

ETHICS BIBLIOGRAPHY

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FOREWORD

Ethics in Fundraising: A Resource Guide and Selected Bibliography has been prepared under the direction of the ALDE Ethics Committee for use by development professionals.

We hope the material is of value to ALDE members seeking more information on the ethical implications of their work with donors and organizations. The references are annotated to provide quick insight into the information in the publications.

The material was originally compiled for the Committee by Elizabeth Kaschins, professor and reference librarian at Luther College, Decorah, Iowa. This version updates that work with dozens of new entries compiled by Rick AmRhein, Dean of Library Services at Valparaiso University, Valparaiso, Ind.

Chair, ALDE Ethics Committee

PREFACE

Scope

The specific subject focus of this resource guide and selected bibliography is ethics in fundraising in the nonprofit sector. Books, book chapters, and articles that discuss the related topics of values, standards, accountability, integrity, reputation, regulations, and the law as related to philanthropy, fundraising, and management in the nonprofit world are included also.

Excluded are general or philosophical treatments of ethics, philanthropy, fundraising, and nonprofit management as well as corporate or business ethics, management, and philanthropy. Reports of charitable organization fundraising scandals are generally omitted.

The bibliography sections provide references and descriptive annotations of books, parts of books, and articles published from 1990 to the present. All should be available from libraries and bookstores, at one or more of the World Wide Web sites listed, or by personal or institutional membership in one of the associations or organizations. Masters theses and doctoral dissertations, very few of which were identified, and conference papers are not included in this work. The authors of such works often are represented as the editors and authors of books, chapters, and articles that are included.

Questions, suggestions, and criticism are welcome and encouraged. It must be known that I accept all responsibility for errors of inclusion, exclusion, and judgment.

RICHARD AMRHEIN

Dean of Library Services

Christopher Center for Library & Information Resources

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WORLD WIDE WEB RESOURCES

Compiler's Note:

The World Wide Web sites for associations, organizations, academic and research institutes, publishers, and bookstores included in the listing below share several valuable characteristics by providing:

General information about the association or organization for members and outsiders: mission statements, strategic plans, organizational structure, lists of officers, membership applications, direct email links, and sometimes career opportunities

ASSOCIATIONS

Association of Lutheran Development Executives (ALDE)

<http://www.alde.org/>

ALDE's *Code of Ethical Principles and Practices* and the current issue of *Legislative Alert* are available at the site. Texts of articles about ethics written by members of ALDE's Ethics Committee will appear here.

American Society of Association Executives (ASAE)

<http://www.asaenet.org/>

ASAE Standards of Conduct and an online version of Association Management, with two years of back files, are available at the site.

Association of Professional Researchers for Advancement (APRA)

<http://www.aprahome.org/>

The APRA *Statement of Ethics*, a history of the association, and links to local chapter home pages are available at this web site.

Council for Advancement and Support of Education (CASE)

<http://www.case.org/>

CASE's *Statement of Ethics* and *A Donors Bill of Rights* are available at the site. The full text of CASE's periodical *Currents* is available for members

Ethics Resource Center (ERC)

<http://www.ethics.org/erc-publications/>

This site is somewhat undeveloped at this time. The text of *Ethics Today*, ERC's quarterly publication, is not available, but a summary outline of the contents of the current issue is posted with the possibility of receiving it free via e-mail. An *Ethics Quick Test* is available; the Ethics Information Clearinghouse and texts of codes of ethics are not yet available.

National Committee On Planned Giving (NCPG)

<http://www.ncpg.org/>

NCPG's *Model Standards of Practice for the Charitable Gift Planner* is available at the site.

National Society of Fund Raising Executives (NSFRE)

<http://www.nsfre.org/>

NSFRE's *Code of Ethical Principles and Standards of Professional Practice*, the *Donor Bill of Rights*, and the statement *Accountable Not-For-Profit Organization* are at this site. *Advancing Philanthropy*, formerly *NSFRE Journal*, is not available.

Philanthropy Roundtable

<http://www.philanthropyroundtable.org/>

Philanthropy, the Roundtable's six times a year publication, is available in full text at the site. One year of back files is available also.

UMBRELLA ORGANIZATIONS

BoardSource (formerly The National Center for Nonprofit Boards)

<http://www.boardsource.org/>

BoardSource increases the effectiveness of nonprofit organizations by strengthening boards of directors through its highly acclaimed consulting practice, publications, tools, and membership program.

Council on Foundations

<http://www.cof.org/>

Full text of articles from its bimonthly publication *Foundation News and Commentary* is available at this site.

Foundation Center

<http://www.fdncenter.org/>

Provides links to Foundation Center Libraries and Cooperating Collections across the country, an online reference desk and librarian, its newsletter *About Philanthropy*, and its annotated bibliography of articles, books, and conference proceedings, *Literature of the Nonprofit Sector* - see also listing below.

National Charities Information Bureau (NCIB)

<http://www.give.org/>

The complete text of NCIB's *Standards in Philanthropy*, the guidelines it uses to evaluate charities, is available at the site. There also is a guide to over 400 charities with information about whether or not they meet the Standards.

National Council of Nonprofit Associations (NCNA)

<http://www.ncna.org/>

Society for Nonprofit Organizations (SNPO)

<http://danenet.wicip.org/snpo>

The Contents and excerpts of articles from its bimonthly journal, *Nonprofit World*, are available at the site.

ACADEMIC/RESEARCH CENTERS AND INSTITUTES

Center on Philanthropy at Indiana University

<http://www.philanthropy.iupui.edu/>

This is judged by many to be one of the premier centers of its type. This site provides information about and access to its resources, for example: *The Fund Raising School*, the *Joseph and Matthew Payton Philanthropic Studies Library* which links to the *Philanthropic Studies Index* (listed separately below), and *Jossey-Bass Publishers* (also listed separately below) who issues the Center's quarterly journal *New Directions for Philanthropic Fundraising*, many issues of which are listed and described in the book section of the bibliography.

