Course: Grantgetting, Contracting and Fundraising
SW 663 - Section 001 (#19814) & Section 004 (#27897)
Day, Time & Place
Section 001- Wednesday, 9-12, Rm. 3816 SSWB
Section 004- Thursday 9-12, Rm. B684 SSWB
Instructor: Diane Kaplan Vinokur, Associate Professor
Office: 3794 SSWB
Email: dkv@umich.edu
Office hours: Thursdays, 1:30-3:00 or by appointment

Course Description
Human service organizations secure resources through a variety of venues, including fees, grants, contracts, gifts, bequests, in-kind (non-cash) contributions, and investments. Instruction will be provided in assessing an agency's resource mix and how to repackage or expand its revenue streams. Skill development will be emphasized in areas such as: grant seeking, proposal writing, presentations, service contracting, campaign planning, campaign management, donor development, direct solicitation of gifts, and planning of fundraising events. This course will also address consumer and third-party fee setting and collection, outsourcing, income investment, and creation of for-profit subsidiaries.

Course Content
This course will focus on fundraising and the effective use of money raised by a human service organization. Instruction will be provided regarding the wide range of possible income sources used by community groups, human service organizations, and other nonprofits that address the needs of diverse dimensions (including ability, age, class, color, culture, ethnicity, family structure, gender (including gender identity and gender expression), marital status, national origin, race, religion or spirituality, sex, and sexual orientation) and the promotion of pro-social causes. These sources include public agencies, business corporations, philanthropic foundations, United Ways and other federated funds, civic and religious associations, advocacy groups, individual donors, and those who pay fees for goods or services rendered (including third-parties).

This course will emphasize grant-seeking, contract procurement, proposal writing, and other approaches to fundraising as ways to empower organizations and groups, expand and improve services, reach populations in need, improve social conditions or anticipate and correct the emergence of problems. The implications of using alternative approaches to income generation and of changing the income mix will be analyzed in terms of mission accomplishment, program viability, and organizational maintenance.

1 Send me three times you are free – we can usually work something out.
1. Students will learn how to identify prospective funding sources, build relationships with potential donors, funders, and collaborators, write and submit grant and contract proposals, and plan and carry out fundraising campaigns and events (including those that may involve multiple collaborators or that may substitute non-cash for cash contributions).

**Course Objectives**
Upon completion of the course, students will be able to:

1. Assess the financial stability of an organization.
2. Identify appropriate funding strategies leading toward the financial sustainability of an organization.
3. Locate appropriate funding sources for specific social programs, projects, and organizational needs.
4. Initiate and sustain relationships with potential funders and donors.
5. Write project proposals that are technically complete and contribute to social equity.
6. Identify and implement appropriate fundraising strategies necessary for program achievement.
7. Develop and carry out elements in a fundraising campaign and/or fundraising events.
8. Distinguish between the advantages and disadvantages of alternative funding sources and strategies in terms of mission, program achievement, and organizational sustainability.
9. Discuss typical ethical concerns related to grantgetting, contracting, and fundraising.

**Course Design**
This course design involves mini-lectures, in-class exercises, proposal writing, and other applied assignments. In addition, guest speakers who address key components of this course will be invited when appropriate.

