Fundraising Manual for Children’s Advocacy Centers

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# CHAPTER ONE

## IS YOUR ORGANIZATION READY?

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IS YOUR ORGANIZATION READY?

Over the past decade, non-profit agencies such as Children’s Advocacy Centers (CACs) have been confronted with a new set of challenging political and economic realities. Government has reduced the number of domestic programs as well as the level of funding for existing programs. The consequences of these developments include the following:

1. **A shift of initiative toward the private voluntary sector**

   This shift has occurred in an effort to fill the gaps left by government’s retreat. This change is occurring just as thousands of new organizations, including CACs, are being established. Many of these emerging agencies do not have the organizational experience, strength and leadership necessary to raise adequate funds.

2. **Limited resources**

   At the same time, existing agencies that have depended on government funds have seen their resources erode. Many of these agencies have never needed to engage in fundraising and, as a consequence, may have little capacity to do so.

Both of these trends increase the need for effective fundraising in a competitive environment.

Among non-profit organizations, there is dramatic variation regarding the amount of resources and degree of sophistication they bring to the fundraising table. Most large organizations, such as hospitals, cultural institutions, colleges and universities, have secure and established revenue streams. Additional fundraising may not be necessary for the continued survival of such organizations. In contrast, many non-profits are totally dependent on philanthropy for the funds they need, leaving them vulnerable to current political and economic changes. CACs tend to fall somewhere in the middle. Some CACs have a steady, dependable revenue stream. Most CACs, however, depend on “soft” money: grants and appropriations from government agencies, grants from private foundations and corporations and a variety of other fundraising activities such as special events and direct mail.

**THIS MANUAL WILL ASSIST CHILDREN’S ADVOCACY CENTERS IN THEIR FUNDRAISING EFFORTS BY PROVIDING:**

1. Tools to assess whether your organization is prepared to undertake various fundraising efforts.

2. Tools to analyze the constraints your agency may face prior to undertaking an effective fundraising campaign.
3. Strategies to help prepare the agency for its fundraising campaign.

4. A series of short-range tactics to meet immediate financial needs without neglecting your long-range objectives.

5. A step-by-step process by which an agency can build a solid fundraising program. This process can be implemented once short-term stability is secured. Or, if time is not a significant factor, the agency can defer immediate cash needs to develop a balanced and secure fundraising program at the onset.

6. Specific financial outreach strategies designed for organizations faced with limited resources.

**FUNDRAISING TECHNIQUES**

Fundraising consists of various techniques—requiring different skills, resources and time frames—to reach specific financial objectives. These techniques include the following:

**Special Events**

Dances, auctions, bake and rummage sales, marathons (or unique “thons” tailored to agency services or goals).

**Major Gifts**

Monetary gifts obtained through face-to-face solicitations from individuals.

**Grants**

Funds based on proposals sent to private foundations, government agencies and corporations, either unsolicited or sent in response to requests for proposals (RFPs). (A commitment to provide funds that is not based on a proposal should not be considered a grant. In such cases, philanthropic gifts are given in fulfillment of the philanthropic intentions of a major donor, the donor’s family, or a corporate executive. A grant proposal may be drafted, but only as a pro forma act, undertaken to fulfill the requirements of the donor.)

**Capital and Endowment Campaigns**

Planned campaigns with a limited time frame, a specific dollar objective and a specific purpose such as raising funds for a new building, renovation of an existing building, purchasing major equipment, or creating an endowment.

**Deferred or Planned Giving**

A variety of techniques in which part of the motivation for the gift or the specific manner of giving is driven by legal and tax consequences. In deferred giving, the full effect of the gift may
not occur at once, such as a bequest in a will. Planned giving generally requires a systemic consideration of legal and tax matters.

**Direct Mail and Telephone Solicitation**

Marketing efforts directed to the public on behalf of the charity. Those solicited may have an existing relationship with the organization, such as alumni of a college, or they may have not previous relationship. CACs should think carefully before entering the highly competitive world of direct marketing fundraising that can alienate potential donors if overly intrusive.

**Corporate Joint Promotions**

Increasingly, corporations use their charitable efforts to help meet their marketing objectives. Typically, these funds come from advertising, marketing, or publicity budgets and not from the charitable giving pot. In many instances, the funds are controlled by an advertising agency acting on behalf of their corporate client. For example, in cause-related marketing, the purchase of a particular product by a consumer generates a contribution. Joint promotions also include corporate sponsorships of special events.

**THE IMPORTANCE OF MAJOR GIFTS**

While all of these techniques can and should be used by non-profit agencies, major gift solicitation from individuals is the most time--and cost--efficient of all fundraising strategies.

Individuals contribute approximately 81% of the philanthropic dollar. If we add bequests from estates, the figure nears 90%.
The primary objective of this program and manual is to enable CACs, if they have not already done so, to develop the resources and capacity to engage in major donor fundraising. In cases where organizations have engaged in major donor work, the objective is to enhance current efforts and improve on their return.

THE RIGHT ATTITUDE

The techniques of fundraising are not the proprietary secrets of wealthy and prestigious organizations. There are hundreds of fundraising seminars to choose from. Major periodicals are devoted to the subject of philanthropy. You can join professional organizations that support and provide education to fundraisers. In addition, there is a wealth of books devoted to the subject of fundraising strategies. However, success in fundraising has never been and will never be solely a matter of correct technique. The single greatest asset or impediment to successful fundraising is the attitude of the fundraiser. Executive Directors who juggle fundraising with a range of other responsibilities must believe they can be effective.

People are infinitely creative in the excuses they concoct to account for their failure to devote the right amount of time, energy and creativity to their organization's fundraising. The most typical reasons given by those reluctant to fundraise are listed below:

- We do not have enough time.
- We are not a prestigious organization.
- Our cause is not a popular one.
- There are no wealthy people in our community.
- We do not know any wealthy people personally.
- Our board is weak and does not provide any real help.

This manual will provide the tools and techniques to show how to overcome each of these obstacles.

AVOID A VICTIM MENTALITY

Three defense mechanisms typically inhibit fundraising potential:

- fear of rejection
- anxiety caused by change
- a need to seek sympathy

1. Don’t take it personally

Any turn down can and will be perceived as a personal rejection. The instinct to take rejections personally is simply human nature. Don’t let that get in your way.

Yes, you will be turned down and it will be disappointing. A savings account can be used as a
metaphor to help in this situation. You may view your ego/psyche as that savings account. Positive experiences are deposited and compounded as assets. You will be able to withstand rejections -- withdrawals from the account -- if you have a healthy balance. Therefore, you must initially engage in activities that will be positive. The techniques provided in this manual can and will work for you and your CAC. Furthermore, in every case, initial steps are set forth that are designed to establish a positive momentum. These early successes should provide some buffer against the inevitable frustrations in the future. More importantly, if you don’t receive some rejections, you’re clearly not tapping enough resources. No one can ever guarantee success in each and every fundraising effort. You can, however, increase the odds greatly in your favor by using the techniques in this manual in order to build success upon success.

2. “I’ve never done this before!”

Most people feel discomfort when faced with change. Like fear of rejection, this discomfort is a very human response. Don’t let this discomfort discourage the experience of new territory and opportunities.

Frequently, professionals become overwhelmed by the perceived complexity of new and unfamiliar tasks. Breaking down new tasks into separate components helps build a clearer sense of the overall process. By allowing the time and reflection to divide tasks down into sequential steps, you can “baby step” your way through new and uncharted territory. As each baby step is taken and each component of the process is completed, you may be surprised to find yourself less anxious and instead quite energized!

3. “Look how tough I have it!”

Complaining wastes valuable time and energy. By complaining in the place of taking positive steps toward problem resolution, many professionals unintentionally become victims. By communicating that they are not capable of taking action that can improve the situation, they project a helpless self-image.

Just as unfamiliar change can be broken down and faced through baby steps, and anxiety can be converted into energy to enhance performance, the energy used to complain, or vent, can be transformed into more productive and positive efforts to explore new challenges and possibilities. The unintentional self-image of helplessness can, instead, become an image of curiosity and enthusiasm.

THE CAC CONTEXT

The above observations regarding impediments to fundraising exist for nearly every agency. But every agency also has a unique set of natural assets that need to be exploited in order to develop an effective fundraising program. For CACs there are some very compelling arguments that can be made to sources of support including corporations, foundations and individuals:

1. CACs are unique organizations
There are no other agencies within the community that have the CAC mission. This is compelling to donors who are rightly concerned about increasing duplication of services within their communities.

2. **CACs serve the most vulnerable and exploited population -- abused children**

Donors have always been generous to programs serving children. Many grant makers list children’s causes among their funding priorities.

3. **CACs promote collaborative efforts**

In order to be effective, the investigation, assessment and intervention of child sexual abuse cases require inter-agency collaboration. Many funding sources encourage and support collaborative efforts. Therefore, the CAC concept is very attractive to them.

There are, however, corresponding issues that will need to be addressed that might adversely affect CACs’ fundraising efforts. These problems are not insurmountable, but must be recognized prior to developing strategies that play on your strengths and compensate for the weaknesses. For example:

a. **CACs cannot expect to raise funds from those using agency services**

Many agencies can and do raise significant funds from the people who use their services. Grateful hospital patients, college, university and private school alumni, church members and patrons of the arts are wonderful sources of support. CACs cannot, for a variety of good reasons, expect to raise funds for the children and families who are seen at the agency.

b. **A difficult mission to explain to those not already familiar with CACs**

The CAC mission, while very appealing, is also very difficult to explain to people and can be confusing.

c. **Complicated subject matter**

The topic of child physical and sexual abuse makes people uncomfortable and, regrettably, may alienate potential donors. Highly visible adult survivor cases raise issues about the reliability of recovered memories. Also, defense attorneys constantly raise the complex issues regarding the reliability and suggestibility of children as witnesses. By the time these cases reach the public through the media, the issues are often distorted and the public may become confused.

This manual is designed to help you play to CAC strengths and minimize or address CAC weaknesses as you plot your development strategy.

**SECURE ONGOING SUPPORT**
It is extremely difficult for any agency to have to rely on fundraising alone. Therefore, if your program does not have one, it should explore ways to develop revenue other than through fundraising. Some CACs have been able to secure ongoing support as part of a government agency’s budget. Others receive fees for medical examinations they conduct on behalf of law enforcement agencies. Still others receive reimbursement for counseling services. A steady source of income will have two beneficial effects:

1. It will obviously ease the burden of your organization’s support from total reliance on fundraising

2. It will enhance agency fundraising efforts by providing supporters with the knowledge that your organization has a stable source of income and can therefore be more viable in terms of long-term survival.

A COMPETITIVE EDGE

The neediest and most deserving organizations do not necessarily receive charitable support in proportion to their need. An impediment to successful fundraising is the assumption that the public will naturally share the dedication and commitment you have toward your organization. The worthiness of your cause will not insure that you will receive a just share of charitable support. Even a cause as compelling as a CAC will not automatically open the floodgates of charitable support. In light of the new set of challenges facing non-profit agencies in this highly competitive fundraising landscape, the cultivation of fundraising skills and knowledge is essential to the long-term success of your agency. By mastering the fundraising techniques demonstrated throughout this manual, your organization will have a competitive edge in its efforts to obtain a fair share of the charitable dollar.

ABOUT THE MANUAL

COMFORT ZONE
Throughout this manual, you will notice the term “comfort zone.” It is intended to demonstrate recommended courses of action that are designed to make your tasks easier and more familiar. They are structured to help you overcome natural concerns or reticence you may experience when adopting new methods and organizational strategies.

DESIGN OF THIS MANUAL
Each chapter is successive and intended to build on concepts discussed in earlier chapters. However, this manual is also designed to be useful for professionals who have different levels of fundraising experience. Every chapter will not be relevant to every reader. Chapters are marked on the bottom of each page and can easily be used in isolation from one another for the purpose of addressing the specific fundraising needs of your agency. Please feel free to skip chapters that feel repetitive or are not relevant to your fundraising needs.
GETTING STARTED

What specific elements make for successful fundraising? These attributes are discussed below. One key element, the institution you work for, its prestige and its resources, is largely beyond your control. However, the variety of additional factors can compensate for any deficiencies your organization might have. They include:

- Institutional characteristics
- Optimal application of time and resources
- Flair and creativity

Institutional Characteristics

Fundraising at Harvard is obviously different from fundraising at Slippery Rock University. It is also different from fundraising in a community-based social service agency. An institution's prestige, the composition of its clientele and its resources all affect which fundraising strategies will make the most sense. The unique characteristics of CACs discussed above will obviously impact tactical decisions about the fundraising campaign.

Optimal Use of Time and Resources

In other words, you must plan. Fundraising techniques are not identical, and each technique has strengths and weaknesses. Each technique requires different time frames, different financial resources and different dollar investments. Planning is crucial to fundraising success. A systematic analysis of objectives, resources and alternatives ensures that you spend your time on those activities that have the highest probability of attaining your objectives.

Flair and Creativity

Fundraising will never have the precision and predictability of a science. Individual flair for innovation and creativity make all the difference. Also, you must believe that it is within your power to accomplish your objectives. In a competitive environment, a spirit of innovation, flexibility and responsiveness to changing conditions along with prudent risk-taking will establish an invaluable competitive advantage.

STRATEGIC PLANNING AND MARKETING

Because your agency is probably not the largest and most prestigious organization in your community, because you may not receive much help from within your organization, and because you may have very limited resources, you must plan. And the optimal first step in planning is the structuring of a marketing strategy.

In essence, the very same planning process of marketing, so popular with commercial entities, can also apply to non-profit agencies. Strategic marketing helps compensate for institutional weaknesses and capitalize on organizational strengths. Your marketing campaign can help
present a desirable image to potential donors and to establish your organization’s qualifications for financial support. By tailoring your outreach message to communicate agency mission and unique agency attributes, the community begins to distinguish your agency from others, and you can begin to derive the optimum financial support from donors.

Obviously, there are differences between selling goods and services to consumers and the analogous selling of your organization for purposes of securing donations. However, strategic marketing, whether applied to goods and services or to fundraising, is essential to consumer recognition and support.

The following chart demonstrates the relationship between the marketing process and fundraising.

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<th><strong>Fundraising Application</strong></th>
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<td>Establishing goals</td>
<td>How can we raise funds without a clear understanding of what the objectives are? (More will be said about goal setting.)</td>
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<td>Evaluating the outside environment including market share analysis, analysis of the competition and market research</td>
<td>A feasibility study is always recommended prior to undertaking a fundraising effort.</td>
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<tr>
<td>Assessing internal capabilities</td>
<td>The priority-setting mechanism to determine the most appropriate fundraising method to use begins with an internal assessment of the organization.</td>
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<tr>
<td>Establishing and evaluating alternative actions</td>
<td>The fundraising priority setting accomplishes this by assessing which techniques to use and in what proportion.</td>
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<td>Developing an action plan to achieve goals</td>
<td>You should develop a fundraising plan with target dates.</td>
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<tr>
<td>Establishing methods and systems to evaluate results to see if goals are achieved</td>
<td>Your fundraising must be scrutinized and continuously monitored to determine if you are meeting your goals.</td>
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The ultimate objective of marketing is to increase sales of goods or services. If you substitute, by analogy, donations for sales, marketing concepts become a vital and necessary adjunct in successful fundraising. Remember, your organization is competing with local, state and national organizations for the charitable dollar. **Your message must be heard, it must be clear, and it must be compelling.** A marketing approach will structure your message and give your organization the following advantages:

- It will force you to think strategically.
• It will cause you to consider alternatives.
• It will compel you to consider the competition.
• It will focus your efforts on tactics that are cost effective.
• It ensures that decisions are made after analysis, rather than on impulse.

STRATEGIC MARKETING PREREQUISITES

The discipline of strategic marketing enables you to develop a sound foundation before beginning your actual fundraising campaign. The following marketing elements will be critical as you get started:

• Fundraising plan
• Marketing position
• Video or slide show
• Brochures and written material
• Project descriptions
• Tag line
• Specific goals

Fundraising plan

A fundraising priority-setting plan will allow you to determine the specific fundraising methods that will work best for your organization. It will identify the proper mix of methods needed in order to reach your short- and long-term objectives.

Marketing position

Before developing audiovisuals, written promotional material and tag lines, you must determine your market niche. What specific group of people are you trying to reach? Which is the most effective way to portray your organization and articulate its role in society to that group? What type of message will motivate them to support your organization? This is particularly critical for CACs, since the CAC mission can be complicated to explain.

A video or slide show

A video, film, or slide show can communicate to prospective donors who you are and why they
should support you. It can also serve to dispel inaccurate perceptions about your organization. The video should be relatively short and very dramatic. Avoid the run-of-the-mill “talking-head” video. In contrast, the recent documentary on PBS about the Civil War demonstrates the effectiveness of still photography. A rapid series of still shots can be dramatic and relatively inexpensive to produce. The music should be selected with care: avoid generic elevator music. Also, much of the dramatic effect obtained in successful movies is through the skillful use of music.

**COMFORT ZONE**

In order to develop collateral materials such as audiovisuals or written pieces, it is extremely helpful to have the advice of professionals. Contracting their services will make a significant difference in the quality of your final product. However, you can certainly try to have these materials produced as in-kind contributions. It is possible to engage public relations, advertising and marketing professionals on a continuous basis by placing them on an advisory committee or on your Board. They can make inestimable contributions to your organization. These professionals can help secure donations of services to produce, write, print, or film your materials. If the donation of services is not possible, professionals can alternatively ensure that high-quality services are obtained at a reasonable cost.

CACs are particularly fortunate. The National Network of Children’s Advocacy Centers is located in Washington, DC, and there are four Regional Centers (CACs) serving the north, midwest, south and western regions. Each is a source of training and technical support. They have produced generic videos and PSAs and have access to materials that have been developed by other CACs throughout the country. Therefore, you should review existing materials provided by the national and regional centers to determine if they are suitable or can be modified for your use.

**Brochures and written material**

It will be necessary to produce written material to leave with prospects. In Chapter 4, Section 3, “The Case Statement,” you will see how the message to be conveyed must reflect your strategic objectives. The written material should be professional looking, which does not mean that it needs to be expensive. While it is desirable to create a consistent or family look to your pieces, that may not always be feasible, particularly when the written pieces are meeting very different needs. Therefore, sacrifice, when necessary, a family look if maintaining that look reduces the effectiveness of the piece. Two-color brochures, if properly designed, can have greater impact than full-color pieces. In general, black-and-white photography is more dramatic than color.

**Project descriptions**

You will need to develop short, almost brief grant proposals, setting forth the current and future needs of your organization. These projects can be for services, equipment, training funds, general operations, publications, public education, etc. They are mini case statements. They are your product. They represent your current and future fundraising needs.
These project descriptions should have a uniform format consisting of:

- project title
- brief narrative establishing the need and, if appropriate, how the provision of support will redress some important problem or issue
- funds required
- proposal for the recognition of the donor(s) supporting this project

Tag line

Many agencies have misleading names that do not clearly tell the public what they do. CACs fall into this category. Some organizations use acronyms. Others use names that once accurately described the organization's mission but no longer do so. Whatever the communication problem, a tag line (such as “Improving Community Response to Child Abuse...”) used in conjunction with a logo or wherever the organization’s name appears on written materials can help convey the scope of your services. It will help clarify the actual purpose of your organization and help justify your need for support.

Specific goals

It is surprising how many agencies do not have specific short- and long-range goals for their fundraising. Apparently, each year, they simply set out to raise as much money as they can. The dollar goals you set will determine the strategies and plans to be followed.

SETTING GOALS

Because goal setting is so important and so neglected in the fundraising literature, a step-by-step goal-setting procedure follows. You should not, as many organizations do, set a goal merely to raise as much money as possible. You should be more specific in your goal-setting process.

Goal setting works best as a consensual process. The Board and professional staff must be in agreement regarding the goals. They cannot be imposed. If the staff members are saddled with goals they feel are not feasible, then these goals will not be attained. On the other hand, the staff may set goals that are easily attainable but do not meet the organization’s real needs. Ideally, the Board and professional staff should collaborate to determine challenging, realistic and directed goals.

DO YOU HAVE THE TIME TO DO IT RIGHT?

It is, of course, always preferred to have the time to cultivate donors, to develop the Board and to organize fundraising efforts according to a strategic plan. In the best of all worlds, you would be free to determine the combination of fundraising techniques that are best suited to your organization's long-term strategic needs. However, more often than not, this is not the best of all worlds. You may not have the time, the financial resources, or the personnel available to
undertake fundraising by the book.

The cliché answer is that you cannot afford not to do it the right way. In reality, an organization may not have the luxury of time to do it the right way. Doing it the right way can mean giving up funds now to obtain larger amounts later on.

The most time-efficient and effective manner for an agency to raise money is by seeking individual contributions of people through face-to-face solicitation. People do not tend to make major gifts without some meaningful involvement with the organization.

What constitutes a major donation will vary from agency to agency. For some agencies, $100 is a major gift. Others may set the threshold at several thousand dollars. Despite anecdotes to the contrary, it is quite unusual for wealthy people to open their checkbooks to agencies without an appropriate courtship period. Most people need to become progressively engaged in the work of an agency before making an investment of money and/or time to help the charity. They need to feel they are, to some extent, a part of that agency. This process through which agencies court prospective donors is called “cultivation.”

The critical problem is whether your organization has enough time and resources to carry out the work of the agency while raising the sums necessary to undertake that work. It is important to carefully assess whether you have the 6 months that will be necessary to undertake the cultivation to obtain major gifts.

If the answer is YES, Chapter 3, Section 1, “Major Donor Cultivation,” describes a cultivation program that will be helpful.

If the answer is NO, then some short-term efforts must be undertaken as an expedient. Even if your answer is YES, that you do have enough time to cultivate donors, you need to continue reading. Chapter 2, Section 1, “Setting Fundraising Priorities,” sets forth a process for establishing your fundraising priorities.

People tend to rely on the fundraising methods they are comfortable with. In most cases, that would be grant writing and/or special events. On occasion they will supplement these methods with direct mail. These tactics will be considered. You must also use other techniques to raise the funds needed in the time you have set aside for fundraising.

What are those fundraising techniques that can produce cash in relatively short periods? If time is pressing, you should not start out by investing time and effort in deferred- or planned-giving programs. These techniques require substantial periods of time to pass before the agency obtains the benefits of the donor's gift. For example, bequests in wills require the death of the donor and the settlement of the estate before the charity obtains the funds. In contrast, the techniques that can produce funds rapidly are:

- cause-related marketing
- direct mail and telephone solicitation
- special events
- honoree fundraising
- parlor meetings
What fundraising techniques you use and in what combination should not be a matter of whim, but a product of thoughtful analysis and planning. The planning process will take into account a number of variables that reflect the strengths and weaknesses of each fundraising technique, the strengths and weaknesses of your organization and your comfort level with each technique.
MEMBERSHIP ROLE
One of the most problematic areas of management of non-profit organizations is the role of the Board of Directors, particularly in fundraising. The first resource of any organization is its Board.

They Give

A principle tenet of fundraising is that the Board must demonstrate their commitment by giving their own funds in support of the organization. The giving should be in proportion to the financial resources of each individual Board member.

They Get

In addition, you will need all the help you can get to engage the interest of people of affluence and influence so that they, too, will give substantial sums to the organization. The Board should help identify, cultivate and turn prospects into donors.

Why Some Boards Do Not Engage in Fundraising

There are many reasons why Boards do not assist in fundraising. Most reasons are related to the expectations that are conveyed explicitly or implicitly to each new Board member. If the Board members do not presently engage in fundraising, it will be difficult to have them accept new fundraising responsibilities. The most typical scenarios of why Boards do not engage in fundraising are:

1. The Board was created in accordance with statutes or regulations, and its members were chosen, not for their fundraising potential, but rather because they are members of a class as defined by law. For example, many agencies serving older adults were originally created and funded by the government. Their Boards are expected to be representative of the constituency the organization serves, in this case, older adults. In the case of CACs, Boards must have representatives from the agencies participating in the Interagency Agreement. These Board members, serving in representative capacities, cannot always be expected to actively participate in every type of agency fundraising. However, many agency representatives are very willing to be involved on committees preparing for special events, such as bowl-a-thons, golf tournaments and auctions.

2. Many agencies had relatively secure sources of revenue that are no longer stable and secure. Many came to rely on government support through grants. Paid professional staff prepared these grant proposals without the participation of Board members. Since Board members did not have to engage in fundraising, they were appointed without regard to their ability to do so. This scenario has also been true for certain CACs.

3. Many Boards of non-profit agencies were created as friendly Boards rather than as independent Boards. As the locus of initiative shifted from government to the voluntary
sector, many non-profits have been started by very committed individuals. Often they created friendly Boards comprised of family, close friends and associates. While this permitted the founding executive the greatest latitude, that latitude was often extracted, either explicitly or implicitly, as a quid pro quo for the Board members not being expected to engage in fundraising.

