

# Resource Development Handbook



*Sponsored by*

**Office of Refugee Resettlement  
ACF/HHS**

# Resource Development Handbook

---

Second Edition

Office of Refugee Resettlement  
Washington, DC  
June 2004



---

The viewpoints expressed herein do not represent the official position or policy of the Office of Refugee Resettlement, U.S. Department of Health and Human Services.

Reproduction and further distribution of the materials contained in this *Handbook* is encouraged. It is our intent that as many people and organizations as possible may benefit from the *Resource Development Handbook*. All users should feel free to give copies to staff, the Board of Directors, and community volunteers. Please also share it with other Mutual Assistance Associations and grassroots organizations so that they too may access a diverse array of resources.

This publication has been published pursuant to grant number 90 RB-0005 from the Office of Refugee Resettlement (ORR)

---

## **Resource Development Handbook**

Second Edition

June 2004

A revision of the first edition

### **Resource Development: A Handbook on Fundraising for Mutual Assistance Associations**

Published for the Office of Refugee Resettlement

By Indochina Resource Action Center

Washington, DC

1989

To order (only one copy per request, while still available), please contact:

Office of Refugee Resettlement

Administration for Children and Families

U.S. Department of Health and Human Services

370 L'Enfant Promenade, S.W. – Sixth Floor East

Washington, DC 20447

<[www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr)>

# Table of Contents

---

<b>Table of Contents</b> .....	<b>i</b>
<b>Foreword</b> .....	<b>v</b>
<b>Acknowledgements</b> .....	<b>vi</b>
<b>Chapter I: Overview</b>	
— <b>of the Handbook</b> .....	<b>1</b>
Overview .....	1
1. Why This Handbook? .....	1
2. MAA Sustainability .....	3
3. Resource Development Readiness .....	5
4. How the Handbook Is Organized .....	8
For More Information .....	11
Attachments .....	12
<b>Chapter II: Planning</b>	
— <b>Laying the Foundation for Resource Development</b> .....	<b>19</b>
Overview .....	19
1. Introduction .....	19
2. What Is “Resource Development”? Isn’t It Really Just “Fundraising”? .....	20
3. Who Should Be Involved in Resource Development? .....	20
4. Why Plan for Resource Development? .....	24
5. Resource Development Plans .....	27
6. Twelve Steps for Creating a Resource Development Plan .....	29
7. Components of a Resource Development System .....	31
For More Information .....	33
Attachments .....	34
<b>Chapter III: Communications</b>	
— <b>Telling Your MAA’s Story</b> .....	<b>43</b>
Overview .....	43
1. Introduction .....	43
2. The Basics of Communications .....	44

3. Getting Started .....	46
4. Preparing an Organizational Message .....	47
5. Developing a Media-Focused Strategic Communications Plan .....	49
6. Tools for Media Success .....	53
7. Talking to the Media .....	56
For More Information .....	60
Attachments .....	61
<b>Chapter IV: The Logic Model</b>	
<b>— A Tool for Project Planning .....</b>	<b>.73</b>
Overview .....	73
1. Introduction .....	73
2. Why Plan? .....	74
3. What Is a Logic Model? .....	75
4. How Can Our MAA Use the Logic Model? .....	77
For More Information .....	80
Attachment .....	80
<b>Chapter V: Proposals</b>	
<b>— The Right Materials for the Right Job .....</b>	<b>.83</b>
Overview .....	83
1. Introduction .....	83
2. Differences between Public and Private Funders .....	84
3. Major Types of Fundraising Materials .....	87
4. Hints for Developing Effective Proposals .....	89
5. Elements of a Project or Core Proposal .....	91
For More Information .....	104
Attachments .....	107
<b>Chapter VI: Foundations and Corporations .....</b>	<b>.125</b>
Overview .....	125
1. Introduction .....	125
2. What Is Philanthropy? .....	126

3. Understanding Foundations .....	127
4. Corporate Giving .....	129
5. Getting Started .....	130
For More Information .....	137
Attachments .....	139

**Chapter VII: Individuals**

<b>— Contributions and Events .....</b>	<b>147</b>
Overview .....	147
1. Introduction .....	147
2. Understanding Why People Give .....	149
3. Raising Money from Individuals: Getting Started .....	151
4. Learning to Ask for Money .....	153
5. Answering Common Questions Raised in Solicitation Meetings .....	155
6. Using the Mail to Raise Funds .....	157
7. Workplace Giving .....	162
8. Community Fundraising Events .....	162
For More Information .....	167
Attachments .....	170

**Chapter VIII: State and Local Government .....**

<b>183</b>	
Overview .....	183
1. Introduction .....	183
2. First, Learn How the Money Flows .....	184
3. The Search — or Where to Begin .....	188
4. State Government .....	189
5. County Government .....	192
6. City Government .....	193
7. Programs of Special Interest That Are Administered at the State Level .....	194
8. Other Sources of Information about State or Local Funding .....	197
9. Preparing Effective Competitive Grant Applications .....	198
For More Information .....	203

<b>Chapter IX:</b>	
— <b>Federal Agencies</b> .....	<b>.207</b>
Overview .....	.207
1. Introduction .....	.207
2. Some Basic Facts about Federal Funds .....	.208
3. Before You Apply — Five Essential “Get Started” Steps .....	.209
4. Where the Grants Are — Grants.gov .....	.212
5. The Faith-Based and Community Initiative .....	.212
6. Finding and Applying for Federal Grants — Questions and Answers .....	.213
7. Agency Centers for Faith-Based and Community Initiatives .....	.216
8. Hints for Applying for Federal Funding .....	.218
9. Maintaining Your Federal Grant — Questions and Answers .....	.221
For More Information .....	.223
Attachments .....	.225

<b>Chapter X: Collaboration</b>	
— <b>Enhancing Your Resources</b> .....	<b>.235</b>
Overview .....	.235
1. Introduction .....	.235
2. Why Collaborate? .....	.237
3. Preparing for Project Collaboration .....	.240
4. Building Relationships with Mainstream Organizations .....	.243
5. How to Avoid Getting Taken Advantage of .....	.248
6. It’s a Logical Process .....	.250
For More Information .....	.251
Attachment .....	.252

<b>Appendices</b>	
Appendix A: Glossary of Terms .....	A-1
Appendix B: Bibliography .....	B-1
Appendix C: Sample Proposal .....	C-1
Appendix D: Foundation Center Cooperating Collections .....	D-1



## Foreword

With the very first series of MAA grants back in 1980, the Office of Refugee Resettlement (ORR) launched an initiative that has become one of the refugee resettlement program's proudest contributions toward the long-term integration of refugees and other newcomers into our society. That commitment made over a generation ago still stands. In fact, today we see the Mutual Assistance Associations taking their rightful place along with the State Refugee Programs and the Voluntary Resettlement Agencies as one of the three pillars of resettlement.

As refugees, we inherit tremendous resources from our cultural heritage, including many values that we can share with the larger U.S. society — strong families, respect for education, and the role of parents in teaching children are examples. Our MAA leadership and our traditional community elders have an important responsibility to bring forth the positive aspects of our heritage so that our new communities can benefit.

Back in 1989, when this *Handbook* was first published, ORR funding to MAAs was limited to a small set-aside known as the "MAA Initiative." According to that year's *Report to Congress*, "about \$2.5 million of available social service funds were allocated to states for the purpose of providing funds to refugee/entrant MAAs as an incentive to include such organizations as social service providers....States which chose to receive these optional funds were provided the allocation upon submission of an assurance that the funds would be used for MAAs." As a result, and based upon their state's participation, selected MAAs received one-year grants, averaging \$5,000 to \$10,000.

In contrast, today's Ethnic Community Self Help Program provides MAAs with significant, multi-year support and links them directly with ORR. This year alone, the program has invested nearly \$10 million in 54 MAAs and faith-based organizations. Unlike the set-aside funding of the 1980s, these grants, which average \$175,000 apiece, are substantial enough to achieve concrete results. Under the overall rubric of "building bridges among newcomers and local community resources," MAAs are using these funds to conduct a wide range of activities from training bilingual/bicultural staff, to educating their host communities. Some MAAs focus on specific subpopulations such as youth, women, the elderly; others provide skills training for volunteers, their own Boards of Directors, and community partners. Many MAAs promote cooperation and collaboration, work on conflict resolution, or develop coalitions and partnerships. In tandem with the MAA self help program, ORR has contracted with two technical assistance providers whose job it is to help build the capacity of MAA grantees. In addition, two printed resources have been produced for the use of MAAs — one on organizational development entitled *Guide for Ethnic Community Based Organizations*, and this *Resource Development Handbook*.

Federal budget constraints mean that to continue providing a broad range of services to their respective constituencies, MAAs need to find new resources. One of the best ways to make sure that your own MAA is around a decade from now is to diversify your funding sources and expand the pool of resources that support core operations. This *Handbook* presents a variety of approaches to fund your MAA's various programs.

Resource development cannot be undertaken piecemeal — it must be part of a comprehensive approach — a practical, multi-year plan that builds and strengthens your MAA's capacity. That's what this *Resource Development Handbook* is all about. I urge you to use it, and refer to it often. You may also want to share this *Handbook* with other MAAs and help them access a diverse array of resources.

I am honored to have the opportunity to work with you in renewed partnership to help our refugee families, our MAAs, and our increasingly diverse communities. Keep up the good work!

— *Nguyen Van Hanh, Ph.D.*  
Director, Office of Refugee Resettlement



# Acknowledgments

---

When we took on the task of updating the 1989 *Handbook on MAA Resource Development*, we knew that it was going to be a difficult and complex process. So, realizing our own limitations, we asked everyone we know — and people whom we came to know in the process — for contributions to this new edition of the *Resource Development Handbook*. Most of all, we have counted upon you — leaders of the MAAs (including all MAA Directors, Board Chairs and Board Members, community volunteers, and clients who receive MAA services) as the people who live in the community day in and day out, meeting refugee needs and working to find the resources that MAAs must have. We would like to take this opportunity to recognize your contribution to the field of refugee resettlement and integration and say thank you.

## National MAA Network Review Teams

A huge “thank you” goes to the review teams from the National MAA Networks, who read and commented on multiple chapters, provided valuable guidance and suggestions, and shared illustrative examples from their experience working in the field. It is these special people — Board members and staff alike — who have made this edition of the *Handbook* what it is.

- ♦ Ethiopian Community Development Council
- ♦ Hmong National Development
- ♦ Iraq Foundation
- ♦ Kurdish Human Rights Watch
- ♦ National Alliance of Vietnamese American Service Agencies
- ♦ Somali Family Care Network
- ♦ Southeast Asia Resource Action Center

## Contributing Writers and Editors and Reviewers

We also want to credit a number of contributing writers/editors and reviewers. In acknowledging their contributions, we have listed organizational affiliations for identification purposes only. Such listing should not be taken to imply organizational endorsement.

The White House Office of Faith-Based and Community Initiatives, which has done so much to open up the federal system to grassroots organizations, provided its full support — not just in terms of excellent materials and useful information, but also advice and guidance. Of particular note are two longstanding friends of refugees — Jim Towey and Dennis Grace — who freed up a highly capable and committed individual on loan from the Department of Education — Chris Bayer — to work with us.

On a similar note, we would like to recognize the contribution of the Grants.gov staff and consultants, particularly their leader Diana King who walked us through the complexities of the electronic grants system, and provided much-needed advice. In addition, the Grants.gov team presented a workshop explaining E-grants, and made an ongoing commitment to continue offering special training opportunities for interested MAAs.

Most of the *Handbook* was written and edited by an organization that has been involved with the Mutual Assistance Associations since its inception in 1994 — Mosaica: The Center for Nonprofit Development and Pluralism. Mosaica President Emily Gantz McKay and Hilary Binder-Aviles were the primary chapter writers; Hila Berl designed the Glossary and kept reminding us to use plain language.

Other contributing writers included Handel Mlilo with the National Immigration Forum (Chapter 3), Pipo Bui from the development office at Stanford University’s Graduate School of Business (Chapter 7), and Ann Morse at the National Conference of State Legislatures (Chapter 8). Reviewers Gerald Brown of ISED Solutions and Andrea Frodema from the IRC Training Unit offered a useful perspective as technical assistance providers. Last but not least is the Spring Institute for Intercultural Learning, whose President Myrna Ann Adkins and her colleagues gave staff support, troubleshooting, and valuable insights throughout the review and production processes.

## A Special Thanks

And finally, the Director of the Office of Refugee Resettlement — Nguyen Van Hanh, Ph.D. The *Handbook* is grounded in Dr. Van Hanh’s vision for the Mutual Assistance Associations as one of the three pillars of refugee resettlement and integration into the cities and towns of this great country. Without his commitment, unwavering support, and wise guidance, this edition of the *Resource Development Handbook* simply would not exist.

**Project Officer: Vo Van Ha**

**Project Manager: Diana D. Bui**

# Chapter I

## *Overview*

---

### of the Handbook



# Chapter Contents

<b>Overview</b> .....	<b>1</b>
<b>1. Why This Handbook?</b> .....	<b>1</b>
<b>2. MAA Sustainability</b> .....	<b>3</b>
<b>3. Resource Development Readiness</b> .....	<b>5</b>
Organizational Identity and Focus	5
Agreeing on Organizational Values	5
Sample Mission Statement for an MAA	7
"Learning" Organizations	7
<b>4. How the Handbook Is Organized</b> .....	<b>8</b>
Contents by Chapter	9
Finding Information	10
<b>For More Information</b> .....	<b>11</b>
In the Library	11
And on the Web	12
<b>Attachments</b> .....	<b>12</b>
1. MAA Mission Statement	13
2. Work Sheet #1 — Review the MAA's Mission Statement	14
3. Work Sheet #2 —Draft a New Mission Statement	16
4. More on Mission Statements ...	17

# Chapter I

## Overview

---

### of the Handbook



### Overview

This chapter describes the background, purposes, and scope of the *Handbook*. It identifies the factors that help an MAA become sustainable, and explains the *Handbook's* broad view of resource development. In addition, it explains the reasons for including each chapter, and provides guidance on how to use the *Handbook* and where to find specific types of information.

### 1. Why This Handbook?

Refugee Mutual Assistance Associations (MAAs) play an essential role in refugee resettlement in this country. Run by refugees in the communities where they live, MAAs understand the challenges and needs of newcomers and provide continuing support for their integration into U.S. society. They also understand the strengths and assets that refugees bring to their new home and serve as vehicles through which those assets can benefit the broader society. As their name implies, the MAAs represent the best of *people helping people*.

MAAs exist in every part of the country and reflect all of the nationalities that make up the refugee population in the U.S. MAAs also reflect the diversity of the broader nonprofit sector — some are large, some are small; some have annual budgets of several hundred thousand dollars, others have less than \$10,000 a year; some have paid staff, others are all volunteer; some are fully incorporated, tax-exempt organizations, others have a less formal structure; some are 25 years old and some were formed less than a year ago.

What they all have in common is a unique ability to serve as a bridge between the refugee communities they represent and mainstream society. Together, MAAs are providing a rich and diverse array of services and activities. English classes, employment training, youth leadership, senior centers, child care, health information, immigration assistance, cultural celebrations, and public education about refugee communities and heritage are just a few examples of the many different kinds of activities in which MAAs are engaged.

Helping MAAs to succeed and grow is therefore important to the Office of Refugee Resettlement (ORR) and similar state and local agencies, important to other nonprofit organizations serving newcomers, and important to the broader society. For newly arrived refugees, strong, diverse MAAs play a critical role in ensuring that refugees' basic needs are met. As refugees become more settled and established, MAAs take on the vital responsibility of promoting their respective communities' long-term well being, civic participation, and eventual attainment of citizenship.

If you are an MAA Board member, staff member, or volunteer, you know that MAAs face daily challenges. Among the most difficult is raising the funds and non-cash resources — from donated space to volunteers — to survive and grow, so that your MAA can meet the changing needs of your community. Perhaps you already have an organized, planned resource development system. More likely, you struggle to raise needed funds while focusing on providing services and advocacy for your community. If you know how important it is to ensure adequate resources for your MAA, and would like to be able to do it more systematically, this *Handbook* is for you.

The *Handbook* updates and replaces the original *Handbook on Fundraising for MAAs* prepared for ORR in 1989. It builds on and describes experiences and lessons about resource development learned by MAAs during the past 15 years. For example, the *Handbook*:

- ♦ Emphasizes the critical importance of a diverse funding base, rather than dependence on a single source of funding.
- ♦ Describes fundraising strategies for public and private funders at the national, state, and local levels.
- ♦ Emphasizes the importance of beginning early to tap individual donors as a funding source, both directly and through community fundraising events.
- ♦ Provides extensive information about both traditional funding categories and programs and new resources such as the federal Faith-Based and Community Initiative.
- ♦ Recognizes that the foundation for successful resource development is agreement on organizational values, vision, mission, and program priorities.
- ♦ Demonstrates how visibility and credibility support resource development — and addresses effective communications strategies that reach both the refugee and broader communities.

- ◆ Explains how collaboration can increase resource development opportunities and success.
- ◆ Recognizes the importance of the Internet as a source of information about funding, and presents extensive information on how to learn about funding opportunities online.
- ◆ Views resource development as a system that MAAs can develop and strengthen over time.
- ◆ Provides many practical aids, such as examples, activities, worksheets, and forms.

The *Handbook* is designed to guide your MAA in planning and implementing a well planned, systematic, comprehensive, and creative resource development effort. With its many sections and references, it should prove useful to MAAs at every stage of development, from new organizations just hiring their first staff to experienced organizations that have been serving their communities for 30 years or more.

With its emphasis on building relationships and cultivating people, the *Handbook* helps you position your MAA to thrive in a constantly changing resource development environment. And, as your MAA begins to think about and package its work not just as “serving refugees” but increasingly as strengthening families, developing leadership, and building community, you are laying the groundwork for a future well beyond resettlement, a future where you will become a magnet for resources and lead the development of your community.

## 2. MAA Sustainability

This *Handbook* is designed to help your MAA become sustainable. “Sustainability” means the capacity of a nonprofit organization to support and maintain its activities over time. The term typically implies financial stability and resources, although a sustainable nonprofit organization also needs strong and effective management and governance. Refugees need MAAs to assist them during their first few years in the U.S., and to continue assisting new waves of refugees. As refugee communities become more established, they also need “hyphenated American” organizations able to meet their changing needs. Sustainable MAAs can serve all these needs.

Sustainability does not require that your MAA be “self-sustaining” — able to generate internally all the funds required for survival and growth. Few MAAs or other nonprofit organizations earn enough money through income-generating ventures to support their activities. Even fewer have the capacity to raise so much money that they can establish an endowment and operate off the interest earned by their investments.

What makes an MAA sustainable? To be sustainable, an MAA should have at least the following characteristics:

- ♦ ***Diversity in funding sources*** — A sustainable MAA is not dependent for its survival on any single funding source or any single type of funding source. It obtains funds and in-kind resources from a wide variety of sources, such as government agencies, foundations, corporations or small businesses, individual contributions, income-generating ventures, memberships, community fundraising events, fees for service, etc.
- ♦ ***Ability to generate funds “internally”*** — The MAA is not totally dependent on donations or grants from external entities. It raises some of its funds through revenue-producing activities, fees for services, or other efforts not dependent upon philanthropy.
- ♦ ***Multi-year funding*** — The MAA has some multi-year grants or contracts, and does not have to raise the full amount of its budget each year.
- ♦ ***Involvement in significant activities that address continuing needs*** — The MAA provides services, advocacy, or other activities that address long-term community needs and are likely to be considered important and worthy of continuing support over many years.
- ♦ ***Program capacity and results*** — The MAA does its work well and can demonstrate positive results — client or community outcomes — that justify its existence.
- ♦ ***Adherence to clear values or operating principles*** — The MAA is guided by shared values or operating principles that are strongly held and not subject to change due to outside pressures. These principles underlie and are reflected in its priorities, strategies, and day-to-day operations.
- ♦ ***Core leadership with strong commitment*** — The MAA has a leadership group of individuals — Board members, other volunteers, and often paid staff — who are strongly committed to the organization and willing to spend time and effort in carrying out and directing its work.
- ♦ ***Management and governance*** — The MAA has sound financial and program management policies, systems, and procedures and personnel who implement them consistently. Funders and partners have confidence that financial and other resources are well managed by staff and overseen by an active, informed governing Board.
- ♦ ***Constituency or support group*** — The MAA has an established constituency of individuals or organizations outside its staff and volunteers that value and support its work, and will speak out or work on its behalf.
- ♦ ***Power and influence*** — The MAA is respected and credible because of its work and values, and this gives it the ability to influence others. Its paid and volunteer leadership may include prominent individuals with extensive contacts. The MAA may or may not have specific capacity to influence public policy. It does have the ability to get community leaders and other decision makers to listen to and consider the advice or perspectives of the MAA’s leadership.



Achieving and maintaining sustainability is a continuing, never-ending task for any nonprofit organization, not just an MAA. The process begins with agreement on organizational mission and priorities, followed by development and maintenance of effective programs, sound management, and active and informed governance. These characteristics help the MAA develop and maintain strong relationships with donors, which in turn contributes to successful resource development. Sustainability requires continuing attention to resource development, with emphasis on gaining support from several kinds of funding sources and generating some resources “internally,” through the work of the MAA’s staff, Board, and other volunteers.

### 3. Resource Development Readiness

#### *Organizational Identity and Focus*

The foundation for successful resource development is knowing who you are and what you stand for (values), what kind of community you are trying to help create (vision), and the chosen role of your MAA in helping to achieve that vision (mission). Some MAAs address these core issues — values, vision, and mission — as part of a strategic planning process. Whether or not you have a written strategic plan, you need to organize your resource development efforts around an agreed-upon mission and clear program priorities. You will be better able to raise resources if you are very clear about what you want to accomplish and what strategies you want to use.

Before you begin systematic resource development, consider doing the following, with the active involvement of Board, staff, key volunteers, and perhaps other friends of your MAA:

- ♦ *Agree on key organizational values or principles that guide your MAA* — Values are the beliefs or principles your MAA holds dear, your internal guidelines for distinguishing what is right from what is wrong and what is just from what is unjust. You hold these principles tightly, and do not change them because of external pressures. Values can describe what you work toward (for example, full participation of refugees in American society), how you work (for example, partnerships and collaboration, refugee decision making), or qualities you aspire to (for example, excellence, equal participation of men and women). Develop a written values statement and list for your MAA. The box, “Agreeing on Organizational Values,” suggests one way to do this.

---

#### Agreeing on Organizational Values


To develop a shared set of organizational values, try this approach.

1. Bring together your Board and staff.  
Explain the definition and importance of



- organizational values and present some examples.
2. Ask everyone to trace his/her hand on a piece of paper. Each person tries to identify the five values s/he considers most important for the MAA, and writes one value on each finger.
  3. Have participants share their values drawings.
  4. All together or in small groups, have participants identify similar or common values, and agree on five or six shared values. If you use small groups, the groups then get together and share their values, then negotiate a shared set of values for the organization.
  5. One or several people agree to edit the values and prepare a draft values summary for review and approval by the Board of Directors.

---

*Example* 

- ♦ *Describe a vision for your community* — This is your image of what your community (the local community in which you work or the broader U.S. society) would look like if your values were in practice — it's the “ideal” situation you are working toward. Usually, you can develop that vision just by spending a few minutes imagining what your community might look like in 20 years if others shared your values and worked together.
- ♦ *Prepare a mission statement that clearly presents your role in working toward this vision* — Your mission statement is the stated purpose for your MAA's existence. It is a statement of the contribution you are committed to making to move your community toward its vision — your MAA's public promise. Most MAAs prepare a mission statement as the organization is formed. At a minimum, there is a purpose statement in the Articles of Incorporation. If you have done fundraising, you have described your mission and focus to potential funders. Sometimes, however, that initial mission statement needs to be more clearly defined or stated, so it can truly guide your work. After you have developed your values and vision, review your current mission statement. Be sure you have a basic statement that is clear, brief, accurate, and motivational — and that it is consistent with your stated values and vision. Then add additional explanation as needed. (See mission statement and strategic planning resources in the “For More



Information” section at the end of this chapter, and the “MAA Mission Statement Exercise” in the Attachments.)

---

Sample Mission Statement  
for an MAA


**Summary Statement:**

MAA X exists to promote the well being of Asian American refugee children, youth, and families in Community Y through education, leadership development, and community building.

**Additional Detail:**

Our aim is to increase life skills and opportunities for low-income Asian American refugee youth and families so they can move out of poverty and become successful, self-sufficient, involved citizens.

---

*Example* 

This *Handbook* assumes that your MAA leadership — paid and volunteer — have carefully considered your organizational identity — values, vision, and mission. It also assumes that you have at least begun to identify priority programs and strategies that will help you fulfill your mission. That means you know the kinds of activities and programs for which you need resources! This preliminary work prepares your MAA for resource development planning and implementation. The *Handbook* helps you do both.

### **“Learning” Organizations**

Your MAA is likely to be especially successful in resource development if you approach this ongoing task as a “learning organization.” In a learning organization, people at all levels — staff, Board members, and volunteers — continually, deliberately work individually and together to improve their capacity to perform and to reach a shared vision. Learning organizations establish and maintain the *habit* of learning. This approach is especially valuable in resource development, since it requires diverse perspectives and tasks.

*What are some characteristics of a learning organization that also help an MAA be successful in resource development?* There are many. For example:

- ♦ A learning organization recognizes the need to continually renew, re-invent, and re-energize itself.

- ♦ It is flexible, innovative, and creative — able to respond to changing needs and external challenges and to take advantage of opportunities.
- ♦ Its people accept and adapt to changes and new ideas — the fear of change has been minimized.
- ♦ It works toward a shared vision.
- ♦ Its people have a shared “mental model” — an internal image of the world, how things work, and what can and cannot be accomplished.
- ♦ It promotes regular and rapid information exchange among people at all levels within the organization.
- ♦ It involves people at all levels in decision making, and announces final decisions promptly and publicly.
- ♦ People’s personal goals and the organization’s mission are consistent and interdependent.
- ♦ Everyone learns together in order to continuously improve organizational performance.
- ♦ It encourages wise risk-taking and allows failure. Its people know that we must risk failure to achieve a high level of success.
- ♦ It examines its successes and its failures to ensure that it learns from them.
- ♦ Its people work in teams.
- ♦ Its people use “systems thinking” — they consider the big picture. They look for interrelationships and for what is best for the organization as a whole, not just themselves or their unit.
- ♦ It encourages and rewards the raising of difficult questions.

#### **4. How the Handbook Is Organized**

This *Handbook* includes ten chapters and several Appendices. Every chapter includes:

- ♦ An Overview box that summarizes chapter purpose and content.
- ♦ An Introduction, which explains why the chapter is important and how it can help your MAA raise resources.
- ♦ Background information about the topic.
- ♦ Definition of key terms used in the chapter — supplemented by an extensive Glossary in the Appendices.
- ♦ Detailed “how to” information, typically including steps, hints, sample formats or outlines, both in the chapter and as Attachments at the end of the chapter.
- ♦ Examples from MAA experience and tips that build on these experiences, such as how to get started doing a particular type of resource development or overcome an obstacle.
- ♦ Directly relevant references including books and websites.



## Contents by Chapter

Here are the chapters and their focus topics:

- ◆ **Chapter 2 – Planning: Laying the Foundation for Resource Development** – Things to think about and do as you plan for systematic resource development. Includes a broad definition and description of resource development, who should be involved – including the role of your Board of Directors and how to create a fundraising Board – plus components of a resource development system, and how to do effective resource development planning.
- ◆ **Chapter 3 – Communications: Telling Your MAA’s Story** – The importance of communications in supporting resource development, including practical ways to improve your visibility and credibility with the media, foundations, policymakers and other individuals and groups with whom you work.
- ◆ **Chapter 4 – The Logic Model: A Tool for Project Planning** – The logic model and its use as a tool for project planning, and as a blueprint for implementing your project, documenting your work, and evaluating results.
- ◆ **Chapter 5 – Proposals: The Right Materials for the Right Job** – Proposals and other written fundraising materials such as letters of inquiry. Outlines for public- and private-sector materials, and detailed guidance for preparing each section of a proposal. Also describes fiscal sponsorship for MAAs that do not have their own tax-exempt status.
- ◆ **Chapter 6 – Foundations and Corporations** – How to raise money and other resources from foundations and corporations. Covers the U.S. system of private philanthropy including types of foundations and corporate giving programs, how to research potential funders, and the importance and methods of building relationships with funders.
- ◆ **Chapter 7 – Individuals: Contributions and Events** – How to raise funds from individuals, either face-to-face or by mail or telephone, through direct solicitation or fundraising events. Includes information on why people give, and practical approaches for developing a program of individual giving. Provides several exercises to use with Board and staff in preparing them for individual and special events fundraising.
- ◆ **Chapter 8 – State and Local Government** – How to obtain funds from state and local government. Includes information on how the money flows and funding opportunities at multiple levels of government – state, county, and city. Provides step-by-step guidance on how to prepare a competitive grant application.
- ◆ **Chapter 9 – Federal Agencies** – How to obtain funds from federal agencies. Includes how to locate federal funding opportunities, and how to maintain funding after it is obtained. Introduces two resources of special interest to MAAs: Grants.gov, the single online source for federal funding opportunities, and the White House Faith-Based and Community Initiative.

- ♦ **Chapter 10 – Collaboration: Enhancing Your Resources** – Relationships with other MAAs and mainstream organizations to strengthen services and improve fundraising success. Includes value of collaboration in resource development, how to choose partners, planning and implementing joint fundraising, and ensuring equitable relationships with large mainstream organizations.

The **Appendices** include:

- A. **Glossary** – A detailed glossary of resource development terms.
- B. **Bibliography** – A comprehensive bibliography on resource development and related organizational issues.
- C. **Sample Proposal** – A sample proposal from an MAA to a local foundation, using that community’s “common grant format.”
- D. **The Foundation Center’s “Cooperating Collections”** – Libraries, community foundations, and other nonprofit information centers that house a variety of materials useful to grantseekers, plus the Foundation Center’s collections in New York, San Francisco, Washington, DC, Cleveland, and Atlanta.

### ***Finding Information***

Following is a chart that identifies popular topics related to resource development and tells you where to find them in the *Handbook*. They are organized alphabetically by key word.

<b>Topic</b>	<b>Chapter</b>
Annual campaigns and other individual giving .....	7
Board role in resource development .....	2
Budgets .....	5
Capability statements — showing MAA capability and experience .....	5
Coalitions .....	8, 10
Competitive grant applications .....	8
Corporate giving .....	6
Definitions of resource development terms .....	Each chapter and Glossary in Appendix
Faith-Based and Community Initiative .....	9
Federal funds — finding grant opportunities .....	9
Fiscal sponsorship .....	5
Foundation giving .....	6
Funding diversification — raising funds from many sources .....	2
Joint or collaborative fundraising .....	10
Grants.gov — federal website .....	9
Letters of Inquiry .....	5
Mail solicitation .....	7
Media .....	3
Mission statements .....	1, 3



Outcome objectives ..... 4, 5  
 Project planning ..... 4  
 Proposal contents and outlines ..... 5  
 Proposals — sample ..... Appendix  
 Proposals — preparing competitive applications in response  
 to an RFP ..... 8  
 Regional Association of Grantmakers (RAG) ..... 5, 6  
 Relationships with funders ..... 6, 7, 8  
 Resource development planning ..... 2  
 Resource development systems — components ..... 2  
 Special events fundraising ..... 7  
 Strategic planning ..... 1, 2  
 Websites that announce funding opportunities  
 Private: ..... 6  
 State and Local: ..... 8  
 Federal: ..... 9  
 Websites with resource development information ..... End of each chapter  
 and Bibliography  
 in Appendix



## For More Information

*...in the Library*



**Allison, Michael and Jude Kaye. *Strategic Planning for Nonprofit Organizations: A Practical Guide and Workbook*. New York: John Wiley & Sons, Inc., 1997. 304 pages, \$39.95.**

Specifically designed for nonprofits, this guide shows how to create and implement an effective strategic plan using a simple, seven-phase process that covers everything from defining your mission and setting your course to starting, monitoring, and streamlining your plan. Comes with field-tested work sheets, checklists, and tables in both print and disk formats, plus a sample case study that demonstrates strategic planning in action from start to finish.

**Angelica, Emil. *Crafting Effective Mission and Vision Statements*. St. Paul, MN: Wilder Publishing Center, 2001. 88 pages, \$17. Order online at <[www.wilder.org](http://www.wilder.org)>.**

Guides your organization through a six-step process that results in a mission statement, vision statement, or both. Explains how a clarified mission and vision lead to more effective leadership, decisions, fundraising, and management. Gives tips on using the process alone or in conjunction with an in-depth strategic planning process. Includes sample mission and vision statements, step-by-step instructions, and worksheets.

**Barry, Bryan W. *Strategic Planning Workbook for Nonprofit Organizations, Revised and Updated, 1997.* St. Paul, MN: Wilder Publishing Center, 2001. 144 pages, \$28. Order online at <[www.wilder.org](http://www.wilder.org)>.**

This classic workbook — now completely revised and updated — gives you practical guidance through five planning steps. Reproducible worksheets help you develop the plan, involve others in the process, and measure results. Also included are: critical ingredients of a sound plan; a new, more detailed sample of one nonprofit's strategic plan; and information on how organizations and coalitions can use strategic planning.

**Bryson, John M. *Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement, Rev. Ed.* San Francisco, CA: Jossey-Bass, 1995. 325 pages, \$32.95.**

Introduces the dynamics and benefits of strategic planning. Provides four case studies of organizations that underwent the strategic planning process, and outlines the Strategy Change Cycle developed by the author. Emphasizes the planning aspects, roles and responsibilities of management leaders, and provides guidance on how to begin the planning process. Includes bibliographic references and index.

....and on the Web

**Alliance for Nonprofit Management**

<[www.allianceonline.org](http://www.allianceonline.org)>

See Frequently Asked Questions: "What's in a mission statement?" and "What's in a Vision Statement?"

**Nonprofit Genie**

<[www.genie.org](http://www.genie.org)>

See Frequently Asked Question: "What is the difference between a mission and a purpose?"



---

**Attachments**

1. Exercise: MAA Mission Statement
2. Work Sheet #1: Review the MAA's Mission Statement
3. Work Sheet #2: Draft a New Mission Statement
4. More on Mission Statements ...

## Exercise

# MAA Mission Statement<sup>1</sup>

### Purpose and Background:

This exercise is designed to help the MAA Board of Directors and key staff review, critique, and update the MAA's mission statement. Often, this exercise is part of a strategic planning process. At a minimum, the Board/staff group should already have agreed on organizational values, and identified the MAA's key service strategies. The group must also have chosen a "writing team" composed of two to three Board members who enjoy the trust of the full Board, represent the different perspectives of the MAA, and have good writing skills. (Where writing is not a strong point among the Board, recruit a professional writer and make sure that individual is present for all phases — values and key strategy identification, mission statement review — of this exercise.)

### Participant Instructions:

Split up into small groups of 3-5; appoint a note-taker and a reporter. Working individually, read the MAA's mission statement and then write down your answers to the questions on Worksheet #1. Next, share your answers with others in your group. On a flip chart, the note-taker will write those answers that the group generally agrees with. The reporter will prepare a two-minute report for the full group.

### Facilitator Instructions:

Divide the participants into small groups, ensuring gender balance and equal numbers of Board and staff within each group. Distribute copies of Worksheet #1. Have the small groups work together for no more than an hour, then reconvene into the full group for report-backs. Facilitate the report-back session, collect all the notes and flip chart pages, and give them and Worksheet #2 to the "writing team" whose charge is to draft the new mission statement.

<sup>1</sup> Elements of this exercise and accompanying work sheets are drawn from a National MAA Network organization's strategic planning retreat, conducted at Wilder Forest by Bryan Barry and Emil Angelica. Additional material has been adapted with permission from Mr. Angelica's field guide, *Creating Effective Mission and Vision Statements*.







# Work Sheet #1 — Review the MAA's Mission Statement

*(Board and Key Staff)*

1. Write down the MAA's current mission statement.

---

---

---

---

---

---

---

---

---

---

2. Is our mission statement concise and compelling? If not, what is the problem?  
 Yes  No

---

---

---

---

3. Does our mission statement tell people what good things our MAA is doing, and for whom? If not, what's missing? Or is there too much in the mission statement?  
 Yes  No

---

---

---





4. Is our mission statement grounded in our values? If not, what's missing?  
(Remember, it should capture the essence of our values — and not be a long list.)  
 Yes  No

---

---

---

---

---

---

---

---

5. Does our mission statement cover all the things that we do — our overall service strategies? If not, what else should be included?  Yes  No

---

---

---

---

---

---

---

---

6. Does our mission statement include all the people we serve? If not, who is missing?  Yes  No

---

---

---

---

---

---

---

---



# Work Sheet #2 — Draft a New Mission Statement

*(Writing Team Only)*

Now, based primarily on results from the Board/staff group's mission statement exercise as well as understanding of your MAA's values and key service strategies, write a one-sentence statement that clarifies the MAA's purpose. The following questions will help identify ideas that should be included in the new mission statement.

1. What result or long-term outcome is our MAA trying to achieve? Try to come up with an overall statement.

---

---

---

---

---

---

---

---

---

---

2. For whom is our MAA trying to accomplish this? Try to come up with a single target population.

---

---

---

---

---

---

---

---

---

---



## Resource

---

# More on Mission Statements ...

From *Creating Effective Mission and Vision Statements*, by Emil Angelica

“Though brief, the mission statement must possess four important qualities: breadth, durability, challenge, and distinction. The mission statement must be broad because it is an umbrella statement that encompasses all of the organization’s programs and services. It must be long lasting, setting the organization’s direction for the next twenty years. It also should pose a continuing challenge to board, staff, and volunteers, guiding the outcomes and the means (the *what* and the *how*) of the work to be done .... Finally a mission statement should separate your organization from the rest of the pack by distinguishing its work from the work of similar organizations.”

### Insurance Company —

Life is unfair. We exist to compensate for life’s unfairness.

### Refugee MAA —

From tyranny to participatory democracy is a rough path. We build a handrail.

### A School —

Each child has a unique and individual potential — spiritual, intellectual, emotional and physical. Children deserve the opportunity to develop this potential in an environment conducive to the development of character, good citizenship and a sense of personal responsibility.

### A Family Service Organization —

The cultivation of human potential and dignity is crucial to the survival of our culture. Feelings, spirit, identity, and relationships are all important ingredients for human development. We exist in order to provide belonging for those who need to belong, care for those who need care, incentive for those who need incentives, achievement for those who need to achieve.

### A Leadership/Service Organization for Youth —

There is no greater gift to the future than a generation of young people who are empowered with leadership skills and deeply committed to employing those skills in their local, state, national and global communities. The challenges to our society require leadership that is ethical, sensitive, and aware of the needs of people and the environment. Without this leadership, our future as a nation and as a world is in peril.

### And some familiar visions

*I have a dream.* — Martin Luther King

*By the end of the decade, we will put a man on the moon.* — John F. Kennedy

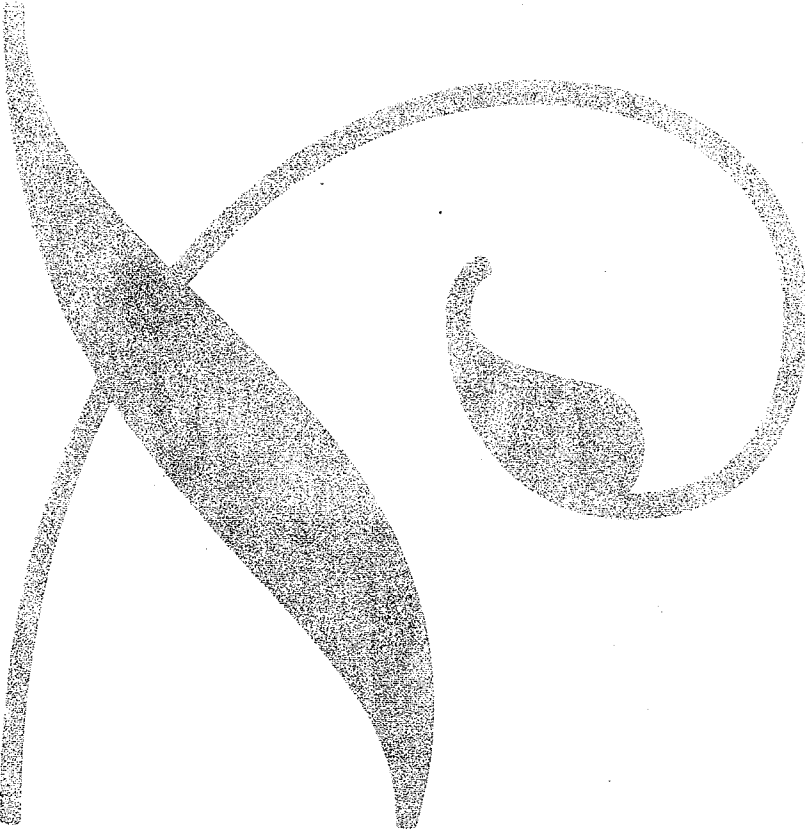


# Chapter II

## *Planning*

---

**Laying the Foundation for Resource  
Development**



# Chapter Contents

<b>Overview</b> .....	<b>19</b>
<b>1. Introduction</b> .....	<b>19</b>
<b>2. What Is “Resource Development”? Isn’t It Really Just “Fundraising”?</b> .....	<b>20</b>
<b>3. Who Should Be Involved in Resource Development?</b> .....	<b>20</b>
Importance of Board Involvement in Resource Development	20
All Board Members Can Be Valuable Fundraisers!	21
Expectations for Board Involvement	22
Building a Fundraising Board	22
Resource Development Committees	24
<b>4. Why Plan for Resource Development?</b> .....	<b>24</b>
Benefits of Resource Development Planning	24
Hints for Successful Planning	25
A Note About Mission, Vision, and Values	26
<b>5. Resource Development Plans</b> .....	<b>27</b>
Definition	27
Contents of a Resource Development Plan	27
What Goes into a Resource Development Plan?	28
<b>6. Twelve Steps for Creating a Resource Development Plan</b> .....	<b>29</b>
Collecting Information for Your Resource Development Audit	30
<b>7. Components of a Resource Development System</b> .....	<b>31</b>
<b>For More Information</b> .....	<b>33</b>
In the Library	33
And on the Web	33
<b>Attachments</b> .....	<b>34</b>
1. Self-Assessment of Resource Development Capacity	35
2. Sample Annual Resource Development Plan	37
3. Sample Resource Development Work Plan	39
4. Resource Development Log	41
5. Log of Funding Sources	42

# Chapter II

## *Planning*

---

### Laying the Foundation for Resource Development



#### Overview

This chapter helps you establish a strong foundation for resource development. It defines and describes resource development, helps your MAA decide who should be involved, and walks you through a process of resource development planning. It also identifies the components of a fully established resource development system and helps you assess your own resource development capacity and identify areas for growth.

#### 1. Introduction

Finding the resources — money, labor, materials, space, etc. — your MAA needs to fulfill its mission is challenging and time consuming. It's easy to get overwhelmed just thinking about it. It's also tempting to look for easy solutions, such as hiring a grant writer and thinking that will meet all your needs. But hiring a grant writer should never be an MAA's first step in the resource development process. Ultimately, the success of your MAA's resource development efforts depends on your laying a strong foundation. The purpose of this chapter is to help you understand what needs to be part of that foundation.

Remember what we said in Chapter 1 — “Overview”? The sustainability of your MAA is not just about having the funding and resources to grow. It's also about having a valid and relevant mission and services, good systems and procedures, and strong relationships. The foundation for resource development encompasses all of these things.

## 2. What Is “Resource Development”? Isn’t It Really Just “Fundraising”?

Resources are all the things that your MAA needs to be able to carry out its mission. This includes things like people’s time (whether staff or volunteers), meeting or office space, computers, paper, a telephone line, postage, and refreshments for classes or meetings. Resources also involve skills and expertise — a volunteer who can design and update a website, for example. And of course *money* is also a *resource*. It’s often what we need to purchase all these other things. However, when you call it *fundraising*, you may limit yourself to thinking *only* about sources of *money*. When you start thinking about *resources*, you look more broadly at all the different things you need run your organization or a program. You may be able to obtain some of these — such as equipment, space, and expert assistance — as non-cash donations. That’s why it is so important to start with a systematic look at what you’ve got, what you need, and where you can go to find it. In other words, you have to start with a plan.

## 3. Who Should Be Involved in Resource Development?

Resource development should never be the responsibility of just one person. Often the Executive Director plays a lead role. Few MAAs have the money to hire a Director of Development. Even if you have such a person, s/he cannot be successful working alone. The Executive Director, key staff and volunteers, and Board members should all be involved. Clients can also help. Often, staff take the lead in writing proposals to public agencies, foundations, and corporations. Board members and volunteers help based on their skills, experience, contacts, and interests. They may be able to help write proposals, introduce staff to potential donors, or talk to potential donors who visit your MAA. Few MAAs have enough staff to handle both program responsibilities and resource development without some Board assistance. Board members and volunteers often play an especially active role in community fundraising.

### Helpful Hint



#### Tips for Emerging Organizations

1. Understand the components of a sound resource development system.
2. Be sure you have broad involvement in resource development, including Board, staff, and volunteers.
3. Get organized: put procedures and systems in place to support your resource development activities.
4. Be ready to track project funding and donors.

### ***Importance of Board Involvement in Resource Development***

Boards of Directors play a crucial role in resource development — especially in raising funds from foundations, corporations, and individuals. Most experts in the nonprofit sector consider resource development to be one of the basic responsibilities of a Board of Directors. The Board is responsible for ensuring that the MAA has the resources it needs to fulfill its mission. As many nonprofit consultants will tell you, Board members should “Give, get, or get off.”

This doesn’t mean Board members have to be rich people or even know rich people. It does mean that your Board needs to be committed to contributing in some way to your resource development efforts. Once Board members sit down and



think creatively about their own resources (knowledge and skills) and their own networks, they'll be surprised at just how *rich* they are.

Why is Board involvement so important in raising money from foundations and corporations? There are many reasons. No matter how totally committed staff are to the organization, or how competent they are in describing the MAA and its programs, funders may view them as motivated at least partially by the need to "raise money to cover their salaries." Board members, on the other hand, aren't getting paid for their efforts. So if they speak to funders on behalf of the MAA, they must believe it is important and effective. In addition, foundation and corporate representatives are often most familiar with large "mainstream" nonprofits whose Board members play a major role in making contact with possible funders. So they expect all nonprofit Boards to be involved in resource development.

Sometimes funders have very limited knowledge about MAAs and the communities they serve. The funders aren't sure how to decide whether a particular MAA deserves financial support. In trying to assess an applicant for funding, they tend to look for evidence that the MAA has credibility and support in its own community. One way to measure this is to look at the Board. An active, committed, knowledgeable Board, willing and able to speak on behalf of the MAA, seems a convincing indication of the organization's stability and credibility. Staff tend to know more than Board members about the details of programs and agency operations, but Board members can describe the MAA in the broader context of community needs. An increasing number of foundations require Board members to be present when they make a site visit to an applicant organization.



### Helpful Hint

Doesn't it "take money to make money"? ... Or, how does my MAA find the resources for resource development?

Yes, you do need some resources to develop more resources. Mostly, your MAA will need to invest some of its precious staff, Board, and/or volunteer time in developing a plan and then carrying it out. You may also want to invest in producing some nice fact sheets or brochures about your MAA.

As you begin to plan, you may find that your staff and/or volunteers need to develop additional skills to carry out their resource development tasks. At this point you may want to participate in training workshops or classes in proposal writing or donor development.

---


### All Board Members Can Be Valuable Fundraisers!

In one youth-oriented MAA, the Board received training in resource development. The Board decided that all members should help with resource development and make a "personally significant contribution." One adult member said that the youth members, all high school or college students, should not be expected to make a personal contribution. All the young people strongly disagreed, saying they wanted the same responsibilities as other members. They all made contributions, and also decided to coordinate a fundraising event with a talent show — and raised several thousand dollars for the MAA.

Similarly, in some MAAs, refugee Board members who have limited incomes can still help

raise money in dozens of ways — among them, contributing handicrafts, selling raffle tickets, and performing traditional music or dances.

---

*Example* 

### ***Expectations for Board Involvement***

Each member of the Board should have two kinds of fundraising responsibilities:

- ♦ To give an annual gift that is “personally significant” — which might mean \$5 or \$5,000.
- ♦ To actively help raise funds or other resources for the MAA.

Involvement in resource development is a new responsibility for many MAA Board members. MAAs often got their first funding from public agencies. Board members’ contacts and skills in resource development were far less important than their knowledge of the community, commitment to the organization’s goals, and willingness to commit their time and energy to getting important services to the community. But that is changing, as MAAs understand the need to diversify their funding base and tap foundations, corporations, and community residents.

### ***Building a Fundraising Board***

A fundraising Board recognizes that helping to ensure that the organization obtains needed resources is one of its principal functions — and works hard to carry out that role. The Board as a whole and Board members individually play an active role in resource development.

Some nonprofit organizations choose their Boards with fundraising in mind, and expect them to play a major role. If your MAA does not have among its Board members several individuals with foundation or corporate contacts, experience with annual or capital campaigns, expertise in special events, or other fundraising skills, you have several options. You can involve volunteers who are not Board members in your resource development efforts, prepare your Board for resource development, and/or add experienced fundraisers to your Board in the future. Perhaps you will be able to do all three!

Here are some specific things to address over a period of several years, to develop and maintain a fundraising Board for your MAA.

- ♦ **Leadership:** Develop or find several Board members — preferably but not necessarily including the current Board Chair — who understand the benefits and importance of having a fundraising Board and are willing to take leadership in creating one.

- ◆ **Overcoming resistance:** Understand why Boards frequently resist fundraising involvement, and take specific action to help overcome this resistance — particularly where it is due to fear of failure, dislike of asking, and/or lack of needed knowledge and skills. (For more help on these issues, see Chapter 7 — “Individuals.”)
- ◆ **Training:** Ensure that Board members receive appropriate training before they are asked to take on new fundraising roles.
- ◆ **New members:** When you bring on new Board members, be sure they recognize their responsibility for and expect to be involved in resource development. Then work with these new members to get the rest of the Board involved.
- ◆ **Annual contributions:** Adopt and implement a policy that all Board members will make a financial contribution to the MAA every year. Amounts may sometimes be small, but every Board member should make a personally significant annual contribution.
- ◆ **Committee:** Establish and maintain an active Board committee responsible for resource development.
- ◆ **Staff support:** Make available staff or consultant time to help ensure that Board resource development efforts are successful and that a sound foundation for fundraising involvement is established and maintained. Agree over time on what roles are best played by Board members and which should be the responsibility of staff.
- ◆ **Flexibility:** Offer Board members a variety of ways to become involved in resource development, so members have some choice and can take on tasks that fit their skills and interests.
- ◆ **Equity:** Ensure that all members are expected to be involved in some aspect of resource development. This role usually is best played by the Chair rather than the Executive Director.
- ◆ **Appropriate approaches:** Often Board members become much more comfortable with fundraising when the organization uses the right resource development approaches. You might hold events where you ask for donations rather than having a set cost. You might focus on events that reflect your culture, such as a New Year’s celebration or a performance of traditional music or dance.
- ◆ **Success:** Ensure that Board involvement in fundraising is structured to maximize the probability of success. This encourages further involvement.

For more information on the Board role in specific types of fundraising, see later chapters, especially Chapter 7 — “Individuals.”

### **Resource Development Committees**

One important way to organize Board involvement in resource development is to form a Resource Development Committee of the Board. Usually the committee includes whichever staff member is most involved in resource development. Many MAAs also invite non-Board members to be part of that committee. Think about involving individuals who have supported your MAA and have some knowledge and/or experience in resource development. Be sure the committee has a clear “charge” including a clear purpose statement, clear structure and membership, and staff support.

Involve your Resource Development Committee in every aspect of resource development, from the preparation of a written resource development plan to guide your fundraising to coordinating community fundraising events.

## **4. Why Plan for Resource Development?**

In many smaller organizations, the typical approach to resource development is reactive. A Request for Proposals (RFP) comes out and you apply, or someone tells you about a foundation and you apply. You respond to opportunities as they arise. For many MAAs, the resource development plan consists simply of meeting the next deadline. Tasks such as preparing materials about your organization, researching potential funders, building relationships with funders, setting up a donor database, and meeting with other community groups and institutions often appear less pressing than immediate client needs. However, getting out proposals in response to RFPs might meet short-term financial needs, but won't provide long-term stability.

Resource development planning can help avoid this situation. It provides a more systematic approach to identifying and meeting your resource needs. Usually, it includes two components. First you assess your resource development capacity and determine your resource development needs. Then you develop a written plan to meet them — very much like the work plan for a funded project.

### **Benefits of Resource Development Planning**

Resource development planning can help your organization in a number of useful ways. It can help you to:

- ♦ **Identify and tap a range of funding sources and reduce dependence on any single funding source** — As noted in Chapter 1 — “Overview,” funding diversity is a critical component of sustainability. Your MAA should systematically seek funding not only from different funding sources but also from different *kinds* of funding sources — private as well as public sources, federal as well as state or local funders.

- ◆ **Organize, focus, and target your resource development efforts** — Resource development planning helps you develop a clear work plan for fundraising, including tasks and activities with deadlines and responsibilities, just as you would for a project. It makes you consider the effort required for carrying out various fundraising tasks and allocate time and resources for these tasks. With such a plan, you can coordinate activities and use available time well.
- ◆ **Identify your combined resource development ideas and expertise** — Among your staff, Board, and volunteers, you probably have more funding contacts, creative ideas, and skills than you imagine. The resource development planning process helps you identify and organize these capabilities, and explore new methods to raise funds.
- ◆ **Give priority to fundraising** — Once an MAA has gone to the trouble of doing a resource development audit and preparing a plan, Board and staff are more likely to give resource development the attention it deserves.
- ◆ **Reduce the mystery and the fear surrounding resource development** — As your MAA considers various aspects of resource development and begins to develop a plan, you will learn the resource development process. This should make the prospect of fundraising less frightening.

### ***Hints for Successful Planning***

Let's assume you're convinced of the value of assessing your resource development needs and capacity and preparing a resource development plan. Here are some hints for successful planning.


- ◆ Be sure you are clear about your mission and program priorities — If you are going to convince foundations, corporations, government agencies, and/or individuals to support your MAA, you will need to be able to explain why the organization exists, what critical service needs it fills, and why it deserves financial support. At a minimum, review your mission, agree on program priorities, and discuss where you want the organization to be in three to five years. That way, you can target your resource development to help you get there.
- ◆ If possible, link resource development planning with strategic planning — The best way to focus your resource development efforts is to begin with strategic planning. First you do an organizational assessment that identifies strengths and weaknesses. Then you ensure a shared vision, review and if necessary refine your mission statement, set organizational goals and objectives, and agree on priority strategies. Then you are ready to prepare a resource development plan to obtain the funds and in-kind support needed to meet those objectives.

---

A Note About  
Mission, Vision, and Values

Knowing who you are, what you do, and why you do it is critical to resource development. Your MAA's staff, Board, and volunteers must be able to clearly and consistently communicate these things to potential funders and donors. At a minimum, your Board should revisit and refine its mission and vision as part of the resource development planning process. Ideally, you should consider engaging in a longer-term strategic planning process to set organizational goals and priorities for the next few years.

---

*Example* 

- ♦ **Do some form of resource development assessment or “audit”** — Review your current fundraising systems and procedures, and honestly review your strengths and weaknesses. This may be a part of the organizational assessment for your strategic plan, or a separate, focused review of funding and fundraising capacity. (Attachment 1 to this chapter provides a quick self-assessment form.)
- ♦ **Determine your resource needs and priorities and set realistic objectives** — Some MAAs operate by raising as much money as they can and spending as little as they can without ever asking themselves: “What do we really need to make this program work?” Asking this question of all your programs and activities will help you use available time and other resources more effectively.
- ♦ **Consider the fundraising environment in which your organization operates** — Learning about the funding sources in your community — and their giving habits with regard to refugee and immigrant issues and services — will help you develop realistic fundraising objectives and plans.
- ♦ **“See yourself as others see you”** — Consider how current and potential funders view your organization. If possible, obtain the perspectives of other non-profit organizations that serve refugees and other community leaders. This helps you “market” effectively, and may suggest needed action to strengthen your relationships. (See Chapter 3 — “Communications” for ways to do this.)
- ♦ **Make resource development planning a shared responsibility of staff, Board, and volunteers** — The involvement of all these groups fosters a sense of shared ownership and mutual responsibility for the well being of the organization. The more involved people are in planning for resource development, the more committed they will be to helping implement the plan.

## 5. Resource Development Plans

### **Definition**

A *resource development plan* is simply a written plan to guide a nonprofit organization's fundraising efforts. The purpose of a resource development plan is to ensure that your fundraising activities are carried out effectively, with all necessary tasks completed in time to contribute to the overall effort and allow your MAA to meet its fundraising objectives.

Resource development planning has two main phases: gathering information and creating the plan. The process of gathering information is typically described as conducting a "resource development audit." A resource development audit is simply an analysis of current and potential resources for your organization and your capacity to raise funds and in-kind resources.

### **Contents of a Resource Development Plan**

A resource development plan can take many different forms. The only requirement is that it be complete and clear. Usually, it is helpful to start out with a one-year plan, although you may also want some longer-term objectives (e.g., to have at least two large foundation grants within two years, or to have a general support base of \$50,000 per year within three years).

If your resource development plan is not prepared as part of a strategic plan, it should include information about the following (If it is part of a strategic plan, much of this information will already be in that plan, and you don't need to repeat it!):

- ♦ **Organizational background and mission.** Start your plan with a summary of your MAA's history and mission. You may also want to include a brief description of your major programs and services and accomplishments.
- ♦ **Organizational status, strengths, and weaknesses.** Based on your interviews with Board, staff, volunteers, clients and other stakeholders, prepare a brief assessment of the organization's strengths and weaknesses in areas such as program quality, staff leadership, Board commitment, funding status, reputation, etc. What makes you unique?
- ♦ **Results of your resource development audit.** This includes a summary of current and past funding and funder relationships, your internal resource development capacity, and (if possible) how you are viewed externally, by current and potential funders and by other nonprofit organizations and community leaders.
- ♦ **Program priorities.** Describe your priorities for resource development, for example: to continue or expand specific projects or activities, raise money to cover administrative costs, or perhaps raise unrestricted funds.

- ♦ **Resources for resource development.** Summarize the resources you plan to commit to resource development, such as staff and volunteer time, the degree of Board involvement you can expect, and what equipment or materials may be needed.
- ♦ **Numerical objectives stating resources to be raised.** Specify the amount of money you need to raise for the year, and then break this down into amounts for specific projects (including projected refunding and amounts to be obtained from new sources) and for administrative costs.
- ♦ **The actual resource development work plan.** This is where you spell out the resource development approaches you will use, write down your resource development objectives, specify tasks and a timeline, and identify possible funders to target. The following kinds of information are usually needed to make the work plan practical and easy to work from:
  - **More detailed numerical objectives** – Specify the amount of funding or in-kind resources to be raised through each approach (e.g., foundation grants, public agencies, special events, volunteer drive). This should include the amount of money to be raised from various types of sources (for example, to raise \$15,000 from a local corporate funder, or to raise \$75,000 from a national foundation), as well as in-kind objectives such as the number of new volunteers you will recruit from a particular source.
  - **Capacity-building objectives** – Specify objectives related to building resource development capacity, such as establishing an active Resource Development Committee, ensuring that the entire Board receives training in special events fundraising, or obtaining computer software to track donations.
  - **Tasks and steps** – List the tasks that must be completed in order to fulfill the outcome objectives. For example, to identify 15 local corporations that are potential funders.
  - **Responsibilities for carrying out each task or step** – List the individuals – staff, Board, or volunteers, who will be responsible for each task. Remember: if several people share responsibility, no one person will feel primarily responsible. Try to identify one key person or committee responsible for each task and also indicate who will assist. Be sure to

## What Goes into a Resource Development Plan?

---

A Resource Development Plan should be practical and easy to use. It should include the following kinds of information.

- ♦ **Total funding needs for the year** as well as needs by project or component.
  - ♦ **Specific objectives** stating the amount of money you aim to raise from different types of funders and also addressing the development of increased resource development capacity within your MAA.
  - ♦ **A work plan**, including activities, responsibilities, and time deadlines, to ensure that you meet your objectives.
- 





clearly identify Board responsibilities, from making contacts and participating in meetings with potential funders to taking major responsibility for special events or fundraising from individuals.

- **Time deadlines for completing each task**, so that each task leads to the next, and the entire work plan is carried out on schedule.
- **Where necessary, an explanation of how task completion will be judged** — For example, a Resource Development Committee has been “established” when it has at least five members, has met once, and has developed a meeting schedule for the next six months.

## 6. Twelve Steps for Creating a Resource Development Plan

How do you conduct a resource development audit and prepare your resource development plan? Here are 12 steps to follow.

**Step 1 — Agree on the scope of your resource development audit and plan.** Talk to your Board, staff, and key volunteers, and be sure there is agreement on the need for a plan. Review the brief resource development plan included at the end of this chapter (see Attachment 2) or ask to see the plan from another organization. Look at the contents of a resource development plan (described in Section 5 above). Then decide how detailed your report will be and develop an outline to reflect the information you wish to collect in your resource development audit and include in your resource development plan. If you have very limited time and resources, agree to complete a quick resource development self-assessment (like the one in Attachment 1). If you have more time and resources, or can make the resource development audit a part of your strategic planning, agree on the kinds of information you will collect from people outside the organization.

**Step 2 — Decide who will carry out the resource development audit and prepare the written plan.** Gathering information and writing the plan will take several weeks or months to complete. Someone needs to make the time to do it. Decide who will coordinate the effort — ideally a small committee or task force including Board, staff, and volunteers. You may want a consultant — paid or volunteer — to coordinate the effort. Or you may be able to afford a day or two of consultation, but do most of the work yourselves. In some cities, groups like the Foundation Center or the local chapter of the Association of Fundraising Professionals may provide volunteer consultation on resource development planning. Perhaps you can arrange for a college student “intern” to do some of the information collection.

**Step 3 — Agree on a work plan with timeline.** Lay out the tasks, assign responsibilities, and set deadlines. Be sure that someone is responsible for carrying out each of the following steps, and any other tasks you may define.

**Step 4 – Develop checklists or surveys that specify the information to be obtained, both internally and externally.** At a minimum, you will want to obtain information from Board members and staff through interviews or survey forms. Hopefully, you will also be able to interview some funder representatives and possibly other “stakeholders.” Past and current funders may be very willing to speak with you. In fact, they’ll be happy you are doing this!

**Step 5 – Review organizational materials,** including budget information (revenues and expenses for last year and this year), funding sources, mission statement, capability statements, proposals, annual reports and other program or organizational reports, evaluations, etc. Use this information to better understand program priorities, organizational resources and resource needs, and organizational systems and capacity for resource development.

**Step 6 – Collect information through interviews and/or surveys.** Interview and/or survey the Executive Director, key staff and volunteers, and Board members, and other “stakeholders” as determined in Step 4. If time or resources are limited, ask people to complete self-administered surveys and return them by e-mail, fax, or mail. With funders, make an appointment and conduct a personal or telephone interview. Aggregate information (tabulate responses and summarize comments) as it is received, combining results by type of respondent (e.g., Board, staff, funder).

**Step 7 – Prepare and present a written summary of the “findings” from the information collection process.** Have a team of 2-3 people review the information from Step 6 and prepare a summary report of what you learned. Also include

## Collecting Information for Your Resource Development Audit

---

Collect information from your MAA’s Board, staff, and key volunteers and clients about:

- ♦ Their perceptions of the organization’s mission and why the organization needs to exist.
- ♦ What makes your MAA unique.
- ♦ Your MAA’s most important program priorities, including new programs you need to establish.
- ♦ What your MAA does well and what it could do better.
- ♦ Their own experience and involvement in resource development, what additional training they may need or be interested in receiving, and whether they are interested in becoming more involved in resource development.
- ♦ Their ideas about possible resource development strategies the MAA could be trying and activities that could help increase the visibility of your MAA.

Past, current, or even potential funders will be able to provide input on the following:

- ♦ The aspects of the organization that are most attractive to the funder, other foundations, or corporate funders.
- ♦ Problematic aspects of the organization from a funder’s perspective.
- ♦ Ways the organization should market itself to obtain more and larger grants.
- ♦ Other activities that would help the MAA increase its visibility and raise funds.



observations from the materials review in Step 5. Present the information to the Resource Development Committee or the full Board and staff at a meeting or retreat.

**Step 8 – Agree on resource development objectives, priorities, and strategies.** If you have a Resource Development Committee, it should take responsibility for this decision making. If not, use a task force or perhaps your Board's Executive Committee and key staff. Review what you have learned, discuss issues and alternatives, and agree on what you want to do. Be sure your planned approach builds upon current experience and information.

**Step 9 – Prepare a resource development work plan.** Use the results of your resource development audit and the decisions from Step 8 as the information for the work plan. While your work plan may be brief, it should be very specific regarding measurable resource development objectives, funding priorities, targeted funding sources, planned strategies for fundraising, communications activities that support fundraising, capacity-building objectives, and specific tasks, responsibilities, and timeline.

**Step 10 – Obtain approval of the resource development plan.** Discuss the resource development plan in detail with the entire Board, staff, and key volunteers. Make sure everyone understands and supports the resource development plan. Have the Board formally adopt it, based on a recommendation from the Resource Development Committee or the task force that developed the plan.

**Step 11 – Establish a process for reviewing progress on the resource development plan and revising it as needed.** This is a good task for the Resource Development Committee, with help from specific staff. Include preparation of an updated resource development plan each year, as part of your annual planning process.

**Step 12 – Implement the resource development work plan – and monitor progress and challenges.** Use it as your roadmap for resource development. At least once a quarter, review how you are doing in meeting your objectives and carrying out your work plan. Celebrate your success, and try to understand reasons for any lack of success, so you can do better in the future.

## 7. Components of a Resource Development System

As you lay the foundation for resource development through Board involvement and planning, you should be working toward a comprehensive resource development system. It will probably take several years to design and put in place, but if you are clear about what you are working toward, you can make progress each year on establishing systems and procedures and developing written materials.

When you put all the pieces together, what should your resource development system look like?

You should have *Board Systems and Procedures*:

- ♦ The Board should approve your MAA's mission statement and annual program and financial objectives.
- ♦ The Board should approve the annual resource development plan, with clear objectives, tasks, timelines, and responsibilities.
- ♦ The Board should have a Resource Development Committee that is chaired by a Board member and meets regularly.
- ♦ The Board should receive orientation and training to prepare members for meeting their resource development responsibilities. Training should be ongoing.
- ♦ The Board should have a process for reviewing resource development progress and making improvements as needed.

You should have *Support Materials and Systems*. These should include:

- ♦ A “**library**” with fundraising directories or guides to seeking funds and preparing proposals. Don't forget to add this *Resource Development Handbook* to the shelf! -
- ♦ **Donor files** arranged alphabetically or by other categories. Use a separate file for each potential funding source, keeping all letters and other correspondence, annual reports, and other materials in the file. You may want two sets of files: one for potential funders and one for current funders.
- ♦ A **Resource Development Log**, indicating potential funder name, contact, and address; meetings planned or held; proposals or other materials submitted; and results including amounts given or reasons for refusal. Update the log monthly; make it easy to maintain on a word processor or through a hand-written or typed form (See Attachment 3 for a sample Resource Development Log).
- ♦ A **log of current funders**, similar to the fundraising log, including funder contact information, amount given, purposes of grant, reporting requirements, date when renewal proposal should be submitted, meetings, and other follow-up (See Attachment 4 for a sample Log of Funding Sources).
- ♦ A **regularly updated list of funding sources**, compiled from the above log. Make this an attachment to your proposals. It describes the project or general support purpose of each grant, and provides the amount and funding period. Include all grants received during the past two or three years.
- ♦ **Fundraising materials**, including letters, case statements or general support proposals, and supporting materials that go with most proposals (such as proof of tax-exempt status and summary resumes for key staff). All these materials are defined and explained in Chapter 5 — “Proposals.”

These first steps in the resource development process lay the foundation for resource development. They help you gather much of the information needed to “market” your MAA to potential funders, donors, and volunteers. How you package this information into an effective message about who you are, what you do and the difference you make in the community is the topic of our next chapter.

## For More Information

---

### *...in the Library*

**Ciconte, Barbara L., and Jeanne Jacob. *Fund Raising Basics: A Complete Guide*, 2<sup>nd</sup> Edition. Sudbury, MA: Jones & Bartlett Publishers, 2001. 438 pages, \$49.95.**

An excellent comprehensive guide for fundraising, with sections on funding sources and approaches from corporate giving to direct mail, as well as process issues such as Board and staff roles in fundraising and using technology including software and the Internet. Provides an introduction to fundraising and lots of support on systems development and building capacity. Includes many worksheets.

**Howe, Fisher. *Fund Raising and the Nonprofit Board*, 2<sup>nd</sup> Edition. Washington, DC: National Center for Nonprofit Boards, 1998. 16 pages, \$9.**

Examines five key principles of fundraising as they pertain to nonprofit Board members. Includes a Board member’s fundraising checklist, and a brief bibliography.



### *....and on the Web*

#### **BoardSource: Building Effective Nonprofit Boards**

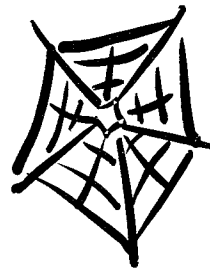
<[www.boardsource.org](http://www.boardsource.org)>

Source for many publications about Board roles, such as “Fundraising Responsibilities of Nonprofit Boards” and “Presenting: Fund-Raising — The Board Member’s Role in Resource Development.”

#### **Jones & Bartlett Publishers**

<[www.nonprofit.jbpub.com](http://www.nonprofit.jbpub.com)>

Many useful fundraising materials, including previously out of print items, are now available from this source.



## Attachments

1. Self-Assessment of Resource Development Capacity
2. Sample Annual Resource Development Plan
3. Sample Resource Development Work Plan
4. Resource Development Log
5. Log of Funding Sources



Tool



# Self-Assessment of Resource Development Capacity

**Note:** Score 2 points for every “yes,” 1 point for every “partly,” and no points for a “no.” The maximum score is 60 points.

Component	Yes	Partly	No
<b>Part I — Organizational Sources and Stability of Funding</b>			
1. Does your organization have enough funding sources so that less than one-third of its funding comes from any single funding source?			
2. Does your organization receive at least 25% of its funding from private sources (sources other than local, state, or federal agencies)?			
3. Is at least 60% of your organization's funding relatively secure — that is, are you confident that its current sources will continue to provide about the same level of support for at least the next two years?			
4. Do you have some formal process (such as an annual solicitation letter) for seeking individual contributions?			
5. Do you have a formal goal or plan for diversifying your funding sources to avoid dependence on any single type of funding?			
<b>Planning and Evaluation</b>			
6. Does the organization have a written long-range or strategic plan for where it wants to be in three to five years?			
7. Does the Board approve an organizational budget, including projected revenue sources and expenditures, each year?			
8. Does the organization have a written resource development plan?			
9. Does the organization have a process for regular program oversight and evaluation?			
<b>Resource Development Activities</b>			
10. Does your Board have an active Resource Development Committee?			
11. Has the Board received special orientation, training, and materials designed to prepare them to visit potential funding sources and otherwise participate actively in fundraising?			
12. Does your organization have a policy that all Board members will make an annual financial contribution to the organization (regardless of amount)?			
13. Do Board members regularly make personal visits to potential funding sources, along with the Director?			