**Relation to School’s Curricular Themes**

<p>| Relation to SSW Multiculturalism &amp; Diversity Theme: | Class examples of successful projects and funder priorities will deal with issues related to dimensions of diversity and multiculturalism. Fundraising strategies will focus on how to develop financial support for causes that represent traditionally underrepresented populations that are typically not included in mainstream funding priorities |
| Relation to Social Justice | Student designed projects will be required to reflect a commitment |</p>
<table>
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<tr>
<th>Theme:</th>
<th>to social equity such that program outcomes accommodate the needs of disadvantaged populations. Students will learn how to promote social causes, to increase awareness of social injustice, and help donors understand giving for the greater good of social change.</th>
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<td>Relation to Promotion, Prevention, Treatment &amp; Rehabilitation Theme:</td>
<td>Students will learn that fundraising provides the financial support that makes promotion, prevention, treatment, and rehabilitation services possible in human service organizations. They will also learn that mainstream funding may not always support best practice programming, resulting in ethical dilemmas and requiring the ability to develop alternative funding strategies.</td>
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<td>Relation to Behavioral and Social Science Research Theme:</td>
<td>This course will review the growing body of research on effective fundraising. For example, students will learn that market research is essential to the success of letter, telephone, and other campaigns. Moreover, funders increasingly demand evidence that project proposals reflect empirical knowledge. Thus, this course will cover how to gather data that describes a problem and give explanations (i.e., scientific theories) that justify the proposed intervention approach.</td>
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<td>Relation to SW Ethics and Values Theme:</td>
<td>Ethical and value dilemmas unique to fundraising will be presented in this course. Students will be introduced to the potential conflicts of interest that can occur when several different parties are involved in raising, giving, or sharing large sums of money (e.g., intentional and unintentional deception, making decisions that are not in the best interests of the various players, fraud, and corruption). In addition, emphasis will be placed on how to choose, approach, and work with donors (e.g., who should be approached, to give how much and how, for whom, and for what purposes). Other ethical issues will also be discussed, including whether to accept what might be considered &quot;tainted&quot; money and how much donor choice should be permitted in the reallocation of funds raised. Although several fundraising codes of ethics are currently being created by relevant professional societies, few give clear and direct guidelines to action, making this issue of central importance to this course.</td>
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**Required Books:**


**Course Assignments:**
There are four course assignments. For all written assignments, please use APA formatting, double spaced, 12 point font, 1” margin pages. *Remember to post them on ctools and to bring a stapled hard-copy to the beginning of class on the day they are due.*

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<th>Assignment 1: Due week 4, 1/29 or 1/30: Case Analysis Comparison.</th>
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<td>This assignment is worth 20% of your grade.</td>
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Creating case statements is a critical step in a fundraising plan. (See Kim Kline, “Creating a Case Statement” in the ctools readings). According to Kline, its elements are: mission, goals, objectives, history, structure, fundraising plan and budget. (see p. 48). The first goal of this assignment is to have you familiarize yourself with the elements of a fundraising case statement of a charitable (501c3) nonprofit. The second goal is for you to critically compare or contrast the case statement elements of two similar organizations that serve similar populations. The third goal is for you to examine how the elements of the case statement are reflected in each organization’s online fundraising.

*Instructions for this paper:*
1. Think about an area of practice that interests you and choose two similar organizations providing similar services in this area of practice. For instance, you could choose two community mental health centers, two family service agencies, two elementary schools, two private libraries, two nursing homes, etc.) (You may use your field placement or internship site). The sites can be anywhere in the U.S. or Canada. (If you want to use a different country, please consult with me first).

2. Obtain an annual report and read their website. Systematically compare them with regard to the elements of a case statement noted above. Are they the same or different? Describe how so.

3. Next look on the web or at the annual report and see how each organization is trying to raise money. What is it for?--Special programs that fulfill their goals or objectives? General support that falls within their mission? Some bigger organization of which they are a part and determines their structure? Something that reflects their history? In other words, describe which aspects of the case statement influence what they are trying to fund.

4. Think if you have any advice to give the Development Directors of each organization. Is their fundraising coherent with their case statement elements? If yes, how would you strengthen it. If not, what would you suggest?

5. Your hard copy paper should be double-spaced, 1” margins, pages numbered and stapled. Put a header with your name on each page. It should be 4-7 pages long.
Assignment 2: Due week 5. 2/5 or 2/6: Presentation of a logic model.
This assignment is worth 10% of your grade.

The written second assignment is due at the 9th session of class, and volunteers will present in class during the 9th and 10th sessions. The logic model is an integral step in the development of your grant proposal.

