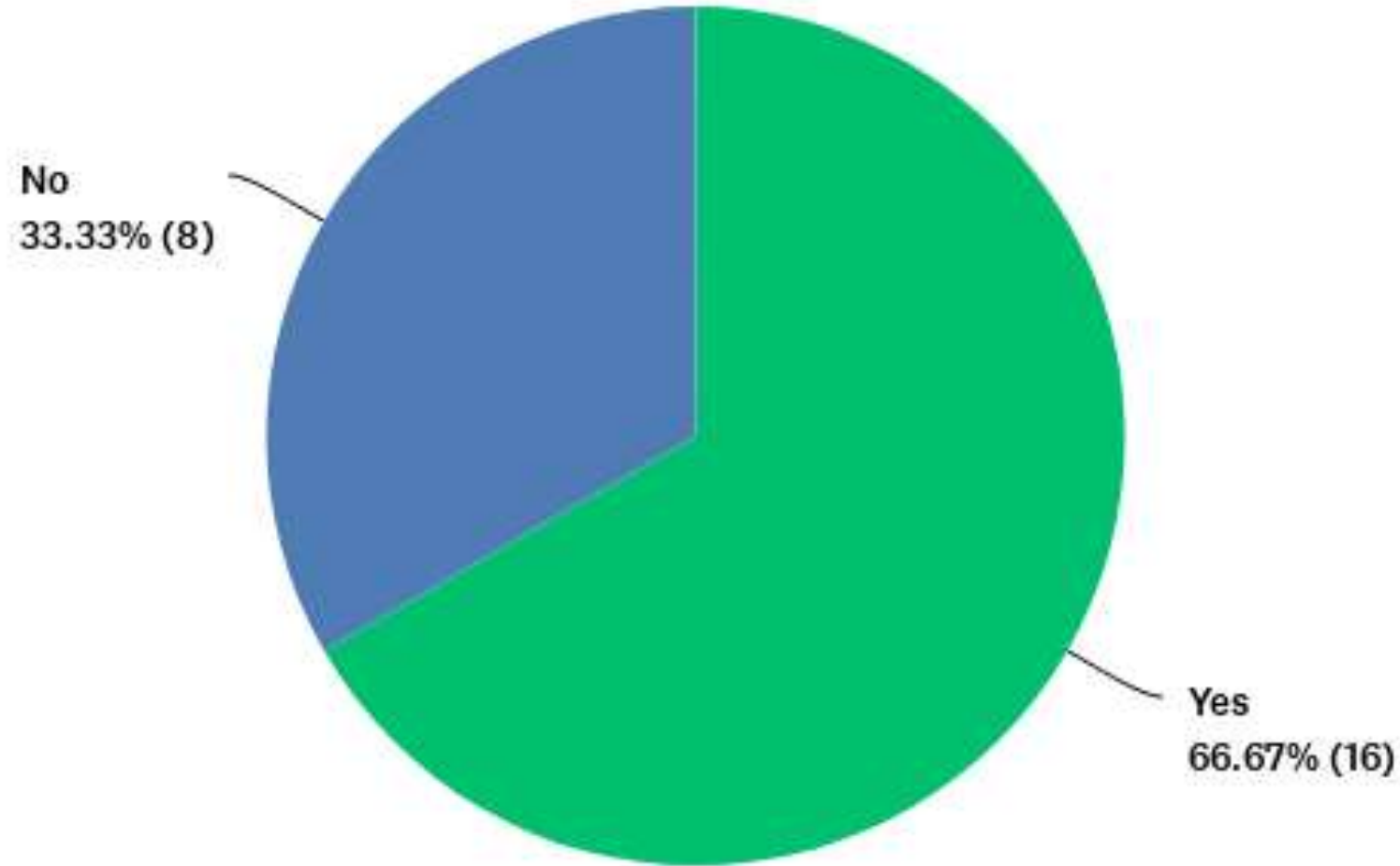
Q13: Please choose the areas which you will focus on or interested in related to the grantees?

• Answered: 15 Skipped: 10



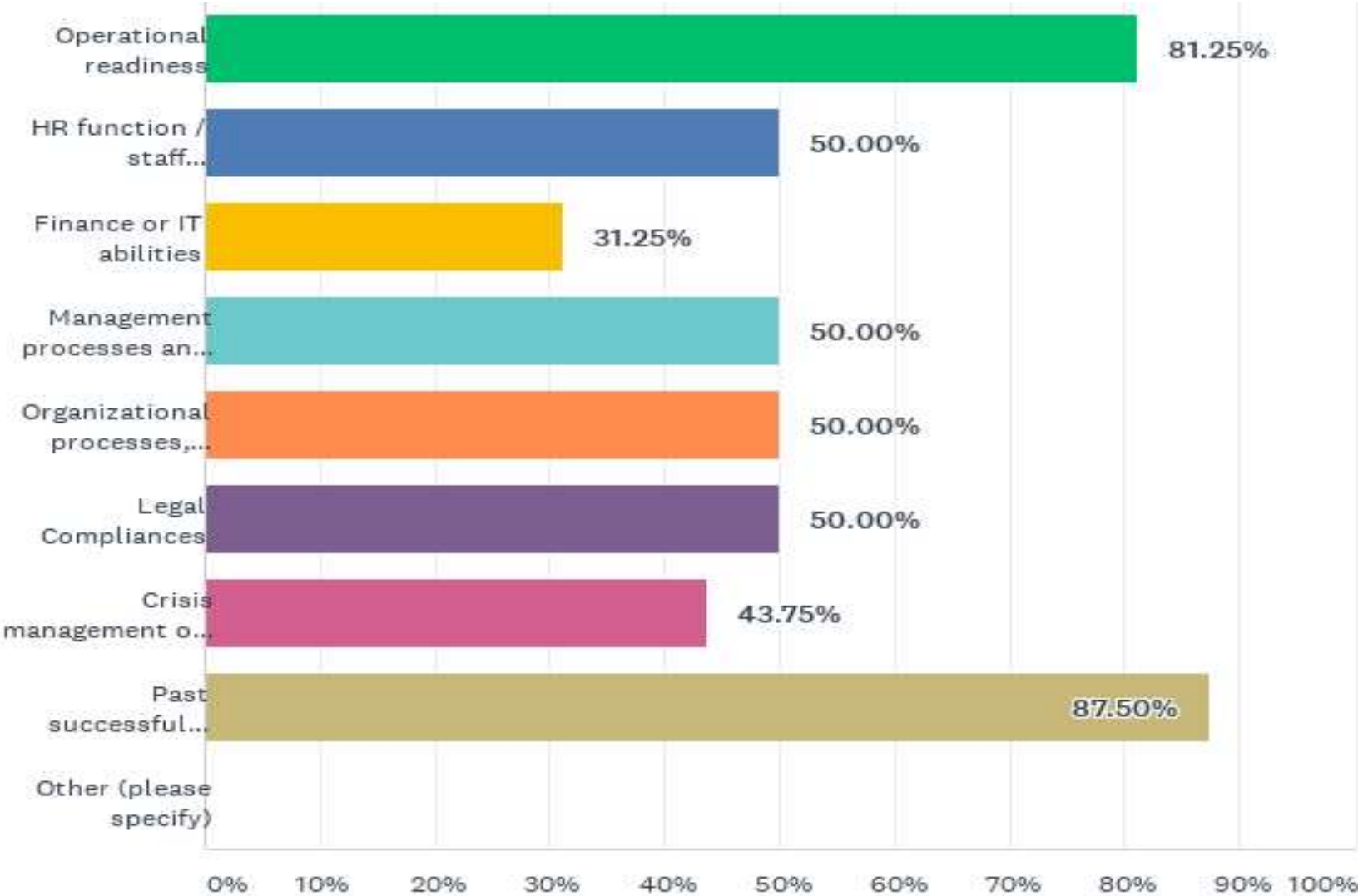
Q14: Do you evaluate the operational competencies or capacities of your potential grantees e.g. NGOs?