Component	Yes	Partly	No
14. Do all management staff (Project Director and above) have some specific training in proposal writing or other aspects of fundraising?			
15. Are staff responsibilities for resource development clearly defined, with work time specifically set aside for resource development?			
16. Is there a process for involving current or former clients and other volunteers in the fundraising process?			
<b>Support Systems and Materials</b>			
17. Does the organization have organized fundraising files and systems to ensure that information on potential funders, correspondence, and fundraising materials are systematically maintained and easily accessible?			
18. Does the organization have a written mission statement and capability summary?			
19. Does the organization have a general support proposal or "case statement," to use in seeking flexible funding?			
20. Does the organization maintain an approved set of supporting materials such as a Board of Directors list, summary staff resumes, and annual operating budget?			
<b>Part II — Staff Capacity</b>			
21. Does someone on your staff know how to do systematic research on potential funders, public or private, using written guides?			
22. Has someone on your staff done organized fundraising research using technology such as the Internet or a CD-ROM database?			
23. Do members of your senior staff, in addition to the Executive Director, participate in meetings with potential funders?			
24. Have your staff written proposals for foundations?			
25. Have your staff written proposals for corporations?			
26. Have your staff written proposals in response to a Request for Proposals (RFP)?			
27. Have your staff written at least one letter proposal?			
28. Have your staff prepared at least one letter of inquiry?			
29. Is someone on your staff experienced at editing or reviewing proposals written by other staff or consultants?			





## Tool

## Sample Annual Resource Development Plan

### A. Funding Needs

To carry out its program priorities, our MAA will require funding of \$225,000 this year. Of this amount, \$100,000 has already been raised through multi-year funding from a public agency. Funds to be raised include the following:

- ◆ **Project X:** \$60,000 (continuation and expansion)
- ◆ **Project Y:** \$45,000 (new project)
- ◆ **Unrestricted/flexible funding:** \$20,000

### B. Resource Development Objectives

Our MAA has identified the following objectives related to resource development and related organizational development:

#### Fundraising Objectives:

1. To raise \$60,000 by the third quarter to continue and expand Project X.
2. To raise funding of \$45,000 by the end of the year to initiate Project Y.
3. To raise \$20,000 in flexible or unrestricted funding for upgrading equipment and carrying out various administrative and fundraising activities.
4. To raise at least \$10,000 of the \$100,000 through a fundraising event.
5. To have the Board generate at least \$2,000 of this \$100,000, through contributions and other fundraising assistance. These funds will be used wherever they are most needed.

#### Other Resource Development and Related Organizational "Process" Objectives:

1. To develop an updated organizational vision and mission statement for resource development use.
2. To have a fully functioning Resource Development Committee by the end of the first quarter.
3. To publish an annual report for last year and disseminate at least 500 copies.
4. To obtain a multi-year public- or private-sector grant by the end of the current year, for either Project X or Project Y.
5. To obtain new funding from at least two foundations by the end of the current year.





6. To get funding from at least one corporate funder this year.
7. To have 100% of Board members make contributions to our MAA this year.
8. To have every Board member provide some form of resource development assistance on behalf of our MAA this year.

### **C. Tasks and Timeline**

Following is a suggested work plan for resource development, including major tasks and completion dates.



Tool

# Sample Resource Development Work Plan



	Task	Complete by	Ongoing?
1.	<b>Prepare an organizational vision and mission statement for use in fundraising</b> <ul style="list-style-type: none"> <li>◆ Discuss the long-term vision for MAA .....January</li> <li>◆ Revise MAA's mission statement .....March</li> </ul>		
2.	<b>Establish a Resource Development Committee</b> <ul style="list-style-type: none"> <li>◆ Obtain Board resolution establishing committee .... January</li> <li>◆ Identify Chair from among Executive Committee members ..... January</li> <li>◆ Identify at least 3 Board members to serve ..... January</li> <li>◆ Identify at least 2 non-Board members to serve .....February</li> <li>◆ Hold first meeting .....March</li> </ul>		
3.	<b>Prepare and disseminate an annual report for the previous year</b> <ul style="list-style-type: none"> <li>◆ Collect information .....March</li> <li>◆ Obtain in-kind or low-cost layout and printing .....April</li> <li>◆ Prepare report .....May</li> <li>◆ Prepare dissemination list .....May</li> <li>◆ Disseminate report .....June</li> </ul>		
4.	<b>Have 100% of Board members contribute to the MAA each year</b> <ul style="list-style-type: none"> <li>◆ Announce/implement policy .....January</li> <li>◆ Remind Board members of policy (Resource Development Committee Chair) .....At each Board meeting</li> <li>◆ Have 100% contributions .....December</li> </ul>		
5.	<b>Have every Board member provide some form of resource development assistance on behalf of the MAA</b> <ul style="list-style-type: none"> <li>◆ Identify funder contacts on potential and current funder chart provided by staff .....January and July</li> <li>◆ Prepare donor packets for Board use .....February</li> <li>◆ Include fundraising interest and capacity as a priority for recruitment of new Board members ...March</li> <li>◆ Specify Board fundraising expectations to include in orientation for new Board members .....April</li> <li>◆ Provide Board training session to enhance fundraising skills and involvement ..... July</li> <li>◆ Have the Board raise a combined total of \$2,000 for use wherever it is most needed .....December</li> </ul>		



	Task	Complete by	Ongoing?
6.	<b>Hold one special fundraising event</b>		
	♦ Agree on event	April	
	♦ Plan and market event	May-October	
	♦ Hold event	October	
	♦ Review experience and decide on event for next year	November	
7.	<b>Have Executive Director make at least two fundraising trips to visit foundations and corporations</b>		
	♦ Identify key cities/states	February	
	♦ Make visits in association with other scheduled events		Ongoing
8.	<b>Obtain at least one significant multi-year public or private grant</b>	December	
9.	<b>Obtain one corporate grant</b>		
	♦ Research corporations interested in MAA's work	March	
	♦ Prepare general support proposal to request flexible funds	April	
	♦ Make contact with at least five potential corporate donors	May	
	♦ Submit proposal to at least three potential corporate donors	June	
	♦ Follow up with potential donors		Ongoing
	♦ Obtain corporate funding	October	
10.	<b>Add at least two new foundation funders</b>		
	♦ Use guides and contacts to identify at least 10 potential foundation funders	January	
	♦ Obtain assistance from Board members and friends in contacting foundations		Ongoing
	♦ Make contact with foundations (telephone or visits)	March	
	♦ Determine what to request from each foundation	April	
	♦ Prepare foundation proposals		Ongoing
	♦ Submit proposals		Ongoing
	♦ Follow up		Ongoing
	♦ Obtain at least two foundation grants	December	

Tool



# Resource Development Log

Name of Potential Funder	Contact, Address, Telephone, Fax, e-mail	Initial Contact — Type and Date	Description of Proposal or Other Materials Sent	Amount Requested	Date Sent	Results and Follow-up

Attachment 4

Attachment 5

Log of Funding Sources

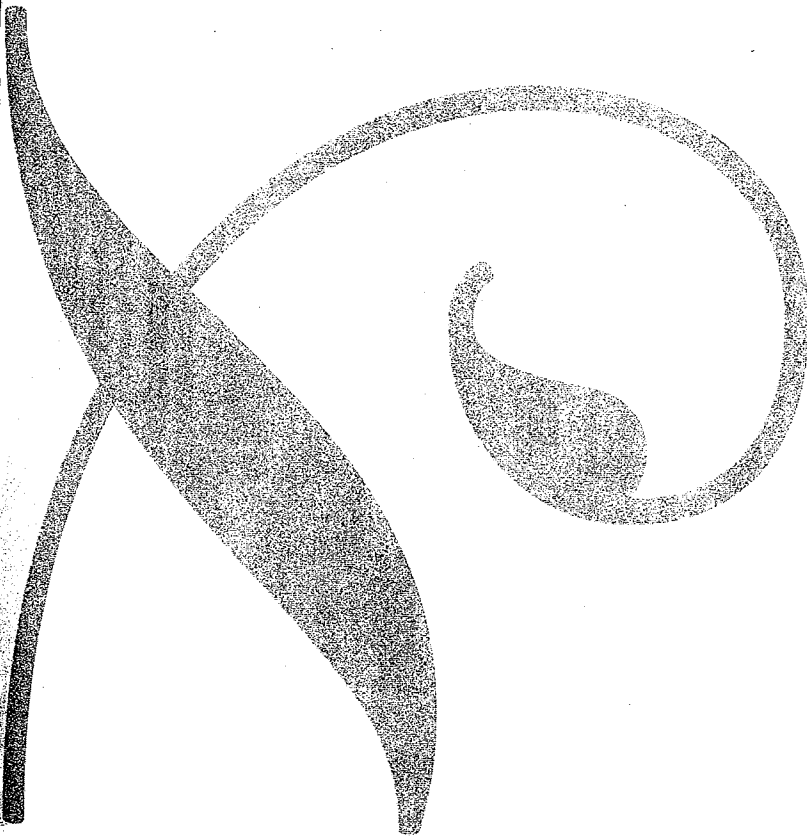
Name of Funding Source	Contact, Address, Telephone, Fax, e-mail	Purpose of Grant	Amount of Grant	Grant Period	Reporting Requirements and Due Date for New Proposal	Record of Reports or Other Contacts



**Chapter III**  
***Communications***  

---

**Telling Your MAA's Story**



# Chapter Contents

<b>Overview</b> .....	<b>43</b>
<b>1. Introduction</b> .....	<b>43</b>
<b>2. The Basics of Communications</b> .....	<b>44</b>
Defining Strategic Communications	44
Addressing Key Communications Questions	44
Advice on Communications	45
<b>3. Getting Started</b> .....	<b>46</b>
The Importance of Starting with Your Own Community	46
Reaching the Broader Community	47
<b>4. Preparing an Organizational Message</b> .....	<b>47</b>
Tips on Developing an Effective Organizational Message	48
<b>5. Developing a Media-Focused Strategic Communications Plan</b> .....	<b>49</b>
Messages That Build Support among Mainstream Audiences	50
MAA Press Book	52
<b>6. Tools for Media Success</b> .....	<b>53</b>
Media "Mailing" Lists	53
Website	54
Free Media Relations Workshops	54
Annual or Multi-Year Report	55
Take Advantage of Every Opportunity!	56
<b>7. Talking to the Media</b> .....	<b>56</b>
Talking with Any Media Representative or Audience	56
A Word of Caution	57
Talking with Broadcast Media (Radio or Television)	57
Talking with the Print Media	58
Public Relations — Hot Tips	58
<b>For More Information</b> .....	<b>60</b>
In the Library	60
And on the Web	60
<b>Attachments</b> .....	<b>61</b>
1. The Top 10 Ways of Getting Press in the 21 <sup>st</sup> Century	62
2. How to Write an Effective News Release	63
3. Elements of a Press Advisory and Elements of a Press Release	65
4. How to Compile an Effective Media List	68
5. How to Prepare for — and Give — Great Media Interviews	69





# Chapter III

## *Communications*

---

### Telling Your MAA's Story



#### Overview

This chapter suggests practical ways to use communications to improve your visibility and credibility with the media, potential and current funders, policymakers, and others. It helps you prepare an effective mission statement and "organizational message" describing your MAA. And it walks you through the development of a media-focused communications plan. The Attachments provide a set of sample communications materials developed by the National Immigration Forum. These are particularly appropriate for use by more established MAAs with experienced staff, Board members, and community volunteers.

#### 1. Introduction

In almost every aspect of your resource development efforts — proposal writing, meeting with potential donors, and meeting with potential collaborative partners — you will need to tell your MAA's story in a clear, concise, and compelling way. You will need to be able to communicate to a variety of audiences — including members of your own ethnic community, institutional funders, individual donors, potential partners, media, and policymakers — why you exist, who you are, what you do, and the difference you are making in the community. As an MAA, you probably consider it part of your mission to educate the broader community about the needs of and issues facing your community.

Finding the best way to tell the story of your MAA and your ethnic community takes thought, creativity, and skill. How do you do this? Once again, you need a plan — a

*communications plan.* A good communications plan can help your MAA increase its visibility and credibility — thus enhancing your resource development efforts — and educate the broader community about your issues. The scope of that plan and the resources you devote to communications activities will depend upon many factors, including your MAA's size, human resources, and experience. Every MAA benefits from consciously planning how to tell its story, and linking these efforts to resource development. Almost all funding sources are more likely to contribute to your MAA if they already know about your work, and if local media have provided positive coverage of your organization.

Remember that almost everything you learn about working with the media also helps you work with your broader public(s) — potential funders, decision makers, and elected officials. Many of the same strategies can also help you enhance visibility within your own ethnic community.

## 2. The Basics of Communications

In the last few years, nonprofit organizations have become much more savvy about using strategic communications to advance both their organizations and their issues. Large nonprofits, especially those that focus on advocacy, often have a staffperson (Director of Communications) who does nothing but that.

### ***Defining Strategic Communications***

What do we mean by strategic communications? The California Wellness Foundation, a health-focused grantmaker, defines it this way:

“Strategic communications is identifying specific messages and information, deciding to whom you will convey them, thinking about why you want to disseminate them to your chosen audiences, selecting how you will get that word out, then measuring the results of the effort.”

Developing a full strategic communications plan takes time and expertise, and may not be a good use of resources for a small or emerging MAA. However, your MAA — regardless of its size or experience — should be thinking about, discussing, and developing a basic communications plan. Communications always answers the question: *Who says what to whom?* So, your plan should, at a minimum, identify the key target audiences for communicating about your MAA, determine the messages and materials you will develop for these audiences, and identify who, from your MAA, will be doing the communicating.

### ***Addressing Key Communications Questions***

What are the key things your MAA needs to think about to answer the question: *Who says what to whom?*

- ♦ **The target audience** — *To whom* do you need to communicate? Who needs to know about and understand the work of your MAA? Think about the different audiences you might need to reach. Possible audiences might include: your own community, funders, prospective individual donors, policymakers, media, and your MAA's partners.
- ♦ **The messages and materials** — *What* should you say? What is it that you need to communicate to each of these audiences? If you are talking to a prospective funder, what are the most important points you need to convey about how your MAA is making a difference and is worthy of funding? If you are talking to the media, for example, what are the most important things you need to convey about your community? How can you best communicate — most persuasively and most effectively — with your target audiences? Through the mainstream or ethnic media? On the Internet? We will say more about this in the pages that follow.
- ♦ **The spokespeople or “messengers”** — *Who* should be speaking on behalf of and for your MAA? MAA staff and Board members are most often your official spokespeople, but there are times when another messenger may be more effective or persuasive. In determining how the audience responds, the people who speak on your behalf are almost as important as the messages they send. Your MAA's refugee clients are often the most believable and persuasive messengers. However, “unusual messengers” can be extremely effective in delivering pro-refugee or pro-immigrant messages. For example, because of their jobs or positions in the community, clergy, law enforcement officials, public safety workers, elected and appointed officials, business and labor leaders, teachers, and children carry a great deal of weight. They can be extremely helpful in communicating on behalf of your MAA.

Developing and carrying out a basic plan that addresses these key questions will help your MAA achieve two important goals: increasing your **visibility** and building your **credibility**.

## Advice on Communications

---

In describing its own approach to communications, the California Wellness Foundation provides some advice that MAAs may also find useful.

“Strategic communication is also about having the sense not to use precious resources to communicate with the media when the target audience can be reached in more effective ways. It's about acknowledging the need for multilingual communications in a state like California that hosts the number-one markets for Spanish-language media and several influential Asian-focused newspaper chains ...

“We also push ourselves to explore new ways of communicating, thanks to fast-paced advancements in technology and the World Wide Web. At the same time, we remain sensitive to the digital divide so that we don't inadvertently leave out audiences with no Internet access or give the information edge to organizations that have Internet access.”

---



*Helpful Hint*



**VISIBILITY** and **CREDIBILITY** are closely interrelated. An MAA is unlikely to keep receiving positive media coverage if it is not respected within its own ethnic group and the community at large. Remember also that visibility can be negative as well as positive. If your MAA falls victim to negative media coverage, it will take a long time to change that bad public image, to become credible again. But as in so many other aspects of your work, being prepared and taking the initiative can help defuse negative media attention. A good offense is the best defense.

**What is visibility and why is it important?**

**Visibility** is the extent to which your MAA's name and programs are known to people in your own ethnic neighborhood, to the broader community, and to people and groups of special importance to your MAA, such as the media, potential funders, government officials, and other decision makers. Many MAAs have high visibility within their own local ethnic community but are almost unknown to the wider community. Regardless of how effectively you serve your community, funders and policymakers are most likely to listen to and work with groups they have heard about through the mass media or people they know personally.

**What is credibility and why is it important?**

**Credibility** is the extent to which other people and organizations consider your MAA to be knowledgeable, competent, and an authentic voice of your ethnic community. The media and responsible public officials will contact leaders of a credible group for their opinions about events and issues — because they are considered accurate and trustworthy spokespersons. If you have credibility, the concerns and recommendations you voice on behalf of your MAA are likely to be taken seriously by decision makers. Even policymakers who do not agree with you will take note of your viewpoints.

Developing credibility requires having accurate information on key issues, providing written materials or oral statements about these issues to the media and to policymakers at appropriate times, and (where possible) having respected individuals or organizations endorse your MAA's positions or statements. You will know you have established credibility when you start getting phone calls from reporters asking for your opinions and reactions to major events related to your issues or community. A truly credible MAA is usually asked for its opinion by the media and by key policymakers — because they feel their assessments are not complete without your MAA's input.

### **3. Getting Started**

#### ***The Importance of Starting with Your Own Community***

For MAAs in particular, communicating with the people you serve is an important place to start. Regular, open communications are key to earning and maintaining their confidence and support. You can use a variety of means — newsletters, community meetings, even cable access television shows — to keep members of your ethnic community informed about both your MAA's accomplishments or new initiatives, as well as about issues that affect them, such as changes in immigration laws or eligibility for health care. They'll spread the story by word of mouth. Your relationships and credibility within your own ethnic community also influence your resource development results. Nothing turns off potential funders more than controversy and conflict inside a community that is unfamiliar to them. You need people "in the family" — within your overall ethnic community as well as inside the MAA itself — talking positively about your MAA and its



work. By staying connected with them and keeping them informed, you prepare your constituents and clients to carry your message to the broader public.

### ***Reaching the Broader Community***

Once your MAA becomes a respected voice within your own community, you are ready for a wider communications effort, designed to make the MAA visible and credible with the media, funders, the general public, and/or policymakers. Ideally, this effort should begin as soon as the MAA has established itself and has the necessary personnel and expertise. You can make this happen sooner by looking for some media and communications specialists to serve on your Board or on a Communications Committee. Recruit them with the clear understanding that they will take primary responsibility for coordinating the development of your communications plan and helping to implement it. The focus of your communications work will depend somewhat on your purposes and priorities.

Clearly, one way to reach large numbers of people outside your own ethnic community — including policymakers and other key decision makers — is through the mass media. That should be the main concern of most MAAs seeking to be visible and to diversify their resource base. Thus, a major section of this chapter will focus on developing a plan for relating to and through the media. Remember, too, that you can enhance your visibility and credibility in your own community through ethnic media. This does not mean that you should concentrate only on the media. But it is usually an important component of your communications effort.

But before you target the media, be sure you have a clear and compelling way of describing your MAA and its work. You will use this in proposals and brochures, and you will include some of its most important content when you tell your story to the media.

## **4. Preparing an Organizational Message<sup>1</sup>**

One of the most important requirements for “marketing” your MAA to funders, volunteers, and other potential supporters is a clear, consistent, effective organizational description — an organizational “message” that communicates the essence of your organization, including its purpose and scope of activities, its target population, and its uniqueness. The “message” can help you gain positive visibility and support from other nonprofits, public agencies, and individuals. It is especially important as part of your resource development efforts. This “message” includes your mission statement, and some other information as well.

Your MAA’s organizational message must be accurate and it should be effectively stated, communicating what your MAA is and does, and why it is important. Put in a letter of inquiry, a letter accompanying a proposal, or near the begin-

<sup>1</sup> The material on organizational messages was prepared by Emily Gantz McKay of Mosaica and Aliza Mazor of Shatil.

## Tips on Developing an Effective Organizational Message

---

An organizational message should:

1. **Provide a clear understanding of your MAA's purpose or mission** — why it exists, including its mission and long-term goals. Include a brief “tag line” or mission summary that communicates who you are in a single sentence.
2. **Describe who your MAA serves, what services are provided, and what results your MAA achieves.** This includes the following:
  - ♦ **Your service area and target population.** Is your MAA local in scope, serving a particular geographic area (e.g., a particular city, metro area, or state)? Does it focus on a particular ethnic group or perhaps a subgroup within in that ethnic group — e.g., Somalis, Southeast Asians, African youth, Vietnamese elderly, refugee women and children? Differentiate between the organization's location (where it has offices) and its service area, since MAAs may have only a single office but serve a large area.
  - ♦ **The scope of activities or program focus of your MAA.** Does it provide direct services, advocacy, public education, and/or some other function? Does it focus on a particular program area, such as education, women's issues, primary health care, or employment?
  - ♦ **Your results and impact** — the difference your work makes to your clients and their family and ethnic community, and how it benefits the broader community as well.
3. **Explain what is special or unique about your MAA.** Is it the only organization of its kind, the only one in its community, the only one using a specific approach, the only one with a particular kind of structure? Whatever is special, unusual, or unique should be clearly stated.
4. **Provide basic information about the organization's legal status or affiliation.** Is it an independent nonprofit organization with its own tax-exempt status? A project of a larger organization? Was it started by, or is it closely associated with, some other entity that may be known to funders?
5. **Make the reader want to learn more about your MAA** — both through the content of the message and through presenting it effectively. A well-written message should sound interesting and exciting. For example, it should:
  - ♦ Be clear and specific (e.g., *provide tutoring, sports activities, and other special attention to refugee youth to help them succeed in school and become comfortable in their new home*, NOT *just provide psycho-social services to refugee youth*).
  - ♦ Avoid clichés and vague terms (e.g., *consciousness raising, holistic approach, innovative treatment*).
  - ♦ Use **active** rather than *passive* verbs.
    - E.g.: ***“The Children's Center introduces young refugee children to art and music as they take painting and sculpture lessons and perform in the Center's orchestra.”***
    - NOT *“At the Children's Center, children are introduced to art and music through weekly art lessons and the opportunity to be a part of the Center's orchestra.”*
6. **Be clear and understandable to specific target audiences** like funders and policymakers, to your own community, and to the general public.
  - ♦ For example, your name may not automatically communicate anything, so explanation may be required. Many names, including acronyms, may have meaning in your culture or language, but have no obvious meaning to someone from outside your community. For example, a Croatian refugee group is called *Nona*, which means “grandmother” in Dalmatian. Some acronyms are chosen because they also have an independent meaning (like RAICES, which means *roots* in Spanish), while others simply sound nice.
  - ♦ Other names have a positive connotation, but will not communicate the nature of your work unless explained; for example: *My Neighbor, My Sister's Place*. Other names do suggest what the organization does or the group it serves, such as *People of Color AIDS Coalition* and *Somali Cultural Center*. Some organizations provide both a short and easy-to-remember name and a suggestion of what they do; for example, *El Centro: The Family Educational Support Center*.



ning of a proposal, an effective organizational message encourages a foundation or corporate staff member or trustee to learn more about your organization by reading the materials you have sent.

Use your organizational message consistently in all your resource development and media materials — especially the summary mission statement. It helps to define your organization and provide a clear image. The level of detail and the amount of explanation may need to be “tailored” for various funders, and you may emphasize different aspects of the organization if you are seeking funding for a particular project or type of activity. However, maintaining a consistent basic content and using the same key words help you increase donor knowledge about your MAA and communicate a clear message to all outside groups and individuals.

## 5. Developing a Media-Focused Strategic Communications Plan

This section offers a model for a detailed, media-focused strategic communications plan. A strategic communications plan is a vital, planned function of your MAA’s program. Normally, the functions of a communications plan are assigned to one person, who coordinates its day-to-day implementation. *However, the planning and execution of a communications plan involves everyone in the MAA, including the Board of Directors, staff, community people, and selected allies.* Everyone in your MAA should be aware of and involved in the communications plan, contributing ideas and effort where appropriate.

All communications activities in your MAA should be carried out based on the agreed-upon plan. For a small community-based MAA, this plan will usually be developed by the group which guides the MAA — whether an informal committee or your Board of Directors. It is very important that the MAA’s leadership agree on the plan. It doesn’t need to be complicated, and you shouldn’t feel that you have to do everything this year, or even next year. What’s important is that your group designs and “owns” the plan, and uses it as the roadmap for all strategic communications activities. Eight steps in developing a good and effective strategic communications plan are outlined below.

**Step One — Agree upon what your MAA expects to accomplish through its communications activities.** This means setting some short-term and long-term objectives. Several types of objectives should probably be included. Here are some examples:

- ♦ **Organizational Visibility** — To make the existence, purposes, and programs of your MAA known to residents of your city or county and demonstrate that your MAA makes a real difference in the life of your community.
- ♦ **Public Education** — To inform the public and policymakers about specific community problems, such as schools that are not effectively educating refugee children, lack of multilingual health and hospital emergency services, need for low-cost housing for incoming refugees, etc.

- ♦ **Public Image** — To change public attitudes about a particular problem or target group, such as to eliminate the negative stereotype that “all refugees are on welfare,” or to increase public support for certain programs such as multicultural service centers.
- ♦ **Credibility As a Voice for your Constituency** — To make specific individuals in your MAA known as accurate, knowledgeable spokespersons for the refugees and citizens-to-be whom you represent, so they are regularly contacted by the media.
- ♦ **Community Change** — To achieve specific community improvements, through decisions by policymakers or funders: for example, to get bilingual teacher aides hired at your local school, to get an old building rehabilitated for use as a refugee community center, to increase public funds appropriated for specific neighborhood improvements.

**Step Two — Identify a spokesperson for your MAA.** It is very important that you agree on one or two principal media spokesperson(s). Imagine how confusing it is if a newspaper gets two different statements from two different people, both claiming to speak for the same MAA! You can avoid that by agreeing on a designated spokesperson (and a designated alternate), and then letting them deal with the media. You can also identify other resource people who will be available as background experts on a particular issue or problem if that’s necessary to make sure the issue is covered thoroughly. Usually, your spokesperson(s) will be your Executive Director and/or Board Chair.

**Step Three — Get some training** for your spokespersons and the other people who have agreed to help with media relations. Organizations like the National Immigration Forum offer Strategic Communications Training. It helps refugee/immigrant leaders develop concrete media and communications skills so they can serve as effective spokespeople for their communities. The Forum’s training gives participants skills in gaining frequent access to the press; developing effective messages and delivering these messages powerfully and persuasively; identifying, understanding, and reaching targeted audiences through strategic use of the media; and delivering effective public presentations before live audiences. You may also want to contact media people in your city to help coach your MAA in media relations.

---

**Messages That Build Support  
among Mainstream Audiences**

Each of us knows 20 good reasons why mainstream Americans should support refugee admissions. Brainstorm such messages with your Board and staff, and pick some that seem particularly appropriate for



your ethnic community and your MAA. Some examples:

*America is a nation built by refugees and immigrants.*

*Today's refugees aren't "tired and poor" but strong and determined. Our MAA members work hard, pay taxes, and embrace the American Dream.*

*Famous refugees and immigrants include former Secretary of State Madeline Albright and Intel Chairman Andy Grove.*

If your MAA is in New England:

*The pilgrims were the first refugees.*


If you run sports programs:

*Olympic Gold Medal gymnast Nadia Comenici [or some athlete well known in your area] is a refugee!*

And the wonderful reminder used by the UN High Commission for Refugees (UNHCR):

*"Einstein was a refugee."*

---

*Example* 

**Step Four** — *Develop a few basic messages you will use in your relations with the media.* It is almost impossible for the media to accurately and effectively present complex messages. Broadcast media are especially prone to brief sound "bites." You will find it much easier to get media attention — and coverage is likely to be far more accurate — if you state your major messages simply and consistently. This does not mean reducing every issue to one sentence. It does mean that you must be very certain of the most important points you want to make, state them clearly, and be prepared to present them consistently in all your dealings with the media.

**Step Five** — *Develop a "do-able" list of activities to carry out in the next six months,* to make progress toward the objectives you agreed upon in Step One. For example:

- ♦ **Contact a short list of media representatives,** and try to establish a positive relationship with them. Arrange a meeting, or get someone who knows them to make the first contact on behalf of your MAA. Be sure to have some specific points to share when you meet.
- ♦ **Get an article about your MAA in a newspaper or on radio or local television** — or aim for coverage of a community cultural event. Something that is visually interesting (ethnic performance, in traditional dress, for example) is often

easiest to get covered. As you become more comfortable in dealing with the media, you may want to hold a press conference, arrange interviews ahead of time, or provide a feature story to get your MAA's message into the media.

- ♦ **If you have not done any media work before, focus on one or two activities,** such as getting to know a few key reporters and publicizing one major event. After you have done that, you can assess the experience and schedule more activities. (See "The Top 10 Ways of Getting Press in the 21st Century," Attachment 1 at the end of this chapter.)
- ♦ **If you have never written a press release, then find someone with experience to help you.** Clear and concise written materials are necessary, but glossy press packages are not essential — nor even desirable in some situations. (See "How to Write an Effective News Release" and "Elements of A Press Advisory and Elements of a Press Release," Attachments 2 and 3 at the end of this chapter.)

**Step Six — *Decide whom to target in order to meet your objectives, and start compiling a media contact list.*** Identify the major media entities and individuals you can realistically reach. Don't forget ethnic media! If your MAA doesn't have much media experience, start by identifying newspapers, radio stations, and television programs. You may be able to short cut the list-making process by getting some help from the press staffer in your Congressperson's District Office. Or, contact your local United Way for a copy of its most recent *Media Directory*. Contact a mainstream nonprofit organization with whom you collaborate, and see if the staff are willing to share their media list. If you have a friend in the media, or know someone who has had dealings with the press, get that individual to identify specific people who might be useful to meet with. Look at newspapers and listen to broadcast media to identify individual reporters who seem to be assigned to your kinds of issues. (See also Attachment 4, "How to Compile an Effective Media List.")

**Step Seven — *Be very careful*** about delegating the task of responding to media inquiries. Normally, your designated communications person should be the first point of contact. S/he can guide the media people to one of your MAA's spokespersons. Make sure that you can get in touch with your spokespersons *at all times*. Remember that reporters — even reporters on deadline — will wait 10-

## MAA Press Book

---

Every MAA should have a *Press Book* — a big scrapbook into which you paste all the news clips about your MAA. It becomes a good historical document and you'll be surprised how many times you refer to it to refresh your memory. Set up a system to handle your media materials — news releases, announcements of grants and staff changes, program developments, etc. Don't forget photographs. Make a file of biographies and photos of your Board members and senior staff and use them for announcements when they make speeches. Buy a digital camera, teach somebody to use it, and make that person your "in-house photo-historian."

---



15 minutes for an accurate statistic or quote from a reliable spokesperson. However, they won't wait until tomorrow!

**Step Eight** — *Assign someone responsibility for maintaining your MAA's media archive.* This means keeping copies of all media materials, press clippings, the media list, and other written materials, *and* tracking results. The key question (how you measure success) should be "How much press coverage did we get?" All media activities or indeed all activities in which there will be media coverage aim at getting the largest press coverage possible. Over time, the media archive will help you assess where you have been and where you are going in terms of achieving your goals as stated in the media-focused communications plan.

## 6. Tools for Media Success

Your MAA may already have some valuable tools that can help increase your visibility and credibility. Identify and use them. If you haven't yet developed these tools, think about how and when you can begin to make them a part of your communications efforts.

### *Media "Mailing" Lists*

Your MAA probably already has a mailing list of clients, donors, and friends. It's not hard to expand your list to include key media, both ethnic and general. Try to get a *Media Guide* for your area. These are often published by a public relations association, or your United Way. If no *Guide* exists, see if a Board member who works for a corporation or large nonprofit organization can get a copy of their media list. The press office of your Congressional representative or State Senator or Representative is an excellent resource for building media contacts.

This is how the first line on your mailing label should read:

<i>For daily newspapers:</i>	City Desk
<i>For radio and TV:</i>	News Assignment Desk
<i>For wire services and periodicals:</i>	Local News Desk
<i>For weeklies:</i>	Editor

Be sure to do the following:

- ◆ Store your list on the computer, back it up, and keep it up-to-date — especially the e-mail addresses. You may be able to get a refugee students' group to manage this for your MAA. Be sure to have at least one extra set of pre-printed labels on hand at all times. It can be a real crisis to have an emergency press release to send and find that the computer is down or you are out of address labels.

- ♦ Break down your media list into groupings — dailies, radio and TV, wire services, weeklies, ethnic press. Often you will want to earmark your release for a particular audience.
- ♦ Remember to include local community colleges, Parent Teacher Associations, churches, synagogues, mosques, clubs and civic groups, businesses, and unions on your list. Most publish newsletters or bulletins and are on the lookout for news or stories to include in their publications.

## Website

### Why develop a website?

A website is a low-cost communications tool that can be used to engage and mobilize people in your local community and around the world. Your MAA can use the web to inform, advocate, collaborate, raise money, and build relationships with members, volunteers, sponsors, and the public.

- ♦ **Inform** — You can use your website to provide information to the public about the organization's mission, programs, and priorities. Your website information should reflect the goals of your MAA and the needs of your target users.
- ♦ **Advocate** — Your website can provide people with tools and resources needed to take immediate action on issues.
- ♦ **Collaborate** — You can use the website to share information among the members or with other MAAs across the country.
- ♦ **Raise Money** — Increasingly, potential donors affiliated with a cause use the Internet as a source of information when distributing funds. You can register with a reputable web-based organization (such as CharityChannel or GuideStar, among others) that accepts online donations on behalf of your nonprofit, then put a link to that website on your own website.
- ♦ **Build Relationships** — Use your website to develop and communicate with individuals who understand and support the initiatives of your MAA.

## Free Media Relations Workshops

---

The Foundation for American Communications has a free Media Relations Workshop to help nonprofit leaders tell their stories. These workshops can be presented in cities across the country. They cover:

- ♦ How to recognize news opportunities
- ♦ How to become a source to news organizations in your community.

Contact the Foundation for American Communications at (626) 584-0010 or <[www.facsnet.org](http://www.facsnet.org)> to request a workshop in your area.

---



### Planning your website

Long term planning is critical to the success of your website. If you are developing a new site, consider the following questions.

- ♦ *What are the goals of our website?* Examples: to promote the work of the MAA, to attract funders, to share resources, to fill specific community needs.
- ♦ *Who are our target website users? What are their needs?* Examples: press, local community leaders, other MAAs, general public.
- ♦ *What type of content will fill our target user's needs?* Examples: program and financial information for funders, information about programs and results for the general public.
- ♦ *How should this content be organized to make information easy to find?* Organize content based on user needs and site goals (NOT on the MAA's structure).
- ♦ *What messages do we want to convey through the content and design?* Examples: professionalism, urgency, linkage with community, past successes.
- ♦ *How much money do we have to spend?* A website can cost from \$10,000 to \$60,000, but some services will develop nonprofit sites for free.
- ♦ *Who can we get to develop our website?* If your MAA has a low budget (\$15,000 or less), visit the volunteer jobs section at <[www.idealists.org](http://www.idealists.org)> and other job banks to find someone who is interested in developing your MAA's site for free.

### Annual or Multi-Year Report

A well-written Annual Report can work wonders for your MAA's credibility. It can almost serve as a fundraising tool all by itself. It documents your accomplishments during the past year and describes future needs. An Annual Report is also an effective way to introduce your MAA's leadership to prospective donors in the form of "A Message from the Board Chair" and "A Message from the Executive Director." If you don't have the resources to do a report every year, do a multi-year report — a three-year, five-year, or even ten-year cumulative report of your MAA's activities, accomplishments, growth, and leadership. The equivalent of an Annual Report can also be produced on videotape, for presentation to potential funders.

You may be able to get a grant or in-kind contribution to help cover the costs of preparing and producing an annual report. You might seek help from a local foundation or corporation. Consider asking for a loaned executive to help put the report together. Sometimes a local media foundation or nonprofit media group will provide a grant or technical assistance to help cover production costs. Or look for a public relations firm that is willing to assist your MAA *pro bono*. Look for listings in the "yellow pages" of your telephone directory, under "Public Relations."



#### Helpful Hint

#### Finding a Website Developer

If your MAA has a medium to high budget (more than \$15,000), look in your local telephone directory's "yellow pages" under website development or website designers. Pick a few, visit their websites, and narrow the list down to about five companies. Get help from a Board member or volunteer with technology training, if possible, to write a Request for Proposal asking for proposals (include timeline, budget, scope of work, expertise desired) from these vendors. Go with the vendor whose proposal best meets your MAA's needs — not always the cheapest one.

## ***Take Advantage of Every Opportunity!***

All your public relations materials (e.g., mission statement and organizational message, website, Annual Report, brochure) should include a soft-sell contributions solicitation *and* information on where to send checks. For example:

[*Your MAA's name*] is a publicly supported charity that depends  
on contributions to support its work.

All contributions are tax-deductible for federal income tax purposes.

Make checks payable to: [*your MAA's name*]

Mailing Address

## **7. Talking to the Media**

One of the most important advantages your MAA can have in media relations — or any kind of external communication — is spokespersons who effectively represent you in personal interviews with print and broadcast media. Media experts have identified a number of factors that contribute to effective interviews. Some are important regardless of the type of media. Others are specific to television, where your physical appearance and mannerisms may be as important as your verbal message, or to radio, where your voice as well as your words will affect listeners. Anyone who represents your MAA with the media should become familiar with the following hints for interviews.

### ***Talking with Any Media Representative or Audience***

- ♦ **Know the message you want to get across.** Be ready with a very precise, pithy message that is as simple as possible.
- ♦ **Stay “on message.” Communicate your message clearly.** Get your message across, regardless of the questions the reporter asks. If you are asked a question that seems off message, steer the discussion back to the topics you prefer and the message you want to communicate. For example, you might say, “That’s an interesting question, but it’s not the most important one. The real issue is ...” Then make your point. (This is known as “staying on message.”)
- ♦ **Personalize and give examples** to explain complicated issues and help people understand and empathize with your mission and your work. If you are trying to convince people that unsafe housing is a terrible problem, first give an example, such as saying, “I know a refugee family whose little girl fell from a damaged stairway and was permanently crippled so she cannot walk. The family had been complaining for six months that the stairway in their apartment building was unsafe.” A story is often the best way to illustrate a problem once you have stated it.

---

### A Word of Caution

Journalists often use numbers and statistics, but they can be counterproductive for refugee leaders and advocates. This is because numbers without context can sound big and scary. When we use numbers, we must give them a context or state them as a proportion, fraction, or percentage. For example, when asked how many refugees the U.S. plans to admit this year, a good answer would be: "Around 70,000, which is a drop in the bucket compared to the number of persecuted people in need of refuge."

---

### Example

- ♦ **Back up your statements with appropriate documentation.** Have statistics or other supporting information to help convince readers or listeners that what you say is true. Be sure your statistics are accurate and state them so that their meaning is clear to people who are not experts. Your most effective statistics may come from the government, university researchers, other high-credibility sources, or original research by your MAA (such as a house-to-house survey). Too many statistics tend to confuse people, so pick just a few dramatic ones. For example, on housing you might say that a city survey found that 30% of all housing units in the community have serious code violations, and seven children have been injured in the past year due to unsafe conditions, and yet the city fined only three building owners last year.
- ♦ **Practice before your interview.** A mock interview can be very helpful, especially if you expect the interviewer to be somewhat hostile. Ask someone to play an unfriendly reporter, and practice different kinds of responses and approaches. Have friends observe and critique your performance and suggest other points. (See Attachment 5, "How to Prepare for — and Give — Great Media Interviews.")

### Talking with Broadcast Media (Radio or Television)

- ♦ **Keep your responses brief.** Try to answer questions in one or two sentences wherever possible. State your responses as simply as you can, and use words that will be understood by the general population.
- ♦ **Don't let a hostile interviewer get to you.** If you lose your temper with such an interviewer, it makes you and your MAA look petty. It is all right to indicate that you consider a question unfair or a statement inaccurate, but restrain yourself. You might say, "That is really an unfair question, but let



### Helpful Hint

---

### Practice, Practice, Practice

Most important for media interviews are *practice* and *preparation*. Like anything else you do, you will be better at it if you prepare and practice, practice, practice.

*Helpful Hint*



We do not mean to scare you with this advice. Doing media interviews is hard, but you have to do them. It's the only way to reach a lot of people. And it gets easier over time. When you choose spokespersons, try to find people for whom interviews present an interesting challenge — and who are ready to practice ... practice ... practice.

- ♦ me answer it anyway.” Remember this: In a fight between you and a reporter, you lose.
- ♦ **Use stories and carefully considered humor to win over your audience.** You don't want to give the impression that your issues are unimportant, but you do want to project the image of a decent, rational, likeable person. Humor can be very effective in dealing with a hostile interviewer. Remember that humor can be damaging for your cause if it is improper or politically incorrect. Use extreme caution.
- ♦ **Be careful not to make statements that are dangerous when used out of context** — the reporter may edit out your explanation! Any taped interview is likely to be extensively edited before it is broadcast. Only a live interview will remain unchanged. Interviewers are always looking for good stories, so expect the most emotional statements or those most critical of policymakers to be used. Don't say anything that would embarrass you or your MAA, and don't count on the interviewer to delete statements you regret. Most interviews are shortened, so the simpler your message, the more likely it is to come across the way you want it. Be aware that, especially for news, TV reporters work with 8-15 second sound “bites” or sentences. Radio reporters have even tighter constraints of 4-10 seconds.

**Talking with the Print Media**

- ♦ **Find out what kind of story the reporter plans to write.** When you are interviewed for radio or television, you are almost always identified, so there will be little question about what you said. On the other hand, a reporter preparing a news analysis or background story on an issue may not focus on your

**Public Relations — Hot Tips**

- ♦ Always use your MAA's letterhead, with logo, when sending out a press release or other media communications. If possible, get special press release letterhead printed up — in color.
- ♦ Use a catchy, enticing headline for your press releases and catchy titles for your publications.
- ♦ In the text of your release — and during telephone conversations — highlight the most colorful and photogenic aspects of your story.
- ♦ Prepare media information packets with photos and bios.
- ♦ Keep the communications ongoing — check in with reporters on a regular basis (at least every three months), stop by to visit them at times you know they're not on deadline (often Mondays and Saturdays), invite them for lunch, breakfast, tea, drinks — whatever seems most appropriate. Journalists appreciate the opportunity to get to know you and talk in a more leisurely fashion, when they aren't on deadline.
- ♦ Send a copy of your MAA's brochure or annual report to friends in the media. Always make sure that your most supportive journalists get copies of studies you have done and other background information you may receive from national refugee/immigrant organizations and research institutes.





MAA at all; a 15-minute interview might lead to a single one-sentence quote attributed to you. Although your ideas may affect the rest of the story, the readers will not know they came from you. If you realize beforehand that the reporter is doing a news analysis and is looking primarily for one or two quotes, be sure you get across a few very clear messages

- ◆ **Remember that everything you say is “on the record”** unless you place prior limits on the reporter. This is true even if you are not being taped. You may feel more comfortable with a print reporter than with a broadcast interviewer, because there is usually no camera. There may or may not be a tape recorder. Be aware that — as with broadcast interviews — your most provocative or controversial statement is likely to be quoted, perhaps out of context. If you are willing to make comments that you do not want attributed to you, it is your responsibility to arrange (at the beginning of the interview) to talk “for background only” or “not for attribution.” This means that the reporter agrees not to quote you directly or identify you as the source of the information. However, it is dangerous to mix on-the-record and off-the-record statements. The reporter may quote something you thought was for background only. If you don’t want to be quoted on certain issues, you should either make the whole interview off-the-record or just say things that can be quoted. Some reporters are totally reliable about not-for-attribution statements and some are not, so be very careful about giving off-the-record interviews. Remember that while they may be of some value in educating the press and establishing credibility, they do not enhance your MAA’s visibility — because you are not identified as the source!
- ◆ **Written materials can be very helpful** to newspaper or magazine reporters, who may use them before the interview in formulating a line of questions, or afterwards when writing their story. Your MAA’s written statement on a policy issue, a copy of a report with appropriate statistics, or a news release can be very helpful in getting your MAA quoted, and quoted accurately.
- ◆ **Be prepared to provide telephone interviews.** If you send out a news release or statement, you may find that reporters will call and request an interview. Reporters who do not make a personal visit may call you for more information. Remember that reporters treat the call just like a personal interview. Be careful that someone authorized to represent your MAA handles the call, and that you are just as careful and prepared with your message as for a face-to-face interview.

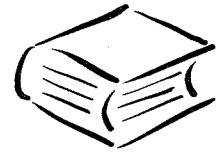
## For More Information

---

...in the Library

**Andreasen, Alan R.; Kotler, Philip. *Strategic Marketing for Nonprofit Organizations*. 6<sup>th</sup> Edition. Upper Saddle River, NJ: Prentice-Hall, 2003. 536 pages, \$120.**

Incorporates the experiences of practitioners to illustrate problems and solutions in marketing for nonprofits. Sections focus on developing a customer orientation, strategic planning and organization, developing and organizing resources, designing the marketing mix, and controlling marketing strategies. Includes figures, tables, and checklists.



**Bonk, Kathy, Emily Tynes, and Henry Griggs. *Jossey-Bass Guide to Strategic Communications for Nonprofits*. San Francisco, CA: Jossey-Bass, 1998. 208 pages, \$33.**

A step-by step guide for nonprofits that want to work with the media to generate publicity, build membership, advocate for issues, advance an agenda, raise money, respond effectively to a crisis or attacks, and more.

**Foundation for American Communications. *Media Resource Guide*. Los Angeles, CA: Foundation for American Communications, 1983. 39 pages, \$5.00. A few copies are still available from the Foundation for American Communications; 85 South Grand Avenue; Pasadena, CA 91105.**

Explains how each news medium works and thinks. Offers ideas to help nonprofits get their own message to the public.

**National Immigration Forum. *Strategic Communications Handbook for Refugee, Asylee and Immigrant Advocates*. Washington, DC: National Immigration Forum, 2003. \$34.95 plus shipping and handling. Call (202) 347-0040 to order.**

....and on the Web

**Benton Foundation**

<[www.benton.org](http://www.benton.org)>

One of the major purposes of this operating foundation is "to demonstrate the value of communications for solving social problems." See the online toolkit, *Strategic Communications in the Digital Age*, last updated May 2002. Catalogues lessons and best practices learned by nonprofits about the impact, successes, failures and struggles in using strategic communications.



**Foundation for American Communications**

<[www.facsnet.org](http://www.facsnet.org)>

The mission of the Foundation for American Communications is to improve the quality of information reaching the public through the news. Founded in 1976, the Foundation believes that better journalism can be achieved through education. Toward that end, the Foundation provides educational seminars to give journalists the background knowledge they need to better understand and analyze the issues that are vital to our society.



**Attachments**

1. The Top 10 Ways of Getting Press in the 21<sup>st</sup> Century
2. How to Write an Effective News Release
3. Elements of a Press Advisory and Elements of a Press Release
4. How to Compile an Effective Media List
5. How to Prepare for – and Give – Great Media Interviews

## The Top 10 Ways of Getting Press in the 21<sup>st</sup> Century

1. **Develop Messengers**
  - ♦ Unusual messengers draw the press
  - ♦ Human faces are the best
2. **Set up a Communications Program**
  - ♦ Develop lists, and get an intern to keep it updated
  - ♦ Have an internal system for how press calls are handled efficiently and effectively (return calls promptly)
3. **Press Releases**
  - ♦ Way to establish your organization with reporters
  - ♦ Respond to current crises or news
  - ♦ Fax and use e-mail
4. **Create a Media Event**
  - ♦ Press conferences
  - ♦ Briefings
  - ♦ Find “hooks” to attract the press (holidays, anniversaries)
5. **Op-eds<sup>2</sup> and Letters to the Editor**
  - ♦ You can control the message
  - ♦ Letters are often printed
  - ♦ Have important people sign them
6. **Editorials and Columns**
  - ♦ Visit your Editorial Boards, bringing a diverse group
  - ♦ “Pitch” stories to columnists (try to interest them in your stories)
7. **“Pitching” Stories to Reporters/Radio Shows/TV Talk Shows**
  - ♦ Get to know your reporters well so you know what they’re interested in
  - ♦ Don’t worry about getting a “no,” try again
8. **Publications/Studies**
  - ♦ Reporters love studies; they don’t need to be complex
  - ♦ Do a big press conference with the researcher
  - ♦ Interview a sample of refugees about their concerns, and turn the results into a publication
9. **Website**
  - ♦ Important to keep it updated
  - ♦ Promote it
10. **Track Press Coverage**
  - ♦ Look on websites every day (have an intern do it)
  - ♦ Listen to local radio talk shows

<sup>2</sup> Op-Ed means **OP**posite the **ED**itorial page (the typical location in a newspaper of columns providing personal opinions/viewpoints).

## Resource

---

# How to Write an Effective News Release

1. Make certain that the news release includes **WHO, WHAT, WHEN, WHERE, WHY**, and sometimes **HOW** in the first paragraph. Make the verbs active and the subject concrete. Cover the most important facts first and follow with details.
2. Give your news release a catchy headline, i.e., “Advocates Blast Governor for Scapegoating Immigrants.” Write the headline that you would like to see published with your article in a newspaper. Write a lead (opening) sentence that draws the reader instantly to the rest of the story.
3. Be sure to include a contact name and telephone number on the top right hand corner of the page. List a number that will be answered by a live person, for the most part, not an answering machine or voice mail — even if that includes both home (evening) and work (daytime) or mobile numbers.
4. Don’t forget to include the date of your release on the upper left-hand corner of your release. Write **FOR IMMEDIATE RELEASE:** and underneath that, the date.
5. Include a good quote from your organization’s spokesperson (Executive Director, Director, President, or whomever your designated spokesperson is). Be sure to include this person’s exact title. Sentences should be short and to the point, i.e., “A person fighting a parking ticket will have more due process rights than a Muslim fleeing terror in Bosnia under the proposed legislation,” notes Jill Doakes, President of the Immigration Advocacy Group.
6. Proofread your news release at least twice. If your news release looks disorganized or is badly written, your MAA’s image will suffer.
7. Try to limit your news release to one page. Reporters hate getting long releases, especially if they are sent by fax. If you need to include more information and facts, mail your news release along with your additional information. You can also have more detailed information on a website, providing the web address (or even a link, if you are sending your release via e-mail).
8. If you simply can’t limit yourself to one page, make sure that each page has the name of the organization, the date, and the page number. Remember how much paper a reporter receives and that multiple pages sometimes get separated from each other, especially if sent via fax.
9. At the end of your news release, write “ – 30 – “ or “ # # # , “ which indicates that there are no more pages in your news release.





10. If you expect Congressional action on your organization's issue or know of an upcoming event that you wish to respond to in advance, write an advance news release, and fax or e-mail it to your news media contacts ahead of time. This will allow you to respond immediately to an event and get more coverage. It also provides a greater likelihood that newspapers will include quotes from your news release in their coverage of an event/vote, etc. in their editions the following day.
11. Timing is everything. If your news release concerns an event (conference, forum, news conference, etc.) sponsored by or organized by your group, it should be faxed, e-mailed, or mailed to your media contacts at least a week to two weeks in advance of the event. Always remember that you're competing with numerous other organizations and events in your city/state. You want to give the reporter or editor enough lead time to prepare, schedule time, or learn about the issue. On the other hand, reporters receive so many requests for their time that they may forget about your event if you send it too early. It's always a tough balance.
12. If a major event warrants an immediate and longer response from your MAA, write a one-page statement from your MAA's spokesperson. Use the headline "Statement by [Spokesperson] Concerning [Whatever Your Issue Is]."
13. If your news release concerns an event, be sure to send your news release to the newswire "daybooks." A "daybook" is a daily computer print-out listing all news events scheduled for a given day, the times and locations of the events, the sponsoring organizations or individuals, and the contact names and phone numbers for more information on the event. All the news wire services have them, and they are read in every media outlet by every news director/assignment editor. The AP (Associated Press) and UPI (United Press International) "daybook" editors' names and fax numbers and e-mail addresses are an important addition to your MAA's media list. If your event is not listed on the newswires' "daybooks," it doesn't exist, as far as news directors and assignment editors are concerned.
14. After sending your release, make follow-up calls to specific reporters. Call your media outlets in advance and find out the name(s) of the reporter(s) covering refugee and immigration issues. Ask the assignment editor of the outlet's city desk (or national desk, if your story is of national interest) to tell you their names. If the editors tell you that there is no one permanently assigned to cover refugee and immigration issues, send your news release directly to the assignment editor in question. Call, make sure they received your release, and ask if they plan to cover your event, or quote from your release in their article(s).

Resource

**Elements of a Press Advisory and  
Elements of a Press Release**

**Elements of a Press Advisory**

**Press Conference (or Briefing)**

FOR IMMEDIATE RELEASE  
Today's Date

Contact person's name  
Contact's telephone number

**Catchy Title of Press Conference**

(Guide: the headline you want to read in tomorrow's newspaper should be your headline.)

**What?** Explain what's going to happen at your event. (For example, your organization is making a public statement calling on Congress to support a specific piece of legislation.)

**When?** Day, Date  
Time

**Where?** Location and Address

**Who?** List the participants and their organizational affiliations.

**Why?** Explain briefly the context for your event.

###





## Elements of a Press Release

### Press Release

FOR IMMEDIATE RELEASE  
Today's Date

Contact person's name  
Contact's telephone number

### Catchy Title of Press Release

(Guide: the headline you want to read in tomorrow's newspaper should be your headline)

The first paragraph is your "lead" and should include the most pertinent information and what you are calling for.

Explain briefly (1-2 short paragraphs if possible) what your organization is responding to.

Then begin to give your MAA's position in quote form.

For example: Refugee Community Center Executive Director Mohamad Ali explained, "state your organization's position here."

Try to use a couple of quotes and make sure they say exactly what you want to read in tomorrow's newspaper. The best part about writing a press release is that you retain control over the exact wording of your phrases. Take advantage of this by saying exactly what you mean, exactly the way you want it to appear.

Keep it short — preferably less than one page.

(more)





Where to send your press release and when

- ♦ Fax it or e-mail it to your media list. (Mailing takes too long.) Don't send it too early; reporters lose it (not more than a week in advance).
- ♦ For broad and immediate distribution, you can make arrangements with a newswire service like US Newswire (800) 544-8995 or PR Newswire (202) 547-5155.

In general

- ♦ Be prepared to answer follow-up questions about the issue and whom it affects. Refer reporters to people who can assist them in telling the story locally (being aware that people will usually require that their real names not be used). If they are interested in the national angle, refer them to national groups working on the issue.
- ♦ If you are particularly interested in having certain reporters or media outlets carry your story, call to follow up on the press release. Reporters get tons of press releases, so making yours stand out is important.

###

## How to Compile an Effective Media List

1. Include all major newspapers in your area, and major weeklies with a circulation of 10,000 or more. Be sure to also include ethnic and "targeted readership" newspapers (your ethnic group, African-American, Latino, women, etc.), which tend to be weeklies.
2. Get a list of state/local specialty publications/magazines that might be interested in your organization and its issues/projects.
3. Include television and radio stations with news, public affairs, or current events talk shows.
4. Monitor your local/state newspapers and keep an updated list of which reporters are covering your issues. Look for the by-lines (author's names) and add them to your press list. Update your media list regularly — there's a lot of turnover in the news business.
5. See if there are any local wire service bureaus (Associated Press, United Press International, Reuters) in your area. They might be interested in covering your campaign, news conference, project, or event. They are usually listed in the business "white pages" of the phone book, or can be located on the Internet.
6. Include college, university, and community newspapers, church/synagogue/mosque bulletins (where appropriate), ethnic and organization of color newsletters, women's organizations' newsletters, etc.
7. Include organizations that might be interested in hearing about your campaign or project. They might publicize your project in their own publication or newsletter.
8. Include newspapers' community calendars. Nonprofit events or projects get free listings, but your listing must be mailed to the community calendar at least a week to two weeks in advance of your project or event.
9. Verify that you have the proper contact names (i.e., assignment editor, immigration reporter, editorial page or op-ed page editor, features editor, etc.). Obtain correct spelling of names, telephone numbers, fax numbers, e-mail, and mailing addresses for background mailings.
10. The Internet is extremely useful for researching and building a media contacts list. There are also a number of media directories that may be in the reference section of the main branch of your local library. Look for "Broadcasting Yearbook," "Editor and Publisher Yearbook" (newspapers), "PBI Media Services," "Bacon's" directories for Radio and Television, Newspapers, and Magazines, "Gebbie's," or "Hudson's Directory." There is also a "Media Yellow Pages" for media in New York City and Washington, DC. Some United Ways publish a "Media Factbook" listing radio, television, and newspaper contacts in your area.

## Resource

## How to Prepare for — and Give — Great Media Interviews

1. Never go to a media interview without reading the morning's newspapers. You should be very well informed and not surprised by an event that may have an effect on your issue.
2. Be sure to watch the TV program, listen to the radio program, or read the newspaper for which you will be interviewed. Get to know the style and format of those media outlets. Use the Internet to research the reporter's work.
3. Go prepared to focus on no more than three or four primary messages during the interview (for example, "Current U.S. immigration policy emphasizes family, freedom, and work."). For each message point, be sure to have two or three good facts to back it up. Don't let the reporter's or moderator's questions get you off track. Keep coming back to your major points. Don't forget the reason you are there. Be prepared for the difficult questions ("Don't immigrants/refugees take jobs away from native-born Americans?" "Don't they burden state and local social service agencies?"). If you're a guest on a radio program, or are being interviewed by a radio reporter in your office, you may want to keep handy a fact sheet with statistics or anecdotes that could refute such questions, so that you can refer to them whenever such questions are raised. And remember to turn the focus of the interview back to your three or four major messages or themes.
4. Listen carefully to the reporter's questions. Always answer by coming back to the main points you want to make. Never answer with a simple "yes" or "no." Never say "no comment." At best, it makes you sound unprepared; at worst, it makes you sound guilty of something. The easier you make it for the reporter/moderator, the more likely s/he will interview you again.
5. Don't use technical jargon. Be friendly. Avoid long sentences. Remember, you want to be quoted!
6. Never get upset or lose your temper with a reporter/moderator. You want the media on your side. Maintain a sense of humor. If the reporter/moderator is antagonistic, use your charm. Keep cool.
7. You represent your organization. Don't give personal opinions that might compromise your organization. Never go "off the record" unless you have a good working relationship with the reporter, know the reporter well, and trust the reporter. Many reporters do not respect "off the record" anymore, and may print or report whatever you told them, even if it was said in confidence. Remember, if the words don't come out of your mouth, an unethical reporter cannot quote you as saying them. In general, if you don't want to see something in print or on TV, don't say it.



8. If you are appearing on a television program, don't look too "flashy"; your dress will distract the viewer from your message. Stripes, checks, and white are no good on TV. Men and women should wear solid color, dark business suits. Women should not wear dangling or distracting jewelry. Don't fidget on camera. If you're seated at a table or desk, don't play with your scripts, fact sheets, or pencils. The camera reveals all, and it makes you appear nervous. Even if you *are* nervous, you must appear calm and collected. Assume microphones are on at all times. Assume you are on camera and "on mike" until they tell you that you aren't!
9. If a certain refugee/immigration issue seems complicated for the interviewer, break it down; use anecdotes or examples to explain or illustrate your point. For instance, in illustrating why the so-called "safe third country rule" doesn't really guarantee safety for refugees seeking asylum, you may say something like, "Suppose you're a Bosnian refugee fleeing the war-torn former Yugoslavia. You go to London and apply for asylum at Heathrow Airport. The United Kingdom has a provision under which refugees are expected to seek asylum in the first 'safe' country they reach. So, because the airplane you were on first landed in, say, Italy, you are promptly sent there. Italy, in turn, sends you right back to Bosnia, where you face danger and persecution. The immigration officials in both countries did not bother to look into the particulars of your case. If the U.S. adopted a 'safe third country' rule, refugees seeking asylum in the U.S. would be treated similarly. There is a risk of expelling asylum-seekers to third countries without first obtaining assurances that they will be properly admitted into the asylum procedures there." This hypothetical but compelling story has made the overall issue easier to understand.
10. Maintain good eye contact with reporters. Ignore the camera. (The exception to this rule is when you are being interviewed via satellite or microwave link by a reporter in another studio, or another city. That's the only time you would look directly into the camera.) Speak clearly and distinctly in a normal conversational tone.
11. Remember, you know more about your organization/issue than the reporter/moderator. You've got the upper hand! If the reporter/moderator wants facts and figures you don't have, tell him or her you'll get back to them and continue making your important points. If you are not sure about a fact or figure, *don't use it!* And *don't make it up!* You want the media to trust you as a reliable source of facts and expertise.
12. If possible, try to obtain an audio or videocassette tape of your performance if you appear on radio or television. Get others in your organization to review and critique your performance. Correct mistakes before the next interview. Ask the TV or radio station if you might supply your own blank VHS videocassette tape or audiocassette tape and have your appearance recorded simultaneously. Some public TV and radio stations can't afford to provide tapes to guests, but will sometimes agree to tape you if you supply the tape.
13. Frequently, you may be paired with a representative of an anti-immigrant or anti-refugee organization on a radio or television talk/call-in or interview program. Producers like to do this because they feel it provides "balance," that "both sides" of an issue are presented at the same time on the same program. Often, such anti-immigrant spokespersons will try to prevent you from making your point. Don't let your opponent distort or misinterpret

what you're saying. If the reporter/moderator refuses to intervene, you may cut off your opponent by saying, forcefully but politely, "Excuse me, but you were given plenty of opportunity to state your (or your organization's) position, now allow me the courtesy to do the same." You may also say, "No, I did not say that, what I SAID was ...". You may also say these things if your reporter/moderator has preset, anti-refugee notions and wants to spend the interview arguing with you rather than discussing the issue. The most important thing to remember in such a situation is that you are not trying to persuade your opponent. Rather, you are trying to persuade the undecided people in the listening/viewing audience. Keep them in mind as you make your arguments.

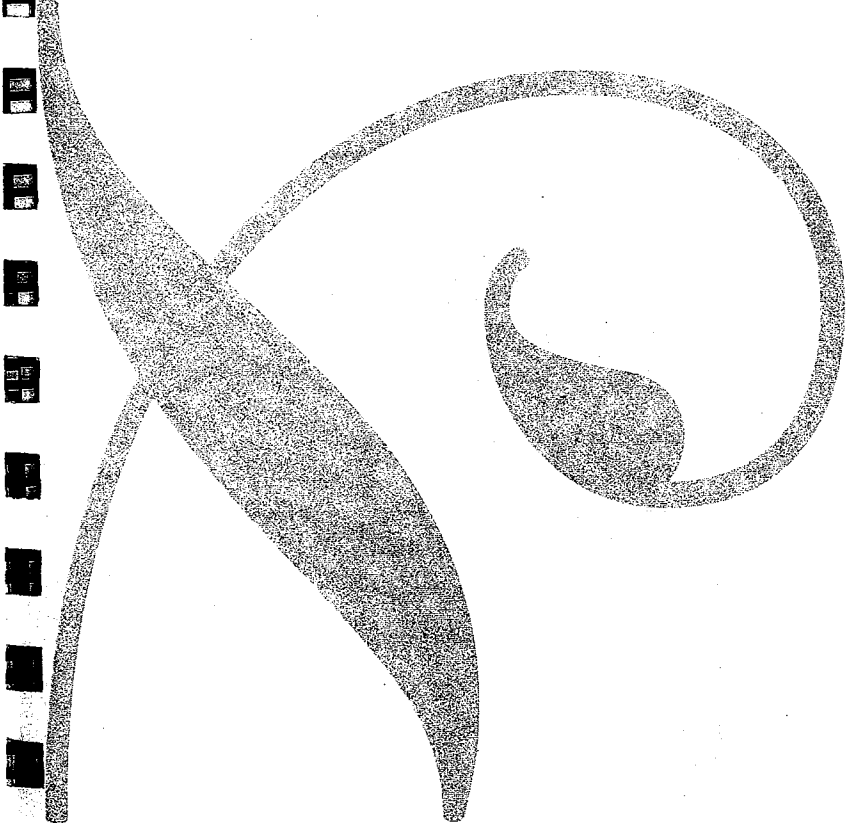


# Chapter IV

## *The Logic Model*

---

**A Tool for Project Planning**



# Chapter Contents

<b>Overview</b> .....	<b>.73</b>
<b>1. Introduction</b> .....	<b>.73</b>
<b>2. Why Plan?</b> .....	<b>.74</b>
<b>3. What Is a Logic Model?</b> .....	<b>.75</b>
Figure 1: The Basic Logic Model	75
Definitions	76
Figure 2: How to Read a Logic Model	77
<b>4. How Can Our MAA Use the Logic Model?</b> .....	<b>.77</b>
Figure 3: Logic Model for a Women's Empowerment Program	78
<b>For More Information</b> .....	<b>.80</b>
In the Library	80
And on the Web	80
<b>Attachment</b> .....	<b>.80</b>
1. Logic Model Work Sheet	81

# Chapter IV

## *The Logic Model*

---

### A Tool for Project Planning



#### Overview

This chapter presents the logic model as a tool for project planning. You can use the logic model to develop a project and to describe it in a single chart. The logic model helps you outline both your planned work and your intended results. It provides a blueprint for implementing your project, documenting your work, and evaluating results. This chapter includes a description of the logic model and its use from *The Logic Model Development Guide*, a manual available from the W.K. Kellogg Foundation. This excerpt is included with the permission of the Foundation.

#### 1. Introduction

So now you have a plan for your resource development efforts — including fundraising objectives, roles for staff and Board members, and the systems you need to put in place to track and monitor your resource development work. You've also thought about how you will *market* your organization, that is, how to tell your MAA's story in the most compelling way. And now, you're eager to start raising resources.

There's one more thing you need to do. Before you can begin asking for funding support or other resources, you need to be very clear about exactly what you need the resources for, how you will use them, and what you expect to accomplish. If you are going to ask for general support — funds you can use any way you wish in support of your MAA's mission and programs — for your organization, you need to have a vision and plan for your MAA. If you are going to ask for support for a particular project —



funds your MAA can use only in support of a specific project — you need to be ready to explain what the project will accomplish and how you will implement it. In other words, you need a plan. Once you have a solid plan, you've got the basis for a good proposal.

This chapter introduces you to a valuable project planning tool — the logic model. Let's assume you have an idea for a project — direct services, advocacy, or other activity — that would benefit your community, or you already have a project you would like to expand or enhance. The logic model will help you outline and describe that new or expanded project.

## 2. Why Plan?

By now, you're getting the idea that planning is important. Planning is a critical component of good management and governance. MAAs that plan are more likely to have programs that are relevant and responsive to the needs of their community. One of the most common reasons for projects to fail is poor or insufficient planning. A good plan:

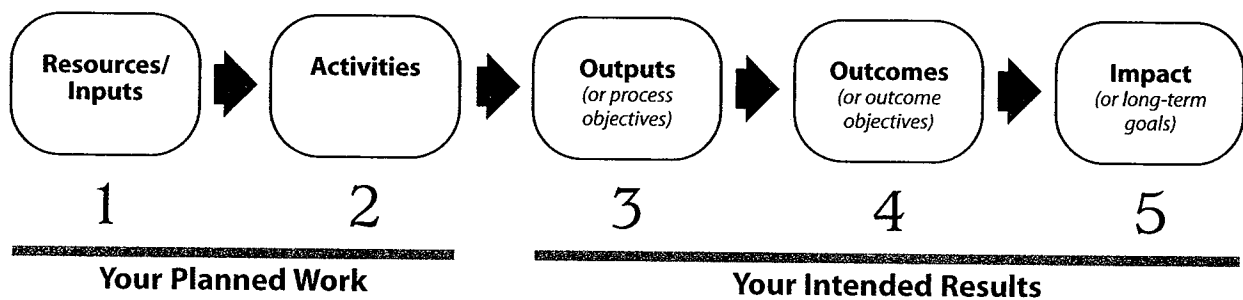
- ♦ Defines “success” in terms of tasks completed and service levels (outputs) and changes in the client or community (outcomes).
- ♦ Ensures that all members of the project team (staff and volunteers) know what they need to do to carry out project activities and successfully meet objectives.
- ♦ Provides clear deadlines for task completion and assigns tasks to specific team members.
- ♦ Provides a basis for monitoring progress and for assessing results and impact. If you monitor progress as you go along, you can make needed changes along the way.
- ♦ Helps you prioritize resources and activities.
- ♦ Provides a basis for developing a project proposal and a detailed project budget.
- ♦ Provides a basis for reporting to funders.

Having a detailed, practical, integrated plan benefits not just your MAA. By assisting your MAA to carry out its programs and services efficiently and effectively, a good plan ultimately benefits your whole community.

### 3. What Is a Logic Model?<sup>1</sup>

As the Kellogg Foundation's *Logic Model Development Guide* explains, "Basically, a logic model is a systematic and visual way to think through and present the relationships among the resources you have to operate your program, the activities you plan to undertake, and the changes or results you hope to achieve." It can provide "a road map describing the sequence of related events connecting the need for the planned program with the program's desired results." Figure 1 illustrates the basic logic model:

Figure 1: The Basic Logic Model<sup>2</sup>



The most basic logic model is a picture of how you believe your program will work. It uses words and/or pictures to describe the sequence of activities thought to bring about change and how these activities are linked to the results the program is expected to achieve.

The Basic Logic Model components shown in Figure 1 above are defined below. These components illustrate the connection between *your planned work* and *your intended results*. They are depicted numerically by steps 1 through 5.

<sup>1</sup> The information in this subsection (What is a Logic Model?) comes largely from the W.K. Kellogg Foundation's *Logic Model Development Guide*. Information quoted directly from the *Guide* is identified by footnotes or shown in quotations.

<sup>2</sup> Both Figure 1 and Figure 2 and the explanations accompanying them come directly from the *Logic Model Development Guide*. The Definitions in the box also come from the *Guide*. The explanations and examples in *Italics* were added.

## Definitions

---

**YOUR PLANNED WORK** describes what resources you think you need to implement your program and what you intend to do.

1. **Resources** include the human, financial, organizational, and community resources a program has available to direct toward doing the work. Sometimes this component is referred to as **Inputs**. *Examples of resources or inputs are staff, volunteers, facilities, equipment, materials, and money.*
2. **Program Activities** are what the program does with the resources. *They include the services or "interventions" the program provides to fulfill your MAA's mission. Examples are providing adult mentors for refugee youth or job training for refugee women or helping people file applications for U.S. citizenship.* These interventions are used to bring about the intended program changes or results.

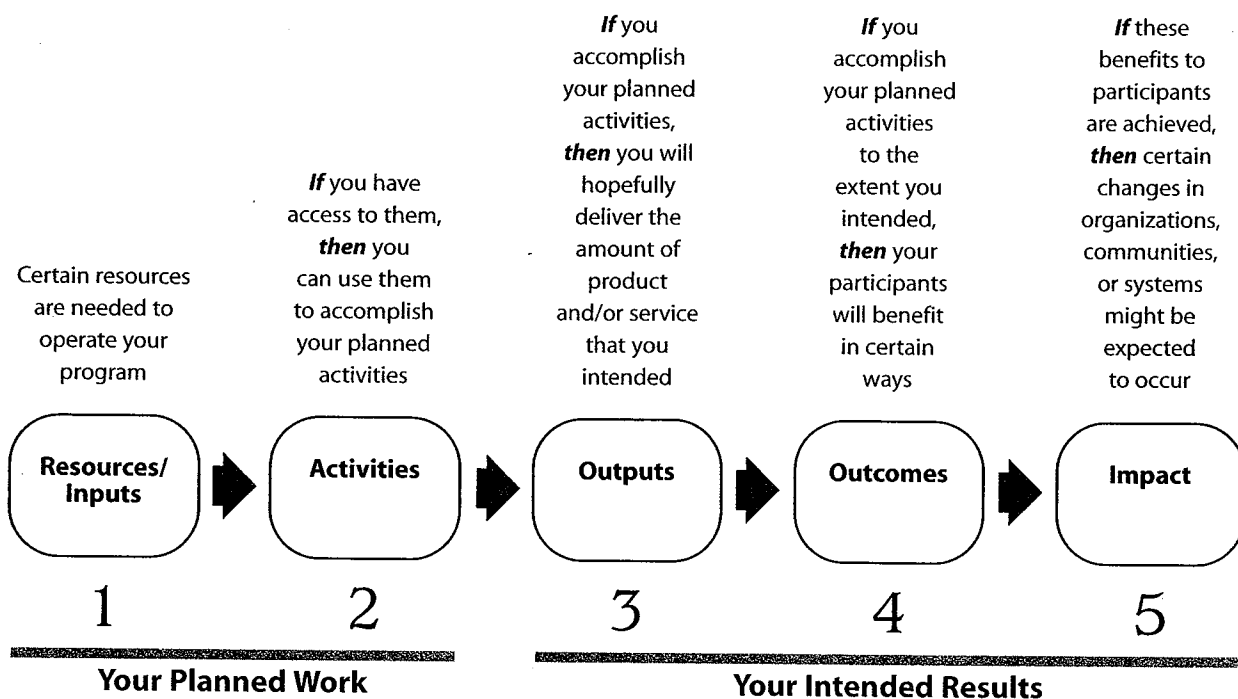
**YOUR INTENDED RESULTS** include all of the program's desired results (outputs, outcomes, and impact).

