THE UNIVERSITY OF TEXAS AT AUSTIN
SCHOOL OF SOCIAL WORK

Course Number: SW N393T10

Instructor: Russell A. Smith, LMSW

Unique Number: 93965
Semester: Summer 2014
Meeting Time: Mondays & Wednesdays 5:30 pm – 8:00 pm

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Meeting Place: SSW 2.118

Office Hours: Mondays 8 – 8:30 pm
Wednesdays 8 – 8:30 pm (and by appointment)

GRANT DEVELOPMENT AND FUND-RAISING IN HUMAN SERVICES

I.   COURSE DESCRIPTION

This course examines the context of how mission-based human service organizations engage funding institutions and philanthropic donors to invest financial and technical resources into their community initiatives. The course explores the processes and frameworks of cultivating critical resources – through development of compelling grant proposals, donor-engagement programs, and collaborative resource development networks – amidst a competitive external environment and seemingly scarce resources. Within the context of organizational and administrative social work practice, there will be continuous focus in the course on the strategies for funding the basic needs and priorities of populations at-risk and diverse populations.

II.   COURSE OBJECTIVES

Upon completion of the course the student should be able to:

1. Apply the principles, knowledge, skills, values, and ethics of social work in the planning and implementation of resource development initiatives as strategies for advocacy, self-sufficiency and empowerment on behalf of at-risk and affected populations.

2. Demonstrate understanding of federal (IRS) and state-based laws authorizing the mission, structure, governance, operations, and financing of 501(c)(3) tax exempt not-for-profit organizations, relating to philanthropic fund raising, grant writing,

stewardship of donor gifts and grants, and engagement of financial resources that generate organizational sustainability.

3. Demonstrate the ability to construct a mission-based and evidence-based case for giving, drawing on research principles in the gathering of constituent data, needs assessments, and within the projection of specific, measurable, constituent outcome objectives, for which funding is sought.

4. Demonstrate an understanding of the identities and funding criteria of key institutional funders: government grant funders, private foundations, community foundations, family foundations, operating foundations, corporations, corporate foundations, and individual donors.

5. Demonstrate an understanding of the core processes of grant writing – funder research, program development, organizational development, network-building, community relationship-development, program development, and financial management; and, demonstrate the ability to construct the core components of a grant proposal.

6. Demonstrate an understanding of the core processes of fund development – annual giving programs, campaigns, special events, direct solicitation, direct marketing programs – as well as emerging strategies such as social entrepreneurship, web-based donor cultivation, and social accounting principles such as social return on (philanthropic) investment and social cost-benefit analysis.

III.   TEACHING METHODS

Teaching methods will consist of lectures, discussion, individual and group exercises, presentations, guest lectures by practitioners-in-the-field, case studies, and field trip(s).

IV.   REQUIRED TEXTS

Ciconte, B. & Jacob, J. (2009). Fundraising Basics: A Complete Guide (Third Edition). Sudbury, MA: Jones and Bartlett.

Additional required and optional readings will be made available on Blackboard, or distributed in class.

V.   OPTIONAL TEXTS

Clarke, C. (2009). Storytelling for Grantseekers: A Guide to Creative Nonprofit Fundraising. Jossey-Bass.

Fredricks, L. (2006). The Ask: How to Ask Anyone for Any Amount for Any Purpose. Jossey Bass.

Burkholz, J. (2008). Fundraising Analytics: Using Data to Guide Strategy (The AFP/Wiley Fund Development Series). Wiley.

