

The Role of the Philanthropic Sector in Addressing Homelessness: Australian and International Experiences

Literature Review

National Homelessness Research Partnership Program

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September 2012



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Australian Government

Department of Families, Housing,
Community Services and Indigenous Affairs

Project No. FP8



Australian Government

**Department of Families, Housing,
Community Services and Indigenous Affairs**

This project is supported by the Australian Government through the Flinders Partners National Homelessness Research Partnership funded as part of the National Homelessness Research Agenda of the Department of Families, Housing, Community Services and Indigenous Affairs.

Acronyms

ABS	Australian Bureau of Statistics
ACNC	Australian Charity and Not-For-Profit Commission
ACOSS	Australian Council of Social Service
ACTCOSS	Australian Capital Territory Council of Social Service
AIHW	Australian Institute of Health and Welfare
ASIC	Australian Securities and Investment Commission
ATO	Australian Taxation Office
DGR	Deductible Gift Recipient
FaHCSIA	Department of Families, Housing, Community Services and Indigenous Affairs
FBT	Fringe Benefit Tax
GFC	Global Financial Crisis
GST	Goods and Services Tax
ITEF	Income Tax Exempt Fund
J2SI	Journey to Social Inclusion
NAHA	National Affordable Housing Agreement
NCOSS	Council of Social Service of New South Wales
NFG	Neighborhood Funders Group (US)
NFP	Not For Profit
NP	Non-Profit
NTCOSS	Northern Territory Council of Social Service
PAF	Private Ancillary Fund
PuAF	Public Ancillary Fund
PC	Productivity Commission
QCOSS	Queensland Council of Social Service
SAA	Supported Accommodation Assistance (Act)
SAAP	Supported Accommodation Assistance Program (now known as Specialist Homelessness Services)
SACOSS	South Australian Council of Social Service
SHM	Sacred Heart Mission

SHSC	Specialist Homelessness Services Collection
TasCOSS	Tasmanian Council of Social Service
TCC	Tax Concession Charity
VCOSS	Victorian Council of Social Service
WACOSS	Western Australia Council of Social Service

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Executive Summary

Year/Project No	2012/FP8
Project title	Beyond charity: the engagement of the philanthropic and homelessness sectors in Australia

This paper is the first output of a project entitled *Beyond charity: the engagement of the philanthropic and homelessness sectors in Australia*. The report has two purposes. First, it outlines the focus of, and rationale for, this empirical research investigating the engagement of the *philanthropic and homelessness sectors in Australia*. Second, it presents the results of a targeted literature review scoping the form and extent of philanthropic and homelessness sector engagement, also paying specific attention to the structures that support active philanthropic engagement with homelessness, including taxation incentives and disincentives. For the purposes of this research we define philanthropy have adopted the Philanthropy Australia definition of philanthropy: 'The planned and structured giving of time, information, goods and services, voice and influence, as well as money, to improve the wellbeing of humanity and the community' (Philanthropy Australia 2012 *n.d.*).

The research

Philanthropic engagement has long been a feature of homelessness activity in Australia – albeit to varying extents across time and space. This role has been long-standing, with philanthropic organisations and individual philanthropists providing funds for the operation of homelessness services and support programs for homeless people, as well as cash to fund the emergency, material aid and services needs of homeless people themselves. *The Road Home* (Commonwealth of Australia 2008) includes a strong discourse around the need for greater philanthropic sector engagement with homelessness. That is, to reduce homelessness 'requires committed and sustained effort from all levels of government, business, the philanthropic and not-for-profit sectors and the Australian community' (p. 17). Despite the known association between the philanthropic sector and individual philanthropists and the homelessness sector we really know very little about how these two sectors actually engage with each other. We know even less about barriers to effective engagement between the

sectors and why philanthropic organisations and individual philanthropists choose to support a particular cause, including why they may choose to support another cause ahead of homelessness.

This project aims to fill our gaps in understanding around philanthropic and homelessness sector engagement. Specifically, it will map out the roles currently played by philanthropic bodies within the homelessness sector, considering the ways in which engagement between the homelessness and philanthropic sectors can be supported and enhanced to improve outcomes for both sectors and ultimately for people who are homeless or at risk of homelessness.

The aims of the research are threefold:

- To better understand the role played by the philanthropic sector in the homelessness sector in Australia, the types of support provided and by whom;
- To understand what structures support philanthropy in the homelessness sector generally; and
- To identify what structures are needed to support philanthropic activity in the sector into the future.

To meet these aims a conventional two stage research methodology has been employed:

1. Review of the published and grey literature about the role of/engagement between the philanthropic and homelessness sectors in Australia and internationally (this report).
2. Fieldwork (interviews) with representatives of key philanthropic organisations and specialist homelessness services in five states (Victoria, New South Wales, Western Australia, South Australia and Queensland).

The core research questions underpinning the fieldwork component of this research are:

- What roles are performed by the philanthropic sector in Australia with respect to homelessness?
- Is the sector open to a greater co-ordination of activities?

- How could investment in homelessness measures by philanthropic organisations be stimulated?
- What are the gaps in philanthropic engagement with homelessness in Australia?

The research has been commissioned as part of the Australian Government's National Homelessness Research Agenda through FaHCSIA's National Homelessness Research Partnership Program. The research is being undertaken by a team of researchers from The University of Adelaide, Flinders University, Hanover Welfare Services and the South Australian Council of Social Service (SACOSS) under the Flinders Partners Homelessness Research Partnership.

The literature

There are a number of lessons and learnings from this literature review that are important in understanding and investigating the relationships that exist, or could exist, between philanthropists and homelessness agencies. Such lessons and learnings are drawn together in this report from the broader (and voluminous) philanthropic literature and (less voluminous) practice examples of engagement (Chapter Four).

The discussion highlights the complex and multidimensional structures in place nationally to support philanthropy. And, from the literature it is clear that philanthropic giving is increasing in Australia, despite the highly technical nature of this area legally, in terms of regulation and taxation wise. There is a minefield of jargon and structures to negotiate for donors. This fact is reinforced in the discussion in Chapter Three around barriers to giving, where lack of information and clarity about philanthropic structures is a stated barrier to giving, along with need for better information about outcomes from donations.

Chapter Three provides important insights into why understanding and examining philanthropy is important: particularly in the context of an ever changing welfare state and evolving social policy environment; devolution of responsibility for many social concerns to non-government organisations; changing global economic circumstances; the uneven distribution of wealth; and the impact of these factors on levels of social and economic need among vulnerable groups in the community – for health, welfare, housing, educations et cetera. Such giving is an

increasingly important source of monetary donations for the activities of the non-profit sector, as well as being a source of goods and services, and volunteers. Analysis of the literature shows other clear reasons why philanthropy is important nationally (and internationally). For example, philanthropic support is seen as a means for non-profit organisations to secure funding that they can use for non-standard approaches to addressing a social concern; to avoid the increasing conditions placed on government funds (so called 'tied' funding); and, in some cases, to avoid the politics of government directed social policy.

Chapter Three also summarises what we know from the literature about philanthropic behaviours and motivators of philanthropy. The factors driving this are multifaceted and often overlapping. Bekkers and Wiepking's (2011) identify eight drivers – awareness of need (and demand); solicitation/canvassing; costs and benefits of giving itself; altruism; reputation of the cause/organisation supported, as well as whether a cause/organisation builds on the donor's reputation; psychological benefits; values (personal, corporate and of the organisation/cause being supported) and efficacy of the actions/organisation being supported. Our analysis adds five further drivers: cultural considerations; approaches to social problems that are innovative and experimental; having a past positive giving experience; legitimacy of a cause or organisation; and, importantly, having capacity to give.

The discussion further notes that some major hurdles exist with regard to philanthropy in Australia (and elsewhere). These include:

- An overall lack of information (or perhaps poor/hard to access information) on how and why to give to a particular cause or causes, or organisation, and about incentives for giving (taxation incentives in particular);
- Lack of information on outcomes from causes;
- Questions over the efficiency and effectiveness of organisations supported.

It is evident from our literature search that culture plays an important role in philanthropic giving in Australia. As Skaife *et al.*, (2012) note:

Australia's philanthropic sector is seen to be still in its infancy, with huge potential for growth driven by the untapped potential of those giving below their capacity. Compared to overseas, structured giving in Australia is not seen to stem from any particular national culture of philanthropy. Australia's lesser giving norm than comparable nations appears to be driven by a cringe around the word/concept 'philanthropist' (Skaife *et al.*, 2012, p. viii).

How we capture this so called 'untapped potential' is a challenge for governments, non-profit organisations and the community at large, and the subject of increasing research and policy attention. Acknowledging and promoting the conditions known to support or motivate philanthropy and addressing known barriers are key ways forward here. So too is provision of better information about philanthropy and what it can achieve.

The importance of philanthropic funding and support for the homelessness sector nationally (as well as in the US, UK and Canada) is emphasised in Chapter Four. This Chapter starts a conversation concerning which philanthropists and organisations support homelessness causes. Additional investigation of why, how, for how long et cetera philanthropists support homelessness efforts, will be presented as part of the final stage of this project.

The overall discussion in the report reminds us that social and political beliefs and values, culture and corporate and political structures, all influence philanthropy and the actions of the not for profit sector, on both national and individual levels. Australia's philanthropic experience is shaped by our culture, social conscience and institutions. In considering the engagement of the philanthropic and homelessness sectors then we must bear in mind influences such as: self-interest; empathy; sympathy; social justice; and conformity (Madden, 2006). These influences are important for all parties involved in philanthropic relationships.

The final stage of this research will add new insights to the literature on both homelessness and philanthropy in Australia; against the backdrop of important changes and innovations in social policy and the structures supporting not-for-profit organisations in Australia.

1. Introduction

1.1 Introduction and project rationale

This paper is the first output of a project entitled *Beyond charity: the engagement of the philanthropic and homelessness sectors in Australia*. The aims of the research are threefold:

- To better understand the role played by the philanthropic sector in the homelessness sector in Australia, the types of support provided and by whom;
- To understand what structures support philanthropy in the homelessness sector generally; and
- To identify what structures are needed to support philanthropic activity in the sector into the future.

But why is understanding this relationship important? Well the rationale for this research is really quite simple. First, philanthropic engagement has long been a feature of homelessness activity in Australia – albeit to varying extents across time and space. Many of the articles in a recent edition of *Parity* on Philanthropic, Corporate and Private Sector Responses to Homelessness are testament to this (see, for example, FAHCSIA 2012). The philanthropic sector continues to play an important role in addressing the causes and consequences of homelessness in Australia. This role has been long-standing, with philanthropic organisations and individual philanthropists providing funds for the operation of homelessness services and support programs for homeless people, as well as cash to fund the emergency, material aid and services needs of homeless people themselves.

Second, and importantly in the context of the evolution and reforms of the national homelessness and housing policy environments, the Australian Government's White Paper – *The Road Home* (Commonwealth of Australia 2008) includes a strong discourse around the need for greater philanthropic sector engagement with homelessness. That is, to reduce homelessness 'requires committed and sustained effort from all levels of government, business, the philanthropic and not-for-profit sectors and the Australian community' (p. 17). The White Paper, however, is relatively silent on how to achieve greater engagement between these sectors, limiting commentary to noting the important contributions of the philanthropic, corporate and business sectors to activities to

address homelessness and a conversation about establishing a philanthropic foundation – the Bea Miles Foundation. This foundation was ‘to channel funding, in-kind support and sponsor innovation and research to support the work of governments and the not-for-profit sector in combating homelessness’ (p. 20). The foundation idea has not come to fruition, with the government deciding that it would replicate activity already in place; effectively increasing competition with existing philanthropic, business and community sector structures working with homelessness (FaHCSIA Section Manager, pers. comm. June 10, 2011). The idea for the foundation was also tested in research for FaHCSIA conducted in 2011 by Effective Philanthropy. This research was commissioned to test the idea of a foundation, though very early on it was determined that ‘there is not support for a national foundation or pooled funding model involving Government and philanthropic contributions’ (Effective Philanthropy, 2011, p. 5).

While the important role of the philanthropic sector and individual philanthropists in the homelessness sector is often mentioned in debates around homelessness, and particularly in strategies to address homelessness, we really know very little about how these two sectors actually engage with each other. We know even less about barriers to effective engagement between the sectors and why philanthropic organisations and individual philanthropists choose to support a particular cause, including why they may choose to support another cause ahead of homelessness. This project aims to fill this gap in our understanding. Specifically, it will map out the roles currently played by philanthropic bodies within the homelessness sector, considering the ways in which engagement between the homelessness and philanthropic sectors can be supported and enhanced to improve outcomes for both sectors and ultimately for people who are homeless or at risk of homelessness.

Understanding the role of philanthropic organisations and individual philanthropists in addressing homelessness in Australia, as well as potential for expansion of this role, is all the more important at the current time given known demand pressures on homelessness services, support services and charities generally because of events such as the global financial crisis (GFC), recent floods and major bushfires and the impact of such events on general levels of donations to the community sector.

This report presents the findings of the first stage of this research project on the engagement of the homelessness and philanthropic sectors in Australia and internationally. It is a targeted literature review scoping the form and extent of such engagement, also paying specific attention to the structures that support active philanthropic engagement with homelessness, including taxation incentives and disincentives.

This research has been commissioned as part of the Australian Government's National Homelessness Research Agenda through FaHCSIA's National Homelessness Research Partnership Program. The research is being undertaken by a team of researchers from The University of Adelaide, Flinders University, Hanover Welfare Services and the South Australian Council of Social Service (SACOSS) under the Flinders Partners Homelessness Research Partnership.

1.2 Research questions and methodology

This project addresses four core research questions:

- What roles are performed by the philanthropic sector in Australia with respect to homelessness?
- Is the sector open to a greater co-ordination of activities?
- How could investment in homelessness measures by philanthropic organisations be stimulated?
- What are the gaps in philanthropic engagement with homelessness in Australia?

To answer these core research questions a conventional two stage research methodology has been employed:

3. Review of the published and grey literature about the role of/engagement between the philanthropic and homelessness sectors in Australia and internationally (this report).
4. Interviews with representatives of key philanthropic organisations and specialist homelessness services in five states (Victoria, New South Wales, Western Australia, South Australia and Queensland). This stage of the research will collect primary data on the engagement of the philanthropic sector with homelessness services, as well as interviews with representatives of philanthropic organisations not currently involved with

the homelessness sector. These interviews will provide us with a better understanding of the motivations of philanthropic organisations; appetite for engagement; the enablers of/barriers to engagement with homelessness services and people experiencing homelessness; and the benefit of such engagement.

1.3 Key terms used in this report

Philanthropy

There is sometimes confusion about the meaning of 'philanthropy'. The *Australian Oxford Dictionary* defines the word as meaning 'a love of mankind'. Common usage, giving a more applied meaning, identifies the essence of philanthropy as 'giving'. The Productivity Commission (PC) Report on the not-for-profit sector (2010) refers to 'donors (philanthropists)' (p. xxvi) and did not see a need to include 'philanthropy' in its glossary. This omission reinforces our observation that 'philanthropy' is one of those terms that is used often by individuals and organisations with an assumption that its meaning is clear; although this is often not the case.

A more precise usage of the term 'philanthropy' is clearly evolving over time, and increasingly it is being used as a technical term; although the criteria remain somewhat variable. The *Oxford Dictionary of English*, for example, defines philanthropy as 'the desire to promote the welfare of others, expressed especially by the generous donation of money to good causes'. Here, quantum, means and purpose have been included as integral to the definition.

Our favoured definition of philanthropy from our assessment of definitions in use is that advanced by Philanthropy Australia, a peak body for the philanthropic sector in Australia. Philanthropy is: 'The planned and structured giving of time, information, goods and services, voice and influence, as well as money, to improve the wellbeing of humanity and the community' (Philanthropy Australia 2012 *n.d.*). This broad understanding of the term philanthropy is shared by the Australian Centre for Philanthropy and Non-Profit Studies, whose 'philanthropy research builds from an interdisciplinary basis to investigate motivations, barriers and mechanisms underpinning giving behaviour'. It also closely reflects another favoured definition, this time borrowed from Philanthropy New Zealand and used

in their report *Giving New Zealand, Philanthropic Funding 2011* (BERL Economics 2011, p. 7):

Philanthropy is the act of giving financial resources to a cause that is intended to improve general human well-being, and where the giver expects no direct reciprocation of financial gain in return.

In discussing what philanthropy means it is important to acknowledge that 'giving' may be spontaneous or planned; it may be one-off or regular; it may involve money or property or time or influence; it may be direct or formalised through a trust or foundation structure; it may be by will; it may be by individual, household or corporate donors. One of the most recent comprehensive studies of 'giving' nationally – the *Giving Australia* project (2005) examined the state of giving to non-profit organisations of money, the value of such donations, and time (volunteering) by individuals, households and businesses in Australia. The scope of this study into 'giving', or 'philanthropy' broadly conceptualised, included donations of money and goods and services, and volunteering. Importantly, the study provides a unique snapshot of the pre-global financial crisis situation with regards to giving, and for this reason is discussed in detail later in this report.

Effectively then, philanthropy is the source of funding and support for good causes, and philanthropists are those providing the resources.

The philanthropic sector

In principle any donor is part of the 'philanthropic sector', regardless of how small and unique the donation provided. However, the 'sector' for this study may be more clearly identified as those involved in 'planned and structured giving': donors, advisors and peak bodies. As the 2005 *Giving Australia* research stated:

Sustaining giving is most likely when an understanding of motivations for giving are built upon by mechanisms that foster planned giving. A commonly held view is that giving is spontaneous. Indeed findings here are that 51% of donations are one-off, but often quite small. However, non-profit organisations are most likely to be sustained by regular and generous giving built on a long term relationship with the giver.

The pre-GFC period saw an increased interest in harnessing private philanthropy for public benefit. There was also a shift in strategic emphasis towards planned giving and the increasing importance of philanthropic intermediaries,¹ who 'play an important role in engaging wealthy individuals and the business community, and distributing their donations or the earnings from endowments' (PC 2010, p. 169). Bodies such as Philanthropy Australia and its Homelessness Affinity Group, Women Donors, the Society of Trust and Estate Practitioners are of the utmost interest, in addition to individual foundations and professional advisors. Some insight into the capacity to benefit from spontaneous giving is found on the website of the Fundraising Institute Australia.

Homelessness

The increased attention on homelessness in Australia over the term of the Rudd/Gillard government, has shone additional light on the term 'homelessness', and particularly whether the current ideas of what homelessness means are relevant and capture the true extent of this problem nationally. While the authors of this report acknowledge that there is discussion and some contention around what 'homelessness' is in Australia, and particularly how it is enumerated, in this research we continue to frame homelessness around three commonly used definitions:

- (a) the 'cultural definition' advanced by Chris Chamberlain and David McKenzie (outlined in Box 3.1);
- (b) the more service delivery directed definition underpinning the *Supported Accommodation Assistance (SAA) Act* (1994) (outlined in Box 3.2, and discussed in terms of changes to this program under the next Section on Specialist Homelessness Services); and
- (c) the 'new' definition advanced under the Specialist Homelessness Service Collection coordinated by the Australian Institute of Health and Welfare (AIHW).

Notably, the cultural definition of homelessness does not provide a category for people who are at risk of homelessness. This is important as current efforts to address homelessness nationally under the relevant White Paper are focussed on

¹ For example, community trusts, the Charities Aid Foundation Australia (established in Australia 1999), the Australian Charities Fund, Philanthropy Australia, as well as professional advisors, particularly lawyers, accountants and financial advisors.

people who are homeless or at risk of homelessness. The *SAA Act* (Cth) and 'new' broad definitions under the Specialist Homelessness Services (data) Collection incorporate the 'risk' element (see Boxes 3.2 and 3.3).

Recognising the broad range of risk factors for homelessness is also imperative here as it shows the range of areas in which agencies provide support (also discussed further below), as well as highlighting cross-over with many areas that are known to be of social concern to philanthropists – beyond just rooflessness.

Box 3.1: The three tier cultural definition of homelessness used in Australia

Primary homelessness: refers to people who are 'roofless'. That is people without conventional accommodation including people living in improvised dwellings, on the streets, sleeping in parks, squatting, living in cars or railway carriages for temporary shelter.