I will be introducing some logic models that can help you structure your proposal. I would like you to present a logic model that demonstrates how the different components of your proposal are logically related. Volunteer presentations should be limited to about 15 minutes. They should make sure that their logic model is screen readable for all the class, or they can distribute copies to all the students and the instructor.

All students will submit a hard copy of their typed logic model, which should be 1-2 pages. At the top of your model page, you can write a few sentences describing the context of the logic model. The assignment will be evaluated on its completeness, adequacy, and logic.

Assignment 3: Due 2/26 or 2/27: Grant Proposal to a Foundation
This assignment is worth 35% of your grade.

This proposal is based on your logic model. The time frame should be 18-24 months. Thus, you will be preparing two one-year budgets. The proposal must include the hiring of staff. The proposal will include sections of the COMMON GRANT APPLICATION TEMPLATE developed by the Michigan Council on Foundations that will be further detailed in class. A detailed grading rubric will be available on ctools.

Assignment 4: Due 4/9 or 4/10: Organizational critique.
This assignment is worth 15% of your grade.

Critique the revenue structure of an existing human service organization. The body of the paper should be about 3-5 pages, double spaced, excluding references. In addition to the body and references, please include the annual report, website, etc. in an appendix. You may use materials from Assignment 1.

- Briefly describe the organization: mission, target client group(s), service technology/ies.

Your critique should focus on one of the grant-getting, contracting, or fundraising topics discussed in class. For example:

- Recommend changes in the fundraising strategy of the organization based on a power dependence analysis of the task environment. Is there danger of mission drift?
- Recommend changes in the fundraising strategy of the organization based on an analysis of the financial stability of the organization (using ratios in Martin’s text). Is there danger of revenue instability?
Class participation throughout the term: 20% of your grade.

Grading:
A 100 point system is used:
A+  99-100
A     94-98
A-    90-93
B+    87-89
B     84-86
B-    80-83
C+    77-79
C     74-76
C-    70-73

“A” is given for exceptional performance and mastering of the material
“B” is given to students who demonstrate mastery of the material
“C” is awarded when mastery of the material is minimal
“D” indicates deficiency and carries no credit
“E” indicates failure and carries no credit

Submission policy:

All written assignments should be submitted electronically on ctools before class AND in stapled hard copy in class the date they are due.

- Assignments turned in up to 6 days late will be lowered one grade.
- Assignments turned in one week late or after will be lowered two grades.
- Assignments turned in two weeks late also require a meeting with the instructor.

Learning Accommodations and Related Policies:

Religious Observances
Please notify me by the third session if religious observances conflict with your class attendance or due dates for assignments so we can make appropriate arrangements.

Contagious Illness
If you are ill with a contagious disease (such as bad colds, strep, flu), please stay home from class—the rest of us don’t want to get your illness!

Disabilities
If you have a visible or invisible disability that may interfere with your participation or performance in the class, please schedule a private appointment with me, as soon as possible to discuss accommodations for your specific needs. This information will be kept strictly confidential (to the extent permitted by law). I will do my best to ensure your participation in class through accommodation and adaptive technology.
You should also contact the Services for Students with Disability Office at (734) 763-3000 in Room G-664 Haven Hall (on central campus) for further information and resources. If you have already received a letter from that office regarding your disability and accommodations, please give it to me at the beginning of class and no later than January 22/23, 2014. If a new disability happens to you, also please contact me as soon as possible.

**Assignment Extensions**

Requests for extensions will be considered only for a valid reason (e.g., funerals, illness). These are to be made at least 48 hours in advance of the assignment due date, if at all possible. You must provide a rationale for the request and documentation is helpful (e.g., doctor’s note, note from funeral home).