Institute for Business and Professional Ethics (IBPE)

<http://www.depaul.edu/ethics>

DePaul University, Chicago, houses this institute. The *Online Journal of Ethics* is available here. This site's links to other ethics institutes in the U. S. and abroad as well as other Internet ethics resources are very helpful.

Joseph and Edna Josephson Institute of Ethics

<http://www.josephsoninstitute.org/>

Some of this institute's publications are listed in the bibliography section.

RESEARCH RESOURCES

Literature of the Nonprofit Sector (LNPS)

<http://www.fdncenter.org/lmps>

This searchable database of annotated entries replaces, cumulates, and continues the eight annually published print volumes of the same title and provides access to books, articles, and non-print resources. The site provides very helpful searching instructions. *LNPS*, both in print and electronic format, was used in the preparation of the bibliography sections.

Philanthropic Studies Index

<http://www.ulib.iupui.edu/special/psl/>

The *Index* is published by the *Joseph and Matthew Payton Philanthropic Studies Library* at the Indiana University Center on Philanthropy and can be accessed through links at the Center's web site - refer to the Center's web site description above. This electronic version replaces the print resource of the same title and cumulates it from 1990 to the present. This web site was used in the preparation of the bibliography sections.

PUBLICATIONS, PUBLISHERS, AND BOOKSTORES

Chronicle of Philanthropy (COP)

<http://philanthropy.com/>

COP is the newspaper of the nonprofit world, a companion to the *Chronicle of Higher Education*. This web site provides a summary of the contents of the current issue and the full text of selected articles from the recent past. It links to and provides descriptions of web sites for organizations, publications, research and academic centers and institutes, and discussion lists are very helpful and well organized.

Philanthropy Journal Online

<http://www.philanthropy-journal.org/>

This publication does not have a print counterpart. It provides a searchable link to *nonprofitbooks.org* with lists and descriptions of books by and for the nonprofit sector. *Nonprofitbooks.org* is affiliated with *barnesandnoble.com* and provides a link to its site - see below.

Jossey-Bass, Inc, Publishers (J-B)

<http://www.jbp.com/>

J-B publishes several book series and periodicals of interest and value to higher education, nonprofit management, religion, and health care. These series are described in detail at this site; the tables of contents of the issues of *New Directions for Philanthropic Fundraising* (sponsored by the Indiana University Center on Philanthropy) and *Nonprofit Leadership and Management* for the last several years are available also. Several articles from *New Directions...* and *Nonprofit Leadership...* are listed and described in both the book and article sections of the bibliography. This site's links to other related publishers and organizations are valuable.

Amazon.com

<http://www.amazon.com/>

As a virtual bookstore, amazon.com provides online searching by author, title, and subject as well as ordering from its large storehouse of books. Equally, if not more, helpful is the information about specific books that is available here - tables of contents and detailed descriptions. The 'reviews' tend to be more promotional than critical.

Barnes and Noble

<http://www.barnesandnoble.com/>

The Barnes and Noble web site is similar to the Amazon web site.

BOOKS

Compiler's Note:

Availability, prices and ordering information, and additional information about the contents of the books listed and described below can be found at local libraries and bookstores- in *Books In Print*; and at the WWW sites of Jossey-Bass Publishers, *amazon.com*, and *barnesandnoble.com* - refer to section above for additional information.

Issues of J-B's quarterly publication *New Directions for Philanthropic Fundraising* is included in the book section of this bibliography because each issue has a unique title and specific subject focus. Each is listed alphabetically by the name of the editor(s); the series title and issue number are noted. Authors and titles of chapters of particular interest are noted in the annotations. The tables of contents of issues from 1996 to the present are available at J-B's web site.

American Health Lawyers Association. *Sarbanes-Oxley and Nonprofits: Governance, Operations, and Ethics Issues*. Washington, D.C.: American Health Lawyers Association, 2005.

Ethical practices in financial statements and reporting

Anderson, Albert. *Ethics for Fundraisers*. Bloomington, IN: Indiana University Press, 1999. (*Philanthropic Studies Series*.)

A series of books on fundraising ethics topics such as charitable motivation, cause-related marketing, accountability, whistle-blowing, technology, relationships, competing values, and compensation.

Association of Fundraising Professionals. *Code of Ethical Principles and Standards of Professional Practice*. Alexandria, Va.: The Association, 2001.

Bretzke, James T., 1952- *A Research Bibliography in Christian Ethics and Catholic Moral Theology*. Lewiston, N.Y.: Edwin Mellen Press, 2006.

Bibliography includes books and articles on comparative and/or cross-cultural ethics, the common good, and the moral community.

Briscoe, Marianne G., ed. *Ethics in Fundraising: Putting Values into Practice*. San Francisco: Jossey-Bass, 1994. (*New Directions for Philanthropic Fundraising*, no. 6 - sponsored by the Indiana University Center on Philanthropy.)

Provides an overview of the traditions, trends, and issues in ethics and philanthropy.

Brittingham, Barbara R., and Thomas R. Pezzullo. *The Campus Green: Fund Raising in Higher Education*. Washington DC: School of Education and Human Development, The George Washington University, 1990. (*ASHE-ERIC Higher Education Report*, vol. 1.)

This report was a cooperative project between CASE and the ERIC Clearinghouse on Higher Education. It reviews the research on fundraising in higher education in the U.S. Section five considers several issues in ethics and values: Overall institutional priorities, proper relations with donors, information the institution is obligated to make available, refusing a gift, and the professional responsibilities of fundraisers to their institutions.

Burgh, Gilbert, Mark Freakley, & Terri Field. *Ethics and the Community of Inquiry: Education for Deliberative Democracy*. Southbank, Vic.: Thomson Social Sciences Press, 2006.