Secondary homelessness: people in stop-gap housing or people who move frequently from one form of temporary shelter to another. Includes people using crisis or transitional accommodation such as a refuge or a shelter within SAAP, those residing temporarily with other households who have no accommodation of their own, and those using boarding houses on a short-term basis (i.e. for less than 12 weeks).

Tertiary homelessness: refers to people who live in boarding houses on a medium to long-term basis (for more than 13 weeks).

Source: Chamberlain & MacKenzie, 2003.

Box 3.2: The *SAA Act* (Cth) (service delivery) definition of homelessness

Definition of "homeless"

(1) For the purposes of this Act, a person is homeless if, and only if, he or she has inadequate access to safe and secure housing.

Inadequate access to safe and secure housing

(2) For the purposes of this Act, a person is taken to have inadequate access to safe and secure housing if the only housing to which the person has access:

- (a) damages, or is likely to damage, the person's health; or
- (b) threatens the person's safety; or
- (c) marginalises the person through failing to provide access to:
 - (i) adequate personal amenities; or
 - (ii) the economic and social supports that a home normally affords; or
- (d) places the person in circumstances which threaten or adversely affect the adequacy, safety, security and affordability of that housing.

Person living in SAAP accommodation

(3) For the purposes of this Act, a person is taken to have inadequate access to safe and secure housing if:

- (a) the person is living in accommodation provided under SAAP
- (b) the assessment of the person's eligibility for that accommodation was based on the application of subsection (1) or (2) (ignoring the effect of this subsection)

(4) Subsections (2) and (3) do not limit the generality of subsection (1)

Box 3.3: AIHW definitions of homelessness and risk of homelessness

Homelessness

A person is homeless if they are either:

- living in non-conventional accommodation or 'sleeping rough', or
- living in short-term or emergency accommodation due to a lack of other options.

Risk of homelessness

A person is at **risk of homelessness** if they are at risk of losing their accommodation.

A person may be at risk of homelessness if they are experiencing one or more of a range of factors or triggers that can contribute to homelessness.

Risk factors include:

- Financial stress (including due to loss of income, low income, gambling, change of family circumstances).
- Housing affordability stress and housing crises (pending evictions/foreclosures, rental and/or mortgage arrears).
- Inadequate or inappropriate dwelling conditions, including accommodation which is unsafe, unsuitable or overcrowded.
- Previous accommodation ended.
- Relationship/family breakdown.
- Child abuse, neglect or environments where children are at risk.
- Sexual abuse.
- Domestic/family violence.
- Non-family violence.
- Mental health issues and other health problems.
- Problematic alcohol, drug or substance use.
- Employment difficulties and unemployment.
- Problematic gambling.
- Transitions from custodial and care arrangements.
- Discrimination including racial discrimination (e.g. Aboriginal people in the urban rental market).
- Disengagement with school or other education and training.
- Involvement in or exposure to criminal activities.
- Antisocial behaviour.
- Lack of family and/or community support.
- Staying in a boarding house for 12 weeks or more without security of tenure.

Source: AIHW 2010.

Specialist Homelessness Agencies and specialist homelessness service(s)

The final two key terms needing definition are Specialist Homelessness Agencies (or Agency) and specialist homelessness services. These two terms can be easily confused.

Specialist Homelessness Agencies have by-and-large replaced what were previously referred to as Supported Accommodation Assistance Program (SAAP) services; agencies delivering support to homeless people in line with the *SAA Act* (1994) and funded under the Supported Accommodation Assistance Program as

part of the former Commonwealth State Housing Agreement. As with the former SAAP services, Specialist Homelessness Agencies are the coalface organisations delivering support or services to homeless people across Australia. As the Australian Institute of Health and Welfare (2012, p. 42) note, they receive

...government funding to deliver specialist homelessness services. Assistance is provided to clients aimed at responding to or preventing homelessness. Agencies may also receive funding from other sources.

The AIHW collects information on the activities of Specialist Homelessness Agencies and reports such data quarterly (known as the Specialist Homelessness Services Collection (SHSC)). 'Inclusion of agencies in the SHSC is determined by the state and territory departments responsible for administering the government response to homelessness.' (AIHW 2012, p. 42). Specialist Homelessness Agencies fit under the broad umbrella of the National Housing Affordability Agreement (NAHA) introduced in January 2009 by the Rudd/Gillard government, which replaced the former Commonwealth State Housing Agreement. Reform in the structure and delivery of housing assistance nationally under the NAHA has seen both renaming of certain housing-policy and -assistance programs and levers (like SAAP), as well as significant new monies for activities to improve housing outcomes for vulnerable Australians, and specifically for the homeless. As part of these reforms the *SAA Act* is currently being replaced by a new *Homelessness Bill*. The *Homelessness Bill* fulfils an important promise by the Rudd/Gillard Labor government under the homelessness White Paper to review and revise the now out dated guiding legislation for government-funded and -provided homelessness services.

An exposure draft is currently out for consideration on the *Homelessness Bill*, emphasising:

- the point in time and whole of life impacts of homelessness, including in terms of economic and social participation (social inclusion);
- the importance of adequate housing;
- commitment to a particular standard and quality of service delivery;
- the importance of strategies to address homelessness, including prevention and early intervention strategies and actions to improve the supply of affordable housing;

- a commitment to whole of government and cross-sectoral cooperation and coordination of actions to address homelessness; and
- ongoing policy development in the homelessness sphere (*Homelessness Bill* 2012).

The exposure draft also introduces a new definition for homelessness:

5 Meaning of *homelessness*

For the purposes of this Act, a person is experiencing ***homelessness*** if:

- (a) the person is sleeping rough or living in an improvised dwelling;
- or
- (b) either:
 - (i) the person is temporarily living with friends or relatives and has no other usual address; or
 - (ii) the person is living in accommodation provided by a specialist homelessness service; or
- (c) the person is living in a boarding house, caravan park, hostel, refuge, shelter or similar accommodation, whether on a short-term or long-term basis, in respect of which the person has no secure lease and the person is not living in that accommodation by choice.

Specialist Homelessness Agencies deliver services to homeless people, and the services they deliver are known (logically) as specialist homelessness services. Specialist homelessness services are a technical description for the activities undertaken by a Specialist Homelessness Agency during a client support period that are reportable under the Specialist Homelessness Service Collection. The broad range of actions that an Agency may provide as a service to clients is captured in Box 3.4.

Box 3.4: The range of specialist homelessness services provided to clients of Specialist Homelessness Agencies

<p>Housing/accommodation services:</p> <ul style="list-style-type: none"> Short-term or emergency accommodation Medium-term/transitional housing Long-term housing Assistance to sustain tenancy or prevent tenancy failure or eviction Assistance to prevent foreclosures or for mortgage arrears <p>Specialised services:</p> <ul style="list-style-type: none"> Child protection services Parenting skills education Child specific specialist counselling services Psychological services Psychiatric services Mental health services Pregnancy assistance Family planning support Physical disability services Intellectual disability services Health/medical services Professional legal services Financial advice and counselling Counselling for problem gambling Drug/alcohol counselling Specialist counselling services Interpreter services Assistance with immigration services Culturally specific services Assistance to connect culturally Other specialised services 	<p>General assistance and support:</p> <ul style="list-style-type: none"> Assertive outreach Assistance to obtain/maintain government allowance Employment assistance Training assistance Educational assistance Financial information Material aid/brokerage Assistance for incest/sexual Assistance for domestic/family violence Family/relationship assistance Assistance for trauma Assistance with challenging social/behavioural problems Living skills/personal development Legal information Court support Advice/information Retrieval/storage/removal of personal belongings Advocacy/liaison on behalf of client School liaison Child care Structured play/skills development Child contact and residence arrangements Meals Laundry/shower facilities Recreation Transport Other basic assistance
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Source: AIHW 2012, pp.42-43.

1.4 Report structure

This report begins with a broad level discussion of the status of philanthropy in Australia (Chapter Two). The discussion in this Chapter pays specific attention to the structures supporting philanthropy – including government and legal structures, as well as peak and other organisations focussed on supporting giving.

Chapter Three builds upon the discussion in the preceding Chapter, providing a brief examination of the philanthropy literature from Australia and overseas. The

thrust of this discussion centres on the foci in the literature – motivations and behaviours of philanthropists, challenges and barriers to philanthropic activity and the impact and reach of philanthropy. Following this, Chapter Four narrows the broad focus of Chapter Three back to Australia specifically and what we know about the cross-over between the homelessness and philanthropic sectors. The discussion in this Chapter includes presentation of a brief web-based analysis of philanthropic activity supporting the homeless and services assisting the homeless. This analysis is important as it begins the task of mapping the organisations to be targeted for the second stage of this research – which involves speaking with representatives of Specialist Homelessness Agencies and other stakeholders about levels of giving, the importance of such donations and what could be done to improve philanthropic engagement.

The final Chapter has dual purpose. First it provides a short conclusion to the report. Second, it outlines the direction of the next stage of this research on engagement between the philanthropic and homelessness sectors.

2. Philanthropy in Australia

2.1 Introduction

The last 15 years have seen an increased policy interest in philanthropy broadly. In the decade before the GFC, policy makers saw opportunities to increase the role played by private giving for public good. National and individual wealth was escalating in Australia and an unprecedented transfer of wealth between the generations was anticipated until 2050 (McDonald, 2005, p. 7). With this increasing wealth came an acknowledgement of increasing capacity for philanthropy, coinciding with a time when Australia's not-for-profit organisations were providing more services to the vulnerable and needing more resources beyond the support available from government to do this. A number of commentators describe this evolution in philanthropic activity noting that it fits with (and is explained by) the neoliberal ascendancy in public policy nationally (Van Gramberg & Bassett, 2005; Barraket, 2008). There is a trend to market solutions to social and economic problems and devolution of responsibility for many social 'issues' to non-government and quasi-government organisations, as well as to individuals themselves; demonstrating the 'roll-back' and 'roll-out' features of neoliberalism and the shift from the discourse of structural inequality to individual responsibility (Peck & Tickell, 2002).

Identification of an expanded role for philanthropy during the terms of the then Howard Coalition government (1996–2007), resulted in the convening of a Community Partnerships Roundtable in 1998, renamed the Prime Minister's Community Business Partnership in 1999. The Partnership's goals included identifying and addressing incentives and impediments to corporate social responsibility and encouraging a culture of giving in Australia. Although the Partnership was disbanded by the Rudd Labor government after the 2007 election, its work provided momentum to the search for new private funding assistance. It raised the profile of corporate giving and partnerships, provided an impetus for research, published a number of seminal reports (including the *Giving Australia* research series) and useful practice documents (for example Forde *n.d.*). It also highlighted methods of increasing structured and sustainable giving. The Coalition in opposition has committed to re-establishing the Partnership. Philanthropy Australia and the Fund Raising Institute of Australia have greeted this news enthusiastically (Pro Bono Australia 2012a).

During the years of the Howard government, other moves to increase or facilitate giving included the encouragement of private grant making foundations through the introduction of fiscally-advantaged Prescribed Private Funds (PPFs) in 2001; the encouragement of workplace giving and the establishment of an inquiry into the definition of charity. After the change in government much of this momentum was maintained. Private Ancillary Funds replaced the PPFs in 2009. The National Compact was announced between the government and the non-for-profit sector and steps taken to facilitate access to sustained philanthropic funding. The ongoing reform of charity law and the commencement of the Australian Charity and Not-For-Profit Commission (ACNC) in October 2012 will directly contribute to the strengthening of this enterprise. And, as mentioned earlier, philanthropy was identified upfront in actions to address homelessness in *The Road Home*, the White Paper for addressing homelessness: a keystone of social policy under the Rudd/Gillard government. Notably, philanthropy also received attention as part of the Social Inclusion Agenda introduced by the Rudd/Gillard government in 2010. This is important to remember in terms of context, as the Social Inclusion Agenda is the whole-of-government strategic agenda aimed at improving social and economic outcomes for all Australians, especially 'multiply disadvantaged' Australians such as the homeless (see Australian Social Inclusion Board 2011).

This Chapter looks briefly at the status of philanthropy in Australia. The discussion centres on what we know about donations and donors, as well as the structures that support philanthropic activity generally. Such structures include the aforementioned PAFs and their public counterpart PuAFs, community and corporate foundations, government funded/prescribed trusts and organisations that combine one or more of these structures. Organisations that support and regulate the philanthropic sector, in particular the proposed ACNC will also be discussed. This Chapter gives an insight into the structures that regulate and support the philanthropic sector generally.

2.2 Giving: donations and donors

It is difficult to determine the exact amount of money that is provided to non-profit organisations by individuals and corporate entities, either directly or through philanthropic trusts. Putting together a clear picture of donation and philanthropy in Australia is challenging, due to the lack of concrete data surrounding the movement of money in the sector (McGregor-Lowndes, Newton & Marsden, 2006); the number of philanthropic organisations in existence; and the different governance arrangements in place. Official statistics give us some insight into the sector, providing a broad overview of not-for-profits, donors and the movement of money between them. The not-for-profit sector in Australia is not insignificant; in the 2006/07 financial year it made up almost 5 per cent of the country's Gross Domestic Product and employed approximately 8 per cent of the workforce (Woodward & Fung 2012; ABS 2009). The growth of the not-for-profit sector is second only to the mining industry (ACNC Implementation Taskforce 2012, p. 2). Our level of donation is, on the evidence we have, higher than that of New Zealand, although it falls short of levels in the United Kingdom (UK) and the United States (US) (PC 2010, p. 155).

There is evidence that the level of donation to non-profits is increasing, with an upward trend identified in the *Giving Australia* study. Over a period of seven years from 1997, the level of giving by adults increased by 18 per cent, with an associated increase of 58 per cent (adjusted for inflation) in the amount given to non-profit organisations (McGregor-Lowndes, Newton & Marsden, 2006, p. 498; ACOSS 2005). Philanthropy Australia (2012) estimates that over the financial year 2008/09, more than 4.6 million taxpayers made tax deductible donations to charities; a significant number in itself, but only the tip of the iceberg when one looks at how few charities are eligible for tax deductible donations. It has been speculated that the increase in personal wealth and several large-scale disasters, such as the South-East Asian tsunami in 2004 and the 2009 Victorian bushfires, have both contributed to the rise in giving to non-profit organisations in Australia (McGregor-Lowndes, Newton & Marsden, 2006, p. 496). What does not seem to have contributed significantly, somewhat surprisingly, is the increase in tax incentives for charitable donations enacted by the Howard Government from the late 1990s (McGregor-Lowndes, Newton & Marsden, 2006, p. 506).

In terms of the size of the non-profit sector, it is estimated that as of October 2011 there were approximately 600,000 not-for-profit organisations in Australia (Short 2012). Of these, 56,000 were charities (Woodward & Fung, 2012, p. 234), 55,093 are recognised as Tax Concession Charities (TCCs), and 27,783 registered as Deductible Gift Recipients (DGRs) (ATO 2012b Ch. 10). There is some cross-over between these two structures, as organisations can be registered as both TCCs and DGRs, while some organisations registered for tax concession or deduction may be philanthropic trusts rather than charities. There are currently 879 Private Ancillary Funds (PAFs) registered in Australia (ATO 2012b Ch. 10), as well as an unquantified number of Public Ancillary Funds (PuAFs).² A brief discussion of the types of funding structures (foundations, funds, et cetera) is provided later in this Chapter.

The Australian non-profit sector encompasses a broad range of social interests, from sporting clubs and the arts, to scientific research and social disadvantage. Table 2.1 identifies, from the financial years 2001/02 to 2009/10, the distribution of donations from Private Ancillary Funds to various charitable causes. The section that is broadly termed 'welfare', which encompasses homelessness and other types of social and economic disadvantage, is one of the top recipients of donations, and has steadily increased up until the final financial year listed. However, it is impossible to tell how much money provided in this broad area goes directly or indirectly to homelessness programs (this issue will be the focus of Chapter Four). What the table does tell us, though, is that a high proportion of money is provided to non-profit organisation involved in welfare initiatives.

Interestingly, Philanthropy Australia provides a listing of the top ten highest donor funds for the 2010/11 financial year (Table 2.2). This shows some of the significant amounts of funds available for philanthropic activity nationally.

² This may be due to the relatively recent introduction of legislation governing Public Ancillary Funds in Australia.

Table 2.1: Breakdown of PAF donation and distributions by type 2001/02–2009/10 financial years¹

	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08 ³	2008-2009 ³	2009-2010
	\$	\$	\$	\$	\$	\$	\$	\$	\$
Donations received²	53,041,569	53,177,509	155,657,519	192,689,639	364,936,874	533,261,865	779,331,022	272,633,651	320,902,818
Health	534,141	390,113	1,382,296	2,442,957	5,775,830	7,832,183	9,803,167	14,473,540	18,520,332
Education	851,036	3,451,638	4,234,797	12,605,664	12,242,161	9,873,819	16,206,527	19,926,319	21,432,187
Research	199,800	577,732	1,322,925	598,928	2,001,817	2,353,085	11,597,567	2,921,935	25,201,891
Welfare	2,780,203	8,315,269	9,593,833	23,518,609	23,047,455	36,946,138	44,355,002	56,201,850	50,920,667
Environment	176,000	541,253	1,057,177	1,917,820	5,797,762	7,636,862	14,107,795	14,580,249	13,080,224
International Affairs	121,020	417,707	4,008,264	4,872,084	4,852,781	5,885,893	11,159,253	14,317,913	23,331,025
Sports & Recreation	0	0	0	0	84,500	41,380	463,500	1,986,969	317,635
Philanthropic Trusts	0	0	0	0	0	0	0	0	0
Cultural Organisations ⁴	761,345	2,549,380	2,893,616	2,310,460	5,239,626	39,929,082	10,943,058	18,740,509	26,417,358
Fire & emergency organisations	0	0	0	0	0	0	0	13,000	0
Other ⁵	1,055,280	1,186,752	1,597,455	3,200,675	5,230,387	13,458,639	14,100,530	1,779,140	7,807,042
Ancillary Fund DGRs ⁵	198,800	955,770	939,054	2,426,941	5,271,341	5,762,247	6,958,664	7,153,762	4,631,412
Not a DGR ⁵	0	25,048	124,100	888,662	2,117,903	418,048	298,267	1,252,612	944,900
Not a DGR but a TCC ⁵	0	0	0	0	0	6,080	270,872	1,256,764	0
Other unknown ^{5,6}	14,350	9,500	304,700	2,648,465	12,797,625	3,278,401	306,000	639,300	4,839,698
Total	6,691,975	18,420,162	27,458,217	57,431,265	84,459,188	133,421,856	140,570,201	155,243,860	197,444,370
Closing value	133,714,806	179,333,372	332,015,573	526,247,769	885,420,949	1,484,473,279	2,069,350,356	2,038,118,139	2,266,643,704

Source: ATO 2012a

Notes:

1. The data in these tables will change slightly over time as outstanding returns are keyed in or other information comes to attention.
2. Data for each financial year includes data processed up to 31 October of the following year.
3. In the 2008-09 financial year the value of donations to private ancillary funds decreased, in part because of a large one-off donation that was made in the 2007-08 financial year. If this one-off donation is not taken into account there would have been a smaller decrease in the value of donations.
4. For 2007-08, the cultural organisations category distributions decreased by 75.5% which is mainly attributable to there being a significant one-off distribution during the 2006-07 financial year.
5. For years prior to 2006-07, data for four categories of specific listed DGRs, ancillary fund DGRs, not a DGR, not a DGR but a TCC came combined in other. For 2007-08, data have been split into the four respective categories.
6. Includes donations to 'family', 'defence', 'industry, trade and design', 'philanthropic trusts' and specifically listed DGRs that were not able to be otherwise classified.

Table 2.2: Disbursements 2010-2011 financial year

Name	Disbursement \$m
Macquarie Group Foundation	17.7
The Ian Potter Foundation	12.4
The Sidney Myer Fund and The Myer Foundation	11
Lord Mayor's Charitable Foundation	7.7
Geoffrey Gardiner Dairy Foundation	7.2
AMP Foundation (2010 figures)	6.2
Colonial Foundation	5.6
Helen Macpherson Smith Trust	5.5
R.E. Ross Trust	5.3
The William Buckland Foundation	3.3

Source: Philanthropy Australia 2012.