3. **Outputs** are the direct products of program activities and may include types, levels, and targets of services to be delivered by the program. *Outputs might include the number of teenagers matched with a mentor, the number of mentoring sessions completed, the number of job training classes or hours of training provided, the number of women who completed the training, or the number of citizenship applications filed. Outputs sometimes describe the units of service completed. In proposals, these outputs are sometimes called "process objectives."*
4. **Outcomes** are the specific changes in program participants' behavior, knowledge, skills, status and level of functioning. *Examples include the number of teenage participants who improve their grades or increase school attendance, the number of women who achieve a certain level of English proficiency or obtain jobs based on their training, or the number of clients who pass the citizenship exam. Outcomes can be classified as **initial, intermediate, and longer-term** based on how soon they occur after program participation begins. Short-term outcomes should be attainable within 1-3 years, while longer-term outcomes should be achievable within a 4-6 year timeframe.*
5. **Impact** is the fundamental intended or unintended change occurring in organizations, communities or systems as a result of program activities within 7-10 years. *Examples of impact might be increased college attendance or completion rates among refugee youth, decreased poverty rates among families, or increased levels of civic participation such as voting. In proposals, these are often stated as your long-term goals.*



When "read" from left to right, a logic model describes program basics over time – from planning through results. Reading a logic model entails following the chain of reasoning or "**If ... then ...**" statements which connect the program's parts. Figure 2 shows how the basic logic model is read.

Figure 2: How to Read a Logic Model



#### 4. How Can Our MAA Use the Logic Model?

You can use a logic model to summarize your program in a single chart. In preparing a logic model, you can start at either end. For example, perhaps you know the impact you want to have. Start by describing that, and move to the left. You can identify the shorter-term outcomes that will measure progress toward these goals. Then you can decide on the activities and outputs that will help you reach these outcomes. Finally, you can decide what cash and non-cash (“in-kind”) resources you will need in order to carry out the program. If you prefer, you can start with expected resources. Then you can describe what activities you can carry out using these resources, and how much work you can complete. Then you can describe the measurable short- and medium-term results you want to accomplish. Finally, you can describe the kind of long-term impact you want to help create for the community you serve.

Figure 3: Logic Model for a Women's Empowerment Program

Resources/Inputs	Activities	Outputs	Outcomes	Impact
<p>\$60,000 — covers all project costs</p> <p>Major costs:</p> <ul style="list-style-type: none"> <li>◆ 25% of Director's time</li> <li>◆ 1 part-time computer instructor</li> <li>◆ 1 part-time job developer</li> <li>◆ 15 computers and related equipment (half donated)</li> <li>◆ Operating costs</li> </ul>	<p>Computer training classes for refugee women</p>	<p>30 women will complete 6 months of computer training (8 hours a week or at least 180 total hours of training)</p>	<p><b>Immediate/short-term:</b></p> <ul style="list-style-type: none"> <li>◆ 90% of women demonstrate skills in Windows, MS Word, Excel, and Powerpoint, by completing defined tasks and passing standardized tests developed by standardized test</li> <li>◆ 95% of women successfully carry out a series of computer-related tasks typical of those required in businesses or government (practical test)</li> </ul> <p><b>Medium-term (within 1 year):</b></p> <ul style="list-style-type: none"> <li>◆ 75% of women who complete the training get jobs requiring computer skills</li> <li>◆ 25% of women obtain advanced computer training</li> </ul>	<ul style="list-style-type: none"> <li>◆ Computer literacy becomes widespread in the target neighborhood or community</li> <li>◆ Women are commonly recruited and hired in jobs requiring computer skills</li> <li>◆ The percent of households with computers increases</li> </ul>
<p>\$25,000, primarily for:</p> <ul style="list-style-type: none"> <li>◆ a part-time coordinator</li> <li>◆ written materials and supplies</li> <li>◆ refreshments</li> <li>◆ meeting space</li> <li>◆ small stipends for the participants</li> <li>◆ stipends for guest speakers</li> </ul>	<p>Leadership training for refugee women, with focus on:</p> <ul style="list-style-type: none"> <li>◆ skills for civic engagement</li> <li>◆ particular issues affecting refugee women, such as health care and education</li> </ul>	<p>25 women complete 1 year of training, with one 3-hour session per week</p>	<p><b>Immediate/short-term:</b></p> <ul style="list-style-type: none"> <li>◆ Women report new knowledge and skills, based on a combination of self-reports and practical skill demonstration</li> <li>◆ 80% of graduates indicate a commitment to a specific leadership role — e.g., serving on the governing Board or as a volunteer of a MAA, joining a PTA, or serving on a local government commission.</li> </ul> <p><b>Medium-term (within 2-3 years):</b></p> <ul style="list-style-type: none"> <li>◆ 50% of graduates are in leadership roles in MAAs or other entities</li> <li>◆ 75% of graduates are engaged in civic activities</li> </ul>	<ul style="list-style-type: none"> <li>◆ Refugee women become more involved in civic activities, serving on MAA Boards, running MAAs, becoming involved in schools, etc.</li> <li>◆ Civic engagement and community leadership become normal and accepted roles for women in their refugee community</li> </ul>



Figure 3 describes a hypothetical program of a refugee-led community-based organization. It is a Women's Empowerment Program with two main components: computer training and leadership training. The example can help you see how a logic model can describe an MAA's programs. Reviewing the completed logic model suggests how you can use the logic model format to plan and describe your program, and as a basis for documentation, monitoring, and evaluation.

It is sometimes hard to explain the difference between activities and outputs, and between outputs and outcomes. Here are some hints for remembering:

- ◆ **Activities** are the tasks you carry out, such as computer training, leadership training, or advocacy on behalf of women.
- ◆ **Outputs** are measures of the completion of tasks, including the units or level of services provided and a description of the beneficiaries. For example: 30 women completed at least 180 hours of computer training over six months or 25 women completed a one-year leadership course that provided three hours of training a week.
- ◆ **Your MAA controls activities and outputs; outcomes are changes to the client.** The **output** for training is usually a specified number of people completing a certain number of hours and types of training. Your program can make that happen. The **outcomes** of training are usually new knowledge, new skills, and/or changed attitudes among the clients or participants. If your training is good, you can help the client learn, but the change has to happen within the client.

Work with several people — other staff, key program volunteers, or Board members — to complete a logic model for one of your MAA's programs. Once you have a completed logic model for this program, it will be much easier to put your ideas into a proposal format. For example, as you will learn in the next chapter, funders will expect you to clearly state your project's *long-term goals* and the objectives you will accomplish during or soon after the funding period. Once you have completed the logic model, you can clearly distinguish between your long-term goals — or the impact you seek to have in the community — and your *process objectives* (or outputs) and *outcome objectives*.

Most funders also want to see a *work plan* in your proposal. To develop this, you can look back at the activities in your logic model and ask: for each listed activity, what tasks need to happen to carry out this activity, who will do them, and by when? For example, if your Women's Leadership Training Component is going to provide one full year of leadership training to 25 women, you will need to hire the part-time program coordinator, recruit the participants, develop a curriculum, identify speakers, etc. Then you can logically think through who should complete each of these tasks and by when.

## For More Information

---

...in the Library

***Measuring Program Outcomes: A Practical Approach.***  
Alexandria, VA: United Way of America, 1996. 170 pages, \$5  
plus shipping and handling.



This publication was developed by United Way of America for use by the community-based organizations supported by local United Ways. It describes the use of logic models in developing, communicating, and evaluating project outcomes. To order, contact Sales Service/America at 800-772-0008 (toll-free U.S.) or 703-212-6300. Item No. 0989.

....and on the Web

***Logic Model Development Guide***  
The Kellogg Foundation

<[www.wkkf.org](http://www.wkkf.org)>

Go to the website and look for "Most Requested Publications and Resources." The *Logic Model Development Guide* is listed as a publication on evaluation. You can download the *Guide* from the website, or you can request a printed copy online. The Foundation will send it to you free of charge.



---

## Attachment

1. Logic Model Work Sheet

Tool

**Logic Model Work Sheet**

Inputs/Resources	Activities	Outputs	Outcomes	Impact
Resources dedicated to and consumed by the project, such as: staff time, volunteers, space, materials	What the program does with inputs or resources — such as program services	The direct products of program activities — such as units of service completed	Benefits to or changes in participants during or after involvement in program activities (knowledge, skills, attitudes, behaviors, status, etc.)	Long-term changes — in participants and their families, the community, the organization, or social systems





# Chapter V

## *Proposals*

---

**The Right Materials for the Right Job**



# Chapter Contents

<b>Overview</b> .....	<b>83</b>
<b>1. Introduction</b> .....	<b>83</b>
<b>2. Differences between Public and Private Funders</b> .....	<b>84</b>
How Does ORR Review Proposals?	86
<b>3. Major Types of Fundraising Materials</b> .....	<b>87</b>
Letters of Inquiry	88
Proposals	88
Other Materials	88
<b>4. Hints for Developing Effective Proposals</b> .....	<b>89</b>
DO	89
DON'T	90
Tips on Writing Compelling Proposals	91
<b>5. Elements of a Project or Core Proposal</b> .....	<b>91</b>
The Cover Letter	92
Key Elements of a Proposal	92
The Proposal Summary	93
Introduction to the Organization	94
Talking About Your MAA's Accomplishments	94
The Needs or Problem Statement	95
Goals and Objectives	96
Sample Goals and Objectives	96
Target Population	97
Methods and Work Plan	98
Monitoring and Evaluation	99
Sample Evaluation Methods	100
Management and Staffing	101
Budget and Financial Information	101
Sample Budget Justification or Detailed Budget Format	102
Attachments	103
<b>For More Information</b> .....	<b>104</b>
In the Library	104
And on the Web	106
<b>Attachments</b> .....	<b>107</b>
1. Information on Fiscal Sponsorship	108
2. "Standard" Public-Sector Proposal Format	111
3. "Standard" Private-Sector Proposal Format	115
4. Sample Letter of Inquiry	118
5. Checklist for Keeping Track of Your "Proposal Writing" Materials	122

# Chapter V

## *Proposals*

---

### The Right Materials for the Right Job



#### Overview

This chapter describes the written fundraising materials your MAA will need to send to potential funders. It begins with some basic information about the similarities and differences between the materials typically requested by public and private funders. It then describes and provides many examples of the components and typical sections of a proposal, along with tips for writing winning proposals.

#### 1. Introduction

This chapter helps you write a good proposal. Putting together a proposal can be a daunting task, even for native English speakers. As we discussed in Chapter 4 – “Logic Model,” a good project or organizational plan is the foundation for a good proposal. There are a few more things you’ll need to prepare. This chapter will help you understand what to expect when you begin submitting funding requests to public and private funders. It will help you to identify the key elements of a proposal, and learn some “helpful hints” to increase your chances of success!

Proposal writing is part science and part art. A proposal-writing guide like this one can tell you the time-tested “do’s” and “don’ts” for writing a good proposal. You need to find the best way to tell *your story*. Above all, your written materials must show both the unique character of your organization and the difference you are making for your community. They should demonstrate that you have carefully planned your proposed project and know just what it takes to implement it successfully. You also need to find a balance so you give enough information about what you do and what you plan, with-

out overwhelming the reader with endless detail or long stories about your successes or philosophy or planned activities. In other words, you need to be convincing *and* concise. You don't want to leave the reader with obvious unanswered questions about your work, but you don't want to have so much detail that your reader loses the most important points.

## 2. Differences between Public and Private Funders

Chapters 6 — “Foundations and Corporations,” 8 — “State and Local,” and 9 — “Federal” provide more detailed information about the funding process for private foundations, state and local government funders, and the federal government. The section below provides basic information about the funding process — and the key differences between public and private funders — that will help you as you begin preparing your fundraising materials.

### **How and when do funders announce funding availability?**

Public funders (local, state, and federal government agencies) typically announce the availability of funds through a *Program Announcement*, *Request for Proposal* (RFP), *Notice of Funding Availability* (NOFA), or *Solicitation for Grant Applications*. Public agencies announce and award funds at many different times during the fiscal year; the federal fiscal year runs from October 1 through September 30 and most of the state fiscal years run from July 1 through June 30. It usually takes three to six months after you submit a proposal before you know whether you will receive funding.

Private funders do not typically actively solicit proposals through an RFP process, although this is becoming more common. Foundations typically have “grant cycles” posted on their website or in published funding guides, with proposal deadlines timed to allow for internal review and preparation of a “docket” of proposals in advance of their Board of Trustees or Grantmaking Committee meetings. While large foundation Boards may meet monthly or every other month, it is not uncommon for a small foundation's Board to meet only twice a year.

While corporate foundations typically have grant cycles, many corporations with direct giving programs accept proposals on an ongoing basis. Corporations often budget their giving as part of their annual budgeting process, and allocate funds to specific grantees in that process. Then they leave some funds for new grantees. It is often important to submit grant requests early in the corporation's funding year, before these remaining funds are committed.

### **Should our MAA let the potential funder know we are going to apply for funding?**

As other chapters have indicated, it is best to build relationships before submitting a proposal. In addition, foundations and corporations increasingly use a two-

stage proposal process: they will ask you to first submit a brief (usually two-to-three page) *letter of inquiry*. If the funder feels that your request falls within its guidelines and sounds interesting, it will then invite a full proposal. Many funders encourage prospective applicants to call first and discuss the substance of their request with foundation staff. If so, this provides a wonderful opportunity for you to introduce your MAA and get to know the funder.

Public agencies sometimes require a pre-application letter or *letter of intent* to get a sense of the mix of interested applicants. They are less likely to use the process to screen out potential applicants other than those who do not fit eligibility guidelines. Where funding is based on a competitive RFP process, public agencies do not often allow staff to discuss the content or substance of your proposal before you submit your request. However, they will answer basic questions about eligibility and guidelines (such as questions about page limits or required attachments).

### What types of funding do public and private funders give?

Government agencies usually provide grants or contracts for specific project activities or services. You will rarely send a general support proposal to a government funder. However, government grants and contracts often allow you to include administrative costs. For example, a government grant will often pay part of the Executive Director's salary and will usually pay the full operating costs for the project (including rent, telephone, etc.). Many agencies will also allow you to charge what are called *indirect costs* — a specified percent of direct costs or staff costs that is used to help cover general expenses that cannot be identified with a specific project, such as the bookkeeper's time or the costs of doing an independent audit. This helps ensure that the grant covers all your real costs of running and administering that project.

Private funders may give both project grants and general support contributions that can be used for any charitable purpose. This is particularly true for corporations and foundations that give grants that are too small to fund an entire project. When you read about a foundation or corporation's funding guidelines on the web or in a funding guide, see if it gives grants for "general operating costs" or "unrestricted grants."

### Do both public and private funders require the applicant to be tax-exempt?

Public agencies have differing eligibility requirements, depending on the specific program. Some programs are open only to nonprofit tax-exempt organizations. Other funding competitions are open to public agencies, nonprofit organizations, and for-profit companies. Some public agencies will give a grant to an emerging organization that does not yet have 501(c)(3) status but has a tax-exempt *fiscal sponsor*. (For more information about fiscal sponsors, see the Helpful Hint on Fiscal Sponsor and Attachment 1 at the end of this chapter.)

Most private funders award grants only to organizations that are tax-exempt in the United States. Some also fund public agencies, but tax laws do not permit them to make grants to for-profit entities. Most foundations and corporations

### Helpful Hint

Funders have both eligibility requirements and guidelines. If you do not meet a funder's eligibility requirements (e.g., only organizations located in certain states can apply), your proposal will not be considered. If your organization meets the eligibility requirements, it will be considered. During the review process, the funder will then consider how closely your proposal meets its guidelines and priorities. A growing number of funders have a "frequently asked questions" section on their website. Take time to review these questions if they are available.

*Helpful Hint*



A *general support proposal*, also called a *case statement*, describes the overall mission and programs of your organization and asks for funding to support your overall work. General support grants are *unrestricted* — funds can be used in whatever way is most helpful to your organization, so long as they support the overall charitable (tax-exempt) purposes of the MAA. A *project proposal* describes a particular program, service, or project. It could be an ongoing service (such as English classes), or a one-time only project (such as a health fair). Project funding is *restricted* — the funds can be spent only to support the particular project you described in your proposal.

accept proposals from emerging organizations using a fiscal sponsor, but it's always a good idea to call a potential funder first and make sure.

**Do public and private funders require the same format for a proposal?**

Most governmental funders specify a required format in the *Program Guidance* or *RFP*. If the funder specifies a format, you *must* use that format. Proposals to government agencies often have a page limitation, but rarely limit applicants to less than 20 pages for the narrative section of an application. In addition, they typically permit extensive attachments. If the agency does not provide a format, consider using the one provided in Attachment 2 “Standard” Public-Sector Proposal Format.

Many foundations and corporations do indicate in their guidelines the types of information that must be provided, but the majority do not require a particular order or format. An exception is that some local associations of grantmakers have agreed to accept the same proposal format in order to make life easier for organizations that submit proposals to several local funders. (See the Common Grant Application Helpful Hint.) Proposals to foundations and corporations are typically much shorter than proposals to government sources. A proposal to a foundation is usually ten pages or less, and a proposal to a corporation is often five pages or less. A growing number of corporations and small foundations prefer a *proposal in letter format*, usually not more than 3-4 pages long. (See Attachment 3 at the end of the chapter for a “Standard” Private-Sector Proposal Format.)

**How will our proposal be reviewed?**

Your proposal to a public funder will typically be read by members of a review panel consisting of outside “experts.” Review panels vary in size and use many different review methods. (See the box for the ORR review process.)

---

**How Does ORR Review Proposals?**

At ORR, staff choose external reviewers, usually people who have worked in the field, retired government officials, and, increasingly, refugees. Each three-person panel meets once a day to go over and score that day's proposals. Typically, the panel will spend about 10-12 minutes on each proposal. Everyone on the panel reads the entire proposal, and scores it based on the published criteria. Because reviewers are expected to review 6 or 7 proposals per day, they have only 90 minutes to read, analyze, and score each proposal. After the review panels have finished their work, proposals are put in rank order for staff comment and recommenda-



tion. The list of recommended proposals then goes to the Director for approval. The Director can skip over higher-ranking proposals to obtain geographic or target group diversity, to provide multiple program approaches, or to address other issues. To help ensure that this doesn't happen to your proposal, it's useful to have a Congressional letter of support.

### Example

At a private foundation or corporation that has staff, usually only the staff read your proposal. The staff reviewer then prepares a summary, including a recommendation, for the foundation's Board of Trustees. The Board then reviews this "docket" (a group of recommended proposals) at its Board meeting and makes its decisions, taking into account the staff recommendations. There is no requirement that a private-sector funder even read all the proposals it receives. Foundations that have more staff are more likely to read proposals carefully and to use formal review and selection procedures than those with few or no staff.

#### Does the proposal really matter? Isn't it all about "who you know?"

It's true that "people give to people." The staff or reviewers of your proposal are more likely to recommend your proposal for funding when they have first-hand knowledge of and a positive impression of your MAA, its staff and leadership. Building relationships with both the prospective and current funders of your MAA must be a critical component of your resource development efforts. It's so important that we've given you tips and steps in four other chapters of this guide. (See Chapters 6 — "Foundations and Corporations," 7 — "Individuals," 8 — "State and Local," and 9 — "Federal.")

But that said, for both private and public funders, *the quality of the proposal is also very important*. Many funders believe that the ability of the applicant to prepare a logical, complete, well-organized proposal indicates the ability of the organization to carry out a project successfully. If your proposal is poorly organized or incomplete, the funder may assume — often incorrectly — that the project would be poorly organized and badly managed.

### 3. Major Types of Fundraising Materials

You will need to prepare three major types of fundraising materials: letters of inquiry, full proposals, and supporting information that shows your MAA's capability and experience. Each of these can be used for a specific project or for general operating support. Below is a brief summary of the types of materials you can begin to prepare even before you have identified specific funders.

#### Helpful Hint Fiscal Sponsor

A fiscal sponsor is a 501(c)(3) tax-exempt organization that is willing to receive and manage funds on behalf of an organization that does not have its own tax-exempt status. It takes legal responsibility for how those funds are spent. If your organization is not tax-exempt, and you are applying for a grant with a fiscal sponsor, you will need to attach your fiscal sponsor's 501(c)(3) letter. There are many different ways to structure a relationship with a fiscal sponsor. For more information about fiscal sponsorship, we recommend *Fiscal Sponsorship: 6 Ways to do it Right*, by Gregory L. Colvin, San Francisco, Study Center Press, 1993.

Helpful Hint



**Common Grant Application**

An increasing number of private foundations that fund at local, state, and regional levels accept what are called common grant applications. This is a standard order and format that funders adopt to make the process easier for applicants. Usually, these *common grant applications* are developed by and available from a *Regional Association of Grant-makers* (otherwise known as a "RAG"). To find out if there is a RAG in your community, go to [www.givingforum.org](http://www.givingforum.org) and click on the regional association locator. Usually, a local RAG will list all the local/regional funders who accept the common grant application. You will also be able to download your RAG's common grant application format from its website.

**Letters of Inquiry**

Many private-sector funders, and a few public agencies as well, now request that organizations interested in applying for funding first submit a *letter of inquiry*. A letter of inquiry briefly describes your organization and summarizes the project or activity for which you seek funding. The funder uses the letter of inquiry to determine whether or not the project is likely to fit its guidelines and priorities. If the funder believes that your organization and/or project fits its priorities and finds the project exciting or innovative, it will invite you to submit a full proposal. While a positive response to a letter of inquiry is a good sign, *it does not guarantee funding!* You still need to prepare a very strong proposal. A letter of inquiry is generally not more than two or three pages long. Include a few carefully chosen attachments, unless the funder tells you it will not accept them. Communicate creativity and energy. Use action verbs. Provide a few carefully chosen examples that make your community and your project real to the funder. You can begin to write a letter of inquiry before you have identified specific funders, but you *always* tailor it to the specific guidelines and priorities of each funding source, to show how your proposed activities fit those guidelines and priorities. (See Attachment 4 for a sample Letter of Inquiry.)

**Proposals**

Full proposals provide the detail that a funder needs to decide whether or not it will invest its limited resources in your organization or project. There are three major types of proposals:

1. A *Project Proposal* is a request for full or partial funding of a specific project, containing all the organization, project, budget, and supporting information required for the potential funder to make a funding decision.
2. A *Core Proposal* is a proposal for partial funding of a "core" activity of a nonprofit organization, such as its youth services, education programs, services for women, or another basic function. The format is the same as for a project proposal, but the core proposal covers all the services or projects in a particular program area. Many organizations write multiple narrowly defined project proposals; a core proposal is a useful alternative. You can submit it to a variety of funders, asking each for partial funding.
3. A *Case Statement* or *General Support Proposal* is a proposal for flexible funding (unrestricted grants) that can be used as the agency wants, with no restrictions except that uses must fit the organization's tax-exempt purposes.

**Other Materials**

You should also prepare materials that describe the work of your organization. These might include: a one-page *mission statement*, *capability statement*, *fact sheet*, or *brochure*. Your proposal should always include basic information



about your organization's mission or reason for existing, major strategies or program priorities, and what makes it unique from other organizations. It is also a good idea to have this information in some other format — such as a brochure or fact sheet — that can stand alone and be used for a broad variety of marketing purposes.

## 4. Hints for Developing Effective Proposals

### DO

1. **Be clear, concise, and specific.** The challenge is both to convey the human story of your work — *how are people's lives changed because of what you do?* — and to show the funder that your project has been logically and thoughtfully developed *and* can be implemented successfully.
2. **Follow the funding format specified and include all the information requested,** from major topics to demonstration of eligibility. Highlight information that directly addresses the funder's guidelines or evaluation criteria. Make sure you've clearly stated the amount you are requesting. Contact the funding source with questions if its specified format seems unclear. Most funders are happy to provide this kind of information.
3. **Link your project to funder priorities and evaluation criteria.** Read the funder's guidelines very closely, marking specific priorities and evaluation criteria. Make sure your proposal describes how your project relates directly to funder priorities and how it meets stated criteria.
4. **Explain why your project is a good investment.** Provide measurable objectives and describe expected impact on your clients or community. Funders want to make a difference. The most attractive grantees are those that can promise the greatest impact for each dollar provided.
5. **Make information easy to find.** It should be easy for the person reading your proposal to find the required information (such as goals and objectives, staffing and management). Try using an outline format, with headings and sub-headings. Leave extra lines between your headings. Once you put your whole proposal package together, it should be easy for the person reviewing your proposal to find the body of the proposal, the budget, and the attachments. Use a Table of Contents or paperclip the sections together. (Because funders have to take your proposal apart to make copies, do not bind it.)
6. **Keep attachments relevant, and reference them in the text.** Use them to elaborate on information in the proposal. For example, you might provide a brochure or one-page fact sheet describing the organization, and a local newspaper clipping that supports your analysis of the need for your project.

## **DON'T**

1. **Don't recycle an existing proposal without tailoring it to the specific guidelines and format requirements of the funder to whom you are sending it.** You may have a wonderful idea that was made to order for this initiative. If so, it deserves a proposal that links it directly to the purposes and priorities of this funder or this RFP. Don't substitute your "preferred" format for one specified by the funding source, unless its format is clearly described as optional.
2. **Don't apply unless you meet eligibility requirements.** Your proposal will not be considered for funding unless your organization meets eligibility criteria and your project fits within the stated scope of the program.
3. **Don't exceed the page limit** – or squeeze too much information onto two or three pages by using tiny type or minimal margins. Doing this might eliminate your proposal from consideration. Most public funders require 12-point type and margins at least one inch.
4. **Don't put essential information in the attachments rather than the text.** Attachments should supplement and highlight the information in the proposal. They seldom receive the same level of attention as the proposal itself.
5. **Don't exclude required information without an explanation.** For example, many funders request a copy of the applicant's most recent audit. If your organization is young and has a small budget, you might not have an audit yet. Explain in your cover letter why you do not have an audit, how your organization works to ensure financial accountability, and when you expect to have an audit.
6. **Don't depend on weak verbs, passive voice, or forms of the verb "to be."** Stress that your organization "accomplishes results," not that work has "been done." Weak verbs and passive voice make your project and organization seem less interesting or effective. An example of passive voice: "mentors will be found for five refugee families." An example of active voice: "The outreach coordinator will identify and recruit mentors for five refugee families."
7. **Don't simply repeat key words or evaluation criteria from the RFP,** without demonstrating how your project relates to them. Likewise, avoid jargon or overused terminology. If you use terms such as "empowerment," "self-sufficiency," or "community building," also describe what these things look like for your community. If a refugee woman is "empowered," how is her life different?
8. **Don't assume that reviewers will have an in-depth understanding of your community or the technical aspects of your project.** Assume intelligence and a strong general background, not a detailed knowledge of your geographic area or the service systems or issues in your state or community.

---

### Tips on Writing Compelling Proposals

How can you make sure your proposals sound strong and interesting?

#### Use active rather than passive voice.

**Passive voice** can be uninteresting and may not clearly state your MAA's role:

Collaboration is arranged with housing and community development agencies so that refugee needs for safe housing in friendly communities can be met.

**Active voice** shows energy and makes your MAA the center of attention:

New Home MAA collaborates with housing and community development agencies to help refugees find new homes in friendly communities.

#### Use strong verbs.


All forms of "to be" are **weak verbs** — they make sentences but they don't communicate action and energy:

New Home MAA *is* successful in helping refugees find affordable housing. Often, home ownership *is* possible.

The **strongest verbs** have direct objects — they show results:

New Home MAA *finds* affordable housing for refugee families. We *help* families *buy* their own homes.

---

Example 

## 5. Elements of a Project or Core Proposal

Often, funders have a specific format or outline they want you to follow, or list questions they would like you to address in your proposal. However, there are some key elements you will find in almost any proposal for project funding. These key elements provide the kinds of information needed to convince a funder of the importance of supporting your organization and project. The key elements described below can easily be tailored to meet a funder's requirements. The format described below includes all the necessary proposal elements in a logical order that you can easily use for step-by-step project design, so it helps you develop your program plan. Subsections can be moved around or added to meet

special funder requirements or your own preferences. For funders who do not provide a specific format, there is no single correct or appropriate format. Use a format that feels “comfortable” for your organization.

### ***The Cover Letter***

#### **What should this section include?**

A cover letter should include the amount requested and for what purposes. If someone who knows the funder suggested you submit this proposal and use his/her name, identify your contact in the letter. It should be short (less than one page). If someone from your organization will be visiting the location of the funder in the near future, indicate this and request a meeting to discuss your proposal.

## **Key Elements of a Proposal**

---

**Cover letter** — briefly states your MAA’s mission, the purpose of your request, and the amount you are requesting.

**Summary** — briefly states who your organization is, what it is requesting support for, the needs you will meet, the target population that will benefit, how they will benefit, and how much money you are requesting.

**Organizational background and capability** — describes your MAA’s history, mission, and structure, and its experience in carrying out related programs.

**Needs or problem statement** — demonstrates and documents the need for the project, often including a description of specific service gaps in your target community.

**Goals and objectives** — describes the measurable results (“outcome objectives”) the project expects to accomplish, and interim “process” or “task” objectives by which progress toward these outcomes can be measured.

**Anticipated benefits** — describes what is special or unique about the project and how it will have broad impact.

**Target population** — tells the number and characteristics of the individuals who will be served and benefit from the project; often includes a description of how this population has been involved in determining needs and priorities.

**Methodology and work plan** — describes how the project will be implemented, including both *content* (program components, philosophy, and methods) and *process* (the specific tasks that need to be carried out under each component). Often includes a chart that summarizes objectives, tasks and activities, responsibilities, and timeline.

**Evaluation plan** — describes how you plan to monitor project activities and evaluate the extent to which you are meeting outcome objectives.

**Management and staffing information** — tells how the project will be organized, staffed, and administered.

**Financial information** — provides an overview of the attached detailed budget, including how much is being requested and amounts that have been raised and/or requested from other sources.

**Supporting materials** — usually includes proof of tax-exempt status, annual report or agency fact sheet or brochure, resumes for key agency and project staff, a total agency operating budget for the year, a listing of current funders, a list of your Board of Directors showing their affiliations, letters of commitment from partner organizations, and other materials showing your capability such as positive news articles or carefully selected letters of support.



**Why is it important?**

A cover letter may be the only place where you provide a contact name, title, address, telephone number, e-mail, and fax number in case the funder would like additional information. If you have a cover page, put contact information there, too. Public-sector proposals sometimes have a required form that includes contact information. The Executive Director and/or Board Chair should sign the letter. This shows a funder that the proposal has the Board's authorization. Remember that the letter and proposal are an implied contract: "Give us \$X and we will do the things described in the proposal."

**The Proposal Summary**

*(Sometimes called an "abstract" for public-sector proposals)*

**What should this section include?**

The summary should clearly and concisely describe what the project proposes to do, why it is needed, and what you intend to accomplish, including both the expected results and the broader impact of the project on the community. It should say how this project fits with your organization's mission and why your organization is particularly well qualified to run this project. It should also say how your project fits with the funding source's funding priorities and interests. Don't forget to state the amount of funding requested over what period of time. Write the summary last and put it first. For private-sector proposals, it should be no longer than one page, single-spaced. For a short proposal, make the summary shorter, sometimes only a paragraph or two. For a long public-sector proposal written in response to an RFP, the summary is often 2-3 pages long. Follow instructions!

**Why is it important?**

A good summary may mean the difference between having your foundation or corporate proposal discarded without being read and having it read thoroughly. A well-written summary sometimes goes to the foundation Board of Trustees, which rarely reads the whole proposal. In the public sector, sometimes only two reviewers on a large review panel read your entire proposal, and the rest read only the summary. So it's really important!

**Other helpful hints:**

The summary should convey the unique or particularly creative aspects of your project. Try to communicate why your MAA feels the proposed work is so important. Write a summary that can "stand alone," explaining the essence of your proposed project to a reader. Don't simply pick up sentences from other sections of the proposal. The summary needs to be written separately so that it flows easily and highlights the most compelling parts of your proposal.

## ***Introduction to the Organization***

### **What should this section include?**

This section of a proposal introduces your organization to the funder. It should say when and where the organization was founded, its purposes or mission, its structure and governance, and its most significant accomplishments, especially those related to the project for which you are requesting funding. If your organization serves a particular geographic community or target population, make sure to mention that here.

### **Why is it important?**

You need to show that your MAA has the capability to successfully carry out the proposed project. Funders also want to see that the project you are proposing is related to your mission. They want to make sure that you are not just “going after the money.” Don’t assume that you can skip this section if someone at the potential funder knows you. For a competitive public-sector proposal, reviewers are told to rate the proposal strictly on the information included. Even if a reviewer is familiar with your organization, s/he is not supposed to consider your reputation — only the information you provide. For private-sector proposals, this section is particularly important when you are introducing your agency to a potential funder that knows nothing about you, as is often the case with out-of-town foundations or corporations. Put this near the beginning of the proposal so the reader will know who you are and what experience you have as s/he reads the proposal.

### **Other helpful hints:**

Don’t exaggerate your accomplishments, but don’t be vague either. Offer a few concrete examples of the difference your MAA is making. If your MAA is new and its experience is limited, you may want to say something about the related experience of its founders and leaders.

---

### **Talking About Your MAA’s Accomplishments**

The Springfield Refugee Life Skills Center was founded in 1990 to ensure that refugees have the basic life skills to survive in their new homeland. The community recognizes Life Skills Center for its unique “peer mentoring” approach, in which we match a newly arrived family with a family that has been here longer to share experiences and offer guidance and support.

We currently offer the following services:


*[provide a bulleted, one or two sentence description of your core services or programs]*

In the past ten years, the Life Skills center has helped over X refugees. Our major accomplishments include:

[provide a few bullets of major accomplishments]

Begun as an all-volunteer organization, the Life Skills Center has grown to include 4 full-time and 2 part-time staff. A 15-member Board — more than half refugees — provides fiscal oversight and serves as a link to the community. All members of the Board make a personally significant contribution to the organization.

---

Example 

## **The Needs or Problem Statement**

### **What should this section include?**

This part of your proposal should discuss both the general problem to be addressed and the specific aspect of the problem your project will address. This means picking a manageable part of the problem that can realistically be addressed by the project, including a particular target group, geographic community, unmet need, or service gap. It should also answer the questions “how do you know this is a problem?” It is important to provide some “evidence” of the problem or need. Statistics are great, but if you don’t have them, don’t make them up. You can also use *anecdotal evidence* — cases or stories that suggest a general trend. Suggest the kinds of action that are likely to be most successful in addressing the need you have identified. Also mention approaches that have been tried but were not successful.

### **Why is it important?**

The world has many problems. You need to convince the funder that the effort you are proposing is badly needed, and is something to which the funder should commit its resources — in effect, that your work is more important than other work the funder might support. But also avoid using emotional words — it’s always better to show your point than to say it. Present factual information and examples that will show the seriousness of the problem and the critical need for addressing it. Remember that many funders may not be familiar with your community or the population you serve — the proposal must provide that information. Public-sector funders will judge your proposal solely on the information in the proposal. So it is up to you to provide information about your community.

**Other helpful hints:**

Use appropriate statistics and examples. Statistics are important — they demonstrate how you know a problem or need exists. It may be hard for to find statistics about your community. Be careful not to rely on national statistics to demonstrate a local need. It's OK to use national statistics, but you also need to show they are relevant to your local community. If you don't have hard data, use what you do have, such as information from a survey or even a community forum. A needs statement is effective only if it helps the reader see that the proposed project is a sound way of dealing with the demonstrated problems.

**Goals and Objectives**

**What should this section include?**

It should include one or more long-term goals, as well as several measurable outcome objectives. A *goal* is a statement of desired long-term program impact, and need not be immediately measurable. An *outcome objective* states the desired results of a program or intervention in measurable terms with a time deadline. It should be realistic and achievable during the project period, especially for a multi-year project. An outcome objective is usually stated in quantitative terms. It is also useful to include "process" or "output" objectives, which describe tasks which will be carried out, in measurable terms, with a time deadline. These

**Sample Goals and Objectives**

---

Writing clear goal statements and process and outcome objectives is one of the most challenging aspects of a proposal. The logic model described in Chapter 4 will bring you a long way toward writing clear goal statements as well as process and outcome objectives.

Remember that a goal is typically long-term; it should be challenging, but something your MAA, in partnership with others, can in fact attain over time. Both process and outcome objectives should be specific, realistic, measurable, and time-phased. Again, the process is what your MAA has control over, the outcome is how your target population is different or changed as a result.

**Example One**

**Goal:** *To reduce the unemployment rate among young adult refugees and immigrants in Central County.*

**Process Objective:** *To provide 20 hours of training in how to apply for a job to 75 immigrant and refugee young adults aged 18-25 within one year.*

**Outcome Objective:** *To place 80% of 120 employment training clients in permanent full-time jobs within one year.*

**Example Two**

**Goal:** *To increase the parent involvement among refugee mothers in their children's education.*

**Process Objective:** *To have 80 refugee and immigrant parents of elementary-age children complete a nine-week, 27-hour course on "how to help your child succeed in school" within six months after project initiation.*

**Outcome Objective:** *To have 70 graduates of the course become active members of their child's elementary school parent council or PTA, attending at least six meetings during the following school year.*





process objectives are important because they help you measure progress toward your outcome objectives.

### Why is it important?

This section of your proposal tells the potential funder what you will accomplish both in the long run and during the funding period, if money is provided. Remember that funders do not fund you just for your efforts; they fund you to get results.

### What are some common mistakes in writing outcome objectives?

1. **The writer states the problem rather than the objective.** This reflects confusion between the condition and the intended solution. An example is: *To address the problem of unemployment among Asian and Pacific Islander youth in our community.* The objective should state the desired **result**, not restate the problem.
2. **The objectives contain imprecise terms, or are “fuzzy.”** For example, *“helping to make English language training in school more culturally appropriate”* is a worthy ideal, but success is not easy to define or measure. Avoid terms like *adequate, desirable, appropriate,* and use terms that are definable and measurable — numbers, percentages, or statements of status or behavior.
3. **The writer never states an objective in explicit terms.** A lead-in like *“the objectives of this proposal are”* or *“the research objectives are”* can be used to avoid this problem. This helps the writer focus on what will be done.
4. **The proposal has too many outcome objectives.** Usually, if there are many objectives, some will not be met. Sticking to a manageable — a minimum practical — number is very important. The more objectives you state, the more likely that reviewers may take issue with them, or feel that some of them cannot be met within the scope of the project.
5. **The objective is too broad to be practical.** Few individual projects can change the world in a few years. Beware of promising more than you can deliver.

## Target Population

### What should this section include?

A description of the target population should include the number and characteristics of the people your project will serve or benefit and how you will find and recruit them. If you are providing services to refugee youth, pregnant women, asylees from Africa, or the elderly, who specifically will receive the services? How will you locate potential clients? In addition, a growing number of funders are also asking, “How will your target population be involved?” They want to see not only how people are being served but also how they are being involved in defining and meeting their own needs.

### Why is it important?

This is a very important section for MAAs. Your target population is, quite likely, what will make you unique in comparison to other service providers. As an

MAA, the close and deep connection you have to your ethnic community is one of your greatest assets. In addition, funders use this section to determine the project's cost per client, so they want to know how many people you will serve.

### **Methods and Work Plan**

#### **What should this section include?**

The goals and objectives tell the funder what you hope to accomplish. The work plan tells the funder *how* you will accomplish your goals and objectives. It needs to describe the major types of activities you will carry out within the project. But it should also say something about the *content* of your approach, that is, the philosophy behind your methods and the strategies you will use. Let's say the long-term goal of your project is to empower women economically and socially, and your main project activities are an English class and a women's sewing group. In addition to simply describing the activities — how many classes will be offered, where they will take place, etc. — this section might explain, for example, that many refugee women from your community spend nearly all their time at home, isolated from the community. Through a sewing class, the women have the opportunity to begin talking to each other and sharing their experiences, and this builds their confidence, which is a critical step to empowerment. Through a practical approach to English, they will learn the language skills needed to take a bus, read labels in the market, talk to their child's teacher, and communicate with their neighbors. Explain that your strategy is to provide practical skills to reduce isolation and also to begin to prepare women for employment. Remember that, as an MAA, part of what makes you unique is your understanding of and connection to your target community and your ability to provide culturally competent services and programs.

In describing the activities or services your project will carry out, be specific. If your project will provide "employment services," describe what that includes (for example, job search assistance, resume writing workshops, orientation to "the world of work," help in identifying job openings). Then break these services down into steps. What will you need to do to implement each one of these? For example, you will recruit participants, hire a teacher, develop curriculum, contact employers, etc. Prepare your list of tasks and your work plan chart *before* writing the work plan narrative. Use charts wherever feasible, such as a work plan chart that lists objectives, tasks, activities, responsibilities, and time deadlines. A chart shows you have thought a lot about the project, and suggests that you will be able to get started without undue planning time. Be sure to indicate in the narrative how you will make services accessible to clients and how these tasks relate to each of your stated project objectives. Identify the major tasks, and group the activities under them.

#### **Why is it important?**

This is among the most important parts of your proposal. It allows you to demonstrate the creativity, quality, and appropriateness of your services or activities —

and get the funder excited about them. It also shows the funder that you know exactly what you will do if you get the money — that you have a clear implementation plan. Even if the funder thinks your program is important, you are unlikely to get funding unless s/he sees how you are going to carry it out. Your ability to organize the project into tasks is considered by some funding sources to be a measure of your ability to carry out the project. So design the tasks carefully.

#### **Other helpful hints:**

You are not bound to every detail of the methodology and work plan as presented. Experience always leads to changes in methods and tasks. What you want to do is present the plan as specifically as possible, given your current information. Be sure to indicate, wherever you present criteria for client selection or other measures, that they are “preliminary,” to be finalized based on the results of further planning and project development. Where you include a survey instrument or a client reporting form, indicate that it is a draft. This is expected and appropriate.

### **Monitoring and Evaluation**

#### **What should this section include?**

Remember that objectives need to be measurable. This section should describe how you will measure the extent to which you are meeting your objectives. It's always easier to measure process objectives (the services or activities you provided) than outcome objectives (how the program participants are different as a result). For process objectives, you need to show you have a system in place for keeping track of your activities, who attends your services and how often. For outcome objectives, you need to think about how you can measure what your program participants have learned or how they are better off. For example, some MAAs ask their program participants to complete brief surveys. Sometimes you will need to contact participants some months after they have completed training or other services, to see whether their status has changed because of the services they received.

#### **Why is it important?**

Remember that funders are supporting you because they believe your goals and objectives are important. They want to see the same changes and improvements in the lives of your clients and your community as you do. At the end of the grant period, they will want to have an answer to one key question: *Did it work?* In addition, most funders like organizations that carefully monitor their own progress and learn from their experiences. They want to see that you have a plan in place for documenting and monitoring your activities, accomplishments, and challenges, *and* for making changes to improve program performance if problems are encountered. Sometimes a demonstration project does not succeed, but the lessons learned will help other projects succeed in the future. Most funders understand that you learn from both successes and failures.

### Other helpful hints:

Make sure you are clear whether or not the funder to whom you are applying requires an “independent” external evaluation — that is an evaluation by an outside consultant or organization that is objective and was not involved in project implementation. Most private funders do not require an external evaluation except for large projects or demonstration projects — those that are testing new methods or models. Both public- and private-sector funders are more likely to want an external evaluation when they provide multi-year funding. However, this varies a great deal. Be sure to read guidelines carefully and decide what is expected. An independent external evaluation often costs as much as 8-12 percent of your project budget. Costs depend on what data you collect yourself and what information the evaluator must obtain, whether it is necessary to find and inter-

## Sample Evaluation Methods

---

Let's look at the objectives for the employment and parent involvement projects used as examples in a previous box (Sample Goals and Objectives), and see how to evaluate whether they were reached.

### Employment Program

**Process Objective:** *To provide 20 hours of training in how to apply for a job to 75 immigrant and refugee young adults aged 18-25 within one year.*

**Evaluation Method:** Staff use an intake form to learn the age and refugee status of each participant. The trainer at each job preparation session asks participants to sign in, using a summary sheet that describes the topic, date, and length of the session. Then someone on the staff prepares a master list of all the participants and tabulates the number of hours of training they received during the one-year period. This provides the information needed to measure completion of this objective.

**Outcome Objective:** *To place 80% of 120 employment training clients in permanent full-time jobs within one year.*

**Evaluation Method:** The project keeps track of the number of participants — so is able to say whether there were at least 120. The project asks participants to let them know if they obtain jobs, and also follows up with employers to whom it refers participants. Staff record information about the type of job, whether it is full-time, whether it is permanent, and the hourly rate or salary. Staff make follow-up calls to participants three months after placement to see if they are still employed. The MAA considers a person permanently employed once s/he has been on the job for at least three months.

### Parent Involvement Program

**Process Objective:** *To have 80 refugee and immigrant parents of elementary-age children complete a nine-week course on “how to help your child succeed in school” within six months after project initiation.*

**Evaluation Method:** Staff provide weekly three-hour training sessions at participating elementary schools. Each course has a list of registered parents. The trainer checks attendance at each session, noting whether each parent attended and stayed for the entire session. Parents can graduate if they attend at least seven of the nine weekly sessions. Staff review the attendance information — documenting the number of parents who complete the course.

**Outcome Objective:** *To have 70 graduates of the course become active members of their child's elementary school parent council or PTA, attending at least six meetings or other activities during the following school year.*

**Evaluation Method:** The MAA makes arrangements with the school to monitor attendance at its PTA or parent council meetings. A staff member or parent leader takes responsibility for ensuring that there is a sign-up sheet at each meeting or other activity of this parent group. Staff of the MAA review these sign-up sheets and tabulate attendance of course graduates over the academic year.



view participants or “graduates,” and how many people need to be contacted, and the methods used. For example, personal interviews cost more than written surveys, but face-to-face interviews in their native language may be needed to get information from refugees with limited English.

## ***Management and Staffing***

### **What should this section include?**

This section should describe the *management and staffing structure* of the project. In other words, what positions will be needed to carry out the project and what will be the major responsibilities of each position? Who will coordinate or manage the project? You may want to prepare and attach brief job descriptions, especially if it’s a new project. You should also highlight the qualifications — experience and education — of key staff and volunteers. You may also want to include an organizational chart that shows where the project “fits” in the organization. It shows boxes for all major positions and projects, indicating to whom the project director reports and listing other staff who report to the project director.

### **Why is it important?**

Foundations and corporations often feel that community-based organizations are not good managers, so a well-stated summary of how you will assure that the program is carried out successfully will impress them. They also want to know that you will be able to find qualified staff to run the project.

### **Other helpful hints:**

If you are asking for funding for a new project that has not started (or gotten funding), probably you have not hired staff yet. In this case, it’s a good idea to describe the responsibilities of each position as well as the preferred qualifications of the ideal person for the position. You can also include summary (one-paragraph) resumes of key staff, to show the training and experience of your current staff.

## ***Budget and Financial Information***

### **What should this section include?**

Most private funders ask you to include a brief overview of your budget and basic financial information within the body of a proposal, as well as a detailed project budget and often a summary organizational budget. The narrative overview should indicate how much total funding is needed, how much has already been obtained and from what sources, and how much is still needed. Indicate the proposed funding period and how much you are requesting from this funder — three years of support at \$X per year, or \$Y for one year, for example. Sometimes a funder will specifically ask you to address the issue of *sustainability* — that is, how the project will be continued after the funding being requested runs out.

Public-sector funders typically require a *budget justification* — a detailed presentation of the purpose and breakdown of every expense, by cost category. Some private-sector funders also like to understand how you calculated the total amounts for each type of expense. They may simply ask for a “detailed budget.” See the Budget Justification box for a sample format that meets both requirements.

Both types of funders will want you to submit a detailed project budget and an overall organizational budget. Public agencies typically specify requirements for a budget using a specific form (such as an SF-424). To develop your budget, you should look back at your work plan and think about the associated costs with each component of your work plan: How much staff time will we need to implement this task? Will there be printing costs? Do we need special materials or supplies? The challenge is in developing a complete, accurate, and practical/realistic budget and putting it into the required format. You should develop a “standard” budget format for your organization with all the cost categories your projects might need, and use it consistently in developing your project and organizational budgets. If the funder specifies a particular format, convert to that format *after* preparing the budget, to avoid forgetting cost categories (“line items”) important to your organization. When you’re all done, check your budget against your work plan.

## Sample Budget Justification or Detailed Budget Format

Your detailed budget or budget justification should list all expense categories and then explain in brief words and calculations how you developed the cost estimate. The sample below shows how to do that for some sample cost categories.

<b>Cost Category and Explanation</b>	<b>Cost</b>
<b>I. Personnel</b>	
Salaries	
Executive Director — 20% time at \$45,000/year x 1 year	\$ 9,000
Project Coordinator — 100% time at \$39,000/year x 1 year	39,000
Job Training Specialist — 100% time at \$36,000/year x 9 months	27,000
Secretary/Intake Worker — 25% time at \$24,000/year x 12 months	<u>6,000</u>
Subtotal, Salaries	81,000
Fringe benefits	
@ 20% (includes FICA, health insurance, vacation, holidays, and life insurance)	<u>16,200</u>
Total, Personnel	97,200
<b>II. Operating Costs</b>	
Rent — 2,000 sq. ft. of space x \$9/sq. ft./year x 1 year	18,000
Telephone costs — \$83/month for two lines plus long distance x 12 months	996
Equipment — 1 computer (\$750) plus 1 laser printer (\$550) plus office furniture for two staff (2 desks @ \$150, 2 chairs @ \$125), plus \$300 for training room equipment as needed; rest donated	2,150
Office and training supplies (includes desk-top supplies @ \$70/month and training supplies at \$5 per participant per month x 30 participants per month x 12 months = \$220/month x 12 months)	2,640
<i>[Add other cost categories as needed]</i>	



**Why is it important?**

The budget section is extremely important for both the Executive Director of an organization or manager of a project, and for the potential funder. For your organization, the project budget is the blueprint for how you will use grant funds to implement your work plan. For the funder, the budget is a way to see if you have really thought through all the cost-related details of your project. A budget needs to convince the potential funder that you have carefully considered cost factors and developed a budget that is sufficient but not “padded.” (A “padded” budget asks for more money than you actually need.)

**Other helpful hints:**

Except for small projects or when applying to large foundations, a single private-sector funding source is unlikely to provide full funding for a project. Instead, you will need to submit the same or similar proposal to several sources, asking each for part of the required funding. The first grant is often the hardest to obtain. Once you have received an initial commitment of funds or a challenge grant, be sure to include this information in the Budget section of your proposal, and in the letter that accompanies the proposal. Letting the potential funder know you have already raised part of the funding may significantly improve your chances for getting the rest. Sometimes, organizations don't want to identify other potential funding sources in a proposal, thinking “it will look as if we are already getting the money for a project and don't really need the funder's support.” In fact, the opposite is true: funders want to see that you are actively pursuing multiple sources of funding. (As one fundraising specialist puts it, “Everyone wants to be your third funder.”) Foundations and corporations generally recognize that you must seek funds from a number of sources for the same project, on the assumption that some will turn you down or be able to provide only partial funding. If the potential funders are logical ones for your project, those reviewing the proposal will recognize the evidence of solid research on funding sources. In some instances, a foundation or corporation that is interested in your project may contact another potential funder, and thus help you obtain funds from that second source.

**Attachments**

Make sure you are clear about which attachments are required and which are optional. The following are the attachments funders most often want to see:

- ◆ Fact sheet, annual report, or brochure (A fancy brochure is not necessary; a clearly written, neatly typed fact sheet will do the job. Funders don't want you to spend lots of money on materials when you could be spending it on services to your clients.)
- ◆ List of names and affiliations of your Board of Directors (to show their experience and skills, demonstrating that the organization receives good oversight and direction)

*Helpful Hint***Proposal Writing Notebook**

Wondering how to keep track of all the many different kinds of materials you'll need for your MAA's proposals? Check out the “Proposal Writing Notebook” suggested in this chapter's Attachment 5.

- ◆ Summary (one-paragraph) resumes of key personnel (shows that the staff are competent to do the work described in the proposal)
- ◆ Agency operating budget (one-year budget for the entire organization, in addition to the project budget included with the Budget and Financial Information section; funders like to know what proportion of the total budget they are being asked to provide)
- ◆ Proof of tax-exempt status (such as your letter from the Internal Revenue Service)
- ◆ Signed Memoranda of Understanding (MOU) or Memoranda of Agreement (MOA) or letters of commitment from collaborating agencies (to show that they have agreed to work with you and provide needed services or support) — these are much more useful than letters of support, which say nice things about you but promise nothing
- ◆ List of current and recent funding sources, with contact information
- ◆ One or two carefully selected newspaper clippings

## For More Information

---

...in the Library

**Clarke, Cheryl A. *Storytelling for Grantseekers: The Guide to Creative Nonprofit Fundraising*. San Francisco, CA: Jossey-Bass Publishers, 2001. 121 pages, \$26.00.**

Clarke puts forward the notion that proposals share much with great stories: characters, setting, and plot. She shows proposal writers how to craft documents that include elements of drama. The book also covers the research process and cultivation. Includes a sample letter of inquiry and a sample budget, as well as information on packaging the proposal. Indexed.



**Carlson, Mim. *Winning Grants Step by Step: The Complete Workbook for Planning, Developing and Writing Successful Proposals*, 2<sup>nd</sup> Edition. San Francisco, CA: Jossey-Bass Publishers, 2002. 110 pages, \$29.00.**

Contains instructions and exercises designed to help with proposal planning and writing skills and to meet the requirements of both government agencies and private funders. Provides special resource section that includes how to research funders, how to evaluate a proposal through the funder's eyes, and a bibliography.



**Foundation Center; Collins, Sarah (ed).** *The Foundation Center's Guide to Winning Proposals*. New York, NY: Foundation Center, 2003. 353 pages, \$34.95.

The book reprints in their original form 20 proposals and four letters of inquiry that succeeded in securing foundation support. Each proposal is accompanied by commentary by the funder who awarded the grant, and proposal writing advice. Includes glossary and bibliographical references.

**Foundation Center; Geever, Jane C. (ed).** *The Foundation Center's Guide to Proposal Writing*. 4<sup>th</sup> Edition. New York, NY: Foundation Center, 2004. 232 pages, \$34.95.

A good step-by-step manual that guides the grantwriter from pre-proposal planning to post-grant follow-up. Incorporates excerpts from actual grant proposals and interviews with foundation and corporate grantmakers about what they look for in a proposal. Includes chapters on researching, contacting and cultivating potential funders, as well as a sample proposal and a selected bibliography on proposal development.

**Hall, Mary Stewart.** *Getting Funded: A Complete Guide to Proposal Writing*, 4<sup>th</sup> Edition. Portland, OR: Continuing Education Publications, 2003. 180 pages, \$34.95.

**Contact:** Continuing Education Press; P.O. Box 1394; Portland, OR 97207-1394; Tel. (866) 647-7377, Fax (503) 725-4840, website <[www.cep.pdx.edu](http://www.cep.pdx.edu)>.

If you can afford to buy one guidebook on proposal writing, this is it! Organized along a logical pattern of planning, beginning with a discussion of ideas for projects and ending with considerations about submissions, negotiation and project renewal. Each chapter of the proposal writing section focuses on a specific component, from title pages, abstracts and accompanying forms, to purpose statements, statements of need, dissemination, qualifications and budget. Includes strategies based on winning proposals from several fields, in addition to resource lists, cases, models, checklists, and sample formats. Separate section for teachers of proposal writing. Indexed.

**Miller, Patrick W.** *Grant Writing: Strategies for Developing Winning Proposals*, 2<sup>nd</sup> Edition. Munster, IN: Patrick W. Miller and Associates, 2002. 258 pages, \$39.95.

A manual for creating proposals to the federal government, specifically in response to a request for proposals (RFP). Begins with the activities that should precede the RFP and continues through post-submission efforts. Accompanied by numerous worksheets, charts, exercises, and exhibits. Provides suggestions for the narrative as well as the numerical aspects of the proposal. Includes glossary and bibliographic references.

**New, Cheryl Carter; Quick, James Aaron. *How to Write a Grant Proposal*. Hoboken, NJ: John Wiley & Sons, 2003. 339 pages.**

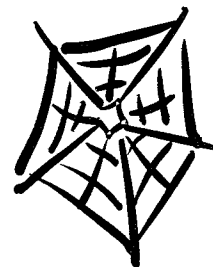
Covers the key elements of standard proposal formats, including the executive summary, need statement, project description, evaluation, and budget. Each chapter contains examples and checklists. Indexed.

*....and on the Web*

**GiveSpot: Grantseeker Resources**

<[www.givespot.com/resources/grantseekers.htm](http://www.givespot.com/resources/grantseekers.htm)>

These links to Grantseeker Resources will help you find proposal-writing courses.



**Grant Writing Tools**

<[www.npguides.org/index.html](http://www.npguides.org/index.html)>

A step-by-step guide to the often complex, confusing, and painstaking proposal-writing process, this guide covers everything from beginning to write all the way to accepting an award.

**Grantwriters.com Free Info**

<[www.grantwriters.com/news.htm](http://www.grantwriters.com/news.htm)>

This grantwriters' guide offers tips on finding funding, the latest news from Philanthropy Digest, and links to related resources.

**Minnesota Association of Nonprofits**

<[www.mncn.org/info/basic\\_fin.htm#budgeting](http://www.mncn.org/info/basic_fin.htm#budgeting)>

A valuable source of information on budgeting, including samples and templates.

**Nonprofit Financial Center**

<[www.nfconline.org](http://www.nfconline.org)>

Provides budgeting and financial management information and training. Some model budgets available online.

**Nonprofit Resource Center**

<<http://oncampus.richmond.edu/connect/nonprofit/finance/finance-tools.html>>

and

<<http://oncampus.richmond.edu/connect/nonprofit/fund/fundraising.html>>

A component of Connect Richmond. Website provides a number of financial management tools for nonprofits, including links that provide sample budgets and financial statements, as well as best practices and linkages on fundraising.

**A Proposal Writing Short Course**

<[www.fdncenter.org/learn/shortcourse/prop1.html](http://www.fdncenter.org/learn/shortcourse/prop1.html)>

The Foundation Center breaks down the components of a good proposal.

**Sample Proposals**

<[www.charitychannel.com/GuestShare](http://www.charitychannel.com/GuestShare)>

Provides a list of actual proposals collected by the *American Philanthropy Review*.



**Attachments**

1. Information on Fiscal Sponsorship
2. "Standard" Public-Sector Proposal Format
3. "Standard" Private-Sector Proposal Format
4. Sample Letter of Inquiry
5. Checklist for Keeping Track of Your "Proposal Writing" Materials

## Information on Fiscal Sponsorship<sup>1</sup>

### Why have a fiscal sponsor?

Most often, a group wants a fiscal sponsor for one of the following three reasons:

- ♦ It is not an incorporated, tax-exempt organization with its own 501(c)(3) status — it has not yet obtained such status or does not intend to at all (as is the case with many coalitions).
- ♦ It is in a transition period, and is not yet ready to handle its own funds and address regulatory requirements.
- ♦ It has its own tax-exempt status but it doesn't want to spend the time and energy on fiscal management and systems, and prefers to be under a larger umbrella.

### Problems to avoid in fiscal sponsorship:

The term “fiscal agent” is often used rather than “fiscal sponsor.” Many lawyers expert in this field discourage use of this term. If the group that wants a fiscal sponsor is not itself tax-exempt, *it is using the tax-exempt status of the sponsoring agency, and the sponsoring agency has serious oversight responsibilities to protect its own tax-exempt status.*

The Internal Revenue Service (IRS) has policies against what it calls “conduit” arrangements. If what is really happening is that a grant is going from Funder A to Sponsor B for non-tax-exempt Group C, and there is no intermediary involvement or oversight by Sponsor B, then the grant is *really* being made to Group C. Sponsor B is just the “conduit.” If Group C is not tax-exempt, the contribution should not be tax-exempt either. Therefore, the IRS requires that Sponsor B have “complete discretion and control” over the funds granted, to be sure that the project funds further Sponsor B's own tax-exempt purposes.

### Models for fiscal sponsorship:

There are many models for fiscal sponsorship. Among the most frequently used are the following.

**Direct Project Model:** Most often, fiscal sponsorship involves an unincorporated group that operates as a direct project of the sponsoring organization. The employees of the group are legally employees of the sponsoring organization, its grants are really grants to the sponsor and “belong” to it legally, and the sponsor has full responsibility for the work as if it had started the project itself. The Board of Directors of the sponsoring organization has responsibility for legal oversight. The group has no legal status and files no tax forms. Its income and expenditures are included in the sponsor's 990 form (the form each nonprofit organization submits to

<sup>1</sup> Emily Gantz McKay of Mosaica prepared this summary. Technical and legal information comes largely from Gregory L. Colvin, *Fiscal Sponsorship: 6 Ways to Do It Right*. San Francisco: Study Center Press, 2000, a highly respected source of information about fiscal sponsorship.



the IRS each year, showing its income, income sources, and expenditures) and other reports. The sponsor may take a percentage of grants/donations to cover administrative costs for the group. The sponsor may delegate project management and some decision making to project staff and to the project's steering or advisory group, and may have a written agreement defining the relationship. *But the sponsor has full legal oversight responsibility.* It could, for example, expect the group's staff to prepare reports to funders, but it would need to review them to ensure that the project is meeting funder as well as legal requirements.

**Subcontracting Model:** Another option is for the fiscal sponsor to contract with some other entity (such as a university) to manage the group's activities, with a written contract agreement. This would mean that the group's staff would not be the sponsoring agency's staff, but the contractor's staff. Grants would still be a part of the sponsor's income and would be reported to the IRS on its 990 form), but would be shown as contract expenses. This model works well if there is another entity with a legal structure to take responsibility for the group. This reduces the sponsor's responsibility for the hiring and supervision of the group's staff.

**Grantee Model:** Any tax-exempt organization may provide grants or subgrants to other entities. The group can become a grantee of the sponsor. In using this model, the sponsor must be able to prove that it is not merely serving as a "conduit" for funds as described above, or the donor will be seen as making a grant to a non-tax-exempt entity. To avoid this, the sponsor must be willing to carefully administer the grant or grants to the project, developing appropriate methods for oversight, and the project must be willing to take responsibility for independent legal existence. This would require that the project have a legal, tax, and accounting identity — it might become an incorporated nonprofit organization without a 501(c)(3) designation, a sole proprietorship, etc. It could also choose to be an unincorporated association. In this model, the project needs to be able to manage its own money and employ its own staff, without the sponsor being the employer or preparing the checks, to avoid the appearance of a "conduit" arrangement. To open its own bank account, it will need a federal employee number separate from that of the sponsor, which it will need to request from the IRS. In this model, the sponsor needs a careful grantmaking process, and must maintain "full discretion and control" over the project funds. Donors sometimes have concerns about control over the funds, which will need to be addressed.

**Technical Assistance Model:** In this model, the group is an independent tax-exempt organization with complete legal independence with no duty to support the purposes of the sponsor. All funds raised belong to the group, and are in its name. What the group receives is help in administration — fiscal or otherwise. Most often, the sponsor helps with fiscal management, preparation of 990s and other regulatory reports (e.g., reports to the state or city of incorporation), employment taxes, legal services, and insurance. It might even help with fundraising if desired. This is practical help that the IRS calls "technical assistance." The group often pays for the services through an administrative fee. A management contract might be used to define the relationship and the responsibilities of both parties. The group must file its own 990 (although it may pay the sponsor to do the preparation), and the sponsor need not show any of the group's income except any fees it receives for the services it provides. In this case, the sponsor is legally responsible only for the contracted services. The group is not using the fiscal sponsor's tax-exempt status, so the sponsor is not responsible for overseeing all the work of the group.



## A written agreement is very important.

Suppose a group has been operating as a project of a tax-exempt organization but is considering or planning to get its own tax-exempt status, or the group already has its own status but is new and needs help with management for a year or two. It is *very* important that a plan be developed between the “project” and the “sponsor” to agree on a plan for “separation” once the group gets its independent 501(c)(3) status, or if the group decides it would prefer a different fiscal sponsor. This is important because while the group is a project of the sponsor, all its assets — including donations or grants, equipment, supplies, and any other tangible assets — belong to the sponsor. Therefore, there should be a written agreement specifying the terms of the relationship and the terms of separation. This agreement might be done in many ways, but should be approved by representatives of both groups. For example, it might be based on a resolution of the sponsor’s Board of Directors, included in a grant agreement with a funder, or accomplished through an agreement approved by the Board of the sponsor and the steering group of the new group (if it does not have a formal Board).

The part of the agreement that addresses separation should specify how the following will be handled when and if the separation occurs:

- ♦ Tangible assets of the project, and an agreement that careful records will be kept and equipment and supplies kept segregated.
- ♦ Intangible assets that belong to the project, such as a logo, mailing lists, and/or other “intellectual property.”
- ♦ Liabilities of the project, such as unpaid bills, borrowed funds, subscriptions to be filled.

It should also specify:

- ♦ Any conditions that must be met before separation, such as obtaining of 501 (c)(3) status by the group or establishment of a Board of Directors.
- ♦ Ongoing relationship, if any, such as the sponsor having a seat on the new group’s Board of Directors, either permanently or for a specified period.
- ♦ Who has the authority to decide that the project may leave — the new Board of Directors? the sponsor’s Board? the sponsor’s Executive Director?
- ♦ Plans for handling the separation, including dealing with the assets and liabilities as stated in the agreement.

## Tool

---

# **“Standard” Public-Sector Proposal Format**

Public agencies usually require that proposals follow a certain format, but sometimes they leave the format choice to the applicant. You can use the following “standard” format for a proposal to a public funding source (such as a local, state, or federal government agency) where there is no required format specified. It includes necessary sections in a logical order.

Where another format is needed, you can move around the sections specified here — or sometimes the subsections — to meet most other proposal requirements.

## **Proposal Summary or Abstract**

One to three pages. Usually put after the title page, and before the Table of Contents, in which case it is not a numbered section. Summarizes the entire proposal.

## **Table of Contents**

### **I. Needs Statement**

Includes a general description of the broad problem your project will address, who is affected, and why the problem is important. Then focuses in on the specific aspect of the problem your project will address. Offers statistics and other information on conditions in the target community, so project need is made clear. Also indicates what benefits can be expected from the project — how it will change these statistics and conditions. For service programs, often includes information demonstrating that you understand the services that already exist in your community, and the service gaps for your population. May include anticipated benefits — the impact of the project on clients, families, or community. Should end with some indication that positive action of the type about to be proposed can cause significant improvements in the target community.

### **II. Goals and Objectives**

Presents the long-term goals and specific project objectives, briefly and clearly. May include both outcome objectives (results) and process objectives (tasks to be completed to reach these outcomes). Since the objectives provide the basis for evaluation of project success, they must be measurable.





### **III. Project Description**

#### **A. Overview**

Summarizes the project implementation plan, indicating services to be provided, major tasks, etc. Also tells the reader how the rest of the section is organized.

#### **B. Target Population**

Describes the target community or target population, depending upon whether the project will provide direct services to individuals. Should be specific on characteristics of the target group or neighborhood, and on the level of service — e.g., 100 people served over 12 months. Includes how you will recruit participants and what criteria you will use to select them.

#### **C. Project Components**

Provides a specific description of each component of the project. This includes purposes, structure, philosophy, methods, and interrelationships. Helps readers to understand the “content” of your project, including any tested or innovative models or strategies. Should be as specific as possible. Includes a description of client flow where individual clients are involved. Indicates possible problems and how they will be addressed. Should demonstrate that the proposed project has been very well thought out.

#### **D. Work Plan**

Shows the major tasks and activities that must be carried out in order to implement the project. While the previous section emphasizes methodology and “substance,” this section emphasizes “process” or sequence of activities. Shows how the MAA will get from its present status to accomplishing project objectives. Presents each task in order, describing its purpose; major activities in the order in which they will be carried out; expected level of services (outputs). Often provided primarily in the form of a chart, showing objectives, related tasks and activities, and start and end dates.

#### **E. Documentation and Evaluation**

Describes the records that will be kept, the reports submitted to the funding agency, and the methods used to monitor progress and evaluate success. Particularly critical for demonstration or newly initiated programs and for multi-year programs. Sometimes may need to include an evaluation plan prepared by an external evaluator. Evaluation plan should include measures to be used to determine progress toward each objective, sources of the required information, and methods for obtaining this information.





## **IV. Management Plan**

### **A. Management Approach**

Summarizes briefly how the MAA manages its projects, showing that there is a strong capability to administer projects and manage public funds successfully.

### **B. Project Organization**

Shows total MAA structure, often with an organizational chart, and where the project fits within this structure. Provides a project organizational chart and summary position descriptions for all positions required for the project. Should make clear who has supervisory responsibility and who is responsible for each major task or service. Describes functions of personnel, NOT qualifications required; qualifications go in Section D below.

### **C. Project Schedule**

If a timeline is not included in your work plan, provides a brief narrative plus a timeline chart indicating when each major task and activity will begin and end, and the key "milestone" dates for completing major efforts or producing reports. Narrative should indicate which dates, if any, are tentative, and summarize key aspects of the schedule.

### **D. Staffing**

Where staffing assignments are known, identifies who will fill each position. Where project staff have not yet been identified, put names of key agency personnel, and briefly summarize staff qualifications. Usually refers to an appendix that provides full or summary resumes for all project staff, and for key agency staff.

## **V. Budget**

Unless budget forms are provided, this includes the project budget, presented in your MAA's preferred format. Includes a summary budget and a detailed budget narrative, justifying each category of expenditure. If budget forms are provided, use them plus a separate budget narrative presenting information in the same order as the budget form.

## **VI. Organizational Capability**

A detailed but concise summary of your MAA's history and capability, designed to show your ability to successfully carry out and manage the proposed project. Usual subsections or components:



### **A. Agency History and Structure**

Summarizes the MAA's formation and growth. Describes mission and scope of services. Mentions present service area, target populations, staff size, budget, and Board size and role.

### **B. Related Experience**

Summarizes major accomplishments and current projects of particular importance. Should show your strengths and capabilities related to the specific kind of project (e.g., education, research) as well as your experience in managing project of similar size. May include brief summaries of recent and current projects, with emphasis on those similar to the one for which you are seeking funds. Organize project summaries by subject area, e.g. employment, mental health, citizenship, housing, or some other logical divisions.

### **C. Collaboration**

Describes how you plan to work with other MAAs or with other nonprofit or public agencies to carry out the project. If other agencies are promising to provide services or other specific assistance, refer to a signed Letter of Commitment or Memorandum of Understanding (MOU) in the attachments.