4. Finally, Board members may prefer to use fundraising methods compatible with their own experience. The Board member may be only too willing to help with a benefit auction, a dinner-dance, or other special event that enhances his/her social standing and leads to public acclaim and recognition. They may be less willing to assist in the often quiet and behind-the-scenes efforts of cultivating and soliciting major donors.

Whatever the reason, when a Board does not participate in fundraising, or only provides help with bake sales, you have a problem -- not the least of which is the expectation of others outside the organization that the Board should demonstrate their commitment by being the first to give. Their attitude is, “Why should I give when your own Board won’t?” In addition, the Executive Director will soon be overwhelmed by his/her responsibilities and suffer burnout if they receive little or no fundraising support from their Board.

WHAT TO DO IF YOUR BOARD DOES NOT PROVIDE FUNDRAISING ASSISTANCE

The threshold issue is whether your present Board has members of sufficient affluence and influence to provide fundraising leadership and whether they were properly educated about their role.

You do not need an entire Board of affluent and influential members, and in the case of CACs, this usually is not possible, or preferable. You will, however, need enough people with these attributes in order to be effective in raising funds. How many potential fundraisers do you need on your Board who have influence on and access to persons of wealth? At a minimum you will need three or four. This number can comprise a critical mass around which you can build the additional leadership you need to engage in effective fundraising.

YES, Your Board has the Potential to Fundraise

If you determine that your Board has the potential to be an effective fundraising body, you may need to instruct them on their fundraising role. You may also be required to provide sufficient incentive for them to engage in fundraising with enthusiasm and/or assist you in the use of different fundraising methods. You can ask your Board to use the methods that you have determined to be of greatest benefit to the organization, even if they are more familiar with other techniques.

Board Training
There are many sources from which to obtain training and education in fundraising for your Board members. They include:

1. Non-profit resource centers which exist at both the local and state level.
2. Organizations such as the National Center for Non-profit Boards of Washington, DC.
3. Fundraising professionals from prestigious organizations in your locality may, for reasonable honoraria, assist in Board training.
4. Recommendations or aid from local chapters of the National Society for Fundraising Executives.
5. If you have one in your locality, recommendations or aid from the Community Foundation can be valuable.

**Warning: Re-Education Can Be Time Consuming**

Do you have the time and energy to organize and coordinate education for your Board? Time is your great challenge. The direction of a CAC is a complex undertaking and you do not have time to waste on marginally productive activities. **You must consider the costs and benefits of re-educating your present Board to directly engage in fundraising versus other options.**

You also must be prepared to acknowledge that some people, and consequently organizations, are not receptive to change. You may not have a lot of time to devote to trying to educate and train a Board that is resistant to this new role. The Board members may have the potential to assist you in fundraising, but may be unwilling to do so. Instead, it may be necessary to view the development of an effective fundraising Board as a long-term project which will come about through engaging the types of individuals needed over a period of several years.

**Incentives to Encourage Fundraising**

Besides training in fundraising techniques, you must be prepared to provide incentives to your Board members to engage in fundraising, particularly using the best methods. This can be accomplished with an effective donor recognition and gift stewardship program. The following incentives can help engage your Board members in your fundraising campaign:

1. Create fundraising committees and put your fundraising Board members in positions of responsibility.
2. Recognize their achievements at meetings.
3. Provide them with tangible expressions of your appreciation as you would for donors.
4. Treat them like VIPs at special events.
5. Meet with and/or call them on a regular basis.
6. Seek their advice.
7. Promote them to other valued leadership positions on the Board.

No, Your Board Does Not Have the Potential for Fundraising

If you have decided that your present Board does not have the potential for effective fundraising, you will have to remedy this situation. The remedy you choose and the strategy you adopt will be based on the following factors:

1. Membership Mandates

   You may be limited in what changes you can make to the composition of the Board. Statutes, regulations and agency bylaws frequently mandate that the Board consist of or contain representatives of certain groups. Many CACs are required to have members of the interdisciplinary team serve on their Boards.

2. Resistance to change can have adverse effects

   Existing Board members may resist a change in the Board’s responsibilities, particularly if they had an explicit or implicit expectation that they would not engage in fundraising. A change in financial conditions may precipitate a need for fundraising. However, no matter how unanticipated the change of conditions may be, Board members may not be willing to adapt to their new fundraising role. The resistance may be overt or covert. Whichever way the conflict arises, conflict can reduce the effectiveness of the organization.

3. Clashes of culture

   If an organization adds new members to its Board for purposes of fundraising, they may represent values and operating styles that are far different from those of existing members. The new members may experience frustration with the pace of activity, the issues that concern the Board and Board members’ resistance to change. The veteran Board members may also resist the alien attitudes of new Board members, their arrogance and their impatience. Instead of strengthening the organization, you may very well have weakened it through conflict.

If you decide NO, your present Board cannot currently fundraise effectively, you have THREE OPTIONS to improve your organization’s capacity. They are:

- **Supplement** - Add new members to your Board whose role and expectations will be to fundraise.

- **Replace** - Systematically replace existing Board members with new members whose...
role will be to raise funds.

- **Create a new Board or a new entity** - Create a separate new fundraising entity whose membership is clear about their fundraising responsibilities.

If you choose the third option, to create a new Board or new entity, you may do so in one of the following ways:

1. Create a new and separate non-profit corporation called “Friends of the Children’s Advocacy Center.” The organization’s purpose will be analogous to that of a hospital auxiliary working on behalf of the organization and raising funds for its benefit.

2. Create a new non-profit organization with a title such as “The Children’s Advocacy Foundation.” Many hospitals use this strategy. While the new organization will raise funds for the benefit of the original non-profit agency, the foundation may take on additional initiatives. For example, they can engage in public education or hold property. The utility of the strategy of creating an additional organization is, in addition to the fundraising benefits, the ability to be free of certain regulations that limit or constrain the original organization.

3. You may not wish to create an entirely new organization, or your present Board may feel threatened by this action. Therefore, you can create, as an intermediate or even a final strategy, a fundraising Advisory Committee.
Is Your Board Ready to Engage in Fundraising?

One of the easiest ways to determine whether a Board is ready to assist the professional staff in fundraising is to determine what priority they accord it. Nominal group techniques are methods organizations can use to develop consensus about certain issues. They can also be used, in this situation, to find out what the Board thinks about their fundraising role.

Method

The following nominal group technique is extremely useful in many situations where achieving consensus is important. There are two variations on the process. The difference between them is that, in one group, the facilitator provides the members with the options that will be ranked; in the second group, the members brainstorm the options. The group members are asked to rank individually the options that are under discussion from 1 to 10 or 1 to 100. For example, if deciding what special event the organization should hold, you can ask each member of the group to rank each one of five special events.

After the group has voted, the facilitator records the score for each of the options. Illustration:

<table>
<thead>
<tr>
<th>Spec. Event</th>
<th>Member 1</th>
<th>Member 2</th>
<th>Member 3</th>
<th>Member 4</th>
<th>Member 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auction</td>
<td>2</td>
<td>3</td>
<td>8</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Walk-A-Thon</td>
<td>6</td>
<td>5</td>
<td>4</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Ball</td>
<td>8</td>
<td>7</td>
<td>7</td>
<td>3</td>
<td>8</td>
</tr>
<tr>
<td>Raffle</td>
<td>7</td>
<td>6</td>
<td>7</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>Golf Tournament</td>
<td>2</td>
<td>8</td>
<td>7</td>
<td>8</td>
<td>8</td>
</tr>
</tbody>
</table>

Now the fun begins! Each option will be discussed individually in turn. When explaining the rules of discussion, the facilitator tells the group that every member’s opinion is valuable and will be accorded equal weight. For the purposes of the exercise, formal roles within the group such as Chairperson and Vice-Chairperson are forgotten. Any member of the group can speak. In addition, those who have given very low or very high scores are required to speak and explain
their score, especially when it deviates from the norm. In the illustration above, Member 3 gave a score for the auction that was significantly above all the other scores. Similarly, Member 1 gave a low score for the golf tournament. Perhaps they have special knowledge that the others might benefit from. In this hypothetical example, Member 3 did not have any special insights into auctions; they simply thought it might be fun. However, Member 1 had participated in a golf tournament for another organization and felt the benefits of the tournament did not merit all the work and effort involved. After a reasonable discussion period, the group votes again.

### VOTE 2

**BOARD MEMBER SECOND ROUND VOTE**

<table>
<thead>
<tr>
<th>Spec. Event</th>
<th>Member 1</th>
<th>Member 2</th>
<th>Member 3</th>
<th>Member 4</th>
<th>Member 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auction</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Walk-A-Thon</td>
<td>5</td>
<td>6</td>
<td>4</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>Ball</td>
<td>8</td>
<td>7</td>
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<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Raffle</td>
<td>7</td>
<td>7</td>
<td>7</td>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>Golf Tourney</td>
<td>2</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>3</td>
</tr>
</tbody>
</table>

From the scores on the second round, we see that the group reeled in Member 3 on the auction as they lowered their collective score. Member 1 was able to convince the group that maybe a golf tournament is not such a good idea. On the basis of the new score, the facilitator will suggest that the group eliminate three of the options -- the auction, the walk-a-thon and the golf tournament. They will be asked to confine their discussion and next vote to the ball and the raffle. It is very probable that one of the options will emerge as the consensus choice of the group.

**Advantages of Nominal Group Techniques:**

1. A consensus is developed with each member participating rather than one member imposing his or her will on the group.

2. The typical pattern in which members who are not pleased with a result then sabotage the plan or provide only lukewarm support is significantly reduced.

3. Consensus reached through cohesion is important in a non-profit organization. It is often better to have agreement about an option, even if it is not the 100% best possible choice.
3. The decision-making process is disciplined, and the danger of fractious dispute is reduced if not eliminated.

4. The free-and-open discussion so integral to this technique often serves as an educational device. Some participants may drop long-standing resistance to change and consider new concepts.

APPLICATION OF THE NOMINAL GROUP TECHNIQUE

You will need to know what priority your Board would confer on fundraising in relationship to its other responsibilities. If the priority is too low, it will indicate the extensive level of education that will be required to convince them to accept a role in fundraising efforts.

Using the nominal group technique, you will ask your Board to rank, either by 1 to 10 or 1 to 100, their view of how important it is for the Board to be involved in the following activities:

1. Strategic or long-range planning.
2. Approval of all hires and fires.
3. Establishment of personnel policies.
4. Responsibility for defining the organization’s mission.
5. Approval of all expenditures.
7. Approval of grants prior to submission.
8. Approval of all agency literature.
9. Setting policies for professional development.
10. Fundraising.

As you can see, some of the roles listed above are clearly Board responsibilities (such as strategic and long-range planning). Others are #3, 4, 6, 9 and 10. Other responsibilities are generally considered roles of the Executive Director (such as approval of all personnel decisions). They also include #2, 5, 7 and 8 because Boards should not be involved in day-to-day management. It is important to take note of the discussion on what Board members think their responsibilities are, particularly about fundraising. Perhaps they have not been thoroughly educated and do not perceive fundraising to be an important Board responsibility. Through this process a focused discussion of fundraising can occur.

Once this nominal group technique process is completed, your assessment of the Board will no longer be based solely on anecdotal incidents. The nominal group technique may educate your Board as well. Hopefully, a free and open-ended discussion will be less threatening than previous discussions about Board roles and responsibilities.
CAC BOARD OF DIRECTORS

Role: The Board’s role is to serve and advise the Children’s Advocacy Center so that the CAC can, in turn, serve the community.

Responsibility: To conscientiously assist the Board in fulfilling its responsibilities directing the organization toward meeting its mission, protecting and increasing its assets, taking responsibility for the ethical conduct of the affairs of the organization and disclosing and/or avoiding any potential conflict of interest.

Duties:

1. To serve the organization with a high degree of loyalty, always mindful of the interest and mission of the Children’s Advocacy Center.

2. To be prepared for Board decision making, including preparation for, attendance at and active participation in regularly scheduled Board meetings.

3. To exercise prudence in all decision making using judgement consistent with the accepted standards in the community. To assure that the proper legal/regulatory requirements are being met.

4. To respect the confidentiality of the Board Room at all times. Board members should refer all questions and inquiries for public statements to the Board President and/or Executive Director.

5. All members shall support the decisions and policies of the Board until such time as those policies and decisions are changed by an official action in accordance with the bylaws of the organization.

6. To assist in defining and supporting the responsibilities of staff, assuring that mechanisms exist to track the progress of delegated duties.
7. To participate in the process of continually evaluating the mission of the organization, establishing policies, setting goals and objectives and assessing and improving financial viability.

8. To be a community-based advocate for the Children's Advocacy Center.

9. To responsibly notify the Board Chairperson when the member determines that he/she can no longer continue to carry out the duties and responsibilities of Board membership.

Scope: The Board of Directors shall be responsible for the following areas of governance:

1. mission, goals and objectives identification
2. policy (parameters for operating)
3. long-range planning
4. financial viability, including fundraising
5. assessment and improvement of quality
6. legal and regulatory compliance
7. advocacy
8. support and evaluation of the Executive Director
(The following description can be used in conjunction with the CAC Board of Directors Job Description)

**THE BOARD AND FUNDRAISING**

As a Board member, you have a responsibility to participate in the fundraising efforts of the Children’s Advocacy Center. Each member is expected to do so by:

- making an annual contribution to the organization that is commensurate with his/her ability to do so.
- cultivating new donors among personal friends and business associates, taking advantage of opportunities to further cultivate those who show interest.
- encouraging increased giving from past donors to the organization.
- being familiar with trends and techniques in fundraising and with the tax advantages of charitable giving.
- participating in any annual efforts to contact contributors.
- attending special events related to the organization.
- actively participating in two or more of the fundraising activities listed below (please circle preferences).

**Special Events:**

Serve on the committee that plans the organization’s special events, with specific attention paid to each event as a means of cultivating potential or previous donors.

**Endowment:**

Serve on the committee charged with successful stewardship or completion of an endowment campaign.

Brainstorm and develop revenue-producing possibilities for the organization.

**Planned Giving:**

Provide guidance and expertise on planned-giving opportunities, recommend prospects and call on possible contributors in person.
Marketing:

Provide expertise and knowledge to develop joint promotions with businesses in the community. Provide expertise on marketing strategies and programs for various donor audiences to increase participation in the organization and to provide additional income.

Prospect Review:

Participate in the prospect review process.

Annual Campaign:

Serve on the Campaign Advisory Team and help identify and call on prospective donors in person.
## CHAPTER TWO

### FUNDRAISING TECHNIQUES

<table>
<thead>
<tr>
<th>SECTION</th>
<th>TOPIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Setting Fundraising Priorities</td>
</tr>
<tr>
<td>2.</td>
<td>Short-Term Expedients</td>
</tr>
<tr>
<td>3.</td>
<td>Cause-Related Marketing</td>
</tr>
<tr>
<td>4.</td>
<td>Fact Sheet, Worksheet &amp; Press Release</td>
</tr>
<tr>
<td>5.</td>
<td>Direct Mail</td>
</tr>
</tbody>
</table>
Setting Fundraising Priorities

Every agency is unique. Every agency has both strengths and weaknesses that will affect its ability to raise funds. Some CACs have strong fundraising potential while others must struggle to make their budget. The same fundraising methods in the same combination for every agency will not work. Therefore, you must determine the most appropriate fundraising methods for your agency to use, not as a matter of whim, but through the application of planning techniques. The following planning process will enable you to establish which fundraising methods will help you attain your goals. It will also show you the correct combination of methods. The process will produce:

1. An estimation of how successful you will be using each fundraising method.

2. A priority ordering of fundraising techniques that should be used based on:
   - The potential for success represented by each technique.
   - The major benefits and risks inherent to each method.
   - The relevance of the fundraising method to your organization’s objectives.

The self-evaluation questionnaire that follows can be a useful tool in the planning process.

Self-Evaluation

The first step in establishing your organization’s fundraising priorities is to make an assessment of your organization’s strengths and weaknesses. For each of the questions listed, rate your organization on a scale from 1 to 10. The scores are relative and are not based on any absolute standard. For example, you may need to raise $50,000 annually, which may be a lot to you, while, to an institution like Harvard University, it is a modest amount. Therefore, on question 8, “How much money do you need?” you would give yourself a high score.

Several people including the Executive Director, a senior professional, and two or three Board members should fill out this evaluation form. The scores will reflect the following:

1. A score for each fundraising method will indicate how successful your agency will be at using each method.

2. A score for each method will be used to establish a priority list of fundraising methods. This score will reflect the following variables:
   - how successful your agency will be at using each method
   - how consistent each method is to your agency’s needs
   - the strengths and weaknesses of each method
Score | Question
-----|-----------------------------------------------
      | 1. Do you have funds available to invest in fundraising efforts?  
      | 2. Do you have access to volunteer labor?  
      | 3. How strong is your case and how fast can you make that case for your cause?  
      | 4. How soon do you need your funds?  
      | 5. How much risk is your organization prepared to accept?  
      | 6. Is your organization very concerned about its image?  
      | 7. Do you have access to people of affluence and influence who, if properly motivated, will work on behalf of your agency?  
      | 8. How much money do you need?  
      | 9. Will you accept money with restrictions placed on its use, or do you want unrestricted funds?

How to Score the Questionnaire

**Question 1.** Using the following scale, the more money you have available for use, the higher the score.

<table>
<thead>
<tr>
<th>Money Available to Invest in Fundraising</th>
<th>Corresponding Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>$5,999 or less</td>
<td>1-3</td>
</tr>
<tr>
<td>$6,000 to $10,999</td>
<td>4-5</td>
</tr>
<tr>
<td>$11,000 to $25,999</td>
<td>6-7</td>
</tr>
<tr>
<td>$26,000 to $50,999</td>
<td>7-8</td>
</tr>
<tr>
<td>$51,000 or more</td>
<td>9-10</td>
</tr>
</tbody>
</table>

**Question 2.** The more volunteers to whom you have access, who will work if properly motivated, the higher the score.
**Question 3.** Some agencies, such as The American Cancer Society, have an agency name that automatically communicates their needs to potential donors. Other agencies have names that do not provide any clue as to their function. Some agencies, like CACs, have complex services requiring a lengthy explanation. Others represent causes that may be controversial. Effective communication detailing why you need the funds you seek is a reflection of the following:

- How persuasive you can make your case.
- How quickly you can make that case.
- How controversial your cause is.

The score should reflect each factor. A higher score will reflect the relative ease of persuading donors of the worthiness of your cause.

**Question 4.** The faster you need money, the higher your score should be.

<table>
<thead>
<tr>
<th>Time Available</th>
<th>Corresponding Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not needed for operations, but only as</td>
<td>1-3</td>
</tr>
<tr>
<td>insurance for contingencies</td>
<td></td>
</tr>
<tr>
<td>2 years</td>
<td>4-5</td>
</tr>
<tr>
<td>1 to 2 years</td>
<td>6-7</td>
</tr>
<tr>
<td>1 year</td>
<td>7-8</td>
</tr>
<tr>
<td>6 months or less</td>
<td>9-10</td>
</tr>
</tbody>
</table>

**Question 5.** The more risk you are prepared to accept, the higher the score. The risk factor acknowledges that the fundraising method may not produce the results you would like. It recognizes that some techniques have higher success rates than others.

**Question 6.** The more concern you have about your image, the higher the score. Some agencies will accept funds from any source. Other organizations, such as substance abuse treatment and prevention agencies, may choose not to accept funds from alcoholic beverage manufacturers. In addition, some techniques, such as telephone solicitation and direct mail, have higher visibility and may adversely affect the image of the agency.
**Question 7.** The more leaders (people of affluence and influence) you have access to, and the more leaders who are properly motivated to work on your behalf, the higher the score.

<table>
<thead>
<tr>
<th>Numbers of Leaders</th>
<th>Corresponding Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-1</td>
<td>1-3</td>
</tr>
<tr>
<td>2-3</td>
<td>4-5</td>
</tr>
<tr>
<td>4-5</td>
<td>6-7</td>
</tr>
<tr>
<td>6-7</td>
<td>7-8</td>
</tr>
<tr>
<td>8 or more</td>
<td>9-10</td>
</tr>
</tbody>
</table>

**Question 8.** The more money you need, the higher the score. Since this is a matter of relativity, the scoring will be based on the percentage of your budget needed to be secured through fundraising. For example, if your annual budget is $300,000 and you can be reasonably certain of receiving $200,000, the dollars you need to obtain through fundraising represent 33% of your budget.

<table>
<thead>
<tr>
<th>Percent of Budget to be Obtained by Fundraising</th>
<th>Corresponding Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-25% less</td>
<td>1-3</td>
</tr>
<tr>
<td>25%</td>
<td>4-5</td>
</tr>
<tr>
<td>50%</td>
<td>6-7</td>
</tr>
<tr>
<td>75%</td>
<td>7-8</td>
</tr>
<tr>
<td>100%</td>
<td>9-10</td>
</tr>
</tbody>
</table>

**Question 9.** Some funds, such as grants, come with restrictions on how the agency may use them. The more restricted funds you are willing to accept, the higher the score.
Sometimes an organization must operate on a crisis basis. For example, a CAC may learn that a major source of support will not be available for the upcoming fiscal year. In response, all fundraising efforts must focus on replacing that specific funding stream as quickly as possible. If time does not permit the establishment of a solid foundation for future fundraising, you will have to use short-term expedients. The objective is to use these techniques to stabilize your financial situation. After your organization has been stabilized, you can begin to lay the proper foundation for the long term.

Fundraising methods, no matter how sound, will not work without the proper mind-set of the fundraiser. Successful fundraising, like any other endeavor, requires a confidence level and a belief that your actions can and will make a difference. To attain your fundraising goals, you must believe in your methods, your organization and yourselves.

Even if certain fundraising methods rank higher on the priority scale, you must evaluate your personal comfort level. If you are uncomfortable with fundraising in general and a specific technique in particular, you may not have the patience to stick to it when confronted with obstacles. Rather than start with the method that seems most difficult, start with the method that you feel most comfortable pursuing.

Various fundraising methods can bring in funds in a relatively short period of time.

**PARLOR MEETINGS**

This method has been used with success in political fundraising and by some non-profit organizations. It is a relatively simple method to use, but it does require access to people of affluence and influence. If your organization has scored low on access to people with these characteristics, then this method will be of low utility and, therefore, of low priority to you. Parlor meetings will be discussed further in Chapter 3, Section 1, “Major Donor Cultivation.”

**What are they and where are they held?**

Parlor meetings are small and informal gatherings held in the home or club of the person hosting the meeting. They can also be held in the place of business of the host. In rare circumstances, they have been held in hotel or restaurant meeting rooms. The preferred site is the home of the host. They can be dinner meetings, brunches, cocktail parties, power breakfasts or power lunches.

**Who is invited?**

The host provides a list of his/her friends and business associates. You can supplement this list with individuals you believe to have sufficient resources and interest in your organization and/or
the problem(s) it addresses. Consider inviting people from the following categories:

- past donors to your organization
- donors to similar agencies in the community
- staff and or Board members from small local foundations
- business leaders
- clergy
- attorneys, physicians, accountants and other professionals
- people recommended by your Board members and other sources
- bankers, financial planners, investment advisers, insurance and real estate brokers
- cultural and civic leaders
- officers from fraternal organizations and social clubs

**Invitation Process**

The letter of invitation should be on the personal or business stationery of the host. Prepare the letter for their signature; and, if he/she does not have personal stationery, have some printed up and present the unused portion to them as a thank you. The host should follow up each invitation with a personal contact or telephone call. Your office should call to remind the guest of the meeting and confirm their attendance 1 or 2 days before the meeting. Attendance will be poor without personal contact. Telephone calls from the host will be critical.

**THE MEETING**

**Number of guests**

Every host has a preference as to how they wish to entertain their guests. It is important to establish an informal, convivial atmosphere. Try to attract between 10 to 15 people.

**Agenda**

1. The host welcomes the group and expresses appreciation for their attendance. The host indicates that he/she supports the good work and mission of your organization. The host introduces the organization spokesperson.

**NOTE:** The spokesperson should be selected for his/her ability to communicate and generate enthusiasm. Therefore, be flexible as to who will speak for your organization. The presenter can be the Board Chairperson, another Board member, the Executive Director, or some other staff person.

2. The spokesperson states the case for support for the organization. If he/she has a video or slide presentation, it should be shown following very brief remarks. If a video is shown, the spokesperson’s brief remarks should summarize why your organization is seeking support.
3. Allow for an interactive period of questions and answers. Prepare some questions in advance that the host and one of the guests can ask. For example:

- **Is our case for support solid?**
- **What is most appealing about our cause?**
- **How can we improve our presentation?**
- **Do you believe others in the community, including corporations and foundations, will respond to our message?**

It is also useful to ask the guests questions. These questions are flattering to the guests and will help generate lively and stimulating discussion.