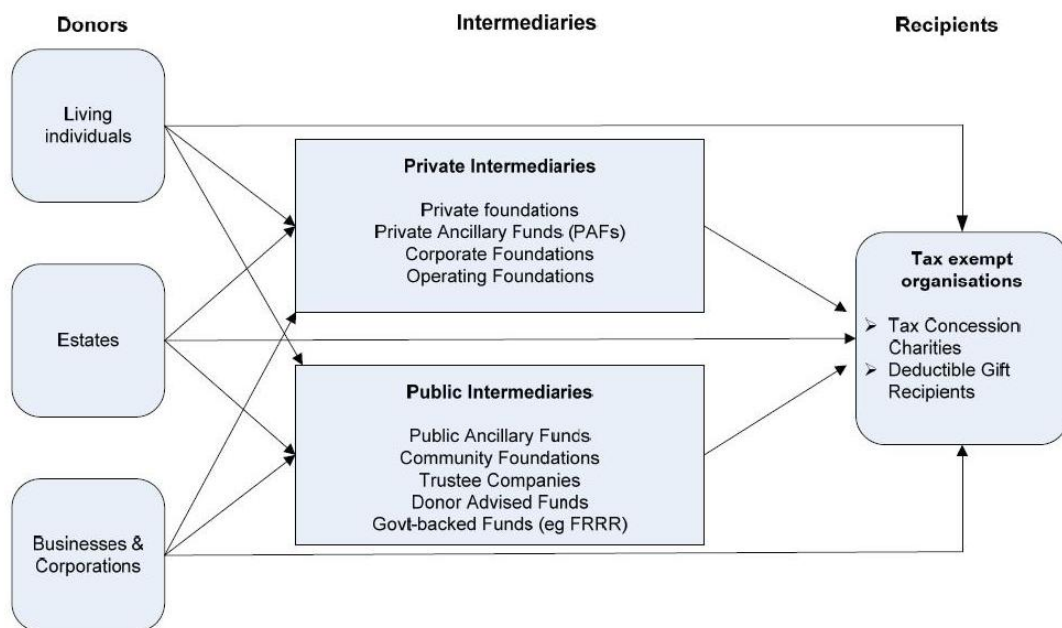
Of the foundations listed all but one states social disadvantage and welfare programs as areas of focus for grant making.³ The Lord Mayor's Charitable Foundation in particular provided large grants to the Salvation Army in 2008 for an outreach program, 'Melbourne's Road Home – 24/7' (LMCF 2012), while the William Buckland Foundation supports marginalised and disadvantaged peoples (WBF 2012). When considered with the Australian Taxation Office (ATO) data, it seems clear that homelessness is an area that many, and large, donors are willing to put money towards. Moreover, given the incomplete nature of the statistics available, the figures only scratch the surface of the funds donors are dedicating to this area.

2.3 The establishment of philanthropic trusts: legal structures

The nature of philanthropy is that it is an intermediary between those who want to contribute money or other assets to charitable causes, and the charities themselves. Philanthropic trusts take money from individuals or organisations, retain and invest their assets in order to grow them, and then disburse profits according to their trust deed – the document governing the behaviour of the trusts – to various charitable organisations. The flow of assets is demonstrated diagrammatically in Figure 2.1.

³ The Geoffrey Gardiner Dairy Foundation specifically supports dairy farmers and the associated industry.

Figure 2.1: Movement of charitable donations in Australia



Data source: Adapted from Philanthropy Australia (sub. 62).

Source: Productivity Commission 2010, p. 169.

There are various types of trusts, operating in Australia. These fall under the following categories:

- Public Ancillary Funds (PuAFs): created by a trust deed or a will, regulated under Commonwealth legislation, must seek funds from the general public;
- Private Ancillary Funds (PAFs): formerly Prescribed Private Funds (PFFs). These are family trusts that cannot seek public funding contributions, regulated by Commonwealth legislation;
- Community Foundations: trusts tied to a local geographical area, providing grants for charitable causes in that area;
- Corporate Foundations: trusts established by, and funded (either directly or through staff contributions) by corporate entities;
- Private/Testamentary Trusts: not regulated by legislation, governed by a trust deed (or will, in the case of a testamentary trust), with wider grant making powers than PAFs; and
- Specialist trusts: which receive contributions from the government, and statutory entities that are specifically declared by legislation.

Notably, some philanthropic trusts may be hybrids, combining two or more of the above structures.

There are some similarities between the structures, the most basic being that all are made under a trust deed. All trust structures also require a corpus, the initial base amount that is to be invested to build up funds for grant making (Meachen 2006, p. 32). Each of the structures provide varying ways of donating money, depending on the purpose of establishing the trust. Each carry their own advantages and disadvantages. The main types of trusts are considered in more detail below.

2.3.1 Public Ancillary Funds (PuAFs)

PuAFs are regulated by the *Public Ancillary Fund Guidelines 2011*,⁴ and came into force in January 2012. The guidelines set down the four main principles of a PuAF:

- It is to be an ancillary fund (it provides assets to charity, but does not carry on charitable work itself);
- The funds are philanthropic in nature (decision-makers and other members of the trust are not allowed to receive any benefit from it);
- Funds are public in nature (provided by the general public through fundraising efforts and accountable to the community); and
- Funds are kept in a transparent, accountable trust (Commonwealth of Australia 2010, p. 4; Public Ancillary Fund Guidelines 2011 s. 8).

For example, PuAFs such as the Adam Scott Foundation, which supports disadvantaged youth and children with Autism, raises funds through a combination of corporate and industry donations, private fundraising (from people within the trust) and through donations from the general public (Adam Scott Foundation 2012).

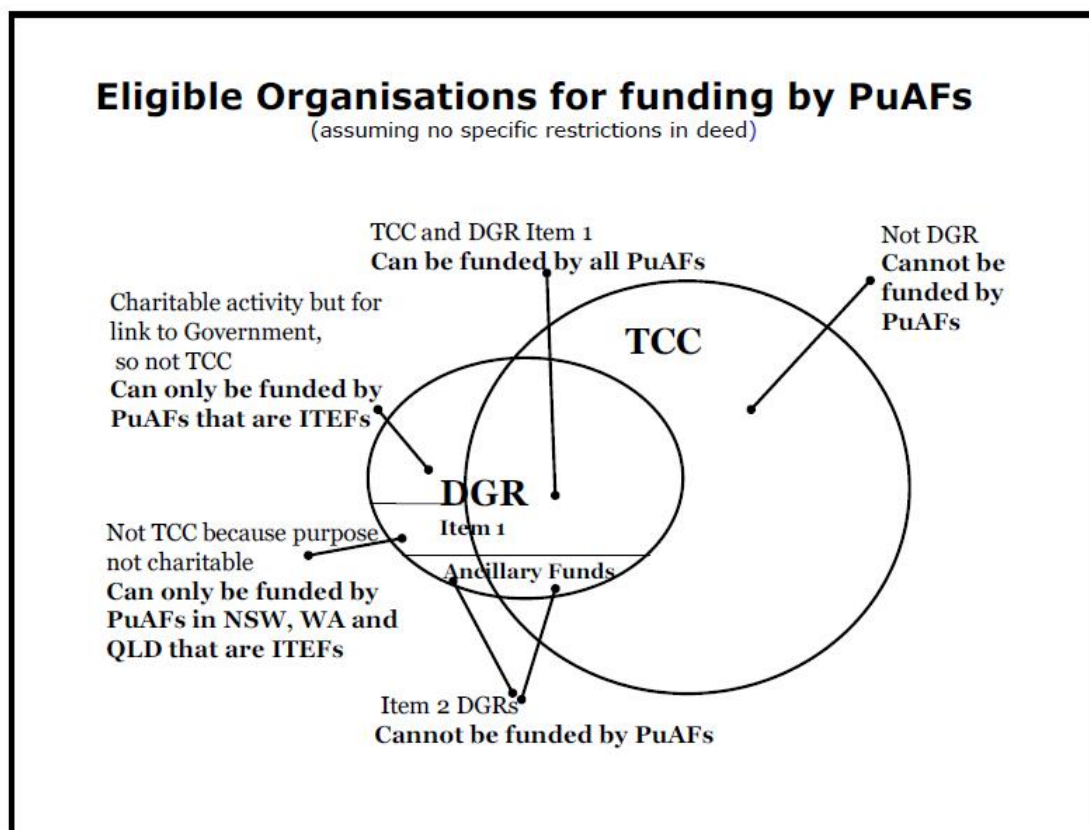
A PuAF trust must be overseen by a corporate trustee, and a majority of the decision-makers on the board must be 'responsible persons'; a narrowly defined group of people who are deemed to have expertise or experience in select areas and are known and trusted by a large section of the community (PuAF Guidelines

⁴ Under the *Taxation Administration Act 1953* (Cth).

2011, s. 14). Certain individuals can be deemed by statutory declaration as responsible people for the purpose of decision-making.

PuAFs have strict and complex rules regarding the acquisition, retention and use of assets, and are required to distribute a minimum amount per financial year to charitable organisations, 4 per cent of the market value of the net assets of the trust (PuAF Guidelines 2011 s. 19). Further, PuAFs operate under complicated rules regarding the organisations they can grant money to. This depends on the way in which a PuAF is registered, the registration status of donor recipients, and the state in which a PuAF is located. The New South Wales based PuAF Sabemo Trust provides an example of the complex issues surrounding the granting of funds. The trust provides money for programs that seek to better the lives of children from birth until the age of eight. As well as their criteria surrounding the type of projects they will fund, the Sabemo Trust is required to take careful consideration of the tax status of the organisations it may fund (Sabemo, 2012). Figure 2.2 shows the types of organisations that PuAFs can provide grants to, highlighting just how difficult determining grant recipients can be.

Figure 2.2: Public Ancillary Funds grant making eligibility



Notes:

- TCC stands for Tax Concession Charities, charitable organisations that are exempt from paying income tax, are entitled to GST or FBT (Fringe Benefit Tax) concessions, or a combination of the three.
- DGR stands for Deductible Gift Recipients, organisations that allow tax deductible donations; Item 1 DGRs are granted to charitable organisations (known as 'doing' DGRs) while Item 2 DGRs are provided to philanthropic trusts (known as 'giving' DGRs).
- ITEFs are Income Tax Exempt Funds, non-charitable funds established by a will or trust deed (ATO 2012b).

Source: Ward 2012b, p. 11.

2.3.2 *Private Ancillary Funds (PAFs)*

Like Public Ancillary Funds, PAFs are philanthropic trusts regulated through legislation, specifically the *Private Ancillary Fund Guidelines 2009* (Cth).⁵ These guidelines replaced those underlying the Prescribed Private Funds (PPFs) introduced by the then Prime Minister John Howard in 2001 (Ward 2009, p. 3). Some organisations, such as Donkey Wheel, a trust that funds initiatives that 'think outside of the box', may still identify as PPFs as the process of transition to the new system continues (Donkey Wheel 2012).

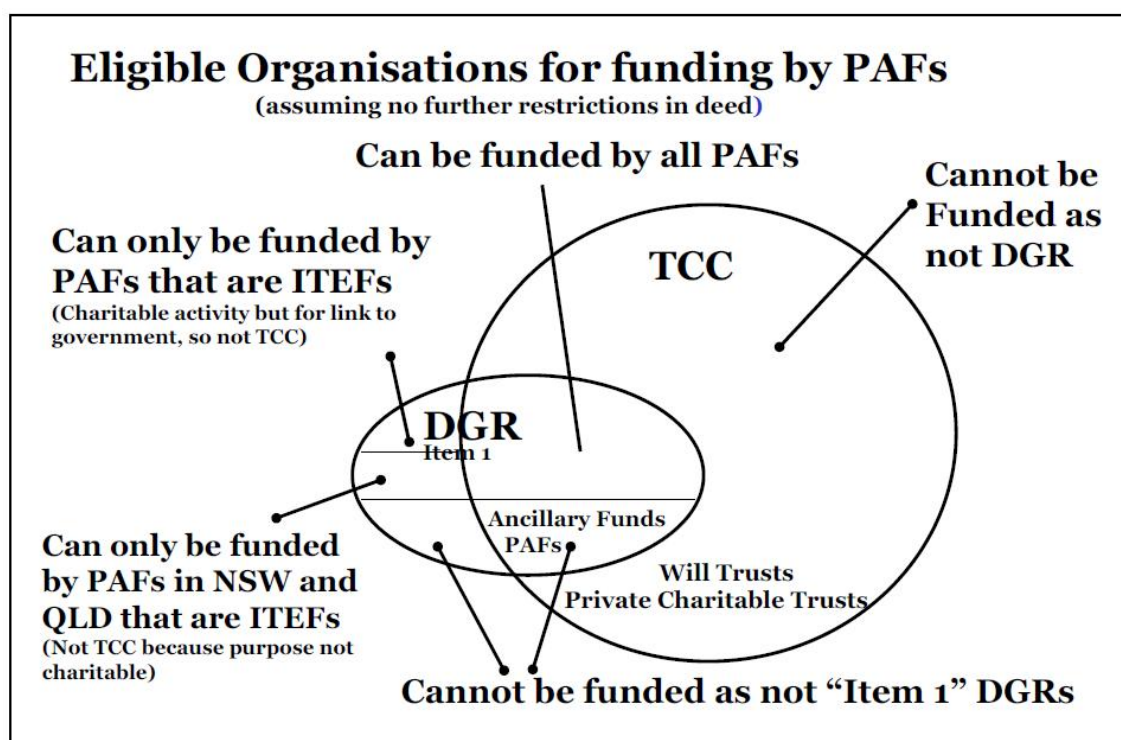
In contrast to the PuAFs, PAFs are private trusts, meaning that donations cannot be solicited from the general public. Otherwise, such funds adhere to the same principles. They are ancillary and philanthropic in nature, and have similar requirements around accountability and transparency (PAF Guidelines 2009, s. 8). Many trusts, for example CAGES, an organisation that funds projects for Indigenous Australians, make accountability and transparency part of their core values, with the expectation that they and their grantees will adhere to them (CAGES, 2012).

There are key differences in the way in which PAFs are administered, in contrast to their public counterparts. PAFs can only receive donations from family members or associates of the trust, with strict limits placed on how much money can be provided by more removed sources (PAF Guidelines 2009, s. 46). Their minimum yearly distribution is 5 per cent of the net assets, depending on the way in which the expenses of the fund are covered (PAF Guidelines 2009, s. 19.1.). At least one person involved in the decision-making process for the trust must be classed as a 'responsible person' – the criteria for which is less strict than for PuAFs (PAF Guidelines 2009, s. 14).

⁵ Again, the guidelines are made under the *Taxation Administration Act 1953* (Cth). The Public Ancillary Fund Guidelines are modelled on the Private Ancillary Guidelines.

PAFs have similar restrictions to PuAFs in terms of grant making abilities. Money cannot be passed between PAFs as they are considered 'giving' and not 'doing' organisations (Ward 2009, p. 9). This restriction serves two purposes. First, it prevents the flow of money between these holding trusts, funnelling it instead to the 'doing' charities, where it is needed (Ward 2009, p. 9). Second, it makes PAFs less attractive as an income splitting or tax avoidance measure (McGregor-Lowndes, Newton & Marsden 2006, p. 501). Like PuAFs, PAFs may also have state-based restrictions on the organisations they can support. The Besen Family Foundation, for example, funds projects in arts, health and Jewish religious interests in Victoria only (Besen Family Foundation 2012). Figure 2.3 shows the complex criteria for the provision of grants by PAFs.

Figure 2.3: Private Ancillary Funds grant making eligibility



Source: Ward 2009, p. 10.

2.3.3 Community Foundations

Community foundations are seen to be the easiest and most cost effective form of structured philanthropic giving (Meachen, 2006, p. 32). These trusts are set up to serve a particular geographical area. Foundations are incorporated, not-for-profit organisations. They are separate entities, rather than an arm of an organisation, and are endorsed by the ATO as having tax exempt status

(Community Foundations Gateway 2012). The incorporated foundation is the trustee, which means that while there are no specific legislative instruments covering foundations specifically, they are bound by the rules governing trusts. Legislation concerning trusts varies somewhat between the states. Further, community foundations require a board of directors, and a minimum number of volunteers involved in the trust, generally people familiar with the operational geographic area (Meachen, 2009, p. 6).

The corpus for a community trust must be large, higher than is required by either Private or Public Ancillary Funds. However, foundations can have sub-funds; a 'management account within the community, bearing [the establishing individual's] own name.. for a specific purpose' (Meachen, 2009, p. 6). The purpose of sub-funds is to raise additional money to be provided to the foundation, and to give suggestions on the types of projects grants should be made to, although the trustees retain ownership of the funds and have ultimate discretion on grant making, subject to the trust deed. The Sydney Community Foundation, for example, has several sub-funds, including the Sydney Women's Fund, which in turn has a sub-fund in the Indigo Express Fund, established with a focus on literacy programs for young girls (Sydney Community Foundation 2012; Indigo Express Fund 2012).

Unlike the Ancillary Funds, community foundations can create partnerships with charitable organisations, conduct independent programs and provide community leadership (PC 2010, p. 170). The Geelong-based Give Where You Live, a foundation supporting health, education and income (with homelessness as a priority) is an example here. It has 70 community partners and supports ongoing projects in the Geelong area (Give Where You Live 2012).

The ability of community foundations to seek and provide money from further afield than Ancillary Funds makes them a more attractive structure, although they are still limited by taxation, trust, and corporate legislation, as well as the framework of their governing trust deed. Some community foundations may use the PuAF structure, although foundations that do this need to adhere to more strict legislative rules.

2.3.4 Corporate Foundations

Corporate foundations are similar in nature to community foundations, in that they are separate legal entities with trustees and directors, and need to adhere to the trustee and corporate legislation. The main difference with corporate foundations is that they are supported by, and intimately linked to, a business corporation. A corporate foundation is set up through a trust, with a board of directors acting as trustees, separate from the business. These trusts are funded through a combination of profits made by the business corporation and direct staff donations (Meachen, 2009, p. 7). Organisations like the law firm Clayton Utz fund their philanthropic enterprise (the Clayton Utz Foundation) through a combination of workplace giving and the profits of a 'staff cafe' (Clayton Utz 2012).

However, not all philanthropic giving by corporate entities is through corporate foundations; direct donations can be provided by the administrative arm of a corporation without any formal trust established. This differs considerably from the trust framework, and allows corporations to give to a wider variety of charitable organisations (PC 2010, p. 170).

2.3.5 Private and Testamentary Trusts

Private and testamentary trusts can be contrasted with PAFs by their tax status. They are the oldest forms of trusts. The Wyatt Benevolent Institution, for example, a testamentary trust, was established in 1886 (Ward 2012a, p. 5; Wyatt 2012). Established by a trust deed (in the case of private trusts) or through a will (for testamentary trusts), trusts of this nature can register as TCCs, but not for DGR status, meaning that while the trust itself will not attract income tax, donations made to it are not tax deductible (Meachen, 2006, p. 28).

The tax status of private trusts means that they are able to provide grants to a wider variety of charitable organisations than some philanthropic structures; as they are not limited by the DGR status of PAFs (Meachen, 2006, p. 29). Private trusts are still bound by trustee legislation of the state in which they are based, but the majority of the limitations placed upon them are set out in the trust deed. For example, the Collier Charitable Fund, a testamentary trust funding areas such as public health, relief of poverty and education, has wide discretion granted by

the terms of its deed, allowing for more freedom in the types of organisations it supports (Collier 2012).

2.3.6 Government and Statutory Trusts

All of the trusts discussed previously receive their monies from individuals, corporations or the general public, depending on their structure. But there are a small number of trusts that receive direct funding from state or federal government (rather than through tax concessions). There are two main types of government-supported trusts. The first are trusts that were provided with 'seed' money for start-up, but are otherwise independent (Meachen, 2009, p. 8). One such group is the Victorian Women's Trust, which is dedicated to the betterment of the position of women and girls in society (Victorian Women's Trust 2012). Likewise, the Geoffrey Gardiner Dairy Foundation (listed in Table 2.2 as a top ten grant maker nationally) was set up with a seed grant of \$62 million from the Victorian Government under the *Victorian Dairy Act 2000* (Vic), from money made through deregulation of the dairy industry (Gardiner Foundation 2012).