## **Attachments**

Need for attachments or appendices varies. Sometimes there are page limits. Should usually include resumes, proof of tax-exempt status, and information on financial status, Board of Directors, and community credibility. Include letters of commitment to show that needed help will be forthcoming from other nonprofit organizations or public agencies. Letters of commitment are more valuable than letters of support, because they include a promise that the other entity will assist with some aspect of the project. However, sometimes a letter of support, especially if from a member of Congress or Mayor, can be very useful. Some possible appendices:

### **A. Proof of Tax-Exempt Status**

### **B. Financial Information (Annual Budget; perhaps prior year independent audit)**

### **C. Board of Directors List**

### **D. Letters of Commitment or Support**

### **E. Staff Resumes or Bios**

### **F. Other Supporting Materials (e.g., newspaper articles, map of service area)**

## Tool

---

# “Standard” Private-Sector Proposal Format

This format is designed for a “full proposal” to a corporation or foundation. Remember that many smaller foundations and corporate giving programs prefer the shorter “Letter Proposal” format. Most foundation and corporate proposals should be not more than ten pages, single-spaced, excluding charts, attachments, and a one-page summary put before the Table of Contents. To get all the information a private-sector funder requires into 8-10 pages, you may have to shorten and combine several sections.

Plan to include all the sections outlined below. This order works for most foundations and corporations. If the foundation or corporation has its own preferred format, use it instead! Probably the format below will provide the information needed – you will just need to change the order to fit the specified format.

## Cover Letter

## Title Page

## Proposal Summary

Not more than one page, single-spaced. Written last, but put first. Summarizes the whole proposal – need for the effort, its importance, purpose or goal, proposed approach, agency capability, amount requested, and over what time period.

## Table of Contents

### I. Introduction to the Organization

Introduces the applicant MAA and describes its experience and capability in projects or activities similar to the one proposed. Put first so the funder will know who you are while reading the rest of the proposal.

### II. Problem or Needs Statement

States and documents the problem to be addressed by the project or the community needs it will address. Should give a little general background, then focus on the specific aspect of the problem or need to be addressed. Includes carefully chosen statistics. Because foundations and corporations receive thousands of requests for a wide range of programs that focus on many very different needs, shows that the need to be addressed is especially important. Explains the



importance of the project — for example, it will affect not just clients but the broader community, or will provide a model that other organizations can replicate.

### **III. Goals and Objectives**

Briefly and precisely states the long-term goal(s) of the project (what it will accomplish in the long run), its outcome objectives (specific results to be achieved so that the clients or community is different) and its “outputs” or process objectives (time-phased tasks to be completed in order to reach the outcome objectives). States all objectives in measurable terms with time deadlines.

### **IV. Methodology**

Provides specific information about how you will implement the project in order to meet the objectives and fill the need you have identified. Typically, should include information on whom the project will directly serve (number and characteristics of the target population), the major components of the project, and content information on how they will operate once the project is fully operational, and — for new projects — some indication of the steps or tasks to be carried out to implement the project. Should focus on any innovative aspects of the approaches planned.

### **V. Evaluation**

Describes how you will monitor progress toward objectives as a basis for making needed improvements during the project, and how you will evaluate the project against its objectives at the end of one year or at the end of the funding period. Usually based on the measurable objectives. Should provide for frequent monitoring if the project is a model or a new effort. Many foundations are especially interested in documentation and evaluation of demonstration programs since replication depends on solid documentation of the model. If requested by the foundation or corporation, should include an independent evaluation by someone not involved in the day-to-day operation of the project, such as an outside evaluator from a university.

### **VI. Management and Staffing**

Provides proposed project organization, including how the project fits into the overall structure of your MAA and who is responsible for project oversight. Describes project staff positions and responsibilities. Where possible, names key organization and project personnel and refers reader to the appendix for their resumes. Often also includes a timeline chart showing when major activities will begin and end and when products will be completed.

### **VII. Budget and Financial Information**

States the amount of funding needed for the project and over what period of time. Indicates sources and amounts of funding already committed, plus other funding sources being asked for

partial funding of the same project. If the project is expected to be ongoing, indicates how you will continue it after the grant being requested runs out. Includes a detailed, "line-item" project budget showing all project costs and justifying them (for example, indicating the purpose of all travel).

## Appendices

Usually include proof of your organization's tax-exempt status (a letter from the Internal Revenue Service), annual narrative report or agency fact sheet or capability statement, resumes, listing of the Board of Directors and their affiliations (not addresses), and financial information including the organization's annual operating budget and list of current or recent funding sources. May also include a few copies of news articles praising the MAA. If the project requires partners, should include letters of commitment from those agencies.

- A. Tax Exempt Status**
- B. Capability Statement or Fact Sheet**
- C. Board of Directors List**
- D. Financial Information**
- E. News Articles**
- F. Letters of Commitment**



## Sample Letter of Inquiry

Home Meal EXpress, Inc. (HOMEX)  
 "We Provide Meals and Friends"

May 15, 2005

William Green  
 Director, Corporate Contributions  
 AllFoods Corporation  
 2400 AllFoods Drive  
 New York, NY 10019

Dear Mr. Green:

HOMEX (HOME Meal EXpress, Inc.), the only source of home-delivered meals for people living with HIV and AIDS (people living with H/A) and other homebound people in MetroCenter's inner city, seeks a grant to explore and develop alternate funding sources sufficient to ensure the organization's survival — and the continued availability of its services to more than 1,000 people living with H/A and other seriously ill adults who receive nutritious hot meals delivered by HOMEX seven days a week, 365 days a year.

Established in MetroCenter in 1994, HOMEX is a community-based, nonprofit, tax-exempt organization that exists to improve the quality and length of life for people living with H/A, particularly African Americans in the Homestead neighborhood, by providing them good-tasting, nutritious meals every day, regardless of their ability to pay. Supported by a Board of nine AIDS activists and another 45 home delivery volunteers, HOMEX delivers an average of more than 1,000 meals per day to nearly 400 different locations, including private homes, respite care centers, emergency housing facilities, and other AIDS service providers in and around Homestead. In addition, volunteers stay to assist and visit with about 160 people living with H/A who live alone, providing badly needed human contact and contacting case managers when an individual appears in need of additional services.

HOMEX provides great value. More than 95% of recipients have incomes below the poverty level, and the large majority lack the physical capacity to shop and cook for themselves. Research shows that good nutrition plays a major role in prolonging the lives of people living with AIDS, and enabling them to benefit from the new medications. Contact with other caring adults helps reduce isolation and strengthens the will to live. The quantifiable annual value of HOMEX services, including food preparation, delivery, and companion services, totals more than \$2.9 million; yet HOMEX works with a cash budget of less than \$800,000. A recent assessment conducted by the MetroCenter AIDS Services Ryan White CARE Act Title I Planning Council estimated that more than two-thirds of HOMEX clients — about 675 people — would receive inadequate nutrition without HOMEX, and most of those living alone would

434 First Street • Suite 110 • MetroCenter, MI 48119 • Tel. (333) 444-5555 • Fax (333) 555-4444



have to find assisted housing arrangements. This would negatively affect their quality of life and lead to increased costs for the city.

However, HOMEX faces a major problem related to funding and cash flow. More than 90% of HOMEX's funding comes from federal and state AIDS treatment funding channeled through the city health department. The rest comes from individual contributions, small foundation and corporate grants, grants from local African American churches, and funds raised at MetroCenter's annual AIDS run, which HOMEX co-sponsors with seven other AIDS service providers.

While HOMEX's city contract covers program costs, the city's financial management procedures require HOMEX to wait a minimum of 45 days for reimbursement of expenses. In the past two years, MetroCenter's financial difficulties have increased the reimbursement period to between 60 and 90 days. This has created severe cash flow problems for HOMEX, which is typically owed at least \$120,000 by the city. The organization is having great difficulty meeting cash demands, which include purchasing about one-third of the food needed for its meals. (The rest comes from food banks, government commodities programs, and other donations.) HOMEX has a credit line with a local bank, but interest charges (not reimbursed by the city) add up to nearly \$22,000 per year.

A careful fiscal analysis, conducted *pro bono* for HOMEX by the CPA and consulting firm Young and Hill, shows that to become financially stable, HOMEX must either obtain \$100,000 to use as "cash flow" while awaiting city reimbursements, or raise a minimum of \$22,000 per year to cover interest payments on its credit line. HOMEX seeks AllFoods funding to meet one or both of these objectives.

HOMEX has identified three possible approaches for meeting these financial requirements. None has been tried in MetroCenter, and all represent entrepreneurial approaches that would, in the words of your RFP, "attract new supporters and reduce dependence upon public funding."

1. Develop and test an additional major fundraising event, capable of raising at least \$22,000 per year. Among the possibilities being assessed are a "taste of the town" event with chefs from major restaurants preparing and contributing food, and a recipe contest, with corporate underwriting and individuals paying to taste test and choose the winner, with each vote costing \$1.
2. Undertake a major one-time corporate and individual campaign to raise the \$100,000 needed for cash flow; the campaign theme would be "subscriptions for life," with contributors asked to pre-pay the costs of providing meals to a specified number of individuals.
3. Assess Board and volunteer fundraising contacts and develop and implement a resource development plan for raising general support from corporations in a kind of one-time "nutritional capital campaign."

Young and Hill has agreed to continue its *pro bono* assistance to the HOMEX staff, Board, and volunteers in further researching these alternatives, selecting one approach, and implementing it. Preliminary plans indicate that HOMEX will need approximately \$10,000 each year in "up front" money to implement one or more of these strategies, and another \$15,000 in staff and consultant time to ensure that funds can be raised without jeopardizing HOMEX's primary responsibility — maintaining meal delivery and companion services to the 1,000 beneficiaries.



The proposed HOMEX project addresses three of the four stated funding interests for the Allfoods Nonprofit Entrepreneurship Program. It will help ensure the organization's survival and financial stability, thus ensuring the continued availability of home-delivered meals to an extremely vulnerable low-income population: people living with HIV disease and other homebound and chronically ill residents of MetroCenter, nearly all of them African American, Latino, or newly-arrived refugees from Asia and Africa. In addition to providing meals and thereby helping such individuals remain in their own homes, HOMEX also delivers caring companionship that brightens their lives and reduces their isolation.

Throughout the United States, several thousand nonprofit organizations are providing home-delivered meals to people with AIDS and other seriously ill or homebound people. Like HOMEX, many of them must struggle to meet expenses, provide the maximum possible number of meals, and ensure not only high nutritional values but also meals people want to eat. These other organizations could benefit from creative, entrepreneurial fundraising efforts that have been tried and documented. HOMEX is committed not only to testing one or more of the alternative strategies and raising needed funds, but also to documenting the process. At the end of two years, HOMEX will prepare a report on its resource generation efforts and make it available to AllFoods, for sharing with the AllFoods Cares Network.

HOMEX seeks a three-year grant of \$25,000 per year under AllFoods Corporation's Nonprofit Entrepreneurship Program to implement the project outlined in this letter. We would welcome the opportunity to provide a full funding proposal.

As requested, attached are proof of HOMEX's tax-exempt status and our organizational budget for 2003. Also included with this letter are a fact sheet summarizing HOMEX's background, structure, and accomplishments; a brief summary of the Planning Council's evaluation of the cost and outcome effectiveness of the HOMEX program; and a letter from Young and Hill confirming its commitment to providing ongoing *pro bono* assistance to HOMEX.

We look forward to hearing from you. If you should require any further information, please contact me or Associate Director James Fields at (333) 444-5555.

Sincerely,

Armenia Brown  
Executive Director

# # #

### **Background Information for Sample Letter of Inquiry**

**Assumptions:** The attached letter of inquiry was developed in response to a hypothetical Request for Proposals from the AllFoods Corporation, an international conglomerate that produces a wide range of food products, from canned fruits and vegetables to coffee, cookies, and



gourmet items. Applicants must submit a 3-4 page letter of inquiry by a specified deadline; those applicants whose letters best meet eligibility and evaluation criteria will be asked to submit full proposals.

**Eligibility:** Through its Nonprofit Entrepreneurship Program, AllFoods Corporation will award 40 three-year grants of \$15,000 to \$25,000 per year to “nonprofit organizations that provide food-related services to low-income people and/or the chronically ill and homebound.” Preference will go to “community-based organizations serving a particular geographic area or population.”

**Funding Interests:** Funds are to be used to develop and implement “creative entrepreneurial strategies for enhancing their financial sustainability and/or maintaining or expanding services to those in need.” Among the areas of special interest to the corporation are the following; applicants should indicate which of these areas their project will address:

- ◆ Strategies to “attract new supporters and reduce dependence on public funding”;
- ◆ “Revenue-creating ventures consistent with the organization’s primary mission”;
- ◆ Programs that “ensure the availability of home-delivered meals, nutritional supplements, and/or donated foods for people living with HIV disease”; and/or
- ◆ Programs that “enable homebound elderly, disabled, and other chronically ill people to remain in their own homes rather than being institutionalized.”

**Evaluation Criteria:** Letters of interest from eligible organizations will be evaluated based on the following criteria:

- ◆ Organizational accomplishments and community impact;
- ◆ Documented problem and need for AllFoods funding;
- ◆ Clearly stated, measurable project objectives;
- ◆ Description of how the proposed funds will be used;
- ◆ Entrepreneurial strategy that is creative and demonstrates a commitment to self-help;
- ◆ Broader significance or importance of the project, including its appropriateness for dissemination to the “AllFoods Cares Network” of nonprofit organizations, for review and possible replication by other food-related nonprofit groups;
- ◆ Collaboration with other organizations and sectors where appropriate; and
- ◆ Attachments: attach proof of tax-exempt status, an organizational budget, and not more than five pages of additional materials that complement the content of the letter.

**Format Considerations:** Because this letter of inquiry is being submitted in response to an RFP, the applicant knows that AllFoods will be reviewing a large number of letters in a short time period. Reviewers may well be using some kind of a checklist to evaluate proposals against the stated criteria. To help the reviewers find specific information easily, the applicant devotes separate paragraphs to required components and uses key words from the Request for Proposals.



## Checklist for Keeping Track of Your “Proposal Writing” Materials

Sometimes it is difficult to keep track of all the different pieces of paper your MAA needs to put together its proposals. We have two recommendations.

*First*, keep a back-up of your computer files with all proposal information at another location. Update your back-up files on a monthly basis.

*Second*, get a three-ring binder and make a “proposal writing notebook,” with copies of everything you might need to put together a proposal in a hurry. Keep it up-to-date.

Use the left hand pocket of this binder as an IDEA FILE — for everything you think should be in there, but haven’t yet had time to figure out exactly where it goes.

Get eight dividers, and insert copies of the following materials.

### 1. Summary Materials

- ♦ Matching *executive summaries* and *cover letters* from your MAA’s best proposals.
- ♦ Your MAA’s *case statement*, sample *project summaries*, and an outline of your methods for conducting your project(s).
- ♦ Samples of your MAA’s best *proposals*; also include successful and unsuccessful proposals from other similar organizations.

### 2. Agency Credibility

- ♦ Statistics that *document* your MAA’s successes and show that your MAA has met community needs (graphs and charts are especially useful).
- ♦ In-house and outside *evaluations* that establish your MAA’s successful track record.
- ♦ Descriptions of your MAA’s *uniqueness* — why and how your projects are different and better than others available.

### 3. Problems and Solutions

- ♦ Current *statistics* on refugees and other newcomers in your state and locality; include summary nationwide statistics.
- ♦ Quotes, texts of speeches, excerpts from *studies* or interviews with *experts* — related to the problems your MAA addresses.
- ♦ *Policy papers* on the problems you deal with.
- ♦ *Bibliography* of relevant literature.



#### 4. Management

- ◆ Organization chart, *Board of Directors* and Officers listing (with bios), *staff* list, resumes of key personnel and associated consultants.
- ◆ List of present *Advisory Committee* members (with bios) and desirable candidates for inclusion on future project-specific Advisory Committees.

#### 5. Budget Materials

- ◆ Current organizational *operating* budget.
- ◆ *Audited financial statements* for the past five years, and relevant data on costs, salaries, and revenue.

#### 6. Funding ... Future Funding

- ◆ List of *current and recent funders*, record of grant requests, with results and current status; include rejection letters from prospective funders.
- ◆ Your MAA's current *Resource Development Plan*.
- ◆ The "who knows who" record of *contacts* and potential *linkages* between your Board members and key funding officials.
- ◆ Your *wish list* of projects you would start if your MAA were suddenly given a million dollars.

#### 7. Compliance

- ◆ All relevant *requirements, assurances, and certifications* needed for funding (proof of tax exempt status, copy of most recent audit letter, indirect cost agreement, drug-free workplace certification, etc.).
- ◆ The *Refugee Act of 1980*, with amendments, and the Office of Refugee Resettlement's Program Goals, Priorities, and Standards.

#### 8. Endorsements

- ◆ *Letters of support* from local leaders, satisfied clients, elected officials.
- ◆ Copies of the best *news articles* about your MAA; also include your best press releases and organizational brochures and special project fliers.
- ◆ Summaries from evaluations of funder site visits that documented project effectiveness or good management.

**Chapter VI**  
***Foundations and Corporations***

---



# Chapter Contents

<b>Overview</b> .....	<b>125</b>
<b>1. Introduction</b> .....	<b>125</b>
<b>2. What Is Philanthropy?</b> .....	<b>126</b>
2002 Contributions: By Source of Contributions	126
<b>3. Understanding Foundations</b> .....	<b>127</b>
A Few Facts about Foundations in the U.S.	127
<b>4. Corporate Giving</b> .....	<b>129</b>
A Few Facts about Corporate Giving in the U.S.	129
<b>5. Getting Started</b> .....	<b>130</b>
First — Research the Funders in Your Community	130
Using Consultant Assistance	131
Second — Do Your Homework	132
Before You Call, Be Sure You Have the Essential Information	133
Third — Get to Know Funders and Have Them Get to Know You	133
Hints for Contacting a Prospective Funder	134
Fourth — Be Organized!	136
<b>For More Information</b> .....	<b>137</b>
In the Library	137
And on the Web	139
<b>Attachments</b> .....	<b>139</b>
1. Sample Potential Funder Information Form	140
2. Sample Fundraising Visit Report	143
3. Sample Thank-You Note	145

# Chapter VI

## *Foundations and Corporations*

---



### Overview

This chapter provides information on giving by corporations and foundations and how best to research, build relationships with, and obtain funding from these private-sector sources.

### 1. Introduction

In Chapter 5 — “Proposals,” as you learned the key elements of a good proposal, you received some “tips” on the differing requirements and expectations of different types of funders — public or government funders vs. private funders. This chapter and its public-sector companions (Chapter 8 — “State and Local” and Chapter 9 — “Federal”) take a more in-depth look at who these funders are, how to find funders that are a “good fit” for your MAA, and how to build relationships with them.

This chapter focuses on *foundations* and *corporations*, which, along with *individuals*, make up the three pillars of private *philanthropy* in the United States. You may be quite surprised to learn in this chapter that funding from foundations and corporations together makes up less than one fourth of all the contributions made to charity in the United States. However, while other sources of funding — especially individuals — may ultimately have the potential to generate greater revenue for your MAA, there are many good reasons to invest your limited time in pursuing funding from foundations and corporations.

Foundations and corporations can be much easier to access than individuals; they give larger grants, and often will fund your MAA for a long time. If you can make a foundation your friend, they are often a “friend for life!” Soliciting individuals takes time

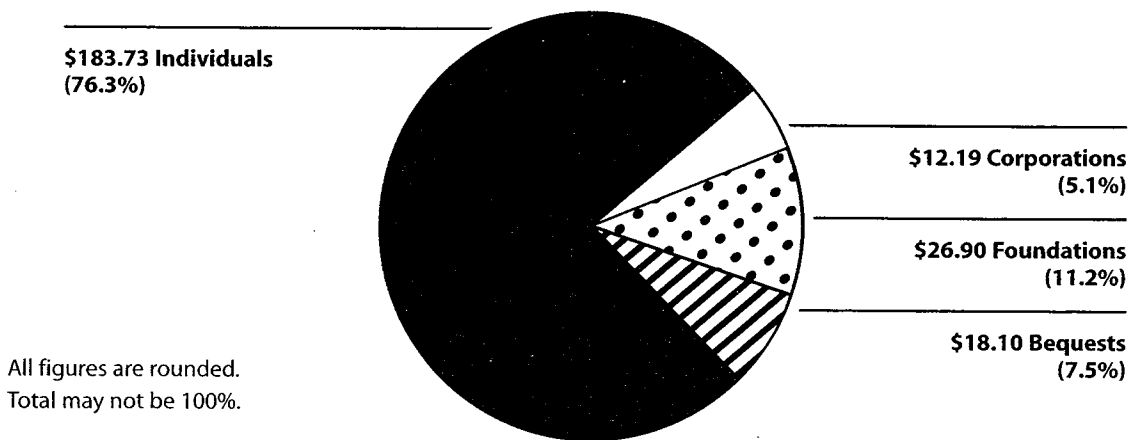
and most of the donations from individuals are small. Government is very important, but almost never covers all the costs of a project and sometimes won't continue funding a successful project. Grants from foundations and corporations, on the other hand, can be a very important source of general support for your MAA and ongoing support for your services, projects, and activities.

## 2. What Is Philanthropy?

Webster's Dictionary defines philanthropy as: *The effort to advance human well-being through charitable gifts.* Philanthropy comes from the Greek word meaning "love of people."

Philanthropy in the United States has strong roots in religious beliefs, the history of mutual assistance, democratic principles of voluntarism and civic participation, pluralistic approaches to problem solving, and traditions of individual autonomy and limited government. The obligation to protect and meet human needs does not fall solely on the government, but also on individuals through the practice of philanthropy, and on the nonprofit sector. Immigrant communities in the U.S. have long supported their communities by giving through their places of worship, forming groups to help the poor, and organizing associations for mutual assistance in their new homeland.

### 2002 Contributions: \$240.92 Billion By Source of Contributions



Source: AAFRC Trust for Philanthropy/*Giving USA 2003*



Who practices philanthropy? Both individuals and institutions (foundations and corporations). Together, individuals, foundations, and corporations gave over \$240 billion to nonprofit organizations in the United States in 2002. Who gives the most money? The pie chart from *Giving USA: 2003* may surprise you. Of all funding that goes to the nonprofit sector, 76% comes from individuals and another 7.5% from bequests from individuals in their wills — but more about that in Chapter 7 — “Individuals.” The rest comes from foundations and corporations — in 2002, 11% from foundations and 5% from corporations. Moreover, grants from foundations and corporations can provide important seed money to get a new program started, while you work toward building a diverse funding base that includes individual donors.

### 3. Understanding Foundations

The Foundation Center defines a foundation as: *an entity that is established as a nonprofit corporation or charitable trust, with a principal purpose of making grants to unrelated organizations or institutions or to individuals for scientific, educational, cultural, religious, or other charitable purposes.*<sup>1</sup>

Most foundations exist to give away money. While they have a lot of flexibility in their giving, the U.S. government regulates their operations. The Tax Reform Act of 1969 set the rules that foundations need to follow. Regulations require that each year a foundation “pay out” 5% of the average market value of its assets. Most foundations invest their assets in the stock market. The amount of money a foundation has to give away often depends on how the stock market is doing.

The U.S. government also enforces strict reporting requirements for foundations. For example, all foundations must file a special annual information return called a *Form 990-PF*, which discloses their assets and lists all grants made during the past year, and this must be made available at the foundation’s principal office for at least 180 days after filing with the IRS.

---

#### A Few Facts about Foundations in the U.S.

In 2002, foundations gave \$26.9 billion to nonprofit organizations.

As of 2001, there were more than 600,000 active grantmaking foundations in the United States, according to the Foundation Center.

Foundations vary considerably in size. About half of foundations — mostly the larger ones


---

<sup>1</sup> *Foundation Fundamentals: A Guide for Grantseekers*. 6th Edition. The Foundation Center. 1999. Pages 1-2.



— have staff. The majority of staffed foundations have 1 or 2 staff members, no more.

---

*Example* 

There are two major types of foundations: public and private. *Private foundations* obtain most of their funds from one source, whether an individual, a family, or a corporation. *Public foundations* raise funds from multiple sources (such as private foundations, individuals, government, and fees for service) in order to make grants.

### **Private Foundations**

Two types of private foundations make grants. The third, **operating foundations**, generally operate their own programs rather than making grants.

- ♦ **Independent foundations** are the most common and account for most of the giving. They are typically established by an individual or family, and include “family foundations.” Sometimes family members run them and make up most of the Board. Sometimes they have paid staff and broad-based Boards. Most independent foundations have a broad charter or mission, although they tend to define priorities and target their actual giving within a few fields. About 70% limit their giving to specific geographical areas. Often, your first foundation grants will come from family foundations located in your community.
- ♦ **Corporate or company-sponsored foundations** usually obtain their funds from a corporation and have close ties to it. Very often, they receive an annual contribution from the corporation. Some have an independent endowment so they can make grants even when corporate profits are down. Most have their own Boards of Directors, but most members are corporate officials. Giving by corporate foundations almost doubled between 1995 and 2002. Corporate foundations are most likely to fund your MAA if they have major facilities in your area, if you are involved in activities related to their activities (for example, drug companies often fund health care providers), or if they have some specific connection with your home country.

### **Public Foundations**

Grantmaking public foundations include the following:

- ♦ **Community foundations** generally receive contributions from many different donors, and are sometimes publicly sponsored. Their grants are usually limited to the particular city, metropolitan area, or region. A Board of Trustees broadly representative of the community oversees the grantmaking. Often, the name of the community foundation reflects its geographic focus (e.g., San Francisco Community Foundation, Cleveland Community Foundation). Community foundations often manage many donor-advised funds set up by individuals, families, or corporations. Some of these are “field of interest” funds that focus on a particular population (e.g., Latinos or Asians) or pro-

gram area (e.g., scholarships). Some community foundations manage grant-making collaboratives, made up of a group of funders with a similar interest, such as immigrants and refugees, HIV/AIDS, or community development. Often, community foundations have initiatives that support small nonprofits including MAAs.

- ◆ **Other public foundations** focus on a community of interest rather than a geographic community. They raise and distribute funds around a particular population group or program area (e.g., women, arts, health, etc.).

## 4. Corporate Giving

In addition to corporate foundations, corporations also make direct donations to nonprofit organizations through corporate giving programs. Large corporations often have several types of giving programs. Company officials at a particular facility often make relatively small gifts (sometimes up to \$10,000 or more). Large grants may require review at the corporate headquarters — or may be made primarily by the corporate foundation. Corporations also provide funding to MAAs through their advertising budgets, usually when the gift will provide visibility for the corporation — such as when the corporation sponsors a fundraising event and is recognized with a large banner and in the event program. Corporations also make in-kind (non-cash) gifts of services — such as printing of your annual report or brochure — or their own products — such as computers from a computer manufacturer or books from a publishing company.

Corporations typically give preference to organizations located in communities where the corporation has a major facility. Thus even if a corporation has a product sold nationally (such as cereal or soft drinks), it may focus its giving where it has a plant or a major distribution center. The corporation wants to show it is a “good neighbor.”

---

### A Few Facts about Corporate Giving in the U.S.

- ◆ One recent study found that about 60% of large corporations give both directly and through company foundations, and that more than 20% of corporate giving involves in-kind contributions of products, services, and professional time.
- ◆ In 1998, corporations and their foundations contributed \$8.97 billion. About 1/4 of corporate giving is through corporate foundations, and the rest is given directly by the corporation.




### *Helpful Hint*

Which type of foundation is most likely to support MAAs? Independent, corporate, and community foundations could all be a source of funding for your MAA. A good place to start your search would be with the community foundation in your geographic area. You may also identify several large independent foundations that fund diverse human service agencies.

- ♦ Corporations may deduct contributions totaling up to 10% of their pre-tax earnings.

---

*Example* 

Corporations engaged in direct giving are not required to document and report on their giving in the same detail as foundations. The Conference Board, a trade association that does research on behalf of corporate leaders, has estimated that up to 40% of corporate giving, especially in-kind gifts and funding from advertising budgets, goes unreported. However, groups like the Foundation Center<sup>2</sup> now publish quite extensive information about the giving programs of major corporations, which have structured contributions programs or foundations. Often the company website also provides information on corporate giving programs.

## 5. Getting Started

As you can see, there are many different types of private funders. How do you go about finding the ones that are the best “fit” for your MAA and how do you approach them? This section will give you helpful hints for identifying and building relationships with potential private funders, both foundations and corporations.

### ***First — Research the Funders in Your Community***

You can look for both project-specific and “general operating support” funding. Many funders support ongoing projects. Some prefer innovative or “demonstration” projects testing a new model or approach. Some funders give what is known as “seed” money — that is, money to start something new. Some give “seed” money for new organizations, while others provide start-up funding for new projects. Be sure your research on potential foundation and corporate donors includes the kinds of funding they provide — and don’t provide.

***Review your fundraising priorities and goals.*** Before you’ve gotten to this step, you should already have done some thinking about your fundraising priorities and goals. (See Chapter 2 — “Planning.”) Review your priorities. Are you looking for general support or project support? If project support, what are the programs or projects you want to fund? What size grants are you looking for?

***Find a directory of funders.*** How do you find funders? One good way is to find a good funder directory. Some cities have a nonprofit support center, a Grantmakers Forum or Regional Association of Grantmakers (RAG), or a Foundation Center Cooperating Collection. These organizations will likely have libraries with corporate or foundation directories you can use. If your communi-

#### *Helpful Hint*

One of the best sources of information about foundation funders, including corporate foundations, is the Foundation Center. The Center publishes many funding guides, including *The Foundation Directory*. It has libraries in five cities, cooperating collections in every state, and a website full of resources. Go to <[www.fdncenter.org](http://www.fdncenter.org)>.

---

<sup>2</sup> To locate the Foundation Center’s cooperating library in your area, go to <[www.fdncenter.org](http://www.fdncenter.org)> or see the “Foundation Center Cooperating Collections Network” listing in the Appendices.

ty does not have such a center (and many small cities don't), you can often find such directories in your local public library or at a university library. Try asking the librarian for publications from the *Foundation Center* or the Taft Corporation. Start with a broad-based directory if possible, like the Foundation Directory. Once you find a directory, turn to the section for your state. Use the local or state funding guide if one exists. (These are often published by your Regional Association of Grantmakers.)

**Narrow down your search.** So, now you've found a directory and identified the funders in your state. There may be a lot of names. How do you know which ones are potential funders for your MAA? You can narrow your search by looking at a number of different categories. If this information is not in the directory, see if the funder has a website and check it. Consider the following topic areas:

- ◆ **Geography** — Make sure the funder gives grants not just in your state, but also in your community. Within a state, some funders give in specific cities or counties only.
- ◆ **Areas or Fields of Interest** — The directory will list the funder's areas or fields of interest. You probably will not find a lot of funders that specifically list refugees/immigrants as an area of interest. You are more likely to find funders who are interested in the kinds of services or programs your MAA provides (social services, adult education, employment services) or the population groups it serves, such as youth, seniors, or women.
- ◆ **Types of Grants** — Does the funder give the right kind of grant? If you want general operating support or support for an ongoing project, see if the funder makes such grants.
- ◆ **Grant Amounts** — Directories also list the total amount of money given out annually by a funder and the average grant size. If the total amount awarded is small (less than \$100,000), it may not be worth your time to apply unless you have some special connection with the funder.
- ◆ **Past Grants** — One of the best indicators of whether or not a particular funder might be likely to fund your organization is the kind of organizations they have funded in the past. Many funding directories include lists of grants, and this information is often on the foundation's or corporation's website. Study the list carefully. Does this funder make grants to any other refugee/immigrant organizations? How about to small grassroots groups? What is the typical grant size for other MAAs or other small nonprofits?

---

#### Using Consultant Assistance

A paid or volunteer consultant who is an experienced fundraiser can help you identify foundations or corporations that are likely to fund your MAA. Sometimes a funder will give




#### Helpful Hint

Regional Associations of Grantmakers (RAGs) are a wonderful source of information about their members, who include foundation and corporate funders. The website of your area RAG typically includes links to the websites of its member funders. Many RAGs offer training and other events that provide opportunities to meet local funders.

you a capacity-building grant to pay for a fundraising consultant.

Look for an experienced fundraising consultant who can research local grant opportunities and identify funders that are most likely to be interested in your MAA and its work. One MAA in Colorado did this and received a thorough report that identified and described over 30 prospective funders, including details on their priorities, their guidelines, and customized hints about how to prepare successful proposals. The MAA then made contact with the funders and prepared appropriate proposals. As of this writing, the MAA had applied to 16 local foundations and won ten grants for a total of \$115,000. It was awaiting responses from two funders and had been turned down only twice!

---

*Example* 

## **Second — Do Your Homework**

So now you have the names and some other information about funders who might fund your organization. How do you “get in the door”? Once you have a name of a foundation or corporation, but before you submit a proposal, here’s what you should do.

*Learn about the funder.* All foundations and corporate giving programs have their own missions, giving priorities, and application guidelines and procedures. If the foundation or corporation has a website, you will be able to find this information there. Otherwise, get what information you can from the funder directory. Then call and ask the funder to send you an annual report, guidelines on giving, and/or list of past grantees — if these materials exist. If not, then have a discussion with your contact; don’t be afraid to talk with the staff. Foundation staff usually appreciate having people ask questions — it’s their job to give out the money. Just be sure to “do your homework” in the funding directory or on the website first, so you can ask the right questions.

You can also go to a cooperating Foundation Center library in your community and read a copy of the foundation’s annual report or its 990 form. (The foundation submits this form to the Internal Revenue Service each year, and it contains a list of all grants awarded.) Consult with Board members, staff, volunteers, and friends in the nonprofit world to see if they have knowledge of or experience with a particular funder. Then prepare a profile or “Potential Funder Information Form” on each potential donor, with information about the entity and about

### *Helpful Hint*

Want to find out about companies that make contributions in your area? Use a search engine like <www.google.com> and type in the company name and “Corporate Contributions.” It will direct you to the right section of the company’s website to find giving guidelines and priorities. Or type in “Corporate Contributions” and the name of your city. You will get a list of companies and websites to check.

## Before You Call, Be Sure You Have the Essential Information

---

For **foundations**, get and understand the following information before you contact them.

- ♦ The history of the foundation.
- ♦ Its giving priorities — some foundations do very broad giving, while others focus on particular populations (like children or people with disabilities), some focus on particular service areas (such as education). Many foundations have fairly broad priority areas.
- ♦ Application procedures and deadlines. Some foundations request prospective grantees to first send a 1-2 page “letter of inquiry” or “letter of intent.” This helps the foundation determine if your MAA and proposed effort fit its mission/priorities. Not all foundations have deadlines. Some review letters or proposals on an ongoing basis.
- ♦ Other organizations and programs it has funded.
- ♦ The average size of the grants it gives, especially the average size for other MAAs or community-based organizations.
- ♦ The name of the program officer who covers the area of service where your organization or program fits (such as “education” or “community development”), if available.

For **corporations**, get and understand the following information before you contact them.

- ♦ The history of the corporation and the scope of its business, including whether it is a subsidiary of another company.
- ♦ Some corporations have their own foundations, some have corporate contributions programs or committees, while others have both. Find out which mechanism the corporation you are researching uses for its giving.
- ♦ Its giving priorities — program areas, population groups, geographic locations.
- ♦ The location of its major facilities. Many corporate funders will make contributions or give grants only in communities in which the corporation has a significant presence.
- ♦ Application procedures and deadlines.
- ♦ Other organizations and programs it has funded in your community.
- ♦ The average size of the grants it gives, particularly to groups similar to yours.
- ♦ The name of the program officer who covers the service area where your organization or program fits (such as “education” or “community development”), if available.



individual contacts. This goes into your file for that potential funder, along with any future correspondence. (See Attachment 1 at the end of this chapter for a sample Potential Funder Information Form.)

### ***Third — Get to Know Funders and Have Them Get to Know You***

Remember that “people fund people.” Ideally, you can begin to develop a relationship with a prospective funder before submitting a letter or proposal. How can you do this?

*Add the funder to your mailing list.* Send invitations to events, newsletters, announcements of accomplishments, copies of news clippings. Be selective; pick what seems most likely to interest this funder.

*See if you can speak with or meet with the funder.* Ideally, your MAA should try and talk to a potential funder before sending a proposal. Where possible, request a meeting. However, not all funders are willing or able to meet. In general, in looking at the websites and/or guidelines for different funders, you will find some that *encourage* prospective applicants to contact them before submitting a proposal and some that *discourage* pre-submission contacts. Most do not say either way. As long as the funder's website or guidelines do not explicitly discourage phone calls, it is perfectly acceptable to pick up the phone, call, and see if the funder is willing to speak with you by phone about your MAA and its work — or to meet with you. If you have the funder's e-mail address, feel free to begin with that. If the funder does not agree to meet with you, don't worry — the person may simply be very busy. A telephone call or an e-mail contact is often as useful as a meeting.

*Prepare for the meeting.* If the funder is willing to meet with you, here are some steps you should take to prepare:

- Make sure Board members are familiar with the information about the funder.
- Prepare a folder with key information about your organization — brochure, fact sheet, press clippings, etc. (See Chapter 3 — “Communications” for some advice on how to prepare effective materials.)

## Hints for Contacting a Prospective Funder

---

What should you say when you call? When you make the initial call:

- Introduce yourself and tell the person who answers the phone the name of your organization and that you are calling to speak with someone about applying for funding.
- If it is a small foundation or corporate giving program, there might be only one staff person and you can speak directly with this person. If it is larger, it might have different program officers for different issue areas (such as human services, community development, etc.). Ask for the program officer that covers the areas that best fit your MAA or the program for which you are seeking funding.
- Tell the person you have reviewed the foundation's or corporation's guidelines and funding priorities would like to submit a proposal.
- Explain that you would like to talk by phone or (preferably) meet to discuss your organization and its programs so that you can prepare a strong proposal. If the funder seems very interested, offer to meet at the funder's offices or at your offices.
- If you are able to arrange a meeting, see if the funder representative would like any particular people to come. Ordinarily you will not want more than two or three people. Usually, it will be the Executive Director and a Board member. Check with your Chair or other Board member(s) beforehand for several possible meeting times when he or she might be available so that you can set up the meeting right away when the funder agrees. Be sure to tell the funder representative the names and role (staff, Board) of the people who will attend the meeting.

Again, some funders will not be willing to meet with you until they have received a letter or proposal, or will contact you if they want to meet once the proposal has been received. However, many program officers are happy to discuss your MAA and programs before you send a proposal. Funders like to be helpful and will appreciate it if you ask them for advice.



- Be prepared to discuss your organization and to suggest several priority programs or activities to get a sense of which might be of most interest.
- Be ready with a dollar amount for the request, although part of the purpose of the meeting is to discuss what is an appropriate request.
- Ideally, hold a training session and role-play a meeting, with your MAA's team making its presentation and someone else playing the funder. Identify and discuss typical questions from potential donors, and prepare effective answers.
- Be prepared to explain where your MAA fits in the local service arena, why it is needed, and what difference it has made in the community. When explaining your community's problems, highlight the solutions you provide.
- Don't argue with the funder. Assume that tough questions are an opportunity to make your case.
- Know your competition and be prepared to explain how your MAA is unique — but don't criticize other organizations.
- Don't expect the funder to change grantmaking priorities to meet your needs. Instead, focus on how best to explain how your priorities fit the funder's priorities.
- Above all, be yourself. Let your enthusiasm and excitement about what you do show. Don't be afraid to ask questions. Be honest about challenges. It is better to show a potential funder that you are aware of and figuring out how to address particular concerns than to pretend they don't exist. At the same time, highlight your strengths and accomplishments. Sing your song!

*Ask other people who know, work with, or who support your MAA if they know the funder.* If you have a contact who can help you “get in the door,” be sure to mention that person when you make your first contact. (For example, you could introduce yourself, then say “[name of the person] suggested I contact you.”) If possible, have the person make a phone call or write a note on your behalf, just before you call to request a meeting.

*If the funder expresses an interest in your MAA and/or a particular program, make sure to get very clear information about:*

- *What* (e.g., a letter? A proposal?) you need to send to the funder and *by when*?
- How much you should ask for?
- What program the funder is most interested in?
- Any particular points you should emphasize in your proposal?

*Develop a brief fundraising visit report.* The report should be completed by the team who made the visit and should describe how the meeting went, whether a commitment was made or a proposal or other information should be submitted, and what follow-up is required. Record this information in the prospect's file. (See Attachment 2 for a sample Fundraising Visit Report format.)



*Send a thank-you note within a few days after the meeting.* Funders rarely receive thank-you notes after meetings or after donations are received. (See Attachment 3 for a sample thank-you note.)

*Don't get discouraged.* A funder may tell you that there is more work you need to do before you apply, such as to apply with another organization or develop more of a track record in a service area. If you do not have your own 501(c)(3) status, the funder may ask you to apply after you have obtained it. Listen carefully to this advice and follow it if possible. Meanwhile, keep in touch. Keep the funder representative on your mailing list. Send an e-mail every few months to report on an accomplishment or describe a new program. Relationship building takes time, and most foundations or corporations do not fund you the first time you ask. You can usually tell whether the funder who says "no" really means "we aren't interested" or simply "not yet." Take the time to change the "not yet" into "now."

#### **Fourth — Be Organized!**

An important part of building and maintaining relationships with funders is good communication and documentation. It doesn't look good for two different people from your organization to contact a potential funder with the same question. Nor does it look good if you have to call back after a site visit to find out what you are supposed to submit and by when. To avoid these embarrassments, make sure you:

*Keep a resource development log* of all contacts, meetings, and materials sent. Indicate what was sent, to what contact person and address, date sent, how much money was requested, and for what purpose. (See the Attachments to Chapter 2 — "Planning" for a sample log.)

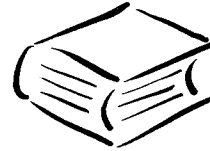
*Follow up in a timely manner.* Send out the proposal or other information requested promptly. Check to see that your materials arrived and whether additional information would be helpful.

And last of all ... Remember that funders do what they do because they care about the community. You are offering funders the opportunity to become partners in activities that benefit the community. Always remember that funders need you as much as you need them.

## For More Information

---

...in the Library



### Funding Guides

Information sources to identify and research funders include a wide range of funding guides and CD-ROMs as well as a large and growing number of Internet sources.

### Available from the Foundation Center

Among the best sources of information about foundation and corporate giving are the many resources and publications of the Foundation Center, which has libraries in New York (headquarters), San Francisco, Washington DC, Cleveland, and Atlanta, and Cooperating Collections in every state. To obtain a catalogue or order publications: use the website at <[www.fdncenter.org/marketplace](http://www.fdncenter.org/marketplace)>; write to Publications, The Foundation Center; 79 Fifth Avenue; New York, NY 10003; or call (212) 807-3677, toll-free (800) 424-9836, or fax (212) 807-3677. Many publications are available for sale in each library. Among the publications most useful for MAAs are the following.

- ♦ *The Foundation Directory, Part I*, the basic guide that provides contact information, guidelines, interests, financial information, and in some cases typical grants for the top 10,000 U.S. foundations in total giving. Information on the next 10,000 foundations in total giving is provided in *The Foundation Directory, Part II*. Both are published annually; for 2004, *Part I* costs \$215, and *Part II* costs \$185; the set costs \$360. Also available in CD-ROM format for \$495.
- ♦ *The Foundation 1000*, which profiles the 1,000 largest foundations in the U.S., providing a great deal of information about each one, including detailed giving history and sample grants. October 2003. 3,056 pages, \$295.
- ♦ *National Directory of Corporate Giving*, information similar to *The Foundation Directory*, but on nearly 3,300 corporate foundations and direct corporate giving programs. 9th edition published October 2003. 1,165 pages, \$195.
- ♦ *FC Search: The Foundation Center's Database on CD-ROM*, which includes information from the following guides: *The Foundation Directory*, *The Foundation Directory, Parts I & II*, and *The Foundation Directory Supplement*; the *Guide to U.S. Foundations, Their Trustees, Officers, and Donors*; the *National Directory of Corporate Giving*; and *The Foundation Grants Index*. It covers over 76,600 foundations, corporate givers, and grantmaking public charities, and has an associated grants file of over 324,000 grants; a searchable index of more

than 352,000 trustees, officers, and donors; and links to over 3,900 grantmaker and 2,200 corporate websites. Now includes direct links to each foundation's IRS 990-PF tax returns. For use by one user at a time on a single computer, the license fee is \$1,195. Includes disk and user manual provided in April 2004 and update disk in November 2004. Costs for network use are higher.

**Available from the Taft Group, Gale Research**

The Taft Group publishes funder guides, newsletters, books, and other materials for all types of resource development, including publications about wealthy individuals. Catalogue available. Order by mail from Gale; P.O. Box 9187; Farmington Hills, MI 48333; by telephone at 1-800-877-GALE, by fax at 1-800-414-5043, or by Internet at <galeord@gale.com>. For more information about products, visit the website at <www.gale.com>. Among the most useful guides are the following.

- ♦ *Foundation Reporter 2004* providing foundation philosophy, guidelines, contact, financial, and grants information on the top 1,000 private foundations in the U.S.; 13 indexes. Published annually; 2004 edition, \$560.
- ♦ *Corporate Giving Directory 2003*, providing profiles of more than 1,000 of the largest corporate foundations and corporate direct giving programs in the U.S. Published annually; 26th edition, \$550.

**From Aspen Publishers, in New York City**

Order online through the website <www.aspenpublishers.com>, or call 1-800-638-8437. A wide variety of resource development publications and how-to guides.

- ♦ The *Grantseeker's Handbook of Essential Internet Sites*, 2000-2001 Edition. Available in electronic and print versions. Lists more than 500 websites most useful to nonprofit fundraisers, including grantmakers as well as research and resource sites. Electronic version provides "hot links" to each website. Printed version \$99, electronic version available through the Internet, \$99.

**How-To Materials**

Materials available from the Foundation Center (see address above). Following are just a few of many useful books.

- ♦ *The Foundation Center's Guide to Grantseeking on the Web*. September 2003, 852-page book, \$29.95; CD-ROM, \$29.95. Identifies and provides abstracts of hundreds of grantmaker websites (foundation, corporate, public) and related nonprofit sites. Also profiles searchable databases (free and fee-based), online journals, and interactive services.

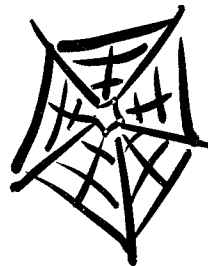
- ♦ *The Foundation Center's User-Friendly Guide: A Grantseeker's Guide to Resources*, 4th Edition. July 1996, 40 pages (ISBN 0-87954-541-0), \$14.95. Designed for someone using a Foundation Center library, but has a question and answer format that is very useful. Provides a lot of information about what grant guides to use, and how to obtain more information from funders and understand the kinds of grants they give. Can also be downloaded from the Foundation Center's website <[www.fdncenter.org/learn/ufg/index.html](http://www.fdncenter.org/learn/ufg/index.html)>.
- ♦ *Foundation Fundamentals*, 6th Edition. October 1999, 222 pages (ISBN 0-87954-543-7), \$24.95. A very good basic guide to foundation fundraising. Focuses on how to research foundations, prepare appropriate proposals, and present your ideas to a funder. New edition coming September 2004!

....and on the Web

**The Foundation Center**

<[www.fdncenter.org](http://www.fdncenter.org)>

A huge array of online resources, including a "Foundation Finder" that lets you type in the name of a foundation and/or its location and get a listing of its address and contact information, including website if any. Also provides online training for grantseekers and lots of links to other websites.



**Regional Associations of Grantmakers (RAGs)**

<[www.givingforum.org](http://www.givingforum.org)>

For information and website links to the 29 RAGs in the U.S. or other, less formal, funder networks go to the website of the Forum of the Regional Associations of Grantmakers and click on "Regional Association Locator" for a list of groups by state.



**Attachments**

1. Sample Potential Funder Information Form
2. Sample Fundraising Visit Report
3. Sample Thank-You Note



# Sample Potential Funder Information Form

## A. Potential Funder Identification and Contact Information

1. Funder Name

2. Type of Funder

- Foundation
- Religious entity
- Other (specify) \_\_\_\_\_
- Individual
- Government agency
- Corporation
- Nonprofit organization

3. Contact Information

Name and title of contact \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

Fax \_\_\_\_\_

4. Funder was identified by:

*(name/relationship of individual, reference to funder guidebook)*  
\_\_\_\_\_

5. Does the funder have representatives or other contacts in this city or state?

- Yes
- Not sure
- No

If yes, give name and contact information

\_\_\_\_\_

6. Has the foundation made a recent grant to any organization with which we have a personal contact, or is there some special connection?  Yes  No

If yes, describe  
\_\_\_\_\_  
\_\_\_\_\_

## B. Program Interests and Guidelines

1. What are the funder's stated purposes and program activity areas of interest, and how do they relate to our MAA?

\_\_\_\_\_



2. Probability of grantmaking in our city or state
  - a. What geographic limitations or priorities are stated?  
\_\_\_\_\_
  - b. Have any grants been given in our city or state?  
\_\_\_\_\_
  
3. Program Interests
  - a. Does information on recent grants indicate an interest in funding groups with target populations or interests similar to ours?  Yes  No  
If yes, describe  
\_\_\_\_\_
  - b. Has the foundation made grants to grassroots organizations?  Yes  No  
If yes, describe  
\_\_\_\_\_
  
4. Types of funding
  - a. What types of grants does the funder give – general or operating support, special projects, etc.?  
\_\_\_\_\_
  - b. Specify any limitations on certain types of support  
\_\_\_\_\_
  - c. Are multi-year grants given?  
\_\_\_\_\_
  - d. Do guidelines and grants information indicate a preference for providing total funding for a project or activity, or providing partial funding along with other funders? Describe.  
\_\_\_\_\_  
\_\_\_\_\_
  
5. Eligibility
  - a. Does the foundation accept unsolicited proposals?  Yes  No
  - b. Does our MAA meet stated guidelines about eligible organizations?  
 Yes  Not sure  No  
Explain  
\_\_\_\_\_
  
6. Application guidelines
  - a. Is an application form required?  Yes  No
  - b. What kind of initial approach should be made?  
 Letter of Inquiry  Letter Proposal  
 Full Proposal  Other (specify) \_\_\_\_\_



c. What information must be included? Indicate requirements.

\_\_\_\_\_

7. What are the application deadlines and Board meeting dates?

\_\_\_\_\_

**C. Financial Information**

1. Foundation assets: \$ \_\_\_\_\_ as of \_\_\_\_/\_\_\_\_/\_\_\_\_ (date)

2. Total annual giving was \$ \_\_\_\_\_ for the year \_\_\_\_\_

3. Number of grants given annually \_\_\_\_\_

4. Grant size

a. Average grant size or "typical range" \_\_\_\_\_

b. Average grant or "typical range" for grants in program areas similar to those of our MAA, or to community nonprofit organizations \_\_\_\_\_

**D. Recommended Fundraising Approach and Focus**

1. Amount to request: \$ \_\_\_\_\_ for one or more years? \_\_\_\_\_

2. For what project or purpose \_\_\_\_\_

3. Suggested approach

a. What type of contact should be made, and by whom?

\_\_\_\_\_

b. Deadline for submitting materials \_\_\_\_\_

c. How can the proposal/letter be focused to be most attractive to the funder?

\_\_\_\_\_

d. Indicate any needed assistance, letter of support, from someone outside the MAA

\_\_\_\_\_

4. Other relevant information

\_\_\_\_\_

\_\_\_\_\_

DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

PERSON COMPLETING FORM \_\_\_\_\_

Thank-you note sent \_\_\_\_/\_\_\_\_/\_\_\_\_

Tool



# Sample Fundraising Visit Report

## A. Prospect Identification

Type of potential contributor:  Individual or  Entity

Name of Entity \_\_\_\_\_

Persons met with and titles \_\_\_\_\_

## B. Meeting Information

Date of Meeting \_\_\_/\_\_\_/\_\_\_

Where Meeting was held \_\_\_\_\_

Names of Solicitor(s) and Type (*Board, Staff, Friend*) \_\_\_\_\_

## C. Results

*(Check one category, and explain)*

1. Commitment for \$ \_\_\_\_\_

To be forthcoming by *(date)* \_\_\_/\_\_\_/\_\_\_

To be used for what purpose?

General Support

Project *(specify)*

Other materials or action required by our agency before funds are released

2. Undecided

Specify further agency action needed to encourage a commitment of funds





RESULTS (continued)

3. Refused

Reasons given

\_\_\_\_\_

Any unstated reasons you believe contributed to refusal

\_\_\_\_\_

What further efforts, if any, should be made to obtain funding from this individual/entity?

\_\_\_\_\_

\_\_\_\_\_

**D. Other Observations on the Meeting**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**E. Summary of Required Follow-up**

*(Identify materials which should be sent to this individual/entity, follow-up meetings needed, other action required, and deadline and responsibility for each type of follow-up. If no follow-up is required, so indicate.)*

	Follow-up needed	Deadline	Person Responsible
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____

DATE \_\_\_/\_\_\_/\_\_\_

PERSON COMPLETING FORM \_\_\_\_\_

ACTION TAKEN ON:  
*(Check box)*

#1     #2     #3     #4     #5

## Resource

---

# Sample Thank-You Note

Use this letter to thank a potential foundation or corporate funder for the initial meeting.

The letter should be less than one page long, with few attachments — preferably only the item that was requested when you met.

Don't forget to adapt paragraphs three and four, depending on your MAA's proposed programs.

*Date*

*Name*

*Address*

Dear Ms. / Mr. / Mrs. *[name]*,

Thank you for meeting with us yesterday. We are most gratified to learn of the Foundation's interest in helping our community members become contributing residents of our city and — eventually — fully participating citizens of this great country.

As promised, enclosed is the demographic information that you requested.

At a time when public attention is focused on *[cite a major issue that was discussed in your meeting yesterday]*, we are expanding our educational programs and community projects which bring together refugee and mainstream youth and their parents.

We look forward to working with you and others at the Foundation to ensure that New Americans in our city have the opportunity to *[insert results that your project will achieve]*.

I will be back in touch within two weeks to discuss the timing for submission of our proposal.

Sincerely,

*Your name*

*Your title*

# Chapter VII

## *Individuals*

---

**Contributions and Events**



# Chapter Contents

<b>Overview</b> .....	<b>147</b>
<b>1. Introduction</b> .....	<b>147</b>
Some Terms and Definitions	148
<b>2. Understanding Why People Give</b> .....	<b>149</b>
Why People Give	149
Why Southeast Asians Give: Two Perspectives	150
<b>3. Raising Money from Individuals: Getting Started</b> .....	<b>151</b>
Involve the People Who Have Been Helped by Your MAA	152
<b>4. Learning to Ask for Money</b> .....	<b>153</b>
The Four Stages of Fundraising	153
Tips for Setting Up Face-to-Face Solicitation Meetings	154
<b>5. Answering Common Questions Raised in Solicitation Meetings</b> .....	<b>155</b>
Tips for Solicitations	155
<b>6. Using the Mail to Raise Funds</b> .....	<b>157</b>
Tips for Building a Mailing List	158
Using the Unified Registration Statement	160
<b>7. Workplace Giving</b> .....	<b>162</b>
<b>8. Community Fundraising Events</b> .....	<b>162</b>
Some Successful MAA Events	163
Questions to Ask and Things to Do	164
Basics for Special Events — Checklist	165
Goals and Benefits Checklist	
— What Do We Want to Achieve from This Event?	166
<b>For More Information</b> .....	<b>167</b>
In the Library	167
And on the Web	169
<b>Attachments</b> .....	<b>170</b>
1. Why Are We Afraid to Ask for Money?	171
2. Why Do People Give — Or Not Give?	173
3. What Do Successful Refugee Women Want?	175
4. Role Play: Asking for a Gift	178
5. Developing an Effective Fundraising Event	180
6. Work Sheet for Exercise Number 5: “Developing an Effective Fundraising Event”	182

# Chapter VII

## *Individuals*

---

### Contributions and Events



#### Overview

This chapter introduces you to raising funds from individuals — face-to-face or by mail or telephone, through direct solicitation or fundraising events. It presents information on why people give. It describes some approaches your MAA can use, and prepares you to plan and implement them. Attached are exercises to use with your Board, staff, and volunteers, to overcome fears about asking for contributions and help build strong skills for individual fundraising.

#### 1. Introduction

Asking people for money is one of the most challenging and most important parts of fundraising. Remember from Chapter 6 — “Foundations and Corporations” that individuals contribute over 80% of all gifts to nonprofit organizations. The reason we spend so much time pursuing grants is because raising money from individuals is really hard! Individual giving is a resource development strategy that most MAAs have yet to fully explore, but which holds **great** potential. Think of all the people who support what you do or who, when you tell them about your work, are interested in learning more. Why haven't they made a contribution to your MAA? Probably because you never asked them!

Research has found that the most common reason why people **don't** give to charity is because “no one ever asked.”

Once again, like other aspects of resource development, raising money from individuals is about relationship building! People who might give to your MAA — or, prospective donors — need to get to know your organization, its staff and its leadership.

Perhaps the most important thing you can do to build relationships is to say “thank you.” Saying “thank you” tells people that you appreciate them and their contribution. When you’re trying to raise money for your organization, “thank you” is often the best place to start. Surprisingly enough, most people who give money want only three things.

- ♦ A prompt and personal thank you.
- ♦ Assurance that the money is being used as intended.
- ♦ Follow-up information showing that their gift has made a difference.

Fundraising from individuals — “individual solicitation” — has its own terms and definitions. The box below defines a few terms used in this chapter. (See the Glossary in the Appendix for more definitions.)

**So where do you start? Who do you ask and how do you ask?**

Board, staff, and volunteers often find it hard to ask people directly for donations. Making a “personal solicitation” — asking a person for money face-to-face — is an acquired skill. In the beginning, few people love to do it; most people are afraid. (See Exercise #1 at the end of this chapter for a way to discuss and reduce these fears.) As an MAA fundraiser, keep in mind the generosity of the people you met when you first came to this country — your sponsor, your first employer, the person who showed you around. Give these people (and others you have

---

## Some Terms and Definitions

---

**Annual campaign or annual giving** — An organized effort to raise money from individuals every year, often at the same time of year, through sending a letter, making phone calls, and/or visiting potential donors and asking in person.

**Capital campaign** — An organized effort to raise money to buy something that has lasting financial value, such as a headquarters building for your MAA or renovations to a building you already own.

**Donor acquisition** — The process of finding and getting a first gift from new donors or contributors.

**Donor development** — Once donors have made their first contribution, the ongoing process of building a stronger relationship with them, so they will keep contributing, increase the amount of their gift, and perhaps help you find other donors.

**High-end donors** — People who can afford to make big gifts — the people who are likely to make the largest donations to your MAA.

**Major gifts** — Large donations, often raised through an organized effort to get current donors to give more and to locate high-end donors. For a small MAA just getting started with individual solicitation, a major gift may be anything over \$1,000. In a few years, a major gift may be \$5,000 or more.

**Prospect** — Someone who might give money; a potential donor.

---



yet to meet) the opportunity to demonstrate once again how much they care about newcomers in their neighborhood, and their willingness to support newcomers' efforts to help themselves. Help everyone to become a leader in the art of giving. And you'll raise a lot more money by remembering to say "thank you" at the right time, and with the right examples of what a difference each person's gift has made.

## 2. Understanding Why People Give

### Why do people give?

There are many reasons. Most often, they make a contribution when they have some personal relationship or connection to the organization and its people, care about the work of the organization, and have some money they can give (see box on "Why People Give"). Non-refugees may support refugee organizations because they have a personal or professional history with the home country or region. For example, Southeast Asian organizations often have among their donors former diplomats who served in Southeast Asia as well as business people involved in that region. People involved in humanitarian aid or development work frequently support refugee groups from countries where they have worked. (To explore why people give with a group of Board members or volunteers, try using Exercise #2 at the end of this chapter.) Different groups of people may find different aspects of an MAA's work especially interesting. (For a glimpse of what motivates one important group of givers — women — see Exercise #3.)

---

### Why People Give

- ◆ **Relationships/Linkages** — They know someone on the Board or staff, or they are volunteering at the MAA.
  - ◆ **Interest/Values** — They care about the work you do, or they feel that by helping others, they can help pay the debt they owe to the people who helped them.
  - ◆ **Ability/Resources** — They have some money to give, or perhaps some equipment or services the MAA can use.
- 

### *Example*

#### Why do refugees give to refugee organizations?

Often, to "give back" — to help others the same way they were helped. Refugees often do their first giving in the United States in very targeted ways, sometimes through MAAs or other nonprofit organizations and sometimes more directly. Because refugees tend to give in less formal ways than native-born Americans,

their giving often goes unrecognized by those who track philanthropy. Among their reasons for giving are the following:

- ♦ To help in a family or community crisis.
- ♦ To respond to a natural disaster like a hurricane or earthquake.
- ♦ To support extended family in both the U.S. and their country of origin.
- ♦ To support a religious institution or its service work.
- ♦ To respond to a request made by a religious or community leader on behalf of an issue or organization — for example, contributing money to an MAA because a respected leader asks for donations on its behalf.


---

**Why Southeast Asians Give:  
Two Perspectives**

**Southeast Asians:** "We give to our family, friends, and neighbors in times of need and in times of celebration — as a collective. To move our community to give 'formally,' we just need to translate that type of giving into formal philanthropy to MAAs and community-based organizations. I think the way to do this is to change the landscape of giving — to make MAAs and community-based organizations into extensions of the definition of 'family.' Express to prospective donors how your work is helping their son or their granddaughter in the work they do, and explain why you need their support."

**Hmong:** One researcher reports generational differences in giving by Hmong. Older refugees give primarily because of a personal connection to the organization or because a respected person asks them to give. Another emerging reason, associated with Christianity, is because "God tells them to give." Younger people give to help the community and to give recently arrived youth "the help the donors didn't have," such as the opportunity to learn employment or other skills to improve their lives.

---

*Example* 



Some of these motivations can help you target your fundraising efforts. It's important to understand why people in your own ethnic community give, and factor that into your fundraising strategies.

### 3. Raising Money from Individuals: Getting Started

Individual solicitation can be an intimidating concept at first. Most fundraising guides are filled with suggestions for cultivating "high end donors" and soliciting "major gifts." These guides can lead smaller, community-based organizations — especially those that represent and serve low-income communities — to ask: "How can my organization raise money from individuals? We don't know any wealthy people!" What most community-based organizations do have is broad support from lots of people who would be willing to give something if asked. This is the heart of grassroots fundraising.

Regardless of whom you are asking and how much they potentially have to give, the basic principles are the same — building relationships, making people feel connected and involved, making the ask, then saying thank you. Yes, building a base of individuals donors takes time. But you can work up to it gradually.

#### How does our MAA begin to build a base of individual donors?

Before you begin asking for individual contributions, you need lay a foundation. Here are a few things you can do to get started:

- ♦ **Educate your Board, staff, and volunteers.** Begin by learning together — Board, staff, and volunteers — about the importance of individual fundraising and about basic elements of successful fundraising from individuals. Set aside time at a Board meeting to talk about the concept of individual giving.
- ♦ **Identify prospects** — your MAA's potential donors. Again, start with a brainstorming session with your Board and staff. Make a list of people you already know who believe in your work and could make a contribution. Think about members of your community who have been helped by your services, people who have volunteered their time or made in-kind donations to your MAA, or people who have simply offered guidance — maybe a city employee or a pro-bono attorney. Then brainstorm a list of people who do not know about your work, but would be interested in it if they did. A good example for MAAs is former Peace Corps volunteers — many larger communities have associations or networks of returned volunteers.
- ♦ **Find ways to involve, educate, and build relationships.** Once you've identified these prospective donors, think of creative ways to make them feel connected to and involved in your work. You can invite them to your events and send them a newsletter. One of the best ways to reach out to new groups you identify as potential donors — such as those former Peace Corps volunteers or members of a church community ministry — is to ask for volunteers. See if you can make presentation at a meeting, and be ready with ways that people can get involved. Remember that individual fundraising is really *friendraising*.

*Helpful Hint*

**Volunteers Are Key**



Does your MAA have a coordinated volunteer program? If not, start one! Research shows that people who volunteer for an organization are among its most generous donors. Part of your "donor cultivation" plan should be strengthening your volunteer program to create more donors. In addition, volunteers are wonderful at asking for funds. They have a wide range of contacts and they know a lot about your MAA and its importance to the community.


- ♦ **Develop simple written materials that tell your MAA's story.** Like other funders, individuals will get excited about your organization if they understand where it is going and what kind of community it is trying to help create. Prepare some concise and simple materials — such as a fact sheet or brochure — to share with them. Does your MAA have a newsletter? If not, start one! It doesn't have to be fancy. A simple one-page, front and back newsletter will do. Make sure to include pictures. This is a great task to give a volunteer. If you already have a newsletter, but it is in a language other than English, then have someone translate it into English as well.
- ♦ **Find ways to increase your MAA's visibility.** Remember, the best prospects for individual contributions know and care about your work. So, it's important to be always expanding the circle of these people. Try to get some media coverage for your work, establish a broad-based local committee to talk about your MAA with their friends and contacts, and/or develop a membership or "friends" structure. Be sure your name and logo are on all the materials you develop. Develop or improve your website. Get listed on Internet sites that identify nonprofit organizations and in some cases accept online donations on their behalf, like GuideStar <[www.guidestar.org](http://www.guidestar.org)>, the "national database of nonprofit organizations," which some donors check before making contributions.

---

**Involve the People Who Have Been Helped  
by Your MAA**

The people you serve are a real resource for individual fundraising. Even those with limited resources may be willing to make a contribution. They might know others who would give as well, and you should ask them to help you identify potential donors. Many will cook for events, sell raffle tickets, and carry out other volunteer tasks associated with individual fundraising. Youth can perform at events or hold a car wash or other fundraiser of their own. And, of course, the people you serve are perhaps the most powerful spokespeople for your organization. They should be involved in efforts to increase your MAA's visibility.

---

*Example* 

**How do we begin asking for contributions?**

Organizations use a variety of ways to ask for contributions from individual donors: face-to-face meetings, letters (often called "direct appeals"), and special events. The remainder of this chapter is devoted to providing detailed information and suggestions in each one of these areas.

While some strategies — like a direct, letter appeal or a special event — will take some planning, there are simple things your MAA can do year round to ask for contributions. For example, you should always put information about “how to make a contribution” in your newsletter and on your website (if your MAA has one). You can have a contributions box or jar at your office.

Remember that once you’ve asked for and received a contribution, the most important thing you can do is say “thank you.” You’ll also want to make sure you find other ways to recognize donors, perhaps listing them once a year in your newsletter — if they don’t mind their names being used — or thanking them at a dinner.

Remember that a key to successful individual fundraising is to keep your Board involved. While staff may be able to do most of the proposal writing for government and private funders, they cannot possibly do all the relationship building, communication, and follow-up needed for individual solicitations. In this area, your Board members truly need to be the ambassadors for your MAA.

#### 4. Learning to Ask for Money


Learning to ask for money takes time and practice. Begin early, and build the number and skill level of your MAA’s trained “solicitors.” Be sure your Board, volunteers, and staff understand the importance of raising funds from individuals. Explain the value of “unrestricted” donations — flexible money you can use for any of your programs or for administrative costs. Remind them that individuals are the largest source of private giving and that individuals are often the most loyal donors.

Be sure everyone who will be involved in fundraising is familiar with fundraising stages (see the Four Stages of Fundraising box below). Emphasize the long-term relationship building. It takes a lot less time to find a donor than to build a long-term relationship. By far the most time-consuming stage is cultivation of potential donors — getting to know them and their interests and motivations, and having them get to know your MAA and its leaders.

---

##### The Four Stages of Fundraising

1. Identification and research (15% of your time)
  2. Cultivation of potential donors (60% of your time)
  3. Solicitation (only 5% of your time)
  4. Stewardship — maintaining the relationship and credibility (20%)
- 

*Example* 

##### *Helpful Hint*

Does your MAA have a mailing list? If not, start one! It doesn’t have to be a fancy database, just something that will allow you to sort and print mailing labels. Compiling the contact information for the prospective donors you identified is another great task to give a volunteer. And, keep adding to it. Whenever you meet someone new who is interested in your MAA, ask for contact information and add that person to your mailing list.

Before asking others to give, be sure everyone involved in the fundraising has made a personal contribution to your MAA. People should give what is for them a significant gift. You will all be much more effective at asking others to support your MAA if you have made a substantial contribution yourself. This means everyone: Board, staff, and volunteers. People who have limited resources can be terrific fundraisers. What is important is that they gave themselves, so they can feel comfortable asking others to give. For example, your Board Chair can be effective in soliciting large gifts even if s/he does not have the financial means to give at that level.


---

Tips for Setting Up

Face-to-Face Solicitation Meetings

- ◆ Figure out whom to meet with first — probably current supporters and friends. Start with those most likely to give so your “solicitors” can build success and self-confidence.
- ◆ Ask loyal donors to help you reach others. Ask them about other people on your high-end prospect list, and see if they can suggest anyone else you should contact.
- ◆ Ask these lead donors if you can use their names and gifts to encourage others. Then mention their names to other prospects.
- ◆ When setting up a meeting with someone who is very busy, ask if the person has 20 minutes for a brief meeting. The person will probably block out 30 minutes. Be well prepared and efficient, and you may find you have an extra 10 minutes to chat.

---

*Example* 

If your MAA’s leaders and volunteers feel reluctant to ask others for funds, don’t be discouraged. Remember to use the exercises mentioned earlier to learn more about raising money — common fears about asking (Exercise #1), why people give or don’t give (Exercise #2), and what motivates particular population groups (Exercise #3). Then provide tips for solicitations (see box below) and give your “solicitation teams” a chance to role-play different types of donor meetings (Exercise #4, also attached to this chapter). A member of the group can act as facilitator or you can ask someone outside the group to facilitate. These exercises can be done individually, but they are more effective when group members support each other in recognizing and letting go of fears about asking for money.

## 5. Answering Common Questions Raised in Solicitation Meetings

The following questions and issues are frequently raised in individual solicitation meetings. Some suggested approaches for responding to them are also included. (Many of these questions came from materials prepared for the New Israel Fund by its former Chairperson, David Arnow; Mosaica President Emily Gantz McKay prepared revisions and most answers.)

- ♦ *The “no more room” question* — What you are doing is important, but it just isn’t a top priority for me. I’m involved with so many other causes or organizations that I just can’t add something else to the list. *Or* — I have so many family obligations that I just can’t make a gift this year.

*Response:* It is precisely because you have such a serious commitment to your community and family that you ought to consider adding us to your list. [Now discuss why your MAA is important to the community and how it has helped or can help the extended family as well.] And remember, we are not asking you to endow a Chair at the university or pay for a new building. We

### Tips for Solicitations

---

**Be prepared** — Remember to bring appropriate written materials, practice your presentation, and be ready to answer typical questions.

**Listen** — Pay attention and adjust your presentation based on what the prospect says.

**Ask questions** — Look for common ground; find out what interests and motivates the prospect.

**Allow time** for the prospect to ask questions.

**Mention who else has given at the high end** — Say something like, “We’re asking half a dozen prominent leaders in the community to consider a gift at the \$X level. People like A, B, and C have already made commitments.”

**Make the case** — Focus on the community or people who benefit from your MAA’s work and be prepared to talk about how your MAA has helped.

**Ask** for the gift.

Ask for a **specific amount**.

**Ask for enough** — If the person gave last year, ask for more.

**Wait** — The most important and most difficult thing to do after asking is to remain silent. Give the prospect time to think and respond. Those few seconds can seem like hours, but do not jump in with an additional comment or a lower suggested amount. Breathe.

**Don’t be surprised or upset by an initial “no”** — Keep the dialogue going.

**Be flexible** — Offer alternatives if the prospect says “no” to your first request.

**Don’t settle** for the first gift offered — Often, further discussion results in a larger gift.

**Respond to difficult questions and concerns** — Use the opportunity to build credibility; if you don’t know the answer, promise to find and send it.

---



are asking for a much more modest contribution that will not require you to radically re-order your giving priorities or prevent you from taking care of your family.

- ♦ *The “insignificant” excuse* — I realize the problems and needs are serious; dealing with them will require a great deal of money and effort. How can a little MAA like yours make any difference?

*Response:* We can certainly have more impact as we grow, and that is why I am here. We need your help. But we are already having a real impact on the community. [Give examples.]

- ♦ *The “it’s the government’s responsibility” argument* — Doesn’t the federal government have primary responsibility for refugee resettlement?

