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**THE UNIVERSITY OF TEXAS AT AUSTIN  
SCHOOL OF SOCIAL WORK**

**Course Number:** SW N393T10

**Instructor:** Russell A. Smith, LMSW

**Unique Number:** 94685

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**Semester:** Summer 2013

**Phone:** 512-627-8699

**Meeting Time:** Mondays & Wednesdays  
5:30 pm – 8:00 pm

**Office Room:** SW 3.122A

**Meeting Place:** SSW 2.118

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

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**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 17<sup>th</sup>
  - 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 10<sup>th</sup>
  - c. *Points* – 10

*NOTE: Students will have on-line access to the Foundation Directory from June 18<sup>th</sup> through July 11<sup>th</sup>. 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 24<sup>th</sup>
  - 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 3<sup>rd</sup>
  - 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 15, 2013

*Points* - 20

## **VII. ASSIGNMENTS & POINTS**

<b>Assignment</b>	<b>Points</b>	<b>Percentage of Final Grade</b>	<b>Due Date</b>
Non-Profit Information Due	10	10%	June 17, 2013
Making the Case for Support	15	15%	July 3, 2013

Funder Research	10	10%	July 10, 2013
Special Event Development Paper	20	20%	July 15, 2013
Grant Proposal	35	35%	July 24, 2013
Attendance and Participation	10	10%	Each class session
<b>Totals</b>	<b>100</b>	<b>100%</b>	

### **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 the American Psychological Association (APA) – 4<sup>th</sup> 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. CLASS POLICIES**

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.

### **Special Accommodations for Students with a Disability**

The University of Texas at Austin provides upon request appropriate academic accommodations for qualified students with disabilities. Any student with a documented disability (physical or cognitive) who requires academic accommodations should contact the Services for Students with Disabilities area of the Office of the Dean of Students at 471-6259 (voice) or 471-4641 (TTY for users who are deaf or hard of hearing) as soon as possible to request an official letter outlining authorized accommodations.

### **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/academicintegrity.html>).

### **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 practice related to agency and/or community safety. Students should also notify instructors regarding any safety concerns.

## *COURSE CALENDAR*

### **Class #1 – Monday, June 10, 2013**

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 12, 2013**

Topic:                        Developing a Fundraising Plan

Course Objectives:        1, 5 & 6

Readings Due:

- Ciconte, Chapter 5

### **Class #3 – Monday, June 17, 2013**

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

Assignments Due:        Non-Profit Information Due

### **Class #4 – Wednesday, June 19, 2013**

Topic:                        Developing Individual Donors I

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

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 #5 - Monday, June 24, 2013**



Topic: *Executive Director Roundtable*

Course Objectives: 1, 5 & 6

**Class #6 – Wednesday, June 26, 2013**

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

*Guest Speaker – Richard Topfer, Topfer Family Foundation*

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, July 1, 2013**

Topic: Events

Course Objectives: 6

Readings Due: Ciconte, Chapter 12

**Class #8 – Wednesday, July 3, 2013**

Topic: Foundations / Writing the Proposal III – Evaluation

Course Objectives: 4 & 5

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 8, 2013**

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 10, 2013**

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 15, 2013**

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 17, 2013**

Topic: In-Class Workday – Grant Consultations

**Class #13 – Monday, July 22, 2013**

Topic: Government Grants / Review of Proposal Topics  
Course Objectives: 4  
Readings Due: “Government Funding & the Non-Profit Sector” – Blackboard

**Class #14 – Wednesday, July 24, 2013**

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
- Cicone, Chapter 13

Assignments Due: Grant Proposal

**Class #15 (LAST CLASS) – Monday, July 29, 2013**

Topic: Other Fundraising Issues – Social Entrepreneurship, Business Income, Telephone / Direct Mail, Emergent Strategies, Social Return on Investment  
Course Objectives: 6  
Readings Due: Cicone, Chapters 7, 14 & 15