The second type of government supported trusts are those that continue to receive donations from state or federal government. The Law and Justice Foundation of New South Wales is a statutory body, incorporated under specific legislation, the *Law and Justice Foundation Act 2000* (NSW). Although open to public contributions, the majority of its funding comes from the state Law Society through government funding (Legal Profession Act 2004, s. 285).

2.3.7 Trustee Companies

The move towards the requirement for trusts to have companies managing their funds has expanded the opportunity for specialist trustee companies. Trustee companies such as ANZ Trusts manage personal and philanthropic trusts, removing the burden of establishing a separate trustee entity from individuals, as well as providing advice about philanthropic trust frameworks and investment (ANZ 2012). There are also specialist companies such as the Australian Executor Trustees, which specifically manages testamentary trusts (AET 2012).

The legal requirements for structured philanthropic giving are regulated and supported by a web of government and independent organisations that provide tax incentives, legal frameworks and advice to individuals and businesses involved

in philanthropy. At present the regulatory and support processes are being streamlined with the creation of a new independent regulator, the Australian Charity and Not-For-Profit Commission (ACNC). The next Section discusses the existing structures and the move towards the ACNC framework.

2.4 Government and peak bodies

The not-for-profit sector is regulated by a variety of different organisations and government departments. Given the complexity of the federal system in Australia, determining the separate responsibilities of the various organisations and where they cross-over can be difficult. At the federal level, the not-for-profit sector is overseen primarily by the Department of Health and Ageing and the Minister for Social Inclusion, currently the Honourable Mark Butler MP. The Department oversees the Office for the Not-For-Profit Sector that was established in October 2010 (Office NFP Sector 2012). The establishment of the Office coincided with the release of a Productivity Commission report into the sector, and was followed by a Treasury report that eventually led to the establishment of the ACNC (ACNC Implementation Taskforce 2012b, p. 1).

The ATO is also actively involved with the not-for-profit sector. The *Taxation Administration Act 1953* (Cth) regulates PAFs and PuAFs, as well as overseeing the tax exempt status of these and other non-regulated philanthropic trusts. The ATO is, in effect, the unofficial regulator of philanthropic trusts and the not-for-profit (NFP) sector generally (PC 2010, p. 164). This arrangement is problematic for several reasons, including concerns around conflict of interest (Attorney-General's Department 2011, p. 22); so much so that the ACNC reforms are seeking to address the problem (Woodward & Fung 2012, p. 325). The sector is also overseen to an extent by the Australian Securities and Investment Commission (ASIC), through the regulation of trustee companies and their directors under the *Corporations Act 2001* (Cth). This means that directors and others involved in philanthropic trusts need to consult with, and be aware of, the different federal departments that oversee the rules regarding their behaviour.

Many states and territories in Australia have their own non-profit or volunteer organisations supporting the sector. In terms of legislation, the obligations of trustees are regulated at state/territory level, through the various Trustee Acts,⁶ as

⁶ *Trustee Act 1936* (SA); *Trustee Act 1925* (NSW); *Trustee Act 1958* (Vic); *Trustees Act 1962* (WA); *Trustee Act 1925* (ACT); *Trustee Act 2007* (NT); *Trusts Act 1973* (QLD); *Trustee Act 1898* (Tas).

well as various other associated state and territory legislation relating to trusts. Testamentary trusts are also regulated by state and territory legislation regarding wills and estates. Philanthropists therefore must consider both federal and state legislation in their set up and ongoing operations, although they also potentially have support from both state and federal government departments. There is also a potential source of support, if not regulation, at the local government level, particularly in relation to community foundations. Undertaking fieldwork into community organisations will provide more information about the interplay between foundations and local government.

Philanthropists are also supported through several peak bodies and supporting organisations that are independent of the federal and state/territory governments. The peak body for the philanthropic sector is Philanthropy Australia. Formed out of several philanthropic trusts, Philanthropy Australia provides support, advocacy and information to and on behalf of the sector. They also conduct research and invite associate memberships. As is noted later in this report recent research on philanthropy among wealthy individuals for FACHSIA by Effective Philanthropy (2011) indicates a desire to strengthen the power of Philanthropy Australia or a similar/new peak body. With the establishment of the ACNC, questions remain as to whether the new peak body will replace Philanthropy Australia or work alongside it.

More broadly, the Australian Council of Social Service (ACOSS) supports the larger NFP sector, with a focus on issues such as poverty, homelessness and other forms of disadvantage (ACOSS 2012). The national body is supported by a network of state and territory bodies,⁷ all dedicated to social disadvantage in their geographical area. The organisation Pro Bono Australia also supports the NFP sector and philanthropy, albeit as an independent body that specifically avoids representing the sector (Pro Bono 2012b). Pro Bono Australia also aids organisations through encouraging engagement between NFPs and the business and industry sectors.

⁷ WACOSS (Western Australia Council of Social Service); NCOSS (Council of Social Service of NSW); NTCOSS (Northern Territory Council of Social Service); QCOSS (Queensland Council of Social Service); VCOSS (Victorian Council of Social Service); TasCOSS (Tasmanian Council of Social Service); SACOSS (South Australian Council of Social Service); ACTCOSS (Australian Capital Territory Council of Social Service).

As is evident from the above discussion, the support and regulatory frameworks surrounding philanthropy are complex and overlap, within and between levels of government. Government research and reform initiatives have taken into account these complexities and are currently establishing an independent peak body – the ACNC – to oversee the sector, reduce red tape in the system and provide a better level of support to NFPs.

2.4.1 Australian Charity and Not-For-Profit Commission

In January 2010 the Productivity Commission (2010) released a report on the contribution of the NFP sector nationally. This report recommended, among other things, the establishment of an NFP sector Office, in order to facilitate the streamlining of regulation and support for the sector (p. 378). After further consideration, the ACNC was announced in May 2011 and an implementation Taskforce established (ACNC Implementation Taskforce 2012b, p. 1). The Taskforce has undertaken extensive research and consultation within the sector to determine the best way to implement a new framework and establish the ACNC. On 23 August 2012, the draft *Australian Charities and Not-For-Profits Commission Bill 2012* was introduced into the Federal Parliament (Pro Bono Australia 2012a). It has been sent to two Senate Committees for inquiry (Parliament of Australia 2012).

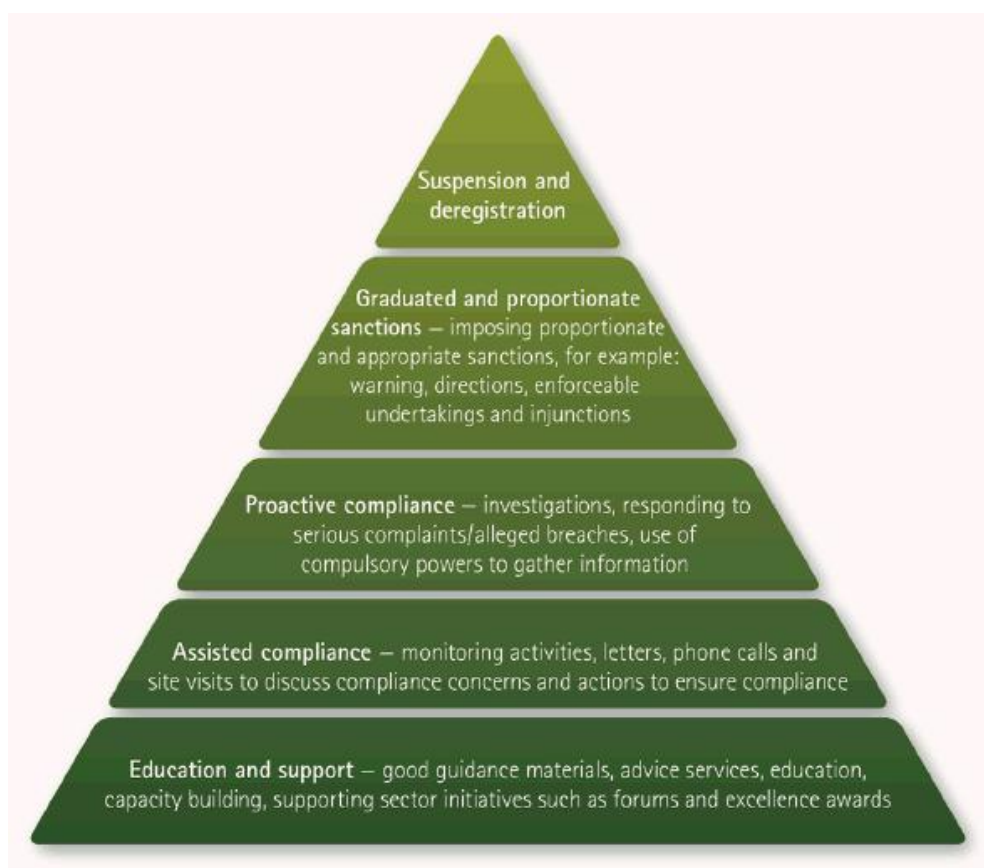
The main purpose of the ACNC is to streamline the reporting requirements for NFPs and ease the compliance burdens placed upon them by the existing haphazard framework (ACNC Implementation Taskforce 2012a, p. 3). The ACNC is proposed as a single reporting point, to which NFPs provide all financial and non-financial information, so it can then be accessed by other departments direct from the ACNC on a 'need to know' basis (ACNC Implementation Taskforce 2012a, p. 21). This 'report once, use often' approach is intended to prevent reporting duplication (ACNC Implementation Taskforce 2012a, p. 18). Select information provided by the NFP organisations is to be made available to the public through the 'charity passport', a database allowing individuals to search for NFP organisations online, with a view to creating more transparency in the sector (ACNC Implementation Taskforce 2012a, p. 21).⁸ The establishment of the ACNC is part of a broader set of changes to the NFP sector, including streamlining the

⁸ A certain amount of discretion will be allowed for particular organisations – for example information such as addresses and directors of NFPs may be suppressed for organisations with specific needs like domestic violence shelters (ACNC Implementation Taskforce 2012a, p. 30).

taxation framework and providing a statutory definition of charity (ACNC Implementation Taskforce 2012a, p. 15).

The ACNC will be in charge of compliance, registration and deregistration of NFP organisations (Pro Bono Australia 2012d). The new Commission brings with it an improved compliance framework, providing more assistance, and proportionate and graduated penalties for non-compliance (ACNC Implementation Taskforce 2012b). Figure 2.4 shows the proposed 'pyramid' of regulation by the ACNC, from providing education and support to deregistering non-compliant NFPs where appropriate. This gives the ACNC a range of powers to guide organisations where breaches are minor. Currently, the ACNC is limited to particular registered organisations, but there are plans to expand this in future if the Commission is successful (Pro Bono Australia 2012d).

Figure 2.4: ACNC Proposed Regulatory Pyramid



Source: ACNC Implementation Taskforce 2012b.

Despite the optimism surrounding the ACNC proposals, questions remain as to its effectiveness in reducing the red tape associated with compliance and how it will fit within the existing framework of peak and government bodies. ACOSS has raised concerns about the independence of the ACNC and its relation with the ATO, in particular the retention of final decision-making on registration of charities by the ATO (ACOSS *n.d.*, p. 2). There are further concerns regarding exactly how the ACNC will achieve the proposed reduction in red tape for NFPs (ACOSS *n.d.*, p. 3). It is also unclear what role will continue to exist for organisations such as Philanthropy Australia once the ACNC has been established. It is likely that many of these questions will not be answered until the ACNC is operating, or has been for some time. Appendix A details progress on the *ACNC Bill 2012*.

2.5 Conclusion

This Chapter has provided a brief overview of what is a complex and highly technical area, one that may put philanthropy beyond the understanding of many, whether individual donors, business or corporates. Several issues of importance which can be identified from the above discussions are:

- The need for professional legal and financial advice before and during the setting up of philanthropic trusts;
- The amount of money required to seek professional advice and the inability to recoup this from the trust itself;
- The size of the corpus required to establish most trusts;
- The fiduciary duty imposed upon the trustee, requiring ongoing hands-on management (generally without remuneration) and the associated exposure to risk; and
- The personal nature of the risks involved, including personal accountability to potential losses of the trust.

The issues vary depending on the type of trust set up, and some support is provided by government departments and peak bodies such as Philanthropy Australia. It is clear, however, that setting up a philanthropic trust is a complicated and costly process, and that more support is needed to aid people who wish to contribute to the sector. The ACNC proposes to streamline the process somewhat, but questions still remain as to how much can be achieved with the new framework. What does this mean for philanthropists who wish to support

homelessness charities? Further discussion with the sector is required to understand the impact of the legal and regulatory frameworks presented in this Chapter. This is also the case for the organisations and causes supported by, or seeking, philanthropic support.

3. Philanthropy, giving and corporate social responsibility: the Australian and international literature

3.1. Introduction

The concept of philanthropy, and 'giving' for a charitable cause or common good is not a new one. Consequently, there is a large body of literature that in a range of ways deals with philanthropy or elements of charitable giving – of money, time, goods and services. Clearly the best developed literature concerns philanthropic endeavours in the US, where there are clear structures in place to facilitate and encourage philanthropic activity, and arguably a greater expectation that individuals and non-government organisations assume responsibility for addressing many social issues – including for addressing homelessness. In large measure this is because US governments traditionally have not provided significant support for such causes (Suarez & Lee, 2011; Villadsen, 2011). The Australian literature on philanthropy is clearly an evolving body of work, with renewed interest in this area over recent years. This trend, however, is an international one, spurred on by significant economic events, such as the recession of the 1990s, boom in economic prosperity and growing disparities in wealth and related welfare issues, and, most recently, the GFC.

This Chapter discusses the Australian and international literature on philanthropy broadly defined.⁹ The literature emanates from a range of disciplines, however, sociological and psychological inquiry as well as marketing, business management, business ethics and legal disciplines clearly dominate. Knowing this is important as the disciplines from which the literature has emerged have clearly influenced the focus of research to date. This is reflected in the remaining discussion in this Chapter. The key themes to emerge from the literature are discussed:

- quantifying the role and reach of philanthropy;

⁹ Because of the focus of this research on donations to non-profit organisations the volunteering literature is not specifically dealt with here. This is a key component of philanthropic giving in Australia as shown in the Giving Australia study (ACOSS 2005) and analysis of that survey by Lyons, McGregor-Lowndes & O'Donoghue, (2006). It is also one of the reasons Australia is at the top of the world charitable giving 'pie' according to List and Price (2012) in their analysis of the World Giving Index. Volunteering as a type of 'giving' and as an indicator of social strength and social inclusion has been far more widely studied in Australia than philanthropy *per se*. Almost all governments have an 'office' or similar agency for volunteers or volunteering (for example the South Australian Government's Office for Volunteers under the Department for Communities and Social Inclusion) and conduct regular studies on volunteering as part of their periodic state strategic planning exercises. The same level of interest and activity cannot be said for the financial giving component of philanthropy.

- philanthropic motivations, motivators and behaviours, including the growing literature studying the super-rich or high net worth individuals; and
- challenges and barriers to philanthropic activity.

Cutting across this literature is a growing number of articles on corporate sector engagement with philanthropy, centred on 'corporate social responsibility'.

3.2. 'Billions of drops in millions of buckets':¹⁰ quantifying the role and reach of philanthropy

Arguably the overriding theme of the philanthropy literature is investigation and promotion of the impact, structures and ongoing evolution of philanthropy. This theme within the literature includes statistical assessment of philanthropic giving and endeavours,¹¹ as well as emphasis on the importance of philanthropy generally for the common good; for disadvantaged groups; and for disadvantaged locations – the essence of philanthropy.

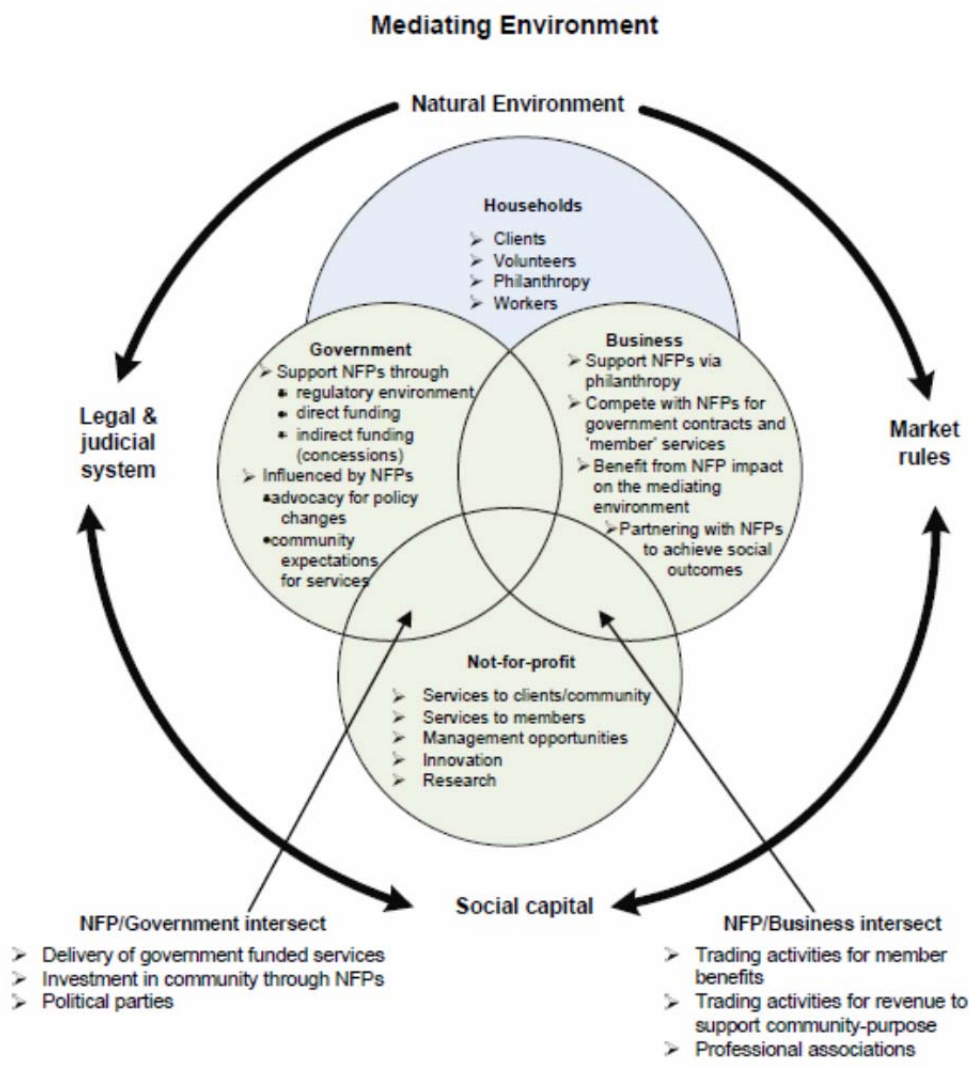
There is no doubt that both the Australian, and international literature generally, points to the important and valuable role of philanthropic giving in facilitating and supporting community engagement and community development – including for individuals, businesses and corporations. Globally, philanthropy is being increasingly relied upon to augment government funds and actions alongside key mechanisms of the various welfare state (or post-welfare state) models in operation (Harrow & Jung, 2011; Villadsen, 2011; for Australia see O'Donoghue, McGregor-Lowndes & Lyons, 2006; Lyons, McGregor-Lowndes & O'Donoghue, 2006). Schuyt (2010) insightfully reviews this process looking at key European welfare states and philanthropic behaviours, as well as the same trends in Asia (see also Wang, Graddy and Morgan, 2011). Like many commentators he notes that philanthropy today is increasingly the source of funds to support the social actions of non-profit organisations, to whom increasing responsibility for a range of areas of public, social and environmental policy has been devolved under neoliberal ideology; which centres on market liberalisation and small non-interventionist governments. Suarez and Lee (2011, p. 1118) concur with this view,

¹⁰ The title of this section is borrowed with acknowledgement from a recent book by Stephen Goldberg, *Billions of Drops in Millions of Buckets: Why Philanthropy Doesn't Advance Social Progress* (2009).