**The Ask**

NOTE: It is critical to obtain the commitment to your cause from the host in advance of the meeting. You do not want to be surprised by a public commitment that falls below your expectations. This sets a poor precedent for subsequent commitments. If the intended gift of the host is too low, you can negotiate a higher amount and offer to allow him or her to pay the larger donation in installments.

**Being Sensitive to the Audience**

In some communities and among some constituencies this fundraising method is used with frequency and is quite acceptable. In other communities, unless you incorporate some safeguards, it may offend certain people and may ultimately jeopardize your long-range fundraising efforts. You must minimize any long-term adverse effects, particularly if you wish to use parlor meetings for cultivation purposes in the future. Mitigate potential awkwardness by:

1. Communicating that this method is the exception and will not be routinely employed.

2. Using a meeting title that establishes that the parlor meeting is being held for a limited time and purpose.

3. Tell the guests that they may be invited to attend cultivation events in the future and emphasize that if the invitation states there will be no solicitation, then there will be no solicitation.

4. State that your organization respects the guests' right to decline support at this time, but you hope that they will wish to do so in the future.

5. Indicate that you will keep them informed of the progress the agency makes with the financial resources they provide. This lets them know that you will be following up on their gift.
Mechanics of the Ask

1. After the organization communicates the above ground rules, the host makes an appeal. He/she should be free to use his or her own style and wording. The following language is suggested:

   “Assisting abused children, the most innocent of victims, is very important to our community, to my family and of course, to me. I hope you will consider making a suitable gift this day/evening, a gift which is proportionate with your means and reflects the important work that the Children’s Advocacy Center does. I value the good that this organization does for all of us and am making such a gift myself.” (At this time, they present a check to the spokesperson for the organization).

Optional and Preferred: If the host has no objection, a public declaration of the dollar amount of his/her gift will establish what is expected from the guests.

2. After the host makes his/her commitment, arrange the meeting in such a way that one or two of the guests make their commitment in a visible manner. They can do this with a public declaration of the amount, or by presenting their checks to a representative from the organization.

3. Organizational staff should distribute pledge cards, pens and if desired, written materials. The host states that pledge cards and/or checks will be picked up in 5 to 10 minutes. As politely as possible, when the appropriate amount of time has elapsed, go to each guest and ask for the card and/or check.

NOTE: Pledge Cards serve two purposes:

   To permit for donations to be granted over an extended period of time. If a guest is cash poor, reasonable time is 3-6 months.

   Since guests may not have a blank check handy, the pledge card facilitates a commitment while their interest is at its peak. Do not let the guests take the cards home! Even if they say they will make a gift later, they are much more likely to give if they complete and submit the card on site.

Follow-up

Do not sacrifice long-term stability for immediate financial gain. While people will contribute at these parlor meetings, you must recognize that their level of giving will not be as great as if they had been properly cultivated. To capitalize on the potential of these donors to give in the future at higher levels, you must cultivate them following the receipt of their gift. This process is called “gift stewardship.” Stewardship consists of two elements:

Donor recognition: Their gift must be acknowledged with appropriate thank you letters.
is a good idea to personalize these notes with something that the guest said during the meeting. In addition, if the gift was very generous, provide some tangible expression of appreciation. Many organizations give the typical mugs, tee shirts, pens and other tokens emblazoned with their logo. In Chapter 3, Section 4, “Further Cultivation/Recognition,” more imaginative ways to express appreciation will be discussed.

**Cultivation:** Cultivation usually occurs before solicitation; however, these donors must be cultivated after the receipt of their initial gift. At a minimum, send them newsletters, press clippings and articles highlighting the work of your agency. This provides evidence that their funds are at work. Also extend personal invitations to special events – perhaps a special breakfast, lunch, or cocktail party to thank donors. Other cultivation tactics are covered in Chapter 3, Section 1, “Major Donor Cultivation.”
SUGGESTED LETTER OF INVITATION TO A
PARLOR MEETING

Date

Name
Address
City, State, Zip

Dear _____ :

As one of many individuals deeply interested in the welfare of the Everytown Children’s Advocacy Center, I am sponsoring an informational (dinner, cocktail party, luncheon, brunch) at (place), on (day, date), at (time), and would like to extend an invitation to you (and your spouse, name if known) to join us.

Several other friends are also being invited to attend this small gathering to discuss the future plans and programs of ECAC on a very informal basis.

I respect your advice and counsel and believe you can be of help to us. I hope that you will express your ideas and offer support that will enable us to improve our program. Your ideas will serve as a catalyst for the others present to do the same.

I will be in touch with you soon to confirm your attendance.

Very truly yours,

(Signature)

Name of First Host

This letter is mailed on the first host’s stationery and is followed by a personal invitation, either by telephone or in person, within a week to 10 days.
SUGGESTED LETTER TO THOSE WHO COULD NOT ATTEND

Date

Name
Address
City, state, Zip

Dear ____:

I understand that a conflict in schedule prevented you from attending a meeting recently hosted by (name of first host), concerning the Everytown Children’s Advocacy Center.

As a part of our continuing effort to inform community leaders and to seek their advice and support regarding future plans for the ECAC, I, too, am sponsoring a (type of event) at (place), on (day, date), at (time). I would like to extend an invitation to you (and your spouse, name if known) to join us.

I will be in touch with you soon to confirm your attendance.

Very truly yours,

(Signature)

Name of Second Host

This letter should be sent on the second host’s stationery and should be followed by a personal invitation, either by telephone or in person, within a week to 10 days.
SUGGESTED LETTER TO THOSE WHO ATTENDED A PARLOR MEETING

Date

Name
Address
City, State, Zip

Dear ________:

Please accept my (our) personal appreciation for your having taken time out of your busy schedule(s) to join me (us) at (our home, other place) for (luncheon, brunch, dinner, cocktails) and for affording us an opportunity to share with you the future plans of the Everytown Children’s Advocacy Center. Your interest is encouraging and your comments were helpful.

I hope you found the meeting worthwhile, and we were delighted that you and your spouse (if applicable; name if known) could be with us.

Very truly yours,

(Signature)

Name of Host:

It may be appropriate to try to customize these thank you letters with something that the individual said during the course of the meeting.
**THE CONCEPT**

Cause-related marketing is a relatively new fundraising technique and one with vast untapped potential for community-based charities. For someone with flair and a sense of promotion, it can be an extremely productive tool that can produce a flow of income in a relatively brief period.

This strategy first became popular through Jerry Lewis and his Muscular Dystrophy Telethon. Using his celebrity, Jerry Lewis was able to ingratiate himself with major corporations who then agreed to support his charity. They did so in a variety of promotions whereby a purchase of their product would generate a contribution. This technique was also used for the Special Olympics, the US Olympic Team and the American Cancer Society.

**THE BENEFITS**

A well-designed cause-related fundraising program is a win-win situation. Everyone wins. The products of the participating business are promoted, goodwill for the business is developed, and the program increases business sales.

The charitable contribution comes from the corporate advertising and/or a marketing budget, and there is actually far less competition for these funds. These funds are also significantly greater than the typical traditional corporate contribution. Corporations whose traditional charitable giving range is $500 to $10,000 will make cause-related marketing contributions in the multiple hundreds of thousands of dollars and, in some cases, in the millions!!

The charity not only obtains gifts of a magnitude far in excess of the usual contribution, but they also obtain the public relations value of massive corporate promotional advertising.

The public derives the psychic value of contributing to a charity in a rather painless way. For example, if we have a choice between soaps, and we have no clear preference, why not buy the one benefiting the Special Olympics?

**YOUR OPPORTUNITY**

Cause-related marketing is currently a standard technique of national charities working with national businesses. It is rarely used by local businesses for the benefit of community charities. When it is, it is usually executed as a one-shot deal. This is your opportunity! CACs can develop programs with savings banks, car dealers, restaurants, local food chains, video stores and many other merchants. Through participation, the CAC generates benefits that in the past were only available to national businesses and chains.

The benefits to the business include:
• increased sales through a well-conceived promotion
• favorable public relations and exposure
• identification with a noble cause and the ability to make a charitable contribution in a relatively painless way

Contributions to the United States Olympic Team and other organizations do not come from corporate charity funds. The contributions come from the corporate advertising and promotional budget! By initiating a similar strategy with your CAC, you increase your funding and exposure and strengthen your competitive edge.

HOW IT WORKS

A business advertises the existence of a cause-related program in the media. The promotion links consumer purchases of specific goods or services to a charitable donation. The charity publicizes the program through press releases and public service announcements (PSAs), feature stories, etc. It is very simple, it is elegant, and it works.

STARTING A PROGRAM

1. Start with a friend, a Board member, or a business person you know. Iron out the bugs. Use the example to help generate partners.

1. Develop a creative marketing theme:

• Design a program with a child-focused appeal. For example, an agreement with a local fast food outlet (McDonalds) titled “Happy Meals for Happy Kids.” The business can make a donation to the CAC for each Happy Meal they sell.

• Develop promotions tailored to your consumer sponsor. For example, promote video rentals by linking a donation for each children’s video rented. Or, promote pizza sales by creating a program called something like “Top This,” – and for each topping ordered, a donation can be made to the CAC.

3. Start a scrapbook documenting the program and its successes. Fill it with press releases, newspaper photos, stories about the promotion and letters from satisfied partners. The scrapbook will be a very useful sales tool for future programs and fundraising outreach.

4. Prepare ad copy and a press release describing the joint promotion. You cannot count on small business owners to be especially creative. They will need a concrete example of how the program will work. Bring the press release and ad to demonstrate how you plan to market the program to the press and the community.
5. The business must have a marketing need. If they have plenty of business, they probably will not be a prospect unless there are other business reasons for wanting additional publicity. Florists might enter into joint ventures in November when fewer people are purchasing flowers; but not in May or June when sales are at their peak. Monitor other joint business promotions in your community. **Companies that engage in commercial joint promotions are also likely to be disposed to joint ventures with charities.**

6. Agree to the contribution in advance, and make it as simple as possible. Businesses usually do not want to count the sales of the promoted product, so may agree to a predetermined amount prior to the promotion. Contributions should be in the range of $500 to $5,000, depending on the size of the business.

7. Establish safeguards for the charity. Make certain that you have the right to approve any copy or promotional material the business uses to further the venture. You will probably have to make this a reciprocal obligation, giving the business the right to review your promotional material.

8. Use your marketing scrapbook and the following cause-related marketing fact sheet to assist in future sales presentations.
CAUSE-RELATED MARKETING FACT SHEET

Definition: Cause-related marketing is a joint program between a business and a charity whereby a purchase of goods or services by a consumer triggers a charitable donation by the business to the charity.

Example: American Express donates sums to organizations serving the homeless through the “Share Our Strength” program for every use of the American Express card.

Example: Proctor and Gamble contributes sums each year to the Special Olympics triggered by the redemption of special discount coupons when the consumer purchases specific products.

COMMUNICATE THE FOLLOWING TO A POTENTIAL BUSINESS PARTNER

Company Benefits from Entering an Agreement with the Children’s Advocacy Center:

While cause-related marketing is a proven method through which businesses work cooperatively with charities, to date the overwhelming number of these joint programs have been between national companies and national charities. Through our proposed joint campaign, each partner takes advantage of the same mutual benefits in the local arena.

“If it has worked for big businesses, it can and will work for us. Our community can now benefit from the same proven techniques used by national companies and charities like Minute Maid and the US Olympic Team.”

The Well-Established Cause-Related Marketing Strategy Offers the Following Advantages:

1. Increasing company profits
2. Enhancing company image
3. Increasing company visibility through an effective public relations campaign
4. Contributing to a community charity (the Children’s Advocacy Center) while simultaneously promoting the company’s services and products
The viability of this technique is demonstrated through the difference in size between traditional charitable donations and cause-related marketing.

<table>
<thead>
<tr>
<th>Company</th>
<th>Average Donation</th>
<th>Cause-Related Marketing Gift</th>
<th>Charity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proctor &amp; Gamble</td>
<td>$500 to $10,000</td>
<td>$300,000</td>
<td>World Wildlife Federation</td>
</tr>
<tr>
<td>Colgate-Palmolive</td>
<td>$1,000 to $10,000</td>
<td>$1,000,000</td>
<td>Reading is Fundamental</td>
</tr>
<tr>
<td>Kraft/General Foods</td>
<td>$1,000 to $5,000</td>
<td>$300,000</td>
<td>Children's Miracle Network</td>
</tr>
<tr>
<td>Clorox Company</td>
<td>$1,000 to $5,000</td>
<td>$150,000</td>
<td>Children's Miracle Network</td>
</tr>
<tr>
<td>Johnson &amp; Johnson</td>
<td>$1,000 to $25,000</td>
<td>$625,000</td>
<td>Children's Miracle Network</td>
</tr>
<tr>
<td>Continental Baking</td>
<td>$500 to $5,000</td>
<td>$100,000</td>
<td>Second Harvest</td>
</tr>
<tr>
<td>McNeil-PPC</td>
<td>$1,000 to $10,000</td>
<td>$500,000</td>
<td>Shelter Aid</td>
</tr>
<tr>
<td>Cheesebrough-Ponds</td>
<td>$500 to $10,000</td>
<td>$200,000</td>
<td>Big Brothers and Big Sisters</td>
</tr>
<tr>
<td>Kal Kan Foods</td>
<td>$500 to $2,500</td>
<td>$1,500,000</td>
<td>US Olympic Team</td>
</tr>
</tbody>
</table>
CAUSE-RELATED MARKETING WORKSHEET

DEVELOPING THE PROMOTION

Generate enthusiasm for your project by creating a clever or amusing theme. Remember, the theme must work in conjunction with writing ad copy. Focus on the children you serve. Use common expressions and cliches associated with children such as The Children’s Hour, Time Out for Children, etc.

THEME IDEAS

1. Cookies & Kids Go Together

2.

3.

4.

5.

6.

USING THE THEME IN AN AD

The utility of the theme is not only how clever or witty it is, but how well it works when used in ad copy. To see if it works, use each of the themes to develop ad copy.

Sample Copy – The Children’s Hour:

Using the theme “The Children’s Hour” for CACs, the following copy can be used for a restaurant:

The Children’s Hour...

Bring your entire family to (NAME OF RESTAURANT) during the hours of 5-6:30 p.m. -- The Children’s Hour -- and we will contribute one dollar from every meal to the Children’s Advocacy Center to help provide services to abused children in our community.

Write your own strategy for persuading cookie vendors to enter into an agreement and wrote mock ad copy for each of the themes you have developed.

Sample Strategy -- Cookies & Kids Go Together:

Since cookie purveyors are not as common as McDonald’s Restaurants, aim to enter into agreements with various cookie-selling locations. Begin with the Yellow Pages under “Bakeries” and solicit both neighborhood bakeries and shopping mall cookie purveyors. Also consider supermarkets, small grocery stores and vendors with carts. Research whether you have a national bakery in your midst such as TastyKake, Little Debbie, Archway, or Pepperidge Farms.
They probably would not give you a percentage of their sales nationwide, but they might consider doing so for their local or regional sales territory. It takes plenty of planning, but if CACs across the country became involved in cookie sales at the same time, national bakeries might get interested.

**Sample Ad -- Cookies & Kids Go Together:**

For every (INSERT SPONSOR) cookie sold on Wednesday, (month/day), the (name of town) Children’s Advocacy Center will receive a portion of the proceeds to help abused children. For a list of participating stores, see the Children’s Advocacy Center ad in Tuesday’s (name of newspaper), or call the Children’s Advocacy Center at (xxx-xxxx). Let’s all get out on Wednesday to enjoy the cookies and support this worthy cause.
SAMPLE PRESS RELEASE FOR CAUSE-RELATED MARKETING

Everytown Children's Advocacy Center
(DATE)
FOR MORE INFORMATION CONTACT:___________________________________
(CAC contact name & title)
___________________________________
(phone)

For Immediate Release

THE CHILDREN'S HOUR
Children's Advocacy Centers: Improving Community Response to Child Abuse

Dining out with your family may sound like an unusual way to assist a worthy cause, but it is a feature of a new program sponsored by the Everytown Children's Advocacy Center and (name of restaurant). The Everytown Children's Advocacy Center provides support and services to abused children in our community.

The program, entitled The Children's Hour, helps publicize (name of restaurant), while simultaneously raising funds to be used to provide services to abused children in our community. The (name of restaurant) will contribute $1 from every meal served to families during the hours of 5:00 to 6:30 p.m. -- The Children's Hour. These funds will be used to provide services to abused children in our community.

“Cooperative programs like this permit local business to assist in providing vitally important services to our community,” states owner/chef (name). “Families will be able to dine and enjoy our specialties and have the satisfaction of knowing that while they are enjoying themselves, they are also helping children in need.”

This new program starts (DATE) ________________ and will run through (DATE)______________________.

- **-**

NOTE: Suggesting press release quotations such as chef ____’s above is standard press release etiquette as long as the quoted source is consulted and approves the statement.
Charity’s use of aggressive direct mail techniques is a current source of debate and controversy. Unscrupulous consultants, dubious charities and high-powered political fundraising are leading to increased government scrutiny and possible regulation. Expenditures on direct marketing techniques, mail and telemarketing have increased while other forms of business advertising have declined. Charities using direct mail are competing with local, statewide and national charities. Charities are also competing with the avalanche of commercial catalogs, letters and fliers that consumers receive on a daily basis. In addition to the intense competition in the direct mail field, CACs should also be concerned about the image projected through direct mail pieces. It is essential to maintain dignity and integrity in any mailing efforts. This is not an easy task. In order to stay competitive and attract the consumer’s attention, you may need to consider attention-generating devices that may be inconsistent with your image.

Organizations, both for-profit and non-profit, relying on direct mail revenue expend significant sums designing the direct mail package, testing alternative packages and selecting and testing various mailing lists. Some organizations have resorted to misleading come-ons such as pieces resembling telegrams or official mail from the Social Security Administration or the IRS.

Organizations interested in direct mailings should consider whether mailings would provide:

1. a major source of revenue?
2. a supplement to other fundraising?
3. a short-term expedient?
4. a source of prospects for larger gifts?

Question #1 is least relevant. Because of intense competition, constantly changing state of the art and high and escalating costs, direct mail is not a promising way to raise large sums of money. The philanthropic literature continues to report declining results and increasing competition in direct mail.

CACs are relatively disadvantaged when compared to other organizations in the use of direct mail for the following reasons:

1. Other organizations, such as hospitals, colleges and cultural organizations, can use lists of past clients for their direct mail appeals. This is not a viable option for CACs.
2. The CAC mission is difficult to explain. Charities whose mission is easily communicated have a real advantage in direct mail solicitation efforts.
3. CACs are relatively new organizations, and it is always more difficult to compete with older, better-established direct mailers.
Direct mail is best used as a short-term expedient, as a supplement to higher-yield methods and as a source of prospects for larger gifts. With respect to the latter, the vast majority of people who write a check for $50, $100, or more through a direct mail solicitation are prospects who can give substantially more after they have been cultivated and have developed greater interest in your organization. A donor of $100 by mail can often become a prospect for a $1,000 donation when asked face to face.

**COLD VERSUS TARGETED**

How can you compete with organizations spending high dollar amounts and using dubious ethics? Clearly, you cannot compete with them on their terms. You can, however, distinguish between cold direct mail and targeted direct mail. Cold direct mail uses mailing lists obtained through commercial sources. People on the list do not have any known prior contact with your organization. Targeted direct mail uses mailing lists compiled from various sources and includes people who have had some previous level of contact or connection with the CAC.

**COLD**

The sophistication involved in list selection continues to increase. Credit card companies now provide customer listings according to consumer interests as derived from their purchasing history. Some list brokers even package lists of prospects that are demographically sorted so that the prospects are more likely to spend. The return on cold mail ranges from 5 per 1,000 (a statistically poor response) to 30 per 1,000 (an excellent response). The cost of these commercially generated lists ranges from $35 to more than $100 per 1,000 addresses. By making the following calculated assumptions, you can begin to project your estimated rate of return.

<table>
<thead>
<tr>
<th>COSTS</th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>List cost per 1,000</td>
<td>45</td>
<td>60</td>
<td>75</td>
</tr>
<tr>
<td>Postage cost per 1,000</td>
<td>75</td>
<td>87</td>
<td>320</td>
</tr>
<tr>
<td>Printing cost per 1,000</td>
<td>300</td>
<td>400</td>
<td>600</td>
</tr>
<tr>
<td>Cost per 1,000</td>
<td>$420</td>
<td>$547</td>
<td>$995</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>REVENUE</th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Return per 1,000</td>
<td>10</td>
<td>20</td>
<td>30</td>
</tr>
<tr>
<td>Average donation</td>
<td>15</td>
<td>20</td>
<td>25</td>
</tr>
<tr>
<td>Revenue per 1,000</td>
<td>$150</td>
<td>$400</td>
<td>$700</td>
</tr>
</tbody>
</table>

This chart demonstrates how, in order to make a profit, direct mail efforts must obtain a medium-to-high return and keep the costs low. The profit margin per 1,000 is low, so you will need to disseminate large mailings to obtain a sufficient return.
For example, a medium return generates revenue of $400 per 1,000. If costs are approximately midway between low and medium, you will spend about $450. The (profit) loss per 1,000 pieces is $50. In order to net $5,000, you would need to send out 100,000 pieces. Your up-front costs in postage alone, $8,700, would damper the ardor of most organizations.

In addition, the costs in the chart do not account for any graphic designing costs. The more expensive packages presume that you will be sending something more ambitious than a letter on your current stationery. The costs listed above also fail to include the expense of direct mail consulting fees.

Some organizations reduce expenses by arranging for printing and/or design services to be contributed as an in-kind donation. This is feasible for direct mail of limited size. But, how can you realistically hope to have these services donated when you are sending out 100,000 and more pieces?

How do organizations generate sufficient revenue to continue the use of direct mail?
Volume and Donor Life Span become essential to direct mailing success:

1. **Volume**: National organizations send out millions of mail pieces. Profit margins may be small, but they obtain a consistent revenue stream through continuous mailings so that the ongoing direct mail campaign nets an overall profit.

2. **Donor Life Span**: A certain percentage of cold mail converts recipients to donors. Once people become donors, they tend to demonstrate a degree of loyalty, and a percentage of them can be expected to make future gifts. The percentage of first-time donors making subsequent donations varies according to the organization and the sophistication of the appeal. The chart below demonstrates how direct mail, using the donor life span concept, can function as an investment in future support, thus justifying the continued use of direct mail.

**NOTE**: This explanation of how direct mail can work for the benefit of an organization is being discussed so you will have a better understanding of the process. It is not intended to convince you to make direct mail an important part of your fundraising. On the contrary, sufficient knowledge of the process enables you to explain to your Board members or others why you are using this method to compliment other fundraising -- as a short-term expedient or for prospect development.

**Calculating Donor Life Span**

The effectiveness of direct mail, particularly cold mailings, must take into consideration that donors will give more than once. Using the chart below, you can determine your organization’s donor life span. CACs can fall within categories 3-6, depending on how artfully you can present your case.
<table>
<thead>
<tr>
<th>Type of Organization</th>
<th>First-Year Donor Renewal Percentage</th>
<th>Each Succeeding Year Donor Renewal Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strong alumni organization or prestigious cultural or community organization</td>
<td>95%</td>
<td>95%</td>
</tr>
<tr>
<td>2. Average college or cultural organization</td>
<td>90%</td>
<td>90%</td>
</tr>
<tr>
<td>3. Strong fundraiser with sophisticated philosophical appeal</td>
<td>75%</td>
<td>90%</td>
</tr>
<tr>
<td>4. Average fundraiser with average philosophical appeal</td>
<td>65%</td>
<td>85%</td>
</tr>
<tr>
<td>5. Fundraiser with unsophisticated emotional appeal (sympathy causes)</td>
<td>50%</td>
<td>80%</td>
</tr>
<tr>
<td>6. Philosophical appeal fundraiser with factors that tend to turn people on or off</td>
<td>50%</td>
<td>90%</td>
</tr>
</tbody>
</table>

**Targeted**

Despite the many caveats, direct mail can be an effective way to obtain short-term support. The greatest utilities of direct mail are the speed of return and the development of prospects. With regard to speed of return, you should expect to receive checks within 1 week to 10 days of your mailing. The following sets forth some basic direct mail strategies:

**The List**

For the reasons set forth above, the purchase of commercial lists is not recommended. The lists you use should consist of:

1. prospects who have had some previous contact with your organization;
2. prospects whom you believe will, for some objective reason, be more likely to give to your organization than those on the typical cold list available by purchase.