- Answered: 24 Skipped: 1



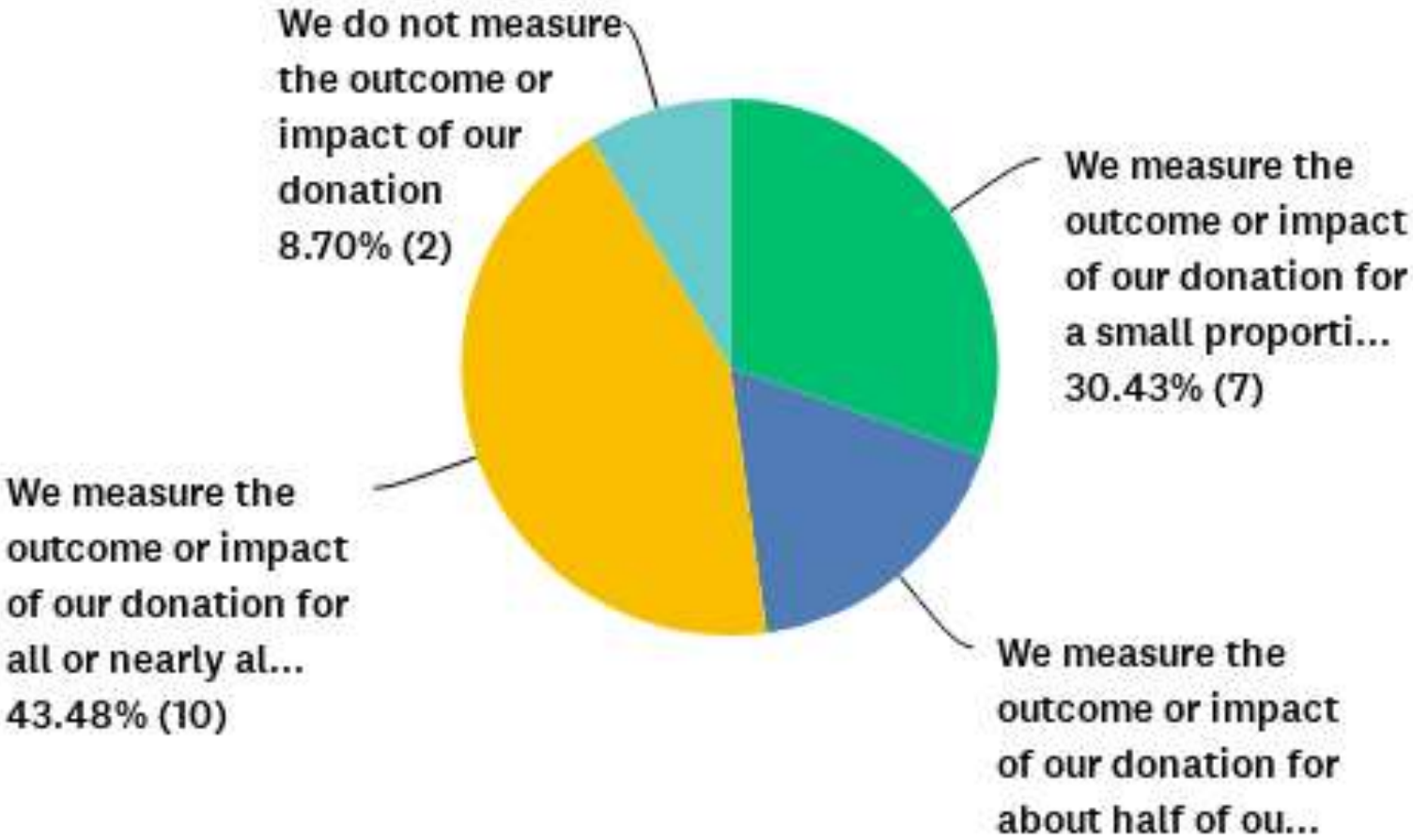
Q15: Please choose the areas which you will focus on or interested in related to the grantees?

• Answered: 16 Skipped: 9



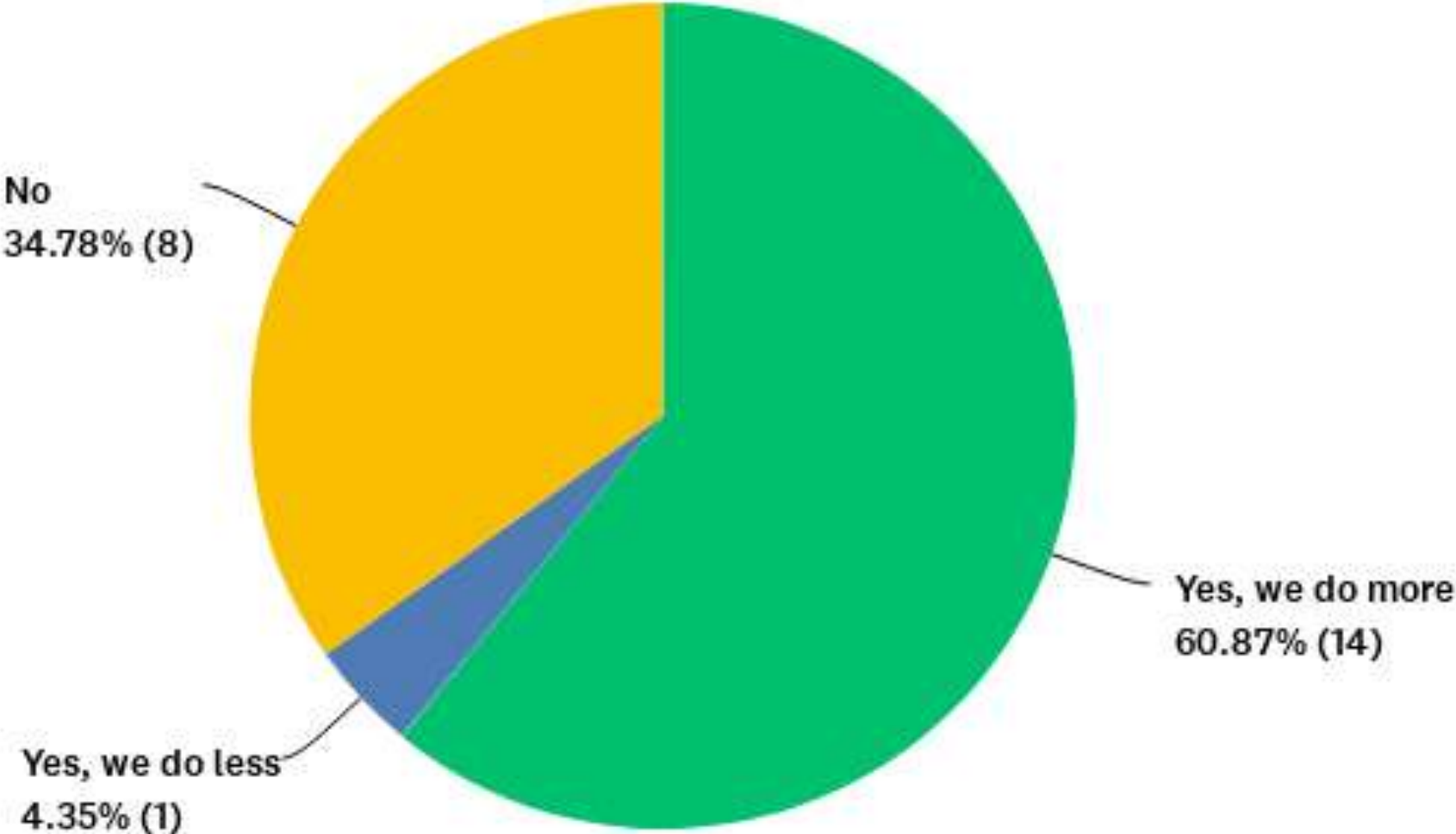
Q16: How commonly is Impact Measurement applied in your Foundation to evaluate the effectiveness of your donations (inc work and project)?

• Answered: 23 Skipped: 2



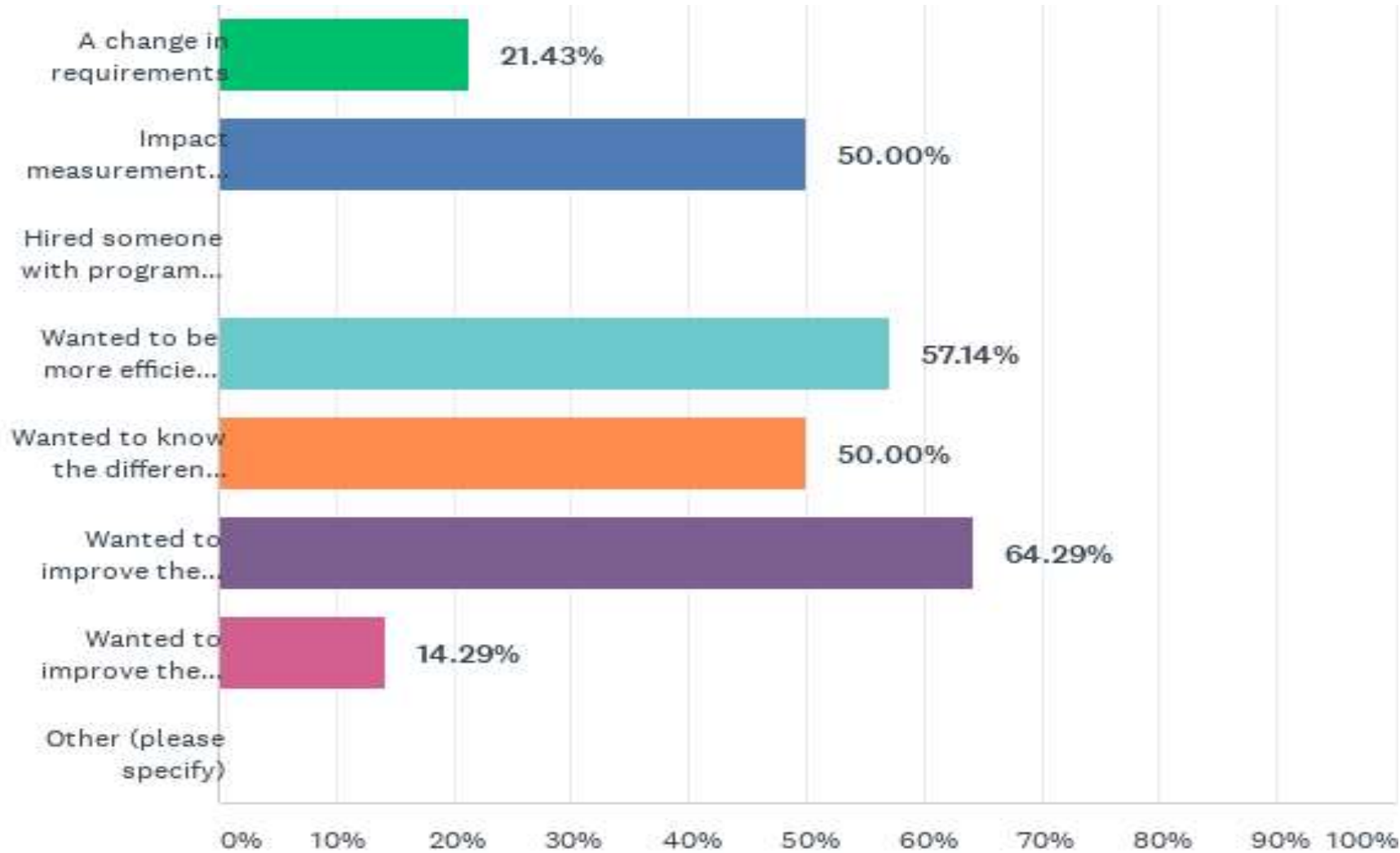
Q17: Has the amount of effort your foundation puts into measuring its impact changed during the last five years?