¹¹ See also ACOSS 2005; BERL Economics 2012; List and Price's (2011) analysis of *Charitable Giving Around the World*.

adding that 'Non-profits also offer essential human services, a trend that has increased with government decentralization and devolution over the last few decades'. Figure 3.1 highlights the important role of philanthropists (and other key stakeholders) in the Australian non-profit sector.

Figure 3.1: Interactions impacting on and supporting the not-for-profit sector in Australia



Source: Productivity Commission 2010, p. 23.

Australian research backs up the international findings on philanthropy. Research by Zappala and Lyons, (2005), for example, shows that non-profit organisations formed in Australia between 1991 and 2004 relied more heavily on their own fundraising efforts (including charging for goods and services provided) than government on support. This fact is supported in the recent Productivity

Commission Research Report, on the not-for-profit sector (2010. pp. 7 & 54), which demonstrates that for the non-profit sector as a whole approximately nine per cent of total income is philanthropic (p. 72). Research on the not-for-profit sector in New Zealand quoted in the Productivity Commission report demonstrates that this level of philanthropic support for the sector in Australia is broadly similar to that in the UK (11 per cent), but behind the US (15 per cent) and New Zealand (20 per cent) (Sanders *et al* (2008) in PC 2010, p. 73).

Lyons, McGregor-Lowndes and O'Donoghue also highlight this important role for giving in their analysis of data from the *Giving Australia* study (2006, p. 386):

...it is these gifts, particularly of time, that sustain the vast majority of Australia's 700,000 not for profit organisations.

And,

These organisations are in turn an important site for the generation and regeneration of social capital and constitute the stuff of civil society.

In addition to supporting non-profit organisations themselves and their activities, numerous commentators note that philanthropic funding allows organisations to be more innovative or even 'experimental' in their work practices and activities in the social economy and for social enterprise (see Smyllie, Skaife & McDonald, 2011; Smyllie & Skaife, 2009). This is seen as an important reason for seeking and maintaining philanthropic support, particularly in an environment of tight government funding for pro-social activities and the increasing 'tied' nature of government funds.

Philanthropy also has an important role in leveraging other funding, especially government funding, for a cause. This is certainly a reality in the Australian context, where the trend of having to provide matching funding to attract government support for non-profit and other causes is now well established. Smyllie, Skaife and McDonald, (2011) emphasise this point with particular regard to philanthropy to support the Australian Indigenous population specifically:

...for some philanthropic organizations, success is measured by the willingness of government to subsidize or completely fund projects begun by philanthropy (p. 1141).

In this respect philanthropy can be seen as a conduit for establishing once innovative, risky or 'out of the box' type actions into the mainstream. Market forces and political priorities though clearly impact on the desirability and future of such activities. Suarez and Lee (2011, p. 1133) comment specifically on this in their research on foundations and community support in the US:

the factors that influence foundation support for civic engagement and community organizing may differ based on time or political cycles.

Based on these observations philanthropy can also be viewed as a facilitator or enactor of co-governance in social policy.

When noting the importance of philanthropy to pro-social activities and organisations in Australia, it is pertinent to also point out here that the recent Productivity Commission report into the non-profit sector says a great deal about the philanthropic/non-profit sector relationship. They make a number of relevant conclusions for this research:

- For many smaller NFPs, productivity and innovation are limited by poor access to finance for investment.
- Australian governments could assist in the development of a sustainable market for NFP debt financing.
- There is a large pool of philanthropic funds that has not been tapped for supporting loans to NFPs. Consideration should be given to how these funds could be better used as a sustainable source of finance for the sector. (2010, p. xxxvii)

A key recommendation of the Productivity Commission report is government investigation of how to better use philanthropic structures and funds to develop a 'sustainable market for NFP [not-for-profit] debt' (PC 2010, xlvii).

An expanding body of works centred on large scale disasters and philanthropic responses to such events within the broader 'role and reach' literature also exists (Muller & Whiteman 2009; Muller & Kraussl, 2011). The past 10 or so years has seen some major catastrophes, most of them natural disasters, that have resulted in the flow of millions of dollars' worth of donations from individuals and corporations to recovery efforts, memorials, foundations and other actions to recognise the impact of such events. Most prominent among these events overseas have been September 11 2001 in the US, the South East Asian Tsunami in 2004, Hurricane Katrina (2005), the Great East Japanese Earthquake and tsunami of early 2011. Closer to home have been the earthquakes devastating Christchurch in New Zealand in 2010 and 2011, devastating Black Saturday bushfires in Victoria in 2009 and floods in South East Queensland and beyond in 2011. There is no doubt that each of these events spurred massive groundswells of charitable giving and this is reflected to some extent in recent philanthropic donations – of time, money and goods and services – across all affected regions of the world. Such events will continue to attract philanthropic support when they occur and the impact of these on giving for other causes will remain a concern at particular points in time.

In discussing the impacts and effectiveness of philanthropy it is important to mention here that there is a growing body of literature critical of certain philanthropic approaches for social development or social progress. Such criticisms highlight important factors that need remedying for philanthropy to be effective. Steven Goldberg's 2009 book, *Billions of Drops in Millions of Buckets: Why Philanthropy Doesn't Advance Social Progress*, identifies a number of such noteworthy criticisms; albeit generally from an (non-profit) organisational perspective. For example,

- The scale and fragmentation of philanthropic giving does not match the size of the tasks organisations are trying to achieve, diluting the impact of giving on the whole;
- Reporting requirements placed on organisations by philanthropic funders often see organisations having to align their actions with those of funding cycles, impacting on timelines for activities.
- Program reporting requirements can also reduce the effectiveness of a program where they do not fund certain aspects of a planned activity or

where outcomes must be made measurable or less risky so they can be measured (the shift to tied philanthropic funding).

- Philanthropic funding for third stage activities is difficult to come by – that is for activities beyond seeding an idea or expansion of the initial activity.
- Some philanthropic funding comes with overly paternalistic ideas around what is 'good' or 'effective' activity, stifling innovation and experimentation and promoting risk adverse behaviour.
- Philanthropic funders are behaving more like government, businesses and corporations – accountability-wise and in terms of activity focus et cetera, and this is of concern for some donors and organisations seeking philanthropic support.

Of course many of these criticisms can be, and have also been, levelled at government funding for organisations working to promote social progress, including for strategies to address homelessness.

Further critique of philanthropic activity worthy of mention here concerns the mounting literature on what has been described variously as the new philanthropy, new mega-philanthropy, philanthrocapitalism and venture philanthropy (see Rogers, 2011; also Bosworth, 2011; Edwards, 2011; Huscock, 2011; Lorenzi & Hilton, 2011; Ramdas, 2011 in the special edition of *Society on The Politics of Philanthrocapitalism*). Philanthrocapitalism broadly defined is: the transfer of wealth (usually mega-wealth) from successful capitalists to causes to support the disadvantaged in society. In this respect philanthrocapitalism is the modern social justice strategy of the super-rich. The clear social focus of philanthrocapitalism to date has been on significant global challenges, including addressing poverty.

The philanthrocapitalism literature is in its infancy in Australia, but is coming to dominate philanthropy debates in the US, particularly since the announcement of the 'Giving Pledge' by Bill and Melinda Gates and Warren Buffet in 2010. This Pledge is 'an effort to invite the wealthiest individuals and families in America to commit to giving the majority of their wealth to philanthropy' (Giving Pledge 2010).

Rogers, (2011) has seemingly sparked much of the debate and investigation of this evolution in philanthropy, warning that the power acquired by the so called philanthrocapitalists and their choices of causes and actions can actually set or strongly influence public policy agendas. She warns that such “philanthropolicymaking” must be put on the ‘public’s radar’ (2011, p. 381); attention paid to the types of philanthropic institutions currently being built nationally (and with global reach); the causes they are supporting; outcomes of actions; political, technological and social mechanisms used; and power accrued. Edwards, (2011) extends (and criticises elements of) Rogers’ piece, asking that academics and the philanthropic sector alike question the elements that underpin philanthrocapitalism in assessing its value as a new philanthropic approach:

...[i]t is not just the ‘politics of philanthrocapitalism’ that matter but the entire character of this movement, including its philosophy, values, priorities, modes of operation and empirical achievements: the ‘processes’ and ‘products’ of philanthrocapitalism are inseparable. (389).

Husock’s article, *Disaggregating Public Purposes* (2011), picks up on this theme, raising the issues of co-option of causes for political purposes and that some mega philanthropists are ‘torqueing public policy’ by backing a particular program or approach and securing public funding for this, or mainstreaming the action, regardless of whether it is successful or the right approach. A criticism of such venture philanthropy is that corporatisation of philanthropy does not necessarily mean the right course of action in terms of a social agenda.¹² And as Bosworth notes in his article on *The Cultural Contradictions on Philanthrocapitalism* (2011) such mainstreaming or dominance of a particular approach can crowd out other equally or more appropriate actions to address ‘social ills’, in some case stifling the diversity of activities and innovation philanthropy is known to support. Here it is clear that there can be a fine line between non-profit organisations securing a good single funding source to meet their objectives and one that dictates every action to the detriment of outcomes.

¹² The example discussed in this context is the investment in education programs in the US by Bill and Melinda Gates Foundation, which some commentators argue has in many ways not had the success expected (see Husock 2011).

Lorenzi and Hilton, (2011) note that applying the same capitalist entrepreneurial skills that have made wealth for philanthrocapitalists to social causes is not necessarily good use of people's skills. Ramdas's (2011) work adds further insight, from the global development and philanthrocapitalism perspective:

The new philanthropy avoids exploring what is wrong at this systemic level – where a single individual's net worth can become larger than the combined GDPs of some of the world's poorest nations (p. 394).

Importantly, these articles remind us that while philanthrocapitalism might be the next evolution in capitalism in some or many spheres, it must not be above scrutiny or accountability; whether citizen, government or academic scrutiny or accountability. In this regard, Husock's (2011) term 'philanthro-regulators' is important; that is, recognising who determines and regulates standards, norms and accountability in (mega) philanthropic activity. Clearly there is need for some kind of objectivity and compromise in terms of actions, to ensure that they are having the desired social impact, and not just following an action because a particular philanthropist or philanthropic organisation feels it to be the right approach or has a vested interest in that approach (for example, politically or because it follows their corporate/capitalist model of behaviour).

Equivalent Australian studies of high net worth individuals and philanthropy are hard to come by. Hay and Muller (2012) note this in their recent foray into such research on the geographies of the super-rich. They also make some useful comments on philanthropy generally – as related to the behaviours and motivations of this small but growing (at least until recently) segment of the population globally. Additionally, they note that involvement in philanthropic activity allows individuals (and institutions) to be 'architects of charity' or as they call them, 'producers' rather than merely 'supporters' (2012, p. 81). This view is of course somewhat simplistic, and the discussion in Section 3.3 notes, there are many and varied motivations behind the involvement of individuals, organisations and institutions in philanthropy.

Importantly, Hay and Muller, (2012, p. 82) also warn of the tax implications of philanthropy:

And one of the implications of philanthropy as a tax shelter is that in some jurisdictions, funds that might otherwise have gone to the public 'purse' as taxation revenue, to be spent in ways ostensibly determined by a democratically elected government, are directed instead to specific causes at the discretion of the super-rich.

And, they ask that researchers investigate:

- Where philanthropic funds from the super-rich settle?;
- What happens to causes (and arguably the 'common good') that don't attract these funds and support?; and
- What are the long- and short-term impacts of the super-rich donating to particular causes?

Edwards adds one last important and more fundamental question in his opinion piece *Impact, Accountability, and Philanthrocapitalism* (2011): how can and should we match 'an ecosystem of funding options with the changing ecosystems of society and its institutions'? This is a clear dilemma for philanthropy, governments, non-profit organisations and the community generally, particularly as the number of stakeholders involved in philanthropic activity increases and modes of delivering assistance evolve. These are all issues and learnings that governments, non-profit organisations, philanthropists and arguably the broader community in Australia must be aware of, particularly in developing a broader philanthropic effort and importing public and social policy learnings and entrepreneurial practices from elsewhere around the world.

3.3. Philanthropic motivations, motivators and behaviours

Within the philanthropy literature generally exists a significant quantum of research and analysis focused on what motivates philanthropy – for individuals, businesses and corporations.¹³ Such work includes a collection of articles analysing research from the *Giving Australia* study of the mid 2000s (ACOSS 2005; Lyons, McGregor-Lowndes & O'Donoghue, 2006; Madden 2006; McGregor-Lowndes, Newton and Marsden, 2006; O'Donoghue, McGregor-Lowndes and

¹³ In noting the growth of this literature nationally and internationally a number of commentators have also pointed to the difficulty in researching motivations behind giving and philanthropic behaviours. Hay and Muller (2012) note this in terms of 'troublesome power relations', taboos around studying personal dealings to do with wealth and money (p. 84) and that funds to study aspects of poverty and its impacts are generally easier to secure than monies to study the behaviours of wealthier individuals (p. 85; see also, for example, Barnard *et al* 2007; Harvey 2011; Rice 2010).

Lyons, 2006; Sargeant & Crissman, 2006; Skaife, 2006; Zappala & Lyons, 2006) and a very recent study by the Australian Centre for Philanthropy and Nonprofit studies, *Foundations for Giving, why and how Australians structure their philanthropy* (Skaife *et al.*, 2012). Helpfully the literature also includes a recent research note by Bekkers and Wiepking, (2011) that analyses some 500 empirical studies on philanthropy globally, arriving at *Eight Mechanisms That Drive Charitable Giving*. These mechanisms – awareness of need, solicitation, costs and benefits, altruism, reputation, psychological benefits, values and efficacy – resonate strongly with the aforementioned Australian literature. Notably, they also cross-over or cross-pollinate each other, highlighting the complex and multiple motivators behind giving, whether individual giving or corporate giving.

1. Demand and awareness of need

One of the most oft reported motivations for philanthropic giving in the literature is related simply to need, or as Madden terms this 'logical need' (Madden 2006, p. 461). That is, an individual or business is made aware of a need for support, or sees that need themselves, and gives accordingly. This driver is seen most clearly in terms of support for catastrophic events, but also increasingly for local or regional level problems. Canvassing *for* support is an important determinant of need (demand). The media, including social media, clearly has a strong role here in terms of raising awareness for a cause and therefore has some role in influencing the support that flows to a cause or organisation. The role of the media in influencing philanthropic behaviour however has not been well studied, especially in Australia.

2. Canvassing/soliciting for support

Within the literature a number of studies note that simply canvassing for support increases philanthropic giving (see Bekkers & Wiepking, 2011, pp. 931-932). The literature notes this to be the case for both spontaneous giving, as well as planned giving and from individuals and businesses or corporations. O'Donoghue, McGregor-Lowndes & Lyons, (2006) further this idea of canvassing increasing donations in the Australian context pointing out that expanding the number of volunteers, service years and members of non-profits is a key strategy for increasing donations, as these groups are key donors to causes. The same group of commentators in other research note that:

Helping to spur a more energetic and widespread search for the donated dollar is a perception that government support is harder to get, and comes with more restrictions. (Lyons, McGregor-Lowndes and O'Donoghue, 2006, p. 393)

In saying this, however, it must also be acknowledged that a current trend in support from philanthropics to non-profit organisations (especially from foundations) is grants for a specific purpose, a form of tied funding. Such 'tied' funding is commonplace given the tight and necessary accountability requirements on philanthropics under taxation laws nationally.

Canvassing or soliciting for support is a key strategy for fundraising for a number of large and smaller charities in Australia, typified by campaigns such as the Red Shield Appeal run by the Salvation Army annually to fund important community services offered by the organisation.

There is of course a limit to the benefit of canvassing or soliciting for support. Studies examining why people or institutions do not give at all, or do not give to a particular charity or cause, cite frustration because of inundation with requests for support or charity fatigue (Madden, 2006).

3. Costs and benefits: incentives and enticements

Bekkers and Wiepking's (2011) review of empirical studies identifies costs and benefits as two key drivers of giving. In terms of costs they note that giving increases when the cost of giving is considered reasonable. For benefits, they note that a number of studies point to receiving gifts or other items in return for a donation as a motivator of giving; a fringe benefit. This finding in their research comes mainly from studies of donations to education institutions and galleries – major recipients of philanthropy globally, where philanthropists often receive fringe benefits such as access to private events, dinners et cetera in exchange for giving or increased giving.

It is also clear from the philanthropy literature that there is a clear cost/benefit impact related to taxation arrangements and their role as enticements or incentives to philanthropy. While the Australian literature on this is scant, it is evident from work by McGregor-Lowndes, Newton and Marsden (2006) from the *Giving Australia* study, that tax incentives have some role in influencing levels of

donations, albeit generally minimal. This fact is backed up in work by Lyons and Passey from the same study (2005, p. 33): 'Only 1 percent of respondents or 7 per cent of those aware of the new tax incentives indicated that it has impacted on their giving'.

4. *Altruism*

A number of commentators discuss philanthropic giving in terms of purely altruistic behaviour (see, for example, Sargeant & Crissman, 2006). Here the important defining feature of giving is that it has no direct benefit for the giver. True altruistic giving though, without any benefit, is difficult to measure (Gan, 2006), and many donors receive a pay-off of some kind from their philanthropy. For many, this is a psychological benefit related to their values, sympathy or empathy.

5. *Psychological benefits*

Within the literature there is significant discussion of giving for its personal benefit(s) for donors (see, for example, Skaife *et al.*, 2012), as well as for causes and those supported by causes (for example, the homeless). This is very much something experienced by individual donors but also reported by the people behind corporate philanthropy, donor networks et cetera. Here the literature speaks of the sense of achievement, self-worth and warm and fuzzy feelings gained from helping a good cause or people supporting something they feel passionately about (Skaife *et al.*, 2012). Giving is seen for its mood lifting benefits. Notably, analysis of *Giving Australia* by Madden (2006, p. 469) 'suggests that the highest givers amongst the affluent may be those who have become passionate about specific causes'.

Other literature (for example, Skaife *et al.*, 2012) highlights atonement or dealing with guilt as psychological benefits of philanthropy and motivation for giving. That is, using philanthropy as a way to make up for the impacts of a particular behaviour, thought and/or action – whether for, or by, an individual or corporation. The religious giving and corporate philanthropy literatures discuss this motivator, often with conflicting views of its impact and role as a driver of behaviour (see, for example, Vaidyanathan & Snell, 2011).

6. *Values*

Personal values are widely acknowledged as a key determinant of likelihood and tendency towards philanthropic giving. Commonly, philanthropists – whether involved in spontaneous or planned (recurrent) giving, note that they contribute to a particular cause or organisation because it resonates with them; they are passionate about it; they know someone affected (Lyons, McGregor-Lowndes & O'Donoghue, 2006). Madden (2006) extends this, noting that for some giving is part of their identity (see also Skaife *et al.*, 2012).

Sargeant and Crissman, (2006) and Skaife *et al.*, (2012) note that the effect of personal or family values as a motivator for giving is also seen in corporate/business philanthropy. Here it may be a staff member or manager of a company, rather than an owner, who provides the personal reason behind supporting a particular cause. Values are also noted as an important driver for corporate philanthropists, in terms of alignment of company values with causes supported. There is some discussion in the corporate social responsibility literature around this theme. Such literature highlights that values can cut both ways in terms of philanthropic giving; that is, improving the public 'image' of a company (and therefore hopefully its bottom line, as well as damaging a company's or philanthropic organisation's profile if the fit is not right in the minds of the public (Gan, 2006). Publicly acknowledged giving for a specific cause also serves to demonstrate the values of an individual or corporation (see Bekkers & Wiepking, 2011, pp. 941-942; Choi & Wang, 2007; Halme & Laurila, 2009).