Sources for developing a mailing list for organizations are set forth below. However, not every source is appropriate for CACs:
• previous donors
• clients of the agency and/or their families (not generally able to contribute due to their socioeconomic level)
• suggestions from clients (limited for CACs)
• suggestions from Board members and staff
• attendees at your special events
• vendors providing goods and services to your agency
• volunteers and suggestions from volunteers
• list sharing with other local agencies

A word must be said about the last source -- sharing with local agencies. Contrary to some beliefs, sharing donor lists does not hurt you by helping your competition. The fact is, donors to one organization are more likely to give to another similar agency than people who have never given at all. These charitable patterns inspire national charitable organizations to lease their lists to other charities through commercial brokers and inspire other competing agencies to use these targeted lists.

**NOTE:** When purchasing a list from a commercial source, you do not have unlimited use of that list. You can only use it for a prescribed number of mailings, and brokers usually salt their lists with names to help alert them to illegal use of their lists.

**The Mail Package**

Every item in the package is critical and warrants careful attention to detail. A typical package consists of:

- envelope
- appeal letter
- return envelope
- pledge card
- a novelty such as stamps, pens, or stickers (optional)
- coupons restating the appeal in briefer form (optional)
- endorsement letters, newspaper articles or letter and article excerpts (optional)

**MECHANICAL ISSUES**

Consider the following practical issues before finalizing your mailing package:

1. **How will we address the receiver? Will the letter be personalized or will you refer to them as “Dear Neighbor”?**

   According to widespread opinion, personalizing the letter and envelope is preferable.

2. **Who will sign the letter?**

   The Board Chairperson, the Executive Director, or a recognizable party such as a known...
community leader. Unless the signer is very well known or personally known to the receiver, the name makes little difference.

3. **What kind of postage?**

First class, stamp or indicia, bulk mail indicia, or bulk mail stamp? Direct mail pros encourage the use of first class, particularly for your own lists. The cost difference will not be significant ($190 per thousand) for mailings of the relatively small size you will be making.

4. **How will we address the envelopes?**

Handwritten, typed, computer printed or peelable label? Handwritten is inappropriate except for invitations to events. While type is preferred, computer printed is a good substitute. You can print the labels yourself, or provide your list to a mailing house on a floppy disk and have them, for a nominal charge, converted into peelable labels. Ink jet printing technology can also apply the address directly on the envelope and letter. Ink jet is the closest match to typewritten text.

5. **CAC volunteers versus mailing house?**

One of the most foolish savings an organization tries to make is using volunteers to stuff envelopes instead of using a mailing house. For a minimal cost, mailing houses can handle these tasks in an expedient and professional manner. They can also maintain your original lists for future use. The additional dollars spent are well worth the reduced aggravation.

6. **List maintenance**

Unless you have appropriate hardware, software, know-how and time to manage your list, using a mailing house is preferable. Mailing houses can handle periodic list additions, merging and purging to maintain list accuracy. People constantly move, die, divorce and change jobs, so you must keep track of mail returned to the sender and submit changes to the mailing house.

7. **Return envelopes - with postage or without?**

Actually, there may be no clear advantage to either strategy. Prepaid conveniences the donor but may project an exaggerated image of agency wealth. Conversely, the absence of a prepaid envelope establishes the agency’s need for funds but also results in an additional task and expense for the potential donor.

**GRAPHICS**

- Graphic design should be balanced. Images that are too strong can overwhelm the copy so the message is lost. Poor graphic design cheapens and detracts.

- Copy must match the physical format of the piece; the design creates a tone which should compliment the text.
Copy

1. **Keep it short.**

Fashions and trends change, and professionals will give contradictory advice about how emotional or personalized the appeal should be. Whatever you decide, keep your copy as concise as possible.

**HINT:** Keep the direct mail pieces that you and your agency’s staff, Board and friends receive. This helps you gain a sense of what is and what is not attractive about each piece.

2. **Make it interactive.**

Professionals who send out junk mail have learned that the more time people spend with a mail package, the more likely they are to respond. That explains why those publisher sweepstakes packages are so difficult to figure out.

3. **Be careful.**

Do not allow your mailing package to contain typos or other sloppy mistakes that can jeopardize your credibility.

4. **Use postscripts.**

This creates a sense of greater personalization for the reader and is very effective.

5. **Use grabbers.**

Grabbers make people stop and pay attention. The average reader’s attention span is only 20 seconds. The grabber can be a headline on the envelope, a headline in the letter, or an interesting graphic.

The Pledge Card

1. **If possible, allow donor choice.**

Pledge cards can and should give your audience choices regarding the dollar levels they wish to contribute and the programs they wish to support. For example, you can give them the choice of supporting counseling services, prevention activities, or community education.

2. **Make your mailings readable.**

Many feel that this is the most important aspect of the mailing. Each mailing must contain all the key agency and program information.
3. Make sure the donor card fits into the return envelope!

Sounds simple enough, but oversights in this area can and do occur!

**RECOGNIZE DONORS THROUGH PROPER CULTIVATION AND STEWARDSHIP**

When the prospects become donors, you have the opportunity to cultivate them and, through proper stewardship, maintain and increase their giving level. A mail gift of over $50 might be an indication of much greater potential, and you may wish to solicit this donor in person.

Increase the level of donor recognition in proportion to their gift. You may consider different signatories, different letters and even multiple letters as the contribution size increases. Donations of $50 and up might receive a different letter than donors at lower levels. You may choose to send two letters to donors contributing $100 or more – perhaps a letter from the Executive Director and one from the Board Chairperson.

One of the most recent trends in stewardship is to call donors to thank them for their gift. You can divide the task of calling donors among staff and Board members. The call should go like this: “We are calling supporters such as yourself to thank you for your generous gift. Your contribution will allow us to provide crisis counseling to children who have been traumatized by abuse. We appreciate your gift as do the children we serve. Thank you.” The donor will be delighted and surprised that the call was just to thank them and not for an additional solicitation. The goodwill you have generated can produce future benefits.
# Chapter Three

## Cultivation

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For many CACs the prospect of receiving large gifts from individuals seems beyond their reach. They know that such gifts are made, but believe that they are made to other, more prestigious organizations. How can you obtain your fair share of these major gifts? Cultivation is key. **What is a large gift?** There are no rigid definitions of how large is large and how major is major. It is entirely relative. For some organizations, $100 represents a major gift, while others consider gifts of $10,000 or larger as the threshold. The process of obtaining major gifts includes the following steps:

### 10 STEPS OF A MAJOR GIFT PROGRAM

1. Developing a message that will convince prospects to become donors.
2. Developing materials to convey the message.
3. Identifying sources for donor prospects.
4. Planning opportunities to meet these prospects.
5. Involving prospects with your organization.
6. Evaluating the prospect’s ability to give.
7. Developing a solicitation strategy.
8. Soliciting the donation.
9. Recognizing the gift.
10. Maintaining continuous communication with the donor.

**Step 1. The Message:** Developing a clear, consistent case statement is the key to persuading people to make a significant contribution to your organization.

**Step 2. The Materials:** Audiovisuals, brochures and other supportive materials can communicate your message to prospective donors and strengthen your case for financial support.

**Step 3. Identification:** If you had the resources of major colleges, you could devote some of those resources to researching and identifying prospects. Many commercial products are available. There are lists of wealthy people; for example, lawyers, physicians, heads of private companies, corporations and foundations. These lists are expensive and quickly outdated. There is even an association of professionals whose major responsibility is prospect research: the American Prospect Research Association.
Clearly you cannot compete with the level of sophistication of these efforts, nor can you devote the manpower and financial resources that the very large fundraising organizations have at their disposal. The real question is: do you need to?

If you have limited resources, your cultivation efforts should be highly structured and designed to put you in regular contact with people of affluence and influence. Cast a wide net of activities designed to put your agency in contact with prospects. Then you can work with the prospects that you have met through these activities rather than attempting to snare a specific prospect. The identification of prospects is covered in the next step.

**Step 4. Planned Opportunities:** Much of the literature and educational programming related to fundraising glosses over the issue of how you meet wealthy people. These meetings must be structured and planned. This manual will detail step-by-step methods for meeting people of wealth. First, it will explain cultivation as a process.

**Step 5. Progressive Involvement:** How likely is it that people will give you substantial funds on an initial meeting with them? It can happen, but it is rare. The term “cultivation” is an appropriate one for the process by which you progressively engage the interest of individuals, corporations and, to some degree, private foundations and government agencies to make investments in your organization.

**Step 6. Evaluation of Capacity to Give:** What is the appropriate amount to ask a prospect to give? This evaluation is far too important to be done on an ad hoc basis. Chapter 4, Section 11, “Prospect Review,” discusses the process by which you determine the appropriate amount to request from the prospect.

**Step 7. Solicitation Strategy:** Obtaining large gifts from individuals depends on several variables:

- the wealth of the individual
- the individual’s interest and level of involvement with the CAC
- what they are being asked to support
- who is asking them

While all of these factors bear on the success of the solicitation, the last factor should concern you the most at the time of the actual solicitation. By that time, the last factor is the only factor you can still control.

**Step 8. Solicitation:** Chapter 3, Section 3, “CAC Major Donor Plan,” and Chapter 4, Section 12, “Volunteer Stewardship,” discuss the mechanics of the actual solicitation.

**Step 9. Donor Recognition:** The recognition of donors is among the most important aspects of major gift solicitation. Donor recognition helps distinguish your organization from others. In certain cases, donor recognition will be the major impetus for the gift.

**Step 10. Gift Stewardship:** After you have obtained a donation, maintaining a relationship with the donor will help secure future gifts and increase future gift levels. Never take past donors for granted. Instead, develop a systematic way to provide, unobtrusively, a continuous flow of information. You will also need to maintain, and perhaps increase, their involvement with your
CULTIVATION OF THE MAJOR DONOR

Three concepts should govern your cultivation efforts:

1. The cultivation process is designed to produce greater and greater interest and involvement of the prospect with your organization.

2. The cultivation process is respectful of the dignity of the prospect and maintains the dignity of the organization.

3. The cultivation process utilizes the circle of influence of each individual.

COMFORT ZONE

You may have a real reticence to ask others for a cash contribution, especially if you have never done it before. The preferred method of solicitation is peer-to-peer. It is rare for the professional staff of the organization to ask for contributions. While you do not make the ask, you will nevertheless make a variety of other requests of the prospects to get them involved. You can take comfort in the fact that you can and should start with the easiest asks. The initial thing you ask of prospects is designed to obtain a positive result. It will be easy for them to say yes and therefore, because of the probability of a yes, it will be easier for you to make the request.

A Continuum of Involvement

Incremental involvement takes place along a continuum. The following series of questions to ask prospects or tasks designed to involve them increase their level of commitment by incremental steps. If they respond favorably to the request, you can safely assume that they are becoming more and more involved. The continuum is for illustration purposes only. It is not necessary to follow it exactly. Through assessment, you can determine each incremental request as appropriate. Some people will take a long route to involvement, while others will become involved at a more rapid pace.
A Hierarchy of Asks - The Continuum of Involvement
(level of difficulty increases as you go down the list)

Ask the prospect’s advice.

Ask the prospect to recommend something or someone who can help your agency.

Ask if they, or someone they know, had a problem similar to the one your agency is currently facing.

Ask if they have interest in the subject matter of your agency.

Ask if they have heard of your agency.

Ask if they would like information about your agency.

Ask if they would like to be on your mailing list.

Ask them to give a speech to your Board.

Ask them to write an article for your newsletter.

Ask if they would like to attend a fun event for your organization’s sponsors.

Ask if you may visit with them at a convenient time.

Ask them to have lunch or breakfast.

Ask them to visit your program.

Ask them to serve in an honorary position at a special event.

Ask them to serve in an honorary position with your organization.

Ask them to volunteer their time for a special event.

Ask them to volunteer their time to provide services to your program.

Ask them to identify other prospects.

Ask them to send a letter to associates recommending that they support your organization.

Ask them to call these other prospects.

Ask them to visit these prospects to elicit their interest only.
Ask them for an in-kind contribution.

Ask them to make a donation.

Ask them to ask others for donations.

Ask them to serve on your Board.

One of the governing principles of cultivation is to maintain mutual respect between the prospect and the organization. This principle of respect includes the right of a prospect to say no, and in effect end your efforts to involve them in your organization. You must respect their decision without becoming overbearing.

**Initiating a Cultivation Program**

The cultivation program should be consistent with your resources, planning efforts and market position. Remember, overly meticulous records are not redeemable for cash!

You should not assume you can automatically meet wealthy people in serendipitous ways such as at cocktail parties and cultural events. You have four options:

1. **Try to meet these people one-on-one by calling or writing for appointments to make information presentations.**
2. **Ask Board members and other connected associates to call them to arrange for such appointments.**
3. **Use innovative strategies such as sending videos to arouse interest.**
4. **Create events designed to attract people of influence and affluence.**

While all of these methods may be used, method 4 is the most time-effective way to meet with targeted prospects. It is also the method most consistent with the incremental involvement strategy.

**A PLAN**

When you meet people at the events you hold for purposes of cultivation, have your follow-up plan in place prior to the event. Use the list of asks to determine, based the level of interest expressed by the prospect, the most appropriate incremental ask.

**Create a List of Asks Suited to Your Organization**

Try to be flexible in your approach and develop a clear idea of the alternatives at your disposal.
In the space below, create your own list of asks. They should progress from the easiest to the most difficult.

Create a List of Alternatives to Follow-Up Prospects

The Asks

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.
THE PARLOR MEETING

Parlor meetings were discussed earlier as a fundraising technique for the organization in need of generating a short-term influx of funds. However, the preferred use of the parlor meeting is for cultivation. While you can obtain funds through the parlor meeting, and there may be the temptation to strike when your prey is captive, you should not necessarily do so. After you have cultivated people, their gifts will be significantly larger.

What Are Parlor Meetings and Where Are They Held?

Parlor meetings are small and informal gatherings held in the home or club of the person hosting the meeting. In addition, they may be held in the place of business of the host. In rare circumstances they have been held in hotel or restaurant meeting rooms. The preferred site is the home of the host. The meetings can consist of dinner, brunches, cocktail parties, or power breakfasts or lunches at the place of business.

Who Is Invited?

The host will provide a list of his/her friends and business associates. Supplement his/her list with individuals you believe to have sufficient resources and interest in your organization and/or the problem(s) it addresses. Recommend to hosts that they invite people from the following categories:

- past donors to your organization
- donors to similar agencies in the community
- staff and/or Board members from small local foundations
- business leaders
- clergy
- attorneys, physicians, accountants and other professionals
- people recommended by your Board members and other sources
- bankers, financial planners, investment advisers, insurance and real estate brokers
- cultural and civic leaders
- officers from fraternal organizations and social clubs

How You Invite Them

You or someone in your organization prepares the letter of invitation for the signature of the host on their personal or business stationery. If they do not have personal stationery, have some printed and present the unused portion to them as a thank you. (See Chapter 2, Section 2.) The host should follow up each invitation with personal contact or a telephone call. Decide in advance if your office or their office will call to remind the guests of the meeting and confirm their attendance 1 or 2 days before the meeting. Attendance will be poor without personal telephone contact. Calls from the host are critical.
THE MEETING

Number of guests

Every host will have his/her entertainment preferences. It is important to establish an informal, convivial atmosphere. The attendance objective for cultivation parlor meetings is eight to 10 people. **NOTE:** Even if you have a poor turnout, you should not cancel the meeting. Consider inviting staff or representatives from the multi-disciplinary team in order to fill the room. You will lose far more credibility if you cancel than if you hold the meeting with a small turnout.

Agenda

1. The host welcomes the group and expresses appreciation for their attendance. The host makes a brief statement of support for your organization. The host introduces the CAC spokesperson. **NOTE:** The spokesperson is chosen for his/her ability to communicate and generate enthusiasm. Be flexible about who will speak for your organization; it can be the Chairperson of the Board, another Board member, the Executive Director, or some other staff person.

2. You have two alternatives for the substantive part of the meeting. They are:

   A. A spokesperson states the case for support for the CAC, or you show a video or slide presentation. This is followed by a question-and-answer period.

   B. Alternatively, the meeting starts with a series of questions designed to stimulate discussion. The guests' interest and involvement are determined through their opinions and ideas.

3. If you choose alternative B, and your CAC has a video or slide presentation, it can be used at the conclusion of the discussion.
An Additional Benefit of the Parlor Meetings

Every organization has some level of a public relations problem. For some it might be the erroneous impression that government support is sufficient to meet all the CAC’s needs. For others, the problem may be that people are not familiar with the scope of the CAC’s services. In other cases, the agency’s cause may be controversial and/or misunderstood. Many CACs have a difficult time distinguishing their services from those of other organizations in the community also serving abused children.

None of these problems are as serious as you may believe.

Most agencies do not have the financial resources to modify their public image through an extensive media blitz. However, this is really not necessary. It is better to target your efforts and direct them to your community leaders. This is precisely the benefit of the parlor meeting. Not only are you trying to involve these people in your organization’s life for purposes of obtaining their financial support, but you also have an opportunity to present your message to them. You gain their attention for the duration of the meeting, and increasing their exposure to the CAC can increase the CAC’s exposure in the greater community. The parlor meeting is an ideal public relations tool to build a positive image among community leaders and begin cultivating ongoing interest and support.

Pilot Meeting. The first parlor meeting is a pilot meeting. The invitees to the pilot meeting can be Board members and individuals that have agreed to host future parlor meetings. You can resolve any problems that may occur during this dress rehearsal. A critique at the end of the meeting can be very useful in improving the program and strengthening the presentation.

Assessment

It is pointless to hold meetings without a method to assess the guests’ reaction to the presentation and determine their level of interest in your organization. The assessment form provided in this section should be completed for every guest present. Therefore, it will be necessary to ensure that enough Board or staff members from the organization have chatted with each guest during the informal parts of the parlor meetings. A ratio of one CAC representative for each two to three guests will ensure that you can assess each guest. The assessment forms are filled out at the host’s home immediately following the parlor meeting.

Follow-up

The intention of cultivation is to incrementally increase the involvement of prospects and donors with your organization. You must follow up with each guest who has expressed a minimum level of interest in your CAC. NOTE: Respect the rights of those guests who do not have any interest in your organization. You can keep this group on your mailing list, but you should refrain from using
more aggressive cultivation efforts.

The assessment form includes space for suggested follow-up. The specific activity is based on the level of interest of the guest. Consult the list of asks that you have created to choose the most appropriate follow-up asks. Be prepared to have fall-back strategies.

There are no rules for what constitutes appropriate follow-up or how fast or slow the process should occur. Listen to your instincts.

**THE BOARDROOM MEETING**

A variation of the parlor meetings is to hold the meeting in the Boardroom of an important executive. The meeting should take place at a convenient time. Meetings held at breakfast or after business hours are preferable to luncheon meetings. They should be brief and follow the parlor meeting agenda.

Because the business setting is more formal than the parlor meeting, you will have less time for the informal bantering inherent to most parlor meetings. It will also be more difficult to assess each invited person’s reaction to the presentation. It would be prudent, therefore, to have more members of the organization staff and Board present to ensure that you have spoken to each attendee.

**NOTE:** When people attend Boardroom meetings, they do so as representatives of their organizations. Corporate salaries and other forms of compensation often make the individual corporate executive a better prospect than the corporation itself. You may wish to meet these individual prospects at the parlor meetings rather than in Boardrooms.

**THE SEMINAR**

Cultural organizations have an advantage over other non-profit agencies through their ability to invite prospects to a variety of interesting events. These events might be plays, concerts or art exhibits. As a social service agency, you may not have these specific opportunities. However, you can create them. One strategy is the sponsorship of a seminar to which you can invite prospects.

Many profit-making organizations use seminars as a marketing technique. Non-profit agencies can also use seminars for cultivation purposes. These seminars are designed to attract potential attendees. They do not have to be strictly related to the subject matter of your agency, but in the case of a CAC, there should be some tie-in with children’s issues. For example, organize a forum on children’s rights or children’s health. The more important factors are the seminar’s subject matter and/or speaker’s attractiveness to an audience. **Seminars are high-visibility activities that can produce an extensive public relations benefit.**

Some very attractive personalities are on the lecture circuit. For example, a former Miss America who was sexually abused as a child is sometimes available as a lecturer. While these speakers
charge substantial sums for their services, they may be willing to reduce their fee to accommodate a non-profit agency. Alternatively, you may be able to obtain the necessary funds through a grant or a contribution from a local corporation. The corporation can be given credit for their support through the advertising of the seminar, credit on the brochure/agenda handed out at the seminar and an announcement made by the facilitator at the seminar. The corporation will obtain favorable publicity and can use the opportunity for their marketing purposes. Also, a reception can be held before or after the seminar/lecture where select guests of the agency and the sponsor can meet the celebrity speaker.

The keys to use of the seminar:

1. Hold seminars at convenient times (breakfast, lunch hours, or after work) and at convenient and attractive locations.

2. Large audiences are not necessary since you might want to have informal discussions with those you invite. If you are featuring a very prominent individual, you can have a larger audience seminar and hold a pre- or post-seminar reception for a smaller, limited audience.

SPECIAL EVENTS

Special events are one of the most popular methods for community-based non-profits to raise funds. Despite their popularity, they have significant drawbacks. Special events are extremely time consuming. Often, the return in dollars is not worth the time and energy invested. They burn out staff and volunteers. They have a natural life cycle of growth and eventual decline. If you require large sums of money, no series of special events can ever produce the funds you require.

Therefore, your agency should not look on special events as the salvation for its fundraising needs. They do, however, have a real utility. By their very nature, special events can be public relations machines. They build cohesion among the staff, Board and volunteers. They have the additional utility of providing opportunities to cultivate prospects. Because they are informal events that will raise funds in a fun manner, they are ideally suited to the purpose of introducing people to your organization in a non-threatening way. It is suggested that you use an existing event as a cultivation tool. If your organization does not have any special events, you may consider adding one.

Keys to Using Special Events as a Cultivation Tool:

1. The event should be fun and attractive, such as offering gourmet meals or desserts, “thons,” or special-interest activities like the sponsorship of antique shows, wine auctions or craft shows.

2. Attend to your prospects without being too obtrusive. Make certain that there are people, including Board members and staff, who can devote their time to making certain that these VIPs are having fun.
3. Limit the number of people you seek to cultivate to the number of people to whom you can provide sufficient attention.

REMEMBER!

There are two groups you cannot afford to neglect in your effort to cultivate new prospects:

- The Board of Directors
- Past donors

Do not end your cultivation efforts once you secure a donation. You will have won the first battle, but the organization will require annual support from donors year in and year out. Aspire to increase the gift level of the donor. The manner in which this is accomplished after the gift cultivation is called:

GIFT STEWARDSHIP

Gift stewardship with past donors and Board members can include:

- Sending them newsletters
- Sending them copies of speeches and articles with a personal note
- Inviting them to lunch periodically
- Asking them to give a speech for your organization
- Inviting them to all special events
- Sending them progress reports and annual reports
- Soliciting their advice
- Asking to drop in when you are in their neighborhood if it is mutually convenient
PROPOSED AGENDA FOR THE PARLOR/BOARDROOM MEETING

WELCOME.................................................................................................................. Host

INTRODUCTION.............................................................................................................. Executive Director or Board member

DISCUSSION................................................................................................................. Moderator and Guests

VIDEO OR SLIDE PRESENTATION or BRIEF PRESENTATION or QUESTIONS THAT LEAD INTO DISCUSSION
ASSESSMENT INSTRUMENT FOR CULTIVATION
CONFIDENTIAL

NAME

ADDRESS CITY STATE ZIP

OCCUPATION BUSINESS

BUSINESS ADDRESS

DATE OF CULTIVATION EVENT HOST

Please Rate on a Scale of 1-10 with 10 Being the Highest:

INTEREST: ________

CAPACITY FOR LEADERSHIP: ____________________________

IF NOT A LEADER, WOULD THEY MAKE A GOOD WORKER? Yes ___ No ___

POTENTIAL CORPORATE INFLUENCE: _______________________

POTENTIAL INFLUENCE AMONG INDIVIDUALS AND GROUPS: __________

WOULD THEY SERVE AS A HOST?: Yes ____ No ____

SUGGESTED FOLLOW-UP CULTIVATION:

1.

2.