*Response:* The federal government handles placement and initial resettlement for the first eight months, but provides very limited resources. Our job is not initial placement, but long-term help to individuals and families so they become part of our American society. That effort certainly needs government aid, but our community wants to take on responsibility for helping ourselves. We’re here to provide services, advocacy, and creative ideas to deal with serious issues that continue to affect our community — including you and me. We do seek government funds, and we have volunteers and devoted staff. We also need private resources. We want a partnership with you. [If you are talking to other refugees, stress the responsibility to help each other and the need for joint commitment to accomplish this.]

- ♦ *The “we can’t afford it” worry* — At a time of budget deficits and cuts in so many services, can we afford to support so many little community-based MAAs? Aren’t they a luxury?

*Response:* The basis of our democracy is individual and community responsibility and action. Our MAA can reach our population and work with them effectively. Our operations are very low-cost and cost-efficient. If we want refugees to become contributing members of our society, MAAs run by the refugee community are an essential tool. If we merged with a larger, non-refugee led organization, we would lose our ability to respond effectively to our own community.

- ♦ *The “revolving door” response* — Isn’t your MAA just another of the hundreds of community groups lining up at my door?

*Response:* There are many community-based organizations raising money in this community. But very few of them represent or serve refugees. There are [number] refugees in this [city, state], and we are the primary source of self-help for them.

- ♦ *The “not my problem” argument* — Why should help for refugees be my responsibility? I have no ties to ... and I didn’t fight in the [Gulf] war ....

*Response:* The most important reason why you should be concerned about refugees is that they are among the newest Americans, and they are a valuable human resource for our community. They value democracy and education, and I am sure you have read stories of the hard work and progress they have already made in this country. Community-based groups who give newcomers a helping hand are a tradition in the U.S. for several reasons. New immigrants become loyal, hardworking assets to our country, and deserve our help. It's also a matter of enlightened self-interest — we need an educated, trained, productive population and work force for the future. The work of our MAA will help ensure that refugees are prepared to be full participants in the country's economic mainstream.

- ♦ *The “I already gave at the office” response* — I already give a great deal to the United Way. Why should I also need to give to individual community groups — isn't that “double dipping”?

*Response:* Very few MAAs receive funding from the United Way, which usually supports more established, older organizations. We certainly hope eventually to receive United Way funds. But now, during our initial growth and development period, we must depend on individuals and organizations to invest in us directly.

- ♦ *The “accountability” question* — If I give you money, can I be confident that it will be managed properly?

*Response:* Our MAA is an incorporated, tax-exempt corporation. We have an active Board of Directors, and a strong fiscal management system [describe management structure and fiscal controls]. We are very serious about accountability. We cannot afford to use our limited funds inefficiently; we have too much to accomplish. And sound financial management is one of our top priorities. We will be happy to provide detailed information about our donors and how we use our funds — that information is available to anyone who asks.

## 6. Using the Mail to Raise Funds

Many MAAs combine face-to-face solicitation meetings with letters that ask people to give money. You can also use mail supported by a telephone call — or mail alone. When you send letters to lots of people and don't combine that with other strategies, you are doing what is often called “direct mail solicitation.”

Some MAAs are very successful in raising funds by mail, but it is important to choose an appropriate direct mail technique. Some large nonprofit organizations use a “volume” approach to find people who may like what they do, and ask them for money. They send out huge mailings to thousands of people, often using mailing lists they purchase from other sources. This approach generally doesn't make sense for MAAs, because the percent of people who make a donation is often very small and the mailing costs are high. There is usually only a 1-2% return in the

early rounds of a true large-scale direct mail campaign. It is hard to find a large mailing list of people who are likely to make a contribution to a small MAA they don't know, in response to a letter. A professional direct mailing program, therefore, is better left to groups whose broad goals appeal to a large audience.

Your MAA can, however, copy the techniques that work for professionals using your own labor and talent — often more cost-effectively. Fundraising letter campaigns can provide enormous potential for ongoing contributions from a systematically broadened base of donors. Return rates can be as high as 60-80% for mailings to your current donors and former supporters. Income from this strategy can be 20 times its cost.

**Be selective in developing your mailing lists.** The magic trick for MAAs is finding your list of believers and getting that first donation. Just as you don't send party invitations at random, you shouldn't send your fundraising letters to just anyone. What you should do is build up a mailing list over time, and send people on that list a letter at least once a year, asking for an annual gift.

**Start by asking people you already know to give.** Include on your mailing list people from religious organizations that know your work, self-sustaining refugees, employers who hire refugees, businesses that have refugee clients, and any other individuals in your community who know of your MAA (including staff and Board contacts). You may want to evaluate this list for potential high-end donors, and reserve these names for personal meetings rather than the mail campaign. Or you may want to follow up your mailing with selected telephone calls or requests for individual meetings. Be sure to ask each donor to suggest other potential donors, so your list of prospects continues to expand.

---

#### Tips for Building a Mailing List

Here are some ways MAAs are successfully building computerized mailing lists. They raise money through annual direct mail campaigns and also use the mail to invite people to fundraising events.


- ♦ The MAA is careful to get names and addresses from people who buy raffle tickets, buy tickets at the door to attend events sponsored by the MAA, or otherwise become involved with the MAA.
- ♦ The MAA asks volunteers and Board members each to identify at least ten prospects, provide their name and address, and be prepared to write a personal note at the bottom of the solici-



tion letter the MAA prepares for their contacts.

- ◆ The MAA has a website. It encourages those who visit the site to “sign the guest book” online. This generates names for the mailing list.
- ◆ The MAA has developed a mailing list of people interested in receiving program updates or other information by mail or e-mail. It uses these contacts each year in its annual campaign.
- ◆ The MAA has existed for more than 20 years. Some of its former clients, such as people who received help in becoming citizens, now own businesses or have other good jobs. It tries to keep a mailing list of former clients, and finds that they are increasingly likely to make contributions.

---

*Example* 

**Be familiar with regulatory issues.** About 40 states and a few cities and counties have laws and policies to regulate direct mail fundraising (“charitable solicitations”). They want to be sure that the organizations that send out mailings or make telephone calls in their state to ask for money are legitimate, and that a significant share of the funds raised goes to run programs (not pay administrative and fundraising costs). An MAA that sends mail solicitations from or to addresses in these states must provide information — and sometimes an annual fee — to the state. This often involves initial registration, annual reporting, meeting requirements for what must be or must not be stated in the solicitation, reporting major campaigns in advance, and reporting when a professional solicitor or fundraising consultant is hired. Some states make an exception for organizations raising a small amount of money (such as under \$5,000). The cost of registration in time and fees can be high if you are doing mailings or other solicitation in many states. Not registering puts you in violation of state laws. Pennsylvania and Illinois have particularly strict monitoring, with enough compliance staff to pursue violators.

Fortunately, there is now a Unified Registration Statement (URS) that is accepted in 36 of the 40 states that require registration (see URS box below). It covers registration but not annual financial reporting, which must still be done separately for each state.

---

### Using the Unified Registration Statement

To avoid having to separately register with each state in which you do fundraising, you can generally use the Unified Registration Statement. You fill out the URS, following the instructions provided; photocopy the completed form, adding any state-specific items; sign it; collect and attach the specified organizational documents; write a check for the registration fee (if any); and mail the package, along with the URS, to the appropriate agency in each state.

To obtain the form and instructions, go to <[www.multistatefiling.org](http://www.multistatefiling.org)>

---

### *Example*

Successful mail solicitation requires many decisions about the following:

- ♦ **The package** – the letter, envelope, the response form or envelope to be enclosed, and other possible enclosures.
- ♦ **The mechanics of mailing** – dates, lists, type of postage.
- ♦ **The content of the letter** – its message, length, amount of repetition.
- ♦ **Testing** – for example, sending out a test mailing to a small number of people to see how they respond before sending the package to your whole mailing list.

There are lots of books and articles about how to prepare an effective direct mail package. You might ask an experienced organization or a politician in your area to recommend someone to advise you.

**Direct mail has many benefits.** Mail solicitation gives you direct communication with a large number of people in your community. If you can get them to open and read your mailings, this targeted mail can:

- ♦ Educate community members about your issues.
- ♦ Let your organization's friends know about your achievements.
- ♦ Broaden your financial base of support.
- ♦ Locate volunteer and in-kind assistance.
- ♦ Bring people to meetings or special events.
- ♦ Encourage letters to legislators or other decision makers.
- ♦ Invite interest in future activities of your MAA.

How can you produce mailings that will stand out from the vast number of envelopes that stuff your neighbors' mailboxes? Remember this: donors respond favorably to mail solicitations for their own reasons — not yours! This simple point is missed by an amazing number of organizations, who market themselves rather than focusing on how the organization helps people. You may care deeply about “the means,” but your donors are most interested in “the ends” — how supporting your organization makes a difference in the community, and affects them (and their ideals) personally. Here are some things to consider in developing a mailing that generates contributions:

- ◆ **Know your donors** — Get to know what a typical donor to your organization is like, where he/she comes from, why she/he gives. By learning their motivations and interests, you can create effective appeals. This information will also help you to locate people similar to your current donors, who will want to help you. You can appeal to new prospective donors based on what you know about your current donors.
- ◆ **Know your “product”** — not only what your MAA does, but how it benefits your donors. Before you write a fundraising appeal, explore who in the community at large benefits from your work, and how. How will a donor's dollars make a difference to your clients? Can you tell the story of an individual client, whom you want to serve, to illustrate the effect of your donor's assistance?
- ◆ **Know your “distribution channel”** — Learn how to present your appeal and how to package your information. Arrange a small advance mailing to test the success of your appeal. Plan to produce your mailing as economically as possible — but watch out for hidden costs, such as excessive staff time to fold paper or stuff envelopes. Getting out a mailing is a good way for your Board and volunteers to assist in resource development while spending some time together.
- ◆ **Be prepared to respond to donors**, when and if they give you money. Maintain accurate records of what you get and from whom. Send thank-you notes promptly (a hand-written post card is great) and receipts. Add names and corrections to your mailing list as appropriate, and solicit for renewed donations regularly.
- ◆ **Know your voice** — a letter signed by a volunteer or donor with name recognition may be more effective than one signed by staff or a Board member.

**Direct mail is often most effective if supplemented with telephone calls.** Telephone is another good way of reaching large numbers of potential donors. Often volunteers can talk with people over the phone and obtain donations. You can also use telephone solicitation without the mailing. Or, you can have your Board members call to thank (and welcome) first time donors.

## 7. Workplace Giving

A special type of individual solicitation is workplace giving — where you raise funds through having employees contribute to your MAA through payroll deductions. They agree to have a specified amount of money deducted from each paycheck for you. Unlike direct mail, workplace giving is an inexpensive way to reach individual donors. Rather than sending letters to each potential donor, your MAA's name is on a list that often goes to thousands of employees.

In part because of the ease of having gifts deducted from their paycheck and in part because of encouragement to give by peers and by many employers, a very high percentage of employees make gifts. Within the federal government, about 60% of employees make gifts through the Combined Federal Campaign (CFC), the annual fundraising drive conducted by federal employees each fall. The United Way raises most of its money through workplace giving.

People often give much more through payroll deduction than they would if you asked them through a direct mail solicitation. The average gift of federal workers is over \$100 — it's much easier to get someone to agree to give \$2 a week than to hand over a hundred-dollar bill. But by the end of the year, that \$2 adds up!

Workplace giving also involves important challenges. Among the most important is the need for active marketing and publicity. Since employees have the option of contributing to any of hundreds of nonprofit organizations, you need to make them aware of your MAA and its work, or they are unlikely to notice and select you. This can be a time-consuming and expensive process.

The most feasible approach to workplace giving is to become part of the Combined Federal Campaign — if you have the contacts and capacity to publicize your involvement. If your MAA is located in an area where there are many federal and military personnel, it may be worth your while to consider joining the CFC. The application period is usually in March or April. For more information and application materials, you can go directly to the CFC website <[www.opm.gov/cfc](http://www.opm.gov/cfc)>, or contact its Washington, DC office (see Helpful Hint on CFC).

## 8. Community Fundraising Events

One of the best ways to bring more potential donors into your MAA's fundraising is through community events. MAAs run many different types of events, from benefit performances by entertainers to dinners, from sale of flowers or food to participation in a joint activity such as a craft fair.

Fundraising events have many benefits. A successful event raises not only money, but also visibility. It helps with donor acquisition, since many people who begin by supporting an event become long-term contributors.

### *Helpful Hint*

#### **CFC Contact Information**

Office of CFC Operations  
Office of Personnel Management  
1900 E Street, N.W. — Room 5450  
Washington, DC 20415  
Phone (202) 606-2564  
Fax (202) 606-5056  
<[www.opm.gov/cfc](http://www.opm.gov/cfc)>



If your MAA does not have much experience with fundraising events, you may find that the first few “break even” rather than making money. This is all right if you are gaining visibility, identifying new donors, and building for the future. But you can’t afford to spend a lot of time or money on an event unless it makes some money. So plan your events carefully, so they:

- ◆ Take advantage of networks of people who can cook or make things to sell for the organization — which reduces costs and makes your events interesting to people within and outside your community.
- ◆ Benefit from volunteers who will donate time and take leadership in planning and managing an event — which reduces the burden on a small staff and Board.
- ◆ Are appropriate for your culture and fit your mission.
- ◆ Provide visibility and bring new donors.
- ◆ Have the best possible chance to make money.

Before you start, do some careful planning. Your Resource Development Committee may want to coordinate this effort, or you may want to form a Special Events Committee. Include several Board members, someone from the staff, active volunteers, and perhaps some clients. Exercise #5 at the end of this chapter provides a work sheet that will help you to figure out what kinds of events might work best for your MAA — usually an event that’s unique and has some link to your mission. Below are some useful questions to help your Committee begin planning for a community fundraising event. Revise this list to fit your own MAA. Then send out the list to everyone on the Events Committee and ask them to come to the next meeting with their own ideas and lists of names of people to involve — as volunteers or donors.

---


#### Some Successful MAA Events

Here are a few examples of successful MAA events:

1. An annual multi-course dinner at a popular Asian restaurant, with entertainment provided by children performing traditional dances.
2. A benefit performance of a multicultural play, with extra money made through refreshment sales and a VIP reception for sponsors (those who contribute at least \$X amount) to meet the actors and playwright.
3. A talent show by the MAA’s youth clients, with food prepared by their parents.

4. Participation in a community arts festival, with MAAs selling food and crafts made by client families.
5. A reception and silent auction, with items for the auction donated by Board members, area merchants, and embassies or consulates.

---

*Example* 

### **Questions to Ask and Things to Do**

What do we already have in the MAA to make this fundraising project a success? What factors should we consider in choosing an event? Here are some questions and actions to consider — and a checklist to identify some typical items needed for most special events.

#### **Basic Question**

Is doing an event the best use of our time right now? Would we be better off simply asking for money rather than planning and producing a special event?

#### **People:**

- ♦ What talents do our leaders have? Can we use this event to help develop the skills of future leaders?
- ♦ What talents do our members or volunteers have? What do they want to do? What kinds of events have they worked on for other organizations?
- ♦ How many people do we have who will work on this kind of event? List them.
- ♦ Are there any new people we can ask to work on this event? List their names.
- ♦ Do we want any of the MAA's paid staff to work on this? If so, who? What should they do? How much will their salaries add to our costs? (Remember, volunteers are usually more effective and always free! If you choose to pay an employee to work on a fundraising event, be sure that two of your best volunteers serve as apprentices this year — so they can do the job for free next year.)
- ♦ How much of the MAA's time do we want to allocate to this project? Is it enough for the event we would like to choose?

#### **Assessing the Market:**

- ♦ To whom will we sell our tickets? List the names of everyone to whom you personally can sell a ticket. Then, add the number of tickets that you yourself will buy. These are your sure sales. Then list the places and dates where and when you will try to sell additional tickets and how many you hope to sell at each location, such as "Wednesday night, ESL class — four tickets." Add up all the lists and you will know 80 to 90 percent of your sales. The balance will come from sales by the members and their friends.

- ◆ Unless your event includes a celebrity (TV or movie star) whose name alone will draw a crowd, never depend on publicity for more than two percent of your sales. Publicity does not sell tickets; people do.

**Money:**

- ◆ How much seed money do we need to hold this event? Where will it come from — our treasury, a loan, or advance sales?
- ◆ When will we have to spend the money? When will the new money come in? How much will we need to advance from current funds before we begin to raise funds for the event?
- ◆ What will be the total cost of the event? What is our break-even point (income/expenses)?
- ◆ Who will handle the money coming in? Who will control the money going out?
- ◆ Will we need a separate bank account? Do we need any special arrangements to handle lots of cash at the event?

**Time:**

- ◆ When should we schedule the event? Are there any major conflicts with the MAA's calendar? The community calendar?
- ◆ If this event is to be repeated annually, is this the best time of the year for it?
- ◆ What consideration should we make for bad weather (e.g. an alternative snow/rain date, inside location, or insurance)?

**Assets and Resources:**

- ◆ What does the MAA already own that we can use for this event?
- ◆ What do our Board, other volunteers, members, or clients own or have access to that we can use?
- ◆ What do other friendly organizations have that they will let us use?

---

**Basics for Special Events — Checklist**


- ◆ Notification of the police
- ◆ Proper insurance
- ◆ Cash boxes
- ◆ Cash in proper denominations for each cash box
- ◆ Receipts
- ◆ Literature on the MAA — current newsletter or fact sheet, calendar of planned meetings and events, membership applications or volunteer sheets, sale merchandise (crafts, cookbooks, research, etc.)

- ♦ Sign-up list (have people leave their business cards for drawing to receive a door prize)
- ♦ Name tags for committee (or for everyone)
- ♦ Emergency numbers for police, fire, and ambulance
- ♦ Other necessary phone numbers: band, host, speakers
- ♦ Cash for emergencies, coins for pay phone
- ♦ First aid kit
- ♦ Pens and tape
- ♦ Poster board and black markers
- ♦ Errand runner for forgotten things
- ♦ Watch or other timepiece
- ♦ Comfortable shoes
- ♦ Name of paramedic, doctor, or nurse who will be present
- ♦ Sense of humor, tact, patience, and imagination

If location does not provide them, also bring and know how to operate:

- ♦ Fire extinguisher
- ♦ Sound system

---

*Example* 

### ***Goals and Benefits Checklist — What Do We Want to Achieve from This Event?***

In choosing an event, first consider what benefits you want from the event. By thinking about all the possible benefits a special event can bring to your own MAA, you will be able to choose an even that offers as many of these benefits as possible. Consider:

- ♦ Amount of money that can be raised (net after expenses)
- ♦ Number of people who can be involved, including number of leadership roles
- ♦ Number of new volunteers or members who can be drawn in
- ♦ Experience — new skills that will be learned
- ♦ Publicity generated — how much, what kind, and where

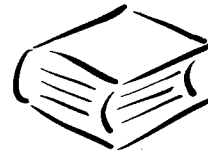


- ◆ “Psychological” effects of the event:
  - Within the MAA (e.g., morale booster for staff, clients, Board)
  - Outside the MAA, to people who want to be part of the MAA’s work
  - On competitors or non-friends
- ◆ New sources of renewable income, such as:
  - Active members or volunteers
  - Subscribers for the mailing list
  - Major donors
  - Local merchants, businesses, and professionals
  - Corporate sponsors
  - Religious entities
  - Unions
- ◆ Other advantages to the MAA — e.g., new area, new style of event
- ◆ Fun!

## For More Information

---

...in the Library



### On Donor-Driven Fundraising

**Burk, Penelope. *Donor Centered Fundraising*. Chicago, IL: Burk & Associates, Ltd., 2003. 215 pages, \$70.**

Author Penelope Burk describes a groundbreaking methodology that challenges accepted fundraising practices and raises much more money. Articulates what donors want but seldom get from the charities they support.

**Burnett, Ken. *Relationship Fundraising: A Donor-Based Approach to the Business of Raising Money*. San Francisco, CA: Jossey-Bass Publishers, 2002. 350 pages, \$34.**

A guidebook that presents a donor-based approach to fundraising. Discusses prospect research, donor attitudes, marketing, donor relations, bequests, common mistakes, and new challenges. Chapters end with a list of “action points” that help readers apply key concepts. With glossary, bibliographical references, and index.

## On Grassroots Fundraising

**Flanagan, Joan. *The Grassroots Fundraising Book: How to Raise Money in Your Community*. Chicago, IL: Contemporary Books, 1995. 334 pages, \$16.95.**

A very practical and useful guide on community fundraising, with lots of ideas, step-by-step guides, and sample materials and tasks lists for various types of fundraising efforts. Annotated bibliography, index.

***Grassroots Fundraising Journal*. Oakland, CA: Chardon Press. <[www.chardonpress.com](http://www.chardonpress.com)>.**

A bimonthly journal published by Kim Klein that provides practical advice on how to raise money and in-kind resources from the community. Includes alternative sources of funding and how to tap them. Geared to smaller nonprofits.

**Klein, Kim. *Fundraising for Social Change*, 4<sup>th</sup> Edition. Oakland, CA: Chardon Press, 2001. 403 pages, \$35.00.**

Explains community-based fundraising techniques for small nonprofit groups with budgets under \$1 million. Recommends fundraising strategies that have been successful for low-budget groups. Divided into eight major sections: framework, strategies to acquire and keep donors, strategies to upgrade donors, other methods of fundraising, fundraising management, development staffing, budgeting and planning, and special circumstances. Contains bibliography and index.

**Klein, Kim. *Fundraising in Times of Crisis*. San Francisco, CA: Jossey-Bass Publishers, 2004. 175 pages, \$25.00.**

Klein asserts that nonprofits are in a very unusual situation, probably of long duration, that can ultimately threaten their ability to carry out their programs. The economy has affected individuals and institutional givers' ability to donate; the war on terrorism has chilled the interest in giving to controversial causes; the growth of the nonprofit sector (creating greater competition), scandals, and "mission drift" have all contributed to unprecedented challenges in the new millennium. Klein provides guidance on pursuit of specific techniques for the coming year, as well as longer-term strategies.

## On Getting the Board Involved

**Howe, Fisher. *Fundraising and the Nonprofit Board*. 2<sup>nd</sup> Edition. Washington, DC: National Center for Nonprofit Boards, 1998. 16 pages. (NCNB Governance Series #9.)**

**Klein, Kim. "Fifty-Five Ways for Board Members to Raise \$500." *Grassroots Fundraising Journal*, vol. 15 (February 1996), pp. 9-12.**

Klein, Kim. "You Already Know all the People You Need to Know to Raise all the Money You Want to Raise." *Grassroots Fundraising Journal*, vol. 16 (April 1997), pp. 7-9.

### On Workplace Fundraising

Bowman, Woods. "Workplace Giving: A Case Study of the Combined Federal Campaign." *New Directions for Philanthropic Fundraising*, vol. 41 (Fall 2003), pp. 27-37.

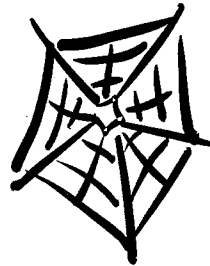
This article gives an overview of the Combined Federal Campaign (CFC), originally established in 1964, and consequently expanded in 1992. Currently it is a network of 376 local campaigns. The author gives particulars about the Chicago Area CFC. With bibliographical references.

....and on the Web

#### Better Business Bureau Wise Giving Alliance

<[www.give.org](http://www.give.org)>

The Better Business Bureau's Wise Giving Alliance offers guidance to donors on making informed decisions through evaluations of charities, various "tips" publications, and its quarterly *BBB Wise Giving Guide*. You can locate your local BBBs through this site.



#### Charity Channel

<[www.CharityChannel.org](http://www.CharityChannel.org)>

This site connects nonprofit organizations worldwide. Services include public and private forums, e-newsletters, and a resource guide. Cost for participation is \$2-\$3 per month.

#### Combined Federal Campaign

<[www.opm.gov.cfc](http://www.opm.gov.cfc)>

This site provides information on various aspects of the CFC, including workshops, annual list of participating agencies, statistics, and the application process.

#### GuideStar

<[www.GuideStar.org](http://www.GuideStar.org)>

Describes itself as the "national database of nonprofit organizations." Gathers and distributes information about more than 850,000 tax-exempt organizations. Many donors use GuideStar to find information about nonprofit organizations before making funding decisions. Provides a good research tool for grants, family foundations, and individual philanthropists.

**National Committee for Responsive Philanthropy**

<[www.ncrp.org](http://www.ncrp.org)>

NCRP is a nonprofit organization that does research and advocacy to strengthen the nonprofit sector. Use this site to locate alternative funds in your area.

**Tides Foundation and Groundspring.org**

<[www.tides.org](http://www.tides.org)>

These associated entities proactively promote social change and social justice. The Tides Foundation works with donors committed to positive social change, linking resources and people.

Groundspring.org helps nonprofit organizations raise funds and communicate with their stakeholders online, providing software tools and services, training, and consulting.

**Unified Registration Statement**

<[www.multistatefiling.org](http://www.multistatefiling.org)>

Go to this website for the unified registration form accepted by 36 of the 40 states that regulate direct mail fundraising.



**Attachments**

1. Exercise #1: Why Are We Afraid to Ask for Money?
2. Exercise #2: Why Do People Give – Or Not Give?
3. Exercise #3: What Do Successful Refugee Women Want?
4. Exercise #4: Role Play: Asking for a Gift
5. Exercise #5: Developing an Effective Fundraising Event
6. Work Sheet for Exercise #5: “Developing an Effective Fundraising Event”

## Exercise

# Why Are We Afraid to Ask for Money?

## *Exercise Number 1*

### **Purpose and Background:**

This exercise helps the group look objectively at its collective fears about asking for money. Fear of asking for money is similar to what you feel when you hear a noise in your house at night when you are alone. Your immediate, normal reaction is fear. You have two choices about how to respond to this fear:

1. You can give in to it, huddling under the covers, and imagining all the worst things the noise could mean; or
2. You can take the more sensible, but much more difficult action of getting up and turning on all the lights until you discover that the noise was something as simple as a leaky faucet, the wind, or nothing at all.

In the same way, looking at your fears about asking for money in the “light” of discussion will show that many of your fears are irrational and the feared outcome is far less likely to happen than you think.

### **Participant Instructions:**

Work individually. Imagine asking someone for a large amount of money (anything over \$100). Think about what you fear will happen to you. List those fears.

### **Facilitator Instructions:**

After the group has had a few minutes to think individually, go around the room and have each person say out loud one important fear: What will the person they are asking think of them? What will they think of themselves? Write down all the feared outcomes. Keep going around the room until everyone has stated all his/her fears. After four or five minutes, there will probably be a list that includes the following:

- ♦ The person will say “NO.”
- ♦ The person will yell at me (or hit me).
- ♦ The person will give me the money, but won’t really want to, and will resent it.
- ♦ I know the person doesn’t have the money.



- ♦ It is imposing on our friendship for me to ask, and we won't be friends anymore.
- ♦ The person will think the only reason I was nice to him/her was to get money.
- ♦ The person will say "YES," and then ask me for money for his/her cause.
- ♦ I don't know if my MAA really deserves the money as much as some other organizations.
- ♦ The person will ask me questions about my MAA that I can't answer.

Review the fears listed. Help the group categorize them according to how realistic those fears are. Help them see that they fall into three categories:

1. Fears about responses that are extremely unlikely to happen (e.g., I'll be punched, I'll be sued, I'll have a heart attack);
2. Fears about things that might happen but can be dealt with if they do (e.g., the person will ask me for money, the person will ask questions I can't answer); and
3. Fears about things that will definitely happen sometimes (e.g., the person will say "NO").

The group should look at each fear and see which category it fits into.

Examine the third type of fear first. For most people, the worst thing that can happen when they ask for money is that the person will say "NO." Everyone who does fundraising will experience this kind of rejection. Remember, just as it is your privilege to ask for money, it is the other person's privilege to turn you down. The person being asked may have just spent \$700 on his/her car, been asked to give to five other organizations, or have other priorities right now. While no one likes to be turned down, it is important not to take being turned down as a rejection of you personally.

In dealing with the second category of fears — that someone will give to your organization and then ask you for money for his/her special cause — you can make your own decision. You don't owe the person a favor. To be supportive of him/her and the cause, you might want to say "YES," but you are not obligated to do so.

Go over the other fears and talk about how people could address them. For example, if someone asks you questions you can't answer, you can simply respond with, "I'll find that out and let you know," or even a simple "I don't know." Fears such as "I know the person doesn't have the money" are very common. However, unless you have a financial statement from the person you are asking, know he/she is on welfare, or know that s/he has recently experienced a devastating tragedy, you don't know that the person doesn't have the money. Other fears can be dealt with the same way.

Sometimes it is not appropriate to ask someone for money, but this is true far less often than we think. When you consider asking someone for money, and then decide not to, ask yourself, "Do I have a reason not to ask, or is this just an excuse based on my own fears, or assumptions I am making about the other person?"

## Exercise

# Why Do People Give — Or Not Give?

## *Exercise Number 2*

### **Purpose and Background:**

This exercise helps people understand what motivates other people to contribute to MAAs. It helps participants see why people give or don't give and also illustrates that people have more reasons to say yes than NO to a request for a contribution.

### **Participant Instructions:**

Imagine that an acquaintance has come to you, explained a cause that s/he is involved with, and asked for a gift. Imagine that the gift is an affordable amount, but not an amount you could give to everybody who asked. For most people, this amount is somewhere between \$35 and \$75. Please:

1. Spend about one minute listing on your own sheet of paper all the reasons you might say YES to this request.
2. Then for the next minute, list all the reasons you might say NO.

### **Facilitator Instructions:**

Ask participants to share their results — first the reasons to say YES, and then the reasons to say NO. As they share their lists, write the “YES” and “NO” reasons on two separate flipchart sheets, or two sides of a blackboard or whiteboard.

Generally, there are more “YES” reasons than “NO” reasons. The following are among the most common reasons identified:

#### **YES**

- ♦ Like the person asking
- ♦ Believe in the cause
- ♦ Get something for my money — such as attending a performance or event
- ♦ Get a tax deduction
- ♦ Feel generous
- ♦ Just got paid
- ♦ Know my money will be well used
- ♦ Want to support my friend
- ♦ Feel guilty saying NO
- ♦ Know other people in the group
- ♦ Don't have time to volunteer, so give money
- ♦ Like the approach used to ask me

#### **NO**

- ♦ Dislike the person asking
- ♦ Don't believe in the cause
- ♦ Don't have money
- ♦ In a bad mood that day
- ♦ Organization has a bad reputation
- ♦ Give to other things that seem more important
- ♦ Already been asked several times this week





Suggest the following: When thinking about why a person would give money to an MAA, consider why you decided to give money to your MAA. Your reasons for giving and not giving will be much the same as everyone else's, and will help you understand what motivates people to give. See if this leads to any more reasons for saying "YES." If so, add them to the list.

Now ask the group to review and discuss the two lists. Looking at the "NO" list, these answers fall into two categories:

1. Reasons that are not the asker's fault and could not be known ahead of time.
2. Reasons that appear to be "NO" but are really "MAYBE."

For example, for the first category, the asker usually cannot know that the prospect does not have the money right now, or that he/she is in a bad mood, or has been asked several times that week. When this is the reason for the rejection, the best thing the asker can do is to thank the prospect for his/her time, and go on to the next person.

For the second category, the prospect often needs more information. Perhaps if the prospect knew more about the MAA, what it has accomplished, and how the money would be used, then the reasons for the bad reputation would be cleared up, and the person might give later on. The "NO" answers are really "MAYBES" — for example, "Maybe I would give if I thought the organization did good work." The person asking for the money must be prepared to discuss the prospect's reasons for not saying YES and hope to persuade the prospect to say YES.

A few of the "NO" reasons reflect badly on the asker. For example, if the prospect thinks the asker is naïve or pushy or dislikes the asker, then this was an unfortunate choice of person to solicit the gift. Or the "NO" reasons may reflect badly on the organization. If it has made mistakes in how it handles money or runs programs, then it may have a bad reputation that will take time to change.

Sum up by noting that this exercise and discussion help you understand that asking for money is not as frightening as you might have thought. The worst thing that can happen is that the person asked will say "NO" — and usually they say "NO" for reasons outside your control or knowledge.



## Exercise

# What Do Successful Refugee Women Want?

## *Exercise Number 3*

### Background and Purpose:

This exercise explores what motivates people to give. It focuses on the factors that cause women to become donors.

### Facilitator Instructions:

Ask the group to think about a target population, such as refugee women aged 40 or more, who have been successful in business or other sectors. Then ask questions like those listed below, and put the answers on a flip chart or blackboard.

#### Brainstorming Questions

- ♦ What is our long-term goal of cultivating relationships with these refugee women?
- ♦ What programs or success stories would they like to hear about our MAA?
- ♦ How would they like to become involved — serve on the Board, volunteer?
- ♦ How much time can they give to our MAA?
- ♦ Where does our MAA rank in their list of spending priorities?
- ♦ How often and how would they prefer to hear from us? And in what way(s) — newsletter, e-mail, phone update, personal meeting?
- ♦ Who is the best person to be in touch with these women?

Provide some examples of motivating factors. While refugee women have some special characteristics, they may also share some of the same interests and motivations with other successful women. Below is some information about women donors, gathered by the Association of Fundraising Professionals. Use it to get started thinking about successful refugee women and how to encourage them to become donors.

#### “What Do Women Donors Want?”

##### Historical Picture of Women Philanthropists

- ♦ Inherited their wealth
- ♦ Supported family’s philanthropy
- ♦ Felt unempowered
- ♦ Were passive



### **Women's Wealth Today**

- ♦ Control 51% of the wealth in the U.S.
- ♦ Give 2.1% of annual income (same as men)
- ♦ Are the newest, largest grantmakers in the U.S.
- ♦ Inherit money, since on average they live seven years longer than men
- ♦ Are collectively worth \$41 trillion
- ♦ Give more to health concerns than to other causes

### **What Motivates Women to Give?**

- ♦ Change — they want to see an improved world
- ♦ Connection — they have a strong attachment to their causes
- ♦ Creativity — they want to help make something new
- ♦ Commitment — they are consistent about the issues and programs they support
- ♦ Collaboration — they like to do work with others
- ♦ Celebration — they want to share the experience with others

### **Characteristics of Women Donors**

- ♦ Prefer new projects over established
- ♦ Prefer specific projects over unrestricted gifts
- ♦ Gravitate to scholarships
- ♦ Want regular updates on projects
- ♦ Not comfortable with multi-year pledging
- ♦ Not as responsive to "matching" funds as men
- ♦ Like anonymity
- ♦ Fund women and girls (which "no one" else does)
- ♦ Give smaller amounts and to more organizations
- ♦ Give larger donations over time
- ♦ Less need for recognition (although the younger generation of women is more empowered and more comfortable with public recognition)
- ♦ Rely less on business connections and more on personal relationships
- ♦ Get involved with the organizations they support/have a commitment to the organization
- ♦ Give less than they are able so they "don't show anyone up"
- ♦ Value the "essence" of an organization
- ♦ Take more nurturing than men
- ♦ Tend to come together to earn money for a cause (such as breast cancer walks, Global Fund for Women, Feminist Majority, EMILY's List)

### **Different Women Donor Types**

#### **Inherited Wealth**

- ♦ Characteristics: wants little limelight, wants to be kept updated on her giving, may end up volunteering, very involved

- ♦ Approach: find out about her interests and participation, spend time with her personally — the “ask” comes later

#### **Earned Wealth**

- ♦ Characteristics: progressively more active in giving
- ♦ Approach: likes the solicitor to be direct, less tolerance about the process, thinks like a business person, likes the direct “ask”

#### **Activist**

- ♦ Characteristics: uses media progressively, makes multi-year commitments, though at a low level
- ♦ Approach: don’t ask directly for any money until you appreciate her for her many hours of volunteer work

#### **Guarded**

- ♦ Characteristics: concerned about financial planning
- ♦ Approach: ask directly as long as your organization fits into her interests

#### **Suggestions for Attracting and Keeping Women Donors**

- ♦ Frequent contact (at least four times/year) — get her involved with the organization, establish personal relationships
- ♦ Publicize women’s gifts/promote women in philanthropy
- ♦ Keep marketing materials professional but not ostentatious
- ♦ Understand the role women play in gifts from married couples and acknowledge gifts accurately, in the name of both partners
- ♦ Encourage women to be Board members, and establish volunteer programs that allow women to be involved
- ♦ Use women speakers at events
- ♦ Create donor circles around issues of particular interest to women (may first need to do focus groups on interests and perceptions of women)
- ♦ Teach staff to communicate with women effectively
- ♦ Use celebrations to bring back lapsed donors and build relationships among donors (women say, “we need things to celebrate these days”)
- ♦ Communicate honestly, but don’t just ask for money — talk about the issues, ask for volunteer time, encourage her involvement with the organization
- ♦ Ask women to give



## Role Play: Asking for a Gift

### *Exercise Number 4*

#### **Background and Purpose:**

This exercise uses two sessions to familiarize participants with approaches to use and avoid in meeting with donors and potential donors.

#### **Facilitator Instructions:**

This exercise is designed to be carried out in two sessions. At the first session, participants discuss the solicitation process, and pair up for the second session. For homework, they do some research, develop a verbal script for a solicitation visit, and practice it before presenting it to the group at the next session. Each team will identify a gift prospect that they know, and develop a true-to-life scenario of how this person might react when solicited. If you can inject humor into this role play, it will be even more fun!

#### **Session One**

1. **Discuss with participants the types of people (prospects) MAAs should solicit.** Then ask them: What is it we need to know about each person before meeting with that person? You will probably get responses such as these:
  - ◆ Prefer new projects over established.
  - ◆ What's their history of giving to our MAA?
  - ◆ Have they volunteered with our MAA?
  - ◆ What Boards are they on?
  - ◆ What other organizations in the community do they support?
  - ◆ What's their business/where do they work? How is the business/company doing?
  
2. **Now ask the group to gather a briefcase of items for meetings with donors.** Ask them to suppose that they have identified some prospects and are putting together things that may be useful when they meet with potential donors. The group should identify at least the following:
  - ◆ Latest newsletter
  - ◆ Annual Report
  - ◆ Our own business cards, with direct phone number
  - ◆ Portfolio with photos from a recent event, newspaper articles about our MAA
  - ◆ List with names and key affiliations of our Board members and key volunteers
  - ◆ List of other prospects that our person may know (so that he/she can give us information about some of them)
  - ◆ Description of the specific program(s) you want this donor to support
  - ◆ List of fundraising goals (money, number of donors, number of volunteers)



- ♦ List of who else has given at the level you are requesting from this donor, or in a significant capacity, either this year or to this campaign
  - ♦ Pyramid of how many gifts are needed at this level to reach your MAA's goal
  - ♦ Promotional materials or case statement that describes your MAA
3. **Now prepare participants for a role play to be done at the second session.** Ask them to split into two-person teams and:
    - ♦ Decide on a real person whom they know to approach for this exercise.
    - ♦ Set up a time to get together before the next session to role-play the solicitation meeting.
  4. **Assign homework.** Each team should gather background information about the person they've identified, and assemble materials for the "briefcase." In addition, they must decide how they'll ask for the initial meeting (and draft a practice e-mail or telephone talking points) and develop a verbal script or outline for the solicitation meeting.

### Session Two

1. **As the second session begins, remind participants about the purposes of the exercise and what they should have done between meetings** to prepare for the role plays.
2. **Allow time for a rehearsal**, so teams can practice and fine-tune the script they've developed for the role play.
3. **Conduct the role plays.** Once the teams have had time to practice, have them present their role plays. They can all present to the whole group if there is time. If not, pair several teams and have them present to each other, with a facilitator present to observe each set of role plays if possible.
  - ♦ Have each team pair up with another team.
  - ♦ Have each team give a background briefing on its identified prospect to the other team.
  - ♦ Ask teams to role-play the meeting, with one member of the other team pretending to be the prospect or donor.
  - ♦ Once the first role play is finished, have the teams switch roles (have the second team be the MAA solicitors and the first team become the prospect).
4. **Do a debriefing:**
  - ♦ Discuss and critique the role plays: What did the MAA representatives do well? What might be improved? How? How did it feel to role-play this meeting — for the MAA representative and for the person playing the donor?
  - ♦ Discuss what lessons the role play offers.
  - ♦ Talk about using this skill for real meetings. Ideally the MAA should assign teams like the ones in the role play, as a pair, to cultivate and solicit real individuals. Once a soliciting pair has participated in three to five successful meetings with donors or prospects, you can encourage a more experienced solicitor to pair up with a novice.



## Exercise

---

# Developing an Effective Fundraising Event

### *Exercise Number 5*

#### **Purpose and Background:**

This exercise helps people learn how to evaluate the probable success of various types of special fundraising events, considering their unique characteristics, constituencies, community resources, and personnel, and other resources.

#### **Participant Instructions:**

Suppose that your MAA has decided that it is going to carry out a special fundraising event in order to raise at least \$10,000 for a specific purpose — such a buying new furniture for your preschool or English-language center, replacing the roof on your building, obtaining matching funds required by a foundation or corporation so that it will release a challenge grant of another \$10,000, etc. You must put on the event within the next four months.

Using copies of the work sheet on the next page, assess the probable success of each of the following possible events if held by your MAA as a means of raising these funds.

##### **Event #1**

An awards dinner and dance, held at a downtown hotel. Costs would be about \$60 per person, for the dinner and dance, assuming a minimum of 300 people were present, and the agency would be charging \$100 per person.

##### **Event #2**

A raffle, with a Cadillac as the prize. A local car dealer has agreed to supply the car for \$15,000.

##### **Event #3**

An annual dinner and program, held in your neighborhood, at which local cultural artists would perform and a well-known city band has agreed to play for a dance. Total costs would be about \$30 per person, and the event would be held in a large community hall with informal facilities accommodating up to 1,000 people.

##### **Event #4**

A series of four monthly dinners held in the neighborhood, each providing a different menu, with your MAA doing most of the preparations. Dinners would be served family style. If volunteers did the cooking (rather than a caterer), costs would be about \$7 per person. You could serve up to 500 meals each month without incurring major facilities costs.

## Facilitator Instructions:

Review responses with the group. Some of the benefits and challenges of each event are:

### Event #1

This type of event is high-risk because the MAA has to make a commitment early on to hold the facility and the per-person costs are high. It involves a lot of “up-front” costs which you will need to invest, often before you know whether you will be able to raise enough to cover them and make a profit. It also involves a lot of planning time and marketing. It can work if you have the funds to invest or organizational sponsors who will help cover your costs, enough planning time, and the ability to sell a large number of full-price tickets — and/or tables to sponsors who will pay extra for the publicity associated with the event.

### Event #2

If you have to pay \$15,000 for the car, the raffle will be successful only if you can sell a lot of raffle tickets! If you make the price per ticket too low, you will have trouble selling enough to cover costs and make a profit. If you make the price per ticket too high, you may find it hard to sell the tickets. Usually a raffle is most successful if the prizes are contributed or subsidized and are attractive enough to motivate people to buy the raffle tickets. Also needed are a large group of people to sell the tickets, and a large community of clients and friends who can afford to buy tickets and think well of the organization.

### Event #3

If you can sell enough tickets, get some corporate sponsors, and keep costs reasonable, this event could be successful. It requires some up-front expense, so you need to have the cash to make that investment, knowing that there is some risk. Also, be aware that sometimes performers, even if they donate their time, can be expensive because of travel and lodging costs and other expenses.

### Event #4

This kind of event works well for some small MAAs, especially those with lots of volunteers who will be responsible for cooking, serving, and marketing the dinners. It is very labor-intensive. However, it does not require a lot of up-front money, and can generate small amounts of money per person but a significant amount overall if the MAA sells enough tickets. It can also strengthen the MAA's community visibility.





Tool

---

## Work Sheet for Exercise Number 5: “Developing an Effective Fundraising Event”

In doing your assessments, consider the following factors.

1) Staff time required to plan and carry out the event

---

---

2) Amount of lead time required

---

---

3) Previous experience with similar events, and availability of needed expertise

---

---

4) Availability of individuals who will help (Board, staff, community members)

---

---

5) Probable community response to the event

---

---

6) Up-front costs the MAA must cover

---

---

7) Degree of risk and probable level of profit

---

---

Given these considerations, which — if any — of these possible events appears likely to be successful in meeting your MAA’s financial goals?

*Decision:*

---



# Chapter VIII

## *State and Local Government*

---



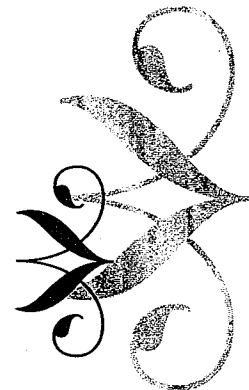
# Chapter Contents

<b>Overview</b> .....	<b>183</b>
<b>1. Introduction</b> .....	<b>183</b>
<b>2. First, Learn How the Money Flows</b> .....	<b>184</b>
Seek Out a Partner for Joint Applications	187
<b>3. The Search — or Where to Begin ...</b> .....	<b>188</b>
<b>4. State Government</b> .....	<b>189</b>
The Governor's Office	189
State Information Starting Places	190
Department of Human Services	191
Department of Economic Development	191
Department of Technology and Communication	192
Department of General Services	192
<b>5. County Government</b> .....	<b>192</b>
County Commission or Board of Supervisors and County Executive	192
Social Services or Human Services Department	193
Community Action Agencies	193
<b>6. City Government</b> .....	<b>193</b>
Mayor's Office	193
Office of Housing and Community Services	193
Office (or Department) of Economic Development	194
Department of Parks and Recreation	194
Purchasing Officer	194
<b>7. Programs of Special Interest That Are Administered at the State Level</b> .....	<b>194</b>
Workforce Investment Board	194
State Arts Agencies — Funding for Cultural Heritage Preservation	195
Community Development Block Grants	195
State or Area Agency on Aging	195
21 <sup>st</sup> Century Community Learning Centers	196
Adult Literacy	196
Nutritional Support	196
AmeriCorps	196
<b>8. Other Sources of Information about State or Local Funding</b> .....	<b>197</b>
Don't Give up ...	197
<b>9. Preparing Effective Competitive Grant Applications</b> .....	<b>198</b>
What Is Special about Responding to an RFP?	198
How Agencies Review Applications	199
Steps in Responding to an RFP	199
Common Errors to Avoid	203
<b>For More Information</b> .....	<b>203</b>
On the Web	203

# Chapter VIII

## *State and Local Government*

---



### Overview

This chapter provides summary information on how to obtain funding from state and local government agencies. It describes how the money flows, provides practical strategies for becoming part of the process, and describes typical funding opportunities at multiple levels of government — state, county, and city. It closes with step-by-step guidance on how to prepare a competitive grant application.

### 1. Introduction

In Chapter 5 — “Proposals,” you learned the basics of what to expect when applying for funding from a government agency and how to prepare a strong proposal to a government funder. The question now is: what government agencies exist, where do you learn about them, and how can you get more information about the funding opportunities they have available?

Government money comes from the taxes paid by all of us, and it’s distributed according to the laws and budgetary decisions made by elected representatives. All of this happens at many different levels — in our towns and cities, in our counties and states, and in our nation’s capital. These funds, which really belong to the public, have various rules and regulations attached to them — where the dollars will go, who will distribute them, and how the money will be allocated. Sometimes the relevant law (or “authorizing legislation”) dictates that only a government agency can use the money. At other times, government agencies distribute the money — through grants or contracts — to private, nonprofit organizations that then provide services to the people the

*Helpful Hint*



To find possible state and local funding for your MAA, here are some places to start your search:

- ♦ Get acquainted with your State Refugee Program Coordinator and his/her staff. Ask about funding opportunities, both refugee-specific and service-focused.
- ♦ Find out if there is a city or county agency responsible for assisting newcomers, and build relationships there.
- ♦ Get to know your local and state elected officials — city council members, county supervisors, state legislators. Educate them about your MAA's work and needs, and they will provide valuable information about funding opportunities.
- ♦ Join groups of human service providers — both refugee-specific and geographically based — and learn from them about funding opportunities.

legislation was designed to assist. It is this second category of funding that MAAs should ask about and look for.

Often, an MAA's first funding comes from a government program specifically designed to assist refugees. However, MAAs can also apply for funding in a wide range of program areas. There are state and local government agencies that have programs in areas such as employment, health, housing, social services, youth development, and arts and culture. You need to begin to think beyond defining yourself by *who you serve* — refugees — and begin to define yourself by *what you do* — help people find housing, strengthen families, ensure that young people succeed in school. Once you begin to consider your work from other perspectives, you will begin to see the many other funding opportunities that exist.

There are many different ways your MAA can learn about these funding opportunities. The web can be a great place to start, but ultimately, the key to success lies in building relationships. This means talking to people you already know who might be able to help you, being active and visible your community, and connecting with other service providers and advocates through joining service organizations and coalitions. But before you begin your search for state and local funding, it's helpful to understand the basics of how state and local money flows.

## 2. First, Learn How the Money Flows

Each state has its own form of state government, and most states also have county governments. Some states have only a few counties (Hawaii, Delaware) and others have as many as 254 (Texas); most have something in between. In nine states (California, Idaho, Illinois, Indiana, Iowa, Nebraska, Nevada, New Hampshire, and South Dakota), public assistance is provided at the county level. The counties in California have budgets as large as that of a small country. In rural states, much of state government may be concentrated in the capital and in large cities, with counties playing important roles in the rural areas. In some states, cities and towns — not counties — provide most services. There are as many variations as there are states.

### Where do states get their money?

The amount of funding each state has available — for direct services and for grants and contracts to nonprofit organizations — varies, both state-by-state and over time, depending on economic conditions and government priorities. Because states rely primarily on revenues from personal income taxes and sales and use taxes, when a state's economy is not doing well and its employment level falls, so does its revenue. Among the states, there is a great deal of variety in the mix of tax sources. Washington State, for example, raises nearly 64% of its tax revenue from the sales tax and none from personal income taxes. Nearby Oregon (which has no sales tax) raises 74% from personal income taxes. With neither sales nor personal income taxes, New Hampshire raises more than 25% of its revenue from a statewide property tax. Alaska gets nearly 62% of its revenues from

taxes on oil extraction. States with no state income tax are: Alaska, Florida, Nevada, South Dakota, Texas, Washington, and Wyoming. New Hampshire and Tennessee do not tax wages or salaries, but have limited taxes on interest, dividends, and capital gains (income from things like sale of property). Alaska, Delaware, Montana, New Hampshire, and Oregon have no state sales tax.

#### **How do tax revenues become programs, and ultimately, grants?**

In most states, the Governor's office proposes a budget to the legislature. Strong legislative budget processes dominate in a few states, such as Arizona, Colorado, and Texas. In most states, legislative budget committees set the guidelines for state spending, based on expected annual revenues. Unlike the federal government, with the exception of Vermont all states have a constitutional or statutory requirement to balance their budgets; budgets must be enacted by the legislature and signed by the Governor.

The budgetary process can be an opportunity for nonprofit organizations to provide input on how budget decisions may affect members of their communities. Consultation through a variety of vehicles such as planning bodies, commissions, and community meetings helps to ensure that elected officials make informed decisions about the budget.

#### **Within a state, what kinds of funds are available?**

An MAA may be able to obtain any of several types of state funds:

- ◆ **Federal Funding to States** — ORR's social services dollars come to the states on a formula basis for distribution to government agencies, nonprofit organizations including MAAs, and other eligible groups. Similarly, the federal government "passes through" other types of funds to the states, which then distribute them — state agencies use some of the funds for planning, direct services, and administrative costs, and provide some to nonprofit organizations through grants or contracts. For example, states receive federal funding for various types of health services, employment and training, housing, and business development. These funds are usually available on an annual basis through a competitive process. If this is true in your state, see if your MAA is eligible, and then find out how the system works, and what the channels for distribution are. Sometimes small, grassroots organizations receive priority consideration. Often, it is best to seek funds as part of a group of service providers.
- ◆ **General Funds** — Based on their tax revenues, many states have General Funds. They are available to the state to use as the Governor and legislature decide, since no specific legislation requires specific uses. These funds are often more flexible and may be easier to access than the money that comes into the state from Washington, DC.
- ◆ **One-Time and New Funding** — You may be able to tap one-time-only and new funding sources. Often these come through old, familiar channels. For example, the State Refugee Coordinator's Office may have some special funds to

*Helpful Hint*



**How Your Board Can Help**

Board members can play a very important role in helping you learn about state and local funding opportunities and making broad contacts. For example, Board members might take responsibility for researching particular levels of government or perhaps “following the money” in a particular program area such as elderly services or housing. Provide some initial contacts from this chapter, and ask one or two members to take responsibility for identifying state, county, and/or city agencies that provide funding in this program area. Ask them to find out whether there is a service providers’ coalition you should join. Perhaps someone on your Board has contacts in a particular agency or program area — if so, use them! Ask Board members to share responsibility for attending coalition or provider meetings.

support citizenship preparation, or the local health department may have funds for outreach to refugees and immigrants to link them with regular medical care. You may not hear about these opportunities unless you have made yourself and your project ideas known to people in state, county, and city government. That is why it is smart to stay in touch with service providers who are part of the funding system, and with people at all levels of local government. Keep in mind that these are often the same people who are asked to serve on the review panels of “outside experts” that make funding decisions about competitive proposals. Tell people who you are, and what you want to do. Collect information about when funding cycles begin, when Requests for Proposals (RFPs) are issued, and when they are due. Get your MAA’s name on mailing lists in each agency. If you haven’t received anything by the issue date for the RFP, call the appropriate agency. Many agencies provide technical assistance for writing these proposals; ask if, when, and where.

And that’s just the state level — there are also county and municipal government funds. Money available locally can be federal dollars distributed by the county or city, one-time-only or special funds, or municipal general funds. Some federal funds go directly from the federal government to counties or cities, on either a pass-through basis or through a process in which municipal government agencies compete for funding. For example, local governments receive funding for a wide variety of health services and for housing. As with federal funding that goes to the states, the local government agencies use some of the money directly, and provide some funds as grants and contracts to nonprofit organizations. In addition, counties and cities, especially the ones with large populations and budgets, also pass local legislation that supports social services and other activities important to refugees. Usually you need to submit a competitive proposal in response to an annual RFP process.

It is really important to find out how your own state, county, and city governments give out money for community projects, social services, and employment or economic development projects. Think of it as a civics lesson with a pot of gold at the end. — a profitable way to learn about your local government!

**How can your MAA become part of the process?**

As mentioned above, there are numerous ways in which your MAA can become part of the process and help ensure that, when it comes to decisions about the allocation of state and local resources, the best decisions are made for your community. While we are encouraging you to think beyond refugee programs, it’s always good to start with what and who you know. Although every state has a different process for allocating and awarding its funds, most states<sup>1</sup> have a State Refugee Program Coordinator — this is the best place to start. Don’t forget to tell your State Coordinator that you’d like to learn more

---

<sup>1</sup> MAAs in California should look to their County Refugee Coordinator, and substitute the word “county” wherever this text mentions “state.”


about opportunities to participate in the decision-making process and volunteer to join your State's Refugee Advisory Council for the experience and possible contacts. Ask for recommendations about other, non-refugee specific planning bodies and commissions. Use these opportunities to reach out to potential new allies in some of these program areas, and learn how the planning process works in your geographic area. Look for a mentor who can help you. Particularly when you're beginning a project in an unfamiliar area of service, think about partnering with another agency that's already familiar with that type of program. (For more on working with others, please see Chapter 10 – "Collaborations.")

---

#### Seek Out a Partner for Joint Applications

Because public-sector grant applications can be complicated, and the grant amounts sometimes too large for a small MAA, look for a more experienced partner in the same target program area. Two Colorado MAAs serving refugee elderly got their first external funding by partnering with a large Jewish human service agency that provides senior services to Russian immigrants. The MAAs benefited from the grantwriting sophistication of the larger agency, and because the joint project served multiple newcomer populations it was more attractive to the funder. The three agencies provided culturally appropriate case management and access to health and social services with funding from ORR. Their mutually beneficial collaboration continued to other funding opportunities, from government and from local foundations. In addition, the Jewish agency's Chief Financial Officer provided mentoring, and the two MAAs eventually applied on their own for joint funding from local foundations.

---

*Example* 

### 3. The Search — or Where to Begin ...

**SPOC** — About two dozen states have a Single Point of Contact (SPOC)<sup>2</sup> who can tell you what kinds of funding are available in your state, and who else is already running programs similar to yours. Originally set up to help prevent duplication of services, the Single Point of Contact has a lot of information that you can use. In addition, this office can encourage the agencies that administer funds to include your MAA in their pool of potential applicants. To see if your state still has a SPOC, call your Governor's Office (see table below for phone number) or go to <[www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html)>.

**State Refugee Program Coordinator** — The State Refugee Program Coordinator's office can serve as your point of access to other government offices. The staff in this office can also be a valuable resource in finding grant opportunities and preparing to submit a grant proposal. Actively seek help from your State Coordinator. Invite him or her to join you for lunch. Explain the kinds of programs your MAA is exploring (workforce development and skills recertification, family-based childcare, after-school and mentoring programs for youth, community education and cultural exchange programs — whatever your MAA wants to do) and see what suggestions he or she has.

**Government Consortium** — At both state and local levels of government, there is usually another group that meets regularly to make sure that there is no duplication and overlap of services for a given geographic area. It may be called an "Association of Governments," "Council of Governments," "Human Services Coordination Board," "Human Services Council," etc. This kind of group usually consists of representatives from state, county, and city governments, and sometimes the United Way. Although the group may (or may not) make grants itself, it will have the information on who does, when and how RFPs are issued, and the application process.

After checking in with your State Refugee Program Coordinator and the Single Point of Contact, you will need to do some basic research. There are at least two different, but complementary, ways to search for funding information — the Internet and the telephone book. Try both, and follow the trail until you find what you need. Just ahead is a table listing "State Information Starting Places." Look there for your own state government website and the telephone number for your Governor's Office.

- ♦ Use the Internet. Go to the state government website. Click on the issue area that interests you (youth, childcare, seniors, etc.). Get familiar with the site, and keep going until you find what you're looking for. If there's a search button, you might want to use the search box for "Grants" or

---

<sup>2</sup> In 2004, the following states had a SPOC: Arkansas, California, Delaware, Florida, Georgia, Illinois, Iowa, Kentucky, Maine, Maryland, Michigan, Mississippi, Missouri, Nevada, New Hampshire, New Mexico, New York, North Dakota, Rhode Island, South Carolina, Texas, Utah, West Virginia, Wisconsin, and the District of Columbia.



“Contracts” and then your issue area. When doing this kind of search, it’s much more useful to think in terms of program areas or issues than government departments.

- ◆ Use the Phone Book. Look in the government section<sup>3</sup> (“blue pages”) of your local telephone directory for the name of your state. Under that name, look for “Governor’s Office.” Ask for information about special funds or projects being planned by the Governor’s Office. Be prepared to explain, in one or two sentences, the MAA you represent and what you are looking for. State your request quickly and simply. For example:

*“I’m calling for information about funding and Requests for Proposals for projects such as [state your project here]. Do you give funding for that, and if so, could I get information about it? Thank you.”*

- ◆ Use your networks and relationships. One good way to learn about funding opportunities is to work with other service organizations. Join your State’s Refugee Advisory Council or your area’s Refugee and Immigrant Forum — your State Coordinator can point you in the right direction. Look for other coalitions of service providers that are geographic rather than refugee-based. Build relationships with the other service providers you meet. “Word of Mouth” through informal relationships is a major way in which information is shared.

Once you have located a promising opportunity (either on the Internet, by phone, or through your networks), make sure you understand the application procedures and requirements. If these are not available on the agency’s website, call and request a copy. Revisit Chapter 5 — “Proposals” to refresh your memory on tips for writing winning proposals, and the components of a proposal.

## 4. State Government

State government includes the legislature, the Governor, and many “departments” and other agencies responsible for specific types of programs or services. Here are some of the most important. Remember that names of agencies vary by state, but you’re likely to find agencies with names similar to the ones we’ve listed below. Agencies that have many of these same functions also exist at county and city levels, as described in later sections of this chapter.

### ***The Governor’s Office***

This office of the highest elected official in the state sometimes has discretionary funds, federal or state, for special one-time projects. Often the Governor’s Office would like community-based nonprofits to apply and provide the targeted service.

<sup>3</sup> Many local telephone companies print government listings on blue-edged (or entirely blue) paper. This section is called the “blue pages” and is usually in the center of your telephone book, directly after the residence section and before the business section.

State Information Starting Places

State	Capital	Web Address	Governor's Office
Alabama	Montgomery	<www.alabama.gov>	(334) 242-7100
Alaska	Juneau	<www.ak.gov>	(907) 465-3500
Arizona	Phoenix	<www.az.gov>	(602) 542-4331
Arkansas	Little Rock	<www.accessarkansas.org>	(501) 682-2345
California	Sacramento	<www.ca.gov>	(916) 445-2841
Colorado	Denver	<www.colorado.gov>	(303) 866-2741
Connecticut	Hartford	<www.ct.gov>	(800) 566-4840
Delaware	Dover	<www.delaware.gov>	(302) 744-4101
Dist. of Columbia	Washington	<www.dc.gov>	(202) 727-2980
Florida	Tallahassee	<www.myflorida.com>	(850) 488-2272
Georgia	Atlanta	<www.georgia.gov>	(404) 656-1776
Hawaii	Honolulu	<www.hawaii.gov>	(808) 586-0034
Idaho	Boise	<www.accessidaho.org>	(208) 334-2100
Illinois	Springfield	<www.illinois.gov>	(217) 782-6830
Indiana	Indianapolis	<www.in.gov>	(317) 232-4567
Iowa	Des Moines	<www.iowa.gov>	(515) 281-5211
Kansas	Topeka	<www.accesskansas.org>	(785) 296-3232
Kentucky	Frankfort	<www.kentucky.gov>	(502) 564-2611
Louisiana	Baton Rouge	<www.louisiana.gov>	(225) 342-7015
Maine	Augusta	<www.maine.gov>	(207) 287-3531
Maryland	Annapolis	<www.maryland.gov>	(410) 974-3901
Massachusetts	Boston	<www.mass.gov>	(617) 725-4000
Michigan	Lansing	<www.michigan.gov>	(517) 373-3400
Minnesota	St. Paul	<www.state.mn.us>	(651) 296-3391
Mississippi	Jackson	<www.ms.gov>	(601) 359-3150
Missouri	Jefferson City	<www.state.mo.us>	(573) 751-3222
Montana	Helena	<www.discoveringmontana.com>	(406) 444-3111
Nebraska	Lincoln	<www.state.ne.us>	(402) 471-2244
Nevada	Carson City	<www.nv.gov>	(775) 684-5670
New Hampshire	Concord	<www.state.nh.us>	(603) 271-2121
New Jersey	Trenton	<www.state.nj.us>	(609) 292-6000
New Mexico	Santa Fe	<www.state.nm.us>	(505) 476-2200
New York	Albany	<www.state.ny.us>	(518) 474-7516
North Carolina	Raleigh	<www.ncgov.com>	(919) 733-5811
North Dakota	Bismarck	<www.discovernd.com>	(701) 328-2200
Ohio	Columbus	<www.ohio.gov>	(614) 466-3555
Oklahoma	Oklahoma City	<www.youroklahoma.com>	(405) 521-2342
Oregon	Salem	<www.oregon.gov>	(503) 378-3111
Pennsylvania	Harrisburg	<www.state.pa.us>	(717) 787-2500
Rhode Island	Providence	<www.ri.gov>	(401) 222-2080
South Carolina	Columbia	<www.myscgov.com>	(803) 734-2100
South Dakota	Pierre	<www.state.sd.us>	(605) 773-3212
Tennessee	Nashville	<www.tennesseeanytime.org>	(615) 741-2001
Texas	Austin	<www.texasonline.com>	(512) 463-2000

<b>Utah</b>	Salt Lake City	< <a href="http://www.utah.gov">www.utah.gov</a> >	(801) 538-1000
<b>Vermont</b>	Montpelier	< <a href="http://www.vermont.gov">www.vermont.gov</a> >	(802) 828-3333
<b>Virginia</b>	Richmond	< <a href="http://www.myvirginia.org">www.myvirginia.org</a> >	(804) 786-2211
<b>Washington</b>	Olympia	< <a href="http://www.access.wa.gov">www.access.wa.gov</a> >	(360) 753-6780
<b>West Virginia</b>	Charleston	< <a href="http://www.wv.gov">www.wv.gov</a> >	(304) 558-2000
<b>Wisconsin</b>	Madison	< <a href="http://www.wisconsin.gov">www.wisconsin.gov</a> >	(608) 266-1212
<b>Wyoming</b>	Cheyenne	< <a href="http://www.wyoming.gov">www.wyoming.gov</a> >	(307) 777-7434



## ***Department of Human Services***

Each state has a department responsible for human services. In your state, that department may have a slightly different name. Regardless of what it's called (Department of Social Services, Department of Health and Social Services, Department of Economic Security, Department of Human Resources, etc.), this department is responsible for serving a variety of populations — children, youth and families, the disabled and the elderly. Social services include family counseling, food banks, weatherization programs, energy bill assistance, senior telephone discounts, and community services of all kinds. Many of these Human Services/Human Resources Departments also have specialized bodies (such as the Commission on the Status of Women) to study the needs of identified sub-populations and make recommendations to the Department's Director about how best to meet these needs.

Several federal block grants (Community Services and Social Services) are usually administered through state Human Services/Human Resources Departments. For the contact person in your state, visit the following websites.

### **Community Services Block Grant**

<[www.acf.dhhs.gov/programs/ocs/csb/html/9.htm](http://www.acf.dhhs.gov/programs/ocs/csb/html/9.htm)>

### **Social Services Block Grant**

<[www.acf.dhhs.gov/programs/ocs/ssbg/docs/procon.htm](http://www.acf.dhhs.gov/programs/ocs/ssbg/docs/procon.htm)>

## ***Department of Economic Development***

*(or Business and Economic Development or Commerce)*

This is a good starting place for information on entrepreneurial projects (for-profit business), as well as nonprofit projects such as buildings, roads, schools, day care, etc. Sometimes housing is handled through this agency; sometimes there is a separate Department of Housing. Small business assistance is usually available for minority contractors who wish to bid on state contracts. This offers excellent potential for refugee entrepreneurs.



### ***Helpful Hint***

#### ***Ask What's Available***

Information on state and municipal grants may be difficult to find. Check with local government officials and Congressional offices to see what information they have available. Minority liaison offices/commissions often have useful information, as do commissions on women.

*Helpful Hint*



**Get Some Help with the Research**

Find a knowledgeable mentor, professor, public policy institute, or government staff member to point you in the right direction, help you locate good written materials, and introduce you to the right expert(s).

### ***Department of Technology and Communication***

Many states have set up Departments of Technology to promote the use of advanced telecommunications and information technologies in the public and nonprofit sectors and to provide disadvantaged residents with access to information technology and training on how to use it. Technology initiatives provide an opportunity for MAAs to team up with unusual partners such as the local library or school.

### ***Department of General Services***

*(or Surplus Department)*

This department serves as the chief purchaser of products and services for the state. It usually regulates contracts and has rules and regulations on contracts for minorities and women. Often this department is charged with disposing of federal and state surplus property, such as computers, office equipment, and furniture at dramatic discounts. MAAs can call to find out when an auction is scheduled, or what the procedure is for allowing nonprofits to look at and buy the surplus resources.

## **5. County Government**

Described below are some of the most important county government offices and agencies. They are usually listed in the "blue pages" of your telephone book under the name of your county. Usually there is a general information number to call. Many counties also produce a guide listing agencies and phone numbers. Most counties now have a website, which can often be located on the Internet from your state's website.

### ***County Commission or Board of Supervisors and County Executive***

The legislative body for counties is usually called the County Commission or Board of Supervisors. The County Executive is usually the chief elected official in the county. As with the Governor's Office, sometimes proposals can be submitted directly to the County Executive or the County Commission or Board of Supervisors. Usually these groups look for matching grant situations, using county money to help leverage state or federal funds. They also try to avoid overlap or duplication of services.

Your MAA should learn about these legislative bodies and how they set their priorities and act on legislation. You can easily obtain an agenda for the public meetings of your county's legislative body, either from the website or by calling the offices. From this agenda, your MAA can begin to learn the county's current priorities, which indicate where the county's resources will be spent. County priorities are frequently determined by open, public hearings. It is important for

MAAs and refugee community leaders to participate in these sessions to help ensure that the types of services needed by refugees are given high priority. Meetings are announced in the local media. If your staff is small, see if a Board member of your MAA can attend meetings regularly and take notes on important discussions, then report back to the Board and staff.

### ***Social Services or Human Services Department***

Large counties may have their own county-funded or state-funded services for youth, families, abuse victims, elderly, homeless, etc. A General Relief Worker operates in rural counties and usually is the person who knows what is available and who to talk with about projects in that area.

Look on your state's website or in the "blue pages" of your telephone book for the name of your county. Then look for a sub-heading for Social or Community Services. Call for information about funding for your project.

### ***Community Action Agencies***

There are Community Action Agencies in almost every state, with federal money that is earmarked by county. Ask a social service provider agency or someone in your Congressperson's District Office if your county has a Community Action Agency and where it is located. It is possible that your local Community Action Agency's funding is mixed with that of other state agencies.

## **6. City Government**

Some important city agencies are described below. All city departments and agencies are listed in the "blue pages" of your telephone book under the name of your city. Usually there is a general information number to call. Many cities also produce a guide listing agencies and phone numbers. Most cities have a website, which can often be located on the Internet from your state's website.

### ***Mayor's Office***

The Mayor's office can often put you in touch with unexpected resources in your city. If your MAA would like to make a cultural heritage component part of your after-school program, for example, look to the Mayor's Advisor for Cultural Affairs or the Commission on Arts and Humanities.

### ***Office of Housing and Community Services***

This office oversees community-run activities and facilities and often is actively involved in the development of affordable housing. In large cities, it is usually a separate department, and often its funding is primarily for nonprofit projects.

Fair Housing and other anti-discrimination rules and regulations are usually enforced by this agency.

### ***Office (or Department) of Economic Development***

This office's responsibilities include for-profit projects, job training, and funding for local business expansion. Sometimes the office also funds nonprofit economic development corporations.

### ***Department of Parks and Recreation***

In the phone book, this department is sometimes located under "Libraries." It is a city bureau that typically takes care of city parks and sponsors group activities, after-school programs, and summer activities for youth, adults, and the elderly. This department may also make space available for MAA-sponsored activities.

### ***Purchasing Officer***

This official can provide information on minority contracts and bidding.

## **7. Programs of Special Interest That Are Administered at the State Level**

Because much of the funding for services that MAAs seek to provide flows from federal agencies to state-based counterparts, it makes sense to contact these agencies directly. Many of the same or similar agencies exist at both the state and the county or city level. Below are a couple of examples that illustrate the many different types of agencies you may want to be in touch with when developing programs for your constituency. Remember that the possibilities are not limited to items listed below. As with any opportunity, new ideas come along all the time.

### ***Workforce Investment Board***

Much of the federal funding from the federal Department of Labor goes out to the states, and is then allocated to approximately 600 local Workforce Investment Boards. The Workforce Investment Act specifies that most services for adults be provided through "One-Stop Career Centers." *Core services* include outreach, job search and placement assistance, and labor market information. *Intensive services* include more comprehensive assessments of individual clients, development of individual employment plans and counseling and career planning. Those who still cannot find jobs through intensive services, may receive *training services* (linked to job opportunities), including both occupational training and basic skills training. *Additional supportive services* such as transportation and childcare assistance may be provided to help individuals participate in the program. Services for qualifying

youth include tutoring, study skills training, dropout prevention strategies, alternative secondary school services, summer employment opportunities, paid and unpaid work experiences, and occupational skill training. Although most employment services are currently provided through the One-Stops, sometimes the “additional supportive services” are contracted out to nonprofits. For the contact in your state, go to <<http://wdr.doleta.gov/contacts>>.