• Answered: 23 Skipped: 2



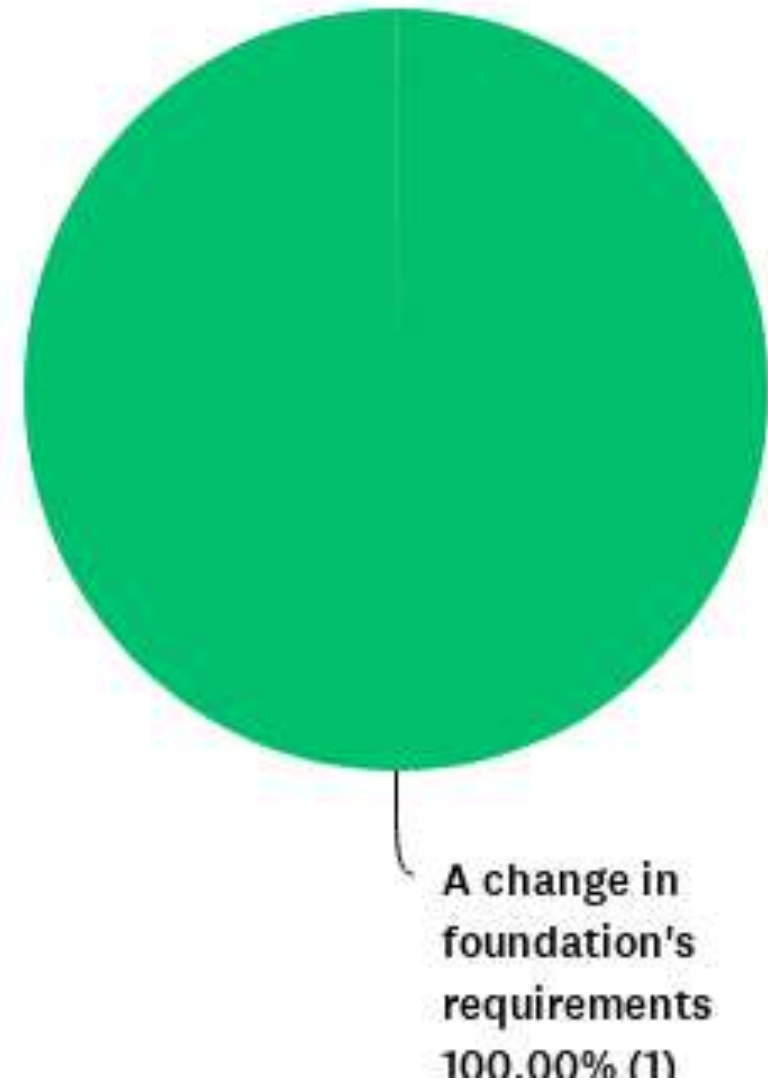
Q18: What's the main reason for this increase?

• Answered: 14 Skipped: 11



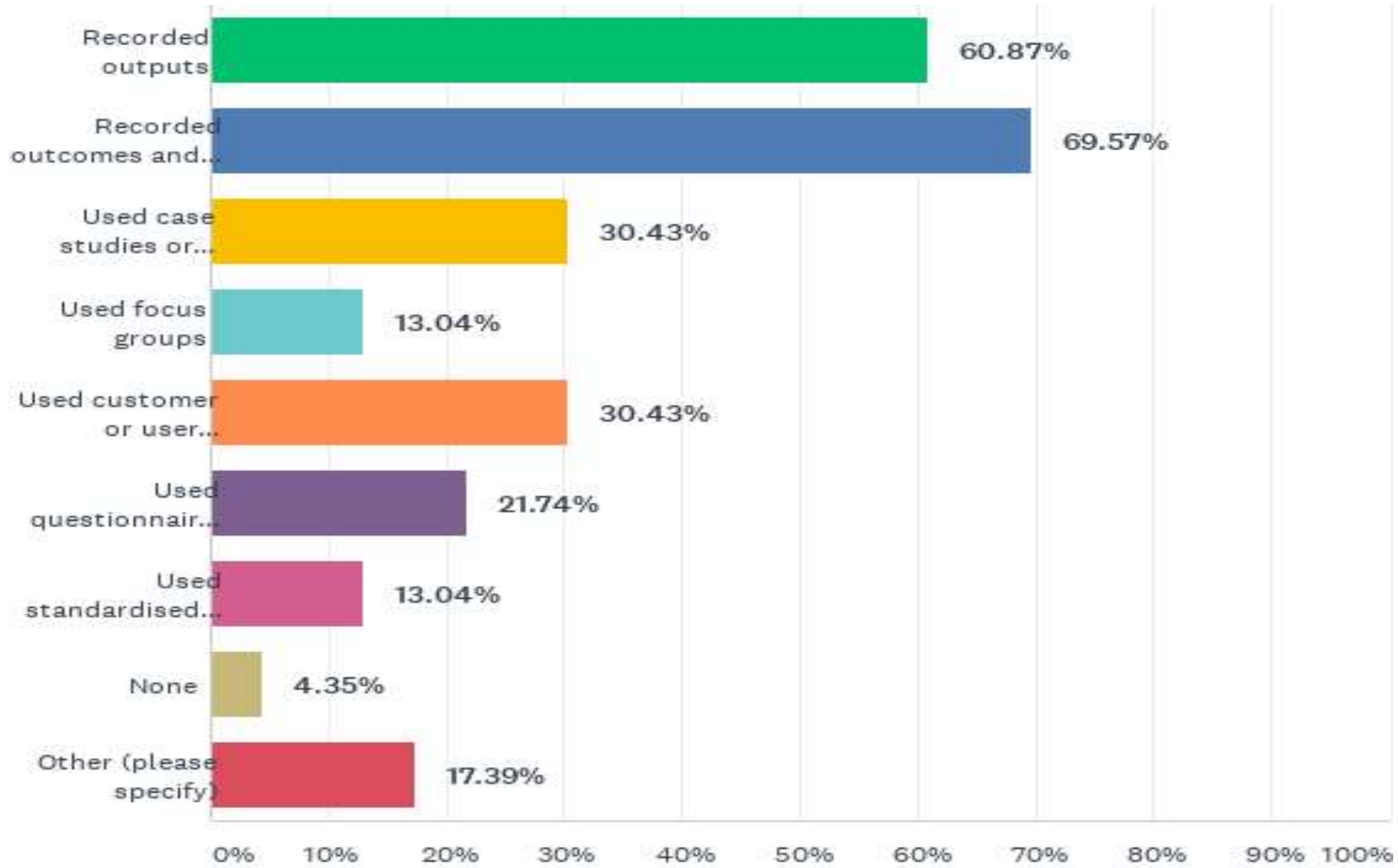
Q19: What's the main reason for this decrease?