Burlingame, Dwight F, ed. *Critical Issues in Fund Raising*. New York: Wiley, 1997.

A volume in the *NSFRE/Wiley Fund Development Series* which is based on the NSFRE sponsored Think Tank on Fund-Raising Research held in collaboration with the Council for the Advancement and Support of Education, the Association for Research on Nonprofit Organizations and Voluntary Action, and the Indiana University Center on Philanthropy. See especially the following contributions:

“And We Will Teach Them How: Professional Formation and Public Accountability” by Paul Pribbenow

“The Fund Raising Profession” by Margaret A. Duronio

“The Ethical Dimensions of Fund Raising” by Michael O’Neill

“Respecting the Individual, Value Diversity: Equity in Philanthropy and Fund Raising” by Marilyn Fischer

“Government Regulation and Charitable Fund Raising: Worthwhile Protection or Unreasonable Burden?” by Bruce R. Hopkins

“On the Regulation of Fund Raising” by Richard Steinberg

Burlingame, Dwight F., and James M. Hodge, eds. *Developing Major Gifts*. San Francisco: Jossey-Bass, 1997. (*New Directions for Philanthropic Fundraising*, no. 16; Jossey-Bass Nonprofit Sector Series.)

See especially the chapter “Ethics and Major Gifts” by Joseph S. Beyel, pages 49-60. It details several ethical dilemmas associated with major gifts.

Burlingame, Dwight F., and Lamont J. Hulse, eds. *Taking Fund Raising Seriously: Advancing the Profession and Practice of Raising Money*. San Francisco: Jossey-Bass, 1991. (*Jossey-Bass Nonprofit Sector Series*.)

Practitioners and scholars address various aspects of the profession. See the contributions by Thomas H. Jeavons “Historical and Moral Analysis of Religious Fund Raising,” Deni Elliott “What Counts as Deception in Higher Education Development,” and Barbara J. Lombardo “Conflicts of Interest Between Nonprofits and Corporate Donors.”

Burlingame, Dwight F., and Warren F. Ilchman, eds. *Alternative Revenue Sources: Prospects, Requirements, and Concerns for Nonprofits*. San Francisco: Jossey-Bass, 1996. (*New Directions for Philanthropic Fundraising*, no. 12; Jossey-Bass Nonprofit Sector Series.) Note the contribution by Mary Tschirhart “Maintaining Legitimacy and Reputation Through Impression Management.”

Connors, Tracy Daniel, ed. *Nonprofit Handbook: Management*. 2nd ed. New York: Wiley, 1997. (*Nonprofit Law, Finance, and Management Series*.)

This and its companion volume described below, *Nonprofit Handbook: Fund Raising*, edited by James M. Greenfield, constitute a revised edition of *Wiley’s Nonprofit Management Handbook*, 1993. This encyclopedic volume, with chapters written by experts in the various aspects of nonprofit management, emphasizes the unique and varied concerns of nonprofit organizations. Fundraising and leadership and values are among the topics included in this volume as well.

Conway, Daniel, and Cecelia Hart Price, eds. *The Practice of Stewardship in Religious Fundraising*. San Francisco: Jossey-Bass, 1997. (*New Directions for Philanthropic Fundraising*, no. 17 - Sponsored by the Indiana University Center on Philanthropy.)

See the contributions by John and Sylvia Ronsvalle “Rediscovering Accountability” and Cecelia Hart Price “Implications for Fundraising Practitioners.”

Council for Advancement and Support of Education. *CASE Management Reporting Standards: Standards for Annual Giving and Campaigns in Educational Fund Raising*. Washington, DC: The Council, 1996.

Refer also to the CASE web site described earlier.

Direct Marketing Association (U.S.). *Ethical Guidelines for Fundraising and Other Nonprofit Communications*. Washington, D.C.: The Association, 2005.

Duronio, Margaret A., and Eugene R. Tempel. *Fund Raisers: Their Careers, Stories, Concerns, and Accomplishments*. San Francisco: Jossey-Bass, 1997. (*Jossey-Bass Nonprofit Sector Series*.)

Reports on a three-year national study that included surveys of 1700 professional fundraisers, all members of NSFRE, CASE, or AHP - one of the most recent research studies of the ethical beliefs and perceptions of fundraisers. Professional characteristics such as integrity, honesty, and ethical behavior are discussed. A similar, earlier study is R. F. Carbone’s *Fund Raising as a Profession*, 1989.

Elliott, Deni, ed. *The Ethics of Asking: Dilemmas in Higher Education Fund Raising*. Baltimore: Johns Hopkins University Press, 1995.

Elliott was the director of the Institute for the Study of Applied and Professional Ethics at Dartmouth College. This book reports on a three-year project to investigate ethical issues associated with higher education fundraising. Contributions by professional fundraisers and scholars are included.

Elliott, Ray & Mary Tuohy. *Ethics and Morality in a Multicultural Society*. South Melbourne, Vic.: Thomson Social Science Press, 2006.

Fischer, Marilyn. *Ethical Decision Making in Fund Raising*. New York: Wiley, 2000.

Fuerst, Rita A. *What Fundraisers Need to Know About State and Federal Regulation: How It Can Influence All Aspects of Their Work*. San Francisco: Jossey-Bass, 1996. (New Directions for Philanthropic Fundraising, no. 13 - Sponsored by the Indiana University Center on Philanthropy; Jossey-Bass Nonprofit Sector Series.)

Note the following sections: "Overlapping Layers of Charitable Solicitation and Fund-Raising Regulation" by Errol Copilevitz and William E. Raney; "Protecting Contributors With Proper Information" by David W. Jones; and "Financial Statements Prove Accountability" by Kenneth D. Williams.

Gray, Sandra Trice. *Evaluation With Power: A New Approach to Organizational Effectiveness, Empowerment, and Excellence*. San Francisco: Jossey-Bass, 1998. *Jossey-Bass Nonprofit and Public Management Series*.)