### ***State Arts Agencies — Funding for Cultural Heritage Preservation***

Government grants are often overlooked as a source of support for MAA projects that seek to preserve and promote your community’s cultural heritage. At the state level, all states have some sort of State Arts Council or Arts Board. These agencies typically receive funding from the National Endowment for the Arts and the National Endowment for the Humanities, along with allocations from the state budget. One place to find the contact information for your State Arts Agency is by going to the website of the National Assembly of State Arts Agencies. This is a membership organization of state and local arts agencies. Their website is: <[www.nasaa-arts.org](http://www.nasaa-arts.org)>. Then click on “Arts over America” for links to State Arts Agency websites. Once you find your State Arts Agency or council, look for their grant opportunities. Many State Arts Agencies have some type of grant program for “folk arts” or “preserving cultural heritage.” Also, these agencies typically fund individual artists as well as organizations.

### ***Community Development Block Grants***

Intended to promote community revitalization, Community Development Block Grants (CDBG) go to approximately 1,000 metropolitan areas and urban counties. Only cities and counties can apply, so you must make the first contact on that level. CDBG funds are used for a wide range of community development activities directed toward neighborhood revitalization, economic development, and improved community facilities and services. The range of activities is very broad, including homeownership incentives for low-income, first-time homebuyers and microenterprise assistance. Refugees often qualify for these incentives, and MAAs should stay informed about such programs when they occur. For example, one MAA in Maryland got CDBG funding to rehabilitate its community center. To locate your local community development official, go to <[www.hud.gov/offices/cpd/communitydevelopment/programs/contacts/index.cfm](http://www.hud.gov/offices/cpd/communitydevelopment/programs/contacts/index.cfm)>.

### ***State or Area Agency on Aging***

State Agencies on Aging and Area Agencies on Aging receive federal funds to support community-based services for elderly individuals. Programs include transportation services, multipurpose senior centers, in-home and caregiver support, and a variety of other services. Nonprofit agencies can compete for funding to provide such services. To find your local Agency on Aging, visit <[www.aoa.gov](http://www.aoa.gov)>.

## ***21<sup>st</sup> Century Community Learning Centers***

For MAAs interested in youth services, you may want to team up with a local educational agency (the agency that runs local public schools) to start or expand a community learning center. This lets your youth take advantage of programs such as academic enrichment and tutoring, art, music, recreation, technology education, or other youth development activities. Contact your local public school to discuss partnership opportunities, or visit <[www.ed.gov.21stccclc](http://www.ed.gov.21stccclc)> for information.

## ***Adult Literacy***

If you have adults in your community who are not literate in English, you may want to contact your local public school to find out about adult education and literacy services. The U.S. Department of Education's Office of Vocational and Adult Education provides funding to states for programs that help adults obtain the necessary skills for employment, and for adult parents who seek to become full partners in the educational development of their children. These agencies often make grants to nonprofit organizations to provide such services. Some funding goes from the state to local education agencies. Sometimes they can provide English literacy teachers to your MAA so you can offer literacy classes in your facility.

## ***Nutritional Support***

The U.S. Department of Agriculture's Child and Adult Care Food Program provides meals and snacks to children in day care and to youth participating in eligible after-school programs. The program is administered through grants to states, usually by the state educational agency. For more information, visit <[www.fns.usda.gov/cnd/care/cacfp/cacfp/home.htm](http://www.fns.usda.gov/cnd/care/cacfp/cacfp/home.htm)>.

## ***AmeriCorps***

The Corporation for National and Community Service supports a variety of volunteer programs. One of these is AmeriCorps, which provides grants to help grassroots organizations meet critical needs in education, public safety, public health, homeland security, and the environment. Local organizations can recruit and select their AmeriCorps personnel from within their own communities. These "members" are assigned to nonprofit or public agencies for about a year. They provide services ranging from tutoring, mentoring, and housing construction, to health care services, or they can assist with capacity-building activities such as volunteer recruitment and management. To locate your state commission, visit <[www.nationalservice.org/about/family/commissions\\_pick.html](http://www.nationalservice.org/about/family/commissions_pick.html)>.

In addition to the regular AmeriCorps personnel, there are also opportunities to recruit a variety of other helpers such as VISTA (Volunteers in Service to America) volunteers, Foster Grandparents (senior citizens who help children), and personnel from the Retired Senior Volunteer Program (RSVP). In addition, individuals within your community may want to apply for a service opportunity



through AmeriCorps or VISTA. Applications are available online at <www.americorps.org>.



### Helpful Hint

#### Resource Development Person

We encourage each MAA to recruit at least a part-time resource development person. You need someone who has the time to work with state and county agencies, and do research on the Internet. To fill in while you're raising the money for a staff position, consider recruiting a young person or a VISTA volunteer; they're usually good at Internet research. Often someone from the Retired Senior Volunteer Program will do a great job building relationships with people at city, county, and state agencies. Check out the AmeriCorps programs.

## 8. Other Sources of Information about State or Local Funding


A variety of sources may provide information about available state or local funding. Of course, you can look at the agency's website, but often other groups will do that for you and compile lists of funding opportunities. For example, civic organizations advocating for specific causes (e.g., Coalition for a Better ... , Coalition for Adult Literacy) usually issue a newsletter or update to announce funding availability, summarize an RFP or program announcement, advocate for funding, organize hearings before budget appropriation, etc. Local planning bodies that focus on a particular subject area (such as HIV/AIDS or substance abuse) may also provide this information. Attend a few meetings to become familiar with their work and scope of activity, or call to get on their mailing lists.

---

### Don't Give up ...

One MAA was informed by the State Refugee Program Coordinator about an RFP to provide services for at-risk youth. The MAA wrote an excellent proposal, fulfilling all the RFP's requirements — except for one signature missing from a page way inside the proposal. Because of this single omission, the proposal was rejected. The review panel apparently liked the proposal very much, and was delighted at receiving a proposal from a minority organization, not professional in abuse treatment or prevention, but concerned about its own youth — and with such a good, simple, and practical plan. However, the proposal had to be rejected on the technicality of the missing signature. Later on, the government found that not enough eligible applications had come in, and so re-issued the RFP. The MAA submitted a second proposal, this time with all the proper signatures, and received the grant.

---

*Example* 

## 9. Preparing Effective Competitive Grant Applications

In Chapter 5 — “Proposals,” you began to develop proposal-writing skills, and may already have submitted several unsolicited proposals. Building upon that experience, this section will help you with a very specific kind of proposal — one that is requested by a government agency. Federal, state, and local governments usually provide most of their funding through a competitive grant application process. (Foundations and corporations sometimes use RFPs, too, as do “intermediary organizations” that get money from a public agency or foundation and then regrant it to nonprofit organizations.) To apply, you need to submit a proposal along with supporting information in response to an RFP (sometimes called something else, such as a Program or Application Guidance). This is a written request for proposed projects that fit the purpose and objectives and involve “eligible activities” described in the RFP. The funding agency seeks proposals from eligible applicants and then evaluates them on a competitive basis to determine who will receive funding.

Some RFPs are easy to understand and respond to. Others are very long and complicated. The RFP typically specifies not only required program components, but also any limitations on allowable activities, uses of funds, and/or target groups.

Sometimes public agencies make non-competitive grants, though they represent a small proportion of total funding. Your MAA can sometimes obtain public funding through submitting a proposal to an agency that addresses a need but is not in response to an RFP. This is called an “unsolicited proposal.” Usually, such funding requires a lot of discussion with the potential funding agency.

### ***What Is Special about Responding to an RFP?***

Responding to an RFP is very different from developing an unsolicited proposal. In the case of an unsolicited proposal, your organization defines a program need, then develops a project plan to meet the need and a proposal to raise funds for the project. In the case of an RFP, someone else has defined the need and also outlined the type of response required. You must show that your MAA can implement the kind of project the funding source wants. On the other hand, RFPs — particularly those for programs involving multiple awards — do allow for a good deal of creativity. Your task is to design a project that meets the needs of your community and fits the priorities and capability of your MAA, and at the same time is fully responsive to the requirements of the RFP.

Most of your public funding will require competitive applications. So it is important to understand steps and strategies for preparing good ones!

## ***How Agencies Review Applications***

Understanding the review process helps you prepare a competitive application in response to an RFP. Proposals may be evaluated by staff of the funding agency, outside reviewers, or a combination of the two. The trend is toward use of panels of outside experts as primary reviewers. Staff make sure applications are complete before the panels see them, then review applications that are “approved” and scored above a certain level by reviewers. Review panels can include from 3-12 or more individuals who do not work for the funding agency and have appropriate credentials and experience related to the program for which funds are being allocated. Staff of MAAs should offer to serve on review panels and recommend others to serve — this helps ensure that panels understand the special needs of refugees.

Most agencies use a clearly defined, standardized review procedure to select groups to be funded. The RFP usually includes specific information on how proposals will be evaluated, often with a particular number of points allowed for each major component of the proposal. Selection typically includes consideration of the following:

- ◆ **Technical quality of the proposal** — Is the applicant responsive to the RFP and does it provide a sound project plan? This often includes:
  - Has the proposal documented the need for the project in its service area and among its target population?
  - Are the objectives appropriate, significant, and feasible?
  - Is the work plan practical and workable?
  - What is the quality and feasibility of the evaluation plan?
  - For “demonstration” or pilot projects, is the project innovative and can it be replicated in other places?
- ◆ **Skills and related experience of staff and organization** — Does the organization and the proposed personnel have the capability to carry out the project, based on resumes, job descriptions, past experience, and sometimes relationships and agreements with other organizations in the service area?
- ◆ **Cost** — Is the total cost within guidelines and do the proposed costs seem reasonable?

## ***Steps in Responding to an RFP***

Following are some steps and hints that can help you improve the “competitiveness” of your MAA’s proposals in response to an RFP:

1. **Read the RFP very, very carefully.** Find the sections (labeled “Program Summary,” “Program Purpose,” or “Program Description”) that give the background, define the purposes and objectives of the program, and specify what activities the funding agency will support. Be sure the RFP calls for projects that are consistent with your MAA’s mission and capabilities. If not, stop reading and start looking for a more appropriate funding oppor-

tunity! Review the Eligibility section to be sure your organization is eligible for funding, and to find out how broad your competition will be: just other nonprofit organizations, or public and/or for-profit ones as well. Check the section on "Use of Funds" to see whether you are allowed to use grant funds for activities of most interest to your MAA. See whether a cash or in-kind "match" is required or whether the funding agency will provide full project funding. After the initial review, read the RFP again and highlight important information so you can easily find it. *If you don't read the RFP carefully, you may forget to include some information or some component that is required, and your proposal may be judged "non-responsive" and not even considered.*

2. **Review the section that tells you how to prepare and organize your proposal.** Usually it will be called "Instructions for Preparing the Narrative Proposal" or "Application Procedures." This tells you the proposal outline or format to be followed, and what information to include in each section. Read it carefully and underline key information. Be especially careful to identify the proposal outline that is to be followed, and to note whether the application or the narrative has page limitations. Most public agency RFPs now limit the length of applications.
3. **Carefully study the "Evaluation Criteria" or similar section, which tells you how applications will be evaluated and scored.** The RFP will typically indicate the maximum number of points your proposal may receive for each proposal section or component. Often the maximum or "perfect" score is 100. *Study the point scales carefully.* They help you decide where to focus your time and effort in preparing the application. For example, if the work plan gets 50 points and the evaluation plan only 5, you know you should focus on the work plan more than the evaluation section. If organizational experience gets 40 points, you know you need a lot of related experience to compete successfully. Remember, the reviewers will use these criteria when they evaluate and score your proposal.
4. **Once you have thoroughly read and marked up the RFP, decide whether your MAA should submit a proposal.** Consider application requirements, and review criteria. Think about what you know about the agency and its priorities. Look carefully at special requirements such as signed memoranda of understanding with partner organizations or a cash match requirement. Be sure you have time to submit a competitive application.
5. **Now prepare an outline of your application.** Be absolutely sure that the format is the one required or suggested in the RFP, and that the subsections contain all the information needed to meet the specified scoring criteria. Be careful to use the *same terminology* as the RFP. If it says "Needs Assessment," use that as your section title, not "Problem Statement." If it asks for a "Work Plan," don't call that section "Methods." Get in the habit of looking for the funding agency's preferred terminology and using it throughout your narrative. It shows a familiarity with the agency and its priorities and will help improve your score.

6. **Now take a careful look at cost information.** It is very important to have a reasonable budget that allows you to carry out all the activities specified in the work plan. Some RFPs will indicate an *average* or *maximum* grant amount. It is usually wise not to be far above the average unless there is a compelling reason for higher costs.
7. **If you have unanswered questions once you have completed the review process, e-mail or call the identified contact within the funding agency and ask for information.** Most RFPs identify a contact person within the funding agency to approach with questions. Telephone calls or e-mails to the contact person can enable you to avoid costly misinterpretations of the RFP. Sometimes RFPs are poorly written or internally inconsistent, and you really need to get clarification from the agency. Be sure that you contact *only* those persons identified. Be sure to list all your questions before contacting the contact person so that you can get all the information through a single call or e-mail. Remember that dozens of other potential applicants are also asking questions, so be clear and efficient!
8. **Develop a work plan and schedule for preparing the application.** It should include tasks, activities, responsibilities, and time deadlines. Then go over it with the people who will help prepare the application package. Be sure there is agreement on who will do what and by what deadline. Be sure to identify all the tasks and activities required in preparing the narrative and collecting and organizing the needed information — not just the proposal writing. This often includes getting letters of commitment from partner organizations, letters from prospective staff or consultants committing themselves to working with you, and/or epidemiologic or demographic data. Make a list of all information needed.
9. **Make writing assignments.** If possible, have one person do the narrative, another the capability and back-up materials. The fewer writers, the better. On the other hand, involve as many knowledgeable people as possible in meetings to discuss the proposal, agree on objectives, and come up with a detailed content outline. *Be very strict about deadlines for drafts.* Leave time to review and revise drafts and — if there were several writers — make all the sections fit together in a tight proposal.
10. **Assign someone to coordinate writing, editing, and reviewing, and to see that all supporting materials are prepared.** Every few days, meet briefly to check your progress. Have back-up people, such as Board members, who can help in a crisis. Be sure your capability information is revised to fit *this* RFP. If you plan ahead, you may have time to send the draft proposal to someone outside the MAA for review.
11. **Once the objectives have been developed and the work plan has been outlined, prepare the budget.** First be sure you have in mind a target figure. Then do a rough budget including everything you feel is needed to carry out the project as outlined. Review it carefully. If you are not experienced in budget preparation, be sure to bring in someone skilled in budgeting. Generally, the best approach is to first prepare a budget using your MAA's standard budg-

et format, to be sure that no cost categories are forgotten. Then revise the format to fit the funding agency's requirements. If the initial budget is above what you feel you can request, modify the work plan and scale back the objectives. Be sure you can successfully implement your proposed personnel plan and work plan with the funds you are requesting.

12. **Finish the application at least one or two days before the deadline.** This ensures that you don't get caught on the last day by a broken copier or a staff member who is out sick. Remember to go over the completed application package, from letter of transmittal to attachments, very carefully, and be sure all RFP requirements are met. If the RFP says to label each page in a certain way or to include an original (that means an originally signed copy of the forms) or asks that you use a paper clip rather than stapling proposals, be sure to meet these requirements.
13. **Make certain you meet the date and time deadline in the RFP — or the application will be refused and returned.** That may mean delivering it to the funding agency by a particular time and date or mailing it by a specified date and time. Remember: if you mail the application, get a readable postmark with the date and time mailed, and mail it certified, return receipt requested, so you will know it got there — and so if it gets lost, you will have the proof needed to send another package. Be sure to save the certified mail receipt until you receive the return receipt card from the funding agency.
14. **Once you have submitted the application, get a good night's sleep. Then have the team debrief and try to learn from your experience.** Talk about what worked well, and identify and write down problems encountered and how to minimize them in the future.
15. **If you do *not* get the funding, request in writing a debriefing or the evaluation and comments on your application.** Most public agencies are required to provide such information either in a meeting or by mail or e-mail, particularly if federal funds are involved. This process will help you do better the next time you want to submit a competitive application.

The box below summarizes common errors to avoid when preparing an application in response to an RFP from a government agency.

Responding to an RFP can be extremely time consuming because of the required forms, assurances, attachments, format and length requirements, and limitations. Developing the skills to prepare successful competitive applications requires organization, planning, attention to detail — and practice. Because more and more public- and private-sector funding is being awarded through this process, developing the staff capacity to respond effectively and efficiently is an excellent long-term investment for an MAA.

## Common Errors to Avoid

---

*(Any of these could disqualify your application)*

**Failure to follow application instructions** about margins, type size, or page limitations — so the application is declared non-responsive and returned unread.

**Missing component or content**, such as required letters of commitment from collaborating organizations, other specific attachments, or narrative section.

**Components not in specified order or sections misnamed**, so reviewers find it hard to locate required information.

**Failure to use the agency's preferred terminology**, so the application does not read as if written for this funding agency and RFP.

**Lack of data references**, which leads some reviewers to question the accuracy of the statistics presented.

**Focus inconsistent with review criteria**, so the application loses "points."

**Unclear narrative or poor editing**, so the applicant MAA loses credibility with reviewers.

**Weak or non-measurable objectives**, so that planned results are unclear.

**Weak evaluation plan**, so reviewers question whether the applicant has the capacity to plan and conduct an evaluation.

**Inconsistencies in the application**, usually because several people helped prepare the application and no one did a full, careful edit.

**Budget problems**, such as errors in addition or an incorrect format.

**Late delivery**, so the application is not accepted.



## For More Information

---

....on the Web

### Library of Congress: State and Local Governments

<<http://lcweb.loc.gov/global/state/stategov.html>>

The Library of Congress "State and Local Governments Page" offers fast and easy-to-use links to governmental web pages for each state.

### State and Local Government on the Net

<[www.statelocalgov.net](http://www.statelocalgov.net)>

"State and Local Government on the Net" consists of links to each state and territory. In turn each state page provides links to the governmental branches, departments, counties, cities, boards, and commissions that have websites. It can be helpful in searching for local grantmaking bodies, such as arts councils.



## State and Local Government Associations

Funding opportunities for the members (states, cities, counties) are often listed on these websites. Your state (or city or county) may seek partners to compete for the money and to implement the project, knowledge can give you a head start in getting a part of that funding.

### National Governor's Association

<[www.nga.org](http://www.nga.org)>

The National Governor's Association (NGA) is the collective voice of the nation's governors and one of Washington, DC's most respected public policy organizations. NGA provides governors and their senior staff members with services that range from representing states on Capitol Hill and before the Administration on key federal issues to developing policy reports on innovative state programs and hosting networking seminars for state government executive branch officials. The NGA Center for Best Practices focuses on state innovations and best practices that range from education and health to technology, welfare reform, and the environment. NGA also provides management and technical assistance to both new and incumbent governors.

### National Conference of State Legislatures

<[www.ncsl.org](http://www.ncsl.org)>

The National Conference of State Legislatures (NCSL) is a bipartisan organization that serves the legislators and staffs of the nation's 50 states, its commonwealths and territories. It was founded in 1975 to improve the quality and effectiveness of state legislatures; to promote policy innovation and communication among state legislatures; and to ensure state legislatures a strong, cohesive voice in the federal system. NCSL provides research, technical assistance and opportunities for policymakers to exchange ideas on the most pressing state issues. NCSL is an effective and respected advocate for the interests of state governments before Congress and federal agencies.

### U.S. Conference of Mayors

<[www.usmayors.org](http://www.usmayors.org)>

The U.S. Conference of Mayors (the Conference) is the official nonpartisan organization of the nation's 1,183 larger cities with populations of 30,000 or more. Each city is represented in the Conference by its chief elected official, the mayor. The primary roles of the Conference of Mayors are to: promote the development of effective national urban/suburban policy; strengthen federal-city relationships; ensure that federal policy meets urban needs; provide big city mayors with leadership and management tools; and create a forum in which mayors can share ideas and information. Historically, the Conference has



assumed a national leadership role, calling early attention to serious urban problems and pressing successfully for solutions.

**National League of Cities**

<[www.nlc.org](http://www.nlc.org)>

Founded in 1924, the National League of Cities (NLC) is the oldest and largest organization representing municipal governments in the U.S. Its mission is to strengthen and promote cities as centers of opportunity, leadership, and governance. NLC serves as a national resource to and advocate for the more than 18,000 cities it represents. The unique partnership among NLC, the 49 state municipal leagues, and the elected leaders of the 1,700 member cities and the 18,000 state league cities provides a powerful network for information sharing and speaking on behalf of America's cities in Washington, DC and all state capitols.

**National Association of Counties**

<[www.naco.org](http://www.naco.org)>

Created in 1935, the National Association of Counties (NACo) helps to ensure that the nation's counties are heard and understood in the White House and in the halls of Congress. NACo's membership includes over 2,000 counties, representing 80% of the nation's population. NACo provides legislative, research, technical, and public affairs assistance, as well as enterprise services for its members. The association acts as a liaison with other levels of government, works to improve public understanding of counties, serves as a national advocate, and provides counties with resources to help them meet the challenges they face.

**Websites Mentioned in the Text**

**AmeriCorps**

<[www.americorps.org](http://www.americorps.org)>

**Community Development Block Grants**

<[www.hud.gov/offices/cpd/communitydevelopment/programs/contacts/index.cfm](http://www.hud.gov/offices/cpd/communitydevelopment/programs/contacts/index.cfm)>

**Area Agency on Aging**

<[www.aoa.gov](http://www.aoa.gov)>

**Community Services Block Grant**

<[www.acf.dhhs.gov/programs/ocs/csbg/html/9.htm](http://www.acf.dhhs.gov/programs/ocs/csbg/html/9.htm)>

**Corporation for National and Community Service**

<[www.nationalservice.org](http://www.nationalservice.org)>

**National Assembly of State Arts Agencies**

<[www.nasaa-arts.org](http://www.nasaa-arts.org)>

**Nutritional Support**

<[www.fns.usda.gov/cnd/care/cacfp/cacphome.htm](http://www.fns.usda.gov/cnd/care/cacfp/cacphome.htm)>

**Single Point of Contact**

<[www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html)>

**Social Services Block Grant**

<[www.acf.dhhs.gov/programs/ocs/ssbg/docs/procon.htm](http://www.acf.dhhs.gov/programs/ocs/ssbg/docs/procon.htm)>

**21<sup>st</sup> Century Learning Centers**

<[www.ed.gov.21stccl](http://www.ed.gov.21stccl)>

**Workforce Investment Board**

<<http://wdr.doleta.gov/contacts>>



# Chapter IX

## *Federal Agencies*

---



# Chapter Contents

<b>Overview</b> .....	<b>207</b>
<b>1. Introduction</b> .....	<b>207</b>
Tips for Emerging Organizations	208
<b>2. Some Basic Facts about Federal Funds</b> .....	<b>208</b>
<b>3. Before You Apply — Five Essential “Get Started” Steps</b> .....	<b>209</b>
Elements of the Registration Process	210
When You Call D&B	210
<b>4. Where the Grants Are — Grants.gov</b> .....	<b>212</b>
<b>5. The Faith-Based and Community Initiative</b> .....	<b>212</b>
How Do the Intermediary Organizations Help?	213
<b>6. Finding and Applying for Federal Grants — Questions and Answers</b> .....	<b>213</b>
<b>7. Agency Centers for Faith-Based and Community Initiatives</b> .....	<b>216</b>
U.S. Department of Health and Human Services	216
U.S. Department of Labor	216
U.S. Department of Education	217
U.S. Department of Housing and Urban Development	217
U.S. Department of Agriculture	217
U.S. Department of Justice	218
U.S. Agency for International Development	218
<b>8. Hints for Applying for Federal Funding</b> .....	<b>218</b>
Contact Information	219
<b>9. Maintaining Your Federal Grant — Questions and Answers</b> .....	<b>221</b>
<b>For More Information</b> .....	<b>223</b>
On the Web	223
<b>Attachments</b> .....	<b>225</b>
1. Registration Checklist from Grants.gov	226
2. Steps in the Public-Sector Proposal Process	228
3. Go — No-Go Assessment Worksheet	229
4. Additional Grant Resources on the Internet	232

# Chapter IX

## *Federal Agencies*

---



### Overview

This chapter focuses on federal funding opportunities. It will help you to find out where the money is and how to apply. In addition, the chapter introduces two new resources — “Grants.gov” and the White House’s “Faith-Based and Community Initiative” — that are particularly appropriate for small grassroots organizations like MAAs. The chapter ends with a series of helpful hints on how to maintain your federal grant.

### 1. Introduction

For generations the federal government has provided money to its citizens in order to accomplish a number of social and economic objectives, such as alleviating human misery, improving the environment of a community, bolstering business and creating jobs, smoothing over dislocations in the economy, and improving the quality of life through support for the arts and humanities. Much of this assistance comes in the form of programs and services provided at the local level, through federal grants, cooperative agreements and contracts. Nonprofit organizations are eligible for some federal funding programs; others are restricted to state and local governments.

The federal government is not always aware of local organizations who are capable of providing needed services, nor does it know about local situations and needs. As a result, for some federal programs, the same handful of agencies apply for and receive the money year after year. Although thousands of organizations are eligible, not many know that the funding is available.

Before the Internet, the best place to look for federal money was the *Federal Register*, a publication of the federal government, but few grassroots organizations had the time to read it and its subscription cost was prohibitive. Now, however, small community-


based organizations have many new resources: Grants.gov (known by its website name), the White House Faith-Based and Community Initiative, and many other Internet resources.

---

Tips for Emerging Organizations

- ♦ Get your MAA's DUNS Number and complete the federal registration process — see "Five Essential 'Get Started' Steps" in Section 3 of this chapter
- ♦ Get and study a successful grants application from another MAA — ask a colleague in another city or use a copy from the funding agency under Freedom of Information Act.
- ♦ Volunteer to serve on a federal proposal review panel — for opportunities, contact the Office of Refugee Resettlement, or check the Substance Abuse and Mental Health Services Administration website listed in the "For More Information" section at the end of this chapter.

---

*Example* 

## 2. Some Basic Facts about Federal Funds

The federal government provides funding both directly and indirectly through two different approaches:

- ♦ "Discretionary" funds for a wide variety of programs awarded directly by a federal agency to national, regional and local social service organizations. An example of this type of grant is an employment services grant given from the Office of Refugee Resettlement within the Department of Health and Human Services to a refugee-serving MAA.
- ♦ "Formula" or "Block" grants put federal money in the hands of states, cities, or counties for them to use or distribute to nonprofit organizations and other service providers, usually under their own rules and regulations. For more on these funds, please see Chapter 8 — "State and Local."

In other words, you can apply directly to the federal government or you can apply to a state or locality that distributes money it receives from the federal government.

Discretionary money can be allocated through one of three different mechanisms:

- ♦ **Grants** — Provide funding to a recipient organization to carry out approved activities, and offer the greatest flexibility to the recipient of funds.
- ♦ **Contracts** — Used when the federal agency will have substantial program involvement with the recipient during the funding period.
- ♦ **Cooperative Agreements** — Most often used when a single recipient of funding is selected to carry out a specific work plan defined by the funding agency, such as evaluation of a program. Often, contract and cooperative agreement funding is open to for-profit as well as public and nonprofit organizations.

### 3. Before You Apply — Five Essential “Get Started” Steps

Even though you may prefer to submit your federal grants application on paper, the time is coming when everyone will be required to submit the applications electronically.

Before you can use the new electronic system at Grants.gov to apply for a federal grant, you must complete a registration process. This is necessary for security reasons — to validate the identity of your MAA and protect its financial transactions. Registration is a multi-step process, which takes time. Remember, you must first gather the required organizational information and then complete each step in the registration process before moving on to the next step. It’s very important to do this well in advance of writing your proposal. Once a Program Announcement or RFP (**R**equest **F**or **P**roposals) has been posted, you may not have time to complete the registration process.

The table illustrates elements of the registration process, and the essential steps are described briefly below.<sup>1</sup>

#### Step One — DUNS Number

First, get a DUNS (**D**ata **U**niversal **N**umbering **S**ystem) Number. This is a unique nine-character identification number provided by the commercial firm Dun & Bradstreet (also known as D&B). Before requesting a DUNS Number, check to see if your MAA already has a DUNS Number. Ask your MAA’s financial officer or grants administrator.

To register and get your DUNS Number, call D&B at 1-866-705-5711. The process of requesting a DUNS number takes about fifteen minutes, and is free. Be sure to have the following information available when you call.

- ♦ Name of your organization
- ♦ Organization address

<sup>1</sup> For a more detailed explanation of this process and specific web links, please see the Grants.gov “Registration Checklist” at Attachment 1.

#### Helpful Hint

More federal money is available from programs administered by states and localities than from the federal government. For example, last year the Department of Health and Human Services awarded significantly more money to states and localities, which in turn made much of the money available to non-governmental organizations, than it gave directly to federal grant applicants. See Chapter 8 — “State and Local” for more information about finding grants at state, city, and county levels of government.

Elements of the Registration Process

#	Register with:	Contact Info:	Get:	How long it takes
1.	Dun and Bradstreet	1-866-705-5711	DUNS #	15 minutes
2.	Central Contractor Registry (CCR)	<www.ccr.gov>	TPIN	30 minutes, plus 5 business days for processing
3.	Credential Provider	<www.Grants.gov> Click " <u>Credential Provider</u> "	Username and password	1 to 3 days to gather information; processing: five business days from submission
4.	Registration with Grants.gov, to become an "Authorized Organizational Representative"	<www.Grants.gov> Click " <u>Register with Grants.gov</u> "	AOR status User privileges	As soon as approved by your MAA's E-Business Point of Contract (registered with the CCR)
5.	Check to see that electronic credentials have been authorized by your MAA's E-Business Point of Contact	Log in to Grants.gov to check the status	Verification of electronic credentials	2 minutes



- ◆ Organization phone number
- ◆ Name of Executive Director
- ◆ Legal structure of the organization (your MAA is a corporation)
- ◆ Year the organization started
- ◆ Primary line of business
- ◆ Total number of employees (full-time and part-time)

When You Call D&B

- 1) Enter "3" to register your agency and obtain a DUNS number.
- 2) Then, enter "2" for assistance.
- 3) Next, enter "1" to create a new listing.
- 4) Next, enter "1" for federal registration. A service representative will answer, and suggest that you buy the Credit Builder Service; say "NO." (It's NOT necessary for business with the government.)
- 5) Then, provide answers to the questions about your organization.

Example





### Step Two – Central Contractor Registry

Once you have your DUNS Number, you can register in the Central Contractor Registry (CCR). This is the government's centralized location for grant applicants and grant recipients. Information for registering in the Central Contractor Registry is available at <[www.ccr.gov](http://www.ccr.gov)>.

Before registering, read the *Central Contractor Registration Handbook* available on the website. It contains a copy of the Registration Worksheet. It's a good idea to print out the worksheet and gather the needed information before starting the online registration process. During the CCR registration process, you will be asked to designate an "E-Business Point of Contact" for your MAA, so be sure to check with your MAA's leadership ahead of time to decide who's the best person for this job.

The fastest and easiest method to register is by telephone. Call the CCR Assistance Center at 1-888-227-2423 to register by phone. (You may also go to the website and click on "Start New Registration.") Since it takes a minimum of five business days to process your CCR registration, this preparatory step should be taken well in advance of submitting a grant application. Once the registration is completed you will receive a TPIN by e-mail or mail.

### Step Three – Credential Provider

The Credential Provider for Grants.gov is Operational Research Consultants (ORC). When you register with ORC, you will receive a username and password which you will need to register with Grants.gov as an Authorized Organizational Representative. You can do this via the Grants.gov website; click "[Credential Provider](#)." If you have questions, contact <[support@Grants.gov](mailto:support@Grants.gov)>, or use the tutorial available on the website.

### Step Four – Register with Grants.gov

Last, you need to register with Grants.gov as an Authorized Organizational Representative (AOR). As an AOR, you will be able to submit grant applications through Grants.gov on behalf of your MAA. The tutorial, user guide, and help section of the Grants.gov website provide guidance for registry. Enter the username and password that you got from the Credential Provider. You will then be asked to provide identifying information and your MAA's DUNS Number. Once you have completed the registration process, Grants.gov will notify your MAA's "E-Business Point of Contact" for assignment of user privileges.

### Step Five – Final Check

Before you apply for a grant, you'll need to make sure that your electronic credentials have been authorized by your organization's E-Business Point of Contact. To do this, log onto Grants.gov to check the status. Once you know that your electronic credentials have been verified, you're ready to go ahead with the application process.



#### Helpful Hint

#### Contact Information for Grants.gov

E-mail: <[info@Grants.gov](mailto:info@Grants.gov)>

200 Independence Avenue, S.W.  
HHH Building, Room 739-F  
Washington, DC 20201

Website: <[www.Grants.gov](http://www.Grants.gov)>

## 4. Where the Grants Are — Grants.gov

Grants.gov serves as the single location for information on federal grant programs. The program is a partnership of 11 federal agencies, led by the Department of Health and Human Services. It provides information about more than \$360 billion in annual grants from 26 federal agencies — all in one place. At Grants.gov you can research grant opportunities and link to agencies to download the application packages you need when applying for grants.

- ♦ Use Grants.gov as your primary resource for finding federal grant opportunities.
- ♦ Once you've found an appropriate Program Announcement, be prepared to use Grants.gov to apply for federal grants online — you'll find the grant application process simple, secure, and reliable.

Grants.gov provides a range of online customer support tools to assist grantors and the grant community in the transition from paper-based processes to using Grants.gov. Help is just a click away on every page of the Grants.gov site — a link at the top of each page connects you with context-sensitive help that knows where you are and where you have been, providing just what you need at a particular point in time. Additional on-site customer service tools include: a Tutorial, Frequently Asked Questions, Quick Reference Tools, and User Guides. Grants.gov will also provide personalized assistance through its Contact Center via a toll-free number (1-800-518-GRANTS) and e-mail <support@Grants.gov>.

## 5. The Faith-Based and Community Initiative

Every year, the federal government spends billions of dollars for health and human service programs. Thousands of community and faith-based organizations (including MAAs) across the country receive federal funds. Although the use of government money by community-based organizations is not new, many small grassroots organizations still have questions about the federal funding process. “How can we find out about federal funding opportunities?” “If we get money from the federal government, what rules and regulations will we have to follow?”

The White House Office of Faith-Based and Community Initiatives and its partner Federal Agency Centers can help.

**Internet Resources** — The White House Office of Faith-Based and Community Initiatives has put together a list of nearly 200 federal programs that your MAA may be interested in. You can use this list, which is available at <www.fbc.gov>, as a starting point for learning more about specific programs. This website links with a wide variety of resources ranging from how to develop a proposal to training opportunities, tailored technical assistance, and conferences. In addition, each of the seven participating federal agencies (Health and Human Services, Labor, Education, Housing and Urban Development, Agriculture, Justice, and

the U.S. Agency for International Development) has established a cooperating center within the agency — in other words, you have a place to go for help. These Agency Centers' websites contain much valuable information about specific initiatives and programs.


**Compassion Capital Fund** — Over 30 organizations funded by the Department of Health and Human Services' Compassion Capital Fund may be able to assist your MAA. These “intermediary” organizations have received grants to provide training, technical assistance, and sub-awards to a diverse range of grassroots organizations including MAAs that seek to increase their ability to provide social services to those in need. Technical assistance activities are offered free of charge and focus on strategic planning, financial management, Board development, fundraising; and outcome measurement.

---

#### How Do the Intermediary Organizations Help?

One of the CCF's Intermediary Organizations is the Southeast Asia Resource Action Center (SEARAC). The Values, Empowerment, Resources, and Betterment project seeks to build capacity and knowledge among refugee serving faith-based organizations and MAAs. SEARAC and its partners are working with Southeast Asian American groups in four localities: Northern California, North Carolina, Wisconsin, and the Washington DC metro area.

---

*Example* 

## 6. Finding and Applying for Federal Grants — Questions and Answers

### How can our MAA find out about federal grants?

As already mentioned, the White House Office of Faith-Based and Community Initiatives has prepared general information about more than 200 programs operated by the Departments of Justice, Agriculture, Labor, Health and Human Services, Housing and Urban Development, Education, and the U.S. Agency for International Development. The list — which is in *Federal Funds for Organizations that Help Those in Need*, available in hard copy and on the website <www.fbc.gov>, click “[Grants Catalog](#)” — includes programs of interest to small, grassroots groups. Use this list as a starting point to find out about opportunities that may interest your MAA. Once you find a program that interests you,

**Phoenix Associates for the Office of Refugee Resettlement**



### *Helpful Hint*

#### **Grantseeking on the Web**

Use your browser's “Find” option (usually “Ctrl+F”) to find a word or phrase on the web page you have open. This is especially helpful when the page has a lot of text; “Find” jumps quickly to the place where your word appears so you can decide whether or not this website contains what you're looking for.

*Helpful Hint*  
**Feeling Overwhelmed?**

At the end of this chapter is a set of materials that will help. Attachment 2, "Steps in the Public-Sector Proposal Process" concisely outlines the steps to take. The "Go — No-Go Assessment Worksheet" (Attachment 3) gives you some questions to help determine whether your MAA is ready to compete for a public-sector grant, and provides tips on what you can do to be ready next time around.

you can get more information about when and how you can apply for funds, either from the agency listed, or from Grants.gov.

**How do we go about applying for a federal grant?**

All federal grants must be announced to the public. These announcements (sometimes called "Program Announcements", "Requests for Proposals", "Notices of Funding Availability," or "Solicitations for Grant Applications") are the federal government's way of looking for nonprofits and other groups to provide a federally funded service.

Each grant announcement contains instructions on how to apply, typically including where to get an application packet, a checklist of what the application should contain, the due date, and federal agency contact information.

In addition to postings on Grants.gov, grant announcements are listed in the *Federal Register*, a daily publication that can be accessed either on the Internet <[www.gpoaccess.gov/fr/index.html](http://www.gpoaccess.gov/fr/index.html)> or at major public libraries. (You might want to sign up for a daily e-mail of the *Federal Register's* Table of Contents.) The *Catalog of Federal Domestic Assistance* <[www.cfda.gov](http://www.cfda.gov)> also contains information about grant announcements, but does not specify when grant announcements are issued or the amount of funding available in any given grant cycle. MAAs and other grassroots community groups should check for information on the website for the White House Office of Faith-Based and Community Initiatives <[www.fbc.gov](http://www.fbc.gov)>, as well as on the websites of the Federal Agency Centers.

Many states and cities also have liaisons that can help MAAs and other community-based organizations identify grant opportunities.

**Our MAA can't afford to hire a grant writer, accountant, and lawyer to help us seek a federal grant. Is there any help for us?**

Most federal agencies have experts who can provide helpful information about their agency's application process. Applicants may call the official named in the grant announcement or contact a federal agency's regional office. These agency staff are available to answer questions over the phone; they cannot, however, help write the proposal or provide legal advice. They may also refer applicants to local or nearby technical assistance workshops or to organizations that are under contract with the federal government to provide this kind of assistance.

Some federal agencies hold regular technical assistance workshops right after issuing grant announcements. Attend if you can or ask the agency contact if a summary or copies of the training materials are available.

**We've already registered with Grants.gov. Can we apply for a grant electronically, or do we have to wait until another year?**

Yes, you can apply electronically once the agency is ready to accept applications online. The steps are listed on the Grants.gov website, and summarized below.

Since the process is likely to be streamlined as time goes on, you should check the website for improvements that will be made in the future.

### **Pre-application Step — Get the CFDA Number**

Do you have the Funding Opportunity and/or CFDA number of the grant for which you want to apply? You'll need it to download a grant application and apply for a grant. If this is your first time, we recommend that you look in the booklet entitled *Federal Funds for Organizations that Help Those in Need*, which was described in response to Section 6's first question (How can our MAA find out about federal grants?). That booklet is available online and it lists the CFDA numbers for programs that are particularly appropriate for MAAs and other community-based organizations. It's a good place to begin.

### **Step One — Download a Grant Application Package and Application Instructions**

You will need to enter the Funding Opportunity and/or CFDA number to get the application package and instructions. Go to [Grants.gov](http://Grants.gov) and click on "[Programs List](#)" to access the CFDA numbers for programs with applications currently available on [Grants.gov](http://Grants.gov). In order to view application packages and instructions, you'll also need to download and install the PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. Remember, you must do two things: 1) first, download the grant application package and 2) then, download the instructions.

### **Step Two — Complete the Grant Application Package**

You can complete the application offline — you do not have to be connected to the Internet. Everything you need to know is included in the application package and instructions. Don't forget to save your work often as you complete the application; changes are NOT automatically saved. Once you have completed the application package, click "Save" before submitting it.

### **Step Three — Submit a Completed Grant Application Package**

You will submit the application online. The "submit" button on the application package cover page will become active after you have completed all the required forms, attached the required documents, and saved your application package. Click on the "submit" button once you have done all these things, and you're ready to send your completed application to [Grants.gov](http://Grants.gov).

You need to have completed the five essential "Get Started" steps in the registration process, which are described under "Before you Apply." (See Section 3 earlier in this chapter.)

Check the provided application summary to make sure that your application will be submitted to the correct program. If it's correct and you are ready to send, then click the "yes" button. Log into [Grants.gov](http://Grants.gov) with your username and password. Once you have logged in, your application package will be automatically uploaded to [Grants.gov](http://Grants.gov). A confirmation screen will appear once the upload is complete. A [Grants.gov](http://Grants.gov) tracking number will appear on your com-



### *Helpful Hint*

#### **What's a CFDA Number?**

The number assigned to a grants program listed in the *Catalogue of Federal Domestic Assistance* is called the CFDA number. You will need the CFDA number to search for grant opportunities. It's also used on your application cover sheet (Standard Form 424, box 10). If you mail your application to an Application Control Center, include it underneath the mailing address so your application doesn't get lost. And once your MAA has a federal grant, your auditors will ask for the CFDA number when they do your annual audit.

puter screen. Write this number down so you can refer to it if you need to contact Customer Support.

## **7. Agency Centers for Faith-Based and Community Initiatives**

Most of the funding that supports social services programs of interest to MAAs comes through one of the participating federal agencies whose missions are described briefly below. The Faith-Based and Community Initiatives Center at each of these agencies is committed to reducing the barriers faced by small grassroots agencies when they apply for federal money. Their websites provide much useful information (see contact information box following this section). For additional resources from these agencies, check the websites listed in Attachment 4 at the end of this chapter.

### ***U.S. Department of Health and Human Services***

**Mission** — To protect the health of all Americans and to provide essential human services, especially for those who are least able to help themselves.

Community and faith-based organizations have a history of providing a variety of services funded under HHS programs. These organizations are eligible to apply for most grants open to nonprofit organizations. Most of the opportunities of interest to grassroots organizations such as MAAs are administered by the Administration for Children and Families, the Administration on Aging, the Health Resources and Services Administration, and the Substance Abuse and Mental Health Services Administration. HHS is also responsible for administering the Compassion Capital Fund programs, which are designed to help community and faith-based organizations build capacity and provide social services to those in need.

### ***U.S. Department of Labor***

**Mission** — committed to the welfare of the United States' job seekers, wage earners, and retirees.

By getting involved with the nation's One-Stop Career Center System, MAAs can help connect people in need to the federal workforce system in their community, and become part of these networks. One-Stop Centers house all federal employment and training services in one place, integrating programs such as unemployment insurance, state job services, public assistance, and training initiatives. One-Stop customers can find out about job vacancies, receive career counseling, and obtain job skills training.

MAAs and other grassroots organizations are welcome partners to the Department's agencies, such as the Employment and Training Administration,

the International Bureau of Labor Affairs, and the Office of Disability and Employment Policy. Each of these agencies has individual grant programs which explicitly include community and faith-based organizations and encourage partnerships between large nonprofits and grassroots community organizations such as MAAs.

### ***U.S. Department of Education***

**Mission** — To ensure equal access to education and to promote educational excellence for all Americans.

Community and faith-based organizations are eligible to apply directly to the Department for a number of grants. With the passage of the No Child Left Behind Act, the Department has placed special emphasis on the important role that grassroots and faith-based organizations and leaders play in America's communities. For instance, the new Act has provided substantial funding for "supplemental services," which are provided by outside organizations that tutor children in subjects in which they need extra help. Interested MAAs and other community organizations should review the Department's explanation of this program on the website to learn how to become a certified provider of these supplemental services.

### ***U.S. Department of Housing and Urban Development***

**Mission** — Increase homeownership, support community development, and increase access to affordable housing free from discrimination.

Community and faith-based organizations have a long history of partnership with HUD. They have been actively involved in constructing affordable housing for the elderly and disabled, providing shelter for the homeless, and promoting homeownership and community development. Grassroots organizations similar to MAAs provide support and services to resident of public housing. Many of the programs for which community and faith-based organizations are eligible are operated by the Office of Community Planning and Development. In addition, many organizations have sponsored the construction of Section 202 Housing for the Elderly, a program in HUD's Office of Housing.

### ***U.S. Department of Agriculture***

**Mission** — works with rural and urban communities to strengthen the entire food and agricultural system.

USDA works in many capacities to provide programs, grants, and other services that help build stronger communities through rural economic development and investment, food and nutrition programs, as well as food aid. USDA is committed to improving its delivery mechanisms and working more closely with community organizations eligible to participate in the program. MAAs and other grassroots organizations can play an integral role in assisting USDA to

carry out its mission, including promoting economic development in rural communities, conserving the environment, and educating communities about healthy eating habits.

### ***U.S. Department of Justice***

**Mission** — enforces the laws of the United States.

Community-based organizations have a significant role to play in the Department's programs, particularly in the areas of juvenile delinquency, prisoners and their families, victims of crime, domestic violence, and drug and alcohol intervention and prevention. Most of the programs of interest to grassroots organizations are administered through the Office of Justice Programs.

### ***U.S. Agency for International Development***

**Mission** — USAID is the principal U.S. agency working to fulfill U.S. foreign policy interests in expanding democracy and free markets, while also improving the lives of the citizens of the developing world.

USAID has a long history of working overseas with faith-based and community organizations. Although the funds are designated for work outside the U.S., the new Center for Faith-Based and Community Initiatives at USAID is listed here for informational purposes. The Center works to enhance existing partnerships between these organizations and the federal government by cutting some of the bureaucratic red tape that impedes their full participation in USAID programs around the world.

## **8. Hints for Applying for Federal Funding**

Once you have identified the program or programs that can help you, your work has just begun. Volumes have been written, and consultants have been paid thousands of dollars to counsel groups on how to obtain government funding. There is no mystery in the method. In fact, you've already learned about how to prepare effective competitive grant applications in Chapter 8 — "State and Local," and you can use that guidance when applying for federal funding as well. You do not need an advanced academic degree or a Washington office. Assuming you're eligible, you need patience, determination, and hard work.

Here are some things to keep in mind as you prepare to apply for federal funding:

- ♦ **Once you find one program, assume there are more.** When you identify a federal program that comes close to meeting your needs, ask program officials about similar programs in other departments. Find out whether new programs are being planned. The alternatives may present opportunities more suited to your needs, or they may be combined with the existing program for a funding package.



## Contact Information

---

### Department of Health and Human Services

Center for Faith-Based and Community Initiatives  
 Bobby Polito, Director  
 200 Independence Avenue, S.W.  
 Washington, DC 20201  
 (202) 358-3595  
 <[www.hhs.gov/fbci](http://www.hhs.gov/fbci)>

### Department of Labor

Center for Faith-Based and Community Initiatives  
 Brent Orrell, Director  
 200 Constitution Avenue, N.W.  
 Washington, DC 20210  
 (202) 693-6450  
 <[www.dol.gov/cfbci](http://www.dol.gov/cfbci)>

### Department of Education

Center for Faith-Based and Community Initiatives  
 John Porter, Director  
 555 New Jersey Avenue, N.W.  
 Washington, DC 20208-8300  
 (202) 219-1741  
 <[www.ed.gov/faithandcommunity](http://www.ed.gov/faithandcommunity)>

### Department of Housing and Urban Development

Center for Faith-Based and Community Initiatives  
 Ryan Streeter, Director  
 451 7th Street, S.W. — Room 10184  
 Washington, DC 20410  
 (202) 708-2404  
 <[www.hud.gov/offices/fbci](http://www.hud.gov/offices/fbci)>

### U.S. Department of Agriculture

Center for Faith-Based and Community Initiatives  
 Juliet McCarthy, Director  
 14th and Independence Avenue, S.W.  
 Washington, DC 20250  
 (202) 720-3631  
 <[www.usda.gov/fbci](http://www.usda.gov/fbci)>

### U.S. Department of Justice

Task Force for Faith-Based and Community Initiatives  
 Patrick Purtill, Director  
 950 Pennsylvania Avenue, N.W.  
 Washington, DC 20530  
 (202) 514-6702  
 <[www.ojp.usdoj.gov/fbci](http://www.ojp.usdoj.gov/fbci)>

### Agency for International Development

Center for Faith-Based and Community Initiatives  
 Mike Magan, Director  
 1300 Pennsylvania Avenue, S.W.  
 Washington, DC 20523  
 (202) 712-4080  
 <[www.usaid.gov/our\\_work/globalpartnerships/fbci](http://www.usaid.gov/our_work/globalpartnerships/fbci)>



- ♦ **The money may not be where you think it is.** Much federal money comes from unexpected sources. For example, the Department of Agriculture supports teenage entrepreneurs, and the Department of Labor will finance doctoral dissertations.
- ♦ **Don't be discouraged if you think you are not eligible.** You may discover a program that meets your needs only to find that the funding is not available to start-up groups. Don't give up. If you haven't already incorporated your MAA, you might apply through another nonprofit, or work with your local government in order to receive available money.
- ♦ **Examine a successful application.** You have the right, in most cases, to see copies of successful applications; ask the information contact person whose name was listed in the RFP. If you run into difficulty, write and request a copy of the application under the Freedom of Information Act. It may take a couple of months and require a small fee for research and duplication. Be persistent. Reviewing an awarded proposal is the best first step toward writ-

ing your own proposal. Do this ahead of time, while you are waiting for an appropriate program announcement. Usually, there is not enough time to write for extra things once the RFP has been announced and your application is due.

- ♦ **Talk to those who give the money.** Before you actually fill out any applications, it is well worth your time to review forms with program officials either in person if at all possible, or over the telephone. Many of the funding agencies have offices throughout the country to assist you. Usually, a specific person will be identified in the RFP as the contact person to approach with questions. Make a list of all your questions before you call, and take this opportunity to learn as much as you can; it's expected. This conversation will help you tailor your application to what the funding agency wants to see.
- ♦ **Obtain copies of appropriate committee hearings.** Every year, each federal agency has to justify to the Congress its annual request for money. Public hearings are held by both the House and the Senate. Often the program of your interest may be discussed in these hearings. If you need extra insights on your subject, contact your Congressperson's office for information on how to obtain the transcript from these public hearings.
- ♦ **Personalize your approach.** Remember that program officers are there to help you if you give them a chance. Be friendly, open, and courteous. Establish yourself as a person so that you are more to them than just a faceless number. Even getting money from the federal government can be a people business, and it is up to you to encourage that.
- ♦ **Give them what they want.** When you prepare your application, provide exactly what is asked for, even though it may not make much sense to you. Be sure to sign in all appropriate boxes and provide the requested supporting documentation.
- ♦ **Start with a reasonable funding request.** Even if you need a large amount of money, it may be wiser and easier to start small. Initially, ask for enough money to complete the start-up phase of your project. The next year, ask for the rest. In this way, the program officer can get to know you before he or she makes an agency recommendation on a larger amount of money.
- ♦ **Try again.** If your proposal is rejected, learn what you did wrong and try again next year, or try with a different program. The federal government, like most funding sources, rejects many proposals because of bad timing or for relatively minor reasons. Don't worry. Your failure will not be held against you in future applications. Contact the person listed in the RFP to request a copy of the remarks, ranking, or rating made on your proposal by the review panel. You can see what — if any — errors you made with your proposal and where you can improve it next time.
- ♦ When the bureaucracy is stuck, **use your Congressperson** — but **ONLY** for those times when the bureaucracy comes to a halt on your paperwork. Sometimes using your Congressional office is the only way to get things moving again.

## 9. Maintaining Your Federal Grant — Questions and Answers

Once you are successful in your application for federal funding, there are a number of other things you should keep in mind.

### What guidance documents and regulations apply to our grant project?

**Program Regulations** — Program regulations typically will be identified in the *Federal Register* notice announcing the grant competition or in the larger grant application package. Each program has a set of regulations that govern how grants projects are to be implemented by grantees. Some programs may have very detailed guidance concerning allowable and unallowable costs, spending caps on specific budget categories, and staffing requirements. For example, a program might require a project director to work full-time on the project. But other programs may have few program-specific regulations.

**Agency Guidance Documents** — Most federal agencies have issued guidance documents that apply to both their discretionary and formula grant programs. These documents may not be very useful to you while you are researching funding opportunities or applying for a grant program. However, they are extremely helpful for grantees seeking daily administrative guidance. If you are awarded a grant, the awarding agency will either provide you with a hard copy of this document or with electronic access to the document.

**OMB Circulars** — The Office of Management and Budget issues documents that are called “circulars.” These circulars are essentially letters of instruction that allow the federal government to address public questions or concerns that apply to all federal agencies. Of greatest interest to grantees are the OMB circulars that apply to cost principles. These circulars provide guidance on specific allowable and unallowable expenditures for a grantee, based on the type of organizational entity it is. The circular that applies to all nonprofits, including community and faith-based organizations, is OMB Circular A-122. If, after reviewing the program regulations and the agency guidance documents, a grantee still has a question about whether a given expenditure is allowable, it should refer to OMB Circular A-122.

You can access the most up-to-date version of the circulars by going to this web address: <[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)>.

### What are some of the legal obligations that come along with a federal grant?

**Financial Reporting Requirements** — To make sure that grant funds are used properly, organizations that receive federal funds must file regular financial status reports. These forms should not take long to fill out, but they are important. You can find a copy of Standard Form 269 at <[www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)>.

**Cost-Sharing/Matching** — These are two terms that often are used interchangeably with one another. Certain programs have a requirement that grant appli-

cants pledge that they will contribute a certain level of financial support to the project once they are awarded grants and become grantees. The amount of financial support varies from program to program, and not all grant programs have cost-sharing or matching requirements. Whether cost-sharing or matching requirements apply to a particular program will be noted in the *Federal Register* notice that announces a grant competition for that program.

Depending upon the particular program, a grantee's cost-share or match may be made in cash, or as an in-kind contribution (such as facilities, equipment and supplies), or in staff time. For example, a program may require a 50% match from its grantees. This is essentially a dollar for dollar match, whereby for a project budgeted at \$200,000, the grantee would receive a federal award of \$100,000 and must bring to the project an additional \$100,000 in either cash or some type of in-kind contribution.

**Record Keeping** — Typically, all grantees will be required to submit to the awarding agency both periodic (usually annually) and final performance reports that detail the project's accomplishments, as well as any shortcomings. The awarding agency provides instructions as to the format and the degree of detail that needs to be included in these reports. For grant projects funded for only one year, only a single report may be required. Along with performance reports, some programs require grantees to participate in national evaluation surveys. Such surveys provide information on the national need for and the impact of the particular grant program.

**Audit** — All faith-based and community groups that receive federal funds are subject to basic audit requirements. These audits are intended to examine only the federally funded parts of an organization's operations and are not designed to identify unrelated problems. The audits are necessary to make sure that federal dollars have been spent properly on legitimate costs. It is therefore extremely important for grant recipients to keep accurate records of all transactions conducted with federal funds.

Most organizations are not audited by the government itself, although the federal government has the right to audit any program that receives public money at any time. Organizations with limited federal funding are generally asked to perform a "self-audit" only. For organizations with a significant level<sup>2</sup> of federal funds, an audit by a private, independent outside accounting firm is required. More information on audits may be found on the Office of Management and Budget's website <[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)>.

---

<sup>2</sup> OMB Circular A-133 explains the Single Audit Act requirements. As of October 1, 2003, the amount of federal funding that would require an A-133 audit was raised to \$500,000. Check the OMB website periodically for changes.

**Is there an easy test to determine if we have an audit exception?**

A good way to determine if a grant expenditure might be an audit problem or “audit exception” is to ask this question: “Is the item or activity in our budget allowable, allocable, and reasonable for our project?”

*Allowable* means that the type of expenditure is either specifically permitted or not specifically prohibited by regulation. *Allocable* means that the expenditure is chargeable to the grant and that it is necessary for the project’s success. It could be allowable and allocable for a grantee to purchase computers for project staff. However, it would not be *reasonable* to spend \$5,000 on a computer when a \$1,000 computer would perform all of the necessary tasks just as well.

Please note: The extent to which an item is allowable, allocable, and reasonable may vary depending on the program. Some grant programs may require that a grantee hire full-time staff, whereas other programs may prohibit the use of grant funds for salaries. If you are unsure of requirements, you should communicate with your program contact immediately. The program contact’s job is to help you and your projects succeed.

## For More Information

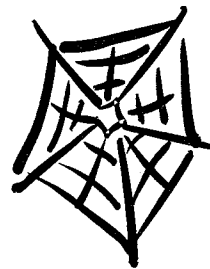
---

....on the Web

### Catalogue of Federal Domestic Assistance

<[www.cfda.gov](http://www.cfda.gov)>

Besides grants programs, includes other forms of assistance such as loans, surplus equipment, training. Start with “First Time Users Guide” and “FAQs, then try “Find Assistance Programs.” Contains useful guide on developing (Part I) and writing (Part II) a federal grant proposal.



### EZ/EC Community Toolbox

<[www.ezec.gov/toolbox](http://www.ezec.gov/toolbox)>

Designed by USDA’s Office of Community Development (EZ = Rural Empowerment Zone program and EC = Enterprise Community program), this website is intended to foster effective and sustainable community economic development. Its resources are organized around the Community Empowerment Initiative’s four prongs: Economic Opportunity, Sustainable Community Development, Community-Based Partnerships, and Strategic Vision for Change. Links are provided to information on financing, methods, and how to start/manage a nonprofit.

### Helpful Hint

Most government websites are full of information — some useful and some not. To save time, we recommend that you use the website’s internal search engine. In addition to the site’s keywords, type in terms like “funding,” “grants,” or “opportunities” to ensure that you don’t miss something important.

**Federal Register**

[www.gpoaccess.gov/fr/index.html](http://www.gpoaccess.gov/fr/index.html)

The official daily record of the federal government, current and comprehensive information about government-funded projects and funding availability.

**Financial Reporting Forms**

[www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)

For example, the SF 269, required when you file your federal grant reports, can be found here.

**FirstGov for Nonprofits**

[www.firstgov.gov/Business/Nonprofit.shtml](http://www.firstgov.gov/Business/Nonprofit.shtml) (case sensitive)

A one-stop shopping place for information, services, and funding opportunities for nonprofits. Included is a wealth of information on a variety of topics of interest to nonprofits: grants, loans and other assistance; fundraising and outreach; management and operations; tax information; registration and licensing; laws and regulations, etc.

**Grants.Gov**

[www.Grants.gov](http://www.Grants.gov)

The "e-grant" headquarters, where you can locate federal grant opportunities, download application packages, and apply electronically.

**GrantsNet (at Department of Health and Human Services)**

[www.hhs.gov/grantsnet/roadmap/index.html](http://www.hhs.gov/grantsnet/roadmap/index.html)

This site has a refreshingly easy to use "electronic roadmap to grants" — a visual representation of the grants process with links to information on HHS funding opportunities, how to write proposals, standard government application forms.

**OMB Circulars**

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

Provides the most up-to-date version of the Office of Management and Budget's "letters of instruction," known as OMB circulars.

**Office of Minority Health Resource Center**

[www.omhrc.gov/omhrc/index.htm](http://www.omhrc.gov/omhrc/index.htm)

Includes a searchable database of funding resources for minority health projects, information about grant-writing and technical assistance training, grantwriting online manual and more.

**Substance Abuse and Mental Health Services Administration's Faith-Based Pages**

[www.samhsa.gov/faithbased/index/html](http://www.samhsa.gov/faithbased/index/html)

This website announces the dates/locations of SAMHSA's grants writing training, as well as other technical assistance offerings. *Developing Competitive Grant Applications* (the manual used in grants writing trainings) can be downloaded from the site. In addition, SAMHSA frequently announces a call for proposal reviewers; this is a unique opportunity to learn first-hand about the federal proposal review process.

**White House Office of Faith-Based and Community Initiatives**

[www.fbci.gov](http://www.fbci.gov)

Many useful resources, including *Federal Funds for Organizations that Help Those in Need*, are available on this website.



**Attachments**

1. "Registration Checklist" from Grants.gov
2. Steps in the Public-Sector Proposal Process
3. Go – No-Go Assessment Work sheet
4. Additional Grant Resources on the Internet

# Registration Checklist from Grants.gov

Initial registration should be started well before the week of electronic submission of an application.

**Grants.gov Help Desk:**

support@grants.gov  
1-800-518-GRANTS (4726)

Grants.gov Registration Checklist	Purpose	How Long Should It Take?	Completed?
<p><b>1. Has my organization identified its DUNS number?</b></p>			
<ul style="list-style-type: none"> <li>♦ You should ask the chief financial officer, grant administrator, or authorizing official of your organization to identify your DUNS number.</li> <li>♦ If your organization does not know its DUNS number, call Dun &amp; Bradstreet at 1-866-705-5711 and follow the automated prompts to find this information.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Identifies an organization.</li> <li>♦ SIC code is determined.</li> <li>♦ Required for ALL federal awards.</li> </ul>	<ul style="list-style-type: none"> <li>♦ You will receive the DUNS number information at the conclusion of the phone call.</li> </ul>	
<p><b>2. Has my organization registered at Central Contractor Registry (CCR)? Initial registration should be started well before the week of electronic submission of an application.</b></p>			
<ul style="list-style-type: none"> <li>♦ You should ask the chief financial officer, grant administrator, or authorizing official of your organization if your organization has registered at CCR.</li> <li>♦ When your organization registers with the CCR, <b>you will be required to designate an E-Business Point of Contact.</b> This individual will become the sole authority of the organization with the capability of designating, or revoking, an individual's ability to submit grant applications on behalf of their organization through Grants.gov.</li> <li>♦ The E-Business Point of Contact will need to know the M-PIN within the CCR Profile in order to be able to log in at Grants.gov.</li> <li>♦ Use the worksheet located on Grants.gov &lt;www.ccr.gov/CCRRegTemplate.pdf&gt; to aid you with the CCR registration. Your organization can apply by phone: 1-888-227-2423 or you may register online at &lt;www.ccr.gov&gt;.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Registers an organization.</li> <li>♦ Allows POC to maintain sub-organizations (DUNS+4).</li> <li>♦ Required for an organization to do electronic business with the federal government through Grants.gov.</li> </ul>	<ul style="list-style-type: none"> <li>♦ 1-3 days to gather the internal organization information and prepare the application.</li> <li>♦ 5 days from the point of submitting the CCR registration.</li> <li>♦ The reason for the 5-day delay is due to security information that needs to be mailed to the organization.</li> </ul>	

Attachment 1





Grants.gov Registration Checklist	Purpose	How Long Should It Take?	Completed?
<p><b>3. Have the individuals who officially submit applications on behalf of your organization obtained a credential from the Credential Provider?</b></p> <ul style="list-style-type: none"> <li>♦ The Credential Provider verifies, with certainty, that an individual is who she/he claims to be. Grants.gov uses Operational Research Consultants (ORC) for this purpose.</li> <li>♦ Go to &lt;<a href="https://apply.grants.gov/OrcRegister">https://apply.grants.gov/OrcRegister</a>&gt; to enter the website.</li> <li>♦ Your organization will need to be registered with CCR and you will need to know your organization's DUNS number to be able to obtain your credential.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Electronic signature for an individual.</li> <li>♦ DUNS verified for an organization registered with CCR.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Same day. (<i>No sooner than 5 business days after CCR registration.</i>)</li> <li>♦ You will receive the credential at the time you fill out the form and submit the information.</li> </ul>	
<p><b>4. Have those individuals who will officially submit applications on behalf of the organization registered at Grants.gov?</b></p> <ul style="list-style-type: none"> <li>♦ Go to &lt;<a href="https://apply.grants.gov/GrantsgovRegister">https://apply.grants.gov/GrantsgovRegister</a>&gt; and enter the username and password you received when you registered with the Credential Provider.</li> <li>♦ You will then be asked to provide your credential ID and password and your organization's DUNS number. After you have completed the registration process, Grants.gov will notify the E-Business Point of Contact (POC) for assignment of user privileges.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Electronic signature for individuals registered for use in Grants.gov.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Same day.</li> <li>♦ You will be registered at the time you log in and fill out and submit the information.</li> <li>♦ You will need your ORC credential username and password.</li> </ul>	
<p><b>5. Has my E-Business Point of Contact (POC) approved me to submit applications on behalf of my organization?</b></p> <ul style="list-style-type: none"> <li>♦ The designated E-Business POC will receive an e-mail stating that an individual has registered at Grants.gov to submit applications on behalf of the organization.</li> <li>♦ The E-Business POC will then log into Grants.gov and assign privileges to the individual, recognizing the individual as an Authorized Organization Representative (AOR). The AOR is the organization's authorized submitter of a federal grant application and can now officially submit grants through Grants.gov.</li> <li>♦ <b>The E-Business POC will need the DUNS or DUNS + 4 number and your designated MPIN from the Central Contractor Registry (CCR) to log into the system.</b></li> <li>♦ The Individual will receive an e-mail notifying them that their E-Business POC has given them authorization.</li> <li>♦ The Individual can also log in at Grants.gov to check their status and to get the e-mail address of the E-Business POC.</li> </ul>	<ul style="list-style-type: none"> <li>♦ Individual authorized by the organization.</li> </ul>	<ul style="list-style-type: none"> <li>♦ This item is dependent on the actions of the E-Business POC.</li> <li>♦ The individual can log into Grants.gov to find out who the E-Business POC is for their organization and to see if they have been approved.</li> </ul>	

---

## Steps in the Public-Sector Proposal Process

1. Get information about the RFP.
2. Request the RFP.
3. Attend the bidders' conference.
4. Network with others at the bidders conference. Find out who did what last year, and how successful they were. Explore possibilities for collaboration and sub-contracting.
5. Study the RFP and assess your MAA's resources. (You may want to use the "Go — No-Go Assessment" to determine whether or not your MAA should compete for this grant.)

---

### **STOP HERE!**

*And complete the "Go — No-Go Assessment" on the following pages before continuing with Step 6*

6. Write the proposal.
7. Contact the individual listed in the RFP to follow up with the proposal.
8. The review panel will make a "short list." If your MAA's application is on the "short list" you'll have to be prepared to:
  - ♦ Answer questions for clarification
  - ♦ Submit your "Best and Final" offer
9. In your "Best and Final" submission, you'll need to reduce the cost (usually by scaling down the tasks, population served, etc.).
10. Be sure to get someone to help you negotiate the contract.

Tool

**Go — No-Go Assessment Worksheet**

Use this worksheet to ask yourself the hard questions necessary in successful program development. The results of this activity can be a first step in translating your vision into an operational program.

Score your answers on a scale of 0 to 9. Your MAA's interests will best be served by rigorous honesty. Decide what you (and your colleagues) can do to increase your readiness. Based upon your answers, decide whether or not your MAA should go after this grant.

1. **Is your MAA's mission consistent with your vision for the new program?**  
(0 = no readiness; 9 = maximum readiness)

0   
  1   
  2   
  3   
  4   
  5   
  6   
  7   
  8   
  9

*Key considerations:*

- ♦ MAA should have a clearly articulated purpose that clarifies its potential and limitations.
- ♦ Program planners should be visionaries who have dreams about facilitating change and have the capacity for practical action.

*List tasks required for becoming sufficiently ready:*

---



---

2. **Is now a good time for your MAA to seek this funding?**  
(0 = no, we're doing too many other things; 9 = yes)

0   
  1   
  2   
  3   
  4   
  5   
  6   
  7   
  8   
  9

*Key considerations:*

- ♦ What is going on at the MAA that may be more important than this program?
- ♦ What current activities may conflict with those proposed?

*List tasks required for becoming sufficiently ready:*

---



---





3. Is there sufficient staff that can be allocated to develop this grant proposal?  
(0 = no one is available; 9 = yes)

0  1  2  3  4  5  6  7  8  9

*Key considerations:*

- ♦ Writers, full-time
- ♦ Editors, part-time
- ♦ Researchers, part-time
- ♦ Support staff, part-time

*List tasks required for becoming sufficiently ready:*

---

---

4. Are there sufficient materials and equipment within your MAA to develop and market your program concept? (0 = no, not at all; 9 = yes)

0  1  2  3  4  5  6  7  8  9

*Key considerations:*

- ♦ Are computers and printers available and in good working order?
- ♦ Are copies of necessary documents on hand?
- ♦ Do you have easy access to a working copy machine?

*List tasks required for becoming sufficiently ready:*

---

---

5. Does your MAA have staff to manage and develop this project in a professional and effective manner? (0 = no, not at all; 9 = yes)

0  1  2  3  4  5  6  7  8  9

*Key considerations:*

- ♦ How much time will it take to recruit new staff?
- ♦ Do you have current part-time or full-time staff to move into the grant positions?





*List tasks required for becoming sufficiently ready:*

---



---

6. Does your MAA have sufficient space and equipment to provide the proposed services? (0 = no space available; 9 = yes)

0   
  1   
  2   
  3   
  4   
  5   
  6   
  7   
  8   
  9

*Key considerations:*

- ◆ Purchase of property and equipment is NOT usually allowable.
- ◆ Expenditure for lease can sometimes make costs prohibitive.

*List tasks required for becoming sufficiently ready:*

---



---

7. Do you have sufficient monies to develop, market, and initiate program activities? (0 = no, not at all; 9 = yes)

0   
  1   
  2   
  3   
  4   
  5   
  6   
  7   
  8   
  9

*Key considerations:*

- ◆ It takes money to make money.
- ◆ Plan a development and start-up budget first.