- Answered: 1 Skipped: 24



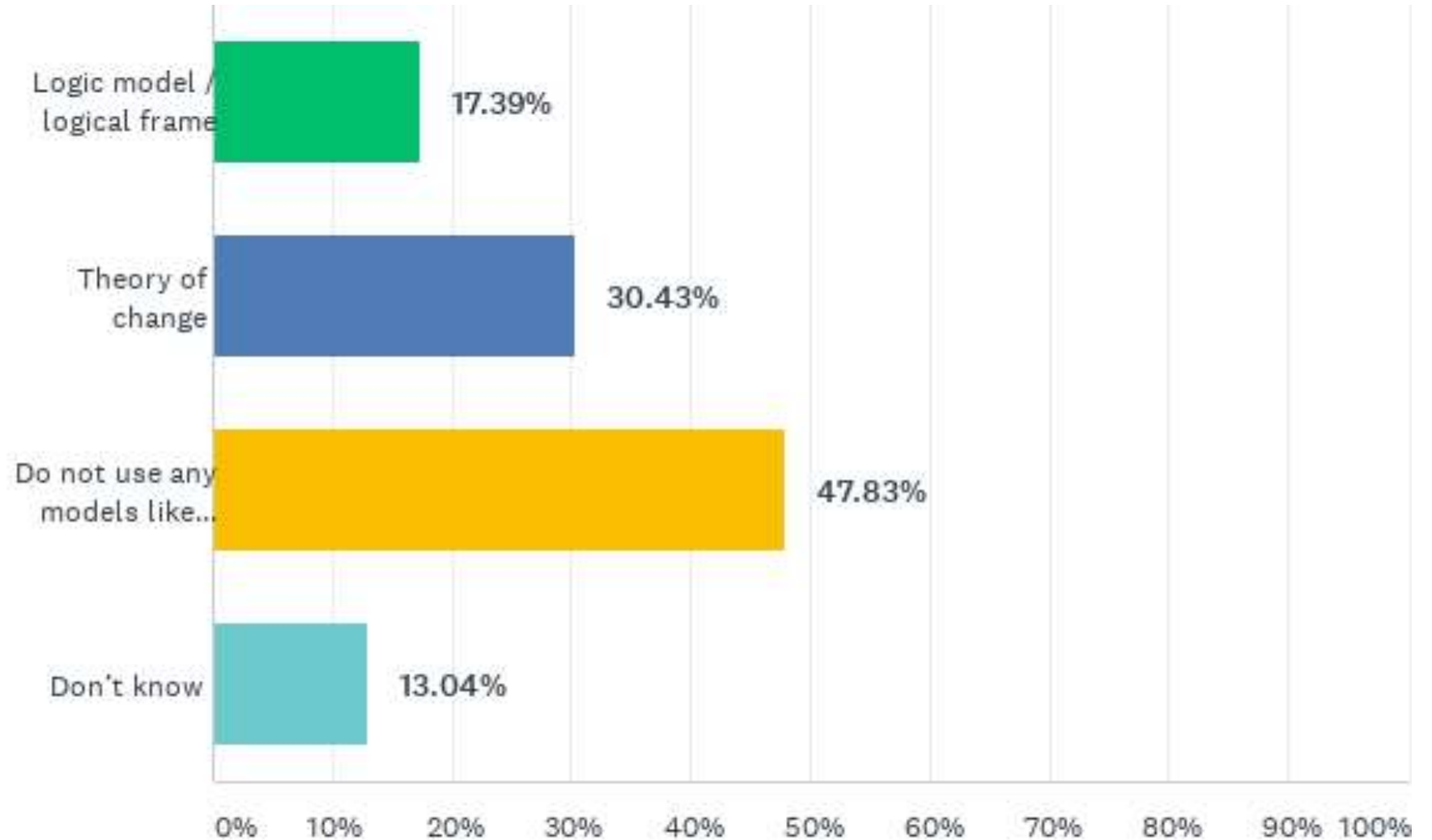
Q20: How did your Foundation / Organisation collect information about its projects / activities in the last year?

• Answered: 23 Skipped: 2



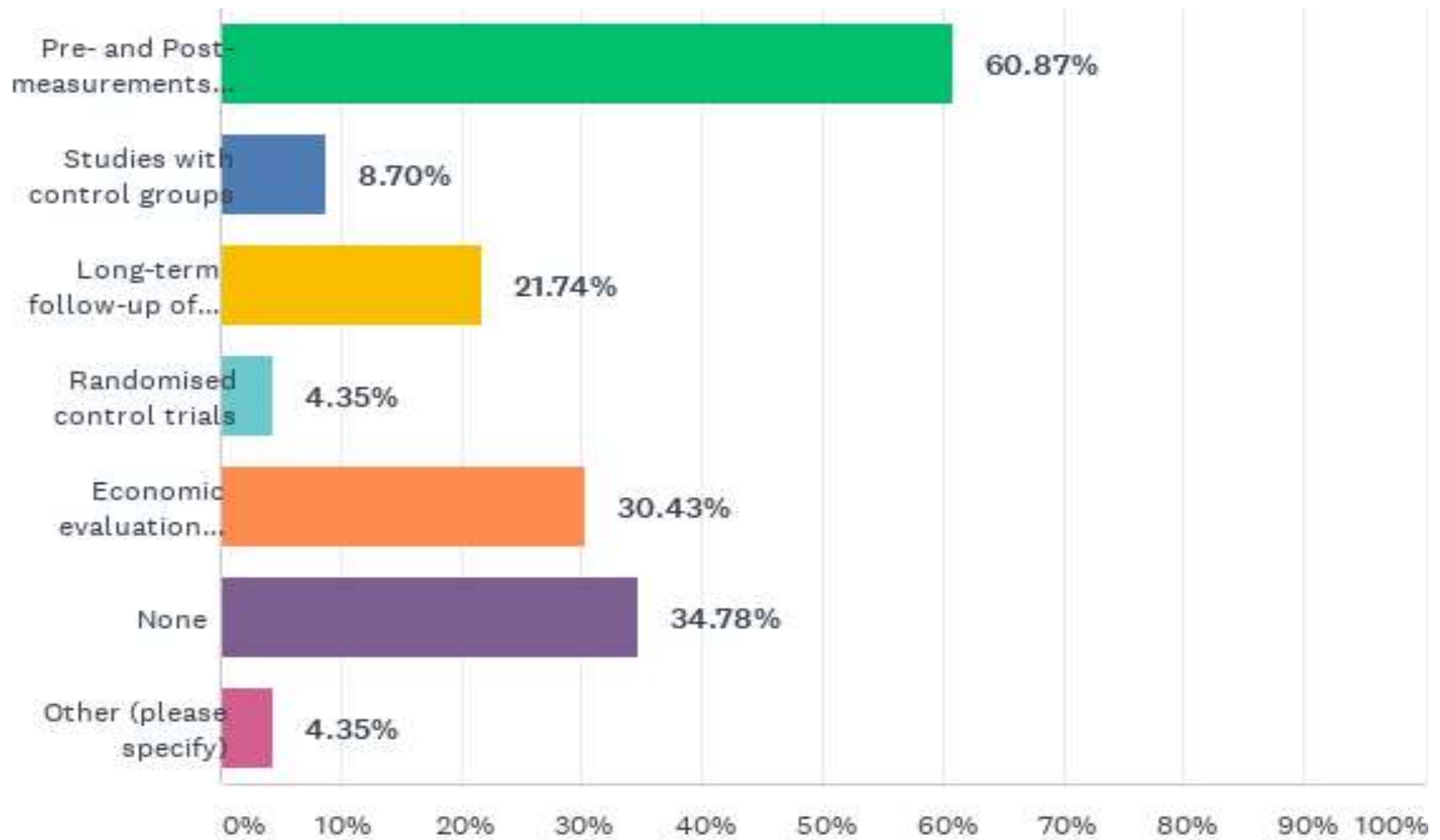
Q21: Which, if any, of the project planning models below has your Foundation / Organisation used?

- Answered: 23 Skipped: 2



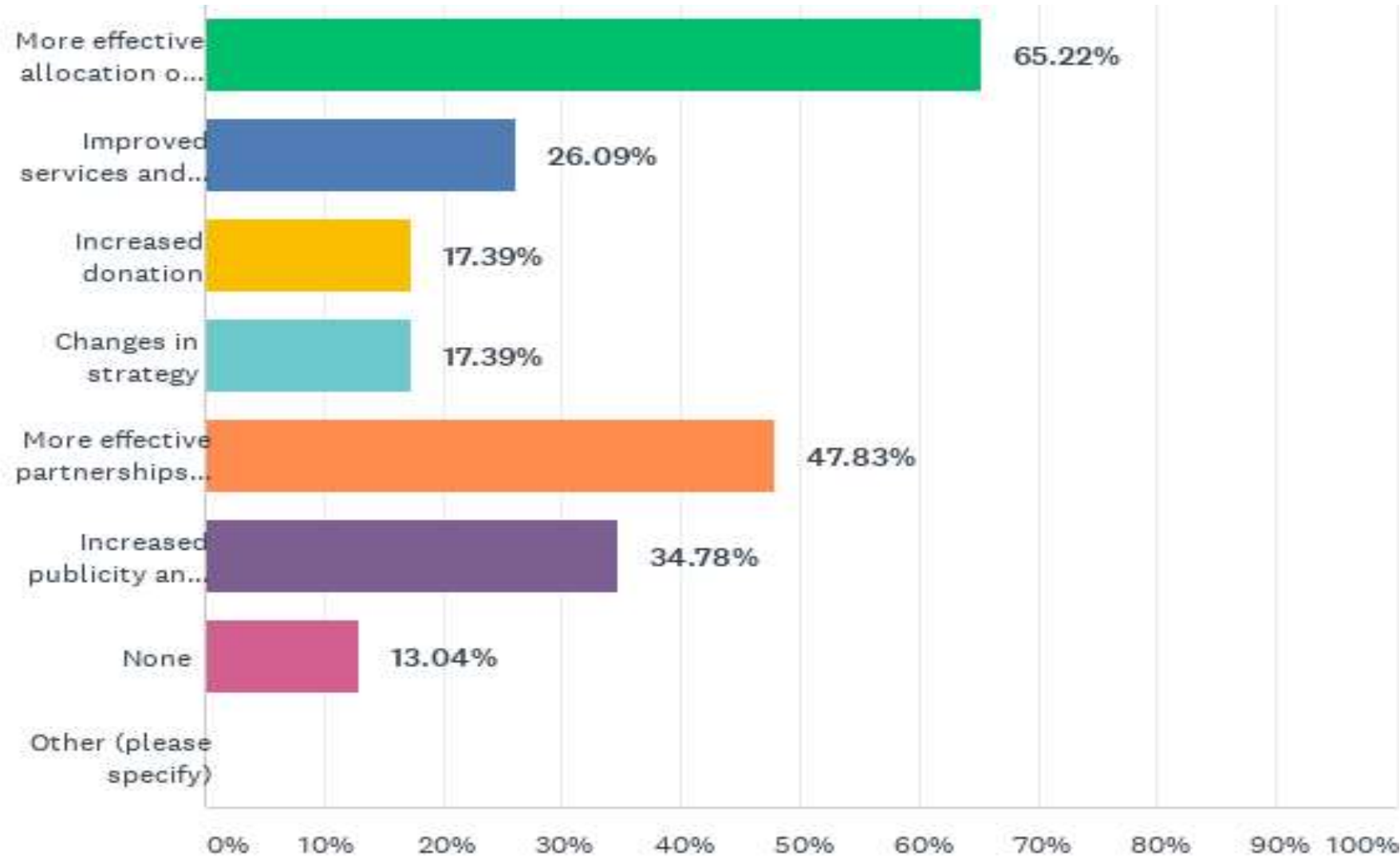
Q22: Has your Foundation/ organisation used any of the following evaluation practices?