3.
The fundraising landscape has undergone profound changes, and non-profit organizations must be especially agile to succeed in this increasingly competitive environment. This manual emphasizes the need for organizations to diversify their fundraising efforts beyond grant support and special events. It also shows that individual giving represents the overwhelming percentage of annual charitable dollars. The manual also acknowledges that the most difficult task for those engaged in a fundraising campaign is developing the confidence to make the face-to-face individual ask. The following step-by-step plan for securing major gifts can ease this difficult process:

The first step is recognizing the differences between the three gift categories:

- the annual or sustaining gift
- the major or campaign gift
- the ultimate gift

### GIFT CHARACTERISTICS

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<tr>
<th>ANNUAL</th>
<th>MAJOR</th>
<th>ULTIMATE</th>
</tr>
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<tbody>
<tr>
<td>Operational needs</td>
<td>Building, endowment</td>
<td>Endowment</td>
</tr>
<tr>
<td>Made from discretionary income</td>
<td>10-25 times annual gift size</td>
<td>Once in a lifetime 1,000-2,000 times annual</td>
</tr>
<tr>
<td>Frequently given</td>
<td>Infrequently given</td>
<td>Often a deferred gift</td>
</tr>
<tr>
<td>Frequently asked for</td>
<td>Infrequently asked for</td>
<td>Long-term relationship</td>
</tr>
<tr>
<td>Decision made quickly</td>
<td>Requires thought on the part of the donor</td>
<td>Decision increasingly emotional (donor is deeply involved)</td>
</tr>
<tr>
<td>Decision made without professional assistance</td>
<td>Takes longer for decision</td>
<td>Longer still and complex requires professional input</td>
</tr>
<tr>
<td>Direct mail</td>
<td>Personal solicitation</td>
<td>Ongoing stewardship</td>
</tr>
<tr>
<td>Special events</td>
<td>Direct mail for prospect acquisition</td>
<td>Personal solicitation</td>
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### CULTIVATION-ASK RATIO

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<tbody>
<tr>
<td>Ask 80%</td>
<td>Ask 50%</td>
<td>Ask 20%</td>
</tr>
<tr>
<td>Cultivate 20%</td>
<td>Cultivate 50%</td>
<td>Cultivate 80%</td>
</tr>
</tbody>
</table>

### A STEP-BY-STEP PROCESS

1. **Identify prospects**

   Work with five to 10 of your best prospects. Prospects are identified from past donors and others suggested by Board members and other sources. You may wish to use a limited direct mailing and/or a special event for initial prospect acquisition.

2. **Rate the prospects**

   Select the best prospects using the following system based on two criteria:
   - financial capacity
   - current interest in children's issues and, more specifically, their interest in CACs

   Prospects should be scored from 1 to 10 on each of the above criteria. Current interest is a subjective judgment of the prospect's level of involvement or interest in CACs and children's issues.

   For example, a prospect can be rated a 9 for wealth and a 1 (total score 10) for their current interest in CACs. This person is not as good a prospect when compared to someone who has been rated 6 for wealth and 6 for current interest (total score 12).

3. **Assign roles**

   Consider the three primary roles in the major gift solicitation process:

   **The Gift Manager:** Depending on the size of the organization, there could be several within the same organization -- the Executive Director, the Director of Development and other key staff members. The Gift Manager oversees the relationship with prospects and ensures that the relationship is advancing. The Gift Manager:
   - takes responsibility for several prospects
   - establishes the strategy
The Natural Partner: knows the prospect and can help advance the relationship. They can provide information to help formulate the strategy. They help cultivate and may solicit. Any one prospect can have several natural partners. A natural partner can be a Board member, a volunteer, or one of the participating physicians.

The Very Important Person (VIP): The natural partner in the best position to advance the relationship. He or she may have sufficient influence with the prospect and may be the key to a successful result. The VIP should be part of the solicitation call. NOTE: No prospect who is uninterested in your cause or reluctant to contribute for any reason should be unduly coerced. Their right to decline must be respected.

4. Keep Organized

Create a simple file on each prospect containing prospective donor information. It should also contain space to report and track the results of each contact.

5. Identify Natural Partners

As noted, there can be several natural partners for any one prospect who know the prospect from different perspectives. Friends, business colleagues and persons serving on Boards together are all possible natural partners.

6. Consult Natural Partners

Natural partners can provide information to guide the development of the relationship and help establish an appropriate gift strategy.

7. Select the VIP

From the natural partners you should select the person with the most leverage with the prospect. If you cannot find a VIP, skip this step until later.

8. Develop a preliminary strategy and gift target (the dollar amount) for each prospect

This step may have to be skipped until you have more information about the prospective donor. You will have such information after beginning the cultivation process.
9. **Plan your next 5 to 10 contacts**

Plan one contact per month. Contacts can be visits to clinic sites, visits with participating physicians, attendance at special events or luncheons with Board members.

10. **Implement contacts and record and report results**

In advance of each contact, the best and minimally acceptable outcomes should be determined. After you develop a sufficient number of contacts, you can refine your solicitation strategy. Alternatively, if you have skipped step 8, create a strategy at this time.

11. **Review status of all prospects at a predetermined interval**

Major prospect programs should hold status reviews on a semi-annual basis. At this time you either add or delete prospects as necessary.

12. **The status review should determine:**

- prospects ready to be solicited
- prospects who are close but need some additional cultivation
- prospects needing extensive additional cultivation
- prospects with the capacity but little reason to give

13. **Implement the solicitation**

Conduct the solicitation by a team including the VIP. The VIP should be selected at this time if you skipped step 7. The solicitation should follow the script set forth below.

**The Solicitation Script**

The solicitation should be scripted and rehearsed. The solicitation team, including the VIP, should be chosen to best effect the gift. Roles should be assigned to each member of the solicitation team for each of the solicitation steps and substeps.

1. **Preliminaries**

   This ice-breaking aspect of the ask puts the prospect and solicitors at ease. The solicitation should be conducted in the place that is most comfortable to the prospect -- generally his/her home with his/her spouse present.
2. **Opening or Introduction**

   - State purpose. “We are here today to discuss a rare opportunity to help abused children in our community.”

   - Gain attention. State the goal of their gift as the overarching outcome for the community and clients. The overarching goal of your CAC is to serve children who, by virtue of their abuse, are at grave risk and are susceptible to a number of risk factors.

   - Seek common ground. Review the prospect's history of involvement in the organization. “You were a founding Board member and Chairperson of our XYZ Special Event.”

3. **Presentation**

   The presentation sells the projects and should be impassioned and enlivened by anecdotes.

4. **Negotiation**

   Make the ask. As an example, “Would you please consider a gift of $25,000 for a comprehensive training program for the interdisciplinary team.” The request should be specific as to purpose and amount.

   - Pause and let prospect respond
   - Overcome objections

   The most likely objections should be discussed and prepared for in advance. The greatest leverage in the ask is the previously made and equally sacrificial gift of the VIP that can be referred to in order to demonstrate commitment and leadership.

5. **Closing**

   Use creative redundancy. The expected gift should be mentioned again. Pause again. Mention again the overarching outcome.

   Agree on a next step, generally to schedule a next meeting.
First-year law students are introduced to the concepts of consideration and enforceable promises as the necessary elements of a binding contract. A promise to make a gift is not a contract since only one side is receiving something of value. Therefore, a pledge to make a donation to a charity is not enforceable. Even though we cannot compel donors to honor their pledges, we can use the concept of consideration to form an understanding of the importance of donor recognition.

Donor recognition may not be legally sufficient to create an enforceable contract, but it is the quid pro quo of philanthropy. Frequently the nature of the donor recognition program will induce donors to make gifts to a particular charity. Would major donors and corporations continue to contribute such large sums to muscular dystrophy each year if the Jerry Lewis Telethon ended? Probably not. The high visibility of the telethon and its extraordinary public recognition induce these generous gifts. The donor recognition program can actually carry more weight than the cause.

If you are creative, your recognition program may attract donations that otherwise would not be obtained. An effective donor recognition program is also a cultivation device. It cultivates subsequent gifts from the pleased donor and serves as an inspiration to prospective donors.

Attributes of a Good Donor Recognition Program

Creativity

Plaques simply don't make it anymore. Instead, look for ideas and inspiration from museum catalogues. The Met in New York, the Museum of Modern Art in New York, the Museum of Fine Arts in Boston, the Smithsonian and the Chicago Art Institute have the best selections. Companies such as Boehm, Steuben and Lennox China make elegant and unique gifts that are suitable to present to major donors. Antique silver from the 19th Century is also reasonably priced. Other ideas include high-quality handcrafts such as quilts, pottery and wood-carvings. Limited edition prints made from children's art work will be treasured by the recipients. Ancient coins mounted in Plexiglas can be purchased at reasonable prices.

Gift shows are a source for items suitable for donor recognition. Each major city hosts such shows for the benefit of the trade. Through these shows, imaginative gifts can be purchased in bulk for well below the market rate. Gift shows should not be confused with lower-quality premium shows featuring mugs, key chains, etc. Contact the convention bureau in a nearby large city for the dates for their next gift show.

CACs have a particular advantage in developing creative donor recognition because they serve children. Children have always been popular themes in art, music and literature. Children's arts and handicrafts can be a thoughtful and wonderful way to thank your generous donors.

Gifts for donor recognition do not have to be expensive if they are sufficiently creative. The
NSFRE recommends that an organization spend a total of 2% of the funds raised for recognition purposes. This does not mean that each recognition gift should be no more than 2% of each donation. The 2% is an aggregate of all donor recognition expenditures. Individual recognition gifts can exceed that amount.

Visibility

Frequently, donor recognition becomes the driving force of fundraising. This is particularly true for corporations and donors with large egos. The corporation cannot establish a favorable public image if their giving is anonymous or underpublicized. Many major donors also desire publicity and acclaim.

The most visible manner to recognize achievements, dubious and otherwise, is through the media. Fundraising success will, in part, relate to the kind of media exposure you can generate. A media plan should be a central aspect of your fundraising efforts. This plan should be communicated to potential donors to:

- obtain their approval, making certain that correct protocols are followed.
- help you close the gift commitment. The nature and extent of the public recognition of the donor’s generosity can often be a determining factor as to whether you obtain their support.

As with prospects, direct your efforts to cultivate good relationships with the editors of the community or neighbors sections of your local newspapers. They are the ones who can publish your press releases and those important photos of donors presenting checks or receiving the awards you have bestowed on them. The press release is the first method for publicizing donors. Frequently, the amount of free publicity exceeds the size of the donation. Be certain to clip press releases when they are published. Send the clippings with a note to the donor thanking him/her for his/her support.

HINT: There are donors who truly wish to remain anonymous. Other donors feign false modesty. How can you be sure you will not commit any serious errors of omission or commission? One solution is to show the donor your press release and discuss how you propose to list him/her and his/her spouse in any public acknowledgments of the gift. In this communication with the donor, include language to the effect that unless you hear to the contrary, your plans will proceed. Through this discussion, the burden shifts to the donor who can choose whether or not they want public acknowledgment of their gift.

In special cases in which you know the donor is truly modest, reverse the process and in the thank you letter, ask how they would like to be acknowledged.

Feature stories

An excellent but underutilized mechanism is the feature story. Write a human interest story about one of your clients, a volunteer, or one of your unique programs. The donor is mentioned as providing the means to make possible these important services. It is important to insert an
appropriate quotation from the donor. The quotation should include statements to the effect that the services of the CAC are important to the community and the delight and honor the donor has in contributing to the welfare of children in the community. This or similar language will help establish the image the donor, especially the business donor, wishes to project. Reprints of the article should be forwarded to the donor. Reprints can also demonstrate to new prospects how you have handled the gifts of previous donors.

Many local publications such as business magazines and community newspapers do not have large editorial staffs. Some do not have any permanent staff at all. They rely on freelance journalists to provide them with editorial and feature copy and are likely to take interest in a feature story written by a non-profit Executive Director. Even major newspapers sometimes accept and print unsolicited feature stories.

**The television feature**

Preparing television tapes for use by local television news is becoming more common. These tapes work as electronic versions of press releases. The donor, particularly if a corporation, may be only too glad to provide either the funds or the means to produce a television feature. Some television stations will not accept pieces of this type, but they may do a feature story on your organization utilizing their own resources. Before contacting the television stations in your area, do a little research. Watch their programs for a time to find out what their style is and the kind of stories they feature. You will then be prepared to make a more cogent and appealing submission.

There are a number of resources that can help you produce television features at no or little cost. They include advertising agencies doing pro bono work, public broadcasting stations assisting charities and community colleges. Other educational institutions often have excellent facilities that may be available to non-profit organizations.

**Newspaper ads**

A common device used to thank donors is advertisements listing and thanking people and organizations for their contributions. There are benefits and costs associated with this practice. If you do not have many contributors, you will look foolish. Even worse, you can leave someone out by mistake. As an alternative, you can place an ad thanking specific donors for their support for a particular project. Obviously, this can become expensive and establish a costly precedent. Another problem with these ads is the politics of listing donors by category of giving. How do you account for in-kind or other non-cash contributions? Should the same recognition be accorded to corporations which have supported the charity through a joint promotion rather than a grant or contribution?

There is also the problem when a corporation's level of giving does not match their size and prestige. Listing corporations at a level of giving that is less than that we might otherwise expect can cause a backlash. They may be embarrassed, and that may damage your long-term relationship.
If you use this form of recognition, remember to obtain prior approval from each donor before the ad’s publication.

**The award**

The presentation of an award to a sponsor at one of your special events, with appropriate press coverage, can be a very effective means of donor recognition. You can be very creative with your awards. You can, for example, give an award made of chocolate at a special event that features gourmet chocolate desserts.

**HINT:** Your donor recognition program is doing only half its job if it does not serve to motivate others to give. The manner in which you honor your donors should serve as an inspiration to others. You can invite potential donors to events and activities where they can see their associates receive an honor. Creative donor recognition becomes a cultivation technique.

**Graduated benefits**

One of the most common techniques is to raise the level of perks when a donor's contribution level increases. Cultural organizations may offer preferential seating to donors as their donation level increases. They also offer invitations to rehearsals and special preview parties.

One of the more absurd devices is listing different classes of donors such as patrons, benefactors, contributors, etc. for different dollar levels in programs without offering valued graduated benefits. Who really thinks that different designations of gift levels will, in themselves, induce higher gifts?

**HINT:** Many service organizations that see the successes that cultural organizations have in offering graduated benefits attempt to emulate their success by establishing similar programs. Cultural organizations have a distinct advantage in being able to offer benefits that donors may truly value. When service agencies such as CACs attempt this, their efforts may appear contrived. Therefore, the perks they offer may have to be benefits that are outside the scope of the activities of the organization. Sports teams or cultural organizations may consider donating season tickets to local non-profits. These tickets can be given to clients and can also be made available to valued CAC donors. However, the IRS has tightened its rules so that the tax deductibility of the donation will be reduced by the value of the perk.

**Increase donor involvement**

One way to increase donation levels is by offering donors greater choice as to how their dollars are spent. One of the oldest and most effective techniques used by CARE created the impression that the contribution of pennies a day fed a specific child. This personal appeal was reinforced through letters sent to donors from their foster child. Personalizing the appeal and showing how contributed dollars make a difference will help increase your return. Regrettably, there are two factors that limit the use of this technique for CACs:
1. the need to maintain confidentiality.
2. the fact that many people may see this as exploitation of abused children and therefore, inappropriate.

These caveats should not deter tasteful creative solutions to this problem. For example, donors could be sent information and personal thank you notes from agency staffers or multidisciplinary team members running the programs they fund.

**Increase the Level of the Recognition**

It has been noted that people respond to positive reinforcement. You can escalate the level of your thank you through acknowledgment letters and calls.

1. At the lowest gift level, a letter from the Executive Director will suffice.
2. At the next level of donation, send a small gift such as a letter opener or mug with the letter.
3. At the next level, provide a premium of greater value and a letter from the campaign Chairperson.
4. At the next level, provide a still more valuable premium and a letter from the Board Chairperson or a VIP.
5. Finally, at the highest level, VIPs should make a personal phone call.

**The Importance of Stewardship**

It was previously noted that future giving is more likely to occur if the donor has had a good experience with your organization. The after-gift treatment of the donor is called “gift stewardship.” This may include regular progress reports on the use of the funds they have donated or granted to you.

**It is strongly urged that CACs regularly call** their past donors just to thank them for their past gift and to indicate what has been accomplished due to their generosity. Organizations doing this are delighting past donors and finding all sorts of unanticipated benefits. The task of thanking past donors is so easy and so rewarding that even Board members who hate fundraising will enjoy placing the call!!
Honoree Fundraising

Creating a unique and personal honor can induce people of affluence to make exceptionally generous gifts. The first step in using this technique is to identify prospective donors that are worthy of gifts of great magnitude. Gifts of great magnitude are defined as gifts of 10 to 25 times an individual's annual gift. Such gifts can be structured to honor the donor through the endowment of a scholarship fund, the creation of a professorial chair or the construction of a building. These gifts may be 1,000 times the size of an individual's annual gift. Colleges, universities and hospitals have named everything from single rooms to major facilities after generous donors. While you can do the same, the types of honors you should confer are related to services. Training programs, conferences, seminars, publications, counseling programs, public information, education programs or treatment programs can all be named after donors. Or, you could place the contributed funds into an endowment fund. An endowment fund allows use only of the interest or income from the funds and leaves the principal intact. An endowment is appropriate for conferring an honor in perpetuity. The funds will always remain active, providing income year after year to support the intended purpose.

Honoree fundraising is quite flexible and has the following major benefits:

1. This technique can produce funds in a rapid manner. From beginning to end, the funds can be available within 6 months.

2. Broad public support is not necessary. Only the support of the honoree is needed. Therefore, even the most controversial charity can use this technique. All you need do is find that one individual of wealth and/or influence who is willing to support your program.

3. If you develop a flair or knack for this method, it can easily be used to meet all fundraising needs.

4. You can use the money as you raise it, or place it in an endowment fund.

5. You do not burn out your donor base. Instead, you create a new prospect pool every time you use this method.

In outline form, the technique works as follows:

- Identify services or programs within your organization that can serve as designated gift opportunities.
- Estimate the size of the funds necessary to establish the honor.
- Obtain agreement from an individual to have a program or service named after him/her or established in his/her honor.
- Depending on the wishes of the honoree, hold a special event to:
  - celebrate the establishment of the fund in their honor.
recognize publicly the donor's generosity. **Do not charge fees to the event for the purposes of raising money. Any fees should be used to defray the cost of the dinner.** The people invited to the dinner should usually be limited to the honoree's family, friends and business associates, as well as VIPs from your organization.

- The honoree should make a financial contribution toward the establishment of the fund. If they are more affluent than influential, their individual gift will be equivalent to the lead gift in a campaign - 10% to 33% of the total. Their individual gift may be a token if they are a celebrity or if they are more influential and less affluent.

- The remainder of the funds will be obtained from the honoree's circle of influence -- their friends, family and business associates. This is the key. **People are giving on behalf of the honoree and not necessarily because they support the charity.** Donors may not have given to your CAC in the past, and they very well may not give in the future. This technique takes advantage of the old adage that **people give to people and not to causes.**

- The honoree identifies a Chairperson to head the fundraising effort. A committee, drawn from the friends and associates of the honoree, is also established.

- The honoree, the Chairperson and committee members identify prospective donors.

- After the Chairperson and committee members have made their pledges and contributions, the other prospects are individually evaluated for their capacity and willingness to give. They are then assigned to members of the committee who will solicit them.

**Step-By-Step Method to Implement Honoree Fundraising**

**Step 1. Clearing this fundraising strategy with your Board.** There may be some discomfort with it by some Board members. You should distinguish this method from any other efforts in which you were considering conferring honors on individuals.

**Step 2. Assembling a project book that serves as your product.** Each project, no matter what the subject matter (services, education, conferences, equipment, etc.), receives a written description. The project descriptions should be one page in length and contain the following elements:

- the title
- a brief explanation of the purpose for seeking funds
- how the donor/honoree will be recognized
- the amount of funds required
Step 3. Choosing a prospective honoree. This may be accomplished in one of two ways:

1. **Find an honoree for the program.** Brainstorm about an appropriate honoree for a specific program. An honoree may be an affluent individual who has a family member with the type of problem your organization addresses. Another connection might be the nature of the honoree’s business. The business may have some subject matter relevant to your program. For example, an owner of a chain of children’s furniture stores might be an ideal CAC honoree.

2. **Find a program for the honoree.** The opposite way to approach donor designation is to find an appropriate project(s) for an honoree you already know, someone with an interest in your CAC. You can present one or more projects you believe may be suited to his/her interests, and he/she can select the one they wish to support. (Through your systematic cultivation program, you can become familiar with the interests of prospective donors.) Cultivation and increased involvement in your organization by wealthy individuals will permit use of this method.

Step 4. Making the offer. Correct timing and the right person are essential. You must find the right person to convey the offer to the prospective honoree. That person may be the Executive Director, the Board Chairperson, a Board member, the honoree’s attorney, accountant, relative, close friend, or a business associate. If the ask is made by an intermediary such as his/her attorney, you must have the correct person request that the intermediary make the ask.

Step 5. Working out the logistics and basic elements.

- **What kind of special event?** You will have to ascertain the type of event and the degree of elaboration needed for the public recognition of the honoree. Above all, you should be bound by the honoree’s desires. If they want little or no public recognition, you must comply with their wishes.

- **Who will be the Chairperson?** The Chairperson may be a close friend, relative, or business associate. The Chairperson should be solicited for an individual gift when recruited. That may be done by the honoree or by an official of your organization. The Chairperson should, therefore, possess the attributes of affluence and influence. He/she must also be willing to work on behalf of the honoree.

- **Who will comprise the committee?** A small committee (the size will depend on the number of prospects the honoree and the Chairperson identify) is formed. Each committee member should solicit a maximum of 5 prospects. For example, 50 prospects will require at least a committee of 10. You will probably need more committee members, because not everyone will take the maximum number of prospects. Each committee member will be enlisted and their commitments obtained. The Chairperson will enlist and obtain initial commitments. Previously enlisted committee members can obtain subsequent commitments.
Step 6. **Reviewing and assigning prospects.** The committee will evaluate the prospects for their ability to give and determine who would be the best person to solicit their contributions. The most appropriate committee member will be assigned to obtain the prospects' contributions.

Step 7. **Planning the special event.** Consider hiring an experienced party planner to handle these arrangements. This is particularly true if you have a small or inexperienced staff.

Step 8. **Soliciting prospects.** This is the active phase of the campaign. You will solicit prospects while simultaneously planning the special event. You should plan on weekly progress reports. The staff of your organization should work with the Chairperson to monitor progress and prepare reports.

**A WORD OF CAUTION:** This method can be extremely successful. This was the case when a Texas CAC honored Dave Thomas of Wendy’s restaurant. However, you must be confident of success before undertaking an honoree fundraising program. If the honoree gives a modest amount, and if his/her friends, family and business associates do not respond enthusiastically, the project can end up as an embarrassment to the honoree and the CAC.
THE ANN B. CARTER COMMUNITY EDUCATION FUND: A Community Resource for the Everytown Children’s Advocacy Center

THE HONOR WE BESTOW

In honor of Ann B. Carter’s tireless commitment to the goals and mission of the Everytown Children’s Advocacy Center, we are pleased to announce the establishment of the Community Education Fund in her honor. In these difficult times, charitable institutions are more dependent than ever on the leadership exemplified by the woman we honor. The honor we bestow, the creation of the Ann B. Carter Community Education Fund, and the resources that will be made available, will greatly benefit Everytown’s children. The fund will enable the Everytown Children’s Advocacy Center to maintain its recognized leadership role in providing services for the families of abused children in our community.

Ann B. Carter has enriched the lives of all those who will contribute to the establishment of this fund. More importantly, she has enriched the lives of thousands who, while they may not contribute to the fund, have been the beneficiaries of her leadership and generosity.

THE ANN B. CARTER COMMUNITY EDUCATION FUND OBJECTIVES

The Everytown Children’s Advocacy Center (ECAC) is establishing the Ann B. Carter Community Education Fund to develop and disseminate information on child abuse and parenting to providers of day care and to the parents of children in day care. The fund’s objectives are:

To dispel mythology regarding abuse

There are significant misconceptions and mythology regarding the sexual abuse of children. For example, abuse is overwhelmingly intrafamilial and not perpetrated on the child by strangers. Yet the public, no doubt because of highly publicized cases, believes that abuse by strangers is far more prevalent. The information to be disseminated will help address and dispel these and other misconceptions.

To provide parents with vital information about abuse

Because of the ethnic makeup of Everytown’s children, information will be provided in both English and Spanish. The parental information packets which will be distributed to parents and caregivers by the child(ren)’s day care provider will include information regarding:
Child abuse and neglect
How to stop child abuse in a public place
Parenting tips
How to report child abuse

To educate day care providers and utilize them as sources for disseminating information to parents

Day care providers are an ideal and efficient source for disseminating information to parents and caregivers. These materials will simultaneously educate day care providers on issues regarding child abuse. The fund will create resources designed to educate providers on recognizing and reporting suspected abuse. The ECAC staff will supplement the written materials by serving as a training and education resource for day care providers on issues related to abuse.