Gray recommends evaluation as a way to develop excellence in nonprofit organizations. A chapter on ethics and accountability is included.

Greenfield, James M., ed. *Financial Practices for Effective Fundraising*. San Francisco: Jossey-Bass, 1994. (New Directions for Philanthropic Fundraising, no. 3 - Sponsored by the Fundraising School, Indiana University Center on Philanthropy.)

See especially "Misusing Charitable Statistics in Evaluating Fundraising Performance" by Nathan Weber, and "Government Regulation of Fundraising: A Struggle for Efficacy" by David E. Ormstedt.

Greenfield, James M., ed. *Nonprofit Handbook: Fund Raising*. 2nd ed. New York: Wiley, 1997. (NSFRE/Wiley Fund Development Series.)

This and its companion volume described above, *Nonprofit Handbook: Management* - edited by Tracy Daniel Connors, constitute a revised edition of *Wiley's Nonprofit Management Handbook*, 1993. Greenfield, judged to be one of the most respected fundraising professionals in the U.S., has assembled a comprehensive compilation, a one-volume library of articles by leading practitioners on every conceivable topic. Fundraising rules and regulations and legal issues are among the topics included.

Greenleaf, Robert K. *Seeker and Servant: Reflections on Religious Leadership*. Edited by Anne T. Fraker and Larry C. Spears. San Francisco: Jossey-Bass, 1996.

This is a posthumous collection of Greenleaf's previously unpublished material. He founded the Center for Applied Ethics, now the Robert K. Greenleaf Center for Servant Leadership. Note his essay entitled "Giving and Receiving Gifts of Money" - pages 321-325.

Hedgepeth, Royster C., ed. *Nonprofit Organizational Culture: What Fundraisers Need to Know*. San Francisco: Jossey-Bass, 1994. (*New Directions for Philanthropic Fundraising*, no. 5 - Sponsored by the Indiana University Center on Philanthropy.)
See the chapter by Robert E. Fogal, "Integrity in the Culture of Philanthropic Organizations."

Herman, Robert D. *The Jossey-Bass Handbook of Nonprofit Leadership and Management*. 2nd ed. San Francisco: Jossey-Bass, 2005. (*Jossey-Bass Nonprofit Sector Series*.)
Note the following chapters: "Board Leadership and Board Development" by Nancy R. Axelrod, "Executive Leadership" by Robert D. Herman and Dick Heimovics
"Ethics in Nonprofit Management: Creating a Culture of Integrity" by Thomas H. Jeavons,
"Designing and Managing the Fundraising Program" by Robert E. Fogal

Hopkins, Bruce R. *Law of Fund-Raising*. 2nd ed. New York: Wiley, 1996.
Also include the *1998 Cumulative Supplement* (Nonprofit Law, Finance, and Management Series.)
The author is a legal expert on fundraising laws pertaining to nonprofit organizations. Chapters cover all aspects of state and federal laws as well as rules of responsibility for fundraising professionals; and provide summaries and comparative analysis of state charitable contribution solicitation laws, IRS information, and standards enforcement by independent agencies. The current, second edition is updated by annually published cumulative supplements.

Hopkins, Bruce R. *The Legal Answer Book for Nonprofit Organizations*. New York: Wiley, 1996. (*Nonprofit Law, Finance, and Management Series*.)
A briefer, more general work than Hopkins' book described above. Includes chapters on fundraising regulation, IRS audits, conflicts and liability of boards of directors, and lobbying and political activities.

Independent Sector. *Ethics and the Nation's Voluntary and Philanthropic Community: Obedience to the Unenforceable - A Statement*. Washington, DC: Independent Sector, 2002.
This report by the Independent Sector reprints ethical standards developed by watchdog and nonprofit organizations. The report offers examples of illegal acts and ethical challenges for the consideration by nonprofit board members and staff. The report includes recommendations that all nonprofit organizations conduct an ethics audit every year, develop a code of ethics, and incorporate that code into the documents and culture of the organizations.

Everyday Ethics: Key Ethical Questions for Grantmakers and Grantseekers, edited by Sandra Trice Gray, published by Independent Sector, 1993.
Presents a series of questions about the essential values, ethical behaviors, and ethical quality of an organization's policies and actions. Recommendations from the Independent Sector Advisory Committee on Values and Ethics are included.

Jacobs, Jonathan A. *Ethics A-Z*. Edinburgh: Edinburgh University Press, 2005.
An ethics dictionary.