7. *Reputation*

The reputation of a cause is another acknowledged motivator of philanthropic behaviour. While the reputation of an organisation is clearly important to individual donors to a cause, the dominant literature on the role of reputation (REFs) concerns corporate philanthropists in particular. This driver cuts two ways, with both philanthropists (corporations) and recipients of giving/donations (charities, non-profit organisations) concerned that the causes they support fit with their company values or agenda, as well as meeting the needs and interests of stakeholders (management, shareholders, employees, the community), and maintaining profitability.

The corporate social responsibility literature (Carroll & Shabana, 2010; Lee and Carroll, 2011; Varadarajan & Menon, 1988) strongly emphasises the issue of reputation, and debates about finding and maximising synergistic relationships dominate. That is, meeting the needs and interests of stakeholders, employees and the community, while maintaining profitability.

8. *Efficacy*

The final driver identified by Bekkers and Wiepking (2011, pp. 942-943) is that of efficacy; that a donation (and giving generally) makes a difference to a cause, for the community, individuals, the world. Here the worthiness of a cause is also important; as donors will give more to causes they see or perceive are making a difference. How outcomes of giving are reported is clearly important in this regard, and a recognised key to increasing giving to a cause – in amount and frequency (see Madden 2006 on Australia specifically; van Iwaarden *et al.*, 2009 internationally).

The eight drivers above sum up the key themes from the literature, at least in more measurable and practical terms. It is evident, however, that there are other factors driving philanthropy or the level of philanthropy in a particular place. Five additional motivators or drivers are evident to us and other commentators that are not captured or not quite captured in the drivers discussed above.

First, culture is an important factor in giving and certainly in understanding what motivates giving. Australia's culture of philanthropy being more hidden or secret and low key clearly impacts on what we know about philanthropic motivations and behaviours. It remains the case that many Australians do not discuss or promote their giving actions, not do they want to, and avoiding tall poppy syndrome is in many ways part of the cultural identity. Anonymity is important to many philanthropists, and may be the reason they chose to support a cause or not or chose one cause over another. Being part of a group (organisation, family *et cetera*) with a culture of giving has also been widely reported as a key reason for philanthropy in Australia (see Madden, 2006; Skaife *et al.*, 2012).

Second, some philanthropists note that they give to a cause because it is innovative or experimental. They appreciate that the cause takes risks or introduces a new way of looking at or dealing with a social concern or problem.

In some instances this ties in with the driver or personal values or psychological benefit, but from our reading of the literature it is clear that sometimes people simply like the approach being taken to address an issue or appreciate that a particular organisation does things differently or challenges common approaches, including those of government.

Third, legitimacy is an important theme within the philanthropic literature on motivations for giving. Thumler, (2011) discusses the two main faces of legitimacy driving philanthropy:

- Legitimacy of the donor organisation; and
- Legitimacy and value of the 'cause'.

He notes that legitimacy is very much about morality – the attractiveness of a cause or organisation from a moral and ethical standpoint (see also the edited work *Giving Well: The Ethics of Giving* by Illingworth, Pogge & Wenar, 2011; Beckstead, 2012).

The work of Australian philanthropy researchers Smyllie, Skaife and McDonald (2011) on philanthropy and Indigenous causes is also noteworthy in this context. They note that for many groups and causes legitimacy is a two way relationship (like reputation) and for Indigenous communities and organisations it is very important that their philanthropic supporter is assessed and seen by the Indigenous community as legitimate in their intentions and actions. Trust is a central part of this relationship.

Fourth, it is clear that a positive experience of giving is also important. And, finally, simply having capacity to give is an important reason stated for giving. Conversely, not having capacity to give is considered one of the most important barriers to giving, particularly by smaller businesses in Australia (Lyons, McGregor-Lowndes & O'Donoghue, 2006; Sargeant & Crissman, 2006).

As the discussion in this Section notes, the overarching drivers of philanthropy can be classed broadly as: self-interest; empathy; sympathy; social justice; and conformity (Madden, 2006). Philanthropic giving, or supporting philanthropy is clearly something based on a value judgement at some level and whose value

judgement it is that dominates remains central to unpacking why people individuals and corporations donate and to whom.

3.4. Challenges and barriers to philanthropic activity

The other focus of the philanthropy literature generally, is examination of challenges and barriers impacting on philanthropic activity. Clearly this theme within the literature runs alongside and crosses over the previous discussion about motivators for and behind philanthropic behaviour. In many ways the challenges and barriers to philanthropy are an absence of the conditions motivating giving, i.e. not being asked to give to a cause versus canvassing or solicitation to give to a cause as a motivator.

Madden's (2006) analysis of *Giving Australia* data to determine *Why affluent Australians give – or don't to community causes* provides a useful framework identifying key challenges and barriers to philanthropy. She notes the following key themes:

- Philanthropy is not something affluent Australians would spend their money on, generally because they felt they do not have the resources to support a cause or question the value of the cause/organisation or cause outcomes (see also Sargeant and Crissman, 2006, pp. 480 & 491).
- Not seeing a need for support or not understanding the need for support. Interestingly on this point Madden actually quote a study participant who mentions homelessness:

To me, it's how do you get people to understand the need. When they do understand it, that's when they'll give...I mean, I don't understand, for example, why we get homeless people...Somehow they slip through the cracks (participant quoted in Madden, 2006, p. 467).
- Inundation with requests and desire for privacy and anonymity; the latter, to avoid constant requests for support and because many affluent philanthropists simply want to remain anonymous. Sargeant and Crissman, (2006) also discuss this issue, noting negotiating the minefield of requests for support as a significant barrier, particularly coupled with a lack of resources to support a cause, poor information about what can be achieved through giving, and how and what incentives exist for giving (discussed further below).

- Concerns over the efficiency and effectiveness of organisations supported; mostly non-profit organisations. This barrier is particularly noted in terms of concern about (increasing) administration costs, poor transparency, and duplication of effort, as well as questions about outcomes from support. Professionalism of non-profit organisations is important in this regard, although there is clearly a double edged sword apparent: philanthropists won't give if they don't see value/worth in the use of their donation, but also don't want to see their donation whittled down to nothing by high administration costs.

Additionally, and as Villadsen (2011) notes in the international context, there is concern among donors and potential donors that organisations supported by philanthropic giving are becoming 'increasingly similar to state organizations as regards the level of professionalization, budgetary controls, hierarchy and more' (p. 1059). For some donors this flies in the face of why they give to charitable causes; to support non-government organisations with innovative and experimental activities for a common good, or even to fill a gap or gaps in social, cultural or environmental policy.

Within the literature there is a significant body of work calling for more information on what philanthropy is about and what it entails, as well as highlighting/stating common goals and outcomes – helping philanthropists to find 'bang for buck' (i.e. Skaife *et al.*, 2012; Sargeant & Crissman, 2006). Sargeant and Crissman's analysis of barriers to corporate giving from *Giving Australia* study (2005) found that a lack of feedback about what funds were used for was a stated reason businesses did not give more (or again) to a cause. Accordingly, they propose that non-profit organisations develop both guidelines and a professional code of conduct for philanthropy, aimed at clarifying roles and expectations, to ensure that they are on the same page regarding aspirations and intentions, reporting, outcomes et cetera. They see this as particularly important to overcome some of the barriers expressed by small and medium sized enterprises around philanthropy.

Challenges regarding lack of information have two other related manifestations in the literature relevant to this review. First, lack of information on tax incentives for giving is a notable barrier to philanthropy; albeit most prominently mentioned in

the Australian literature, where arguably such information is not as well developed or is simply poorly understood or accessed. This barrier is raised particularly with regard to smaller businesses (as opposed to corporations), although it is also evident from analysis of Australian personal taxation data (McGregor-Lowndes, Newton & Marsden, 2006).

Second, it is clear that there is need, and perhaps increasing demand, for the greater involvement of philanthropic intermediaries and advisors (financial advisors, solicitors, lawyers, peak bodies) in providing information to potential and existing donors. While such roles clearly exist internationally, supported by a range of philanthropy based peak organisation and industry-based associations (for example, the Committee to Encourage Corporate Giving),¹⁴ recent Australian research shows this tide is slowly turning here (Madden & Newton, 2006; McGregor-Lowndes & Hannah, 2012). This activity could also potentially tap into the personal wills and bequests space, where research shows charitable giving is difficult due to legal issues; people's apprehension or confusion about what to do; and often donations are not followed through with because of contestation and other issues (see Baker & Gilding 2011). Recent research by McGregor-Lowndes and Hannah, (2012), *Marketing charitable bequests to lawyers*, adds to this debate, noting the lack of information on how to support charities (from charities themselves) as a key barrier. They also promote the need for better information to assist lawyers with advising clients and the importance of actions to increase the number of people making wills; 58 per cent of adult Australians according to the *Giving Australia* study (ACOSS 2005).

The need for more and better information on giving is a recurrent theme in recent research for FaHCSIA by Effective Philanthropy, *Strategies for Increasing High Net Worth and Ultra High Net Worth Giving* (2011). This research also sheds further light on the challenges and barriers to philanthropic giving in the Australian context (also overlapping with our understanding of motivators for giving). In response to the question what philanthropists want?, for example, the research showed:

¹⁴ See Backer and Friedland's work supported by the William and Flora Hewlett Foundation, *Donor Advisors and Philanthropic Strategy* (2008), which outlines the key characteristics of effective donor advising, the different approaches and strategies adopted by advisors and the importance of learning from experienced and new philanthropic advisors and their relationships/approaches with and for their clients.

- Respondents¹⁵ noted the need for greater valuing of giving and the importance of philanthropy nationally – with such greater value meaning culturally and socially, as well as economically.
- Relatedly, the philanthropists spoken with for the research emphasised the damage done to philanthropic endeavours by the engrained tall poppy syndrome¹⁶ in Australia (and other Commonwealth nations; in contrast to in the US where philanthropy is better developed and more widely accepted). They noted the need for strategies to improve cultural acceptance of philanthropy as a means to support social development.
- Philanthropists emphasised the importance of ease of giving, and better information about the structures and incentives in place to facilitate giving.

The recommendations from the Effective Philanthropy report (2011) presented in Table 3.1 further demonstrate what philanthropists want to support their activities, as well as to address barriers and challenges to broader giving. Most noteworthy from these recommendations and the findings of the report generally was the desire for ‘a more proactive peak body to promote philanthropy and the development of the philanthropic sector’ (p. 5). Notably, the report emphasises the need for support for philanthropic champions, to promote awareness and educate the public, businesses and corporations about the importance of philanthropy to non-profits and common good causes.

Lack of information around the need for, benefits of, and outcomes from, philanthropy is clearly an area that governments and non-profit organisations (charities, other social services receiving donations) can improve. Promoting case studies of success is a clear way forward; showing impacts of philanthropic relationships on ‘real’ people and in ‘real’ situations. This is an emerging trend in government reporting on outcomes from programs and expenditure around homelessness. *Along the Road Home* (the progress report for *The Road Home*,

¹⁵ Including high and ultra high net worth individuals, advisors/intermediaries and representatives of community foundations and venture philanthropy funds (Effective Philanthropy 2011, p. 14).

¹⁶ Defined by the *Oxford Dictionary* as ‘a perceived tendency to discredit or disparage those who have achieved notable wealth or prominence in public life.’

Table 3.1: Recommendations from the Effective Philanthropy report *Strategies for Increasing High Net Worth and Ultra High Net Worth Giving*

Recommendation 1	<p>Strengthen the ability of the philanthropic sector to promote and cultivate giving by supporting the development of a strong, sustainable national peak body to promote and cultivate giving in Australia. In order to do that it is recommended that the Government:</p> <ul style="list-style-type: none"> • Make provision for the sector to fund activity relating to the development of the sector by: <ul style="list-style-type: none"> • Making a special listing or providing specific naming in an act of parliament granting DGR status to Philanthropy Australia as the national peak body for the philanthropic sector on the basis that it is a not for profit organisation that operates to promote charitable giving or • Introducing a DGR category covering the promotion of philanthropy or • In the absence of being prepared to grant DGR status, then support the establishment of an independent special purpose fund for the promotion of philanthropy that has capacity to allocate funds to organisations without DGR status including Philanthropy Australia • Contribute seed/project based funding to (or through) Philanthropy Australia to support the coordinated development of the philanthropic sector.
Recommendation 2	<p>Appoint Giving and Philanthropy Ambassadors to promote philanthropy and encourage HNW and UHNW giving.</p>
Recommendation 3	<p>Establish a national Registrar for Community and Charitable Purpose Organisations in accordance with the recommendations of the Productivity Commission in its Report on the <i>Contribution of the Not For Profit (NFP) Sector</i> to:</p> <ul style="list-style-type: none"> • Make it easier for donors to identify and access information about NFP organisations • Improve confidence in NFP organisations' governance, accountability and performance.
Recommendation 4	<p>Establish a regular forum or dialogue between the philanthropic sector and Government.</p>
Recommendation 5	<p>Establish dedicated structures to improve communication between the ATO, Treasury and the philanthropic sector and encourage take up of available tax incentives and charitable giving structures by:</p> <ul style="list-style-type: none"> • Establishing a dedicated Australian Tax Office (ATO) Philanthropy Consultative Committee to improve dialogue between the ATO, Treasury and the philanthropic sector • Making the annual minimum distribution rate requirement associated with private and public ancillary funds a legislative rather than a regulatory requirement • Taking more active steps to promote available tax incentives and charitable giving structures to encourage adoption through the ATO website and communications.
Recommendation 6	<p>Encourage the development of intermediary organisations that operate to promote charitable giving to support the development and professionalisation of the philanthropic sector by:</p> <ul style="list-style-type: none"> • Introducing a DGR category covering the promotion of philanthropy or supporting the establishment of an independent special purpose fund

for the promotion of philanthropy that has capacity to allocate funds to organisations without DGR status

- Allowing expenses paid by PAF funds to non-associate individuals and/or companies for research and due diligence to facilitate grant making to count towards the 5% minimum distribution requirement up to a maximum of 1%.

Recommendation 7

Contribute seed / program funding to (or through) the national peak body to support the development and implementation of a structured program of activity targeted at promoting philanthropic giving and engaging HNW and UHNW in giving activity including:

7.1 Strategic social marketing and promotional campaign targeted at:

- Aspiring / Next Generation HNW, HNW and UHNW groups - to build a culture and practice of giving
- Advisors working with HNW and UHNW groups and associated professional bodies - to get them to include the discussion of philanthropy when doing financial and estate planning with their clients
- NFP organisations and fundraising staff and professionals - to reinforce how to ask effectively for funds and manage relationships with donors.

7.2 Advisor education and training program targeted at accountants, legal and other professional advisors working with HNW and UHNW and associated professional bodies to get them to help cultivate HNW and UHNW giving.

7.3 Targeted donor engagement programs that operate on a personal and peer group basis to:

- Engage aspiring / next generation HNW in giving activity early in the income / asset accumulation cycle
- Encourage HNW and UHNW at the low end of the giving spectrum to increase the level and / or regularity of their giving activity and move up and across the giving spectrum.

7.4 Formal and informal giving circle programs designed to provide participants with information about specific issues / areas and encourage individual and collaborative giving.

7.5 Research program to map philanthropic activity by issue / funding area to:

- Better understand and profile the role being played by philanthropy
- Support the development and implementation of giving circle / collaborative giving activities
- Facilitate cross-sector engagement between Government and the philanthropic sector.

7.6 Register of intermediary services that provide support to donors to set up grant making structures and give effectively.

Recommendation 8

Utilise matching grant and / or innovation fund models to encourage philanthropic engagement in specific areas.

Recommendation 9

Introduce a national Philanthropist of the Year Award as part of the Australia Day honours program to recognise leading philanthropic activity.

Recommendation 10

Support the development of social investment products and markets.

Source: Effective Philanthropy 2011, pp. 7-10.

the homelessness White Paper (Commonwealth of Australia 2008)) does this to some extent, providing snapshots of success on the ground, for people and programs (Commonwealth of Australia c2009).

The desire for more information on grass roots impacts of philanthropy on beneficiaries may also explain the strong correlation between philanthropic giving and local initiatives in Australia; the regionalisation of philanthropy described by commentators such as Muller and Whiteman (2009) with regard to disaster response philanthropy. In the absence of strong data these observations are very much anecdotal and will be tested in the final stage of this research.

3.5. Conclusion

There is a large body of literature that examines elements of philanthropy or 'giving' for a charitable cause or common good. While the academic and practical origins of this literature are diverse, it is clear from this targeted review that the literature centres on a number of key themes: the role, reach and importance of philanthropy and what motivates or stands in the way of 'giving'. The literature also finds that philanthropy has been, and remains, an important source of funds for socially-focussed organisations nationally and internationally. And the need for such philanthropic engagement for non-profit organisations (such as homelessness services) is crucial given the demise of some (government) social welfare structures; changing global economic circumstances; the uneven distribution of wealth and the impact of these factors on levels of need among vulnerable groups in the community – for health, welfare, housing, educations et cetera.

The discussion notes the multi-layered, complex and constantly evolving nature of philanthropy. It is clear from surveying the literature that there are important subjective, structural and cultural challenges to philanthropic activity – for individuals, businesses and corporations, and Australia has some way to go in terms of addressing the known barriers to philanthropic giving. This is in direct contrast to the US and to a lesser extent the UK, where philanthropic structures are far more developed, better use is made of incentives to facilitate philanthropy, and a seemingly more supportive philanthropic culture exists, or at least a more prominent expectation of philanthropic funding of social policy emanates. However, while there is a more developed philanthropic culture and structural

incentives internationally, review of the relevant literature shows that there are challenges for philanthropy emerging in the US in particular. Fundamentally these concern philanthrocapitalism, and the potential for wealthy philanthropists to dominate social and political agendas. In saying this, however, it is important to note that not all philanthrocapitalism is damaging, but questions remain about this evolution in philanthropic practice and the types of outcomes reached.

On the whole the discussion in this Chapter notes there is a strong moral or ethical element underpinning philanthropy and this is an important driver of activity. Consequently, how a cause is perceived by the community, governments and philanthropists is important, as is how a cause is marketed to potential donors. The next Chapter looks at these points in broad context for homelessness and philanthropy. The next stage of this research, outlined briefly in Chapter Five, will focus on this relationship.

4. Philanthropy and homelessness: interactions between sectors in both Australia and overseas

4.1. Introduction

There is a dearth of literature on the role of philanthropy in the homelessness sector in Australia; particularly in the case of the academic literature. Most literature on philanthropy and actions to address homelessness (including by supporting homeless people or homelessness services) is practice-based. Fundamentally such literature outlines how philanthropic support – mostly grants – have been used and what outcomes are reportable or measurable. This trend is also reflected in the international literature, where more ‘academic’ literature can be found, but, perhaps surprisingly, not quantum of research.

This Chapter provides a brief review of the literature on the engagement of the philanthropic and homelessness sectors. It also outlines the results of a brief internet-based survey of philanthropic activity in Australia aimed at addressing homelessness or supporting homeless people. This survey is important as it maps existing relationships (and outcomes where appropriate) and serves as the basis for identifying some of the organisations we will speak with about philanthropy and homelessness in the final stage of this research (discussed briefly in the Conclusion to this report).

4.2. Philanthropy and Homelessness: what we know

The nature of the philanthropic sector, and its relationship with homelessness charities, varies across the world. Each country approaches philanthropy differently, depending on their culture, corporate structures and history of government welfare, among other issues. This Section looks at the US, Canada and the UK, and the complicated relationships between philanthropists and homelessness charities in these countries. The Chapter then looks at Australia, comparing and contrasting our system with the international ones, including an analysis of several large projects (some of which involve ideas transferred from other countries). From this, some conclusions can be drawn regarding the factors that influence the relationships between the homelessness sector and philanthropists. This information allows us to consider how the sector can encourage philanthropists to get involved in homelessness issues.

4.2.1. Homelessness and Philanthropy in the United States

The US is by all accounts a highly charitable country; its philanthropic giving is the highest in the world (Bass 2009, p. 314). The philanthropic sector in the US is highly developed, professionalised and in many ways highly commercialised. In the past ten years there has been a strong shift towards extensive and high profile corporate and high-profit individual giving (so called philanthrocapitalism). Philanthropic organisations such as The Kenneth Cole Foundation 'Awearness' (a foundation set up through the Kenneth Cole designer label) regularly create specific lines of goods that provide a percentage of their profits to specific charities (Awearness, 2012), including a previous partnership with Help USA in the fight against homelessness (Barbaro, 2006).