VI.   COURSE REQUIREMENTS – ASSIGNMENTS

Individual Assignments

I. Grant Proposal Assignment

Students will choose a non-profit organization, develop a case for support, research funding opportunities, and write a proposal for funding. This agency will also be utilized for the special event exercise. The segments of the project are:

1) *Choose non-profit* – students will select an agency to use in their project. This can be a local, regional, national, or international agency. It will be important for the student to be able to access programmatic information from this agency (brochures, annual reports, websites, etc.). It is not necessary for students to contact the agencies, but it is allowable. Note that the case for support and grant proposal must be the original work of the student, and not drawn from actual grant proposals or case statements from the agency. Certain information (outputs and outcomes, need, mission, history, short quotes) may be drawn on, but it is expected that the final proposal is a new product developed by the student.
   a. *Output* – one page description of non-profit agency with:
      i. Name of agency
      ii. Mission
      iii. Population served
      iv. 2-3 programs of the agency
      v. Community Need
   b. *Due Date* – June 16th
   c. *Points* - 10

2) *Funder Research* – students will research potential funders (foundation, government, corporate) to which they will submit their grant proposal. Students will turn in their list of at least 3 potential funders with explanation on the process utilized to identify them and the reasoning of the choices.
   a. *Output* – Funder Research description with at least 3 potential funders, descriptions of process and reasoning, and copies of secondary sources used (i.e. pages from Foundation Directory about a chosen foundation).
   b. *Due Date* – July 9th
   c. *Points* – 10

NOTE: Students will have on-line access to the Foundation Directory from June 23rd through July 9th. More info to follow.

3) *Grant Proposal* – students will write a grant proposal to one of the selected potential funders to fund an aspect of the services / programs provided by their

agency. The grant proposal will be 5-8 pages in length and will have all of the following elements:

> - Summary
> - Introduction
> - Problem Statement / Needs Assessment
> - Objectives
> - Methods
> - Evaluation
> - Future Funding
> - Budget

a. *Output* – grant proposal
b. *Due Date* – July 23rd
c. *Points* – 35

II. Building a Case for Support

Based on the organizations they selected, students will develop a 2-3 page "Case for Support." This is the document that a non-profit would draw from in making its case to potential investors, both individuals and institutions. The finished Case for Support should provide material for your grant proposal. Students will need to both access information about their agencies and "fill in the gaps" to develop the Case. The final product will be more important than the accuracy of the specific information about your agency. For example, when talking about the "community need" for Agency ABC, it is more important that the Case makes a compelling argument than whether the numbers match what Agency ABC uses. Students may utilize actual service numbers, need statistics, stories, and quotes from the agency, but the Case for Support should be the original work of the student.

We will go over this assignment more in class, but the general outline of the Case for Support includes:

1) Community Need
2) Our Solution
3) Why Us
4) Our Impact
5) Financial Model
6) Strategic Direction
7) Resources Required
8) Social Return on Investment
9) Next Steps

a. *Output* – 2-3 page Case for Support
b. *Due Date* – July 2nd
c. *Points* - 15

III. Special Event Development

Students will plan a special event for their selected organization. You will plan an event that the organization does not currently do. It can range from innovative (Hack-A-Thon) to well-tested (Fun Run). The following guiding questions can help you with your planning. Use these as a "jumping-off point", not as a list of questions to answer.

1) What – type of event, logistics (be specific on how it will work)
2) When – day, time, reasoning behind choices, what else is going on (are you against a Longhorns football game? Are you planning a Fun Run in August? What other agencies do this type of event? What other non-profit events are scheduled against yours?)
3) Where – be specific (not "at a hotel" but "at the Four Seasons in their ballroom" or "at Peter Pan Mini-Golf")
4) Who – who plans, who staffs event, who are your volunteers, who are your intended guests, who is the entertainment / emcee / speaker / celebrity / etc.
5) Why – raise money (how much?), raise awareness (to what end?), etc.
6) And… how will you market this? How will you gauge effectiveness? Is the event mission-related? How? How will you engage the media / your donors / policy makers / young tech workers / stay-at-home moms / people affected by _____ / whomever you need to engage.
7) What is your budget? What does it consist of? What are your goals? How will you follow-up with attendees / nurture relationships?

This assignment should be presented as a paper or plan, but can include: powerpoint or Prezi presentation; web site for the event; mock event materials; or some combination of these things and/or other creative ways to showcase the event. For electronic elements, please provide a digital copy and/or printed copy. Students should be prepared to make a brief presentation and/or answer questions about their event. Include timelines, budgets, and other charts, lists, and attachments you need to showcase your planned event.

