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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:** 94940                                      **E-mail:** rsmith@austinchildguidance.org

**Semester:** Summer 2011                                      **Phone:** 512-627-8699

**Meeting Time:** Mondays & Wednesdays                      **Office Room:** SW 3.122A  
5:30 pm – 8:00 pm

**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, 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**

Lindahl, W. (2010). Principles of Fundraising, Theories and Practice. Sudbury, MA: Jones and Bartlett.

## VI. COURSE REQUIREMENTS – ASSIGNMENTS

### A. Real World Fundraising

Each class member will choose a real-world fundraising activity to get involved with – walk-a-thon, special event, church carnival, telethon, etc. Students will research possible activities and propose them to the Instructor. Once completed, students will write a 3-4 page paper on the experience utilizing concepts from the class. This project is 20% of students' grades.

Proposal Due: Wednesday, June 15, 2011

Paper Due: Wednesday, July 18, 2011

### B. Grant writing Assignment

Students will develop a sample non-profit organization (including mission, population, programs and need), develop a fundraising plan, research potential funders, and write one grant proposal, and present their proposal to the class. In-depth instructions on each piece of the project will be given in class prior to each segment of the group project. The segments of the project are:

- 1) ***Develop non-profit*** – students will make up an agency, name it, create the mission, define the population, describe 2-3 programs, and outline the need in the community. Students have wide latitude in the development of the agencies. The agency can be based on services already available in the community (i.e. food bank); but cannot be based on an existing organization (i.e. the Capital Area Food Bank). No part of the text of any of the assignments should be taken from a real agency's materials, website, grant proposals, etc. Students DO NOT have to conduct research to develop the mission, population, programs and need (it all can be made up). This information will be utilized in the rest of the project, so it is important to have an idea, population and services that could be potentially funded.
  - a. ***Output*** – one page description of non-profit agency with:
    - i. Name of agency
    - ii. Key staff
    - iii. Mission
    - iv. Population served
    - v. 2-3 programs of the agency
    - vi. Community Need
  - b. ***Due Date*** – June 15<sup>th</sup>
  - c. ***Points*** - 10
- 2) ***Fundraising Plan*** – students will next develop a Fundraising Plan, including: goals and objectives for development; funding mix; vehicles; strategies; and

other aspects of their plan. This plan must include at least one proposed grant proposal and 2-3 other vehicles for development.

- a. *Output* – Development Plan
- b. *Due Date* – June 29<sup>th</sup>
- c. *Points* - 10

- 3) ***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 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 13<sup>th</sup>
  - c. *Points* – 10

*NOTE: Students will have on-line access to the Foundation Directory from June 27<sup>th</sup> through July 13<sup>th</sup>. More info to follow.*

- 4) ***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 20<sup>th</sup>
  - c. *Points* – 40

## 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 15, 2011
Real World Fundraising Proposal			June 15, 2011
Development Plan	10	10%	June 29, 2011
Funder Research	10	10%	July 13, 2011
Real-World Fundraising Paper Due	20	20%	July 18, 2011
Grant Proposal	40	40%	July 20, 2011
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. The American Psychological Association (APA) – 4<sup>th</sup> edition format should be used. 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. Roll will be taken each period by use of a sign-in sheet. 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>).

**Publication Style Manual for Completing Written Assignments** – *The Publication Manual of the American Psychological Association* (latest edition) is the style manual to be used by students in completing written assignments for the course. A copy of the *Manual* is available in the School's Learning Resource Center (LRC).

### **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 6, 2011**

***No class tonight. Class will start on Wednesday, June 8th***

### **Class #2 - Wednesday, June 8, 2011**

Topic: Class Overview  
Review of Syllabus  
Overview of Project  
Proposal Guidelines  
Non-Profit Sector / Philanthropy  
Developing a Fundraising Plan

Readings Due: Hand-outs  
Ciconte, Chapter 5

### **Class #3 – Monday, June 13, 2011**

Topic: Mission Development / Strategic Planning  
Making the Case / Marketing

#### *Executive Director Roundtable*

Readings Due: Bryson (Strategic Planning for Public & Non-Profit Organizations), Chapters 1 & 2 - Blackboard

### **Class #4 – Wednesday, June 15, 2011**

Topic: Writing the Proposal I – Introduction & Problem Statement

Readings Due: Kiritz, “Program Planning & Proposal Writing” – Blackboard  
New & Quick, Chapters 1 - 5

Assignments Due: Non-Profit Information Due  
Real World Fundraising Proposal Due

### **Class #5 - Monday, June 20, 2011**

Topic: Developing Individual Donors I

Readings Due: Ciconte, Chapter 8  
Price & File (The Seven Faces of Philanthropy) – Blackboard  
Schervish, “Inclination, Obligation, and Association” – Blackboard  
Bank of America Study of High Net-Worth Philanthropy – Blackboard  
American Express Charitable Gift Survey - Blackboard

**Class #6 – Wednesday, June 22, 2011**

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

Readings Due: Ciconte, Chapters 6 & 15  
The Impact of Giving Together (Giving Circles) - Blackboard

*Guest Speaker – Frank Schubert*

**Class # 7 – Monday, June 27, 2011**

Topic: Events

Readings Due: Ciconte, Chapter 12

**Class #8 – Wednesday, June 29, 2011**

Topic: Foundations / Writing the Proposal III - Evaluation

Readings Due: Ciconte, Chapter 11

Assignments Due: Development Plan

*Guest Speaker – Melanie Cazier, Topfer Family Foundation*

**MONDAY, JULY 4<sup>TH</sup> – NO CLASS**

**Class # 9 – Wednesday, July 6, 2011**

CLASS WORK DAY

**Class # 10 – Monday, July 11, 2011**

Topic: Corporate Giving

Readings Due: Ciconte, Chapter 10  
Sheldon, “Successful Corporate Fund Raising” – Blackboard

**Class #11 – Wednesday, July 13, 2011**

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

Readings Due: Kiritz, “Program Planning & Proposal Writing” – Blackboard

Assignments Due: Funder Research



**Class #12 – Monday, July 18, 2011**

Topic: Government Grants / Review of Proposal Topics  
Readings Due: “Government Funding & the Non-Profit Sector” – Blackboard  
Assignments Due: Real World Fundraising Paper

**Class #13 – Wednesday, July 20, 2011**

Topic: Ethics  
Diversity  
Budgeting  
Readings Due: Fischer, “Respecting the Individual, Valuing Diversity” – Blackboard  
Pratt, “Bowling Together” – Blackboard  
Petty, Cultivating Diversity in Fundraising” – Blackboard  
Hankin, Seidner, & Zeitlow, “Financial Management for Nonprofit Organizations, Chapter 8 – Blackboard  
Assignments Due: Grant Proposal

**Class #14 (LAST CLASS) – Monday, July 25, 2011**

Topic: Other Fundraising Issues – Capital Campaigns, Social Entrepreneurship, Endowments, Business Income, Telephone / Direct Mail, Emergent Strategies  
Readings Due: Ciconte, Chapters 7 & 14