- Josephson, Michael. *Ethics in Grantmaking and Grantseeking: Making Philanthropy Better*. Marina del Rey CA: Joseph and Edna Josephson Institute of Ethics, 1992.
 Defines and analyzes ethical decision-making. Sample policies are included. The Institute also publishes teaching modules, workbooks, teacher's manuals, and videos.
- Kearns, Kevin P., ed. *Managing for Accountability: Preserving the Public Trust in Public and Nonprofit Organizations*. San Francisco: Jossey-Bass, 1996 (*Jossey-Bass Nonprofit Sector Series; Jossey-Bass Public Administration Series*.)
 Covers topics such as: The accountability environment, concepts, controversies, challenges, and audits; history and current trends; strategic management and core principles; scanning the environment; clarifying issues; and case studies.
- Kelly, Kathleen S. *Effective Fund-Raising Management*. Mahwah NJ: Lawrence Erlbaum, 1998.
 A recently published book, among other topics of interest, the author discusses the perils for donors as well as nonprofit organizations of using fundraising companies.
- Lowman, Rodney L. *The Ethical Practice of Psychology in Organizations*. 2nd ed. Washington, DC: American Psychological Association, 2006.
 Includes dozens of case studies covering avoiding potential misuse of assessment procedures, misleading reporting of results, maintaining confidentiality and objectivity, the ethical costs of implementing new technology, maintaining confidentiality in survey reporting, the misuse of data obtained through a consulting engagement, avoiding dual relationships, the ethics of professional behavior, and confronting unethical behavior.
- Lunenburg, William V. & Thomas M. Susman. *The Lobbying Manual: a Complete Guide to Federal Law Governing Lawyers and Lobbyists*. 3rd ed. Chicago: American Bar Association, 2005.
 Includes a chapter on the governance of lobbying costs incurred by nonprofit organizations.
- Maxwell, Margaret M. *Marketing the Nonprofit: The Challenges of Fundraising in a Consumer Culture*. San Francisco: Jossey-Bass, 1997 (*New Directions for Philanthropic Fundraising*, no. 18.)
 Includes a piece by Peggy H. Cunningham "Sleeping with the Devil? Exploring Ethical Concerns Associated with Cause-Related Marketing."
- Narvaez, Heather R. *An Ethical Examination of Commission and Percentage-Based Compensation*. (Thesis) University of Minnesota, 2000.
- National Society of Fund Raising Executives, Ethics Committee. *Guidelines to the "Standards of Professional Practice" - Approved by NSFRE Ethics Committee, April 10, 1995*. Alexandria VA: The Society, 1995.
 These guidelines provide assistance in interpreting and using the *Code of Ethical Principles and Standards of Professional Practice*. Refer also to NSFRE's web site described earlier.
- O'Neill, Michael, ed. *Ethics in Nonprofit Management: A Collection of Cases*. San Francisco: The Institute, 1990.

Prepared for the Institute for Nonprofit Organization Management, College of Professional Studies, University of San Francisco.

Oregon State Bar. *Advising Nonprofit Organizations*. Lake Oswego, OR: Oregon State Bar, 2006. Includes a chapter on the ethics of serving on nonprofit boards.

Pelle, Stefano. *Understanding Emerging Markets: Building Business BRIC by Brick*. New Delhi: Response Books, 2007. Chapters on the importance of ethics, corporate social responsibility, and corruption and values.

Pennsylvania Bar Institute. *Third Annual Nonprofit Institute*. Mechanicsburg, Pa.: Pennsylvania Bar Institute, 2005. Includes a chapter on an ethics and accountability program for the nonprofit sector.

Schuurman, E. & John H. Kok. *The Technological World Picture and an Ethics of Responsibility: Struggles in the Ethics of Technology*. Sioux Center, IA: Dordt College Press, 2005. The moral and ethical aspects of technology.

Smith, David H.; *Good Intentions: Moral Obstacles and Opportunities*. Bloomington, IN: Indiana University Press, 2005. (Series: Philanthropic and Nonprofit Studies) Includes chapters on fairness in philanthropy, nonprofits and morals, sense and sensibility of philanthropy as a moral citizenship of care, and the changing moral dynamics of American nonprofit organizations.

Svara, James H. *The Ethics Primer for Public Administrators in Government and Nonprofit Organizations*. Sudbury, Mass.: Jones and Bartlett, 2007. Includes chapters on the philosophical bases of ethical behavior, the ethics triangle, codifying duty and ethical perspectives, challenges to ethical behavior, elevating ethical behavior, and external measures to promote ethics.

Tempel, Eugene R., Sara B. Cobb, and Warren F. Ilchman, eds. *The Professionalization of Fundraising: Implications for Education, Practice and Accountability*. San Francisco: Jossey-Bass, 1997. (*New Directions for Philanthropic Fundraising*, no. 15; *Jossey-Bass Nonprofit Sector Series*.) See especially Paul Pribbenow's chapter "Public Character: Philanthropic Fundraising and the Claims of Accountability" - pages 111-125. Also contains chapters about federal and state regulations; fundraising and the courts; and licensing, credentialing, and the role of associations in the professionalization process.

Warwick, Mal, and Stephen Hitchcock, Joan Flanagan, and Robert H. Frank. *The Hands-On Guide to Fundraising Strategy and Evaluation*. Gaithersburg MD: Aspen Publishers, 1995. Supplement #1, October 1996. Part five "Resources for the Serious Fundraiser" includes guidelines and standards of fundraising associations.

Young, Dennis R., and others. *Governing, Leading, and Managing Nonprofit Organizations: New Insights from Research and Practice*. San Francisco: Jossey-Bass, 1993. (*The Jossey-Bass Nonprofit Sector Series*; "A Publication of Independent Sector.")
See the contribution by Thomas H. Jeavons "The Role of Values: Management in Religious Organizations."

ARTICLES

Compiler's Note:

Several periodicals are represented by two or more articles in this list:

***Advancing Philanthropy* (NSFRE) – quarterly (Formerly NSFRE Journal)**

***Association Management* (ASAE) – monthly (An online version, with two years of backfiles, is available at ASAE's web site.)**

***Currents* (CASE) - 10/year**

***Fund Raising Management* – monthly (Published by Hoke Communications, Inc.)**

***Nonprofit Management and Leadership* – quarterly (Published by Jossey-Bass, Inc. The tables of contents of the issues published from 1996 to the present are available on J-B's web site.)**

***NonProfit Times* – monthly (Published by Davis Information Group.)**

***Nonprofit World* (SNPO) – bimonthly**

"Avoiding Conflict of Interests: Four Steps to Protect Yourself and Others." *Nonprofit Board Report* 5 (June 1996): 1-2.

Bach, Robert L. "New Priorities for Philanthropy." *Ethics & International Affairs*, Vol. 16, Issue 2 (2002), p. 20.

Bell, John R. & Robert R. Bell, & Susan A. Elkins. "Embedding Ethical Frameworks in the Leadership System of Not-for-Profits: The Special Case of Volunteers." *SAM Advanced Management Journal*, Vol. 70, Issue 4 (Autumn 2005), p. 29-42.

Breckon, Donald J., and Terry Snapp. "Is It the Source or Use that Matters?" *Fund Raising Management* 26 (April 1995): 14-16.