• Answered: 23 Skipped: 2



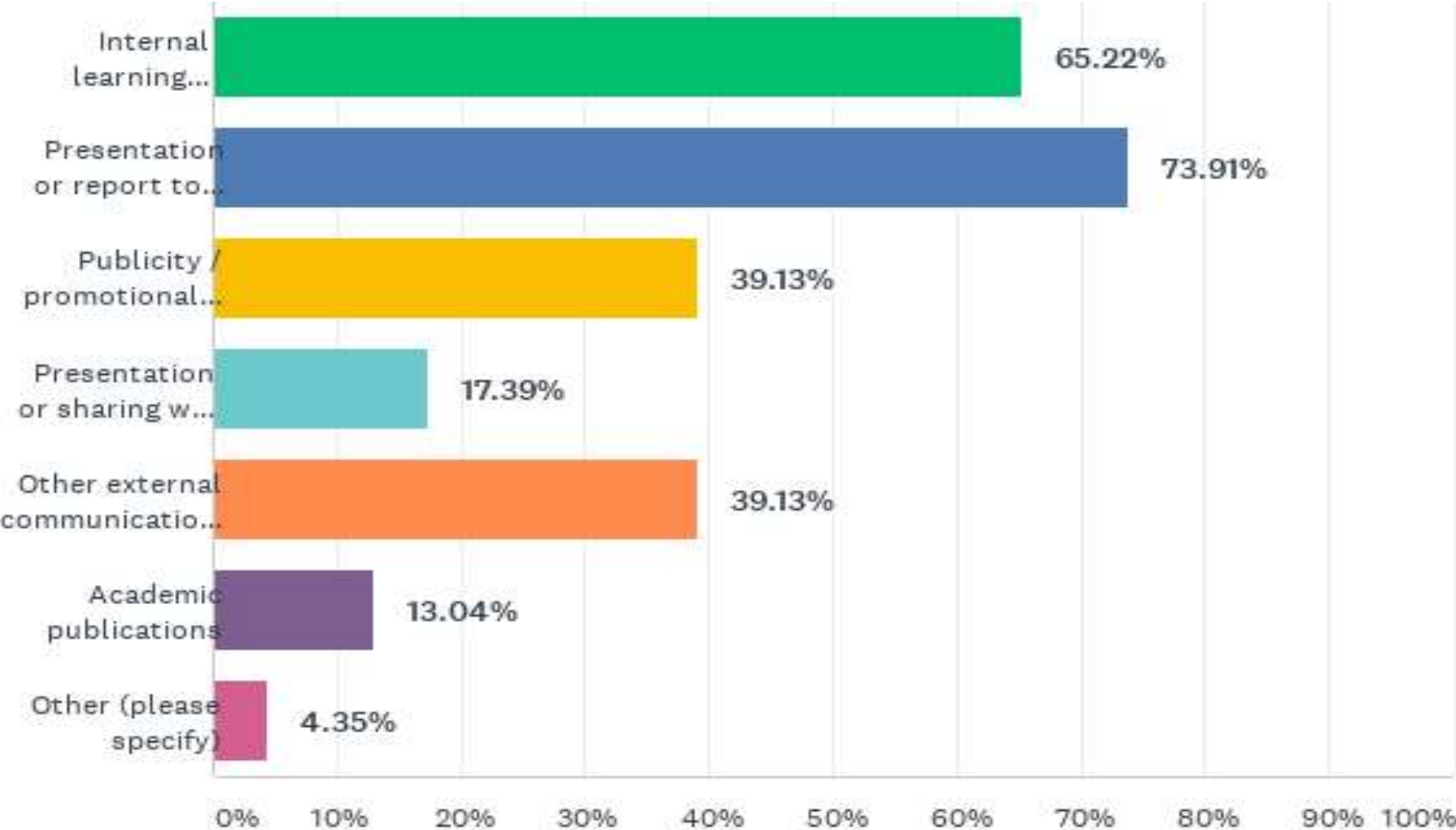
Q23: Has measuring your Foundation's / Organisation's impact led to any of the following benefits?

• Answered: 23 Skipped: 2



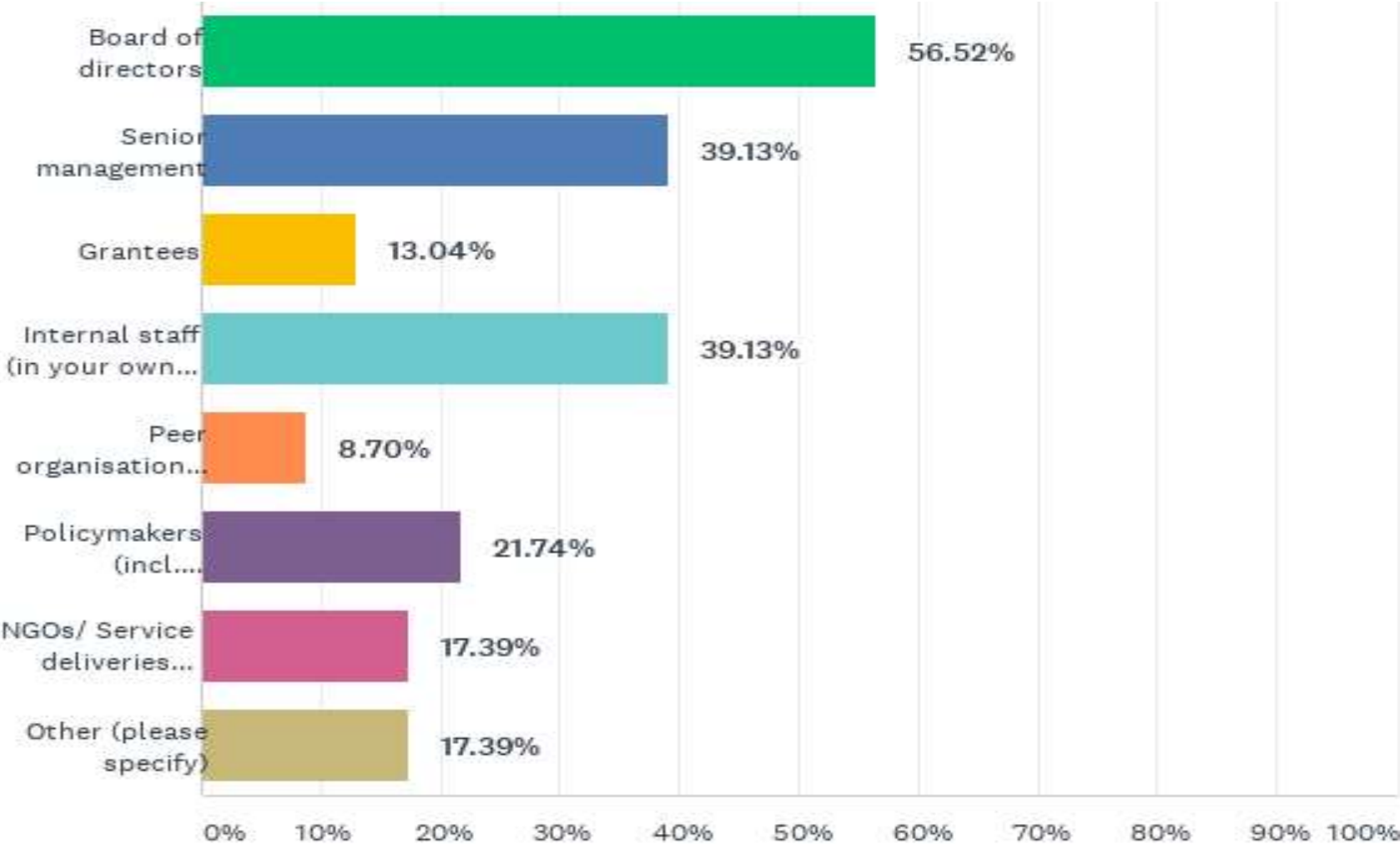
Q24: How did your Foundation / Organisation use results from impact measurement in the last year?