With homelessness at high levels in the US and little in the way of government welfare and support, it is not surprising that there are many charitable organisations dedicated to the plight of people experiencing homelessness (Dreier 1997). Many of these charities are supported by large corporate donors and high-profile trusts such as the Bill and Melinda Gates Foundation. The Conrad Hilton Foundation, started by its namesake, who made his fortune with the Hilton Hotel chain, has provided support and funding to the Corporation for Supporting Housing, an organisation that provides long-term, supported housing to people with mental illness (Brousseau, 2009).

Corporate partners also appear to be a staple of housing and homelessness organisations. Habitat for Humanity, for example, a Christian charity devoted to building houses for people experiencing homelessness,¹⁷ is supported by the Bank of America, The Dow Chemical Company and Nissan, among others. Habitat also boasts humanitarian and religious organisations, private philanthropists and celebrities such as Ricky Martin as partners (Habitat for Humanity 2012). The organisation Help USA lists extensive corporate partners, including AOL Time Warner, the Toys R Us Children's Fund and Polo Ralph Lauren (Help USA 2012).

The scope of corporate and high-profit individual philanthropic giving in the US is much larger than in Australia. Large corporations in particular are finding increasingly that philanthropy gives them a competitive edge as consumers demand more transparency and ethical conduct from businesses (Barbaro, 2006).

¹⁷ An organisation also working to address homelessness and housing affordability in many other countries.

Likewise there is an expectation on high earners, particularly celebrities, to 'give something back' to the community through charity. The US website, Look to the Stars, lists 481 celebrities providing money, time or other resources to organisations dedicated to aiding people experiencing homelessness (Look to the Stars 2012).

Despite the high-profile involvement of celebrities and corporate organisations, the Neighborhood Funders Group estimates that homelessness issues represent only 1 per cent per year of total philanthropic giving, with over 80 per cent of that being spent on short-term management solutions rather than efforts to end homelessness (NFG 2003, p. 6). The NFG focuses on providing information to governments, individuals, corporate and philanthropists about homelessness, along with concrete solutions aimed at ending the problem. The NFG calls the homelessness problem 'the proverbial elephant in the room' (2003, p. 25), citing the size and complexity of the issue as a barrier to action. In the US, as in Australia and other countries, the main problem with addressing homelessness is in bringing the issues to attention, and providing workable solutions to get people from various sectors involved.

4.2.2. Homelessness and Philanthropy in Canada

Unlike the US, Canada has a smaller, more individually focussed philanthropic sector, established more recently as state welfare has been rolled back and rearranged, opening up the voluntary sector (Greenberg & Walters 2004, pp. 383-384). Organisations such as Raising the Roof, a Toronto based charity dedicated to long-term solutions to homelessness, have many local corporate backers, including several Toronto radio stations and a local Home Depot (Raising the Roof 2012). In this way, the Canadian charitable sector is much like Australia's, with smaller, regionally-based organisations working on the ground and sponsored by local philanthropists. While this differs considerably from the more professionalised US system, the Canadian system is still highly developed.

One way in which Canada is more developed than the US is the existence of several member organisations that discuss and encourage philanthropy, providing information to potential donors. Youth in Philanthropy Canada focuses on young people who wish to give to charity, while the Association of Fundraising Professionals focuses on the higher end of giving. Philanthropic Foundations

Canada and Charity Intelligence Canada provide databases and 'how-to' information for people looking to support charities or particular causes (Philanthropic Foundations Canada 2012; Charity Intelligence Canada 2012). Member organisations provide a level of transparency and accountability to the sector, allowing people to access information on philanthropic entities and charities, and make informed choices about giving. These types of philanthropic intermediaries are noted as missing in the Australian context and a barrier to some activity here.

Homelessness is cited as a significant problem in Canada, with 2007 reports putting the number at between 200,000 and 300,000 people, with a further 1.7 million living in unaffordable housing (CBC News 2007). There has been much criticism levelled at organisations and the government for seeking short-term homeless management solutions, rather than longer-term initiatives (such as the 'Housing First' model) to get people out of homelessness (Laird 2007, p. 6). Organisations such as Ottawa's Alliance to End Homelessness have sought to overcome such criticisms through concentrating on moving people out of homelessness and preventing the move back into homelessness. The organisations also acts as a member organisation for other groups dedicated to ending, rather than simply managing, homelessness.

The local nature of philanthropy in Canada may be attributable to the country's federal system, and the marked differences in culture between the provinces. While the US shares the cultural divide and a federal system, Canada's social and political systems are significantly less corporatised.

4.2.3. Homelessness and Philanthropy in the United Kingdom

Philanthropy in the UK has not been embraced to the same extent that it has in North America. Traditionally, there has been a high dependency on the state to provide for people suffering disadvantage in society, with many people believing that private philanthropy is '... an inefficient and piecemeal strategy that has been obsolete for decades.' (Wright, 2001, p. 408). It appears that individuals are more inclined to give their time to causes rather than providing money, and aid given tends to be focussed more internationally than on issues at home (Wright, 2001).

Nevertheless, philanthropic giving at the higher end is becoming increasingly popular in the UK, with high income earners donating to a variety of charities, although most provide for education and medical causes, or overseas aid (*The Independent* 2008). There is also a burgeoning corporate philanthropic sector, with a doubling of corporate giving from 2001-2003 in the UK, as corporations shift their focus to social responsibility and public good will (Brammer & Millington, 2005, pp. 29-30). The community foundation model was imported from the US in the 1980s, and like in the US these have tended to be created by higher earners in the UK (Daly, 2008, p. 221).

The previous few years have seen a sharp rise in households in the UK experiencing homelessness, with an increase in rough sleepers and a decrease in suitable and affordable accommodation (Rogers, 2012). The UK has much in common with Australia in its approach to homelessness, with its expectation of strong government support. It does, however, have larger, more professional charitable organisations dedicated to ending homelessness.

Shelter England boasts a long list of large companies that have provided support, funding and partnership during the life of the organisation. It is notable that supporters have come from various geographical areas, including London, Birmingham and Bristol (Shelter England 2012). Centre Point, as well as having the Duke of Cambridge as its patron, receives philanthropic aid from corporate entities such as Credit Suisse, Philips and Topshop (Centre Point 2012). High-profit individuals and large corporate organisations in the UK, like the US, appear dedicated to philanthropy in many areas, including homelessness.

As in Canada, the UK has a number of member organisations that oversee the philanthropic sector. Philanthropy UK, founded by several foundations and partly supported by the government Office for Civil Society, provides information and advice to philanthropists, in an effort to inspire and aid charitable giving (Philanthropy UK 2012). The organisation is part of a broader network providing philanthropic advice, including Giving Advice, for trustee and estate agents, and The Association of Charitable Foundations. The growth of these organisations indicates a move towards making philanthropy more accessible and acceptable for individuals, beyond high income earners.

4.3. The Australian experience

In comparison with the countries discussed above, the Australian philanthropic sector is in its infancy. The relatively small scale of philanthropic giving and partnership arrangements may in part be due to the existence of a government safety net, in the form of ongoing welfare payments for people experiencing unemployment, disability or other types of disadvantage, making the need for a thriving private not-for-profit sector less urgent. There is agreement, though, that any attempt to end homelessness requires not just a 'whole-of-government' approach, but a 'whole-of-society' approach, with input from business, industry, government and the not-for-profit sector (Styles, 2009, p. 1).

What the practice-based literature in Australia tells us is that philanthropic support and partnership around the issue of homelessness is fragmented, with a lot of small and medium organisations working on local solutions to, or specific sections of, a broad and complex problem. There has been a shift towards localised, targeted projects with smaller, more achievable aims, such as the '50 Lives, 50 Homes' initiative adapted from the US model (50 Lives, 50 Homes 2012). This coincides with philanthropic organisations moving towards higher engagement with charitable projects, providing more than just money and having more input into where resources are used (Austin, 2012). There is also a rise in what is termed 'peer-based' philanthropy, where organisations pool resources towards a single shared cause (FaHCSIA 2012, p. 11).

Charitable and philanthropic organisations have expressed a desire to bring together their resources in order to undertake more integrated projects, with more involvement from the business and industry sectors. As one organisation puts it, 'the corporate world wants to help' (Noonan, 2012, p. 19). The sector is also seeking to branch out from existing services, to avoid duplication of services provided by the government, or established and effective private sector projects (Noonan 2012, p. 18). Given the ongoing support for the not-for-profit sector by the Australian government at all levels, it is not surprising that organisations would like to see government projects dealing with the more basic aspects of service delivery, allowing the NFP sector to fund research and development projects, and experiment with creative solutions to more specialised issues (Lipmann, 2012, p. 28).

A survey of the online literature reveals several notable projects involving partnerships between philanthropic and charitable organisations. Table 4.1 provides a summary of the major partnership programs focussed on homelessness. The table is indicative only, and further scoping in the field is likely to identify smaller scale operations not captured here.

The philanthropic partners listed in Table 4.1 do more than just provide money. Many will actively fundraise on behalf of the project, provide their time, labour or specific goods, and some will be actively involved in steering the direction of the project.

4.3.1. Common Ground Australia

The 'hands-on' philanthropic approach is clear in the Australian Common Ground projects. Common Ground is a concept brought over from the US, from a project started in New York in 1990 (Hall 2010). The project entails building mixed tenure apartments (rented housing for low income earners and people leaving homelessness), with support services provided in the building (Terenzini, 2010). The philosophy behind Common Ground is housing that provides not only safety and security, but also a vibrant neighbourhood with support for people who have left or are in danger of entering homelessness (Common Ground 2012). In Australia this concept has been taken up with enthusiasm on the back of encouragement from Roseanne Haggerty, the founder of the US Common Ground project, who came to Australia in 2009 and spoke to various charitable and philanthropic organisations about the project (HomeGround, 2010). The roundtables held during this time led to the first Australian Common Ground project, in Adelaide, in 2008 (ACGA 2012).

Table 4.1: Philanthropic/Charitable Homelessness Partnerships Australia

Name	Key Organisations	Project	Outcomes
Oasis: Australia's Homeless Youth	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • The Caledonia Foundation (provided establishment funds) • Adolph Basser Trust (funding for child care facilities) • PricewaterhouseCoopers Foundation <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • National Youth Commission • Salvation Army 	<p>Provision of accommodation, food, counselling and case management for youth experiencing homelessness in Surry Hills, NSW.</p> <p>Links with other support networks: drug and alcohol dependency, employment programs, leadership and advocacy.</p>	
Melbourne's Road Home 24/7	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • Lord Mayor's Charitable Foundation <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • Salvation Army 	<p>Homelessness crisis outreach in Melbourne and surrounding suburbs, providing assistance and referral to related organisations.</p>	<p>Assistance provided to more than 300 people in 18 months.</p>
50 Lives, 50 Homes	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • Aria Property Group • Mater Health Services <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • Micah Projects Inc • Common Ground Tasmania • Salvation Army 	<p>Inspired and aided by Common Ground USA and the US 50 Lives project.</p> <p>Sets 'achievable bite-sized' targets to house 50 people at a time.</p> <p>Linked with the Common Ground projects.</p>	
CEO Sleepout	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • News Limited • Baker's Delight • Qantas • Visy <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • St Vincent de Paul ('Vinnie's') 	<p>Raising funds and awareness for and about homelessness through CEOs, politicians and community leaders 'sleeping rough' one night a year.</p> <p>Money goes towards homelessness projects, including Vinnie's own homelessness sector.</p>	<p>Raised \$4.2 million nationally in 2011.</p>
Second Chance Programme	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • Commonwealth Bank • Ariadne Australia Limited • Clovely Estate <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • Second Chance Programme Fundraising Group Inc 	<p>Provide accommodation and support for women experiencing homelessness.</p> <p>'Bridging the rental gap' programme allowing women on low incomes to privately rent.</p> <p>Furniture packages for women moving out of homelessness.</p>	<p>Housed more than 200 women through 'bridge the gap programme'.</p> <p>Almost 50 women accommodated in Anglican Women's Hostel.</p>
Kids Undercover	<p><i>Philanthropic:</i></p> <ul style="list-style-type: none"> • Portland House Foundation • The Dyson Foundation Perpetual Trustees • Lord Mayor's Charitable Foundation <p><i>Charitable:</i></p> <ul style="list-style-type: none"> • Anglicare Victoria 	<p>Building homes and providing scholarships to youth at risk of homelessness.</p> <p>Building studio homes for youth in backyard of family/carer home to provide more space to eliminate overcrowding while keeping family connections.</p>	<p>44 scholarships provided in 2011</p> <p>329 studio projects in Australia in 2011.</p>

Journey to Social Inclusion (J2SI)	<i>Philanthropic:</i> <ul style="list-style-type: none"> • Lord Mayor’s Charitable Fund • William Buckland Foundation (managed by ANZ Trustees) • The Orcadia Foundation <i>Charitable:</i> <ul style="list-style-type: none"> • Sacred Heart Mission 	Providing a range of services to help people overcome homelessness and gain support and establish networks. Key worker provided for each individual, aiding in developing skills and building networks.
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Sources: Oasis 2012; 24-7 2012; 50 Lives 50 Homes 2012; CEO Sleepout 2012; Second Chance Programme 2012; Kids Undercover 2011; Sacred Heart Mission *n.d.b.*

In preparation for each Common Ground project, teams are sent out to talk with people sleeping rough in the local areas, and using a Vulnerability Index, approximately 50 people are chosen to be housed, depending on the length of time they have been homeless and their other physical and emotional needs (Micah 2010a). The focus is on people who have been chronically homeless, with a view to breaking the cycle through a combination of stable accommodation and wrap around support services (Constantinou, 2009). Going beyond basic shelter, many of the Common Ground projects integrated on-site programs for employment, mental health services and art (*Whyalla News* 2010). It is the focus on housing first and the provision of services at the housing site that make Common Ground a revolutionary program. Table 4.2 lists the Common Ground projects to date in Australia, outlining their scope and the organisations involved in funding and putting together the projects.

Table 4.2 shows that the philanthropic aid provided by supporting organisations has gone far beyond money; it is the provision of time, services and skills by businesses and individuals that has made the projects a success.

The other virtue of the Common Ground approach is that it is established as a long-term solution, one that seeks to remove people from homelessness permanently, rather than simply 'managing' the situation of people experiencing homelessness. Long-term solutions are needed to break the cycle that people often find themselves in; moving between temporary, unstable accommodation and sleeping on the street.

Table 4.2: Common Ground Projects Australia

Name	Organisations Involved	Notes
Australian Common Ground Alliance	Micah Projects	<ul style="list-style-type: none"> An organisation set up to bring together the various Common Ground initiatives.
Common Ground Sydney	Mercy Foundation* KPMG* Baptist Community Services* City of Sydney* Grocon (constructed Camperdown building ‘at cost’) MA Housing (tenancy manager) Hassell Architects (designed Camperdown building) Housing NSW (tender management) Redfern Waterloo Authority	<ul style="list-style-type: none"> Government funding provided through the NSW Government and FaHSCIA. 104 self-contained apartments (studio, one & two-bedroom) built. Grocon employing formerly homeless people for project (retaining them after completion).
Brisbane Common Ground	Grocon (constructed Hope Street building ‘at cost’) Micah Projects Queensland Government Common Ground Queensland (housing company – proposed tenancy manager)	<ul style="list-style-type: none"> Funded in part through the Nation Building Economic Stimulus Plan and National Partnership Agreement on Homelessness (NAHA). 164 units built. Focus on housing individuals and couples without children.
Common Ground Adelaide¹	Common Ground Adelaide (project organisation) Housing SA Adelaide City Council Santos Adam Internet Candetti Constructions DMAW Lawyers GE Money Kennedy & Co Chartered Accountants Minter Ellison Lawyers	<ul style="list-style-type: none"> The first Common Ground project in Australia. Government funding through SA Government and NAHA. Partnerships formed with Community Arts Network SA and Helpmann Academy for the Visual and Performing Arts Inc to encourage artistic endeavours in tenants. 52 apartments built in Light Square, a further 40 apartments in Port Augusta. Light Square apartment building includes art studio.
Common Ground Tasmania	Forward Brianese & Partners (designed Campbell Street) Tasmanian State Housing Fund Social Housing National Partnership A Place to Call Home (federal/state joint program) Heffernan Button Voss Architects (designed Liverpool Street) KPMG Petrusma Property Rock Property	<ul style="list-style-type: none"> Funded in part by Commonwealth Nation Building Economic Stimulus Plan. 50 units built. Apartment building including common rooms and consulting rooms for support services.
Elizabeth Street Common Ground (Victoria)	HomeGround Services Yarra Community Housing (property and tenancy manager) Victorian Property Fund Grocon (construction ‘at cost’ – encouraged suppliers to provide same)	<ul style="list-style-type: none"> 131 studio apartments, 30 two-bedroom apartments built. Swipe card access to the building, CCTV and security lighting added to apartment building.

Victorian-Federal Governments
Rotary Club of Melbourne Park (fundraising for building and recreation park)
John T Reid Charitable Trusts
Collie Foundation
Bunnings
Kmart

Sources: AGCA 2012; Common Ground Adelaide 2012; Terenzini, 2010; Micah 2010; Calligeros, 2009; *The Advertiser* 2010; Charrison 2010; O'Connor, 2010; *The Mercury* 2010; Victorian Government 2010.

Notes:

Supporters marked with * are members of the NSW Common Ground Advisory Board.

¹ Full list of sponsors/supporters: <http://www.commongroundadelaide.org.au/node/25>

4.3.2. Journey to Social Inclusion (J2SI)

An important part of the move towards long-term solutions to homelessness in Australia has been social inclusion; as noted in the national Social Inclusion Agenda. The need to facilitate social inclusion is widespread among studies of gender and disability, but only recently has it been considered an important part of breaking the cycle of homelessness. The importance of social inclusion for people moving out of homelessness is about more than just getting back into the workforce; it goes far beyond simply training and education for the purpose of securing a job. As Lord Mayor's Charitable Foundation Community Strategy Leader Shane Austin puts it, '[w]e want to see inclusion based on humanity not on the individual's ultimate potential for economic contribution to society' (Austin 2010, p. 46).

Social exclusion caused by homelessness is a serious problem; homelessness is known to cause a shift in personal identity, with individuals internalising feelings of helplessness, powerlessness and stigma that create barriers to breaking the cycle of homelessness (SHM *n.d.a*, p. 9). Helping people break the cycle of homelessness is about much more than providing shelter, employment or skills; it requires a fundamental change in an individual's way of thinking about themselves and their life. Facilitating this change is a long and complex process.

Sacred Heart Mission (SHM) in St Kilda (Victoria) is currently trialling a project called Journey to Social Inclusion (J2SI). Established in 2009, J2SI seeks to address not only a person's homelessness, but the underlying reasons for it and the trauma of homelessness itself, so as to facilitate permanent transition out of homelessness (SHM 2012b). The current trial, supported by the RMIT University in Melbourne, is putting approximately half of the individuals involved through the program, with a control group undertaking traditional homelessness services (Wilson 2011). While the Victorian Government has provided funds to establish the trial, much of the money has been provided through fundraising efforts (Perusco, 2008, p. 5).