Nonprofit organizations should consider the purpose of a gift as well as the motive of the donor. Acceptance policies should assure that the gift is compatible with core values and causes.

Caldwell, O. Richard, and G. Tom Carter. "Developing Ethical Standards in Charitable Fundraising." *Trusts and Estates* 133 (February 1994): 56-63.

Article includes a table of ethical standards for various fundraising councils.

Clohesy, William W. "Fund-raising and the articulation of common goods." *Nonprofit and Voluntary Sector Quarterly*, Vol.32, Issue 1 (Mar. 2003); p. 128.

Coffin, Brent. "Building Ethical Capacity for Collaborative Research." Nonprofit and Voluntary Sector Quarterly, Vol. 34, Issue. 4 (Dec. 1; 2005), p. 531.

Collins, Dennis A. "Ethics in Fund-Raising." *NSFRE Journal* (Winter 1990): 39-42.
Fundraisers should be committed to advancing the values of charity and have an ethical obligation to exercise the potential of the nonprofit sector.

"Creating an Accountable Organization." *Board Member* 5 (September 1996)
This and several other related articles appear in this Scandals Special Edition. (Board Member is the membership publication of the National Center for Nonprofit Boards.)

Cufaude, Jeffrey B. "Put Your Association to the Ethics Test." *Association Management* 50 (January 1998): 109-112.
An Ethical Climate Self-Assessment test is presented.

Daigneault, Michael G. "Best Practices: The Great Gift of Having Hindsight." *NonProfit Times* 11 (September 1997): 16-17, 35.
Details twelve basic elements of an effective ethics program. See also the two articles listed below.

Daigneault, Michael G. "Building Your Organization's Ethics Program." *NonProfit Times* 11 (November 1997): 64-65, 67.
Continuation of article listed above.

Daigneault, Michael G. "Implementing the Plan." *NonProfit Times* 12 (February 1998): 36-37.
Continuation of the two articles listed above.

Daigneault, Michael G. "Why Ethics?" *Association Management* 49 (September 1997): 28-34.
This cover story provides guidelines for implementing an ethics initiative; an ethics survey form devised by the Ethics Resource Center is included.

Davis, C. Neal. "Look Sharp, Feel Sharp, Be Sharp and Listen--Anecdotal Excellence: People, Places and Things." International Journal of Nonprofit & Voluntary Sector Marketing; Vol. 7, Issue 4 (Nov. 2002), p393.

Deshpande, Satish P, "Ethical Climate and the Link Between Success and Ethical Behavior: An Empirical Investigation of a Non-Profit Organization." *Journal of Business Ethics* 15 (March 1996): 315-20.

Deshpande, Satish P. "The Impact of Ethical Climate Types on Facets of Job Satisfaction: An Empirical Investigation." *Journal of Business Ethics* 15 (June 1996): 655-60.

Donahue, James A. "Ethics in Fund Raising: Fashioning an Institution's Character." *Fund Raising Management* 24 (August 1993): 33-36.
Discusses the myth that good ethics and good fundraising are incompatible.

"Ethics By The Numbers." *Industry Week*, Vol. 254, Issue 1, (Jan 2005), p. 16.

Evans, Robert L. "Special Events: Where Is Institutional Integrity?" *Fund Raising Management* 26 (July 1995): 26-27.

Describes two incidents in which nonprofits abused donor money. Donors, volunteers, and professional development staff are cautioned to preserve institutional integrity.

Fischer, Marilyn. "Ethical Fundraising: Deciding What's Right." *Advancing Philanthropy* 2 (Spring 1994): 29-33.

Fisher, Robert W. "Ethics Codes Fall Short As Self-Regulation Tools." *Nonprofit Times* 7 (December 1993): 1, 25, 28-29.

Reviews the use of ethics codes by organizations such as NSFRE.

Gearhart, G. David, and Roger L. Williams, "Do Mega-Campaigns Make Us Look Greedy?" *AGB Reports* 33 (January-February 1991): 16-19.

Institutions must be honest and fair when reporting gifts and be sure that the public knows the reporting is ethical.

Gray, Sandra Trice.

From mid 1995 through 1996, Sandra Trice Gray contributed a one-page column entitled Leading to issues of ASAE's *Association Management*. Several of these pieces discuss ethical issues. They are listed below in chronological order:

August 1995 - "Practicing Ethics to Build Public Confidence", page 304.

September 1995 - "The Accountable Organization", page 264.

June 1996 - "Healthy Boards", page 134.

August 1996 - "Codify Your Ethics", page 288

September 1996 - "Audit Your Ethics", page 188

October 1996 - "Constructing Ethical Systems", page 136

November 1996 - "The Impact of Unethical Behavior", page 112

December 1996 - "Avoiding On-the-Edge Ethical Choices", page 112

Greene, Stephen G. "International Relief Groups Adopt Ethics Code." *Chronicle of Philanthropy* 21 May 1991, 28-31.

InterAction, a coalition of over 150 relief groups, approved a code of ethics that will improve organizational practices and enhance donor confidence. Texts of the standards and guidelines are included.

Grossnickle, Ted R. & Eva E. Aldrich. "Compensation: The intersection of valuation and accountability." *New Directions for Philanthropic Fundraising*, Vol. 2004, Issue 43 (Spring 2004), p. 51-62.

“Guidance to Lobby By: ASAE Guidelines Promote Ethical Political Involvement and Encourage Active Participation in the Political Process.” *Association Management* 49 (September 1997): 52-53.

Guidelines for American Society of Association Executives’ lobbyists are discussed.

Harrison, Bill J. “Fund Raising On Trial.” *Fund Raising Management* 24 (August 1993): 29-32. Practitioners should combine efforts with legitimate fundraising groups to provide donors with guidelines to use when facing solicitations.

Harrison, Bill J. “Is Percentage-Based Compensation Unethical?” *Fund Raising Management* 26 (December 1995): 26-29.