*List tasks required for becoming sufficiently ready:*

---



---

# Additional Grant Resources on the Internet

*(Organized by Federal Agency)*

## U.S. Department of Agriculture

**U.S. Department of Agriculture Home Page**  
<[www.usda.gov](http://www.usda.gov)>

**USDA Nonprofit Gateway**  
<[www.usda.gov/nonprofi.htm](http://www.usda.gov/nonprofi.htm)>

## U.S. Census Bureau

**American Fact Finder** (For assistance in finding useful data and information for proposal writing)  
<<http://factfinder.census.gov/servlet/BasicFactsServlet>>

**U.S. Census Bureau Regional Offices**  
<[www.census.gov/contacts/www/c-regoff.html](http://www.census.gov/contacts/www/c-regoff.html)>

## U.S. Department of Education

**U.S. Department of Education Home Page**  
<[www.ed.gov](http://www.ed.gov)>

**U.S. Department of Education Publications Center**  
<[www.edpubs.org/webstore/Content/search.asp](http://www.edpubs.org/webstore/Content/search.asp)>

**What Should I know about ED Grants?**  
<[www.ed.gov/fund/grant/about/knowabtgrants/index.html](http://www.ed.gov/fund/grant/about/knowabtgrants/index.html)>

**Education Department General Administrative Regulations (EDGAR)**  
<[www.ed.gov/policy/fund/reg/edgarReg/edgar.html](http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html)>

**Current ED Grant Competitions**  
<[www.ed.gov/GrantApps](http://www.ed.gov/GrantApps)>

**Grant Awards Database**  
<[www.ed.gov/fund/data/award/grntawd.html](http://www.ed.gov/fund/data/award/grntawd.html)>

## U.S. Department of Justice

**U.S. Department of Justice Home Page**  
<[www.usdoj.gov](http://www.usdoj.gov)>

**Grants Overview Page**  
<[www.usdoj.gov/10grants/index.html](http://www.usdoj.gov/10grants/index.html)>

**Office of Justice Programs Funding Opportunities**  
<[www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm)>

**State Administering Agencies for Formula Grants**  
<[www.ojp.usdoj.gov/state.htm](http://www.ojp.usdoj.gov/state.htm)>



## U.S. Department of Labor

### U.S. Department of Labor Home Page

<[www.dol.gov](http://www.dol.gov)>

### Funding Opportunities (related to Faith-Based and Community Initiative)

<[www.dol.gov/cfbci/funding.htm](http://www.dol.gov/cfbci/funding.htm)>

### Help with Solicitation for Grant Applications

<[www.dol.gov/cfbci/sgabrochure.htm](http://www.dol.gov/cfbci/sgabrochure.htm)>

### Questions and Answers about Faith-Based/Community-Based Organization Solicitations

<[www.doleta.gov/usworkforce/documents/misc/fbo-cbo.asp#qanda](http://www.doleta.gov/usworkforce/documents/misc/fbo-cbo.asp#qanda)>

## U.S. Department of Health and Human Services

### U.S. Department of Health and Human Services Home Page

<[www.hhs.gov](http://www.hhs.gov)>

### National Institutes of Health (NIH) Guide

<<http://grants1.nih.gov/grants/guide/index.html>>

### Health Resources and Services Administration (HRSA)

<[www.hhs.gov/grantsnet/searchfunding.htm](http://www.hhs.gov/grantsnet/searchfunding.htm)>

## U.S. Department of Housing and Urban Development

### U.S. Department of Housing and Urban Development Home Page

<[www.hud.gov](http://www.hud.gov)>

### Grantees/NonProfit

<[www.hud.gov/groups/grantees.cfm](http://www.hud.gov/groups/grantees.cfm)>

### Grant Index

<[www.hud.gov/grants/index.cfm](http://www.hud.gov/grants/index.cfm)>

### Funds Availability Informational Page

<[www.hud.gov/offices/adm/grants/fundsavail.cfm](http://www.hud.gov/offices/adm/grants/fundsavail.cfm)>

### Program Inventory and Applicant Requirements

<<http://mf.hud.gov:63001/dgms/gpi>>

### SuperNOFA (Listing of funds administered by HUD)

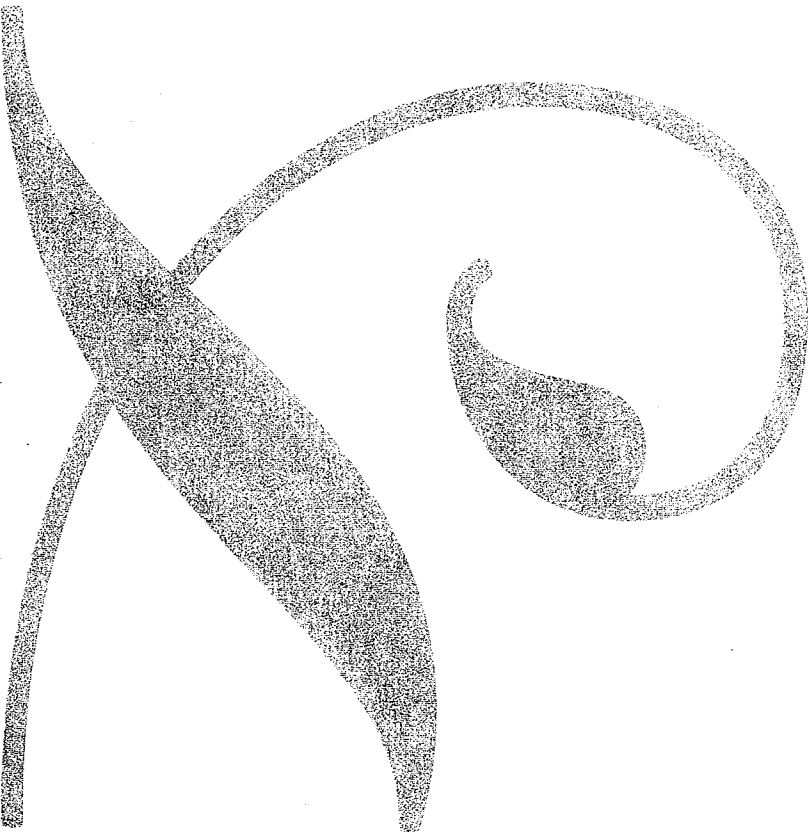
<[www.hud.gov/library/bookshelf18/supernofa/index.cfm](http://www.hud.gov/library/bookshelf18/supernofa/index.cfm)>

# Chapter X

## *Collaboration*

---

**Enhancing Your Resources**





# Chapter Contents

<b>Overview</b> .....	<b>.235</b>
<b>1. Introduction</b> .....	<b>.235</b>
3 MAAs Working Together	236
<b>2. Why Collaborate?</b> .....	<b>.237</b>
Collaboration with Mainstream Enlarges Pie for All	239
<b>3. Preparing for Project Collaboration</b> .....	<b>.240</b>
Questions to Ask Before Initiating Collaboration	240
Questions to Ask When Another Organization Asks You to Collaborate	241
Finding the Right Partners	242
<b>4. Building Relationships with Mainstream Organizations</b> .....	<b>.243</b>
Finding Mainstream Organizations with Whom to Work	243
Finding Mainstream Collaborators	244
Finding Common Ground	245
Finding Networks and Coalitions	245
Building Collaborative Relationships	245
Choosing a "Lead Agency"	247
<b>5. How to Avoid Getting Taken Advantage of</b> .....	<b>.248</b>
Partnerships	248
Questions to Ask ...	249
<b>6. It's a Logical Process</b> .....	<b>.250</b>
For More Information	251
In the Library	251
And on the Web	251
<b>Attachment</b> .....	<b>.252</b>
1. Building Relationships with Mainstream Networks	253

# Chapter X

## *Collaboration*

---

### Enhancing Your Resources



#### Overview

This chapter addresses collaboration both as an important in-kind resource and as a way to strengthen your MAA's resource development capacity and success. It identifies some of the benefits of collaboration and provides guidance on how to choose the right partners, whether other MAAs or mainstream organizations. It also addresses some of the challenges of joint fundraising, particularly with larger organizations.

#### 1. Introduction

Throughout this manual, we've emphasized the importance of building relationships — with foundation and corporation staff, government agency staff, and community members who are prospective donors to your organization. By now, you are getting the idea that relationships are an important resource.

This chapter focuses on another type of relationship building and another type of resource — resources you gain by collaborating with other MAAs and mainstream organizations that assist refugees. These relationships can provide a valuable direct in-kind resource — services for your clients that your MAA doesn't have to fund. Collaboration can also increase your fundraising success, if you pick the right partners and apply for funding together with one or several other organizations.

As an MAA, chances are you already work cooperatively with other nonprofit organizations and government agencies. Your MAA probably makes and receives referrals from other agencies, assists with interpretation at hospitals or courts, and/or shares

information about your community's needs. The question is: how can your MAA build on the relationships it already has to benefit both your community and your organization? Because the focus of this *Handbook* is on resource development, this chapter emphasizes ways to raise funds and provide services collaboratively. However, your MAA and community also benefit from other types of collaboration, such as participation in information-sharing and advocacy coalitions.

---

### 3 MAAs Working Together


Following the events of September 11, the leadership of the Somali, Kurdish, and Iraqi communities in Nashville, Tennessee began explaining to the broader community who they were and why they were here in the U.S. MAAs serving these three communities had become acquainted as members of a coalition led by the local Chamber of Commerce that brought together newcomer and "receiving community" groups.

In the course of their work, the three MAAs discussed the needs and interests of their respective communities, and shared their separate struggles to get the attention of key decision makers. Under the leadership of the MAA which already had its 501(c)(3) status, the three communities came together to plan and raise money for a childcare training and entrepreneurship program through which refugee women could become certified childcare providers. The women would gain durable skills and household income and their respective communities would have access to affordable, culturally appropriate childcare. The three MAAs worked out culturally effective ways to manage a collaborative program and maintain accountability to the funders and to their respective communities.

Within a year, the multicultural collaboration had attracted the Frist Foundation's interest, and quickly led to the Foundation's "Bridging Cultures" initiative, a new program that

awards grants to nonprofits to help the foreign-born integrate into the broader Nashville community. As a result, half a dozen grassroots nonprofits, including MAAs, now have foundation grants — and refugee women are gaining entrepreneurial skills in their new careers as childcare providers.

---

*Example* 

## 2. Why Collaborate?

The Amherst H. Wilder Foundation's *Collaboration Handbook* defines collaboration as:

*"A mutually beneficial and well-defined relationship entered into by two or more organizations to achieve results they are more likely to achieve together than alone."*

Your MAA has many opportunities to collaborate, with many different partners. Among the most beneficial collaborations are with other service providers. Your MAA can share information at coalition meetings, work together on advocacy around issues important to your community, refer clients to and receive them from other service providers, or do joint fundraising and collaborative project implementation.

There are many, many good reasons to collaborate. The most important is that your community's needs are many and complex and your MAA can't meet them alone. By joining forces with organizations that have other skills, experience, and resources, your MAA can have a greater impact. Ultimately, collaboration makes sense because it benefits your community.

There are many other practical reasons to collaborate. Collaboration can help you build your MAA's capacity and can be a good resource development strategy. For example, if you are a small or emerging MAA, no matter how good your proposal is, a funder may still be reluctant to fund you because you are small, don't have enough experience, don't have the management capacity, or simply don't serve enough people. One way to get the experience you need to attract more resources is to work in formal collaborative projects with other MAAs and mainstream organizations. You may also benefit from less formal collaboration — such as a coalition that shares information and does joint advocacy, like the many immigrant and refugee forums across the country. You will gain contacts and information, learn about other organizations that may be able to provide the services your community needs, and set the stage for other kinds of collaboration.

Whether you are well established or emerging, collaboration benefits your MAA. Project-focused collaboration can help you to:

- ♦ **Maximize limited resources.** By collaborating, your MAA can reduce service overlap, serve more people, make its voice heard on policy issues, or provide services it could not offer on its own. For example, the Directors of MAAs in Minnesota formed the Minnesota MAA Directors' Forum (MDF) to coordinate activities and serve as a united voice for MAAs. With each MAA contributing some funding, the MDF has hired full-time staff to serve as the voice for MAAs' collective concerns at the policy level and to coordinate joint projects such as community forums.
- ♦ **Gain experience.** By collaborating with a more experienced partner, your MAA might take on a project it could not undertake alone and gain both management and project-related experience. The funder will feel comfortable because of your partner's experience, and your MAA will learn from the collaboration. If you don't have a lot of experience, one of the best ways to get it is to partner with someone who does.
- ♦ **Increase visibility and credibility.** The more you do in your community, the more visible your MAA will be. Being part of a successful collaborative project or an effective advocacy coalition helps you build a track record, and thus enhances your MAA's credibility. At the same time, working in partnership with other MAAs or mainstream organizations broadens your constituency. Through the partnership, your MAA no longer represents just the Liberian community, for example, but depending on the partners involved, the African community, or refugee youth. This broader constituency increases the visibility of your MAA — and its attractiveness to funders.
- ♦ **Attract new resources.** If the collaboration is successful and your MAA can show additional capacity, that will likely open the door for new resources. Partnering with a mainstream organization can also provide an opportunity for mainstream funders get to know your MAA and your community.
- ♦ **Apply for funding you would not be eligible for alone.** For example, if your MAA is not an incorporated nonprofit with its 501(c)(3) status, it cannot apply on its own for foundation funding, or for some federal funds. If you do have your 501(c)(3) status but have limited management capacity or project experience, you may not be able to apply for large foundation or public-sector grants. By partnering with a more experienced organization, you become eligible for such funding.
- ♦ **Enhance your sustainability.** This *Resource Development Handbook* began with a discussion of *sustainability* — the capacity of your MAA to support and maintain its activities over time. Collaboration makes you more sustainable because you have more funding opportunities and resources, more partners to help serve your community, and greater credibility because you can demonstrate results.
- ♦ **Provide leadership opportunities for refugees.** Working with mainstream organizations, in advocacy coalitions or collaborative service projects, builds

bridges between refugees and the mainstream community. Your refugee Board members and staff will gain opportunities to be involved in decisions about community-wide efforts. By working with you, mainstream organizations will become more closely linked to refugee organizations and may feel a greater sense of responsibility and accountability to refugee communities.

Realizing these benefits takes time and effort. This means collaboration must compete with all the other demands on your staff and Board's time. Because many of those demands are pressing — from accompanying clients to the hospital to helping someone find a job — it's easy for collaboration to become a lower priority. When you have three clients in your office needing help to get enrolled in a health clinic, of course you'll help them instead of going to that collaboration meeting. That's understandable.

But in the long run, collaboration with other MAAs and with mainstream organizations will expand the resources available to serve your community. Collaboration helps to strengthen your organization. And this also benefits your community. If your organization is weak and unstable, it won't be around long enough to truly make a difference for refugee families.


---

#### Collaboration with Mainstream Enlarges Pie for All

One youth-focused MAA in the District of Columbia became concerned that young people in the community had nothing to do after school, and the schools were not providing adequate programming. Through meetings with Latino and African-American youth organizations, the MAA's leadership found common concerns. Once these issues were brought to the attention of key foundations, a group of concerned stakeholders came together to improve services to children and youth in the District. Out of a year-long convening of young people, parents, caregivers, service providers, community leaders, school officials, corporate partners, foundations and federal and District government officials, the idea for a new entity was born. As a result, in June 1999 the Children and Youth Investment Trust was set up with city and private funds, to increase the quality, quantity, and accessibility of services for children, youth, and families in the District of

Columbia. Today — because people worked together, across language and cultural differences — all the groups can access new resources to meet the needs of their respective populations.

---

*Example* 

### **3. Preparing for Project Collaboration**

One important kind of collaboration is running a joint project. This usually involves finding partner organizations, deciding on roles and responsibilities, preparing a joint proposal, and then implementing the funded project together. To be well prepared for the process, you need to know what you want to accomplish by collaborating, and what you need to know and do to arrange the right collaboration for your MAA and community.

Your MAA can become part of a collaborative project in several ways. Your MAA can come up with an idea and approach another organization, or you can be approached by another organization about collaboration. Sometimes, through conversation, your MAA and another organization might identify a shared need and decide to do something about it together. Or, your MAA can join an existing collaborative.

While the benefits of collaboration are many, this does not mean your MAA should seek just any partner or “say yes” to any invitation to collaborate. Before you build or agree to be part of a collaborative project, you need to spend some time talking internally about what you want out of the project and what you have to offer. As with all other aspects of resource development — from writing proposals to developing relationships with donors — being able to clearly articulate your MAA’s values, vision, mission, and goals is critical.

#### ***Questions to Ask Before Initiating Collaboration***

When your MAA is thinking of initiating collaboration, ask yourselves:

- ◆ What are we good at?
- ◆ Why are we unique?
- ◆ What do we have to offer?
- ◆ How will a particular collaborative project benefit our community?
- ◆ How will it benefit our organization?
- ◆ What role can we play in a partnership, given our capacity?
- ◆ What kind of commitment — in terms of time and resources — are we willing to make?

- ♦ With whom do we want to work?
- ♦ What kind of structure are we looking for? Do we want to be the lead agency or do we need to find one?

Be very clear about the resources — especially knowledge, skills, expertise, experience, and relationships — your MAA brings to the table. Don't underestimate what you have to offer. Your MAA brings cultural expertise, diversity, and a community connection — all of which are worth a tremendous amount. If you can clearly articulate your worth, your potential partners will see that they need you as much as you need them.

### ***Questions to Ask When Another Organization Asks You to Collaborate***

When another organization approaches your MAA and invites you to be part of a collaboration, ask yourselves:

- ♦ What is the other organization offering and what is it asking for?
- ♦ Is this a relationship we want to build?
- ♦ Will the project benefit our community? How?
- ♦ Is the lead agency an organization we can trust? Are we comfortable working with its representatives?
- ♦ Is this collaborative “high risk”? In other words, how likely is the project to be successful, and if it isn't, could it hurt our MAA?
- ♦ What do we want for our MAA out of the partnership?
- ♦ What should we ask for? (For example, how much funding should our MAA ask for and how significant a role do we want in the effort?)
- ♦ What bargaining power do we have to get what we want?
- ♦ What is being asked of our MAA? What expectations does our potential partner have for our investment in the collaboration?
- ♦ If the project is funded, will our MAA be a subcontractor? How will decisions about the project be made?
- ♦ How confident are we that the partner agency or agencies will live up to their commitments?
- ♦ What are the respective costs and benefits of engaging in this collaboration?

Your MAA not only needs to ask itself some tough questions, you also need to do your homework and research your potential partner(s). Do this both by meeting with your leadership and by asking other groups who might be familiar with the organization.



## ***Finding the Right Partners***

Whether you are going to collaborate with another MAA or a mainstream organization, you should make sure your potential partner(s):

- ♦ **Shares your MAA's commitment the community.** It's not necessary for you to find a partner whose mission matches yours. But you want to make sure that the organization's mission is compatible with yours and the organization is committed to helping and empowering the community. For example, an organization might have a mission that is focused on housing — which is different from your MAA's mission of assistance to refugees — but is committed to ensuring that all low-income families have access to decent and affordable housing, which is quite compatible.
- ♦ **Believes in the value of community involvement and is willing to listen to the community.** Any potential partner should also be willing to listen to community members, actively seek their input, and implement their ideas.
- ♦ **Is not a direct competitor.** If a potential partner's mission is too similar to your MAA's mission, it may see you as a competitor. For example, it may be harder to collaborate with an organization that is competing with you for refugee money. You don't want a partner that might use your MAA to gain experience working with your population and then hire its own staff to provide the same services. On the other hand, by pursuing collaboration, two similar organizations might be able to find the solution to perceived competition. In working together, "competitors" could find that they have different strengths and expertise and might be able to find ways to "share the turf."
- ♦ **Is an organization you can trust.** Honesty and integrity are among the most important characteristics of a potential partner. Your MAA has to be able to trust the actions and intentions of its partners. One sure sign of trustworthiness is a willingness to talk openly about self-interest. A potential partner that is not willing to discuss what it wants out of a project may be an organization you can't trust in other areas. Stay away from groups that don't have a good reputation as organizations or as collaborative partners.
- ♦ **Wants to help build your capacity.** An ideal mainstream partner is one that cares about your development, wants to help build your capacity, and respects the role you play as an organization that is accountable to your community. An ideal MAA partner is one that has complementary skills and capacities. You want to find a partner that recognizes that your MAA brings something it needs — such as the ability to reach a population it doesn't have the capacity to serve alone — but also wants to see your MAA succeed. You want to avoid working with an organization that feels threatened by your success.
- ♦ **Is willing to give your MAA credit and visibility.** You also want to make sure that a partner — MAA or mainstream — is willing to share credit and to offer your MAA opportunities to increase its visibility with stakeholders

(such as funders, other mainstream organizations, other government agencies, and so forth). You want to avoid a mainstream partner that might parade you around to get the grant, then marginalize you when it comes to decision making and funding. You also need to avoid an MAA partner that wants all the credit.

- ♦ **Has a track record and is well managed.** Just because an organization has more staff and a bigger budget does not mean it is well run. Look for an organization that has a solid reputation. A solid partner will be committed to taking the time needed to work with you to plan, develop a shared vision, and agree on roles and responsibilities. Whether an MAA or a mainstream organization, it should have the capacity to follow through on assigned tasks and responsibilities.

The ideal relationship is one in which you both benefit. If the relationship is with a mainstream organization, your MAA should gain experience and a track record in a new program or service area, and the mainstream organization should gain experience working with a new population, and enhance its own reputation by mentoring an emerging organization. If the relationship is with other MAAs, you should all be stronger and more effective because you are working together. If all partners don't benefit in some way, the collaboration will not work.

#### **4. Building Relationships with Mainstream Organizations**

Suppose you want opportunities to work with mainstream organizations, but you aren't sure how to find and choose mainstream partners. Remember that the best potential partners are the ones you know well and with whom you already have strong, informal relationships. So first, look within your networks to see what organizations have been helpful to you and what relationships you have already begun to develop.

##### ***Finding Mainstream Organizations with Whom to Work***

You MAA can develop fruitful partnerships with many kinds of mainstream organizations. Don't limit yourself to refugee-focused organizations. Think about non-traditional partners — such as organizations that provide programs and services in areas that affect your ethnic community but haven't worked with your community because they don't know about it and/or don't have the cultural competence. Use the collaboration as an opportunity to expand your expertise and build relationships with new partners. Think about state-level and national refugee and immigrant organizations as well.

Numerous national organizations work in the different service arenas listed in the next Helpful Hint and have local affiliates in many cities. These include organizations like the American Red Cross, Big Brothers/Big Sisters, Boys and Girls Clubs, the Urban League, and the YMCA. Local Red Cross chapters, for exam-

*Helpful Hint*



**Look Beyond Traditional  
Refugee and Immigrant  
Groups**

In every community, there are organizations that provide the following kinds of programs and services, all of which could benefit refugees and immigrants:

- Affordable Housing
- Arts and Culture
- Community Development
- Early Childhood Education
- Emergency Assistance
- Employment and Training
- K-12 Education
- Disability Services
- Domestic Violence
- Elderly Services
- Family Counseling and Support
- Health Care
- Youth Development

ple, often teach first aid classes. This could be a wonderful resource for a youth program or a women's empowerment program.

One way to meet these organizations is to be active and visible within the non-profit sector of your community. Most communities have a variety of nonprofit coalitions, consortia, networks, or task forces that exist to facilitate information sharing and coordination among nonprofits. Your MAA may already be member of your city's refugee/immigrant coalition. But there may also be a broader human services coalition or youth services coalition, for example, which you may want to join. Find out if there is an association of nonprofit organizations in your community or if your local government has a nonprofit support office. Get yourself on their mailing lists.

---


**Finding Mainstream Collaborators**

To find mainstream organizations for possible collaboration, try going to the home page of your local government. City and county governments often reach out to and offer a variety of support to nonprofit organization through an office of community partnerships.

To find out if there is a nonprofit association in your community, go the website of the National Council of Nonprofit Associations at <[www.ncna.org](http://www.ncna.org)>. There's a place you can "click" for a state-by-state listing of nonprofit associations that exist to assist the nonprofit sector. Also look for nonprofit support or assistance centers. Contact such organizations to find out if they host any regular networking meetings and what kinds of help they offer.

A good place to get a listing of nonprofit organizations, as well as networks and coalitions in your community, is through your local United Way. Go to <[www.unitedway.org](http://www.unitedway.org)> and type in your zip code to find your local United Way.

---

*Example* 

## ***Finding Common Ground***

Sometimes moving beyond the refugee service-providing network can be intimidating. You'll need to figure out how your constituency's issues dovetail with issues faced by the larger minority and mainstream populations. For example, MAAs who serve refugee women can team up with mainstream women's groups in the community around shared concerns such as equal opportunity/equal pay, domestic violence, family planning, etc.

For most service-providing MAAs, however, this step will not be automatic. You will need to find new ways to talk about your needs. An MAA concerned over the lack of decent, affordable housing for refugees might link that need with the larger community's interest in providing for the homeless. It helps if you can find a way to articulate your community's needs in terms that are easily understood by people outside the refugee resettlement network.

You may think it's difficult to translate your own ethnic community's needs into mainstream terms, or you may wonder what the appropriate terms are. Don't worry. From listening to people in your larger community, you already know their concerns. Stories highlighted in the media can give you more clues. Remember that everyone's basic needs are more or less the same. When people hear your community's stories and see evidence of your commitment, they will want to help.

## ***Finding Networks and Coalitions***

Once your MAA has identified several issues that are also of concern to the mainstream community, you'll need to locate the networks and coalitions that may already be working on your newly defined issues. Several good places to start are:

- ◆ Other ethnic community-based organizations
- ◆ Your Mayor's (or County Executive's) office
- ◆ The District Office of your Congressperson
- ◆ Your Governor's office — work through your state's Refugee Advisory Council
- ◆ Your local Community Foundation or United Way
- ◆ Your Chamber of Commerce

## ***Building Collaborative Relationships***

There are two ways to go about building collaboration with a mainstream organization. The first approach is to simply build relationships over time by "being at the same table" with mainstream organizations and, as you get to know each other, see what emerges. For example, an MAA in Southern California joined an early childhood coalition. When a mainstream service provider in the coalition

got a grant to do outreach to underserved populations, it called the MAA and asked if it would like to be involved in the project.

The second approach is more pro-active. Start a conversation with a mainstream organization you have identified, by simply picking up the phone and asking to meet. This is a lot easier if you've already established a relationship by being at the same coalition or task force meetings. Even if you don't have an existing relationship, but know the organization's work and see a potential fit, it's perfectly acceptable to pick up the phone and call, introduce yourself, and ask for a meeting. If you do not have any existing relationship, explain that you would like to learn more about the organization, share information about your work, and see if there are ways in which you might work together. Come to the meeting prepared to show that you are ready to offer support as well as ask for it.

For a first, "get to know each other" meeting, don't feel you need to come into the meeting with a specific or detailed project idea or proposal. However, it would be helpful to do some thinking first before you meet. Consider the following:

From what you know about the organization:

- ♦ How might you work together?
- ♦ What kinds of programs and services does the organization offer that could benefit your community?
- ♦ How can working with your MAA benefit the mainstream organization — what can you offer?

Once you begin to explore some ideas, here's some advice:

- ♦ **Start small.** If you think this is an organization with which you might want a long-term relationship, start small. Discuss small projects you might do to "try out" working together. Before you launch a joint program, it might make sense to sponsor an event together. Maybe it's a health care organization that has an annual health fair you could co-sponsor, for example.
- ♦ **Be clear about your interests and needs.** A good partner will be direct about its needs and capacity, and most importantly, what it wants to get out of the partnership. You should be equally clear and direct. That way, you can decide whether it makes sense to work together. Then you can agree on common interests and each organization's roles and responsibilities as you work together.
- ♦ **Be clear on how much you are willing to do for free.** Sometimes, it might make sense for your MAA to offer some free assistance to a mainstream organization. For example, you might offer to do outreach to your community for a mainstream organization's training program if you will benefit in other ways, such as by increasing training opportunities for your clients. You may also build new relationships and gain credibility, knowledge, and experience. Unless the benefits are large, do things free *only* if there is a sense of "reci-

procity” from the start. If the MAA is doing things for free, so should the mainstream organization!

Remember: Collaboration takes work. And it is hard to work across cultural, racial, and socio-economic differences.

Coalition work can be especially demanding. When you collaborate on a specific project, you can identify the potential direct benefits — funding and services. When you join an information-sharing or advocacy coalition, the immediate benefits are less obvious. Coalition members need time to get to know one another personally, to understand their differences and find out what they have in common. Every member will have his or her own set of organizational and constituent agendas. That’s OK — the point is mutual respect and willingness to listen and find the level of trust and commitment necessary to “agree to disagree.”

This process of working to build understanding within diversity takes time. Your MAA’s Board will need to think carefully about whether or not your MAA is ready to invest the time and energy it takes to work in coalition with “beyond refugee” networks. You may want to use the attached “Building Relationships” worksheet to determine whether or not joining a coalition is the best use of your time right now. (See the attachment at the end of the chapter.) Don’t begin the process unless you believe you plan to continue it for a considerable period of time — try it for at least six months. Otherwise, you aren’t likely to gain major benefits. And if you join a coalition and then don’t meet your commitments, you can harm your MAA’s credibility and reputation.

### ***Choosing a “Lead Agency”***

Sometimes your collaborative includes three or more groups. Then you need to think carefully about choosing the right “lead agency.” When you apply for funding, one organization needs to be the lead agency — the official grantee that then subgrants funds to the other partners or manages their grants if they are not tax-exempt. Often, this is the largest organization or the one with the most experience — often a mainstream organization.

What if your MAA has come together as an equal partner with several other MAAs and none of you has a lot of experience serving as a lead agency? Someone has to take on the lead agency job and be legally accountable for project management and finances. Or what if you are worried about competition among the partners? If one of the MAAs plays the lead agency role, it is no longer “an equal partner” but in fact has extra responsibilities and authority. You may decide you need a “neutral” organization to serve as the lead agency — a group that is not a direct competitor (perhaps it does not primarily serve refugees) but does have strong management capacity. Ask it to serve as the lead agency and perhaps as fiscal sponsor if some of the MAAs do not have their tax-exempt status. The right lead agency can increase your likelihood of funding, and can also serve as a mentor to the MAAs once the collaborative is funded.



#### *Helpful Hint*

Sometimes you need another organization to serve as lead agency because your MAA does not yet have its 501(c)(3) status. That means the lead agency will not only be the grantee. It will also be the fiscal sponsor, responsible for managing the grant funds. For more information on fiscal sponsorship, see the attachment at the end of Chapter 5 — “Proposals.”

## 5. How to Avoid Getting Taken Advantage of

This situation might be familiar to your MAA.

You are approached by a larger, mainstream organization and asked to provide a “support letter” for a proposal. You were not invited to be part of the planning for the project, you were given little information about the proposal, and you are never informed whether or not the organization got the grant. Or, the organization calls you when it gets the grant and tells you what you’ll be doing as part of the project.

As several MAAs have commented, the key question is: “How do we avoid getting swallowed up or taken advantage of?”

---

### Partnerships

Often in partnerships, organizations with greater capacity will operate in such a way as to maximize their own benefit. They can do this because they have more staff time for follow-up and grantwriting. They also have stronger established relationships with elite decision makers. And often they are the lead agency, which means they are the legal grantee.

*What does this mean for your MAA? It means your MAA needs to:*

- ◆ Be clear about each partner’s roles.
- ◆ Ask for a written memorandum of understanding.
- ◆ Develop a trusting relationship before collaborating on a funded project.
- ◆ Be clear about the value of what you bring to the table — don’t undervalue your own assets or do too much for too little.
- ◆ Stand up for other MAAs and encourage friendly partners to do the same if and when an MAA is being unfairly treated.

---

### *Example*

**Ask questions.** Above all, when your MAA is approached by a mainstream organization and asked to provide “a letter of support,” don’t be afraid to ask questions or to make requests. When the organization first contacts you, clarify the following: Are they asking for a letter of support or a letter of commitment?

- ♦ A **letter of support** is simply a letter that states that your MAA believes the work of the organization is important and valuable to the community and you recommend the project be funded. It simply shows a funder that others in the community know and value the work of the organization. A letter of support does not mean that your MAA will receive funding or other direct benefits if the project is funded. Hopefully, your community will benefit from the services provided.
- ♦ A **letter of commitment** states that if the organization receives funding for the project, you will provide or do X, Y, Z. If someone asks you for a letter of commitment, that means your MAA is written into the proposal. And that means you have the right to know what the overall project looks like and what you are committing to do. Are you being asked to provide services to the project clients? If so, will you receive a subgrant to pay for this work, or are you expected to provide these services through your own funding?

**Get information.** If the organization is in fact asking for a letter of commitment, ask for a copy of the proposal and ask to meet. If it turns out the organization is asking for a letter of support only, you have the perfect opportunity to initiate a conversation about future collaboration. If a mainstream organization is asking you for a letter of support, it must consider your MAA and/or the community you represent important enough to want to show a funder it has your support. Again, ask to meet.


---

Questions to Ask ...

**When a Mainstream Organization Wants a Letter of Commitment**

- ♦ What role will your MAA be playing in the project?
- ♦ How much (if anything) has been budgeted for your MAA? What will be the basis for payment — a fixed amount, a set amount per client served, or what?
- ♦ If your MAA is a subcontractor, what level of autonomy will you have?
- ♦ Will your MAA have authority to run your part of the project?
- ♦ Will you get to hire your own staff?
- ♦ Who will your MAA report to and what are the reporting requirements?

---

*Example* 



**Get a commitment before you make a commitment.** If your MAA will be a subcontractor on a project, ask for a Memorandum of Understanding before you give the organization a letter of commitment. Never sign anything that does not specify a dollar amount and clear roles and expectations. If the group says: “We’ll talk about money later,” that’s not a good sign. Ideally, you want to be involved before key decisions about programs, roles, and budgets have been made.

Even if you have provided only a letter of support and not a letter of commitment, you should still follow up with the organization that requested your letter to find out if the project was funded. Even if you are not a formal partner in the project, the project could still benefit your community and you have every right to be kept informed of its progress.

## **6. It’s a Logical Process**

Let’s say you’ve done your homework. You’ve thought about what you want from a collaborative relationship with another organization. You’ve learned about and begun to develop relationships with different organizations. You’ve met with an organization and identified a mutual need, interest, and opportunity to develop and implement a project together. You have agreed on who will be the lead agency, what roles you each will play, and how you will make joint decisions about the project. Your MAA and your collaborating partner are committed and ready to move forward.

Now what do you do? At this point, you go back to Chapters 4 – “Logic Model” and 5 – “Proposals.” You can use the Logic Model to plan the collaborative project and follow the same steps as for preparing a proposal. With a collaborative project, the most important difference is that you need to spend more time thinking through and very clearly defining the roles and responsibilities of the partners. Building a collaborative project takes more time. You might not always agree with your partner on the best way to go about something and you’ll need to be prepared to negotiate. Collaboration can sometimes be stressful. The most important thing is to “keep your eyes on the prize” and remember why you are collaborating – for the benefit of your community!

## For More Information

---

### *...in the Library*

These two books from the Amherst H. Wilder Foundation can be ordered online at <[www.wilder.org](http://www.wilder.org)>.



**Mattessich, Paul, Marta Murray-Close, and Barbara Monsey. *Collaboration: What Makes It Work*, 2<sup>nd</sup> Edition. St. Paul, MN: Wilder Publishing Center, 2001. 104 pages, \$29.95, plus shipping and handling.**

Provides practical information about what makes collaborations successful.

**Winer, Michael and Karen Ray, *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. St. Paul, MN: Wilder Publishing Center, 1994. 192 pages, \$37.95, plus shipping and handling.**

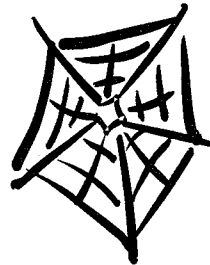
A comprehensive guide to establishing and maintaining a collaborative.

### *....and on the Web*

**Leader to Leader Institute's "Meeting the Collaboration Challenge"**

<[www.leadertoleader.org](http://www.leadertoleader.org)>

Formerly the Peter F. Drucker Foundation for Nonprofit Management. "Meeting the Collaboration Challenge" workshop covers the preparation, planning, and development required for successful nonprofit and business alliances. The workshop is designed to take place through telephone conferencing, with a small amount of self-paced instruction and homework required in preparation for conference calls.



**National Council of Nonprofit Associations**

<[www.ncna.org](http://www.ncna.org)>

Use this website to find the nonprofit association in your state. These associations typically are part of networks and coalitions and provide support to the nonprofit sector. For example, member nonprofits can often purchase staff health insurance through the association, even if they have only one or two staff.

**United Way of America**

<[www.unitedway.org](http://www.unitedway.org)>

Use the national website to identify the local United Way in your area.



**Attachment**

1. Exercise: Building Relationships with Mainstream Networks

## Exercise

# Building Relationships with Mainstream Networks

### Purpose:

To assess your MAA's readiness for working in coalition with mainstream, issue-based, networks.

### Instructions:

Call a special meeting of your MAA's Board (perhaps with key staff and volunteers present) to work out your MAA's plan for joining forces with mainstream networks and issue-based coalitions. Before the meeting, send out this chapter, or at least Section 4 "Building Relationships with Mainstream Organizations." You may also want to consider inviting someone with strong meeting facilitation skills from an existing coalition to help your group through this process. Or, recruit a trained facilitator from within your own community.

1. On a blackboard or flip chart, list your population's needs and interests.
2. Take some time to prioritize your list of issues.
3. Talk about the ways your top priority issues might match concerns of the mainstream community.
4. Do a brainstorming session on "who knows who" to identify existing contacts with mainstream organizations or networks — from the United Way to the Mayor.
5. Based on interests and contacts, ask each Board member to take responsibility for a particular issue.
6. Outline specific tasks and agree upon deadlines for their completion. Your networking research plan might look something like this.

Task	Deadline	Status
Listen to people and watch the media to see how your chosen issue might be articulated to the broader community.	Weeks 1-2	
Find out how your issue is being dealt with by the larger community (agencies, coalitions, etc.).	Weeks 3-4	
Attend coalition meetings or visit the agencies dealing with your issue.	Weeks 5-8	
Summarize your findings for presentation to the group.	Week 9	



7. Two months after your initial meeting, organize a session so everyone involved in this exercise can come together and brainstorm which coalitions or mainstream networks your MAA might want to invest in. If the Board decides any coalitions or networks are worth joining, be sure the Board assigns a *Board representative* to attend regularly, and keep both the Board and the MAA staff/volunteers informed of results and opportunities.
8. Set a decision-point deadline six months after the initial meeting. Ask each Board member to assess the advantages and disadvantages of ongoing participation in his/her chosen coalition or network. Based upon that information, the Board can make policy decisions and set up the MAA's networking plan for the coming year.



# Appendices



# Chapter Contents

---

## Appendices

Appendix A: Glossary of Terms .....	A-1
Appendix B: Bibliography .....	B-1
Appendix C: Sample Proposal .....	C-1
Appendix D: Foundation Center Cooperating Collections .....	D-1



## Appendix A

---

## Glossary of Terms

This glossary provides practical summary definitions and descriptions of many terms associated with nonprofit organizations and resource development. Where terms have more than one definition or use, the definition provided here is one that is considered useful to MAAs in resource development and related activities. These definitions are designed to be as clear and “plain language” as possible. Often, the chapters provide additional information and examples related to these terms.

**501(c)(3)**

The section of the U.S. tax code that defines nonprofit, charitable, tax-exempt organizations; term also used to describe organizations that fit that section of the Code. A 501(c)(3) organization is also called a “public charity.”

**Accountability**

For a nonprofit organization, demonstrated responsibility for both the appropriate use of resources and the sharing of information about programs and finances with donors, clients, and the public. Includes the responsibility to keep a donor informed about both the use that is made of the donor’s gift and the cost of raising it.

**Activities**

What a program does with its resources to fulfill its mission. The processes, tools, events, technology, and actions that are an intentional part of the program implementation.

**Agency guidance document(s)**

Documents issued by most federal agencies that apply to both their discretionary and formula grants. These guidances provide direction to grantees on how programs should be run and program resources used. The guidances are designed to ensure that grantees follow the intent of the legislation that authorized the program and meet agency priorities for program implementation. Some federal agencies refer to their Requests for Proposals as “Program Guidances.”

**Annual budget**

A plan of financial action. A budget represents the organization’s blueprint for the coming year expressed in monetary terms. It specifies projected revenues by source and projected expenses by project or activity and by type of expense (e.g., salaries, rent).

**Annual campaign or annual giving**

An organized effort to raise money from individuals every year, often at the same time of year, through sending a letter, making phone calls, and/or visiting potential donors and asking in person.

**Annual report**

For a nonprofit organization, a report that documents the organization’s programs, activities, and accomplishments during the past fiscal year. Also provides financial information such as revenues, expenditures, funding sources, and the organization’s financial position.

For a foundation or corporation, a voluntary report that provides financial data and descriptions of its grantmaking activities. Sometimes provides considerable information about grantmaking programs, such as funding priorities and application guidelines.

**Anticipated benefit(s)**

Information in a proposal that describes what is special or unique about the project and how it will have positive results and impact, both on those who receive direct services, or assistance on the broader community.

**Application procedure(s)**

Section of a Request for Proposals (RFP) or Program Guidance that tells applicants the proposal outline or format to be followed, and what information to include in each section.



### **Articles of incorporation**

Legal incorporation document for a nonprofit organization, submitted to the appropriate state agency when the organization files for incorporation as a nonprofit corporation. Specifies the mission, basic structure, and policies to meet legal requirements for such organizations.

### **Assets**

Any item of economic value owned by a corporation, especially one that could be converted to cash. For any nonprofit organization, resources and property the organization owns and can use to work toward its mission.

For a foundation, the amount of capital or principal — money, stocks, bonds, real estate, or other resources — controlled by a foundation or corporate giving program. Generally, assets are invested and the resulting income is used to make grants.

### **Audit**

An independent examination and verification of a company's financial and accounting records and supporting documents by a professional, such as a Certified Public Accountant. An independent review of an organization's finances and financial management by a public accounting firm or Certified Public Accountant (CPA), primarily to determine whether legal requirements and accepted accounting and oversight standards have been met and provide an external assessment of the financial health of the organization. Nonprofit organizations are typically expected by private donors to obtain independent audits every two years. Nonprofit organizations that receive federal funds are often required to obtain annual audits and may be subject to other audit requirements, depending upon the amount of funding received. These audits are required to make sure that federal dollars have been spent properly on legitimate costs.

### **Audit exception**

An audit problem or evidence found in an audit that indicates that a project expense or activity was not properly handled by the organization's management. This might be an expense that is not allowable under funding guidelines, cannot be allocated to an available cost category in the budget, and/or is not reasonable.

### **Block grant or formula grant**

A flexible form of federal grant that provides money to states, cities, or counties for them to distribute to charities and other social service providers or spend directly, usually under their own rules and regulations. Block grants are generally for broad categories of activities. Grant amounts are based on some kind of formula such as population size or percent of population in poverty, rather than competitive applications.

### **Board of Directors or Board of Trustees**

The governing body of a corporation or foundation which, by the authority of its articles of incorporation and bylaws, controls and governs the affairs of the organization.

### **Budget**

Financial planning and monitoring tool that specifies the projected revenues and expenses of a project or organization, broken down into various categories.

### **Budget justification**

Detailed presentation of the purpose and breakdown of every cost category.

### **Bylaws**

Official document defining a nonprofit organization's purposes, structure, and governance, including the procedures and responsibilities for choosing the Board of Directors, conducting meetings and other business, and receiving and managing funds. Adds process and detail to the basic structure stated in the Articles of Incorporation. Typically adopted and revised by the Board of Directors or, for membership organizations, by the membership.

### **Capability statement**

Statement of a nonprofit organization's history, accomplishments, experience, and resources, designed to demonstrate its capacity to carry out programs or activities. May be broadly stated or tailored to show capacity in a particular program area or location, as part of a specific proposal.

### **Capital campaign**

An organized effort to raise money to buy something that has significant and lasting financial value, such as a headquarters building for your organization or renovations to a building you already own, or to establish an endowment.

**Capital support**

Funds provided for such purposes as buildings, construction, or equipment, or endowment funds.

**Case statement or general support proposal**

Proposal for flexible funding (unrestricted grants) that can be used for any charitable purpose. Describes the overall goals and programs of your organization and asks for funding to support your overall work rather than a specific project.

**Central Contractor Registry**

Government's centralized location for grant applicants and grant recipients to be registered with the federal government — <[www.ccr.gov](http://www.ccr.gov)>.

**CFDA number**

Number assigned to a grants program listed in the *Catalogue of Federal Domestic Assistance*, which lists all federal grant programs. A nonprofit organization can search for grant opportunities using the CFDA number and usually must insert the number on the face sheet of its federal grant applications.

**Coalition**

An alliance of individuals and/or organizations working together for a common purpose, from information sharing to joint project implementation or advocacy. Typically formed and maintained because joint action makes more efficient and effective use of member resources and capacity than working independently.

**Collaborative**

A mutually beneficial and well-defined relationship entered into by two or more organizations to achieve results they are more likely to achieve together than alone. Term is often used when several organizations jointly seek funds for and implement service programs.

**Combined Federal Campaign (CFC)**

A workplace-based fundraising mechanism. An annual fundraising drive conducted by federal employees each fall, in which they choose nonprofit organizations registered with the CFC to receive their donations. The public agency withholds the donated funds from the donor employees' paychecks and gives the funds to the entity coordinating the Campaign, which then transfers the money (minus administrative costs) to the selected recipient agencies.

**Community Action Program (CAP)**

A national program with private, nonprofit community action agencies in almost every state that receive federal funds earmarked by county for programs to reduce poverty. Originated with the War on Poverty.

**Community foundation**

A type of grantmaking foundation that exists to benefit a particular geographic community. Its funds usually come from many donors and are held in an endowment that is independently administered; income earned by the endowment is then used to make grants. Most community foundations are public charities and are thus eligible for maximum tax-deductible contributions from the general public.

**Company-supported foundation or corporate foundation**

A private foundation whose assets come derived primarily from the contributions of a for-profit business. While company-sponsored foundations may maintain close ties with their parent companies, they are independent organizations that may have their own endowment and must follow the same rules and regulations as other private foundations. They tend to make grants in areas where the corporation operates, and in fields related to corporate activities.

**Constituency**

The people or groups a nonprofit organization cares about, serves, and feels accountable to.

**Constituency group or support group**

Group of individuals or organizations other than staff and volunteers that value and support the organization's work, and will speak out or work on its behalf.

**Cooperative agreement**

A type of government funding mechanism that is less flexible than a grant but more flexible than a contract. In a cooperative agreement, the group receiving the funds and the public agency work cooperatively together to accomplish the agreed-upon objectives. This means that the agency has a continuing voice in program implementation.

### **Core proposal**

Proposal for partial funding of a "core" activity of a nonprofit organization, such as its youth services, education programs, services for women, or another basic program area. Funding is restricted, but the range of activities is wider than for most project proposals. A core proposal helps reduce the problem of writing many smaller project proposals that take a great deal of time to prepare and may receive only partial funding.

### **Corporate giving program**

A grantmaking program established and administered within a for-profit corporation. Because corporate giving programs do not have separate endowments, their annual grant amounts usually depend on the level of company profits. Corporate giving programs have more limited reporting requirements than foundations.

### **Cost sharing or matching funds requirements**

Requirement by some public and private funding agencies and programs that applicants pledge to obtain a certain level of financial support for a project (in cash or non-cash resources) from sources other than the primary funder. For public programs, the Request for Proposals or Program Guidance will specify the type and amount of cost sharing required. Some foundations and corporations make grants that require a match, and may specify that the funder will provide \$1 in matching funds for every \$1 raised from other sources, up to a specified maximum amount.

### **Credibility**

The extent to which an organization is considered to be knowledgeable, competent, honorable, and an authentic voice of its geographic community or its community of interest (such as its ethnic community).

### **Direct costs**

Costs associated with — and required for the successful implementation of — a specific program or activity. They can include many cost categories, from salaries and fringe benefits to operating costs such as the space occupied by project staff and clients and program-related equipment and supplies.

### **Direct mail solicitation**

Method of requesting donations, usually from individuals, through letters or other fundraising materials sent by mail.

### **Discretionary grants**

Grants provided directly by a federal agency to a grantee such as a local MAA or other nonprofit organization.

### **Donor acquisition**

Process of finding and getting a first gift from ("acquiring") new donors or contributors.

### **Donor development**

Once donors have made their first contribution, the ongoing process of building a stronger relationship with them, so they will keep contributing, increase the amount of their gift, and perhaps help identify other donors.

### **Data Universal Numbering System Number (DUNS)**

Unique nine-character identification number provided by the commercial firm Dun & Bradstreet (also known as D&B). Nonprofit organizations are required to obtain these numbers as a condition of submitting or receiving some federal grants.

### **Endowment**

A pool of funds intended to be invested permanently, to provide income for the continued support of a nonprofit organization. Generally, the organization spends only the endowment income, not the funds that were invested (the "principal").

### **Evaluation**

A systematic process of determining the quality, efficiency (task completion), and/or effectiveness (results and long-term impact) of a project, broader program, or organization. Performance may be measured against stated goals and objectives, work plans, and broader performance standards. Results generally used both for reporting to donors and for program improvement.

### **Evaluation plan**

Describes how an organization plans to monitor project activities and evaluate the extent to which it is meeting outcome objectives.

**Faith-Based and Community Initiative**

A White House Initiative under President George W. Bush to support the work of grassroots organizations including faith-based entities. Designed to make sure that grassroots leaders can compete on an equal footing for federal dollars, receive greater private support, and face fewer bureaucratic barriers.

**Faith Based and Community Initiative Centers**

A center at each of the seven federal agencies participating in the White House Faith-Based and Community Initiative. Centers are committed to reducing the barriers faced by small grassroots organizations when they apply for federal money.

**Family foundation**

An independent private foundation whose funds come from members of a single family. Family members often serve as officers or Board members and have a significant role in grantmaking decisions.

**Federal Register**

A daily publication of the federal government that lists most federal grant opportunities. Also publishes other information such as proposed and approved regulations governing federal programs. Can be accessed on the Internet at <[www.gpoaccess.gov/fr/index.html](http://www.gpoaccess.gov/fr/index.html)>.

**Fee for service**

Funds paid to an organization for services it provides to clients, public agencies, or other individuals or entities. If the fees are greater than the costs of providing the services, the surplus may be used — depending upon specific agreement — either for similar project activities or as general support for the organization.

**Financial reporting requirement(s)**

Description of required financial reports that must be submitted to a funding source, to understand the project's funding status and help ensure that grant funds are being used as specified. Usually includes monthly or quarterly reports on how restricted grant funds have been used, comparing budgeted to actual expenditures. Funding agency often specifies a reporting format. May also include submission of the organization's overall financial reports.

**Fiscal sponsor**

Typically a 501(c)(3) tax-exempt organization that is willing to receive and manage funds on behalf of an organization that does not have its own tax-exempt status. It is the legal grantee and takes responsibility for managing and overseeing how those funds are spent.

**Fiscal year**

The accounting year of an organization, which may or may not be the calendar year.

**Form 990-PF**

The tax form that tax-exempt organizations including foundations are required to submit to the Internal Revenue Service each year. A public document that must be made available on request.

Foundations also submit this form, and it serves as a source of information for grantseekers about foundation assets, Board members, and grants made during the past year.

**Formula grant or block grant**

See *block grant*.

**Foundation guidelines**

Procedures for grantseekers set forth by a funder, usually including how to approach the funder to request a grant.

**Freedom of Information Act (FOIA)**

Federal legislation that gives any person the right of access to many federal agency records, including successful grant proposals and information about the federal review process.

**Funding diversification**

Raising funds from many different funding sources and from different types of funding sources (e.g., foundations, corporations, public agencies, individuals).

**General funds — states**

Funds within a state that are available to use as the Governor and legislature decide. Use is not limited by specific legislative requirements. Such funds may be more flexible and easier to obtain than funds granted to the state by the federal government.

**General purpose foundation**

Term used to describe foundations that have broad grantmaking interests. Most independent foundations have a broad charter or mission, although they tend to define priorities and target their actual giving more narrowly.

**General support proposal or case statement**

See *case statement*.

**Goal**

Statement of long-term desired project or organizational impact. Rarely reached in less than 5-10 years. It often takes 7-10 years and several programs to achieve a goal.

**Grantmaking priorities**

Program areas(s), fields of interest and geographic focus of a grantmaker.

**High-end donor(s)**

People who can afford to make big gifts — the people who are likely to make the largest donations to your organization.

**Impact**

In the Logic Model, fundamental intended or unintended change occurring in organizations, communities, or systems as a result of program activities within 7-10 years. In proposals, can be stated as your long-term goal(s). Usually not reached during the initial grant period.

**In-kind**

Non-cash resources (products, services, and professional time). In resource development, in-kind contributions such as equipment, supplies, professional services, donated office space, or other tangible resources, as distinguished from a monetary grant.

**Income generating or revenue-producing ventures**

Activities of the organization that generate funds to support its work, as distinguished from grant funds. Includes fees paid by clients, activities such as running a catering service or bingo, and fundraising events such as a car wash, dance, raffle, or annual awards banquet. The funds left after covering expenses are unrestricted and can be used like general support.

**Independent foundation**

Foundations that are typically established by a gift from a family or individual primarily to make grants.

**Indirect costs**

Those costs that are not easily identifiable with a specific program, but are necessary to the operation of the organization. These costs are shared among programs and, in some cases, among functions (program, administration/management, and fundraising). They are usually shown in a budget as a percent of total direct costs or as a percent of personnel costs.

(OMB definition: Costs that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective.)

**Input**

In the Logic Model, resources a program uses to achieve program objectives (staff, volunteers, facilities, equipment, curricula, and money).

**Learning organization**

An organization in which people at all levels — staff, Board members, and volunteers — continually, deliberately work as individuals and as a group to perform better and to reach a shared vision.

**Letter of commitment**

A letter written to or by a nonprofit organization that promises specific assistance with a project or activity. Often included in the appendix of a proposal to show that other agencies have promised to provide needed help to the project, sometimes with project funding and sometimes without any required reimbursement.

**Letter of inquiry**

A brief (2-3 page) letter to a potential funding source to request permission to submit a full proposal. Describes your organization and summarizes the project or activity for which you seek funding. A funder uses the letter of inquiry to determine whether or not the project fits its priorities. Many grantmakers prefer to be contacted in this way before receiving a full proposal.

**Letter of support**

Letter to accompany a funding application, stating that your organization considers the proposed project important and supports the applicant's request for funding. Shows a funder that others in the community know and value the work of the organization.

**Letter proposal**

Proposal in a letter format.

**Logic model**

Systematic and visual way to describe a program and show the relationships among the resources you have to operate your program, the activities you plan to do, and the changes or results you hope to achieve. Used for project planning, monitoring, reporting, and evaluation.

**Major gift**

Large donation, often raised through an organized effort to get current donors to give more and/or to locate high-end donors.

**Marketing**

A process of creating exchange relationships that help a nonprofit exchange something of value for something the nonprofit needs.

**Matching funds requirement or cost sharing**

See *cost sharing*.

**Media relations**

The function or process of gaining positive media attention and coverage.

**Memorandum of Agreement (MOA) or Memorandum of Understanding (MOU)**

A written agreement between two or more organizations that specifies the roles, responsibilities, and commitments of each party in implementing a proposed program. May also describe how the organizations will work together, required reporting and other communications, and other practical information. Signed MOAs or MOUs often included in the appendix of a grant application to demonstrate written commitment by partner agencies.

**Mission**

The stated purpose for your organization's existence. A statement of its chosen role in helping to achieve its vision — the organization's public promise.

**Needs statement or problem statement**

The section of a proposal that states and documents the problem to be addressed by the project or the community needs it will address.

**Nonprofit organization**

An organization that exists for educational or charitable purposes, not for the financial benefit of its Board of Directors or other individuals. All its resources are used to serve the public interest. See also *tax-exempt organization*.

**Notice of Funding Availability (NOFA) or Solicitation for Grant Applications**

Announcement by a federal agency that funds are available for a particular type of program through a competitive process. Usually refers interested people to a more detailed Request for Proposals (RFP), Program Announcement, or Program Guidance. NOFA is the term used for announcements made in the *Federal Register*.

### **Objective**

Statement of the desired results of a program or intervention, in measurable terms, with a time deadline (outcome objective) or of tasks that will be completed, in measurable terms, with a time deadline (process objective).

### **OMB Circulars**

Office of Management and Budget (OMB) documents that serve as letters of instruction addressing public questions or concerns that apply to all federal agencies. Of special interest to nonprofit organizations are OMB circulars that address allowable and unallowable expenditures, financial management and reporting requirements, and audit requirements.

### **Operating foundation**

A foundation that accomplishes its purposes primarily by operating its own programs rather than by making grants. Usually receives its assets from an individual or a small group of donors.

### **Operating budget**

An organization's basic financial planning document. It projects for a one-year period the revenues that will be received and from what sources, as well as how monies will be spent — whether for a specific project or for general operating expenses, and for what types of expenditure (for example, for salaries, rent, educational materials, etc.).

### **Organizational Message**

A description of the organization's mission, programs, uniqueness, and importance.

### **Outcome**

In the Logic Model, specific changes in program participants' behavior, knowledge, skills, status and level of functioning that occur as a result of organization's or program's inputs, activities or outputs.

### **Output**

Direct product of a program's activities.

### **Philanthropy**

The effort to advance human well being through charitable gifts. Philanthropy comes from the Greek word meaning "love of people."

### **Problem statement or needs statement**

See *needs statement*.

### **Program Announcement, Program Guidance, or Request for Proposals (RFP)**

See *Request for Proposals (RFP)*.

### **Proposal**

A written application, with supporting documents, submitted to a public agency, foundation, or corporate giving program to ask for funding.

### **Proposal review process**

The process used by grantmakers, public and private, to decide which proposals to fund. For public agencies, a highly structured process that often involves panels of external reviewers with special knowledge of the field. They review proposals against published criteria, share and discuss their assessments, and make joint recommendations to the agency about whether each application should be funded. The agency's senior managers review these recommendations and make final funding decisions.

### **Prospect**

Someone who might give money; a potential donor.

### **Public education**

Deliberate, systematic efforts to educate and inform the public and policymakers about specific community problems or the needs of specific populations and sometimes about the need for specific action.

### **Public foundation**

Foundation whose funds come from multiple sources including the public, as individuals, and from public agencies.

### **Public image**

The views about an organization or issue held by the general public.

**Public relations (PR)**

The strategic process of obtaining and managing publicity, including media coverage.

**Regional Association of Grantmakers (RAG)**

Nonprofit association of grantmaking institutions, primarily foundations and corporations, in the same geographic area, usually a metropolitan area, state, or broader region. Typically involved in a variety of programs and initiatives to encourage philanthropy, inform and educate grantmakers, and strengthen philanthropic practices in the region.

**Request for Proposals (RFP), Program Announcement or Program Guidance**

An announcement of the availability of funds for specific programs or activities, along with instructions to eligible organizations about how to apply for such funds. Both public agencies and private funders issue such announcements.

**Resources**

Includes the human, financial, organizational, and community resources a nonprofit organization needs to do its work.

**Resource development audit**

A systematic review and assessment of an organization's resource development needs, activities, and capacity, to provide the information needed to prepare a useful resource development plan.

**Resource development plan**

A written plan to guide a nonprofit organization's efforts to obtain needed funds and other resources. States resource development objectives and provides a detailed work plan including major tasks, activities, responsibilities, and timeline.

**Revenue**

All types of income — from all sources. This includes, for example, funds received through public grants, corporate contributions, foundation grants, individual donations and membership fees, income from fundraising events, and other contributions and earned income.

**Revenue-producing or income generating**

See *income generating*.

**Seed money**

Initial funding to get a new program started or test a new model or approach. Usually supports project development and start-up only, but makes it easier for the organization to raise additional funds for the project from other sources.

**Self-sustaining**

Able to generate internally — rather than through grants — all the funds required for survival and growth.

**Site visit**

Usually refers to a visit by a potential donor to a nonprofit organization's offices or program location, to see a project in operation or learn more about a program for which the organization has requested funding. Also used to describe a similar visit made after funding, so that the funder's representative can see firsthand how the funded project is operating.

**Solicitation**

Request for donations, usually made in person, by telephone, through the mail, or through e-mail.

**Solicitation for Grant Applications or Notice of Funding Availability (NOFA)**

See *Notice of Funding Availability (NOFA)*.

**Special event**

An organized function or activity designed to attract and involve people in an organization or cause — usually to raise money and increase visibility.

**Spokesperson**

Person speaking on behalf of the organization.

**Stewardship**

Leadership that maintains an organization's relationship and credibility.



### **Strategy**

Priorities, procedures, and operations necessary to meet goals and objectives and work toward an organization's vision.

### **Strategic planning**

The process by which leaders of an organization determine what it intends to be in the future and how it will get there. Involves developing a vision and goals for an organization's future and determining the necessary strategies to reach the vision. Assumes that certain aspects of the future can be created or influenced by the organization. An ongoing process requiring regular assessment and refinement based on the external environment as well as organizational capacity.

### **Support group or constituency group**

See *constituency group*.

### **Sustainability**

Capacity of a nonprofit organization to support and maintain its activities over time.

### **Target population**

Groups or types of individuals an organization intends to serve or assist.

### **Tax deductible**

Expense or contribution that is legally deductible in calculating income or other taxes.

### **Tax-exempt organization**

An incorporated nonprofit organization recognized by the Internal Revenue Service as being incorporated solely for charitable, educational, scientific, religious or literary purposes. The public can make donations to such an organization and deduct these donations from their federal taxes. Includes organizations that have tax-exempt status under section 501(c)(3) of the Internal Revenue Service Code.

### **Tax Reform Act of 1969**

Legislation that established many of the rules that foundations in the U.S. and nonprofit organizations need to follow.

### **Technical assistance**

Operational or management assistance given by an outside individual or entity to a nonprofit organization, usually to build its staff or Board capacity but sometimes to help it carry out necessary tasks. Can include fundraising, budgeting and financial planning, program planning, legal advice, marketing, governance, and other aids to management and/or to the Board of Directors.

### **Temporarily restricted revenues**

Funds that have been received from a funding source for a particular purpose, but have not yet been spent. For example, a foundation might award an MAA a one-year grant to provide services and give it the entire grant amount in January. Those funds would be shown as Temporarily Restricted on the organization's financial statements until the MAA spent them, so each month the amount of Temporarily Restricted Revenues would decrease based on project expenses. When the MAA has spent such funds for the approved purposes, they are shown as unrestricted.

### **Unified Registration Statement (URS)**

A process of registering a nonprofit organization so that it can legally raise funds and conduct other activities in a state other than the one in which it is incorporated. The Unified Registration Statement is a single form that is accepted in 36 of the 40 states that require registration. It covers registration but not annual financial reporting, which must still be done separately for each state.

### **Unrestricted gift/contribution**

A contribution to a nonprofit organization that can be used for any charitable purpose, without conditions or designation for a particular project or activity.

### **Values**

Statements about who the organization is and what it stands for, which guide decisions about priorities, programs, and actions. These are the beliefs or principles the organization holds dear, its internal guidelines for distinguishing what is right from what is wrong and what is just from what is unjust. It holds these principles tightly, and does not easily change them because of external pressures.

**Visibility**

The extent to which an organization's name and programs are known to people in its own neighborhood, to the broader community, and to people and groups of special importance to it, such as the media, potential funders, government officials, and other decision makers.

**Vision**

For a nonprofit organization, a description of the kind of community it is trying to help create — the ideal it is working toward. Also the image of what the community or the world would look like if the organization's values were widely adopted.

**Volunteer**

A person who works without pay or direct personal benefit, on behalf of an organization, cause, etc.

**Work plan**

A description, often in chart form, of how, when, and by whom a project will be implemented. Often includes information on objectives, major tasks and activities, responsibilities, and timelines.

## Appendix B

# Bibliography

Besides the resources listed at the end of each chapter, this bibliography contains materials considered useful to MAAs in resource development. In general, these materials provide additional information about subjects such as training opportunities, philanthropy, or nonprofit management.

### **Alliance for Nonprofit Management**

<[www.allianceonline.org](http://www.allianceonline.org)>

A professional association of individuals and organizations devoted to improving the management and governance capacity of nonprofits — to assist nonprofits in fulfilling their mission.

### **Allison, Michael and Jude Kaye. *Strategic Planning for Nonprofit Organizations: A Practical Guide and Workbook*. New York: John Wiley & Sons, Inc., 1997. 304 pages, \$39.95.**

Specifically designed for nonprofits, this guide shows how to create and implement an effective strategic plan using a simple, seven-phase process that covers everything from defining your mission and setting your course to starting, monitoring, and streamlining your plan. Comes with field-tested work sheets, checklists, and tables in both print and disk formats, plus a sample case study that demonstrates strategic planning in action from start to finish.

### **Andreasen, Alan R. and Philip Kotler. *Strategic Marketing for Nonprofit Organizations, 6<sup>th</sup> Edition*. Upper Saddle River, NJ: Prentice-Hall, 2003. 536 pages, \$120.**

Incorporates the experiences of practitioners to illustrate problems and solutions in marketing for nonprofits. Sections focus on developing a customer orientation, strategic planning and organization, developing and organizing resources, designing the marketing mix, and controlling marketing strategies. Includes figures, tables, and checklists.

### **Angelica, Emil. *Crafting Effective Mission and Vision Statements*. St. Paul, MN: Wilder Publishing Center, 2001. 88 pages, \$17. Order online at <[www.wilder.org](http://www.wilder.org)>.**

Guides your organization through a six-step process that results in a mission statement, vision statement, or both. Explains how a clarified mission and vision lead to more effective leadership, decisions, fundraising, and management. Gives tips on using the process alone or in conjunction with an in-depth strategic planning process. Includes sample mission and vision statements, step-by-step instructions, and worksheets.

### **Aspen Publishers. *The Grantseeker's Handbook of Essential Internet Sites, 2000-2001 Edition*. New York: Aspen Publishers, Annual. Available in electronic and print versions, \$99 each. Order online at <[www.aspenpublishers.com](http://www.aspenpublishers.com)> or call 1-800-638-8437.**

Lists more than 500 websites most useful to nonprofit fundraisers, including grantmakers as well as research and resource sites. Electronic version provides "hot links" to each website.

### **Association of Fundraising Professionals**

<[www.afpnet.org](http://www.afpnet.org)>

Founded in 1960, and formerly known as the National Society of Fund-Raising Executives, the Association of Fundraising Professionals works to advance philanthropy through advocacy, research, education, and certification programs. For beginners, many local chapters sponsor the "First Course in Fund Raising," and for professionals with five or more years of full time fundraising experience, there is the "Certification program for Fund-Raising Executives."

**Barry, Bryan W. *Strategic Planning Workbook for Nonprofit Organizations, Revised and Updated, 1997.* St. Paul, MN: Wilder Publishing Center, 2001. 144 pages, \$28. Order online at <[www.wilder.org](http://www.wilder.org)>.**

This classic workbook — now completely revised and updated — gives you practical guidance through five planning steps. Reproducible worksheets help you develop the plan, involve others in the process, and measure results. Also included are: critical ingredients of a sound plan; a new, more detailed sample of one nonprofit's strategic plan; and information on how organizations and coalitions can use strategic planning.

**Berry, Mindy L. and Jessica Chao. *Engaging Diverse Communities for and through Philanthropy.* Washington, DC: Forum of Regional Associations of Grantmakers, 2001. 44 pages, \$15.**

Explains the usual patterns of philanthropy among four minority groups (African American, Latino, Asian American, and Native American) in the U.S. Drawing on research in *Cultures of Caring*, the authors present numerous recommendations for organizations that want to develop their relationships with minority community populations. Includes resource list and bibliographic references.

**Better Business Bureau Wise Giving Alliance**

<[www.give.org](http://www.give.org)>

The Better Business Bureau's Wise Giving Alliance offers guidance to donors on making informed decisions through evaluations of charities, various "tips" publications, and its quarterly *BBB Wise Giving Guide*. You can locate your local BBBs through this site.

**BoardSource: Building Effective Nonprofit Boards**

<[www.boardsource.org](http://www.boardsource.org)>

Source for many publications about Board roles, such as "Fundraising Responsibilities of Nonprofit Boards" and "Presenting: Fund-Raising — The Board Member's Role in Resource Development."

**Bonk, Kathy, Emily Tynes, and Henry Griggs. *Jossey-Bass Guide to Strategic Communications for Nonprofits.* San Francisco, CA: Jossey-Bass, 1998. 208 pages, \$33.**

A step-by step guide for nonprofits that want to work with the media to generate publicity, build membership, advocate for issues, advance an agenda, raise money, respond effectively to a crisis or attacks, and more.

**Bowman, Woods. "Workplace Giving: A Case Study of the Combined Federal Campaign." *New Directions for Philanthropic Fundraising*, vol. 41 (Fall 2003), pp. 27-37.**

This article gives an overview of the Combined Federal Campaign (CFC), originally established in 1964, and consequently expanded in 1992. Currently it is a network of 376 local campaigns. The author gives particulars about the Chicago Area CFC. With bibliographical references.

**Bryson, John M. *Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement*, Rev. Ed. San Francisco, CA: Jossey-Bass, 1995. 325 pages, \$32.95.**

Introduces the dynamics and benefits of strategic planning. Provides four case studies of organizations that underwent the strategic planning process, and outlines the Strategy Change Cycle developed by the author. Emphasizes the planning aspects, roles and responsibilities of management leaders, and provides guidance on how to begin the planning process. Includes bibliographic references and index.

**Burk, Penelope. *Donor Centered Fundraising.* Chicago, IL: Burk & Associates, Ltd., 2003. 215 pages, \$70.**

Author Penelope Burk describes a groundbreaking methodology that challenges accepted fundraising practices and raises much more money. Articulates what donors want but seldom get from the charities they support.

**Burnett, Ken. *Relationship Fundraising: A Donor-Based Approach to the Business of Raising Money*. San Francisco, CA: Jossey-Bass Publishers, 2002. 350 pages, \$34.**

A guidebook that presents a donor-based approach to fundraising. Discusses prospect research, donor attitudes, marketing, donor relations, bequests, common mistakes, and new challenges. Chapters end with a list of "action points" that help readers apply key concepts. With glossary, bibliographical references, and index.

***By the Cup***

<[www.techsoup.org/sub\\_btc.cfm](http://www.techsoup.org/sub_btc.cfm)>

The monthly e-mail newsletter, *By the Cup*, is archived here. Published by the "technology place for nonprofits," each issue has nonprofit technology news, discounted software alerts, feature articles, tips, and resources.

**Capps, Randy, Jeffrey S. Passel, Daniel Perez-Lopez, and Michael Fix. *The New Neighbors: A User's Guide to Data on Immigrants in U.S. Communities*. Washington, DC: The Urban Institute, 2003. 69 pages, \$5. Available from <[www.uiupress.org](http://www.uiupress.org)>.**

In consultation with the Annie E. Casey Foundation, Urban Institute researchers designed this guidebook to help policymakers, program implementers, and advocates use U.S. Census and other data sources to identify immigrant populations in their communities — their characteristics, their contributions, and their needs. Discusses national trends in immigration and addresses public policy questions that can be analyzed using these data. Provides users with advice on how to identify immigrants in the data, and cautions them on data limitations. By way of example, the guidebook includes an analysis of the immigrant population in Providence, RI.

**Carlson, Mim. *Winning Grants Step by Step: The Complete Workbook for Planning, Developing and Writing Successful Proposals*, 2<sup>nd</sup> Edition. San Francisco, CA: Jossey-Bass Publishers, 2002. 110 pages, \$29.00.**

Contains instructions and exercises designed to help with proposal planning and writing skills and to meet the requirements of both government agencies and private funders. Provides special resource section that includes how to research funders, how to evaluate a proposal through the funder's eyes, and a bibliography.

***Catalogue of Federal Domestic Assistance***

<[www.cfda.gov](http://www.cfda.gov)>

Besides grants programs, includes other forms of assistance such as loans, surplus equipment, training. Start with "First Time Users Guide" and "FAQs, then try "Find Assistance Programs." Contains useful guide on developing (Part I) and writing (Part II) a federal grant proposal.

**Charity Channel**

<[www.CharityChannel.org](http://www.CharityChannel.org)>

This site connects nonprofit organizations worldwide. Services include public and private forums, e-newsletters, and a resource guide. Cost for participation is \$2-\$3 per month. A section of this website <[www.charitychannel.com/GuestShare](http://www.charitychannel.com/GuestShare)> provides a list of actual proposals collected by the *American Philanthropy Review*.

***The Chronicle of Philanthropy*. \$69.50 per year, printed or online. Subscribe online at <<http://philanthropy.com>>, fax your subscription to (202) 223-6292, or mail it to Circulation Department, The Chronicle of Philanthropy, 1255 23<sup>rd</sup> Street, N.W., Washington, DC 20037.**

Calls itself "the newspaper of the nonprofit world." Tabloid-style biweekly, with extensive information about foundation and corporate giving as well as other aspects of philanthropy. If you can afford only one fundraising publication, consider this one!

**Ciconte, Barbara L., and Jeanne Jacob. *Fund Raising Basics: A Complete Guide*, 2<sup>nd</sup> Edition. Sudbury, MA: Jones & Bartlett Publishers, 2001. 438 pages, \$49.95.**

An excellent comprehensive guide for fundraising, with sections on funding sources and approaches from corporate giving to direct mail, as well as process issues such as Board and staff roles in fundraising and using technology including software and the Internet. Provides an introduction to fundraising and lots of support on systems development and building capacity. Includes many worksheets.

**Clarke, Cheryl A. *Storytelling for Grantseekers: The Guide to Creative Nonprofit Fundraising*. San Francisco, CA: Jossey-Bass Publishers, 2001. 121 pages, \$26.00.**

Clarke puts forward the notion that proposals share much with great stories: characters, setting, and plot. She shows proposal writers how to craft documents that include elements of drama. The book also covers the research process and cultivation. Includes a sample letter of inquiry and a sample budget, as well as information on packaging the proposal. Indexed.

**Colvin, Gregory L. *Fiscal Sponsorship: Six Ways to Do It Right*. San Francisco, CA: Study Center Press, 2000. 82 pages, \$24.95.**

Describes the six forms of fiscal sponsorship recognized by the Internal Revenue Service (IRS), with examples, charts and diagrams. Includes hypothetical scenarios, a sample sponsorship agreement, IRS Revenue Rulings, criticism and commentary. A highly respected source.