ECAC will, with funds made available by the generous benefactors to the Ann B. Carter Fund, conduct a unique program for our community. The Ann B. Carter Community Education Fund program will work. It builds on a demonstrated record of achievement and success by the ECAC.
CHAPTER FOUR

STRUCTURING YOUR CAC FUNDRAISING CAMPAIGN

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<th>TOPIC</th>
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<td>Sample Capital Grant Request</td>
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<td>3.</td>
<td>The Case Statement</td>
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<td>4.</td>
<td>The Gift Table</td>
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<td>5.</td>
<td>Planning/Feasibility Study</td>
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<td>Sample Letter &amp; Study Report</td>
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<td>Campaign Mechanics</td>
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<td>The Campaign Advisory Team</td>
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<td>Prospect Review</td>
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<td>12.</td>
<td>Volunteer Stewardship</td>
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<td>13.</td>
<td>Sample Volunteer Solicitation Guidelines</td>
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</table>
The greatest enemy of the fundraiser is time. Each day is filled with too many tasks, too many competing priorities and too many meetings. Among the benefits of a campaign is that it ensures the productive use of your time. During the campaign, you follow time-tested techniques that thousands of organizations have used to achieve their fundraising goals. Volunteers are organized to function with an almost military-like discipline. Community leaders are engaged who represent the finest traditions of volunteerism by freely giving of their time, their energy and their own wealth to your cause.

A fundraising campaign is also based on the premise that community members want to be a part of a great cause. A campaign offers the community an opportunity to work together to achieve common goals. This dynamic creates excitement -- excitement that motivates the community to participate in your campaign. Organized leadership inspires others to join in the group effort, and the well-led campaign energizes the cause as well as the community.

Capital campaigns are an integral piece of the fundraising arsenal for major colleges, universities, hospitals, cultural institutions, youth and religious organizations. The fierce competition for a share of the diminishing pot of government support has forced many non-profit agencies to look to the public for charitable support. Fundraising has become increasingly sophisticated, using marketing techniques such as cause-related marketing, demographic prospecting, elaborate donor recognition and cultivation programs. Many organizations do not have the resources or the time to develop the expertise to compete in these arenas. For them, capital campaigning can be the great equalizer.

CAPITAL CAMPAIGNING TECHNIQUES

Capital campaigning is traditionally used for new construction, renovation, expensive equipment and to build endowments. Organizations have recently begun incorporating the techniques of capital campaigning into their annual fundraising efforts.

The same benefits that have made capital campaigns so successful for capital projects can be used for routine annual fundraising. You can create the same sense of excitement, enlist community leadership to your cause, use existing resources in a productive fashion and most importantly, secure the funds you need for your day-to-day operations.

CACs can easily incorporate present fundraising activities into an annual campaign. The various fundraising methods can compliment each other and act in a synergistic fashion. Through these campaigning techniques, CACs reap multiple benefits by:

- Creating a sense of excitement and increased CAC visibility
- Obtaining donations from sources that would otherwise not contribute
• Using time and resources more effectively
• Enlisting the assistance of people of influence and affluence
• Creating a timetable and deadlines to establish a natural closure to the cultivation process
• Developing expertise that is useful if and when the decision is made to conduct a capital campaign

A STEP-BY-STEP PROCESS FOR CONDUCTING AN ANNUAL CAMPAIGN

Each of the following steps is essential to the annual campaign. They are also discussed elsewhere in this manual:

1. Determining the financial objectives for your organization.
2. Establishing fundraising priorities and the appropriate mix of fundraising techniques.
3. Creating a calendar for the year incorporating cultivation events as well as other fundraising activities.
4. Establishing the financial objectives of the campaign in accordance with your overall fundraising plan.
5. Creating a gift table appropriate for your goal.
6. Establishing an overall theme for the campaign in the case statement.
7. Developing a list of prospects.
8. Writing a campaign plan including timetables and an organizational chart.
9. Disseminating the annual campaign plan to Board members, staff, key constituents, etc., so that the plan is owned by as many people as possible.
10. Determining the most appropriate strategy for the campaign -- a traditional campaign organization or the Campaign Advisory Team.
11. Conducting prospect review.
12. Obtaining gifts and commitments from the family.
13. Enlisting additional top leadership and securing their commitments.
14. Training volunteers at a kickoff event.

15. Soliciting gifts.

**ADDITIONAL ANNUAL CAMPAIGN STRATEGIES**

**The Challenge Grant**

Securing a challenge grant or challenge gift is an excellent strategy that can provide real momentum. The challenge grant can be announced at the onset of the campaign. The challenge grant is designed to stimulate others to match the generosity of the donor making the challenge.

**Donor Recognition**

An imaginative donor recognition program can serve two purposes: obtaining initial gifts and elevating past donors' gifts. An agency that serves children has significant advantages because of the recognition they provide. There is a wide variety of arts and crafts with children's themes that can be suitable recognition items.

**Direct Mail**

If you are conducting direct mailings, you should view them as the community phase of your overall campaign. Therefore, direct mail is sent out after you have obtained major gifts through face-to-face solicitation. The direct-mail effort should target a list of people who have had some prior contact or relationship with your organization.

**Special Events**

The formal dance, auction or “thon” can serve as a spirited kickoff for the annual campaign. The size and scope will determine what phase of the campaign you are kicking off. You would be better served in kicking off the major gifts phase of the campaign if the special event is an annual dinner-dance that attracts 200 to 300 close friends of your organization. You could use the occasion to announce any challenge grants, the family division gifts and any other leadership gifts you have secured. This strategy is preferred because the scope of the special event is not of significant magnitude to announce the campaign to the community. If, however, the special event is one that attracts 2,000 to 3,000 participants, you could use it to kick off the public phase of the annual campaign.

**COMFORT ZONE**

For your first annual campaign effort, you may want to limit the number of gifts you seek to a
manageable total; for example, 20 to 30. This will reduce the number of prospects and volunteer solicitors needed.

An issue that always arises when considering new methods is the time commitment required. Because the tasks will be new to you, you will probably tend to overestimate the time required, and you will probably work more slowly than in future efforts. The following table gives an estimated time frame:

<table>
<thead>
<tr>
<th>Task</th>
<th>Time Estimate</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case statement</td>
<td>5-10 hours</td>
<td>Consider modifying an existing grant proposal</td>
</tr>
<tr>
<td>Gift table</td>
<td>½-1 hour</td>
<td>Follow exercise in manual</td>
</tr>
<tr>
<td>Planning Study</td>
<td>15-20 hours</td>
<td>1 hour per interview including travel time</td>
</tr>
<tr>
<td>Pilot parlor meeting</td>
<td>4 hours</td>
<td>2 hours for meeting</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2 hours for planning</td>
</tr>
<tr>
<td>Parlor meetings</td>
<td>10-12 hours</td>
<td>1-2 hours for each</td>
</tr>
<tr>
<td>Additional cultivation</td>
<td>60-80 hours</td>
<td>1 hour per prospect</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1 hour preparation</td>
</tr>
<tr>
<td>Prospect research</td>
<td>5 hours</td>
<td>Very limited since most prospects will be obtained from cultivation</td>
</tr>
<tr>
<td>Campaign plan</td>
<td>10 hours</td>
<td>Follow the model in this manual</td>
</tr>
<tr>
<td>Establish admin./ info. systems</td>
<td>10 hours</td>
<td>Small number of prospects reduces time</td>
</tr>
<tr>
<td>Prospect review</td>
<td>5 hours</td>
<td>Small number speeds process</td>
</tr>
<tr>
<td>Recruit leaders and Chairperson*</td>
<td>10 hours</td>
<td>Most time in meetings and developing strategy</td>
</tr>
<tr>
<td>Periodic campaign meetings*</td>
<td>12 hours</td>
<td>1 hour preparation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1 hour meeting</td>
</tr>
<tr>
<td>Periodic reports</td>
<td>10 hours</td>
<td>1 report every 2 weeks</td>
</tr>
<tr>
<td>Training</td>
<td>10 hours</td>
<td>2 hours of training</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8 hours of preparation</td>
</tr>
<tr>
<td>Solicitation</td>
<td>30-40 hours</td>
<td>Assume you will be present at half of the solicitations</td>
</tr>
</tbody>
</table>
*Optional activities if you use the Campaign Advisory Team alternative.
The total time commitment is 200 to 240 hours, or 5 to 6 weeks. The time commitment is less if you use the Campaign Advisory Team alternative versus the traditional campaign organization. The final number represents only 10% to 15% of your total time. It provides ample time to engage in other fundraising activities as well as your myriad of other administrative responsibilities.

The problem is not a matter of time. More often, the challenge is to overcome discomfort with new situations. This manual is intended to increase your comfort level and lead you to increased fundraising success.

**Annual Capital Campaigns and CACs**

There are currently over 1,250,000 non-profit organizations throughout the United States. This represents a sixfold increase over the past 20 years. CACs are among these new organizations. Most new non-profits do not have a compelling reason to build or renovate a facility to serve their clientele. CACs, however, require a special facility in order to accomplish their mission. The facility must accommodate members of the interdisciplinary team, facilitate joint interviewing, be child friendly and provide a safe and secure environment for clients and staff. Therefore, it is likely that at some time most CACs will consider whether to build a new facility or renovate an existing one to meet their needs. At this time a capital campaign should be considered.

The nature of the CAC mission is a constraint on the CAC’s fundraising. The two most logical sources of support, the clients and the Board of the CAC, are, in general, not fundraising assets. Client confidentiality and income level constrain the development of a constituency among those families the CAC serves. Furthermore, the initial Boards of CACs consist of representatives from the agencies that comprise the CAC collaboration -- law enforcement, social and mental health services, child protective services, medical personnel and prosecutors. This Board is needed to establish the CAC and discharge its mission. However, Boards filled with people serving in representative capacities are not fundraising Boards.

It will be necessary, in anticipation of a capital campaign, to begin the process of transforming the CAC Board so it has greater representation from major corporations and influential and affluent community leaders. The CAC could also set up an Advisory Board for the purpose of raising funds.

**Preliminary Questions to Determine Whether Your CAC is Ready to Conduct a Capital Campaign**

The technology and principles for conducting successful campaigns were developed 75 years ago. These core principles and techniques still work today. Prestigious cultural, health and educational organizations have traditionally undertaken capital campaigns, and these organizations have Boards comprised of affluent and influential members, large constituencies and an established pool of donors. This is not the profile of the typical community-based human service agency and certainly not the profile of an agency that has been in existence for less than 10 years -- as is the case for most CACs. Many grant makers who have traditionally supported capital campaigns are well aware of the necessary ingredients for success. Therefore, these funding sources will look for the same principles and parameters with small community-based organizations as they do with larger and more prestigious campaign-
experienced non-profits. These include:

1. A correct sequence of the following standard activities:
   
   - **Giving by the Board prior to receiving the gifts of others**
   - **Solicitation of the largest gifts, typically the Top 10, prior to the solicitation of the smaller gifts**
   - **Announcement of the campaign should usually take place after it has achieved 50% of its campaign goal. Some grant makers will not provide support until this 50% target is reached**

2. Resolution of relevant legal issues. These issues include clear title to the land and resolution of any zoning problems. Some small non-profits have moved ahead with their campaign without obtaining proper zoning. This resulted in a premature end to their capital campaign because their rezoning petition was denied.

3. An established sense that the agency will bode well in the long term. Many smaller non-profits are the result of a single charismatic leader’s vision and commitment to the cause. Some funders have concern about whether the organization could survive the departure of that charismatic leader. While they have no problem providing grants or gifts for short-term projects and operations, they do tend to have a concern about making capital gifts.

4. An established sense of necessity. Has the organization thought through the issues regarding building or renovation versus other alternatives? Have the following alternatives been explored? Such as:
   
   - **Rental**
   - **Financing through a bond issue or some means other than a capital campaign**
   - **Renovation versus new construction**

   The sophisticated donor will ask these tough questions, and your organization must be prepared to answer them with a plan that makes sense.

**Principles of the Capital Campaign**

A capital campaign is based on three specific leadership qualities. The first is that those closest to the organization, the Board, should be the first to give. While it is not realistic to expect that Board members of the typical CAC should give at the same levels as Board members at Harvard, Yale, or Stanford, they should all give at some level. The corporation or foundation’s giving officer will want to see 100% Board participation. As a practical matter, how can you ask others to contribute to a campaign if those closest to the organization, the Board, do not support the effort?
Second, larger leadership gifts should precede smaller gifts. Prospective donors, as they consider their gifts, will want to see what others have done before them. Therefore, it makes sense to have the largest gifts in place before seeking smaller ones. If this process is reversed, the prospects you hope would make the largest gifts see smaller gifts preceding theirs and may be inclined to adjust their own gifts in a downward direction.

Third, no one should ask for a gift unless they have made their own gift commitment. This is a cardinal rule of capital campaigns. The only real leverage a solicitor has in seeking a gift from a prospect is to cite their own gift and ask the prospect to do the same.

Conventional Versus Non-conventional Campaign Strategy?

The extensive literature on capital campaigns presumes that the non-profit organization has sufficient prospects and volunteers to develop the elaborate campaign organizational structure that is the hallmark of a traditional capital campaign. If you review the example of a gift table in Section 4, “The Gift Table,” you will see that the $1,000,000 objective requires 105 gifts to attain this goal. There are two key ratios that will determine the number of prospects and volunteer solicitors that will be needed to meet this objective:

- You will generally require three prospects for each gift obtained.
- You will generally not assign more than five prospects to any volunteer solicitor.

Using these ratios, the campaign to raise $1,000,000 will require 315 prospects to secure the 105 gifts. The campaign will then require 60 to 75 solicitors (not every solicitor will want or be able to call on 5 prospects). There are very few organizations in any community that can recruit the number of volunteers needed to attain even this modest campaign objective through a traditional campaign.

The typical CAC will have to consider an alternative to the traditional campaign. An alternative organizational structure is described in Section 10, “The Campaign Advisory Team.” One of the advantages that CACs have in capital campaigning is the appeal of the cause to grant makers. This is discussed in Section 3, “The Case Statement.” The reasons that grant makers find CACs appealing are:

- Grant makers often support children’s issues.
- The collaborative approach inherent to a CAC also appeals to many grant makers.
- The concept and approach of a CAC is novel and intriguing.
- The CAC is a unique community organization with a distinct and compelling mission.

As a consequence, the CAC may be able to obtain substantial gifts and meet most of its campaign objective through grants made by private foundations and corporations. If this is the case, the CAC will not need to rely on a large number of individual gifts.
If a community has a limited number of foundations and corporations, an extensive period of cultivation and preparation will be needed prior to conducting a capital campaign. This preparatory phase helps develop sufficient prospects among individuals and small businesses in the community. A well-executed Feasibility/Planning Study will provide some indication of the amount of preparation that will be required.
INTRODUCTION and PROBLEM STATEMENT

Sometimes one single incident leaves an individual traumatized for life. There is no greater invasion of a child than sexual abuse. And nothing will destroy the innocence of childhood faster. Sexual abuse of children is far more prevalent than formerly suspected, and the effects are long lasting and insidious. It is estimated that for every child who discloses abuse, there are three who do not. The unique and difficult issues inherent to the investigation of these difficult cases include the following:

Damage to the Child and Supportive Family Members

The overwhelming trauma to the child will adversely affect him/her for a lifetime. Children lose their ability to trust, sometimes forever. They lose trust and confidence in themselves. They often become substance abusers, battered women, and in the completion of a vicious cycle, the victim sometimes becomes a perpetrator as an adult. Much too often the violator is known to the child and is either a friend or a family member. In such cases, when the child knows the alleged perpetrator, the mere accusation of the abuse can devastate the family.

Exacerbation of the Trauma Due to Bureaucratic Complexities

The social service system in communities more often resembles a complex maze of agencies rather than a logical, efficient and effective system. Three separate agencies with official responsibility for the investigation of sexual abuse will typically become involved:

- Child Protective Services
- Prosecutor’s Office
- Law Enforcement

Multiple agency involvement leads to repeated interviews of the child in multiple locations. In Everytown, a child could potentially be examined and questioned eight times by eight different agencies in eight separate locations. And the investigative process can have the unintended effect of being as traumatic as the abuse itself. It is no wonder that children and families lose faith in the system.
ORGANIZATIONAL HISTORY
THE NEED FOR A COORDINATED APPROACH TO THE PROBLEM OF CHILD SEXUAL ABUSE

In response to the problems stated above, a national movement is working to establish organizations that:

1. coordinate the investigation of the allegation of sexual abuse
2. undertake the physical examination of children
3. provide emergency counseling services
4. provide education and training for professionals and the community
5. conduct support programs for supportive family members or caregivers
6. provide referral for long-term counseling for the child and supportive family members or caregivers

These services are provided in a child-focused facility aiming to minimize the trauma that can occur during the investigation and intervention process. These organizations are called Children’s Advocacy Centers (CACs). A precondition to the establishment of a CAC is an interagency agreement between the key agencies responsible for the investigation and prosecution of alleged abuse. The police, the prosecutor’s office, the child protective service agency and the local children’s hospital or pediatric unit are among the parties who must take part in the agreement. The National Network of Children’s Advocacy Centers provides training and technical assistance and sets practice standards for over 100 CAC members nationwide.

The Everytown Children’s Advocacy Center (ECAC) is the outgrowth of a community-based task force established to study and improve the community response to child sexual abuse in Everytown. ECAC was started in 1986 as a collaborative effort between the Police Department, Child Protective Services, the District Attorney, the Council of Governments and the University Health System. While ECAC was established in part by government agencies, it is an independent private non-profit organization.

AFFILIATIONS and COLLABORATIVE PARTNERS OF THE EVERYTOWN CHILDREN’S ADVOCACY CENTER

ECAC was formed through the cooperative efforts of various community organizations. Interagency collaboration is central to the ECAC mission, and the ECAC is affiliated with and/or collaborates with the following organizations:

- National Network of Children’s Advocacy Centers
- State Network of Children’s Advocacy Centers
- The University Health Science Center
ECAC currently handles 1,150 new cases annually. Each month, ECAC serves 205 to 225 children. The population served consists of children from infancy to age 17. The client population reflects the ethnic makeup of the community -- 61% Caucasian, 31% African-American and 8% Hispanic. The clientele is overwhelmingly female (83%). ECAC cases have increased steadily, and we expect that a new facility and the resulting enhanced services will increase our caseload.

### Case Load of Everytown Children’s Advocacy Center

<table>
<thead>
<tr>
<th>Year</th>
<th>New Clients</th>
<th>Total Clients Seen</th>
</tr>
</thead>
<tbody>
<tr>
<td>1992-1993</td>
<td>925</td>
<td>1,790</td>
</tr>
<tr>
<td>1993-1994</td>
<td>976</td>
<td>1,993</td>
</tr>
<tr>
<td>1994-1995</td>
<td>1,150</td>
<td>2,126</td>
</tr>
</tbody>
</table>

### Specific Grant Request

The Everytown Children’s Advocacy Center is requesting a grant from the Good Deed Foundation to assist with the construction of a new facility. The following two factors make this request unique:

1. **Distinct Agency Mission**

No other agency within the County provides the services of the ECAC. No other agency is charged with coordinating the investigation of abuse that, if corroborated, leads to criminal prosecution of the perpetrator. No other agency provides emergency counseling and support to abused children.

- The ECAC is the first agency to intervene after a child has reported alleged abuse. This period is critical, not only for the preparation of a criminal case, but for the ability to minimize the trauma to the child and the family.
- An extensive training program is an integral part of the ECAC mission. The ECAC staff includes distinguished professional experts with national reputations. The physicians at
ECAC have examined over 5,000 children. ECAC staff publish extensively, undertake research and conduct medical examinations. ECAC also sponsors a major conference for physicians, nurses, lawyers and mental health and law enforcement personnel from all over the region. Other training activities of the ECAC include:

1. Police training on the detection and epidemiology of child abuse
2. Intensive one-on-one training to medical personnel on the diagnosis of sexual abuse
3. Information dissemination on abuse to schoolteachers and daycare workers

2. Broad Service Area

The ECAC’s primary service area covers the 20 counties comprising Region 10 of the State’s Department of Human Service. The ECAC is the only source of services for this geographic area. In addition, the ECAC provides consultation and training to physicians and law enforcement personnel from an additional 20-county area in the southern part of the state.

PROJECT IMPACT - A NEW CHILD-FRIENDLY FACILITY

The unique design requirements of the CAC facility are at the heart of the agency’s mission. A CAC cannot work effectively on abused children’s behalf without a facility that can bring together all the critical players. The community needs a safe, child-focused place for the assessment and intervention of sexual abuse that will minimize trauma for the child and supportive caregivers while furthering the investigative process.

CURRENT CONSTRAINTS

At present, the ECAC is located in an office building. The setting is far from optimal and reduces the scope of the ECAC mission. The space is inadequate for a variety of reasons:

- The space has no room to house critical personnel from cooperating agencies.
- The space has no special rooms permitting the joint interviewing of children.
- On site training of professional personnel is difficult to administer due to logistical constraints.
- The growing caseload is straining current physical capacity.

The proposed new facility will increase both the depth and scope of the ECAC mission. The new facility will be located on eight acres of land donated by the Very Big Medical Center. The acreage is sufficient to accommodate the new facility and allow for such amenities as a children’s garden and outdoor areas that could be used for group therapy sessions.
PROJECT BENEFITS

1. A Child-Focused Environment

The new facility design is focused on the special needs of children. The flow and layout facilitate treatment while providing the sense of freedom of movement that abused children need. The facility recognizes that children of every age are subject to abuse. The new facility provides age-appropriate accommodations for toddlers through teenagers. The Center’s interview rooms have adjacent observation rooms. One-way mirrors provide law enforcement personnel a means of observing the child and the interviewer or therapist.

As noted, the generosity of the Very Big Medical Center will permit ECAC to develop, on the donated land, a network of pathways and gardens including a Children’s Healing Garden that could accommodate group sessions.

2. Joint Interviewing and Investigation

A critical element of the ECAC mission, the coordination of the investigation of the allegation of abuse, has been largely deferred since all representative agencies are not currently located at one site. The new facility combines the resources of a health science center, law enforcement, child protection and counseling. These resources are brought together in a centralized setting and an environment designed to respect children’s needs.

3. Increased Caseload

At present, the office space does not permit any addition to the current ECAC caseload. The ECAC sees 70% of the reported cases of sexual abuse from its primary service area. The new facility’s additional space will permit the increase of ECAC’s caseload to 90% of all reported cases. For a variety of reasons, not every case of reported child abuse will proceed to the point of requiring the services of ECAC. It is estimated that the optimum number seen in the new facility will be 90% of the reported cases, or 1,500 children.

4. Increased Community Outreach and Training

ECAC will use videocolposcopy to link the new facility with physicians in remote areas throughout the state to permit real-time diagnostic consultations for the evaluation of sexual abuse. Specially equipped colposcopes will be connected through phone lines to permit the ECAC physician in Everytown to see what the physician at the remote site is viewing. The new building’s training facilities will allow for interdisciplinary training of doctors, nurses, attorneys, police officers, social workers, mental health professionals, and medical, law, social work and nursing students.
PROGRAM EVALUATION

The complex and multifaceted nature of the ECAC mission requires two separate evaluation designs. The first measures the effectiveness of the ECAC's intervention for the child. The second evaluates the prosecutorial effectiveness of the multidisciplinary approach. As noted, this aspect of the ECAC mission has been deferred, in part, until the new facility is operational. Therefore, the evaluation of this aspect of the ECAC mission will not be fully developed until the new facility is constructed and operational. When the new building is complete, this part of the ECAC mission will be assessed through outcome variables set forth below:

- the attitude of interdisciplinary team members (police, child protective workers, prosecutors and ECAC counselors) regarding joint interviewing
- the percentage of cases referred for prosecution prior to joint interviewing compared to the percentage after joint interviewing
- the effectiveness of prosecution based on the number of plea bargains and convictions as a percentage of cases prior to and after inception of joint interviewing
- the attitude of clients/families served prior to and after joint interviewing

Currently, the ECAC evaluates the children it serves through an assessment of symptoms the child is experiencing before and after the ECAC intervention. Agency clients demonstrate different degrees of symptoms. The objective is to promote healing as defined by the abused children. This means regaining a sense of safety and trust. The ECAC counselors evaluate the child on a multidimensional scale following each visit.

The symptoms as observed and evaluated by ECAC counselors are:

1. Difficulty talking about the abuse
2. Guilt
3. Fear of the system is activated
4. Fear of the adult perpetrator
5. Sleep problems
6. Isolation
7. Depression
8. Concern for physical condition

Each child is rated on each of these symptoms. These ratings are:

- Severe symptoms = 4
- Moderate symptoms = 3
- Mild symptoms = 2
- No symptoms = 1
A random sample of 50 clients following each client visit was analyzed. The average score for the sample of 50 children is as follows:

<table>
<thead>
<tr>
<th></th>
<th>Aggregate score</th>
<th>Average score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>First visit</strong></td>
<td>150.2500</td>
<td>3.0050</td>
</tr>
<tr>
<td><strong>Last visit</strong></td>
<td>75.8750</td>
<td>1.5175</td>
</tr>
<tr>
<td><strong>Difference</strong></td>
<td></td>
<td>1.4875</td>
</tr>
</tbody>
</table>

The difference represents a 50% reduction of symptoms from the first to the last visit of the sample group. Therefore, the children on average went from experiencing a moderate degree of symptoms (3) to mild or no symptoms (1.48). Every child in the group manifested some change.