On ethical grounds, NSFRE opposes the practice of giving fundraisers a percentage of the money raised as compensation.

Hart, Ted. “The ePhilanthropy revolution.” *Fund Raising Management*, Vol.32, Issue 3 (May 2001); p. 22.

Hubbs, Donald H. “A Case Study in Preserving Donor Intent,” *Philanthropy* 9 (Spring 1995): 5-7.

Trustees have a moral obligation to carry out a donor’s wishes to the extent possible.

“Inspiring Others to Ethical Action: Create an Ethics Task Force to Lead the Way.” *Ethics Today* I (Summer 1996): 9.

Jackson, Laura Christian. “Ethics in Action.” *Currents* 22 (May 1996): 40-46.

Ethics experts and alumni directors explore five dilemmas.

Jacobs, Jerald A. “Respecting Your Association’s Confidentiality.” *Association Management* 49 (January 1997): 136.

Briefly discusses volunteers’ obligations and employees’ legal requirements for confidentiality in all association matters.

Jordan, Ronald R., and Katelyn L. Quynn. “Planned Giving for the Small Nonprofit.”

Grantsmanship Center Magazine, Winter 1995, 4-8.

Article includes the National Committee on Planned Giving’s Model Standards of Practice for the Charitable Gift Planner.

Kidder, Rushworth. “Ethics for the Twenty-First Century.” *Foundation News* 33 (September/October 1992): 46-49.

Defines and discusses ethics for philanthropists. Provides a six-step process to apply to ethical questions.

Larimer, Louie V. “Evolutionary Ethics.” *Association Management* 49 (January 1997): 59-61.

Ethics programs are classified into six levels from the most basic commitment to honesty and fairness to the highest level which includes conduct codes and ethics committees.

Larimer, Louie V. "Instilling Ethical Conduct: Why Your Association Needs an Organizational Ethics Program." *Association Management* 48 (August 1996): 131-134.

Associations should establish a group to promote and monitor ethical conduct as there are many opportunities for financial and moral misconduct as well as expensive litigation.

Lawry, Robert. "Accountability and Nonprofit Organizations: An Ethical Perspective." *Nonprofit Management and Leadership* 6 (Winter 1995): 171-180.

Lewis, Nicole. "Fund-Raising Researchers Issue Guidelines Designed to Protect Privacy of Charity Donors." *Chronicle of Philanthropy*, Vol. 13, Issue 8 (02/08/2001), p. 25.

Liebman, Sanford. "Compliance and Ethics Group Formed." *Quality Progress*, Vol.38, Issue 3 (Mar. 2005); p. 72.

MacDonald, Chris, Michael McDonald, & Wayne Norman. "Charitable Conflicts of Interest." *Journal of Business Ethics*, Vol. 39, Issue 1/2 (Aug. 2002), p. 67-74.

McNamee, Mike. "Dealing With Donor Anger." *Currents* 21 (April 1995): 16-21.

Techniques that reduce donors' resistance to fundraising requests includes: respecting prospect's concerns about privacy and communicating honestly and clearly.

McNamee, Mike. "Privacy and the Prospect Researcher: Drawing the Line Between Donor Data and Dirty Secrets." *Currents* 16 (June 1990): 10-17.

Professionals offer suggestions for creating ethical research and privacy policies.

Martinez-Carbonell, Karella & Robert Meyers. "Non-profits Need to Increase Advocacy of Ethical Standards." *PA Times*, Vol. 27, Issue 5 (May 2004), p. 4.

Mercer, Joye. "A Fund-Raising Opportunity or a Conflict of Interest?" *Chronicle of Higher Education*, 3 May 1996, A35-36.

The ethics of soliciting gifts from vendors with campus contracts is discussed.

Nicklin, Julie L. "Some College Fund Raisers Move to Delete Personal Information from Donor Records." *Chronicle of Higher Education*, 24 January 1996, A28-29.

The growing trend among educational fundraisers of purging private personal information from donor records is discussed.

Nicklin, Julie L. "Some Colleges Find Bequests Through Asset-Retrieval Companies: But the Fees Charged Raise Ethical Issues that Concern Fund Raisers." *Chronicle of Higher Education*, 4 October 1996, A35-36.

Paying asset-retrieval companies to recover unclaimed bequests is questioned. Colleges are warned about high fees and demands for payment up front.

Nicklin, Julie L. "Tact, Strategy, and Delayed Gratification Fill the Days of a 'Planned Giving' Officer." *Chronicle of Higher Education*, 10 January 1997, A45-46.

The job requires legal and financial knowledge and understanding of donor attitudes.

Nielsen, Richard P. & Ron Dufresne. "Can Ethical Be Stimulated *Upbuilding* Management Organizational Character and Enabled?: Dialog As Crisis Method." *Journal of Business Ethics*; Part 1, Vol. 57, Issue 4 (April 2005), p. 311-326.

O'Neill, Michael. "A Spare Literature." *Advancing Philanthropy* 5 (Summer 1997): 26-30.

O'Neill reviews the available research on fundraising ethics and offers suggestions of areas for further scholarship, e. g., codes of ethics, prospect research, and donors.

Pastin, Mark, "Bright Lines, Big Deals." *Advancing Philanthropy* 5 (Fall 1997): 21-25.

Examines ethical issues in fundraising.

Pezullo, Thomas R, and Barbara E. Brittingham. "The Study of Money: What We Know and What We Need to Know About College Fund Raising." *Currents* 16 (July-August 1990): 44-49.

At this time, research on development in higher education is somewhat limited. Areas of investigation have been donor behavior, fundraising expenses, and ethical issues.

Pierpont, Robert. "Serving the Ideal of Philanthropy." *Advancing Philanthropy* 5 (Fall 1997): 39-43.

Standard Number 6 of NSFRE's *Code of Ethical Principles*. . . has been amended in response to concern over the emerging practice of fundraising professionals who also are licensed to and engage in selling charitable insurance products.