Output – Special Events Plan (paper / plan approximately 4-5 pages plus attachments as needed)
Due date - Monday, July 14, 2014
Points - 20

VII.   ASSIGNMENTS & POINTS

Assignment	Points	Percentage of Final Grade	Due Date

Non-Profit Information Due	10	10%	June 16, 2014
Making the Case for Support	15	15%	July 2, 2014
Funder Research	10	10%	July 9, 2014
Special Event Development Paper	20	20%	July 14, 2014
Grant Proposal	35	35%	July 23, 2014
Attendance and Participation	10	10%	Each class session
Totals	**100**	**100%**	

GRADING SCALE
100 - 94 = A
93 - 90 = A-
89 - 87 = B+
86 - 84 = B
83 - 80 = B-
79 - 77 = C+
76 - 74 = C
73 - 70 = C-
69 - 67 = D+
66 - 64 = D
63 - 60 = D-
59 and below = F

Grading of all written assignments will take into account the quality of the writing as well as the content. Since these are specific development outputs, it is not necessary to utilize he American Psychological Association (APA) – 4th edition format. Format instructions will be given in class for specific assignments. Written material should be carefully proof read and errors (punctuation, typographical, spelling) corrected. Good writing requires a reiterative process that must be followed if quality is to improve. I strongly encourage you to read your paper several times and, if possible, have someone else proofread it.

VIII.   <u>CLASS POLICIES</u>

1. Students are expected to attend class sessions regularly and to participate in an interactive framework between collegiate students and professor. Students are expected to complete the readings prior to class, and should be well prepared to participate in discussions and experiential learning assignments. Failure to regularly attend the class and demonstrate through discussions that one has comprehended the readings will be considered in assigning

the final grade. The instructor appreciates advance notice that classes will be missed. Students are responsible for any material missed due to absences.

2.   Except in the case of extreme emergencies, and then only with the permission of the professor, late assignments will not be accepted without penalty. Students are expected to turn in all required assignments on the agreed-upon due dates.   If the due date is a problem, then the student should contact the professor and negotiate another due date well in advance.

3.   Student feedback is welcome. Students are also encouraged to provide feedback during by phone, by e-mail, and by appointment if they desire.

The University of Texas Honor Code

The core values of The University of Texas at Austin are learning, discovery, freedom, leadership, individual opportunity, and responsibility. Each member of the university is expected to uphold these values through integrity, honesty, trust, fairness, and respect toward peers and community.

Professional Conduct in Class

The professor expects students to act as professionals in class. This means students should arrive on time for class, be prepared to participate in the class discussion, and show respect for one another's opinions. We will not, nor should we, always agree with one another. In this environment we should be exposed to diverse ideas and opinions, and sometime we will not agree with the ideas expressed by others. However, the professor does require that students engage one another with respect and professionalism.

Policy on Social Media and Professional Communication

Public social networks are not private. Even when open only to approved or invited members, users cannot be certain that privacy will exist among the general membership of sites. If social work students choose to participate in such forums, please assume that anything posted can be seen, read, and critiqued. What is said, posted, linked to, commented on, uploaded, subscribed to, etc., can be accessed and archived, posing potential harm to professional reputations and prospective careers.

Social work students who use social media (i.e. Facebook, Twitter, etc.) and other forms of electronic communication (i.e. blogs, etc.) must be mindful of how their communication may be perceived by clients, colleagues, faculty, and others. Social work students are expected to make every effort to minimize material which could be considered inappropriate for a professional social worker in training. Because of this, social work students are advised to manage security settings at their most private levels and avoid posting information/photos or using any language that could jeopardize their professional image. Students are asked to consider the amount of personal information posted on these sites and are obliged to block any client access to involvement in the students' social networks. Client material should not be referred to in any form of electronic media, including *any* information that might lead to the identification of a client or compromise client confidentiality in *any* way. Additionally, students must critically evaluate any material that is posted regarding community agencies and professional relationships, as certain material could violate the standards set by the School of Social Work, the Texas Code of Conduct for Social Workers, and/or the NASW Code of Ethics.