The range of change was:

| Greatest change | 2.625 |
| Least change    | .250  |

**OPERATIONAL FUNDING OF ECAC**

Current financial support includes:

- Revenue derived from fees for service for the medical exams the ECAC provides to law enforcement agencies and the State Department of Protective and Regulatory Services. This constitutes approximately 30% of ECAC’s revenue.

- Revenue provided by the County Health District representing 23% of ECAC’s revenue.

- United Way support representing another 20% of ECAC’s revenue.

- State and National grants representing 15% of ECAC’s revenue.

<table>
<thead>
<tr>
<th>REVENUE SOURCE</th>
<th>% OF ECAC BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>United Way</td>
<td>20%</td>
</tr>
<tr>
<td>Medical Examinations</td>
<td>30%</td>
</tr>
<tr>
<td>County Health District</td>
<td>23%</td>
</tr>
<tr>
<td>State and National Grants</td>
<td>15%</td>
</tr>
<tr>
<td>Fundraising</td>
<td>10%</td>
</tr>
<tr>
<td>Private Pay and Misc.</td>
<td>2%</td>
</tr>
</tbody>
</table>

Fundraising represents a small portion of ECAC’s current revenue sources. However, the recent
capital campaign demonstrates the desirability of developing a broader fundraising program to compliment existing revenue sources. A fundraising program will also serve as a safeguard against any unanticipated losses of revenue. We are, therefore, using the increased visibility and community support generated by the capital campaign to serve as a catalyst for increased fundraising for operational support.

Initially, the nature of the ECAC mission served as a constraint on its fundraising. The two most logical sources of support, the Board and the clients of the ECAC, were not fundraising assets. ECAC is constrained by such issues as confidentiality from developing a constituency among those families to which it provides service. Furthermore, the initial Board of ECAC consisted of representatives from the agencies providing ECAC collaborative services -- law enforcement, social and mental health services, child protective services, medical personnel and prosecutors. The initial Board served well in establishing ECAC and its mission in the community. However, the initial Board was never actively involved in fundraising.

At the suggestion of United Way, and in anticipation of the capital campaign, the ECAC began transforming its Board in order to gain greater representation from major corporations and to include affluent community leaders. The ECAC Board now includes representatives from:

- Big Baby Bell Corporation
- Eastern Airlines
- Pennsylvania Railroad
- Commodore Computer Corporation
- Studebaker Packard Automobile Company
- private legal practices
- small but successful local businesses

In addition, the Board now includes affluent community leaders with capital campaign experience. 100% of the Board members participated in the capital campaign.

**PROJECT COSTS**

The total project cost is $1,500,000. This cost is based on two separate contractor estimates of the construction documents, specifications and plans. A cost breakdown of the project follows.

**IMPACT OF NEW FACILITY ON OPERATIONAL EXPENSES**

The new facility will actually result in the reduction of the ECAC’s operational budget. This is due to elimination of rent from the existing budget and the new income source of rent which will be paid by Child Protective Services to the ECAC for housing a CPS unit at the new facility. The CPS unit will consist of 12 personnel, 10 case-workers and two clerical staff. CPS will pay the prevailing rate of rent for city agencies -- $1 per month per square foot. CPS will occupy 2,500 square feet.

**OPERATION COSTS**
Anticipated increase in costs expected for the new facility:

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>$17,000</td>
</tr>
<tr>
<td>Utilities</td>
<td>$10,500</td>
</tr>
<tr>
<td>Insurance, maintenance, phone</td>
<td>$20,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$47,500</strong></td>
</tr>
</tbody>
</table>

Anticipated increase in revenue:

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increased program revenue from additional clients</td>
<td>$10,000</td>
</tr>
<tr>
<td>Rental savings</td>
<td>$29,000</td>
</tr>
<tr>
<td>Rental income from CPS</td>
<td>$25,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$64,000</strong></td>
</tr>
</tbody>
</table>

**FUNDRAISING FOR THE CAPITAL CAMPAIGN**

To date, the ECAC has raised cash gifts and commitments of $1,010,000 or 67.3% of the project cost. The following demonstrates a breakdown of contributions:

<table>
<thead>
<tr>
<th>Source of Support</th>
<th>Dollars Contributed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board and Family</td>
<td>$127,000</td>
</tr>
<tr>
<td>Corporations</td>
<td>$325,000</td>
</tr>
<tr>
<td>Foundations and Charitable Trusts</td>
<td>$558,000</td>
</tr>
<tr>
<td><strong>Total Raised</strong></td>
<td><strong>$1,010,000 = 67.3%</strong></td>
</tr>
</tbody>
</table>

Prior to the capital campaign, the ECAC had never embarked on a full-scale fundraising effort. Our steady source of revenue negated a need for a diversified fundraising strategy. Therefore, our first goal was to develop community and corporate leadership and to strengthen the fundraising capacity of the Board prior to the commencement of the campaign. To this end, the ECAC has successfully developed a strong volunteer leadership that will continue to move forward to obtain the remaining funds from individuals and small- and medium-size businesses.

We are therefore requesting a grant of $100,000 from the Good Deed Foundation toward the construction of the new facility.

**PROJECT START DATE**

The proposed start of construction is November 1998. Construction will take approximately 8 to 10 months to complete. ECAC, therefore, is requesting that any grant from the Good Deed Foundation be made prior to October 1998.
A solid case statement is essential to your capital campaign. Most frequently, the case statement is laid out in brochure format and summarizes your rationale for support. The case statement also includes additional campaign media such as audio-visual presentations. Ultimately, the case statement takes the form of a boilerplate grant proposal. There is probably more misinformation and misunderstanding about the case statement than any other aspect of the campaign.

The case statement is used throughout your solicitation process to serve the following purposes:

- It helps discipline institutional planning and decision making by putting in writing what might otherwise seem vague or unclear.
- It educates volunteer solicitors as to why their support is needed.
- It motivates volunteer solicitors by linking them to a meaningful cause.
- It can help create a positive image within the community.
- It can be modified and used as a grant proposal to elicit support from foundations and corporations.

As the core of a grant proposal, the case statement is of greatest utility to CACs. A successful capital campaign requires grants from corporations and foundations. A strong and succinct case, as communicated through your case statement, will be critical.

Well-written and well thought out case statements are of particular importance to CACs, as the CAC mission is difficult to explain and is confused with the missions of other organizations in the community. Also, the CAC mission concerns subject matter that many people would just as soon not hear about.

**PREPARING EFFECTIVE CASE STATEMENTS**

Four factors will determine the effectiveness of your case statements:

1. How well you position your organization
2. Whether your writing style is appropriate
3. How persuasive you can be
4. What media you use and how well you use it
ORGANIZATIONAL POSITIONING

Marketing

As discussed in Chapter 2, effective marketing strategy means viewing your organization as a retailer selling a product. That product is your cause, and you are asking the consumer/donor to purchase it by making a donation. The campaign is your merchandising technique and the case statement becomes your advertising -- the vehicle through which you communicate the CAC mission and needs to the public.

One of the most common mistakes is using statistics to state your case. Demonstration of need by use of statistics is necessary for many grants. However, to many individuals, smaller foundations and corporations, statistics are dull and tedious. Carefully chosen anecdotes are much more effective. They personalize the case and demonstrate the impact of abuse on the child and family.

A critical idea in marketing is **positioning**. Positioning refers to the image you wish to convey to the audience and the perceptions and opinions you hope they will develop about your organization.

Positioning and the CAC

A set of unique factors set the CACs apart from other human service agencies. These factors must be communicated through your case statement. They will persuade donors -- individuals, corporations and foundations -- to make significant investments in the capital campaign. The factors unique to CACs are listed below:

- Collaboration among community organizations is becoming very important and very appealing to many funders. The CAC institutionalizes collaboration, as it is absolutely essential to the agency mission.

- A CAC represents an interdisciplinary approach to a complex problem. It takes a comprehensive approach combining investigation, counseling, community education and medical services. Few grants will include such a high level of participation of professionals from various fields.

- The CAC aims to serve child victims and supportive caregivers while simultaneously building a stronger case for the prosecution. Its benefits are twofold, encompassing both the social service and juvenile justice arenas.

The following considerations are also important:

- **Donors do not make gifts -- they make investments.**

- **Donor investment should create a sense of ownership and involvement, not**
The case statement approach should be positive and should refer to opportunities -- not to dire problems with no hope of solution.

The case statement should address issues of concern to the audience and should present the organization at capable problem solving.

The case should be future oriented -- references to the past should be brief and should demonstrate institutional continuity.

WRITING STYLE

The characteristics of your audience determine your writing style, the length of the document and the nature of the arguments you make. The following characteristics of the audience are important to consider:

• their familiarity with the subject matter
• their sophistication
• their technical expertise
• the amount of time they will have to focus on your communication

You are writing the case statement for an audience of community leaders and for people of affluence and influence.

Familiarity

The Board and other organizational family members will be very familiar with your organization’s specific fundraising objectives. Other prospects will have some familiarity with your organization, based on your cultivation efforts, but they may not be knowledgeable about your specific project. CACs, however, must be prepared to address some of the public perceptions and misconceptions on topics such as highly-publicized cases involving day care providers and ritual abuse, recovered memory of adult victims of incest and reliability of children as witnesses.

Sophistication

Prospects are likely to be very sophisticated. However, try not to overwhelm them with acronyms and jargon.

Technical Expertise
Your case statement audience does not consist of nationally renowned experts on family violence, health care organizations or secondary education. Even local grant makers tend to have only a superficial knowledge of the dynamics of child abuse. Such knowledge and expertise may exist in larger regional foundations, and you can assume that staff of national foundations will be very knowledgeable.

**Time**

Your case statement should be concise and to the point. While time is a precious commodity, you should assume that your prospects will have the time to scan if not read your case statement.

**Predisposition**

The cultivation of prospects can lead to a positive attitude toward any written material.

**Writing Style Checklist**

The following guidelines will help with your writing:

- The less familiarity of your audience is with your cause, the more user-friendly your style must be. No jargon, no acronyms and a limited use of statistics.
- The lower the familiarity, the more you have to humanize the issue.
- The less time available, the briefer the case statement should be.
- If your audience is very diverse, perhaps more than one version of the case statement may be necessary.
- The terminology must be meaningful to the audience. Do not use words that can turn off your audience.
- Disseminate your information at the proper rate -- if it's too fast, your audience will not be able to understand your writing -- if it's too slow, they will get bored.

**Persuasion**

The arguments to make in your case statement are not formal proofs in a scientific sense. There is no single or correct way to construct such arguments. You are free to select evidence from a wide array of information to support your point. Your role is similar to that of a lawyer -- an advocate acting on behalf of a client. Below is a checklist that may enhance the power of your persuasive skills:
• You are free to choose the argument that will be most effective for your organization. You can place the greatest emphasis on the general mission of your organization, its unique attributes, or the particular theme of the campaign.

• Do not be constrained by contradictory facts. Select those facts that best support your case.

• Garner information from various different sources including:
  - expert opinion
  - public opinion
  - scientific studies
  - published material
  - data
  - analogy
  - inference

**USE OF MEDIA**

A variety of media materials can help reach your audience:

• Print a campaign brochure and a question-and-answer pamphlet providing answers to common questions

• Audio-Visual Presentations: film, video tape, slide presentations and video-taped slide presentations

**Cost of Publicity Materials**

The following guidelines assume that your campaign materials are of sufficient importance and that adequate funds were allocated for their production. If money is a problem, you have the following options:

1. Use the earliest campaign donations, from your Board or another lead donor, to defray these costs.

2. If you do not have the funds to pay for quality materials, try to arrange for their donation.

3. Recruit talented amateur writers, graphic artists, etc., from local colleges to work on your materials as a class or individual project. They can either contribute their talent or work for a reasonable fee.

4. Develop simple materials on your own. Local photocopying and printing places like PIP and Kinko's can produce acceptable materials at low cost.
Approximately 25% to 30% of the campaign budget should be spent on the case statement and other public relations materials. Following are some helpful rules of thumb:

- **Spend roughly 25% of your materials budget for graphic design, type and photography.**
- **Spend roughly 25% of your materials budget on the slide show. (Photography should be prorated between brochure and slides.)**
- **Roughly 75% of printing costs should be for the brochure. If you use the same paper stock for all your materials, you can save by printing them all at the same time.**
- **Video or film costs about $1,000 per minute; the presentation should be 6-8 minutes. Consult with the National Network to investigate whether existing materials are appropriate or can be edited and personalized to meet your needs.**

**The Correct Look**

The degree of quality of your materials is a complicated issue. Some suggest that a look that is too professional creates the impression that the organization really does not need money or that money is being spent inappropriately. Obviously, you do not want to spend money lavishly, but you do want a professional look that is consistent with the image you wish to project. You want to appear competent, organized and in control. You are, after all, asking people to make an investment. You cannot accomplish this with a second-rate look. A quality look does not automatically mean large expenditures. There are plenty of lavish brochures in full color that look tacky. But there are also one- or two-color brochures of excellent design.

**Photography**

One example of prudent expenditure is to use black and white rather than color photography for your brochures. Quality black and white photography is easier to secure, more dramatic and often more appropriate for your organization and your purposes. Do you really want full color photography of a hospital, a Prosecutor’s Office, or a program for sexually abused children?

**Audio-Visuals**

The availability of videotape and the ubiquity of VHF have provided the technology to create quality audio-visuals. However, the availability of this technology does not equate with the production of quality public relations. A talking head or a succession of client endorsements is ineffective and boring to watch.

A first-rate slide show is always preferable to a second-rate video. Video presents a special challenge. While photographic techniques have not varied greatly over the decades, film and video have. We are all spoiled by the film product of the 90's -- the rapid cuts, futuristic special effects and new camera technology. The quality you are used to in commercial film and video
can make most other video and film efforts look unprofessional in comparison.

Music

The total elimination of generic elevator or synthesized music is highly preferable. Many well-produced audio-visuals are spoiled by an indifferent selection of background music. Some of the most dramatic moments of movies exist through the use of music. You will not find a dry eye in the room when videos end with children singing an uplifting song. Spend as much time with your musical selection as you do with the wording of your script.

A Less-Expensive Alternative

You may need to consider an alternative to costly campaign materials. Instead of giving prospects brochures or other printed material, you can present them with a mini-proposal based on the case statement. You can customize the proposal by using a coversheet that is personally addressed to the prospect. A sample customized proposal is listed on the following page:
CASE STATEMENT THEME DEVELOPMENT

Establish an effective theme or title for your annual campaign. Your goal is to develop very positive perceptions and opinions about your organization.

The following can assist you in developing your case statement/campaign theme:

**Step 1.** Decide whether you will seek support based on the general purpose of your organization or specific program aspects.

Because a CAC’s purpose is frequently misunderstood and complex, it might be prudent to simplify the case by focusing on helping children who are traumatized. The joint investigation conducted by the interdisciplinary team is at the heart of the CAC mission. However, this aspect of the CAC mission may be too difficult to understand. Your message is easily simplified through an emphasis on the children served.

**Step 2.** Write a short description of either the program or the purpose you have selected to emphasize.

<table>
<thead>
<tr>
<th>Program Objective</th>
<th>High-Order Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination of the investigation</td>
<td>System efficiency and effectiveness</td>
</tr>
<tr>
<td>Family counseling</td>
<td>Preservation of the family</td>
</tr>
<tr>
<td>Community education</td>
<td>Promoting shared values</td>
</tr>
<tr>
<td>Crisis counseling</td>
<td>Maintenance of the child’s self-esteem and respect</td>
</tr>
</tbody>
</table>

**Step 3.** List program or agency objectives. Then translate your objectives into equivalent high-order objectives. For example:
Use the high-order concepts that everyone values as the basis of your campaign theme.

**High-Order Objectives for Your Organization or Specific Program**  
(List as many as you can)

1. 
2. 
3. 
4. 
5. 

**Step 4.** Select the one or two of these that seem most promising and create short phrases such as:

“**For the Children -- A Capital Campaign**”

“**Building a Safe Place for Everytown’s Children**”

Review the phrases with those involved in the campaign to select the one that best represents your case statement theme to be placed on the cover of any campaign brochures and displayed prominently throughout all case statement materials.
THE GIFT TABLE

A winning campaign does not rely on gifts of $5, $10 and $25. Grassroots fund raising may be important, but the large individual, corporate, or foundation gifts will ultimately determine the success of your campaign. The 90:10 phenomenon often applies, meaning that 10% of your efforts yield 90% of your results. The field of fundraising consulting has existed for about 70 years. During that time, consultants have found that 90% of the funds raised in successful campaigns come from less than 10% of the donors. Generally a successful campaign requires a lead gift of 10% to 20%. In some campaigns even larger pacesetting gifts are necessary.

The typical campaign will have the following breakdown of gifts:

- A lead gift of 10% to 20%
- The top 10 gifts will comprise 30% to 50% of the goal
- The next 50 to 100 gifts will produce the next 30% to 40% of the goal
- The last 5% to 10% will come from the remaining donors, typically the community phase of the campaign

The best way to demonstrate this is in a graphic format, variously known as the “chart of standards,” “gift table,” or “gift pyramid.” The many uses for the chart include:

1. As a road map for the campaign, demonstrating what will be necessary to attain success. Campaign leadership can visualize what will need to occur in order to conduct a winning campaign.

2. As a motivational device. Prominently displayed, it lays out campaign progress for all campaign workers to see and evaluate.

3. As an integral part of the planning or feasibility study. The feasibility of a campaign depends on the availability of the largest gifts. Present the gift table to a Planning Study interviewee and ask them for input about where to look for gifts within the community. You can also use the chart to determine the range of the interviewee’s gift. You can ask them to refer to the gift table to indicate their giving level.

4. As a tool for developing the organizational chart and structure for the campaign. This is accomplished by establishing divisions in the campaign that correspond to the various levels of gifts on the chart.

Key Ratios

Two ratios will enable us to develop an organizational chart from the gift table:

- There will be a 3:1 ratio of prospects to each gift. On average, three prospects will be...
required for each gift received.

- There will be a maximum of a 5:1 ratio of prospects to solicitors. No more than five prospects should be assigned to any one solicitor.

An inexperienced campaigner will frequently suggest that rather than obtaining a single large gift, it would be easier to obtain multiple smaller gifts. Thus, a $10,000 lead gift would be replaced by 100 gifts of $100. However, few organizations have that many constituents or the power to develop that many supporters. Obtaining $100,000 by securing 100 gifts of $1,000 would require 300 prospects rather than the three prospects required for the single $100,000 gift. It would also require at least 60 volunteer solicitors (each volunteer solicitor will be assigned, on the average, no more than five prospects) rather than a single solicitor. Gifts of $1,000 are not insignificant; therefore, to identify 300 prospects is no easy feat. Additionally, to recruit, train, motivate and oversee this vast number of volunteers is an overwhelming and daunting task.

While the gift table is a guide to the successful campaign, it is never an exact recipe. Each gift will not exactly match the specific dollar level of each gift on the chart. The best approach is a flexible one.

**COMFORT ZONE**

As a campaign novice, it makes sense to start small. Rather than attempt a full-scale campaign of 300 prospects with a goal of 100 gifts, you may wish to limit your first efforts to more attainable objectives.

Your first annual campaign should aim for 20 to 30 gifts requiring 60 to 90 prospects and 12 to 18 solicitors. These are much more doable targets.

**USING THE GIFT TABLE**

The following gift table uses $1,000,000 as the campaign goal. As stated above, your annual campaign goal may be considerably smaller. Once you begin planning a capital campaign, then the $1,000,000 gift table is a good starting point. The fact that the example uses a figure for the goal that is in the base of 10 makes it easy for you to calculate your own table. For example, if the goal is $50,000, just multiply every figure on the chart by 5% or .05. For appropriate totals. If your goal is $165,000, you would multiply everything by 16.5% or .165. If your capital campaign goal is $2,500,000, you need only multiply each figure by 2.5.
## SAMPLE GIFT TABLE

**EVERYTOWN CHILDREN'S ADVOCACY CENTER**

### NECESSARY STANDARDS FOR SUCCESS

Objective $1,000,000

<table>
<thead>
<tr>
<th>Number Needed</th>
<th>$ Amount</th>
<th>Total</th>
<th>Cumulative Total</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>150,000</td>
<td>150,000</td>
<td>150,000</td>
<td>15%</td>
</tr>
<tr>
<td>1</td>
<td>100,000</td>
<td>100,000</td>
<td>250,000</td>
<td>25%</td>
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<tr>
<td>2</td>
<td>50,000</td>
<td>100,000</td>
<td>350,000</td>
<td>35%</td>
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<tr>
<td>6</td>
<td>25,000</td>
<td>150,000</td>
<td>500,000</td>
<td>50%</td>
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Top 10 Gifts = 50% of Goal

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<tr>
<th>Number Needed</th>
<th>$ Amount</th>
<th>Total</th>
<th>Cumulative Total</th>
<th>Cumulative Percent</th>
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<tbody>
<tr>
<td>8</td>
<td>15,000</td>
<td>120,000</td>
<td>620,000</td>
<td>62%</td>
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<td>10</td>
<td>10,000</td>
<td>100,000</td>
<td>720,000</td>
<td>72%</td>
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<tr>
<td>12</td>
<td>7,500</td>
<td>90,000</td>
<td>810,000</td>
<td>81%</td>
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<tr>
<td>15</td>
<td>5,000</td>
<td>75,000</td>
<td>885,000</td>
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<td>20</td>
<td>2,000</td>
<td>40,000</td>
<td>925,000</td>
<td>92.5%</td>
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<tr>
<td>30</td>
<td>1,000</td>
<td>30,000</td>
<td>955,000</td>
<td>95.5%</td>
</tr>
</tbody>
</table>

Numerous under 1,000 | 45,000 | $1,000,000 | 100%
### Gift Table Exercise

#### Necessary Standards for Success

Objective $\text{Objective}$

<table>
<thead>
<tr>
<th>Number Needed</th>
<th>$\text{Amount}$</th>
<th>Total</th>
<th>Cumulative Total</th>
<th>Percent</th>
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No major corporation would bring a new product to the market without testing it through marketing research. A Planning/Feasibility Study represents the prudent first step in this process. A number of key issues are explored through this study -- issues that help demonstrate whether or not your campaign objectives can be obtained. They include:

1. **The public perception of your organization**
2. **The general economic condition of the community**
3. **Possible sources of campaign leadership**
4. **Possible sources of major gifts**
5. **Whether an annual or capital campaign is realistic at this time and whether the dollar goal of the campaign is attainable**

Exploring these issues will help you determine whether you should conduct an annual or capital campaign. The study also serves other purposes beyond determining whether to go forward with your campaign.

**Other Purposes of the Study**

1. The Planning Study can be used as a cultivation technique. One of the easiest ways to engage the interest of people is to ask for their advice. A Planning Study does precisely that.

2. The study verifies the basic assumptions about the campaign, including the viability of the goal and case statement.

3. The study provides information about potential sources of leadership and major gifts.

**Methods Used to Conduct the Study**

What is the most effective way to obtain this information? Considering the analogous market research, you have three options:

1. **Focus Groups**

The focus group is frequently employed to obtain in-depth information about a product or a service. A small group of consumers sharing an attribute relevant to the research is assembled. For fundraising research, the members of the focus group should be important community leaders. A discussion leader directs a candid exchange within the group, and the client often
observes the session behind a one-way mirror. In order to solicit candor, the client’s identity is not revealed. It is this anonymity factor that severely limits the utility of the focus group for fundraising. There is no way to assess the potential success of an organization to carry out a successful campaign if their identity is not known. How can you ask a focus group to provide opinions about a hypothetical organization? The value of the focus group is the candidness of the responses, and you lose the candor if the identity of the client is known. In addition, the dynamics of the group process may lead to one or two individuals monopolizing the discussion. In summary, the utility of this technique in the campaign context is limited at best.

2. **Phone or Mail Survey**

This option is preferable when you need responses from a large representative sample of a population. However, fundraising campaigns are basically concerned with the opinions of people of affluence and influence. Furthermore, if you are interested in candid, in-depth responses, a survey will not give you what you need.

3. **In-Depth Interviews of Community Leaders**

The last technique is the most useful for two reasons:

- An in-depth interview with an individual can provide the answers you are looking for. If conducted properly, the interview will provide the candid responses needed to make an accurate judgment.

- You can use the in-depth interview as a cultivating and prospecting technique. You provide the interviewee with an opportunity to read a brief case statement that establishes the need for the project. You ask them about their personal attitude toward the campaign and whether they would be interested in a leadership role or in making an individual or corporate contribution. You should also ask them to provide leads to other prospects.