#### **Corporation for National and Community Service**

[www.nationalservice.org](http://www.nationalservice.org)

The Corporation for National and Community Service includes such programs as AmeriCorps, Senior Corps, Learn and Serve America. The site provides an easy-to-access online grant application system. You can act as a peer reviewer of other grant applications or practice completing and submitting your own application.

#### ***The Federal Register***

[www.gpoaccess.gov/fr/index.html](http://www.gpoaccess.gov/fr/index.html)

The official daily record of the federal government, current and comprehensive information about government-funded projects and funding availability.

**Firstenberg, Paul B. *The Twenty-First Century Nonprofit: Remaking the Organization in the Post-Government Era*. New York, NY: Foundation Center, 1996. 247 pages, \$39.95.**

Provides a road map for organizations seeking to enhance their performance both in program design and execution, and in achieving financial health. Encourages managers to: adopt strategies used by for-profits; expand revenue base by diversifying grant sources; develop human resources by learning how to attract and retain talented people; and explore the nature of leadership. Profiles three nonprofit CEOs: McGeorge Bundy, William G. Bowen, and Joan Ganz Cooney. Includes bibliographic references and index.

#### **FirstGov for Nonprofits**

[www.firstgov.gov/Business/Nonprofit.shtml](http://www.firstgov.gov/Business/Nonprofit.shtml) (case sensitive)

A one-stop shopping place for information, services, and funding opportunities for nonprofits. Included is a wealth of information on a variety of topics of interest to nonprofits: grants, loans and other assistance; fundraising and outreach; management and operations; tax information; registration and licensing; laws and regulations, etc.

**Flanagan, Joan. *The Grassroots Fundraising Book: How to Raise Money in Your Community*. Chicago, IL: Contemporary Books. 1995. 334 pages, \$16.95**

A very practical and useful guide on community fundraising, with lots of ideas, step-by-step guides, and sample materials and tasks lists for various types of fundraising efforts. Annotated bibliography, index.

**Foundation Center; Schladweiler, Kief (ed). *The Foundation Center's Guide to Grantseeking on the Web*. 2003 Edition. New York, NY: Foundation Center. 2003. 852 pages, \$29.95. To obtain a catalogue or order publications: use the website at <[www.fdncenter.org/marketplace](http://www.fdncenter.org/marketplace)>; write to Publications, The Foundation Center, 79 Fifth Avenue, New York, NY 10003; call (212) 807-3677, or toll-free (800) 424-9836, or fax (212) 807-3677.**

A comprehensive manual covering how to locate foundation, public charity, corporate giving, and government funding information through the Internet. Includes online prospect research, databases, online journals, and interactive services of interest to grantseekers, as well as an in-depth tour of the features of the Foundation Center's website. The 2003 edition contains a section on e-learning. Appendices include descriptions of hundreds of grantmaker websites, a selected bibliography, and a glossary. Indexed. An optional disk is available.

**\_\_\_\_\_; Geever, Jane C. (ed). *The Foundation Center's Guide to Proposal Writing*. 4<sup>th</sup> Edition. New York, NY: Foundation Center, 2004. 232 pages, \$34.95.**

A good step-by-step manual that guides the grantwriter from pre-proposal planning to post-grant follow-up. Incorporates excerpts from actual grant proposals and interviews with foundation and corporate grantmakers about what they look for in a proposal. Includes chapters on researching, contacting and cultivating potential funders, as well as a sample proposal and a selected bibliography on proposal development.

**\_\_\_\_\_; Collins, Sarah (ed). *The Foundation Center's Guide to Winning Proposals*. New York, NY: Foundation Center, 2003. 353 pages, \$34.95.**

The book reprints in their original form 20 proposals and four letters of inquiry that succeeded in securing foundation support. Each proposal is accompanied by commentary by the funder who awarded the grant, and proposal writing advice. Includes glossary and bibliographical references.

**\_\_\_\_\_. *The Foundation Center's User-Friendly Guide: A Grantseeker's Guide to Resources*, 4<sup>th</sup> Edition. July 1996, 40 pages, \$14.95.**

Designed for someone using a Foundation Center library, but has a question and answer format that is very useful. Provides a lot of information about what grant guides to use, and how to obtain more information from funders and understand the kinds of grants they give. Can also be downloaded from the Foundation Center's website <[www.fdncenter.org/learn/ufg/index.html](http://www.fdncenter.org/learn/ufg/index.html)>.

**\_\_\_\_\_. *The Foundation Directory, Parts I & II*. Published annually; for 2004, Part I costs \$215, and Part II costs \$185; the set costs \$360. Also available in CD-ROM format for \$495.**

Basic guide that provides contact information, guidelines, interests, financial information, and in some cases typical grants for the top 20,000 U.S. foundations in total giving.

**\_\_\_\_\_. *Foundation Fundamentals*, 6<sup>th</sup> Edition. October 1999. 222 pages, \$24.95.**

A very good basic guide to foundation fundraising. Focuses on how to research foundations, prepare appropriate proposals, and present your ideas to a funder. New edition coming September 2004.

**\_\_\_\_\_. *The Foundation 1000*. October 2003. 3,056 pages, \$295.**

Profiles the 1,000 largest foundations in the U.S., providing a great deal of information about each one, including detailed giving history and sample grants.

\_\_\_\_\_. **National Directory of Corporate Giving, 9<sup>th</sup> Edition. October 2003. 1,165 pages, \$195.**

Information on nearly 3,300 corporate foundations and direct corporate giving programs.

\_\_\_\_\_. **FC Search: The Foundation Center's Database on CD-ROM. For use by one user at a time on a single computer, the license fee is \$1,195. Includes disk and user manual provided in April 2004 and update disk in November 2004. Costs for network use are higher.**

Includes information from the following guides: *The Foundation Directory Parts I & II*, and *The Foundation Directory Supplement*; the *Guide to U.S. Foundations, Their Trustees, Officers, and Donors*; the *National Directory of Corporate Giving*; and *The Foundation Grants Index*. It covers over 76,600 foundations, corporate givers, and grantmaking public charities, and has an associated grants file of over 324,000 grants; a searchable index of more than 352,000 trustees, officers, and donors; and links to over 3,900 grantmaker and 2,200 corporate websites. Now includes direct links to each foundation's IRS 990-PF tax returns.

\_\_\_\_\_. **"Literature of the Nonprofit Sector Online"**

<[www.fdncenter.org/research/lncps/list.html](http://www.fdncenter.org/research/lncps/list.html)>

"Literature of the Nonprofit Sector," the Foundation Center's online catalog of the Center's library holdings, has a separate, alphabetical list of more than 100 periodicals and newspapers. Links provided to publications with online content or information.

\_\_\_\_\_. **The Foundation Center's "Virtual Classroom"**

<[www.fdncenter.org/learn/classroom/index.html](http://www.fdncenter.org/learn/classroom/index.html)>

Based on the content of the Foundation Center's free classes, includes proposal budgeting basics, proposal writing short course, orientation to the grantseeking process, guide to funding research. Soon to have multi-session, interactive Web-based course on proposal writing.

**Foundation for American Communications. Media Resource Guide. Los Angeles, CA: Foundation for American Communications, 1983. 39 pages, \$5.00. A few copies are still available from Foundation for American Communications; 85 South Grand Avenue; Pasadena, CA 91105; <[www.facsnet.org](http://www.facsnet.org)>.**

Explains how each news medium works and thinks. Offers ideas to help nonprofits get their own message to the public.

**Free Management Library**

<[www.mapnp.org/library](http://www.mapnp.org/library)>

One of the world's largest free, online, well-organized business libraries for for-profit and nonprofit service providers, entrepreneurs, leaders, managers and practitioners. Has a number of free learning modules.

**The Fundraising School**

<[www.philanthropy.iupui.edu](http://www.philanthropy.iupui.edu)>

The Indiana University Center on Philanthropy's school for fundraising professionals. Teaches the history, current issues, the art and strategy of fundraising and philanthropy.

**Gilbertsen, Beth and Vijit Ramchandani. Developing Effective Teams (Wilder Nonprofit Field Guide). St. Paul, MN: Wilder Publishing Center, 1999. 80 pages, \$15. Order online at <[www.wilder.org](http://www.wilder.org)>.**

Teamwork is rarely simple, easy, or natural. It's not enough to announce, "We're a team" and expect results. This concise guide can help your team get going, deal with predictable problems, and improve teamwork at any stage of your team's development.

**GiveSpot: Grantseeker Resources**

<[www.givespot.com/resources/grantseekers.htm](http://www.givespot.com/resources/grantseekers.htm)>

These links to Grantseeker Resources will help you find proposal-writing courses.



**Grant Writing Tools**

<[www.npguides.org/index.html](http://www.npguides.org/index.html)>

A step-by-step guide to the often complex, confusing, and painstaking proposal-writing process, this guide covers everything from beginning to write all the way to accepting an award.

**Grants.Gov**

<[www.Grants.gov](http://www.Grants.gov)>

The “e-grant” headquarters, where you can locate federal grant opportunities, download application packages, and apply electronically.

**GrantsNet** (at Department of Health and Human Services)

<[www.hhs.gov/grantsnet/roadmap/index.html](http://www.hhs.gov/grantsnet/roadmap/index.html)>

This site has a refreshingly easy to use “electronic roadmap to grants”—a visual representation of the grants process with links to information on HHS funding opportunities, how to write proposals, standard government application forms.

**Grantwriters.com Free Info**

<[www.grantwriters.com/news.htm](http://www.grantwriters.com/news.htm)>

This grantwriters’ guide offers tips on finding funding, the latest news from *Philanthropy Digest*, and links to related resources.

**Grassroots Fundraising Journal. Oakland, CA: Chardon Press. <[www.chardonpress.com](http://www.chardonpress.com)>.**

A bimonthly journal published by Kim Klein that provides practical advice on how to raise money and in-kind resources from the community. Includes alternative sources of funding and how to tap them. Geared to smaller nonprofits.

**Groundspring.org**

<[www.groundspring.org](http://www.groundspring.org)>

Provides integrated services for small to medium sized nonprofit organizations to help them become effective users of Internet technology in their fundraising and management of donors and supporters. (See also Tides Foundation, below.)

**Guide Star**

<[www.GuideStar.org](http://www.GuideStar.org)>

Describes itself as the “national database of nonprofit organizations.” Gathers and distributes information about more than 850,000 tax-exempt organizations. Many donors use GuideStar to find information about nonprofit organizations before making funding decisions. Provides a good research tool for grants, family foundations, and individual philanthropists.

**Hall, Mary Stewart. *Getting Funded: A Complete Guide to Proposal Writing*, 4<sup>th</sup> Edition. Portland, OR: Continuing Education Publications, 2003. 180 pages, \$34.95. Contact: Continuing Education Press; P.O. Box 1394; Portland, OR 97207-1394; Tel. (866) 647-7377, Fax (503) 725-4840, website <[www.cep.pdx.edu](http://www.cep.pdx.edu)>.**

If you can afford to buy one guidebook on proposal writing, this is it! Organized along a logical pattern of planning, beginning with a discussion of ideas for projects and ending with considerations about submissions, negotiation and project renewal. Each chapter of the proposal writing section focuses on a specific component, from title pages, abstracts and accompanying forms, to purpose statements, statements of need, dissemination, qualifications and budget. Includes strategies based on winning proposals from several fields, in addition to resource lists, cases, models, checklists, and sample formats. Separate section for teachers of proposal writing. Indexed.

**Howe, Fisher. *Fund Raising and the Nonprofit Board*, 2<sup>nd</sup> Edition. Washington, DC: National Center for Nonprofit Boards, 1998. 16 pages, \$9.**

Examines five key principles of fundraising as they pertain to nonprofit Board members. Includes a Board member's fundraising checklist, and a brief bibliography.

**Hummel, Joan M., revised by the Center for Nonprofit Management, University of St. Thomas. *Starting and Running a Nonprofit Organization*, 2<sup>nd</sup> Edition. St. Paul, MN: Wilder Publishing Center, 1996. 152 pages, \$16. Order online at <[www.wilder.org](http://www.wilder.org)>.**

For more than 15 years, *Starting and Running a Nonprofit Organization* has been the basic primer for many organizations. Now completely revised, this guide will help anyone who is forming a new nonprofit, thinking about converting a grassroots group to tax-exempt status, or reorganizing an existing agency. It's also an excellent reference for people currently managing a nonprofit organization.

**Idealist.org**

<[www.idealist.org](http://www.idealist.org)>

A website that provides an online meeting place for nonprofit organizations, resources, consultants, job seekers, and volunteers.

**Indiana University Center on Philanthropy; Brown, Melissa S. (ed). *Giving USA 2003: The Annual Report on Philanthropy for the Year 2002*, 48<sup>th</sup> Edition. Indianapolis, IN: American Association of Fund Raising Counsel Trust for Philanthropy, 2003. 236 pages, \$65.**

Annual compilation of statistics and trends in philanthropy. Includes information on sources (individuals, bequests, foundations, and corporations) and categories of activity such as religion; education; health; human services; arts, culture, and humanities; public/society benefit; environment/wildlife; and international affairs. Contains illustrative charts, lists, and statistical tables.

**Internet Nonprofit Center**

<[www.nonprofits.org](http://www.nonprofits.org)>

Publisher of the original "Nonprofit FAQ," a resource of information provided by participants in many online discussions about nonprofits and their work.

**Jones & Bartlett Publishers**

<[www.nonprofit.jbpub.com](http://www.nonprofit.jbpub.com)>

Many useful fundraising materials, including previously out of print items, are now available from this source.

**Kellogg Foundation. *Logic Model Development Guide*.**

Available free from the Foundation. Go to <[www.wkkf.org](http://www.wkkf.org)> and look for "Most Requested Publications and Resources." The *Logic Model Development Guide* is listed as a publication on evaluation. You can download the *Guide* from the website, or you can request a printed copy online. The Foundation will send it to you free of charge.

**Klein, Kim. "Fifty-Five Ways for Board Members to Raise \$500." *Grassroots Fundraising Journal*, vol. 15 (February 1996), pp. 9-12.**

**Klein, Kim. *Fundraising for Social Change*, 4<sup>th</sup> Edition. Oakland, CA: Chardon Press. 2001. 403 pages, \$35.00.**

Explains community-based fundraising techniques for small nonprofit groups with budgets under \$1 million. Recommends fundraising strategies that have been successful for low-budget groups. Divided into eight major sections: framework, strategies to acquire and keep donors, strategies to upgrade donors, other methods of fundraising, fundraising management, development staffing, budgeting and planning, and special circumstances. Contains bibliography and index.

**Klein, Kim. *Fundraising in Times of Crisis*. San Francisco, CA: Jossey-Bass Publishers, 2004. 175 pages, \$25.00.**

Klein asserts that nonprofits are in a very unusual situation, probably of long duration, that can ultimately threaten their ability to carry out their programs. The economy has affected individuals and institutional givers' ability to donate; the war on terrorism has chilled the interest in giving to controversial causes; the growth of the nonprofit sector (creating greater competition), scandals, and "mission drift" have all contributed to unprecedented challenges in the new millennium. Klein provides guidance on pursuit of specific techniques for the coming year, as well as longer-term strategies.

**Klein, Kim. "You Already Know all the People You Need to Know to Raise all the Money You Want to Raise." *Grassroots Fundraising Journal*, vol. 16 (April 1997), pp. 7-9.**

**Leader to Leader Institute's "Meeting the Collaboration Challenge"**

<[www.leadertoleader.org](http://www.leadertoleader.org)>

Formerly the Peter F. Drucker Foundation for Nonprofit Management. "Meeting the Collaboration Challenge" workshop covers the preparation, planning, and development required for successful nonprofit and business alliances. The workshop is designed to take place through telephone conferencing, with a small amount of self-paced instruction and homework required in preparation for conference calls.

**Library of Congress: State and Local Governments**

<<http://lcweb.loc.gov/global/state/stategov.html>>

The Library of Congress "State and Local Governments Page" offers fast and easy-to-use links to governmental web pages for each state.

**Masaoka, Jan. *The Best of the Board Café: Hands-On Solutions for Nonprofit Boards*. St. Paul, MN: Wilder Publishing Center, 2003. 224 pages, \$29. Order online at <[www.wilder.org](http://www.wilder.org)>.**

This lively guide is a compilation of the most-requested articles from CompassPoint Nonprofit Services' online newsletter Board Café <[www.boardcafe.org](http://www.boardcafe.org)>. Because Board members' time is scarce, articles are "short enough to read over a cup of coffee."

**Masters, Suzette Brooks, Kimberly A. Hamilton, and Jill Wilson. *Putting Data to Work for Immigrants and Communities: Tools for the Washington DC Metro Area and Beyond*. Washington, DC: Migration Policy Institute, March 2004. 20 pages, \$12. Available from <[www.migrationpolicy.org/pubs](http://www.migrationpolicy.org/pubs)>.**

This report makes the case for the importance of demographic data for organizations working with and on behalf of immigrants. Along with accompanying pullout wall chart, it sets forth the major data sources, training providers, data-related publications, and other useful contacts in metro DC area government offices, Census Bureau satellites, and universities. The publication provides useful information for anyone interested in migration data and can be replicated easily in other cities around the country.

**Mattessich, Paul, Marta Murray-Close, and Barbara Monsey. *Collaboration: What Makes It Work*, 2<sup>nd</sup> Edition. St. Paul, MN: Wilder Publishing Center, 2001. 104 pages, \$29.95. Order online at <[www.wilder.org](http://www.wilder.org)>.**

Provides practical information about what makes collaborations successful.

**Miller, Patrick W. *Grant Writing: Strategies for Developing Winning Proposals*, 2<sup>nd</sup> Edition. Munster, IN: Patrick W. Miller and Associates, 2002. 258 pages, \$39.95.**

A manual for creating proposals to the federal government, specifically in response to a request for proposals (RFP). Begins with the activities that should precede the RFP and continues through post-submission efforts. Accompanied by numerous worksheets, charts, exercises, and exhibits. Provides suggestions for the narrative as well as the numerical aspects of the proposal. Includes glossary and bibliographic references.

**Minnesota Association of Nonprofits**

<[www.mncn.org/info/basic\\_fin.htm#budgeting](http://www.mncn.org/info/basic_fin.htm#budgeting)>

A valuable source of information on budgeting, including samples and templates.

**National Committee for Responsive Philanthropy**

<[www.ncrp.org](http://www.ncrp.org)>

NCRP is a nonprofit organization that does research and advocacy to strengthen the nonprofit sector. Use this site to locate alternative funds in your area.

**National Council of Nonprofit Associations**

<[www.ncna.org](http://www.ncna.org)>

A national association of organizations that support the nonprofit sector in their state or area. For example, member nonprofits can often purchase staff health insurance through their state association. Use the website to find the association for your state.

**National Immigration Forum. *Strategic Communications Handbook for Refugee, Asylee and Immigrant Advocates*. Washington, DC: National Immigration Forum, 2003. \$34.95. Call (202) 347-0040 to order.**

**New, Cheryl Carter; Quick, James Aaron. *How to Write a Grant Proposal*. Hoboken, NJ: John Wiley & Sons, 2003. 339 pages.**

Covers the key elements of standard proposal formats, including the executive summary, need statement, project description, evaluation, and budget. Each chapter contains examples and checklists. Indexed.

**Nonprofit Financial Center**

<[www.nfconline.org](http://www.nfconline.org)>

Provides budgeting and financial management information and training. Some model budgets available online.

**Nonprofit Genie**

<[www.genie.org](http://www.genie.org)>

Resources, information, advice, and answers to frequently asked questions for the nonprofit community. A project of CompassPoint Nonprofit Services and the California Management Assistance Partnership. Useful links pages.

**Nonprofit Resource Center**

<<http://oncampus.richmond.edu/connect/nonprofit/finance/finance-tools.html>>

and <<http://oncampus.richmond.edu/connect/nonprofit/fund/fundraising.html>>

A component of Connect Richmond. Website provides a number of financial management tools for nonprofits, including links that provide sample budgets and financial statements, as well as best practices and linkages on fundraising.

**The NonProfit Times**

<[www.nptimes.com](http://www.nptimes.com)>

Leading business publication for nonprofit management. "NPT Weekly" is a free weekly e-mail full of news and management tips.

**Overton, George W. and Jeannie Carmedelle Frey (eds). *Guidebook for Directors of Nonprofit Corporations, 2<sup>nd</sup> Edition*. Chicago, IL: American Bar Association, 2002. 255 pages, \$24.95.**

Primarily designed for the lay reader, the guide explains general legal principles that apply to nonprofit corporations. Topics include the rights and duties of Board members, tax issues, joint ventures, for-profit subsidiaries, Internet activities, volunteers, employees, and liability of the Board of Directors.

#### **Regional Associations of Grantmakers (RAGs)**

<[www.givingforum.org](http://www.givingforum.org)>

For information and website links to the 29 RAGs in the U.S. or other, less formal, funder networks go to the website of the Forum of the Regional Associations of Grantmakers and click on "Regional Association Locator" for a list of groups by state.

#### **Substance Abuse and Mental Health Services Administration's Faith-Based Pages**

<[www.samhsa.gov/faithbased/index/html](http://www.samhsa.gov/faithbased/index/html)>

This website announces the dates/locations of SAMHSA's grants writing training, as well as other technical assistance offerings. *Developing Competitive Grant Applications* (the manual used in grants writing trainings) can be downloaded from the site. In addition, SAMHSA frequently announces a call for proposal reviewers; this is a unique opportunity to learn first-hand about the federal proposal review process.

**Seltzer, Michael. *Securing your Organization's Future: A Complete Guide to Fundraising Strategies, Rev. Ed.* New York, NY: Foundation Center, 2001. 695 pages, \$34.95.**

A step-by-step approach to creating and sustaining a network of funding sources. Discusses major organizational tasks to address before applying for funding; the world of money available to nonprofits; techniques for approaching both individuals and institutions for support; how to create a funding mix that succeeds; and how to capitalize on the uniqueness of your organization. Case studies, worksheets, and bibliographies accompany discussions. Appendices include a compilation of state laws regulating charitable organizations and links to resource organizations.

#### **State and Local Government on the Net**

<[www.statelocalgov.net](http://www.statelocalgov.net)>

"State and Local Government on the Net" consists of links to each state and territory. In turn each state page provides links to the governmental branches, departments, counties, cities, boards, and commissions that have websites. It can be helpful in searching for local grantmaking bodies, such as arts councils.

***Strategic Communications in the Digital Age, last updated May 2002, available from the Benton Foundation at <[www.Benton.org](http://www.Benton.org)>.***

Online tool kit that catalogues lessons and best practices learned by nonprofits about the impact, successes, failures and struggles in using strategic communications. One of this operating foundation's major purposes is "to demonstrate the value of communications for solving social problems."

**Taft Group. *Corporate Giving Directory 2003, 26<sup>th</sup> Edition*. Farmington Hills, MI: Gale Research, 2003. \$550. Catalogue available. Order by mail from Gale Research; P.O. Box 9187; Farmington Hills, MI 48333; or by telephone at 1-800-877-GALE, by fax at 1-800-414-5043, or by Internet at <[galeord@gale.com](mailto:galeord@gale.com)>.**

Provides profiles of more than 1,000 of the largest corporate foundations and corporate direct giving programs in the U.S. Published annually.

\_\_\_\_\_. ***Foundation Reporter 2004*. Farmington Hills, MI: Gale Research, 2003. \$560.**

Provides foundation philosophy, guidelines, contact, financial, and grants information on the top 1,000 private foundations in the U.S.; 13 indexes. Published annually.

**Tides Foundation and Groundspring.org**

<[www.tides.org](http://www.tides.org)>

These associated entities proactively promote social change and social justice. The Tides Foundation works with donors committed to positive social change, linking resources and people. Groundspring.org helps nonprofit organizations raise funds and communicate with their stakeholders online, providing software tools and services, training, and consulting.

**Unified Registration Statement**

<[www.multistatefiling.org](http://www.multistatefiling.org)>

Go to this website for the unified registration form accepted by 36 of the 40 states that regulate direct mail fundraising.

**United Way of America. *Measuring Program Outcomes: A Practical Approach*. Alexandria, VA: United Way of America, 1996. 170 pages, \$5. Order online at <[www.unitedway.org](http://www.unitedway.org)>.**

This publication was developed by United Way of America for use by the community-based organizations supported by local United Ways. It describes the use of logic models in developing, communicating, and evaluating project outcomes.

**White House Office of Faith-Based and Community Initiatives. *Federal Funds for Organizations that Help Those in Need*. Available at <[www.fbc.gov](http://www.fbc.gov)>.**

**Amherst Wilder Foundation Publications**

<[www.wilder.org](http://www.wilder.org)>

Publisher of the "Practical Nonprofit Guides" series.

**Winer, Michael and Karen Ray, *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey*. St. Paul, MN: Wilder Publishing Center, 1994. 192 pages, \$37.95. Order online at <[www.wilder.org](http://www.wilder.org)>.**

A comprehensive guide to establishing and maintaining a collaborative.

## Appendix C

---

**Sample Proposal**

Common Grant Application Format  
From a Regional Association of Grantmakers

**A. Organizational Background****1. History, Mission, and Goals**

The Youth Education and Leadership Organization (YELO)<sup>1</sup> was founded in 1998 with the mission to promote the well-being of refugee youth and families through education, leadership development, and community building. Our overarching goal is to increase the opportunities and ability of low-income refugee children to move out of poverty and become successful, self-sufficient adults.

**2. Programs**

Currently, YELO serves 90 children and their families through the following five programs:

- (1) The *After School Academic Enrichment Program* provides English language enrichment, homework support, arts classes, and recreational activities to 50 elementary and middle school students from 4:00-6:30 p.m. each weekday. Children also participate in group projects (such as a community garden) and field trips. The program continues into the summer through a six-week *Summer Enrichment Program*.
- (2) The *High School Academic and Leadership Program* offers one-on-one tutoring, community service activities, guidance, counseling, homework support, and educational advocacy to 40 high school students. High school seniors receive individual assistance in completing college applications, financial aid forms, and fee waiver requests. In the summer, YELO provides employment opportunities for youth through the city's Summer Youth Employment Program.
- (3) The *Mentoring Program* recruits, selects, matches, and trains adult volunteers to mentor students one-on-one, helping them to develop the academic and life skills necessary to succeed in school. Each mentor receives a detailed handbook, undergoes a two-day orientation, and is supervised regularly by the Volunteer Coordinator.
- (4) The *Family Strengthening Program* provides case management services to 50 families to increase their access to services, manage family crises, and increase parents' knowledge and use of appropriate parenting practices.
- (5) The *Educational Advocacy Program* works to enhance parental involvement in their children's education and to increase parents' awareness of available school choices. Activities include informing parents about the American educational system, teaching them to understand report cards and

---

<sup>1</sup> Although this sample proposal is adapted from an actual MAA proposal, the name "Youth Education and Leadership Organization" is fictional.

standardized test scores, and helping them apply to out-of-boundary, charter, and private schools on behalf of their children.

### **3. *Staff, Board, and Volunteer Responsibilities***

The YELO Board of Directors develops and oversees organizational policies, programs, and development plans; reviews and approves budgets and fiscal policies; establishes a short- and long-term vision for the organization; and raises money (including making a personally significant financial contribution). The staff plans, implements, and evaluates programs and events; conducts institutional fundraising and public relations activities; builds relationships within the nonprofit and target community; and oversees the general operation of the organization. Our volunteers act as mentors, tutors, event coordinators, and advocates.

## **B. Purpose of the Request**

### **1. *Statement of Need***

YELO serves the refugee and immigrant population in our city. According to the Census 2000, the total refugee/immigrant population in our city is 6,543. Maps of residential distribution by census tract indicate that this population is concentrated in the low-income neighborhoods of Shaker Heights, Euclid, Mt. Shasta, and Little Italy.

Many of the risk factors and needs of these newcomers are similar to those of other low-income residents. However, additional linguistic, cultural, and systemic barriers aggravate these risk factors, making it especially difficult for newcomer children and families to break out of the cycle of poverty and become successful and self-sufficient.

Refugees and other newcomers face the grueling process of rebuilding their lives in a new country with little formal education, few employable skills, and limited English proficiency. Nearly all parents hold low-income, low-skill jobs, working as janitors, manicurists, maids, and babysitters, and lack basic benefits such as health insurance and paid leave. The average income for a YELO family of four is below \$25,000. In addition, most families live in blighted areas, which offer substandard, low-cost housing units.

Separated from their large family networks, these newcomers depend solely on their nuclear families and are isolated from mainstream institutions. Few nonprofit and government programs in our city provide the bilingual and bicultural services necessary to link newcomers, especially newcomer youth, to the support they need to survive and prosper in the United States. For example, mainstream youth-centered organizations are ill equipped to meet the needs of newcomers, particularly refugees, because they are unfamiliar with newcomers' unique histories and lack bilingual staff. Moreover, it is difficult to find effective, proven program models that specifically address the needs of newcomer youth.

Parents' confidence is undermined by their lack of control in their new surroundings, their unfamiliarity with the mainstream culture and systems, and their struggle to provide appropriate discipline and guidance for their children. As a result, many parents, particularly men, struggle with substance abuse,



domestic violence, gambling addiction, and child abuse and neglect. These risk factors, among others, make it difficult for newcomer families to provide a stable, loving environment for their children.

Because of their limited English proficiency, newcomer parents are highly dependent on their children for translation, interpretation, and cultural literacy. Often parents take their children out of school to provide these services, not knowing that school attendance is mandatory and repeated absences can result in academic failure. In testimony before the City Council, a YELO high school junior explained the need for better language services, "I have been translating for my mother since age 9. Every time she needed to go to the hospital or go to the welfare office, my mother would pull me out of school to go with her to translate. I am asking you to help get translators to help my parents and all the refugee parents out there, so my friends and I won't have to miss our important lessons at school."

Furthermore, low-income refugee parents do not understand the complex educational system in the United States. For example, few parents save for their children's college expenses; most are obligated to use any savings to support their relatives back in the home country. Many cannot read report cards, standardized test results, or school letters, and are unaware of their children's academic performance. Although newcomer parents hope that their children will become doctors, lawyers, and other highly respected professionals, they do not know what kinds of skills, grades, standardized test scores, and degrees are needed to achieve those levels of success. Some believe that a two-year community college is just as good as a four-year university.

Unfortunately, the school system in our city is failing its students. According to the National Center for Education Statistics, our school system spent \$10,987 per pupil in 2002, making it fourth in the nation for per-pupil spending. Despite this generous expenditure per student, our school system ranks 45<sup>th</sup> (out of 51) in high school graduation rates, its average of 58% being well below the national average of 69%. It also ranks near the bottom in standardized test scores and achievement tests. In the ten schools attended by YELO students, an average of 73% of students scored *Basic* or *Below Basic* in reading and math on the Stanford 9 tests. A score of *Below Basic* indicates that students had little or no mastery of the fundamental knowledge and skills for their grade, and a score of *Basic* indicates only a partial mastery.

Students who enroll in YELO's programs are at high risk for academic and professional failure. One major cause of academic failure is extremely limited English skills. Many of our high school students enter our program writing sentences like "Because I do not knew anything about computer and what it was, until I told it class in my school." Students who struggle with reading and writing in English struggle in all their classes, not just in their English classes. For example, one YELO high school student, who is quite talented in math, nearly failed her math class because she could not understand the word problems. Combined SAT scores among high school seniors in our program range from 600 to 800, well below the national average of 1026. Academic failure, added to peer pressure and gang activity, drives students to drop out of school and find low-skill, minimum-wage jobs.

## **2. Project Description**

YELO is requesting \$25,000 from the Foundation in general operating support for its five child- and family-centered programs. This support will allow YELO to provide services to 90 refugee children and their families from October 1, 2004, to September 30, 2005.

Given high quality programs, YELO firmly believes that all children can achieve academic success. Thus, YELO sets high standards for both its students and itself. We expect all participants to learn, succeed academically, graduate from high school, and enroll in college. In addition, we expect ourselves to provide strong programs that are staffed by committed, skilled staff members. Moreover, we strive to integrate our programs into a coherent model, so that they complement and support each other to achieve maximum effect, rather than operate in isolation.

YELO firmly believes that education is the key to meeting its mission and overarching goal. Based on this belief, YELO runs two academically-focused after school programs: the After School Academic Enrichment Program and the High School Academic and Leadership Program. Each academic program aims to (1) increase academic achievement and (2) increase academic attainment through enrichment activities, one-on-one tutoring, arts, and recreation.

However, YELO's own experience, as well as research on youth development, indicates that after school programs are frequently insufficient to meet this overarching goal. In the refugee communities, risk factors such as poor family well-being, low parental involvement, and lack of positive, professional role models can interfere with a child's ability to learn the skills necessary to succeed in school and life. Moreover, YELO understands that knowing more about its children's family backgrounds, schools, and communities enables it to target its services more effectively to meet their needs. Accordingly, YELO runs three supporting programs — the Mentoring Program, Family Strengthening Program, and Educational Advocacy Program — intended to improve parenting skills, increase parental involvement, and provide professional role models.

Together, these programs comprise YELO's multi-faceted approach, which aims to give each child a mentor, an educational advocate, an after school teacher or youth worker, and a family case manager. Through this combination of services, we seek to achieve the following long-term outcomes: (1) increase college enrollment and graduation rates; (2) increase professional career attainment; and (3) increase civic engagement. The XYZ Foundation, which conducted a rigorous due diligence study on YELO, stated in its final written report that YELO's multi-faceted approach was a "very plausible, comprehensive approach for providing youth development services to a population needing very specialized supports due to their family histories and current stresses."

Key members of each program will regularly meet as a team to discuss cases and share information about families and students. For example, a student confesses that he is depressed, frequently skips school, and refuses to speak with his parents. The team will discuss his recent behavior, try to detect signs of clinical depression, and find ways to provide encouragement and support. The after school teachers will recommend activities that fit his interests and locate opportunities for him to learn useful skills and develop leadership abilities. The educational advocate will meet with the student's counselors and teachers to share information about the student's family situation, academic performance, and attendance, while the case manager will teach the parents how to support their son emotionally and actively listen to him. By coordinating their efforts, the team will try to address the individual, school, and family domains of the student's life to provide fuller support and assistance.

YELO is committed to providing high quality services to its children and families. At YELO, program development is an ongoing process. YELO regularly evaluates all its programs and uses the results to increase its programs' effectiveness in meeting the needs of its target population. YELO also strives to keep its programs aligned with best practices as identified by national research.

## C. Organizational Capacity

### 1. Accomplishments

YELO is widely recognized for its high program quality and its determination to improve the lives of its children and families. Its recent accomplishments include:

- ♦ *Helped 95% of its high school seniors graduate and enroll in a post-graduate institute.* For example, one student struggled in her high school classes and was discouraged by her low SAT scores. She doubted that she could ever go to college. YELO matched her with mentors who helped her understand her classes and encouraged her to explore her main interest — dance. As a result of her mentors' support, the student received a dance scholarship from a nearby college. The student is now enjoying her experience as a sophomore and still keeps in touch with her mentors.
- ♦ *Taught parents in 32 families to better support their children by listening to them, celebrating their birthdays, and spending more time with them.* After four months of intense work in one family, the mother told YELO that her son had said, "I don't know why you changed so much. I really appreciate your love for me." The mother said she cried when she heard this, and was amazed by her son's gratitude and affection.
- ♦ *Awards and recognition* — YELO was featured in the *Catalogue for Philanthropy* as a charity "worthy of the support and investment of people in our city." In March 2004, YELO's Executive Director received the National Neighborhood Coalition's Pablo Eisenberg Award for Neighborhood Leadership.
- ♦ *Selected by the XYZ Foundation to pioneer a new investment strategy, modeled after the venture capital philosophy.* With six months left in its two-year capacity-building grant, YELO is close to meeting its goals. YELO has improved its evaluation framework by configuring its computerized performance tracking system, training all staff to use the system, redefining program outcomes to improve measurability, and establishing an evaluation advisory committee. In addition, YELO has hired executive coaches to improve the senior management team's effectiveness and a consultant to strengthen the board governing structure and increase the board's capacity to raise funds. Finally, YELO's newly hired deputy director and program evaluation specialist are now well integrated into the organization.
- ♦ *Established the first refugee youth community center in our city.* This new 6,000 square foot facility provides the space necessary to expand our programs, and will help anchor the community by giving it a permanent foothold in the city. YELO is now preparing to launch a capital campaign to pay for renovations.

### 2. Partnerships

YELO leverages a wide variety of local, regional, and national resources to support its programs. For example, the After School Academic Enrichment Program partners with Shaker Heights Elementary School for use of facilities and the Shaker Heights Gallery of Art for arts activities, and the High School Academic and Leadership Program partners with teachers and counselors at Euclid, Mt. Shasta, and Marconi High Schools to offer extra credit opportunities to students and to monitor students' progress.

YELO also uses its large network of local, regional, and national organizations to recruit tutors, mentors, and volunteers and to provide additional resources to our children and families. These organizations include the Housing Authority, the Department of Mental Health, the Domestic Violence Resource Project, the Little Italy Health Clinic, HeadStart, Mary's Center for Maternal and Child Care, Child Protective Services, the National Women's Forum, the Shaker Heights/Euclid Family Support Collaborative, and the National Coalition for Community Development. YELO will continue to build and strengthen relationships with local public and private schools, other nonprofit organizations that serve Limited English Proficiency populations, and national children-focused organizations.

### **3. Staff Qualifications**

Ms. Z is the founder and executive director of the Youth Education and Leadership Organization. Recently, she received awards from the Mayor (Leadership in Action) and the National Neighborhood Coalition, and was selected by our city's leading newspaper as one of "100 People to Watch in the Millennium."

Mr. Y, Deputy Director, has ten years of professional experience in the business and the nonprofit sectors. He is a results-oriented supervisor and team builder with a creative and developmental approach to managing personnel, programs, and organizations. Mr. Y has a track record of success in working with diverse populations in both nonprofit and for-profit organizations. He received his MBA and MSW from Stanford University.

### **4. Target Population's Involvement**

Of our fifteen-member Board of Directors, five are from the community we serve — two teens, two parents, and one program alumna. We actively encourage parents to advocate for their community and for the organization by testifying before the City Council, speaking at Town Hall meetings, and participating in school task forces. In addition, we provide paid assistant teacher positions to high school students in the High School Academic and Leadership Program, giving them a chance to gain valuable educational and organizational skills that will aid them in the future. Alumni from the High School Academic and Leadership Program often return to volunteer and work at YELO as part of their commitment to reinvest in their community.

## **D. Evaluation Plan**

In five years, YELO has learned many valuable lessons in its efforts to develop a strong evaluation framework for its programs. Currently, YELO collects information from families through intake forms, surveys, case notes, case studies, and interviews. YELO also collects report cards, standardized test scores, and teacher assessments for all students. Until recently, however, YELO did not have a computerized performance tracking system that could easily produce accurate quantitative and qualitative analyses.

This year, YELO finally has the funding, tools, and access to expertise to fully develop and implement systematic data analysis. As part of a larger capacity-building investment by the XYZ Foundation, YELO is working with its Evaluation Advisory Committee to clarify its program goals and objectives, strengthen its theory of change, and revise its evaluation framework. This committee includes Dr. X,

Director of Evaluation and Knowledge Management at the XYZ Foundation, and Ms. V, Director of Research at our local university.

In addition, YELO purchased and configured the Efforts to Outcomes (ETO) performance tracking system, which enables us to electronically track our participants' demographic information, activities and services received, and progress toward outcomes. ETO brings analysis of the vast amount of data that YELO collects to a new level of sophistication, and improves program decision-making by providing timely and accurate information. In addition, YELO's full-time evaluation specialist is actively working with the programs to redefine outcomes to improve measurability, analyze data, and inform development. By September 2004, YELO expects to have accurate quantitative data, rich case studies, and a sophisticated analysis of its program outcomes.

## **E. Sustainability**

For a young organization, YELO has an outstanding fundraising track record. Founded in 1998 with only \$15,000 in seed money, YELO rapidly expanded its fundraising revenues over five years to \$850,000 in 2003. In 2003, YELO's revenues consisted of 17% from federal government agencies, 20% from local government agencies, 45% from foundations, 8% from corporations, 4% from special events, and 6% from individuals and the Combined Federal Campaign. YELO is in strong financial health, with a significant operating reserve and no long-term debt besides a mortgage.

Currently, YELO is conducting a capital campaign, which will greatly improve YELO's annual fundraising capacity by expanding its individual donor base, increasing its visibility, and increasing its fundraising capacity. As part of its campaign efforts, YELO is hiring a capital campaign associate to reduce the impact of the capital campaign on annual fundraising and a public relations consultant to create a comprehensive communications plan. In addition, YELO has already hired a full-time development associate to oversee and improve YELO's annual fundraising efforts.

## Appendix D

# Foundation Center Cooperating Collections

## *Free Funding Information Centers*

The Foundation Center is an independent national service organization established by foundations to provide an authoritative source of information on foundation and corporate giving. **Cooperating Collections** are free information centers in libraries, community foundations, and other nonprofit resource centers that provide a **core collection** of Foundation Center publications and a variety of supplementary materials and services in areas useful to grantseekers. Because the Cooperating Collections vary in their hours, it is recommended that you call the collection in advance of a visit. To check on new locations or current holdings, call toll-free 1-800-424-9836, or visit the web site at <[www.fdcnecenter.org/collection/index.html](http://www.fdcnecenter.org/collection/index.html)>.

### Alabama

**Birmingham Public Library**  
Government Documents  
2100 Park Place  
Birmingham, AL 35203  
(205) 226-3620

**Huntsville Public Library**  
915 Monroe St.  
Huntsville, AL 35801  
(256) 532-5940

**Mobile Public Library**  
West Regional Library  
5555 Grelot Road  
Mobile, AL 36609-3643  
(251) 340-8555

**Auburn University at Montgomery Library**  
74-40 East Drive  
Montgomery, AL 36117-3596  
(334) 244-3200

### Alaska

**Consortium Library**  
3211 Providence Drive  
Anchorage, AK 99508  
(907) 786-1848

**Juneau Public Library**  
Reference  
292 Marine Way  
Juneau, AK 99801  
(907) 586-5267

### Arizona

**Flagstaff City-Coconino County Public Library**  
300 West Aspen Ave.  
Flagstaff, AZ 86001  
(928) 779-7670

**Phoenix Public Library**  
Information Services Dept.  
1221 N. Central  
Phoenix, AZ 85004  
(602) 262-4636

**Tucson-Pima Library**  
101 N. Stone Ave.  
Tucson, AZ 85701  
(520) 791-4393

### Arkansas

**University of Arkansas - Fort Smith**  
Boreham Library  
5210 Grand Avenue  
Ft. Smith, AR 72913  
(479) 788-7204

**Central Arkansas Library System**  
100 Rock St.  
Little Rock, AR 72201  
(501) 918-3000

### California

**Kern County Library**  
Beale Memorial Library  
701 Truxtun Avenue  
Bakersfield, CA 93301

**Humboldt Area Foundation**  
Rooney Resource Center  
373 Indianola  
Bayside, CA 95524  
(707) 442-2993

**Ventura County Community Foundation**  
Resource Center for Nonprofit Organizations  
1317 Del Norte Road, Suite 150  
Camarillo, CA 93010  
(805) 988-0196

**Fresno Regional Foundation**  
Nonprofit Advancement Center  
3425 N. First St., Suite 101  
Fresno, CA 93726  
(559) 226-0216

**Center for Nonprofit Management in Southern California**  
Nonprofit Resource Library  
606 S. Olive Street, Suite 2450  
Los Angeles, CA 90014  
(213) 623-7080

**Los Angeles Public Library**  
Mid-Valley Regional Branch Library  
16244 Nordhoff St.  
North Hills, CA 91343  
(818) 895-3654

**East Bay Resource Center for Nonprofit Support**  
359 Frank H. Ogawa Plaza  
Oakland, CA 94612  
(510) 834-1010

**Flintridge Foundation**

Philanthropy Resource Library  
1040 Lincoln Avenue, Suite 100  
Pasadena, CA 91103  
(626) 449-0839

**Shasta Regional Community  
Foundation's Center for Nonprofit  
Resources**

Building C, Suite A  
2280 Benton Dr.  
Redding, CA 96003  
(530) 244-1219

**Richmond Public Library**

325 Civic Center Plaza  
Richmond, CA 94804  
(510) 620-6561

**Riverside Public Library**

3581 Mission Inn Ave.  
Riverside, CA 92501  
(909) 826-5201

**Nonprofit Resource Center**

Sacramento Public Library  
828 I St., 2nd Floor  
Sacramento, CA 95814  
(916) 264-2772

**San Diego Foundation**

Funding Information Center  
1420 Kettner Boulevard, Suite 500  
San Diego, CA 92101  
(619) 235-2300

**Foundation Center Office and  
Library**

312 Sutter Street, Suite 606  
San Francisco, CA 94108  
(415) 397-0902

**Compasspoint Nonprofit Services**

Nonprofit Development Library  
1922 The Alameda, Suite 212  
San Jose, CA 95126  
(408) 248-9505

**Peninsula Community Foundation**

Peninsula Nonprofit Center  
1700 S. El Camino Real, R201  
San Mateo, CA 94402-3049  
(650) 358-9392

**Los Angeles Public Library**

San Pedro Regional Branch  
931 S. Gaffey St.  
San Pedro, CA 90731  
(310) 548-7779

**Volunteer Center of Orange County  
Nonprofit Management Assistance  
Center**

1901 East 4th Street, Suite 100  
Santa Ana, CA 92705  
(714) 953-5757

**Santa Barbara Public Library**

40 E. Anapamu St.  
Santa Barbara, CA 93101-1019  
(805) 962-7653

**Santa Monica Public Library**

1324 Fifth St.  
Santa Monica, CA 90401  
(310) 458-8600

**Sonoma County Library**

3rd & E Streets  
Santa Rosa, CA 95404  
(707) 545-0831

**Seaside Branch Library**

550 Harcourt Ave.  
Seaside, CA 93955  
(831) 899-8131

**Sierra Nonprofit Support Center**

39 No. Washington St. #F  
Sonoma, CA 95370  
(209) 533-1093

**Colorado**

**El Pomar Nonprofit Resource Center**

Penrose Library  
20 N. Cascade  
Colorado Springs, CO 80903  
(719) 531-6333

**Denver Public Library**

General Reference  
10 West 14th Avenue Parkway  
Denver, CO 80204  
(720) 865-1111

**Connecticut**

**Danbury Public Library**

170 Main St.  
Danbury, CT 06810  
(203) 797-4527

**Greenwich Public Library**

101 West Putnam Ave.  
Greenwich, CT 06830  
(203) 622-7900

**Hartford Public Library**

500 Main St.  
Hartford, CT 06103  
(860) 695-6292

**New Haven Free Public Library**

Reference Dept.  
133 Elm St.  
New Haven, CT 06510-2057  
(203) 946-7431

**Delaware**

**University of Delaware**

Hugh Morris Library  
181 South College Ave.  
Newark, DE 19717-5267  
(302) 831-2432

**District Of Columbia**

**Foundation Center Office and  
Library**

1627 K Street, NW, Third Floor  
Washington, DC 20006  
(202) 331-1400

**Florida**

**Bartow Public Library**

2150 S. Broadway Ave.  
Bartow, FL 33830  
(863) 534-0131

**Volusia County Library Center**

City Island  
105 E. Magnolia Ave.  
Daytona Beach, FL 32114-4484  
(386) 257-6036

**Nova Southeastern University**

Research and Information Technology  
Library  
3100 College Ave.  
Fort Lauderdale, FL 33314  
(954) 262-4613

**Indian River Community College**

Learning Resources Center  
3209 Virginia Ave.  
Fort Pierce, FL 34981-5596  
(561) 462-4757

**Jacksonville Public Libraries**

Grants Resource Center  
122 N. Ocean St.  
Jacksonville, FL 32202  
(904) 630-2665

**Miami-Dade Public Library**

Humanities/Social Science Dept.  
101 W. Flagler St.  
Miami, FL 33130  
(305) 375-5575

**Orange County Library System**

Social Sciences Department  
101 E. Central Blvd.  
Orlando, FL 32801  
(407) 425-4694

**Selby Public Library**

Reference  
1331 First St.  
Sarasota, FL 34236  
(941) 861-1100

**State Library of Florida**

R.A. Gray Building  
Tallahassee, FL 32399-0250  
(850) 245-6600

**Hillsborough County Public Library  
Cooperative**

John F. Germay Public Library  
900 N. Ashley Drive  
Tampa, FL 33602  
(813) 273-3652

**Community Fdn. of Palm Beach & Martin Counties**

700 South Dixie Highway, Suite 200  
West Palm Beach, FL 33401  
(561) 659-6800

**Georgia**

**Atlanta Field Office and Library**

Suite 220, Grand Lobby  
Hurt Building, 50 Hurt Plaza  
Atlanta, GA 30303-2914  
(404) 880-0094

**Hall County Library System**

127 Main Street NW  
Gainesville, GA 30501  
(770) 532-3311

**Washington Memorial Library**

1180 Washington Ave.  
Macon, GA 31201  
(478) 744-0828

**Thomas County Public Library**

201 N. Madison St.  
Thomasville, GA 31792  
(229) 225-5252

**Hawaii**

**University of Hawaii**

Hamilton Library  
General/Humanities/Soc. Science  
Reference Dept.  
2550 The Mall  
Honolulu HI 96822  
(808) 956-7214

**Idaho**

**Funding Information Center**

Boise Public Library  
715 S. Capitol Blvd.  
Boise, ID 83702  
(208) 384-4024

**Caldwell Public Library**

1010 Dearborn St.  
Caldwell, ID 83605  
(208) 459-3242

**Illinois**

**Donors Forum of Chicago**

208 South LaSalle, Suite 735  
Chicago, IL 60604  
(312) 578-0175

**Evanston Public Library**

1703 Orrington Ave.  
Evanston, IL 60201  
(847) 866-0300

**Rock Island Public Library**

401 - 19th St.  
Rock Island, IL 61201-8143  
(309) 732-7323

**Nonprofit Resource Center  
Brookens Library**

University of Illinois at Springfield  
One University Plaza, MS Lib 140  
Springfield, IL 62703-5407  
(217) 206-6633

**Indiana**

**Evansville-Banderburgh County  
Public Library**

22 Southeast Fifth St.  
Evansville, IN 47708  
(812) 428-8200

**Allen County Public Library**

**200 East Berry St.**  
Ft. Wayne, IN 46802  
(260) 421-1238

**Indianapolis-Marion County Public  
Library**

202 N. Alabama  
Indianapolis, IN 46206  
(317) 269-1700

**Wigo County Public Library**

1 Library Square  
Terre Haute, IN 47807  
(812) 232-1113

**Iowa**

**Cedar Rapids Public Library**

Foundation Center Collection  
500 First St., SE  
Cedar Rapids, IA 52401  
(319) 398-5123

**Southwestern Community College**

Learning Resource Center  
1501 W. Townline Rd.  
Creston, IA 50801  
(641) 782-7081

**Des Moines Public Library**

100 Locust  
Des Moines, IA 50309-1791  
(515) 283-4152

**Sioux City Public Library**

529 Pierce St.  
Sioux City, IA 51101-1202  
(712) 255-2933

**Kansas**

**Pioneer Memorial Library**

375 West 4th St.  
Colby 67701  
(785) 462-4470

**Dodge City Public Library**

1001 2nd Ave.  
Dodge City, KS 67801  
(316) 225-0248

**Kearny County Library**

101 East Prairie  
Lakin, KS 67860  
(620) 355-6674

**Salina Public Library**

301 West Elm  
Salina, KS 67401  
(785) 825-4624

**Topeka and Shawnee County Public  
Library**

1515 SW 10th Ave.  
Topeka, KS 66604  
(785) 580-4400

**Wichita Public Library**

223 S. Main St.  
Wichita, KS 67202  
(316) 261-8500

**Kentucky**

**Western Kentucky University**

Helm-Cravens Library  
110 Helm Library  
Bowling Green, KY 42101-3576  
(270) 745-6163

**Lexington Public Library**

140 East Main Street  
Lexington, KY 40507-1376  
(859) 231-5520

**Louisville Free Public Library**

301 York Street  
Louisville, KY 40203  
(502) 574-1617

**Louisiana**

**East Baton Rouge Parish Library**

Centroplex Branch Grants Collection  
120 St. Louis  
Baton Rouge, LA 70802  
(225) 389-4967

**Beauregard Parish Library**

205 S. Washington Ave.  
De Ridder, LA 70634  
(337) 463-6217

**Ouachita Parish Public Library**

1800 Stubbs Avenue  
Monroe, LA 71201  
(318) 327-1490

**New Orleans Public Library**

Business & Science Division  
219 Loyola Ave.  
New Orleans, LA 70112  
(504) 596-2580

**Shreve Memorial Library**

424 Texas St.  
Shreveport, LA 71120-1523  
(318) 226-5894



**Maine**

**The Maine Philanthropy Center**  
University of Southern Maine Library  
314 Forrest Ave.  
Portland, ME 04104-9301  
(207) 780-5029

**Maryland**

**Enoch Pratt Free Library**  
Social Science & History  
400 Cathedral St.  
Baltimore, MD 21201  
(410) 396-5320

**Massachusetts**

**Associated Grant Makers**  
55 Court St., Room 520  
Boston, MA 02108  
(617) 426-2606

**Boston Public Library**  
Soc. Sci. Reference  
700 Boylston Street  
Boston, MA 02116  
(617) 536-5400

**Western Massachusetts Funding Resource Center**  
65 Elliot St.  
Springfield, MA 01101-1730  
(413) 452-0697

**Worcester Public Library**  
Grants Resource Center  
3 Salem Square  
Worcester, MA 01608  
(508) 799-1654

**Michigan**

**Alpena County Library**  
211 N. First St.  
Alpena, MI 49707  
(989) 356-6188

**University of Michigan – Ann Arbor**  
Graduate Library  
Reference & Research Services Department  
Ann Arbor, MI 48109-1205  
(734) 763-1539

**Willard Public Library**  
Nonprofit and Funding Resource Collections  
7 West Van Buren St.  
Battle Creek, MI 49017  
(269) 968-8166

**Henry Ford Centennial Library**  
Adult Services  
16301 Michigan Ave.  
Dearborn, MI 48126  
(313) 943-2330

**Purdy/Kresge Library**  
134 Purdy/Kresge Library  
Wayne State University  
Detroit, MI 48202  
(313) 577-6424

**Michigan State University Libraries**  
Main Library Funding Center  
100 Library  
East Lansing, MI 48824-1049  
(517) 432-6123

**Farmington Community Library**  
32737 West 12 Mile Rd.  
Farmington Hills, MI 48334  
(248) 553-0300-

**Frances Willson Thompson Library**  
University of Michigan – Flint  
Flint, MI 48502-1950  
(810) 762-3413

**Grand Rapids Public Library**  
Reference Department  
111 Library Street NE  
Grand Rapids, MI 49503-3268  
(616) 988-5400

**Michigan Technological University**  
Harold Meese Center, Corporate Services  
1400 Townsend Dr.  
Houghton MI 49931-1295  
(906) 487-2228

**West Shore Community College Library**  
3000 North Stiles Road  
Scottville, MI 49454-0277  
(231) 845-6211

**Traverse Area District Library**  
610 Woodmere Ave.  
Traverse City, MI 49686  
(231) 932-8500

**Minnesota**

**Brainerd Public Library**  
416 South Fifth St.  
Brainerd, MN 56401  
(218) 829-5574

**Duluth Public Library**  
520 W. Superior St.  
Duluth, MN 55802  
(218) 723-3802

**Southwest State University**  
University Library  
North Highway 23  
Marshall, MN 56253  
(507) 537-6108

**Minneapolis Public Library**  
Sociology Department  
250 Marquette Ave.  
Minneapolis, MN 55401  
(612) 630-6000

**Rochester Public Library**  
101 2nd Street, SE  
Rochester, MN 55904-3777  
(507) 285-8002

**St. Paul Public Library**  
90 W. Fourth St.  
St. Paul, MN 55102  
(651) 266-7000

**Mississippi**

**Library of Hattiesburg, Petal and Forrest County**  
329 Hardy Street  
Hattiesburg, MS 39401-3824  
(601) 582-4461

**Jackson/Hinds Library System**  
300 N. State St.  
Jackson, MS 39201  
(601) 968-5803

**Missouri**

**Council on Philanthropy**  
University of Missouri – Kansas City  
4747 Troost, #207  
Kansas City, MO 64171-0813  
(816) 235-1176

**Kansas City Public Library**  
14 West 10th Street  
Kansas City, MO 64105-1702  
(816) 701-3541

**St. Louis Public Library**  
1301 Olive Street  
St. Louis, MO 63103  
(314) 241-2288

**Springfield-Greene County Library**  
4653 S. Campbell  
Springfield, MO 65810  
(417) 874-8110

**Montana**

**Montana State University – Billings Library – Special Collections**  
1500 North 30th St.  
Billings, MT 59101-0245  
(406) 657-1687

**Bozeman Public Library**  
220 E. Lamme  
Bozeman, MT 59715  
(406) 582-2402

**Montana State Library**  
Library Services  
1515 E. 6th Ave.  
Helena, MT 59620-1800  
(406) 444-3115

**Lincoln County Public Libraries**

Libby Public Library  
220 West 6th St.  
Libby, MT 59923  
(406) 293-2778

**University of Montana**

Maureen & Mike Mansfield Library  
32 Campus Drive, #9936  
Missoula, MT 59812-9936  
(406) 243-6800

**Nebraska**

**University of Nebraska-Lincoln**

225 Love Library  
14th & R Streets  
Lincoln, NE 68588-2848  
(402) 472-2848

**Omaha Public Library**

Social Sciences Department  
215 S. 15th St.  
Omaha, NE 68102  
(402) 444-4826

**Nevada**

**Great Basin College Library**

1500 College Parkway  
Elko, NV 89801  
(775) 753-2222

**Clark County Library**

1401 E. Flamingo  
Las Vegas, NV 89119  
(702) 507-3400

**Washoe County Library**

301 S. Center St.  
Reno, NV 89501  
(775) 327-8300

**New Hampshire**

**Concord Public Library**

45 Green Street  
Concord, NH 03301  
(603) 225-8670

**Herbert H. Lamson Library**

Plymouth State College  
Plymouth, NH 03264  
(603) 535-2258

**New Jersey**

**Cumberland County Library**

800 E. Commerce St.  
Bridgeton, NJ 08302  
(856) 453-2210

**Free Public Library of Elizabeth**

11 S. Broad St.  
Elizabeth, NJ 07202  
(908) 354-6060

**Newark Enterprise Community  
Resource Development Center**

303-309 Washington St., 5th Floor  
Newark, NJ 07102  
(973) 624-8300

**County College of Morris Learning  
Resources Center**

214 Center Grove Rd.  
Randolph, NJ 07869  
(973) 328-5296

**New Jersey State Library**

Governmental Reference Services  
185 West State St.  
Trenton, NJ 08625-0520  
(609) 292-6220

**New Mexico**

**Albuquerque/Bernalillo County  
Library System**

501 Copper Avenue NW  
Albuquerque, NM 87102  
(505) 768-5141

**New Mexico State Library**

Information Services  
1209 Camino Carlos Rey  
Santa Fe, NM 87507  
(505) 476-9702

**New York**

**New York State Library**

Humanities Reference  
Cultural Education Center,  
6th Floor  
Empire State Plaza  
Albany, NY 12230  
(518) 474-5355

**Brooklyn Public Library**

Social Sciences/Philosophy Division  
Grand Army Plaza  
Brooklyn, NY 11238  
(718) 230-2122

**Buffalo & Erie County Public Library**

Business, Science, and Technology  
Dept.  
1 Lafayette Square  
Buffalo, NY 14203-1887  
(716) 858-7097

**Southeast Steuben County Library**

300 Nasser Civic Center Plaza  
Corning, NY 14830  
(607) 936-3713

**Huntington Public Library**

338 Main St.  
Huntington, NY 11743  
(631) 427-5165

**Queensborough Public Library**

Social Sciences Division  
89-11 Merrick Blvd.  
Jamaica, NY 11432  
(718) 990-0700

**Levittown Public Library**

1 Bluegrass Lane  
Levittown, NY 11756  
(516) 731-5728

**Foundation Center Office and  
Library**

79 Fifth Avenue  
2nd Floor  
New York, NY 10003-3076  
(212) 620-4230

**Adriance Memorial Library**

Special Services Department  
93 Market St.  
Poughkeepsie, NY 12601  
(914) 485-3445

**The Riverhead Free Library**

330 Court St.  
Riverhead, NY 11901  
(631) 727-3228

**Rochester Public Library**

Social Sciences  
115 South Avenue  
Rochester, NY 14604  
(585) 428-8120

**Onandaga County Public Library**

447 S. Salina St.  
Syracuse, NY 13202-2494  
(315) 435-1900

**Utica Public Library**

303 Genesee St.  
Utica, NY 13501  
(315) 735-2279

**White Plains Public Library**

100 Martine Ave.  
White Plains, NY 10601  
(914) 422-1480

**Yonkers Public Library**

Riverfront Library  
One Larkin Center  
Yonkers, NY 10701  
(914) 337-1500

**North Carolina**

**Community Foundation of Western  
North Carolina**

Pack Memorial Library  
67 Haywood St.  
Asheville, NC 28801  
(828) 254-4960

**The Duke Endowment**

100 N. Tryon St., Suite 3500  
Charlotte, NC 28202-4012  
(704) 376-0291

**Durham County Public Library**

300 North Roxboro  
Durham, NC 27702  
(919) 560-0100

**Forsyth County Public Library**

660 W. 5th St.  
Winston-Salem, NC 27408  
(336) 727-2264

**North Dakota**

**Bismarck Public Library**

515 North Fifth St.  
Bismarck, ND 58501-4081  
(701) 222-6410

**Fargo Public Library**

102 N. 3rd St.  
Fargo, ND 58102  
(701) 241-1491

**Minot Public Library**

516 Second Avenue SW  
Minot, ND 58701-3792  
(701) 852-1045

**Ohio**

**Stark County District Library**

715 Market Ave. N.  
Canton, OH 44702  
(330) 452-0665

**Public Library of Cincinnati & Hamilton County**

Grants Resource Center  
800 Vine St., Library Square  
Cincinnati, OH 45202-2071  
(513) 369-6000

**Foundation Center Office and Library**

1422 Euclid Avenue, Suite 1600  
Cleveland, OH 44115  
(216) 861-1934

**Columbus Metropolitan Library**

Business and Technology Dept.  
96 S. Grant Ave.  
Columbus, OH 43215  
(614) 645-2590

**Dayton Metro Library**

Grants Information Center  
215 E. Third St.  
Dayton, OH 45402  
(937) 227-9500 x322

**Mansfield/Richland County Public Library**

42 West 3rd Street  
Mansfield, OH 44902  
(419) 521-3100

**Portsmouth Public Library**

1220 Gallia St.  
Portsmouth, OH 45662  
(740) 354-5688

**Toledo-Lucas County Public Library**

Social Sciences Department  
325 Michigan St.  
Toledo, OH 43612  
(419) 259-5209

**Public Library of Youngstown & Mahoning County**

305 Wick Ave.  
Youngstown, OH 44503  
(330) 744-8636

**Oklahoma**

**Oklahoma City University**

Dulaney Browne Library  
2501 N. Blackwelder  
Oklahoma City, OK 73106  
(405) 521-5822

**Tulsa City-County Library**

400 Civic Center  
Tulsa, OK 74103  
(918) 596-7977

**Oregon**

**Oregon Institute of Technology Library**

3201 Campus Dr.  
Klamath Falls, OR 97601-8801  
(541) 885-1770

**Pacific Nonprofit Network**

Southern Oregon University  
1600 N. Riverside, Suite #1001  
Medford, OR 97501  
(541) 779-6044

**Multnomah County Library**

Government Documents  
801 SW Tenth Ave.  
Portland, OR 97205  
(503) 988-5123

**Oregon State Library**

State Library Building  
250 Winter St. NE  
Salem, OR 97310-3950  
(503) 378-4277

**Pennsylvania**

**Northampton Community College**

The Paul and Harriett Mack Library  
3835 Green Pond Rd.  
Bethlehem, PA 18017  
(610) 861-5360

**Erie County Library**

160 East Front St.  
Erie, PA 16507  
(814) 451-6927

**Hazleton Area Public Library**

55 North Church St.  
Hazleton, PA 18201  
(570) 454-2961

**Dauphin County Library System**

East Shore Area Library  
4501 Ethel Street  
Harrisburg, PA 17109  
(717) 652-9380

**Lancaster County Public Library**

125 N. Duke St.  
Lancaster, PA 17602  
(717) 394-2651

**Free Library of Philadelphia**

Regional Foundation Center  
1901 Vine St., 2nd Fl.  
Philadelphia, PA 19103-1189  
(215) 686-5423

**Carnegie Library of Pittsburgh**

Foundation Center  
Library Center  
414 Wood Street  
Pittsburgh, PA 15222  
(412) 281-7143

**Pocono Northeast Development Fund**

James Pettinger Memorial Library  
1151 Oak St.  
Pittston, PA 18640  
(570) 655-5581

**Reading Public Library**

100 South Fifth St.  
Reading, PA 19602  
(610) 655-6355

**James V. Brown Library**

19 East Fourth Street  
Williamsport, PA 17701  
(570) 326-0536

**Martin Library**

159 Market St.  
York, PA 17401  
(717) 846-5300

**Rhode Island**

**Providence Public Library**

225 Washington St.  
Providence, RI 02906  
(401) 455-8088

**South Carolina**

**Anderson County Library**

300 N. McDuffie Street  
Anderson, SC 29622  
(864) 260-4500

**Charleston County Library**

68 Calhoun St.  
Charleston, SC 29401  
(843) 805-6930

**South Carolina State Library**

1500 Senate St.  
Columbia, SC 29211  
(803) 734-8666

**Community Foundation of Greater Greenville**

27 Cleveland Street, Suite 101  
Greenville, SC 29601  
(864) 233-5925

**South Dakota**

**Dakota State University**  
Nonprofit Management Institute  
Nonprofit Grants Assistance  
820 N. Washington  
Madison, SD 57042  
(605) 782-3089

**South Dakota State Library**  
800 Governors Drive  
Pierre, SD 57501-2294  
(605) 773-3131  
1-800-423-6665 (within SD)

**Black Hills State University**  
E.Y. Berry Library-Learning  
Center  
1200 University St. Unit 9676  
Spearfish, SD 57799-9676  
(605) 642-6833

**Tennessee**

**United Way of Greater Chattanooga**  
Center for Nonprofits  
630 Market Street  
Chattanooga, TN 37402  
(423) 265-0514

**Knox County Public Library**  
500 W. Church Ave.  
Knoxville, TN 37902  
(865) 215-8751

**Memphis & Shelby County Public Library**  
3030 Poplar Ave  
Memphis, TN 38111  
(901) 415-2734

**Nashville Public Library**  
615 Church Street  
Nashville, TN 37219  
(615) 862-5800

**Texas**

**Amarillo Area Foundation**  
Grants Center  
801 S. Fillmore  
Amarillo, TX 79101  
(806) 376-4521

**Hogg Foundation for Mental Health**  
Regional Foundation Library  
3001 Lake Austin Blvd.  
Austin, TX 78703  
(512) 471-5041  
1-888-404-4336

**Beaumont Public Library**  
801 Pearl Street  
Beaumont, TX 77704-3827  
(409) 838-6606

**Corpus Christi Public Library**  
Funding Information Center  
805 Comanche Street  
Corpus Christi, TX 78401  
(361) 880-7000

**Dallas Public Library**  
Urban Information  
1515 Young St.  
Dallas, TX 75201  
(214) 670-1487

**Southwest Border Nonprofit Resource Center**  
1201 W. University Drive  
Edinburgh, TX 78539-2999  
(956) 384-5920

**University of Texas at El Paso**  
Community Non-Profit Grant  
Library  
500 W. University, Benedict Hall  
Room 103  
El Paso, TX 79968-0547  
(915) 747-7969

**Funding Information Center of Fort Worth**  
329 S. Henderson  
Fort Worth, TX 76104  
(817) 334-0228

**Houston Public Library**  
Bibliographic Information Center  
500 McKinney  
Houston, TX 77002  
(832) 393-1313

**Laredo Public Library**  
Nonprofit Management and  
Volunteer Center  
1120 East Calton Road  
Laredo, TX 78041  
(956) 795-2400

**Longview Public Library**  
222 W. Cotton St.  
Longview, TX 75601  
(903) 237-1350

**Lubbock Area Foundation**  
1655 Main St., Suite 209  
Lubbock, TX 79401  
(806) 762-8061

**Nonprofit Resource Center of Texas**  
7404 Highway 90 W.  
San Antonio, TX 78212-8270  
(210) 227-4333

**Waco-McLennan County Library**  
1717 Austin Ave.  
Waco, TX 76701  
(254) 750-5941

**Nonprofit Management Center of Wichita Falls**  
2301 Kell Blvd. Suite 218  
Wichita Falls, TX 76308  
(940) 322-4961

**Utah**

**Grand County Public Library**  
25 South 100 East  
Moab, UT 84532  
(435) 259-5421

**Salt Lake City Public Library**  
210 E 400 S  
Salt Lake City, Utah 84111  
(801) 524-8200

**Vermont**

**Isley Public Library**  
75 Main St.  
Middlebury, VT 05753  
(802) 388-4095

**Vermont Dept. of Libraries**  
Reference & Law Info. Services  
109 State St.  
Montpelier, VT 05609  
(802) 828-3261

**Virginia**

**Washington County Public Library**  
205 Oak Hill St.  
Abingdon, VA 24210  
(276) 676-6222

**Hampton Public Library**  
4207 Victoria Blvd.  
Hampton, VA 23669  
(757) 727-1314

**Richmond Public Library**  
Business, Science & Technology  
101 East Franklin St.  
Richmond, VA 23219  
(804) 646-7223

**Roanoke City Public Library System**  
Main Library  
706 S. Jefferson St.  
Roanoke, VA 24016  
(540) 853-2471

**Washington**

**Mid-Columbia Library**  
Reference Department  
1620 South Union Street  
Kennewick, WA 99336  
(509) 783-7878

## Resource Development Handbook

### **King County Library System**

Redmond Regional Library  
Nonprofit & Philanthropy Resource  
Center  
15990 NE 85th  
Redmond, WA 98052  
(425) 885-1861

### **Seattle Public Library**

Fundraising Resource Center  
800 Pike Street  
Seattle, WA 98101-3922  
(206) 386-4645

### **Spokane Public Library**

Funding Information Center  
906 W. Main Ave.  
Spokane, WA 99201  
(509) 444-5300

### **Tacoma Library**

University of Washington  
1900 Commerce St.  
Tacoma, WA 98403-3100  
(253) 692-4440

### **Wenatchee Valley College**

John A. Brown Library  
Funding Information Center  
1300 Fifth Street  
Wenatchee, WA 98807  
(509) 664-2520

## **West Virginia**

---

### **Kanawha County Public Library**

123 Capitol St.  
Charleston, WV 25301  
(304) 343-4646

### **Shepherd College**

Ruth A. Scarborough Library  
King Street  
Shepherdstown, WV 25443-3210  
(304) 876-5424

## **Wisconsin**

---

### **University of Wisconsin-Madison**

Memorial Library, Grants Information  
Center  
728 State St.  
Madison, WI 53706  
(608) 262-3242

### **Marquette University Memorial Library**

Funding Information Center  
1355 W. Wisconsin Ave.  
Milwaukee WI 53201-3141  
(414) 288-1515

### **University of Wisconsin-Stevens Point**

Library - Foundation Collection  
900 Reserve St.  
Stevens Point, WI 54481-3897  
(715) 346-2540

## **Wyoming**

---

### **Laramie County Community College**

Instructional Resource Center  
1400 E. College Dr.  
Cheyenne, WY 82007-3299  
(307) 778-1206

### **Campbell County Public Library**

2101 4-J Road  
Gillette, WY 82718  
(307) 687-0115

### **Teton County Library**

125 Virginian Lane  
Jackson, WY 83001  
(307) 733-2164

### **Sheridan County Fulmer Public Library**

335 West Alger St.  
Sheridan, WY 82801  
(307) 674-8585