• Answered: 23 Skipped: 2



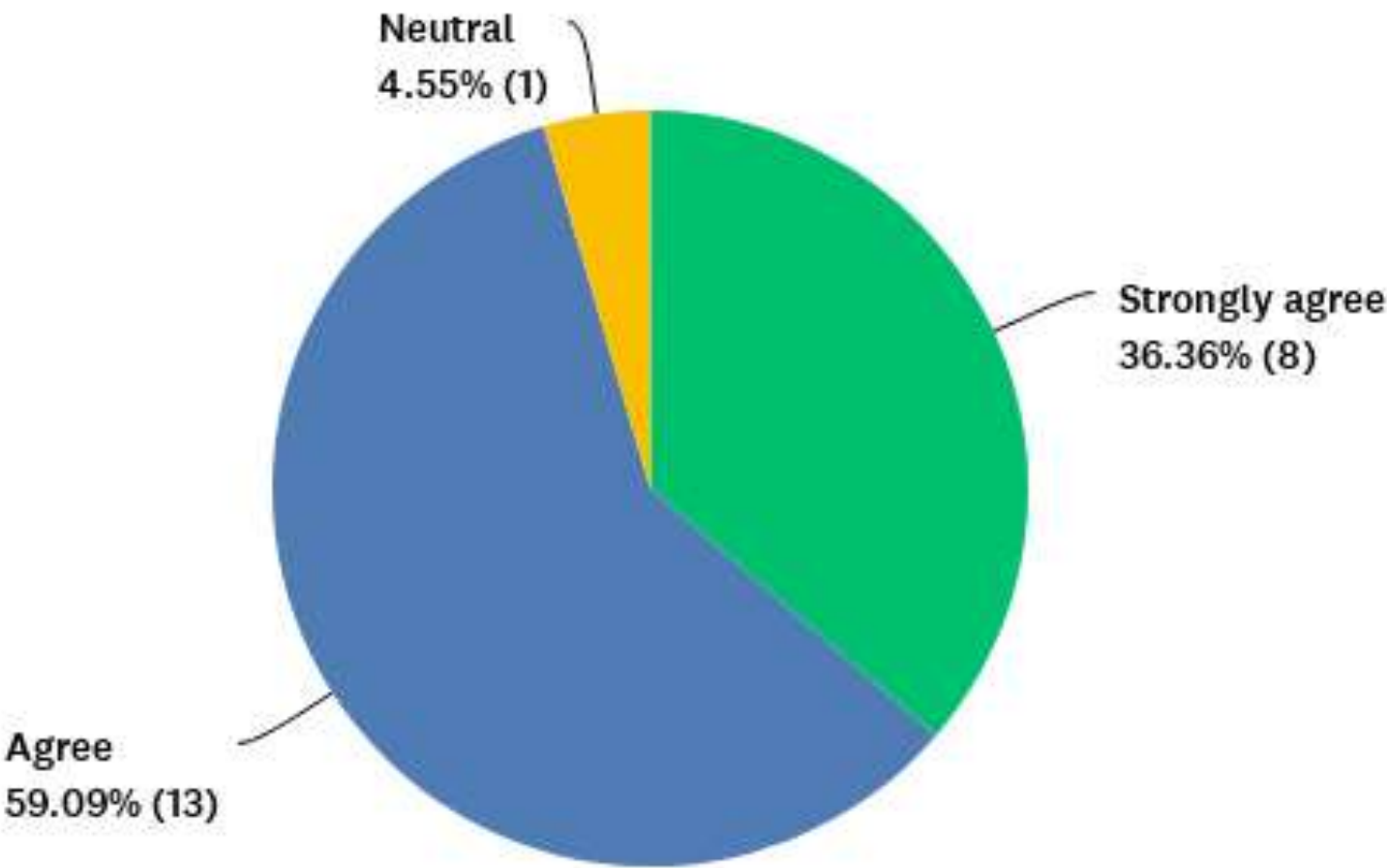
Q25: Who would you say is the primary audience(s) for your Foundation's / Organisation's impact measurement results?

• Answered: 23 Skipped: 2



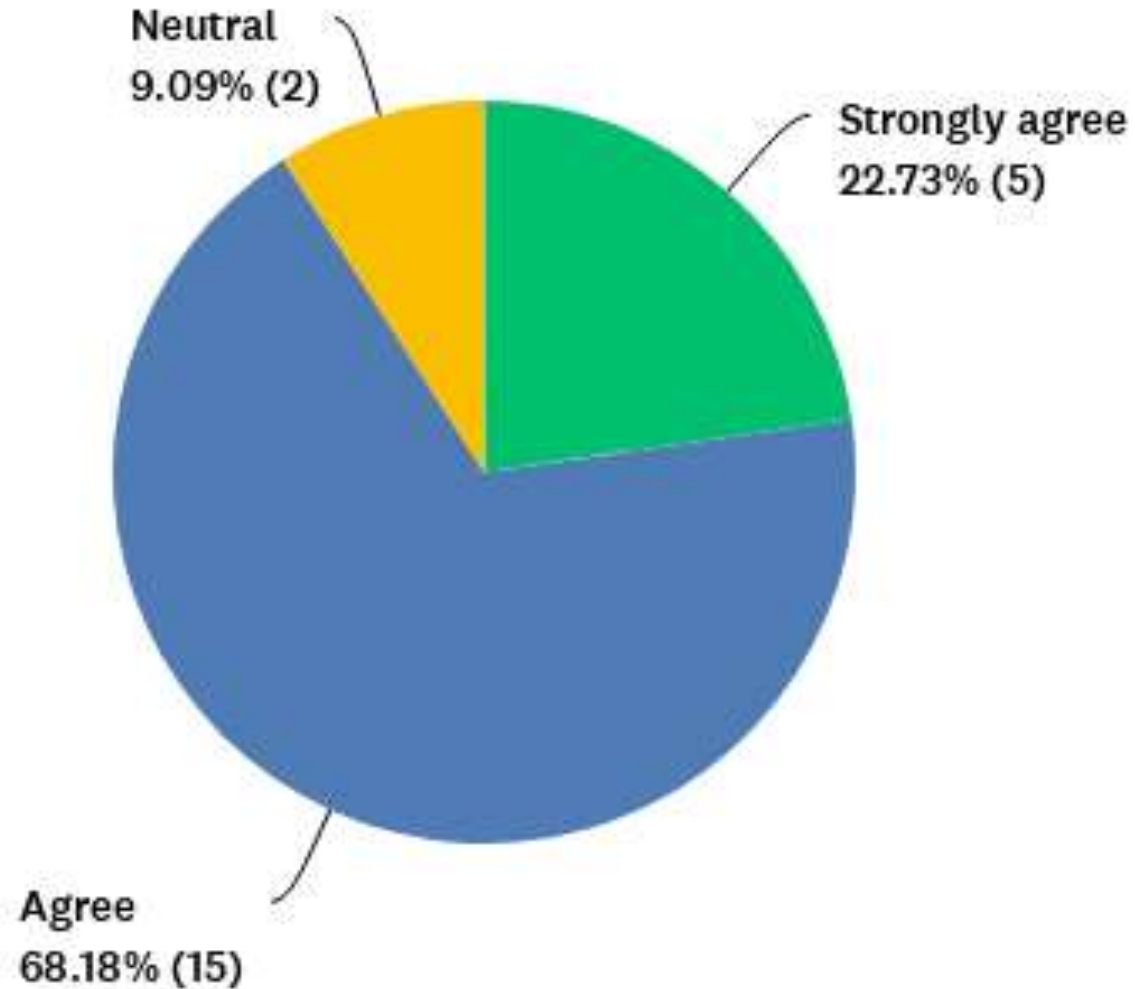
Q26: Impact measurement and evaluation framework can make foundations / organisations more effective & efficient.