Pollack, Rachel H., and Joan Szabo. "The Perils of Philanthropy: A Questionable Gift Can Undermine Your Entire Operation. . ." *Currents* 24 (January 1998): 40-44.

Offers some ideas for increasing ethics awareness when dealing with questionable situations.

Rasberry, Todd W. & John G. Bryan. "The Buck Stops Here." *Intercom*, Vol. 52, Issue 9 (Nov. 2005), p41-42.

Ridings, Dorothy S. "Do Tell." *Foundation News and Commentary* 37 (September/ October 1996): 18-20.

Ridings, Council on Foundations' President and CEO, relates the reasons why nonprofit organizations need to let the world know that they are accountable.

Rubin, Amy Magaro. "More Colleges Solicit 'Green' Gifts for Environmental Research and Education." *Chronicle of Higher Education*, 7 March 1997, A37-38.

Discusses potential for conflict of interest when institutions accept gifts for specific purposes from corporations, foundations, and individuals.

Rudolph, Lewis C. "Framework for Ethical Decision-Making in Philanthropy: A Matrix of Relationships." *Nonprofit World* 12 (November-December 1994): 50-55.

An outline that can be used when facing ethical dilemmas is presented.

Ryan, Ellen. "Sticky Wickets." *Currents* 19 (July-August 1993): 58-62.

Six examples of ethical dilemmas in academic fundraising are used to illustrate how professionals in private higher education would handle them.

Ryan, Ellen. "You Made the Call." *Currents* 22 (January 1996): 46-50.

Responses by advancement professionals to the five ethical dilemmas posed in the October 1995 issue are given - see article reference below.

Ryan, Ellen. "You Make the Call." *Currents* 21 (October 1995): 48-49.

Five ethical dilemmas in academic advancement are posed. Readers are encouraged to submit solutions. See article reference above for responses.

Shuman, Michael H. & Merrian Fuller. "Profits for Justice." *Nation*, Vol. 280, Issue 3, (1/24/2005), p. 13-22.

Suhrke, Henry C. "An Ethical Desert." *Philanthropy Monthly* 24 (September 1991): 5-15.

A critical discussion of efforts to improve ethical standards in the nonprofit sector, especially that expressed in the Independent Sector's statement "Ethics and the Nation's Voluntary. . ." - refer to this item in the book section of the bibliography.

Symonds, William C. "Sweating For Dollars." *Business Week*, Issue 3851 (9/19/2005), p. 88-90.

Thompson, Dennis F. "Ethical Fundraising: An Educational Process." *Record* (Winter 1992): 38-43.

Issues considered are: Attaching conditions to gifts, granting favors to or imposing burdens on donors, prospect research, and ethical communication.

Thompson, Robert L., and Lilya Wagner. "Cause-Related Marketing: Fundraising Tool or Phony Philanthropy?" *Nonprofit World* 12 (November-December 1994): 9-13.

A research study that examines existing literature and surveys nonprofit and business leaders in an attempt to answer the question, among others - is it ethical?

Venable, Beverly T. & Judy Wagner. "An Exploratory Study of Ethical Values in Nonprofit Fundraising: Survey of Fundraising Executives." *Psychological Reports*, Vol. 97, Issue 2 (Oct. 2005), p. 527-537.

Walker, Mary Margaret. "The Dirt On Donors." *Currents* 22 (January 1996): 10-14.

Discusses the issue of who sees and controls access to donor records.

Waters, Ken. "The Art & Ethics of Fundraising." *Christianity Today*, Vol. 45, Issue 15 (12/3/2001), p. 50.

Young, Dennis R., Neil Bania, and Darlyne Bailey. "Structure and Accountability: A Study of National Nonprofit Associations." *Nonprofit Management and Leadership* 6 (Summer 1996): 347-365.

Reports on a study of how the structure of national nonprofit 'umbrella' organizations affects accountability.



A Donor Bill of Rights

Philanthropy is based on voluntary action for the common good. It is a tradition of Giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare that all donors have these rights:

1. To be informed of the organization's mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.
2. To be informed of the identity of those serving on the organization's governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.
3. To have access to the organization's most recent financial statements.
4. To be assured their gifts will be used for the purposes for which they were given.
5. To receive appropriate acknowledgment and recognition.
6. To be assured that information about their donations is handled with respect and with confidentiality to the extent of the law.
7. To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.
8. To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.
9. To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.
10. To feel free to ask questions when making a donation and to receive prompt, truthful, and forthright answers.

The Association of Lutheran Development Executives

endorses the text of this statement in its entirety as developed by the American Association of Fund Raising Counsel, Association for Healthcare Philanthropy, Council for Advancement and Support of Education, and National Society of Fund Raising Executives.



Code of Ethical Principles and Practices

Mission Statement

The Association of Lutheran Development Executives promotes, teaches, and models Christian stewardship.

Professional Practices

Members of the Association of Lutheran Development Executives will:

1. Seek to serve Christ faithfully and hold his name as supreme.
2. Work for the best interest of the donor.
3. Strive to model and promote the concept of Christian stewardship among donors and ALDE professionals.
4. Portray accurately the institutional mission in all communications.
5. Maintain confidentiality in handling donor and prospective donor records.
6. Offer public recognition and appreciation for a gift only after donor permission has been granted.
7. Ensure accurate use of designated gifts, optimal management of all solicited funds, and truthful reporting.
8. Comply with all federal, state, municipal and/or provincial laws.
9. Deal charitably, fairly, and honestly with other professionals and organizations.
10. Maintain and encourage high levels of professional competence and accurately present professional qualifications and experiences to prospective donors and employers.
11. Be compensated by a salary or contractual fee agreement, not by fees based on a percentage of charitable gifts secured.
12. Avoid or otherwise disclose all potential conflicts of interest.