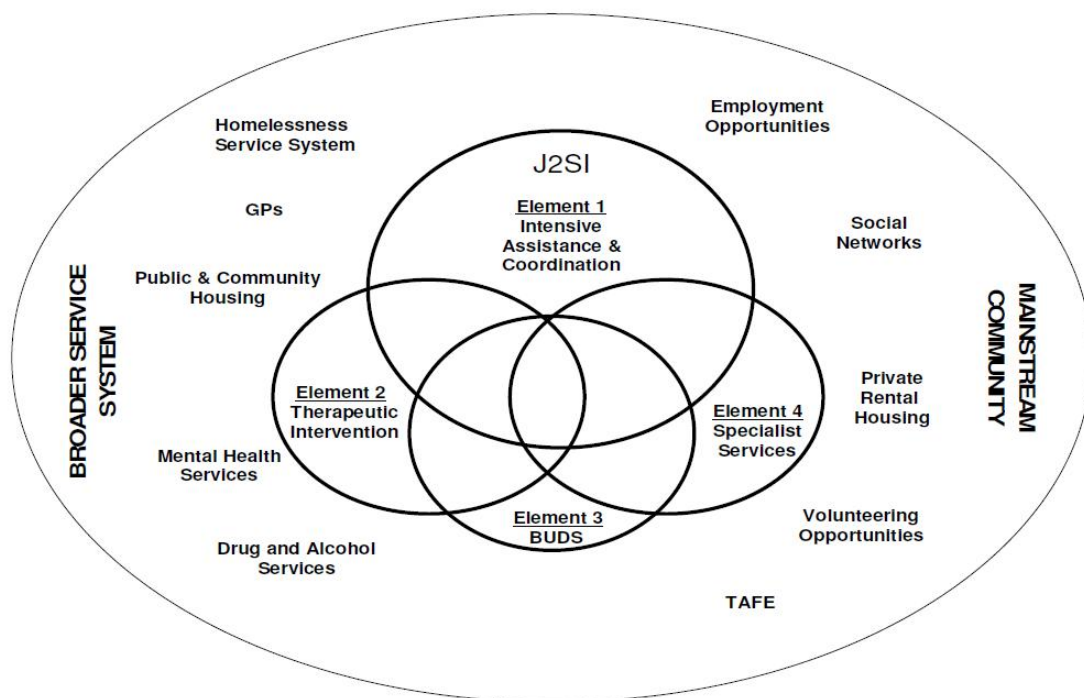
The J2SI program is divided into four elements, each geared towards helping people transition out of homelessness:

- Intensive assistance through a key worker, providing practical and emotional support;

- Therapeutic intervention through counsellors, psychologists and social workers;
- Aiding in the development of skills; and
- Linking individuals with specialist services where necessary (Perusco, 2008).

Figure 4.1 shows the way in which these four elements interact, providing ongoing and intensive support to help people transition into mainstream society.

Figure 4.1: J2SI's Service Model



Note: BUDS – Building Up & Developing Skills

Source: SHM *n.d a*, p. 6.

With government providing only partial funding for the J2SI project, philanthropy clearly has a role to play in getting similar projects off the ground. Specifically, philanthropy has a role in ensuring ‘...that our talents and resources are directed and applied to effectively overcome exclusion and not perpetuate ineffective complicity.’ (Austin, 2010, p. 46). Philanthropists are in a unique position to support new and creative ideas, showing a willingness to take risks that government may not. And unlike for-profit business, philanthropy can engage with issues of social inclusion without reducing them to mere economic

considerations. In this way, philanthropy and the NFP sector are in the position to pursue social inclusion in different ways, in the interest of social justice (Austin 2010).

4.3.3. Corporate Philanthropy

Although not at the level of the US, corporate giving in Australia is relatively high. In 2005, \$3.3 billion in donations was provided by approximately 67 per cent of the country's corporations (Sargeant & Crissman, 2006, p. 478). Among the largest donors in the country are mining companies, which work hard to foster relationships with the non-profit sector (Janda, 2012). Among other corporations there has been a move towards long-term partnerships with charitable organisations and causes (Shergold, 2010). Corporations give to a variety of causes, from hospitals and medical research to schools, environmental and welfare causes (Sargeant & Crissman, 2006, pp. 482-483).

Corporations in Australia give for a variety of reasons. Research has separated their motivations into four broad categories:

- The 'dual agenda' of contributing to a charity while increasing brand recognition/image, company morale or competitive edge;
- Altruistic motives of genuinely wishing to support an important cause, or because giving is 'the right thing to do';
- The personal interests of key members of a corporation, including managers and owners; and
- For taxation reasons (Sargeant & Crissman, 2006, p. 479).

In Australia, most corporations claim that their giving is altruistic in nature, although self-identification may be skewed by a desire to be seen to be giving for the 'right' reasons (Sargeant & Crissman, 2006, p. 481). Within the broad categories stated above, corporations have more complex motives for their choice of charitable cause, including whether the charity's values line up with the corporate values, and the marketing and professional level of the charity. Grocon, the building company heavily involved in many of the Common Ground projects nationally, promotes values of community and sustainability, with a strong emphasis in their philanthropic endeavours on housing and homelessness (Grocon 2012). This aligns well with their main business of construction. Similarly, Hassell architects have contributed to Common Ground Sydney as a company that

embraces sustainability, for people and for the environment (Hassell, 2012). As industries aligned with housing and geared more and more towards sustainability, construction and architectural companies particularly are embracing partnerships with homelessness charities, i.e. Hockingstuart Real Estate in Victoria and Kids Under Cover (Kids Under Cover 2012).

4.3.4. The 'Include a Charity' Initiative

As well as seeking partnerships with corporations, the NFP sector is also encouraging individuals to undertake philanthropic endeavours. This is, by and large, not difficult, with high levels of giving by individuals during their lifetime. At present, however, only 7.5 per cent of Australians leave money to charities in their will (Mission Australia 2011). In 2011 over 100 Australian charities launched a campaign, known as the Include a Charity Initiative, encouraging individuals to make charitable bequests in their will (Include a Charity 2011). The initiative is seeking to increase bequests through the campaign, currently in its second year, with 'Include a Charity Week' being held from 17-23 September 2012.

Traditionally, individuals have left their estate in its entirety to spouses and children, reinforced by legal notions of privilege for these categories (Baker & Gilding 2011, p. 286). Australian state legislation, for example the *Inheritance (Family Provision) Act 1972 (SA)*, protects and enshrines the rights of spouses, ex-spouses, children and siblings to contest and seek maintenance through an individual's estate. In many cases charitable organisations have seen a reduction, or removal of a bequest, due to enforcement of these laws (McGregor-Lowndes, 2009). As well as reinforcing the privilege of descendants, the ability to successfully contest charitable bequests may serve as a disincentive by individuals to leave money in their will.

Of the 153 organisations currently aligned with the Initiative, only 11 are involved in homelessness work; most of which are larger organisations such as The Salvation Army, which do not exclusively focus on homelessness (Include a Charity 2012). There is scope for discussion as to why this might be, and how homelessness charities can become involved in the Initiative.

4.4. Conclusion

This Chapter begins an important discussion about the way in which homelessness services interact with philanthropic donors. Much has been said about the way in which philanthropic organisations might choose to donate to one cause or another; what is not known is how charitable organisations decide which donors to approach when soliciting funds. The Australian and international practice-based literature gives us some idea as to the complex ways in which donors and donor recipients interact, and the types of aid (not always purely financial) charities seek.

It is clear that corporate and personal values influence which organisations philanthropists support. These values not only reflect the causes that are important to the donors, but also beliefs about what governments and the private sector should be responsible for. The international literature shows a strong correlation between a residualised welfare sector and increased philanthropic giving. What can also be extrapolated from both the Australian and the international literature is that, in the homelessness sector, donors tend to support long-term, smaller scale and manageable solutions that achieve concrete results. Both of these factors are important in considering the way in which charitable organisations may seek funding from philanthropic bodies.

5. Summary and future research directions

Addressing homelessness has been a key social policy priority and directive of Australian governments under the terms of the Rudd/Gillard government. This focus is stated upfront in the national Social Inclusion Agenda, the whole of government agenda underpinning and directing social policy nationally. An important strategy for addressing homelessness as outlined in the homelessness White Paper, *The Road Home* (Commonwealth of Australia 2008) is better engagement between all sectors involved in homelessness to develop solutions to 'turn off the tap' and 'break the cycle of homelessness'. One means to achieve such better coordination, and for broader ownership of the problem of homelessness, has been the stated desire to better engage philanthropists (be they individuals, businesses or corporations) and philanthropic organisations, in actions to address homelessness.

This report is the first output of a research project investigating the engagement of the philanthropic and homelessness sectors in Australia. It sets the context for the research, summarising what we know from the literature about such relationships, and about philanthropy generally. This is important as it helps us to understand where philanthropy is at in Australia, how it has evolved, the institutions and structures supporting it, and where it is headed, particularly with regard to international trends and support for social causes. This research has been commissioned by FaHCSIA as part of the National Homelessness Research Agenda to add to our understanding of new and better ways to address homelessness nationally. The next stage of this research will do this from the perspective of homelessness agencies and other stakeholders (including philanthropists); for the benefit of homeless people, agencies, government and the broader community. Section 5.1 outlines the final stage of the project, which includes fieldwork to garner opinions and experiences on the ground.

There are a number of lessons and learnings from this literature review that are important in understanding and investigating the relationships that exist, or could exist, between philanthropists and homelessness agencies. Such lessons and learnings are drawn together in this report from the broader (and voluminous) philanthropic literature and (less voluminous) practice examples of engagement, discussed in Chapter Four. (Notably, there is a dearth of literature on the relationship between the two sectors nationally.)

Chapter Two, for example, highlights the complex and multidimensional structures in place nationally to support philanthropy. From this discussion it is clear that philanthropic giving is increasing in Australia, despite the highly technical nature of this area legally, in terms of regulation and taxation wise. There is a minefield of jargon and structures to negotiate for donors in the philanthropic field. This fact is reinforced in many ways in the discussion in Chapter Three around barriers to giving, where lack of information and clarity about philanthropic structures is a stated barrier to giving, along with need for better information about outcomes from donations. Chapter Two highlights the importance of professional legal and financial advice in much philanthropy, particularly when setting up trusts, foundations and the like, or giving to such structures for a particular cause. There is also clearly a need here for better coordination of activities around philanthropy and charity, and this is something it is hoped the new Australian Charity and Not-For-Profit Commission (ACNC) will assist with when it commences operation in October 2012.

Chapter Three provides important insights into why understanding and examining philanthropy is important: particularly in the context of an ever changing welfare state and evolving social policy environment, and devolution of responsibility for many social concerns to non-government organisations; changing global economic circumstances; the uneven distribution of wealth; and the impact of these factors on levels of social and economic need among vulnerable groups in the community – for health, welfare, housing, educations et cetera. Such giving is an increasingly important (and highly internally competitive) source of monetary donations for the activities of the non-profit sector, as well as being a source of goods and services, and volunteers. As the discussion in Section 3.2 highlights, investigation of the philanthropy and homelessness sector relationship also sits with the thrust of the Productivity Commission report on the *Contribution of the Not for Profit Sector* nationally (PC 2010). This is particularly the case in terms of discussion about sustainable debt-financing options for the sector:

There is a large pool of philanthropic funds that has not been tapped for supporting loans to NFPs. Consideration should be given to how these funds could be better used as a sustainable source of finance for the sector. (PC 2010, p. xxxvii)

Analysis of the literature shows other clear reasons why philanthropy is important nationally (and internationally). For example, philanthropic support is seen as a means for non-profit organisations to secure funding that they can use for non-standard approaches to addressing a social concern; to avoid the increasing conditions placed on government funds (so called 'tied' funding); and, in some cases, to avoid the politics of government directed social policy.

Chapter Three also summarises what we know from the literature about philanthropic behaviours and motivators of philanthropy. The factors driving this are multifaceted and often overlapping. Bekkers and Wiepking's (2011) identify eight drivers – awareness of need (and demand); solicitation/canvassing; costs and benefits of giving itself; altruism; reputation of the cause/organisation supported, as well as whether a cause/organisation builds on the donor's reputation; psychological benefits; values (personal, corporate and of the organisation/cause being supported) and efficacy of the actions/organisation being supported. Our analysis of the literature around philanthropic giving concurs with these drivers, but also adds five further drivers: cultural considerations, and specifically the guarantee of, and desire for, anonymity and privacy among some donors; approaches to social problems that are innovative and experimental, pushing traditional (and government) boundaries for social action; having a past positive giving experience; legitimacy of a cause or organisation – morally and ethically, as well as in terms of individual/corporate values; and, importantly, having capacity to give.

The discussion in Chapter Three further notes that some major hurdles exist with regard to philanthropy in Australia (and elsewhere). These include:

- An overall lack of information (or perhaps poor/hard to access information) on how and why to give to a particular cause or causes, or organisation, and about incentives for giving (taxation incentives in particular);
- Lack of information on outcomes from causes;
- Questions over the efficiency and effectiveness of organisations supported; in terms of concern about (increasing) administration costs, poor transparency, and duplication of effort, as well as questions about outcomes from support. Professionalism of non-profit organisations is

important in this regard, although there is clearly a double edged sword apparent: philanthropists won't give if they don't see value/worth in the use of their donation, but also don't want to see their donation whittled down to nothing by high administration costs.

The literature highlights that one of the key reasons people do not give, or do not give more or more frequently is they do not see a need, have not been asked, are inundated with requests – putting them off support, or feel that a cause is not something they would or should spend their money on. For some this is because they see such responsibilities as belonging to others, particularly government. Others question the worthiness of a cause or causes, or have a poor understanding of why a particular problem exists and needs philanthropic support. Understanding these factors sheds some light on how to position a cause for philanthropic support and the role of incentives in driving giving behaviour. As noted in the discussion, however, taxation incentives play a less important role in facilitating giving than in the US and arguably other places.

It is also evident from the discussion in this report that that the words of Smyllie, Skaife and McDonald (2011) with regard to philanthropy for Indigenous causes in particular ring true for the sector generally:

philanthropy here is in a very different space to that of much of the rest of the world with **regulatory and accountability processes subject to tardy policy development** (p. 1141, emphasis added)

It is evident from our literature search that culture plays an important role in philanthropic giving in Australia. This is the case in terms of cultural acceptance in particular, and it appears that we have some way to go in Australia to dismantle the strongly held 'tall poppy syndrome'.

Skaife *et al.*, (2012) note this influence of culture on philanthropy in their recent report *Foundations for Giving, how and why Australians structure their giving*.

Australia's philanthropic sector is seen to be still in its infancy, with huge potential for growth driven by the untapped potential of those giving below their capacity. Compared to overseas, structured giving in Australia is not seen to stem from any particular national culture of

philanthropy. Australia's lesser giving norm than comparable nations appears to be driven by a cringe around the word/concept 'philanthropist' (Skaife *et al.*, 2012, p. viii).

How we capture this so called 'untapped potential' is a challenge for governments, non-profit organisations and the community at large, and the subject of increasing research and policy attention. Acknowledging and promoting the conditions known to support or motivate philanthropy and addressing known barriers are key ways forward here. So too is provision of better information about philanthropy and what it can achieve. This is something governments, the philanthropic sector and social causes (charities, homelessness agencies and the like) need to work on, and to work together on. Other ways forward here will be investigated in the fieldwork component of this research.

The importance of philanthropic funding and support for the homelessness sector nationally (as well as in the US, UK and Canada) is also emphasised in Chapter Four. This Chapter starts a conversation concerning which philanthropists and organisations support homelessness causes. Additional investigation of why, how, for how long et cetera philanthropists support homelessness efforts, will be presented as part of the final stage of this project.

There are other clear lessons for Australian philanthropy, and particularly our homelessness sector, from the evolution of philanthropic structures overseas (as also discussed in Chapter Four). Here the rise of philanthrocapitalism is important to note. Philanthrocapitalism is a possible course for philanthropy nationally, and concerns exist around philanthrocapitalism dominating local political agendas and directing actions, regardless of outcomes. This is something we believe the philanthropic and homelessness sectors, governments and non-profits generally need to be aware of when entering into arrangements to support social activities nationally. So too is having a good handle on the costs and risks involved in such relationships, and the structures and incentives in place for both parties. At the moment in Australia, this is not something we know much about for the homelessness sector. And, as with other areas of social, economic and environmental policy, it is important that we remain aware of transferring actions and structures from international experience without accounting for the different legislative and policy frameworks, institutional structures, temporal, spatial and

scale considerations, cultures and expectations influencing approaches and outcomes.

The overall discussion in Chapter Three reminds us that social and political beliefs and values, culture and corporate and political structures, all influence philanthropy and the actions of the not for profit sector, on both national and individual levels. Australia's philanthropic experience is shaped by our culture, social conscience and institutions. In considering the engagement of the philanthropic and homelessness sectors then we must bear in mind influences such as: self-interest; empathy; sympathy; social justice; and conformity (Madden, 2006). These influences are important for all parties involved in philanthropic relationships.

Finally, the discussion in this review raises a number of questions about, and for, philanthropy generally, as well as in terms of the engagement of the philanthropic and homelessness sectors and for this research. These include:

- What do we really know about how philanthropy and homelessness work together?
- What are the expectations of homelessness agencies and other stakeholders regarding partnerships (information, outcomes et cetera), how involved do they want to be in the process?
- Whether the size and complexity of homelessness as a social problem is a potential barrier to organisations becoming involved?
- How to raise the profile of homelessness with philanthropists and indeed whether this needs to occur?, and
- Is our understanding of philanthropy tainted by past thoughts and experiences?

Many of these questions have not been answered with regard to homelessness and philanthropy specifically. These questions, and the learnings from this literature review about philanthropy generally, and philanthropic and homelessness sector engagement in Australia, will inform the roll-out and investigations for the final stage of this research.

5.1. Future research directions

The next and final stage of this research involves fieldwork to unpack some of the associations between the homelessness and philanthropic sectors nationally. As noted in the introduction to this report this research is taking place in five states: Victoria, New South Wales, Western Australia, South Australia and Queensland.

The following four core research questions are the focus of the final stage of this project:

- What roles are performed by the philanthropic sector in Australia with respect to homelessness?
- Are the homelessness and philanthropic sectors open to greater co-ordination of activities?
- How could investment in homelessness measures by philanthropic organisations be stimulated?
- What are the gaps in philanthropic engagement with homelessness in Australia?

A range of stakeholders will be interviewed as part of this stage of the research. These will include representatives of the homelessness; key stakeholders of philanthropic organisations, including, for example, foundations and philanthropic intermediaries involved in supporting homeless people (such as Philanthropy Australia and their Homelessness Affinity Group); and philanthropic organisations whose focus is not specifically on addressing homelessness.

The final stage of this research will add new insights to the literature on both homelessness and philanthropy in Australia; against the backdrop of important changes and innovations in social policy and the structures supporting not-for-profit organisations in Australia.

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Appendix A

Progress on the *Australian Charities and Not-For-Profits Commission Bill 2012*

In August 2012 the *Australian Charities and Not-For-Profits Commission Bill 2012* (Cth) was introduced into federal parliament, and has become the subject of two Senate inquiries (Pascoe 2012). The current draft of the Bill may not represent its final form, but provides a good indication of the scope of the power the government is seeking to give the Australian Charities and Not-For-Profit Commission (ACNC) over the sector. The stated purposes of the legislation are to reduce the burden of regulation on not-for-profit (NFP) organisations, fostering public trust in the sector and supporting the sector's independence (*ACNC Bill 2012*, Division 15-5).

In order to achieve the streamlined, accountable sector sought, the *Bill* contains provisions that give the ACNC a wide range of powers. Under the proposed legislation, NFPs of particular types must register with the ACNC as charitable, and keep and report financial and non-financial information to them on an ongoing basis. The *Bill* also sets down standards of conduct and governance that registered NFPs must follow. Issues surrounding transparency, confidentiality and penalties for breaches are clarified and streamlined.

The *Bill* gives the ACNC extensive power, allowing the Commissioner (or authorised person) to:

- Register and deregister organisations (*ACNC Bill 2012*, Division 30, Division 35);
- Monitor the activities of registered organisations (including, in some circumstances, entering the premises of registered organisations for this purpose) (*ACNC Bill 2012*, Subdivision 17-C);
- Compel registered organisations to provide documents where required (*ACNC Bill 2012*, Division 75-40); and
- Seek and enforce injunctions to force or prevent certain actions by registered organisations (*ACNC Bill 2012*, Division 95).

The most noted part of the *Bill* is that it provides a comprehensive definition of a 'charitable' organisation, using the four common law 'heads' of charity, while adding the Public Benevolent Institutions, organisations relating to charitable child care, and health promotion charities to the definition (Division 25-5 (5), (6)). If passed into law, the *Bill* provides a meaningful step towards a much more transparent and coherent system.

Source: Pascoe 2012.