• Answered: 22 Skipped: 3



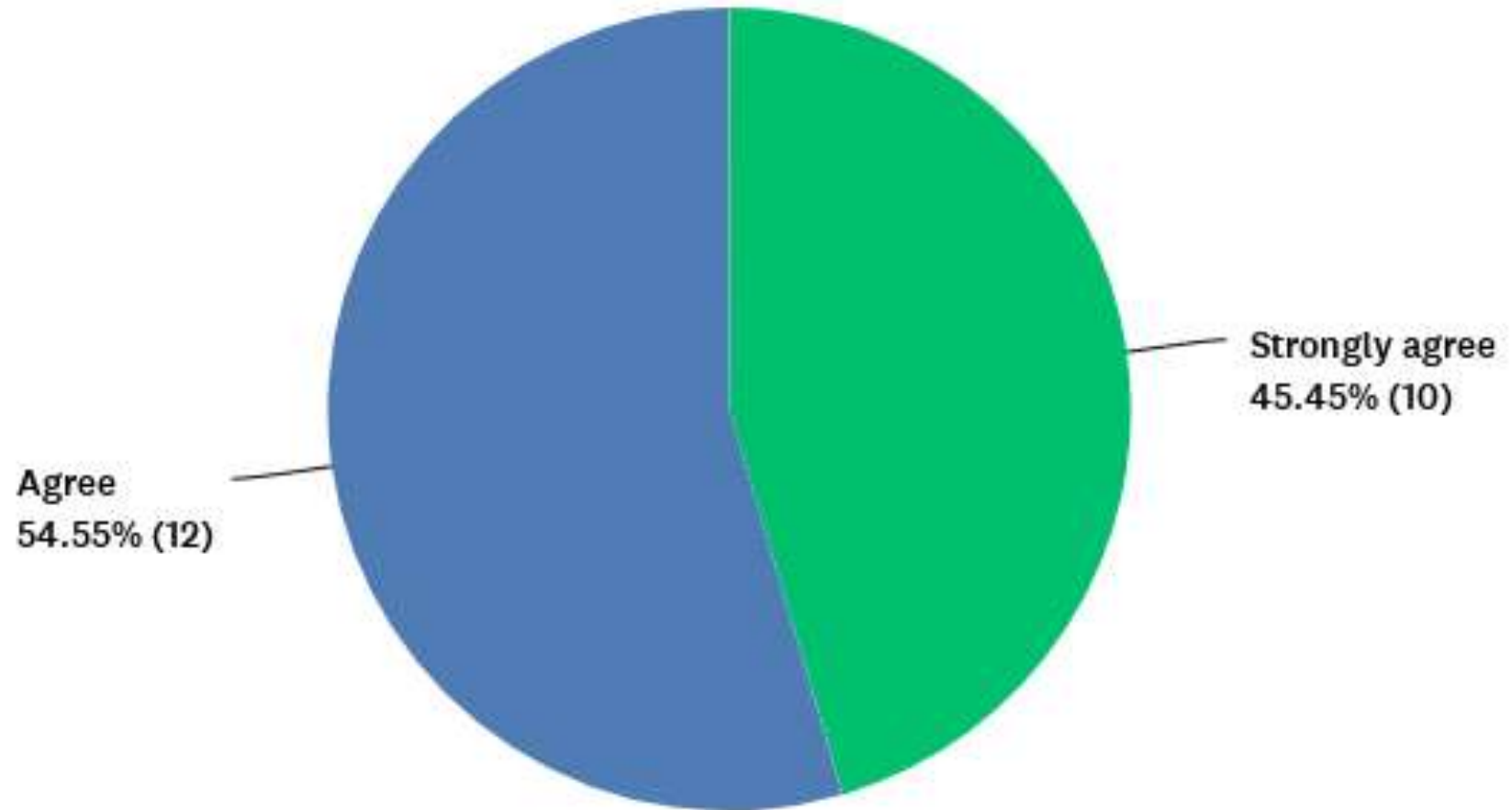
Q27: There is a pressing need to build sector capacity and strengthen the evaluation methods / framework for philanthropic foundations and/or NGOs in HK.

- Answered: 22 Skipped: 3



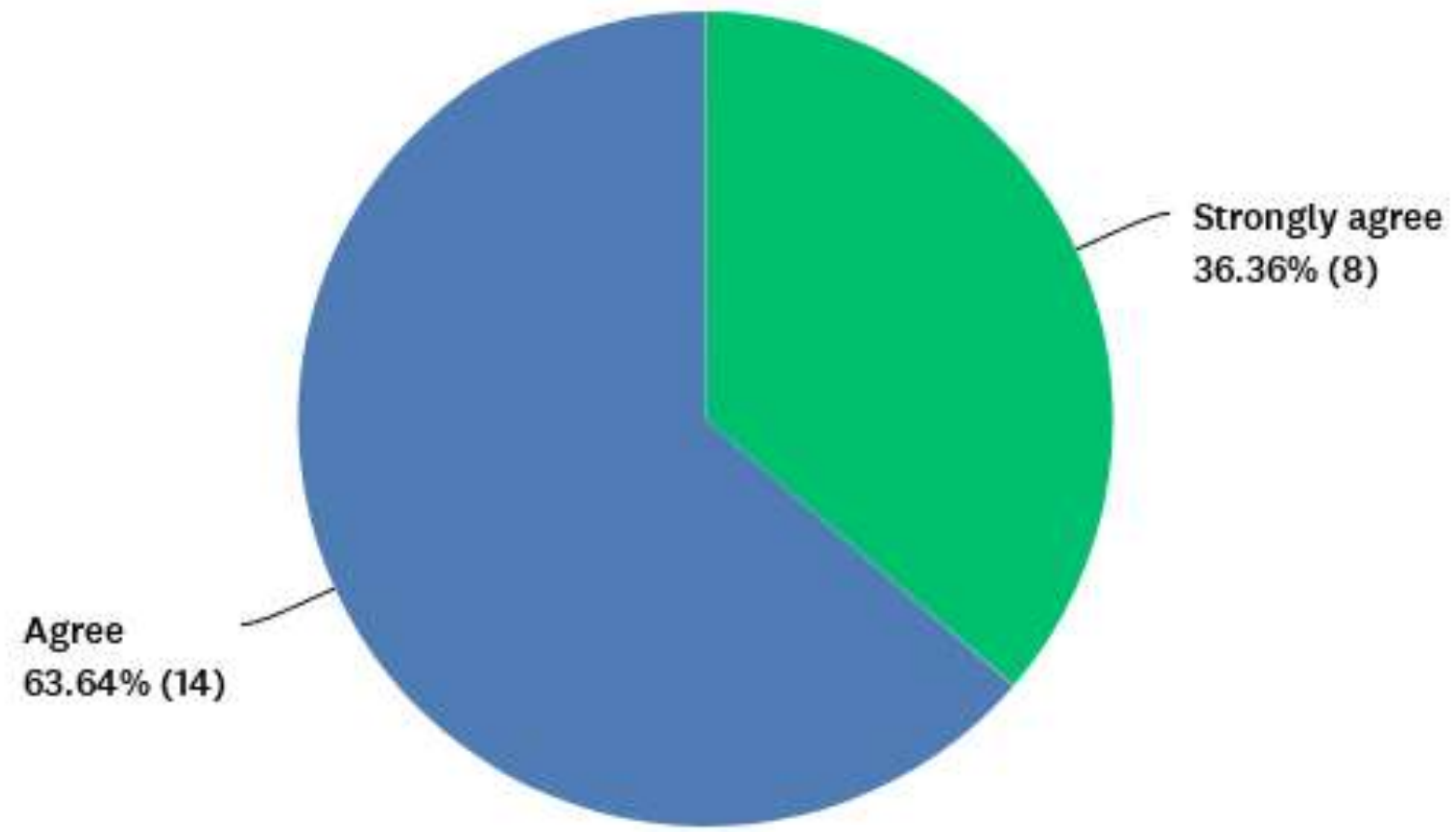
Q28: A good management in philanthropic foundation is both an art and science of getting things done effectively and efficiently through people and other required resources guided by strategic and operational capabilities of the organisation.

• Answered: 22 Skipped: 3



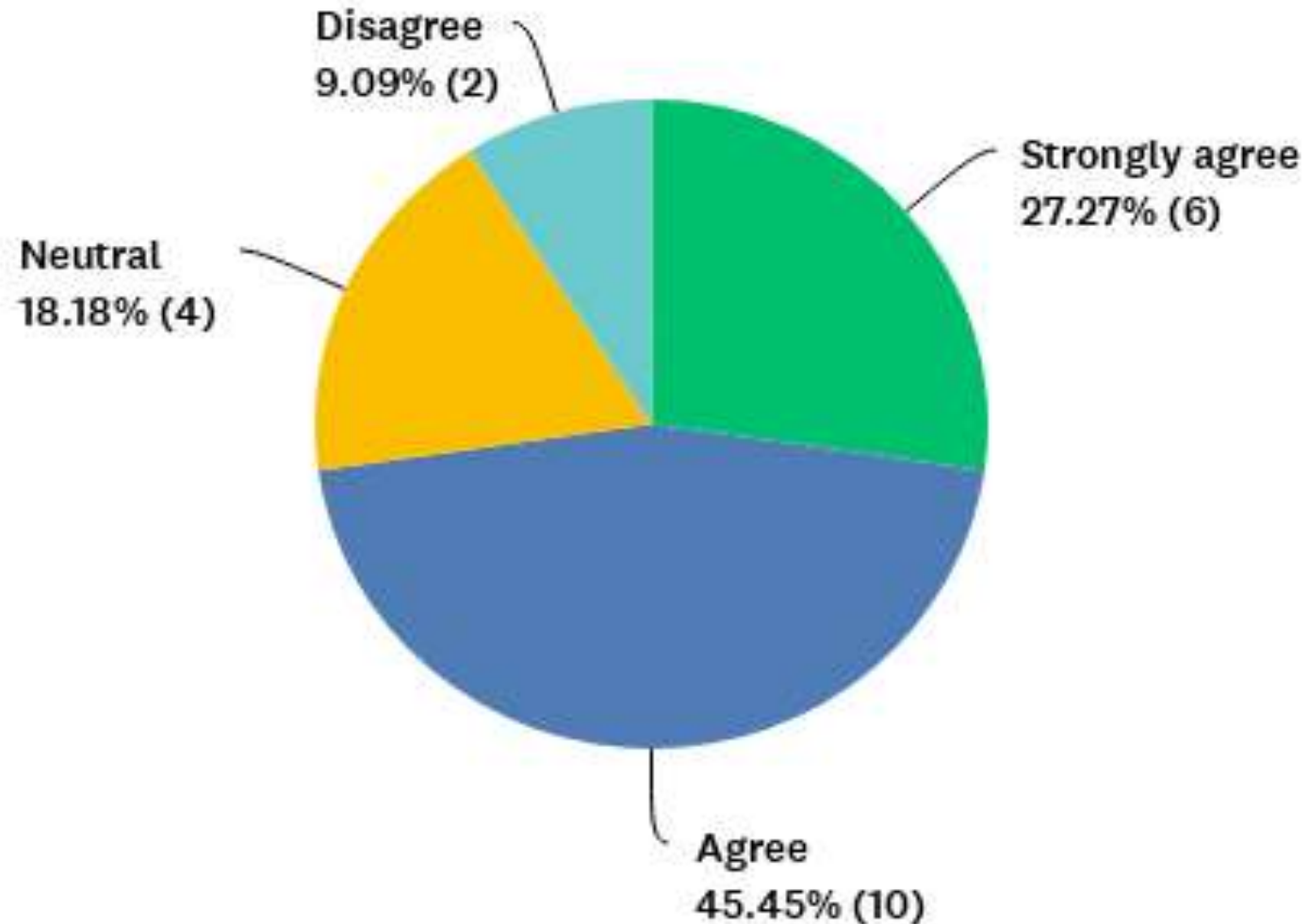
Q29: Competent strategists in foundation are required to adopt a holistic manner to envision the overall business environment and social trends, identify opportunities, foresee challenges and threats as well as to effectively respond faster than others in order to address the social needs.