**Incomplete Grades**

Students should not request incomplete grades unless they face serious circumstances, since an incomplete can imperil their academic standing at the School of Social Work. A grade of incomplete will not be granted unless it can be demonstrated that it would be unfair to hold you accountable to the normal expectations of the course. If a grade of incomplete is to be requested, you must do so prior to the final week of classes.

**Electronic Devices**

In consideration of your classmates, your instructor, and your own learning, please turn off all telephones and pagers before class.

Laptops can be used in class for note taking purposes only. Any occasion of misuse of electronic devices (i.e., texting, messaging, web surfing) will result in a 1 point reduction in class participation.

**About Your Instructor**

I was born in Milwaukee, Wisconsin, in a snowstorm. I spent my youth there and in Evanston, IL, near Chicago, where I attended Evanston Township High School. Then I went to Oberlin College, in the cornfields of Ohio, where I got my BA in Sociology, with a minor in religion.

I received my MSW and PhD in Social Work & Sociology from the University of Michigan. I then taught at the School of Social Work at Tel Aviv University for four years, which was a valuable international and inter-cultural experience. I returned to Ann Arbor and was Research Director for the National Child Welfare Training Center. Next, I directed the SSW’s Research Office and became Assistant Dean for Research. While in this position, I wrote a lot of grants. I joined the faculty full-time in 1990.

My main academic focus is on the management of nonprofit organizations, and I am proud to have been co-founder and past Faculty Director of the University of Michigan’s Nonprofit & Public Management Center, a collaboration of the School of Business, Public Policy, and Social Work. Most recently, I’ve done research on co-locating nonprofits “under one roof” and currently am examining trends in foundation philanthropy in the Detroit area. When I’m not involved with work, I especially enjoy being with my family. I also love reading, music, and gardening.
I always take a course when I am teaching, so that I can remember what it is like to be a student. Since I am taking a class in yoga this term, I also get to feel what it’s like to feel rather awkward in class.

I have a weird sense of humor, full of puns and ironies. Thanks for your forbearance.

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**Course Schedule & Readings: Winter 2014**

*required readings
Recommended= articles related to today’s topic and of further interest.

### Week 1: 1/8 & 1/9
**The Nonprofit Sector as the Context for Grantgetting, Contracting, and Fundraising**

- What is the nonprofit sector?
- How are human services different from other types of organizations?
- How are human services represented among the three sectors: public, nonprofit, for profit?
- Class Exercise: What motivates you to donate?

**Recommended Reading:**

### Week 2: 1/15 & 1/16
**The State of Human Services**

- Case Statements
- Logic Models

*Required Readings:

   a. Ch. 1: The landscape of the nonprofit sector (pp. 7-20)
   b. Ch. 4: Creating a case statement (pp. 39-48).

   a. Ch. 1: Introducing logic models, 1-16.
   b. Ch. 2: Building and improving theory of change logic models, 17-34.

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### Week 3: 1/22 & 1/23

- The Organization’s Task Environment
- Internal Environment’s Accountability
- Grantseeking: The Need/Problem Statement; Goals, Outcome Objectives & Methods (process objectives)

- What is the task environment? How does it influence the organization?
- How does the “deservingness” of the client group shape the resource environment?
- What are the responsibilities of the board to ensure accountability?

*Readings:


2. Council of Michigan Foundations. Common Grant Application Form  
   [https://www.michiganfoundations.org/resources/common-grant-application-form](https://www.michiganfoundations.org/resources/common-grant-application-form)  
   *(We’ll go over this form in class).*

   a. Ch. 1: “First steps: Getting ready for grantseeking”.
   b. Ch. 2: “Research: Finding your audience”.
   c. Ch. 3: “Relationships with Funders: Cultivating your audience”
   d. Ch. 4: “The proposal narrative: Introducing the characters and the place

**Recommended:**

   a. Chapter 3: Organization-environment relations.