Social work students should consider that they will be representing professional social work practice as well as the University of Texas at Austin School of Social Work program while in the classroom, the university community, and the broader area communities.

Policy on Scholastic Dishonesty

Students who violate University rules on scholastic dishonesty are subject to disciplinary penalties, including the possibility of failure in the course and/or dismissal from the University. Since such dishonesty harms the individual, all students, and the integrity of the University, policies on scholastic dishonesty will be strictly enforced. For further information, the student may refer to the Web Site of the Student Judicial Services, Office of the Dean of Students (http://deanofstudents.utexas.edu/sjs/).

Use of Class Materials

The materials used in this class, including, but not limited to, exams, quizzes, and homework assignments are copyright protected works. Any unauthorized copying of the class materials is a violation of federal law and may result in disciplinary actions being taken against the student. Additionally, the sharing of class materials without the specific, express approval of the instructor may be a violation of the University's Student Honor Code and an act of academic dishonesty, which could result in further disciplinary action. This includes, among other things, uploading class materials to websites for the purpose of sharing those materials with other current or future students.

Documented Disability Statement

Any student who requires special accommodations must obtain a letter that documents the disability from the Services for Students with Disabilities area of the Division of Diversity and Community Engagement (471- 6259 voice or 471-4641 TTY for users who are deaf or hard of hearing). Present the letter to the professor at the beginning of the semester so that needed accommodations can be discussed. The student should remind the professor of any testing accommodations no later than five business days before an exam. For more information, visit http://www.utexas.edu/diversity/ddce/ssd/.

Religious Holidays

By UT Austin policy, students must notify the professor of a pending absence at least fourteen days prior to the date of observance of a religious holy day. If the student must miss a class, an examination, a work assignment, or a project in order to observe a religious holy day, the professor will give the student an opportunity to complete the missed work within a reasonable time after the absence.

Use of E-Mail as Official Correspondence to Students

Email is recognized as an official mode of university correspondence; therefore, students are responsible for reading their email for university and course-related information and announcements. Students are responsible to keep the university informed about changes to their e-mail address. Students should check their e-mail regularly and frequently—daily, but at minimum twice a week—to stay current with university-related communications, some of which may be time- sensitive. Students can find UT Austin's policies and instructions for updating their e-mail address at http://www.utexas.edu/its/policies/emailnotify.php.

Safety

As part of professional social work education, students may have assignments that involve working in agency settings and/or the community. As such, these assignments may present some risks. Sound choices and caution may lower risks inherent to the profession. It is the student's responsibility to be aware of and adhere to policies and practices related to agency and/or community safety. Students should notify the professor regarding any safety concerns.

Behavior Concerns Advice Line (BCAL)

If students are worried about someone who is acting differently, they may use the Behavior Concerns Advice Line to discuss by phone their concerns about another individual's behavior. This service is provided through a partnership among the Office of the Dean of Students, the Counseling and Mental Health Center (CMHC), the Employee Assistance Program (EAP), and The University of Texas Police Department (UTPD). Call 512-232-5050 or visit http://www.utexas.edu/safety/bcal.

Emergency Evacuation Policy

Occupants of buildings on the UT Austin campus are required to evacuate and assemble outside when a fire alarm is activated or an announcement is made. Please be aware of the following policies regarding evacuation:

· Familiarize yourself with all exit doors of the classroom and the building. Remember that the nearest exit door may not be the one you used when you entered the building.

· If you require assistance to evacuate, inform the professor in writing during the first week of class.

· In the event of an evacuation, follow the professor's instructions.

· Do not re-enter a building unless you are given instructions by the Austin Fire Department, the UT Austin Police Department, or the Fire Prevention Services office.