• Answered: 22 Skipped: 3



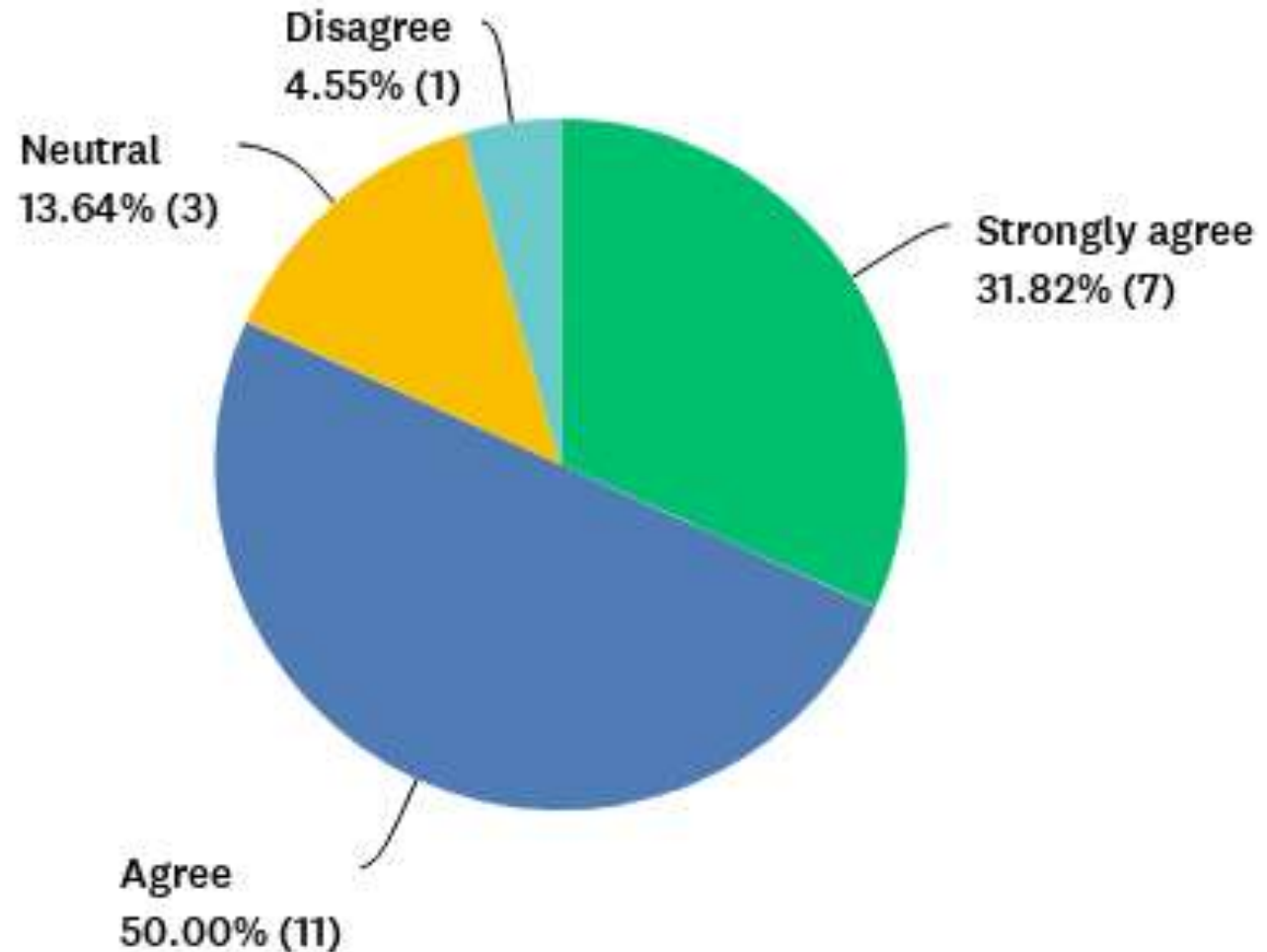
Q30: Making money is far easier than giving it away effectively. In business, you go after the low-hanging fruit, whereas in philanthropy you are trying to tackle problems that are inherently difficult and long term.

- Answered: 22 Skipped: 3



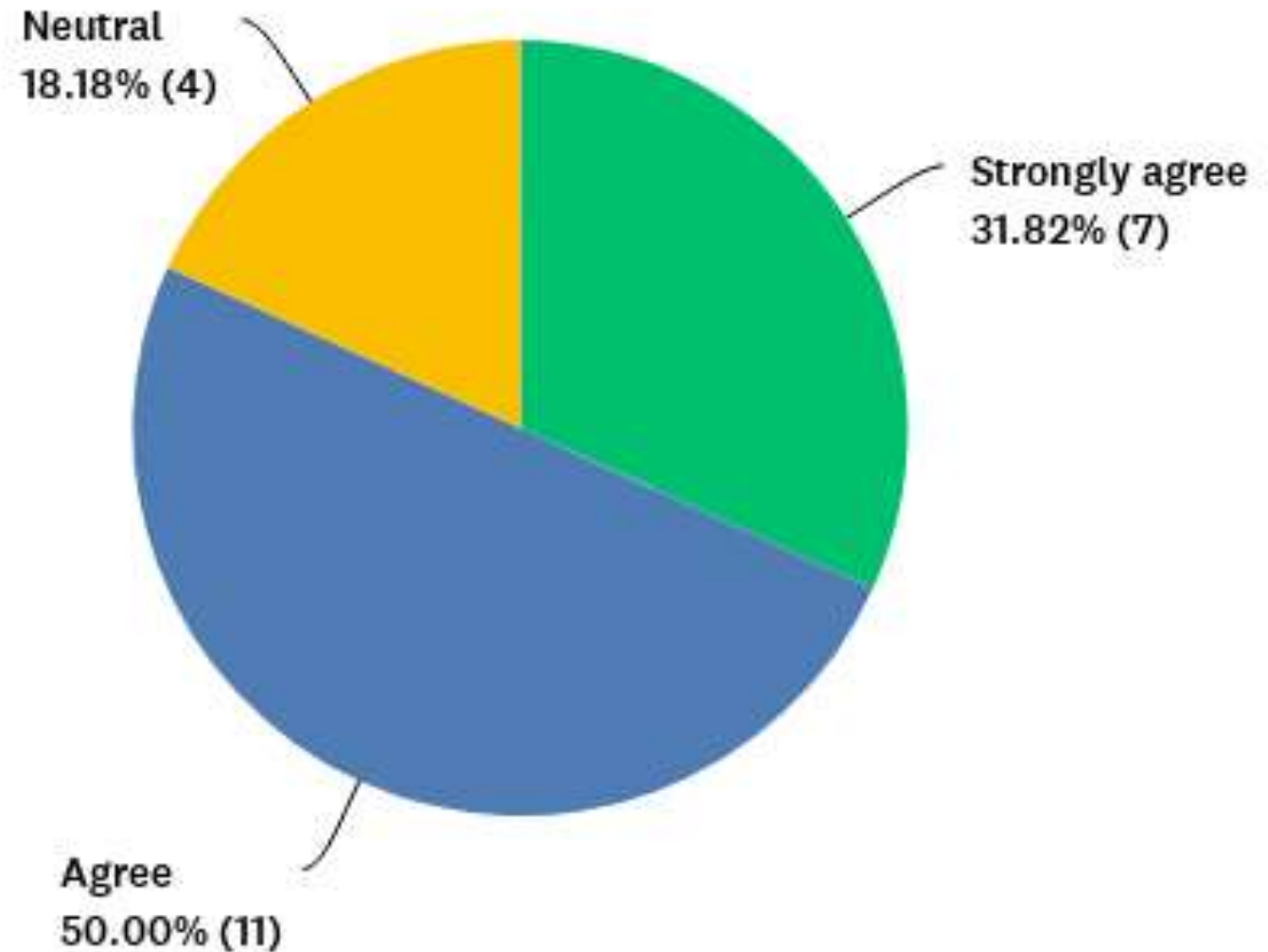
Q31: Philanthropic Foundations always have genuine motives for giving, but people too often let their philanthropy be guided by their hearts alone. Deciding what you will do to make change happen is a strategic choice and a holistic view that requires your head, your heart and your hand.

- Answered: 22 Skipped: 3



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.

• Answered: 22 Skipped: 3



Q 33. What additional suggestions do you have for strengthening evaluation practices among foundations/funders in Hong Kong?

Answered: 8 Skipped: 17

- Organisations need to look at long-term results and impact, ie, not short-sighted and merely going after short-term results.
- 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

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)