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**Week 4: 1/29 & 1/30**

- Grant Seeking: Continued
- Finding a Funder (Foundation Center)

**Assignment 1 (Case Comparisons) is due**

*Required Reading:
   a. Ch. 5: “The need or problem: Building tension and conflict into your story”
   b. Ch. 6: “Goals and objectives: Finding a resolution to the problem”

**Recommended for your proposals:**
   a. Ch. 6, “Writing Goals, Objectives, and the Implementation Plan” pp. 61-80. (Also can use the 3rd edition of this book).

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**Week 5: 2/5 & 2/6**

- Evaluation
- The Budget & Continuation Funding
- Accounting for Volunteers and other Contributions
- Letters of Inquiry

**Assignment #2 (Logic Model) Due**

*Required Reading:
   Ch. 7: Evaluation and future funding: Writing the epilogue and planning for a sequel.
   Ch. 8 “The budget: Translating your story from words to numbers.”

Ch. 7 - Budgeting & Budget Systems

**Recommended Reading:**
1. Letter of Inquiry example:
   Non-profit Guides: Grant-writing tools for non-profit organizations –

2. Proposal example:
   Note: This proposal does not say how many students will be engaged in the project in the outcome objectives. The Budget is also somewhat different from the CMF format. But it gives you an idea about what such a proposal looks like.

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**Week 6: 2/12 & 2/13**

- **Draft Proposal Exchange Among Students in class**
- **Contracting & Its Environment**

**Required Readings:**


   *Read these short articles and be prepared to represent the point of view of each author. We will be dividing into small groups to discuss.*
   c. Kissane, Rebecca Joyce. The client perspective on nonprofit social service organizations, 632-637.

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**Week 7: 2/19 & 2/20**

- **Contracting Nuts & Bolts**
- **Empowerment Management**
*Required Readings:


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**Week 8: 2/26 & 2/27**

- Donation Patterns and Fundraising Issues of Diverse Groups: Women, People of Color, LGBTQ, recipients of public assistance

Assignment 3 (Proposal) Due

No readings
A collection of brief articles will be circulated in class for discussion.

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**Week 9: 3/5 & 3/6  Spring Break**

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**Week 10: 3/12 & 3/13**

- Financial Planning, Diversification, & Stability
- Fundraising Event Planning
  - What are the determinants of financial stability and volatility?
  - To diversify or not to diversify?
  - How does one plan a fundraising event?

*Required Readings
   Ch. 3 – Understanding Financial Statements
   Ch. 5 -- Financial Analysis


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**Week 11: 3/19 & 3/20 -**

Strategies for Upgrading Donors:
Monthly Donor Pledge Programs
- Major Gifts
- Legacy Giving

Readings:

To be announced

**Week 12: 3/26 & 3/27**

**Large Scale Fundraising: Capital Campaigns, Endowments & Social Enterprise**

*Readings:*


Other readings: To be announced

**Week 13: 4/3 & 4/3**

**Online Fundraising & Direct Mail**

*Required Readings:*

1. Oster, S.M. *Strategic management for nonprofit organizations: Theory and cases.* Chapter 8: Fundraising for nonprofits.


**Recommended:**


**Week 14: 4/9 & 4/10**

**Fee-setting**

**Income Investment**

***Assignment 4 Due***

*Required Readings:*

Ch. 11, Setting Fees, 149-160.

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<td>Ethical Issues in Fundraising</td>
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   Ch. 14 - Risk Management 187-197
# OVERVIEW OF SW663

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<td>#1-Case Statement Analysis due (20%)</td>
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<td>• Fundraising Planning • Donation Patterns of Diverse Groups: Women, People of Color, LGBTQ, Recipients of Public Assistance</td>
<td>#3-Proposal Due (35%)</td>
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<td>• Financial Planning, Diversification, &amp; Stability • Strategies for Acquiring &amp; Keeping Donors (Cultivation &amp; Retention) • Event Planning</td>
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Syllabus, SW663-001 & 004 (D. K. Vinokur), Winter 2014
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