COURSE CALENDAR

Class #1 – Monday, June 9, 2014

Topics: Class Overview
                                            Review of Syllabus
                                            Overview of Projects
                                            Proposal Guidelines
                                            Non-Profit Sector / Philanthropy

Course Objectives: 1 & 2

Readings Due:
   • Ciconte, Chapter 1 – discuss 6/12

Class #2 - Wednesday, June 11, 2014

Topic: Developing a Fundraising Plan

Course Objectives: 1, 5 & 6

Readings Due:
   • Ciconte, Chapter 5

Class #3 – Monday, June 16, 2014

Topic: *Executive Director Roundtable*

Course Objectives: 1, 5 & 6

Assignments Due: Non-Profit Information Due

Class #4 – Wednesday, June 18, 2014

Topic: Building a Case for Support / Writing the Proposal 1

Course Objectives: 3 & 5

Readings Due:
   • Kiritz, "Program Planning & Proposal Writing" – Blackboard
   • "Getting Funded" – Blackboard

Guest Speaker: Ellen Moutos-Lee, Regional Foundation Library

Class #5 - Monday, June 23, 2014
Topic: Developing Individual Donors I

Case Study: The Ms. Foundation: A Case Study in Feminist Fundraising

Course Objectives: 3 & 6

Readings Due:

- Ciconte, Chapter 8 & 9
- "Fundraising Analytics" Chapters 2-5 – Blackboard
- The Ms. Foundation: A Case Study in Feminist Fundraising - Blackboard

Class #6 – Wednesday, June 25, 2014

Topic: Developing Individual Donors II / Writing the Proposal II (Objectives & Methods)

Course Objectives: 5 & 6

Readings Due:
- Ciconte, Chapters 6 & 15
- "The Ask" Chapters 1, 5, 7 & 9 and pp. 71-77 – Blackboard
- "Conducting a Successful Major Gifts / Planned Giving Campaign" – Blackboard

Class # 7 – Monday, June 30, 2014

Topic: Events

Course Objectives: 6

Readings Due: Ciconte, Chapter 12

Class #8 – Wednesday, July 2, 2014

Topic: Foundations / Writing the Proposal III – Evaluation

Course Objectives: 4 & 5

Guest Speaker: Katherine Wright, Wright Family Foundation

Readings Due:
- Ciconte, Chapter 11
- "The Only Grantwriting Book You'll Ever Need (Funder Roundtables)" – Blackboard

Assignments Due: Making the Case for Support

Class # 9 – Monday, July 7, 2014

Topic: Corporate Giving

Case Study: Timberland and Community Involvement

Course Objectives: 4 & 5

Readings Due:
- Ciconte, Chapter 10
- Sheldon, "Successful Corporate Fund Raising" – Blackboard
- Timberland and Community Involvement (Case Study) – Blackboard

Class # 10 – Wednesday, July 9, 2014

Topic: Writing the Proposal IV –Budget, Future Funding, Attachments, Other

Course Objectives: 4

Readings Due: "Storytelling for Grantseekers" Chapters 2 – 8 - Blackboard

Assignments Due: Funder Research

Class #11 – Monday, July 14, 2014

Topic: Budget and Financial Management Basics for Social Workers

Course Objectives: 2

Readings Due: In-Class Handouts

Assignments Due: Special Events Plan

Class #12 – Wednesday, July 16, 2014

Topic: In-Class Workday – Grant Consultations

Class #13 – Monday, July 21, 2014

Topic: Government Grants / Review of Proposal Topics

Course Objectives: 4

Readings Due: "Government Funding & the Non-Profit Sector" – Blackboard

Class #14 – Wednesday, July 23, 2014

Topic: Ethics
                                        Diversity
                                        Communications

Course Objectives: 1 & 3

Readings Due:
- Pratt, "Bowling Together" – Blackboard
- Pettey, "Cultivating Diversity in Fundraising" – Blackboard
- Schlegell, "Women as Donors" – Blackboard
- Ciconte, Chapter 13

Assignments Due: Grant Proposal

Class #15 (LAST CLASS) – Monday, July 28, 2014

Topic: Other Fundraising Issues – Social Entrepreneurship, Business Income, Telephone / Direct Mail, Emergent Strategies, Social Return on Investment

Course Objectives: 6

Readings Due: Ciconte, Chapters 7, 14 & 15