The preferred method for a Planning/Feasibility Study is a series of in-depth interviews with selected individuals from the community. These individuals include:

- Board members
- Major donors
- Key business leaders
- Lawyers, bankers and accountants (know who has the wealth in the community)
- Clergy
- Foundation executives
WHO SHOULD CONDUCT THE STUDY?

Before going into the mechanics of the interview, you must discuss an important issue; specifically, who should conduct the interviews and carry out the Feasibility Study. Should you use your own resources or hire an outside consultant? The benefits to using an outside consultant include:

- their prior experience, including experience in analyzing results
- increased candor of responses from the interviewees when responding to an outsider
- increased likelihood that your organization's decision makers will heed the advice of a consultant and their recommendations -- whether positive or negative

The main advantage of undertaking the Planning Study on your own is economic. A Planning Study can cost between $10,000 and $25,000. If you decide to carry out the study on your own, you save your agency a significant amount. The following hints will add to the effectiveness of your individual efforts.

HINTS FOR CARRYING OUT A PLANNING/FEASIBILITY STUDY

1. Create a plan and stick to it.

Try not to let other activities interfere with your schedule. You will lose valuable momentum if the study takes 6 months rather than 1 month.

2. Establish, preferably in writing, with your organization's leadership that the staff person who conducts the study will be acting as if he/she were an outside consultant.

The Study Director must be able to provide an objective analysis of the results. By acting as if he/she were an outside consultant, your organization can obtain a modicum of objectivity.

3. Establish with the interviewees that their responses are CONFIDENTIAL, and be clear about the importance of CANDID ANSWERS.

You must try to establish a candid response that will give you accurate information in order to draw proper conclusions.

4. Be scrupulous in your record keeping.
The study cannot be anecdotal. Follow the forms provided in this manual or use similar forms to record, collate and synthesize the data.

5. Prepare a written report and insist that it be formally presented to the organization’s leadership as if by an outside consultant.

Only through a formal presentation can your leadership derive the maximum benefit of the study. If they receive only a written report, you have lost control. You must rely on their diligence in reading it. You must also have confidence in their level of comprehension when interpreting the report. Through an oral report you can cover the key points in the report and provide complete explanations.

A STEP-BY-STEP GUIDE TO STUDY MECHANICS

1. Compile a list of prospective interviewees.

The list of those to be considered for interviews should consist of past and present major donors to your organization. They should include Board members, key employees of the organization, corporate leaders, community leaders, financial leaders, lawyers, clergy, accountants, foundation executives and corporate-giving officers.

2. Refine the list to those you will contact.

Narrow the list to 20 to 30 interviewees. Eliminate those people whose information will be unnecessary. Remember that a certain redundancy is important since it affirms the mutual judgments of the interviewees. Include all those you will interview for political reasons. Include those who are important community leaders but may have only tenuous ties to the organization; remember the study also serves as a cultivation tool. During the study interviewees will make suggestions as to others you should interview.

3. Prepare a brief case statement.

The case statement will be presented to the interviewees to ascertain their level of support and to determine if they think a campaign is the best means to achieve the CAC’s objective(s).

4. Prepare a Gift Chart for the campaign.

The Gift Chart, when shown to the interviewee, will graphically demonstrate the size, distribution and frequency of the major gifts that will be necessary to attain success. This will provide a structure to the interview and ensure that judgments you make are based on some degree of reality rather than on uninformed speculation.
5. Send a letter requesting a meeting. Follow up with a phone call to confirm the meeting

A letter requesting an interview should be sent. If you are having difficulty in obtaining interviews, you must try to get help from important people, such as Board members, to schedule these meetings. You have a very strong indication that a campaign may not be feasible if there are too many interviews that you are unable to schedule because the prospects will not cooperate with you.

6. Conduct interviews.

Interviews should be brief -- approximately 30 minutes. They should be loosely structured. The information should be obtained in a conversational manner rather than by reading questions from a list. In this way, the interviewee will be more relaxed and the scope and value of the information will be significantly increased.

7. Record information immediately after the interview.

Since you are not merely filling out a form, you must transcribe the information onto a data sheet, such as the one provided, as soon as possible.

8. Prepare a report with recommendations based on the aggregate of the completed interviews.

Using appropriate forms, you can present the information to your organization’s decision makers in a manner that is easily followed and understood.

RECOMMENDATIONS

Following study analysis, four possible recommendations can be made regarding the feasibility of the campaign:

1. There is enough support to conduct the campaign as planned.
2. Before conducting the campaign, it will be necessary to develop a cultivation program to develop additional prospects.
3. Modify the campaign goal to reflect the results of the study.
4. A campaign is not feasible at this time.
SAMPLE LETTER REQUESTING PLANNING/FEASIBILITY STUDY INTERVIEW

Date

Dear Community Leader:

Everytown Children’s Advocacy Center (ECAC) is a non-profit organization that provides a safe place to investigate allegations of child sexual abuse and to provide services to abused children. ECAC is faced with many challenges, which include:

1. Our need to sustain ECAC and diversify our financial support
2. Our need to build a new facility to carry out our mission more effectively

ECAC is therefore considering various strategies to enable us to meet this need, including a major gift campaign or capital campaign.

In preparation for such an effort, ECAC will undertake a confidential Planning Study. The purpose of the study will be to analyze future program directions and services and to assess our ability to raise substantial funds from private sources.

ECAC would like to request your participation in this study. A representative of ECAC will conduct individually scheduled, confidential interviews that will last approximately 30 minutes.

Within the next week you will be contacted by a representative of ECAC to schedule the most convenient time for you to participate in the study. Your support is greatly appreciated.

Sincerely,

Name
Executive Director
## ECAC PLANNING STUDY REPORT

**Interviewee:** Name______________________________
( ) Board member Business_____________________________
( ) Top 10 Gift Address_______________________________
( ) Top Thirty Phone ________________________________
( ) Suggested Leader (Attach business card)
( ) Community Leader
( ) Other ________________

1. **Institution’s Public Image:**

<table>
<thead>
<tr>
<th>10</th>
<th>9</th>
<th>8</th>
<th>7</th>
<th>6</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
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<td>Worst</td>
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</tbody>
</table>

2. **Interviewee’s understanding of the need:**

   Understands ( ) Does not ( ) Accepts as stated ( )
Other ________________

3. **Opinion of plan to meet need:**

   Right plan ( ) Wrong plan ( ) No opinion ( )

4. **Priority rating of programs of organization:**

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<th>8</th>
<th>7</th>
<th>6</th>
<th>5</th>
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</tbody>
</table>

5. **Suggestion of interviewee as to most effective message/need to set the case for the campaign:**

   __________________________________________________________
   __________________________________________________________

6. **Receptiveness to the campaign:**

<table>
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<th>8</th>
<th>7</th>
<th>6</th>
<th>5</th>
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</tr>
</tbody>
</table>
7. **Is Goal Attainable?**

   Best          Worst
   10  9  8  7  6  5  4  3  2  1
   Most attainable          Least

8. **If unattainable or in question (with a rating of 5 or below), suggested attainable goal:**
   Goal $______________________________

9. **Will interviewee work in campaign?**
   Yes ( )  Perhaps ( )  No ( )
   Write letters  Make calls  Solicit
   Evaluate prospects

10. **Will interviewee accept leadership?**
    Yes ( )  Perhaps ( )  No ( )
    Position:  Board  Advisory Committee

11. **Does interviewee understand need for cultivation?**
    Yes ( )  No ( )

12. **Will interviewee assist in cultivation?**
    Yes ( )  Perhaps ( )  No ( )
    Identify prospects  
    Rate prospects  
    Write letter  
    Meet with prospect  
    Host parlor meeting  
    Host breakfast meeting  

---

Chapter Four – Structuring Your CAC Fundraising Campaign
Section Six – Sample Letter & Study Report
13. **Will interviewee make a personal gift:**
   
   Yes (  )       Perhaps (  )       No (  )

   If yes or perhaps, where do they see their gift on the gift table?
   Range $__________

14. **Will interviewee go on solicitation calls?**

   Yes (  )       Perhaps (  )       No (  )

   If yes or perhaps, would they go to lend credibility? _____

15. **Corporate Gift:**

   Yes (  )       No (  )       Perhaps (  )       Not Applicable (  )

   If yes or perhaps, how does it relate to the gift table?
   Range $__________

16. **What are the corporation’s/foundation’s funding priorities?**

   1. _______________________________
   2. _______________________________
   3. _______________________________
   4. _______________________________
   5. _______________________________

17. **What are their deadlines?**

   
   

18. **What special conditions would assist in securing a grant or contribution?**

   _____ Publicity/visibility       _____ Participation of employees

   _____ Special event       _____ Board member connection

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Chapter Four – Structuring Your CAC Fundraising Campaign

Section Six – Sample Letter & Study Report
___ Other

19. **Suggested Top Donors:**

1. _______________________________
2. _______________________________
3. _______________________________
4. _______________________________
5. _______________________________

20. **Leadership Suggestions:**

1. _______________________________
2. _______________________________
3. _______________________________

21. **If corporation, will they assign an executive to work with this organization?**

Yes (  )  No (  )

Process to request such assignment:

________________________________________________________________________
________________________________________________________________________

22. **Will corporation provide in-kind services?**

Yes (  )  No (  )

23. **Do they understand honoree fundraising?**

Yes (  )  No (  )

24. **Do they have suggestions for honoree fundraising?**

1. _______________________________
2. _______________________________
25. **Economy of the Community:**

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26. **Attitude of the interviewee toward the institution and the campaign?**

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27. **Importance of the interviewee to the campaign?**

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**Pertinent Direct Quotations from Interviewee:**

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
THE CAMPAIGN PLAN

An annual or capital campaign is a systematic way of raising money. It requires organization and good management. It also requires written documentation to establish policies and procedures. Every campaign is unique, but basic campaign techniques are flexible enough to accommodate the differences between various organizations and campaign dynamics.

COMFORT ZONE

Is a campaign plan necessary? In large campaigns conducted by fundraising consultants, a plan is a basic necessity. It sets forth the mutual obligations and responsibilities of the parties, the client and the consulting firm. It can take a boilerplate form to save the time of drafting an elaborate plan. However, a basic plan -- including the gift table, a summary of the case statement, job descriptions of the key campaign roles, an explanation of prospect review and a timetable -- will help structure your fundraising efforts.

A more detailed and comprehensive plan is required for a full-scale capital campaign. This is particularly true for most CACs conducting their first and perhaps only capital campaign. A standard campaign plan contains 10 components:

1. PURPOSE

A brief statement explaining why the money is being raised.

2. REQUIREMENTS

The plan clearly delineates the elements of a successful campaign. A sample set of requirements is listed below:

A. Favorable Public Image
   A favorable public image is a prerequisite for any institution seeking funds. The series of parlor meetings to be held by the CAC will establish that the CAC is a valuable and irreplaceable asset to the community and worthy of support. Campaign leaders will be identified through the parlor meetings and recruited after a period of follow-up cultivation. These leaders must continually emphasize the strengths of the CAC to campaign volunteers and prospects.

B. A Strong Case for Support
   The case statement details the vital role that the CAC plays in the life of the youth it serves. The case effectively and persuasively presents the CAC’s needs and addresses the benefits of the campaign to the community. The major objective of the case statement is to convince potential contributors that they are investing in an important cause. Donors will derive personal pride and satisfaction knowing that their gifts will ensure that the unique services of the CAC will continue to benefit children.
C. Influential and Affluent Leadership
Effective fundraising emanates from the top of the organization. Thus, the Campaign Advisory Team should be comprised of men and women who are willing and able to inspire others of similar ability and means to accomplish the face-to-face solicitation of all potential donors to the campaign. Only by soliciting pledges that are thoughtful in nature and fully commensurate with the donor’s ability to give can the CAC hope to be successful. All campaign leaders and volunteers will make a financial investment at or above the levels of giving prescribed for their respective divisions.

D. Thorough Prospect Identification
The maximum number of potential contributors who are able to subscribe at each of the giving levels on the gift table must be identified. In addition, each prospect should be evaluated by the prospect review procedure to determine the actual range of commitment that should be suggested as a donation by the eventual soliciting team. Records will be compiled to establish the prospective donor’s interest in the CAC for the benefit of prospect review.

E. Precise Timetable
To ensure that the goal will be achieved within the period allotted to active campaigning, a timetable has been developed that outlines the necessary steps to accomplish the enlistment of leaders and volunteers and the solicitation of prospects within each division. A timetable with specific deadlines will be developed for each soliciting division. Adherence to these deadlines requires the utmost attention – and the diligent follow-up of the campaign leaders who are responsible for the successful execution of the total fundraising effort.

3. GENERAL SOLICITATION GUIDELINES
Guidelines to summarize the responsibilities of the volunteer solicitor. These guidelines can also serve as the training manual. A sample set of guidelines is listed below:

- The Campaign Advisory Team must be aware that people give to people and exercise the utmost care in the recruitment of volunteers at all levels. There should be a specific reason for each enlistment.

- All volunteers will be asked to make their own thoughtful investments before soliciting others. The person securing the enlistment of another volunteer will normally be responsible for soliciting that individual.

- The team approach – two or more dedicated volunteers or a volunteer and a CAC staff member calling on a prospect together – is highly recommended, particularly in the Major Gifts Division.

- All volunteers will make personal, face-to-face presentations to prospective donors. This is mandatory if success is to be achieved.

- Volunteers may be required to make two presentations, especially in the Major Gifts
Division. The first visit is to discuss the plans and the prospect's support -- including a suggested figure to think about. A prospectus, which will be a mini grant proposal will be given to the prospect for his/her consideration. The second visit is to commit the prospect to an investment that is geared to the gift levels from the gift table. In some cases, more than two calls may be necessary. Because of the time it takes to conduct a proper solicitation, volunteers will be asked to solicit no more than five prospects.

- Pledge cards should never be left with prospects while they consider their gifts. The volunteer should hold the cards until the prospect is ready to make a pledge. Experienced campaigners have learned that leaving the card results in difficult follow up and a substandard pledge.

- The ultimate decision regarding a donor's pledge is the donor's and the donor's alone. It is the policy of the CAC campaign that no one can or should presume to tell another what he or she must pledge. Figures to think about shall not be construed as quotas but are viewed as realistic appraisals of giving potential presented to donors for their thoughtful consideration. A prospectus, in the form of a mini grant proposal, will be prepared and left with each prospect to assist them in determining whether to support the campaign.

- A volunteer should accept the responsibility for a prospect only when he or she feels that:
  - the asking figure is reasonable and obtainable
  - they are the best qualified person to obtain the maximum pledge.

Any questions concerning the asking figure should be discussed with the campaign leadership prior to solicitation. In no event should a volunteer ask his/her prospect for a pledge amount that is less than the asking figure.

4. GIVING/GIFT TABLE STANDARDS

A chart summarizing how the campaign's monetary objective can be reached through the number and size of pledges. A sample table can be found in Section 4, “The Gift Table.”

5. LEADERSHIP AND ORGANIZATION

This section sets forth the dollar limits for each division of the campaign. It details the approximate number of prospects, the number of vice-chairs and the number of captains. It also sets forth the leadership responsibilities and the roles of the various committees. An organizational chart is generally included. Campaign and leadership are discussed further in Section 9, “Campaign Leadership & Organization”.

6. CAMPAIGN POLICIES
Policies regarding commemorative gifts, audits, acknowledgments and other technical issues should be included in this section. It also sets forth the terms for pledges, treatment of deferred gifts and any qualifications placed on pledges or methods of payment.

7. **CAMPAIGN TIMETABLE**

The most important part of your campaign plan will be your timetable. It can contain a week-by-week schedule with specific deadlines or a time-line chart. The Timetable will set forth the key dates on which you expect to complete various activities and meet various goals.

An annual campaign timetable will utilize the entire year. The campaign should begin with a period of cultivation following an optional Planning/Feasibility Study. If your CAC is a United Way agency or if there is an effective United Way agency in the community, we recommend that you undertake your cultivation during their blackout period. For most United Way agencies, the blackout period extends from September through December.

The following Timetable calls for approximately 6 months of cultivation followed by 2 months of presolicitation campaign activities and then 4 months of actual solicitation.

**Sample Timetable - Schedule of Activities**

**Months 1-6**

Prepare case statement.

Start preparation of supporting material (videos, brochures, audio-visuals).

Establish financial goal.

Prepare the gift table.

Conduct Planning/Feasibility Study.

Refine case statement if necessary.

Complete video or audio-visuals.

Conduct pilot parlor meeting.

Hold parlor meetings and/or boardroom meetings (aim for a minimum of six meetings). If 6 to 10 guests attend each meeting, it is possible that by the conclusion of your cultivation you will have five or so committed leaders. In addition, you may have 25 to 30 solid prospects, including many potential solicitors.

Hold a special event for cultivation purposes (as an option, you can include an already scheduled event to meet this goal).
Hold an invitation-only cultivation seminar (optional).

Conduct other fundraising activities such as grants, honoree fundraising and cause-related marketing.

Conduct follow-up cultivation as indicated by the level of interest of each prospect.

Identify and recruit Chairperson.

Identify other prospective leaders.

**Months 7-8**

Identify approximately 60 to 90 prospects. This should ultimately result in approximately 30 to 45 gifts. Prospects include your Board members, past donors, cultivated prospects, prospects identified by the Planning/Feasibility Study, vendors, business and community leaders, social, civic and fraternal organizations, foundations, corporations and any recommendations from leadership.

Develop a creative donor recognition program.

Conduct supplementary prospect research, if necessary.

Print or prepare campaign stationery, brochure and volunteer material.

Prepare prospect cards.

Solicit and recruit remaining top leadership.

Prepare campaign plan.

Conduct prospect review.

**Months 9-12**

Solicit Family Gifts Division.

Conduct volunteer solicitor training for Major Gifts Division.

Solicit Leadership Gifts Division.

Conduct periodic meetings as needed.

Conduct other fundraising activities if feasible and not in conflict with the campaign.
Kick off Major Gift Division along with volunteer solicitor training (optional and can precede a special event).

Solicit Major Gift Division. As you are running a truncated campaign, you can probably expect no more than 10 gifts. These 10 gifts will require 20 to 30 prospects and four to six solicitors. During a full campaign, you may be attempting to secure 90 to 100 gifts from this Division.

Send out direct mail (optional).

Disseminate grant proposals on campaign stationery. These proposals, based on the case statement, should go to local foundations and corporations that have not been solicited in person.

8. **BUDGET**

An allocation of expenses by category for the approved campaign budget. Budget issues are discussed throughout the manual with various examples.

9. **PROSPECT REVIEW**

An explanation of how to determine the appropriate “ask” figure for each prospect. Prospect review is discussed in further in Section 11.

10. **PUBLIC RELATIONS PLAN**

A description of the publicity strategy for the campaign. The public relations plan should discuss the objectives and scope of publicity outreach, as well as how public relations material will be produced, who will prepare it and who will need to approve it.

Typically the campaign plan is submitted to the Campaign Cabinet/Steering Committee for their final approval.

**SAMPLE CAPITAL CAMPAIGN ACTIVITIES**

The following discusses a summary of the typical activities that would be undertaken and included in the campaign plan of a CAC capital campaign for a new facility.

1. **PLANNING STUDY**

Typically a capital campaign would start with the conduct of a full-fledged Feasibility Study. In the study 30 to 50 community leaders would be interviewed. There are real benefit and utility to be gained from conducting a limited Feasibility Study, not just to determine the possibility of success of the effort, but also as a cultivation mechanism and as a way to gain access to community leaders. The study will be called a Planning Study, since the main utility would be the
development of an effective campaign strategy. The Planning Study need not be time specific as is the case of a traditional Feasibility Study. There may be times that the use of the Study Interview will be an effective way to meet an important individual that you would not otherwise be able to meet. Therefore, the objectives of the Planning Study are to:

- Identify and enlist community leadership for the campaign
- Find a particular individual who is well-connected and will serve as Chairperson or parent the project
- Determine the priorities of key corporations and foundations
- Identify suitable candidates for honoree fundraising
- Determine the most effective approach (case statement) for the campaign (Between 10 and 20 interviews may be necessary)

2. **PROSPECT RESEARCH**

A second task will be to develop a prospect list from input from the CAC’s Executive Director and Board. This will involve eliciting information from all Board members and researching potential local, state and national foundations and corporations.

3. **DEVELOPMENT OF CAMPAIGN ADMINISTRATIVE SYSTEMS**

The capital campaign will require keeping meticulous records of prospects, solicitors and correspondence. Systems should be developed for transmitting funds and acknowledging gifts.

4. **SECURING A SOURCE FOR “BRIDGE” FINANCING**

Donations may be paid over a 3- to 5-year pledge period. Therefore, all the funds needed for construction will not be in place when building begins. To pay contractors and subcontractors in a timely manner, financing will be necessary. Signed pledge cards can serve as collateral for the loan.

5. **PRICING OF THE PROJECT**

The cost of the new building must be determined to gain support from more sophisticated prospects, including the larger foundations and corporations. The financial objective is also needed so that the campaign plan is based on accurate information.

6. **THE CASE STATEMENT**
The case statement serves as the basis for communication between the organization and the prospect and sets forth the rationale for giving. The case statement can also be modified into a grant proposal that can be sent to foundations and corporations. A clear and concise case statement can document the following:

- The resonance of the sexual abuse of children within the community. Issues to contend with include:
  - denial
  - false accusation issues
  - false memory issues
- Consequences of the problem
- The uniqueness of the CAC in terms of its scope and its mission
- The uniqueness of the agency with respect to its intervention strategy and the benefits for the child victim and his/her supportive family members

Creative materials will be developed to convey the message. A question-and-answer sheet will also be developed to cover the most likely asked questions that prospects may pose and the suggested answers.

7. THE CREATION OF A FRIENDS GROUP

A CAC building project requires community support. It is unlikely that all of the required funds can be obtained from grants and corporate contributions. Therefore, the Friends Group, modeled after the Ronald McDonald House, will be an important asset. Their support can be used for the capital project and subsequent operational support.

8. SECURING LEAD GIFTS

The most important initial aspect of the campaign will be the commitment of the lead gifts. These must be carefully planned so that they will set an example for the entire campaign.

9. CAMPAIGN TIMETABLE

A Timetable will be developed setting target dates for key activities. The Timetable will be developed as soon as the cost of the project is established.

10. SOURCES OF CAMPAIGN GIFTS

Because CACs are relatively new organizations, founded in the past 10 years, they do not have a deep pool of individual prospects. Furthermore, the most natural constituency for donations for most organizations is its clients -- patients of hospitals, patrons of the arts and alumni of
schools, colleges and universities. For a variety of reasons, including issues of confidentiality and the financial reality of many CAC clients, gifts from this natural constituency will not realistically be available.

However, a powerful countervailing factor is the attractiveness of the CAC mission to foundations. Therefore, we expect that foundations and corporations can provide the majority of funds needed to achieve the campaign objective.
The following sample documents can be helpful when organizing the mechanics of your capital or annual campaign.

SAMPLE PLEDGE CARD

THE EVERYTOWN CHILDREN’S ADVOCACY CENTER
CAPITAL CAMPAIGN

“Providing a Safe Place for Everytown’s Children”

I/We pledge $ ________ to be paid over _____ years in:

___ annual  ___ semiannual  ___ quarterly

installments of $_______ for a much-needed facility and in consideration of the gifts of others.

By: _______________________________ Date: __________________

By: _______________________________ Date: ___________________

EVERYTOWN CHILDREN’S ADVOCACY CENTER
Street Address
City, State, Zip
Phone
SAMPLE THANK YOU NOTE DELINEATING PLEDGE COMMITMENT

DATE

Name of Donor
Address
City, State, Zip

Dear Mr., Ms., Mrs., Miss ________:

On behalf of the Everytown Children’s Advocacy Center, we would like to express our appreciation for your generous contribution to our capital campaign. Pursuant to your pledge terms, we are requesting the currently due payment in fulfillment of your pledge.

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<thead>
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<th>PLEDGE AMOUNT</th>
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<td>$250</td>
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<tr>
<td>CURRENT BALANCE</td>
<td>$5,000</td>
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Again we thank you for your support.

Sincerely yours,

Name
Treasurer
The Everytown Children’s Advocacy Center Capital Campaign
SAMPLE 2ND THANK YOU NOTE DELINEATING PLEDGE STATUS AND COMMITMENT

DATE

Name of Donor
Address
City, State, Zip

Dear Mr., Ms., Mrs., Miss ____________________:

On behalf of the Everytown Children’s Advocacy Center, we would like to express our appreciation for your generous contribution to our capital campaign. Pursuant to your pledge terms, we are requesting the currently due payment in fulfillment of your pledge.

PLEDGE AMOUNT: $5,000
CURRENTLY DUE: $250
CURRENT BALANCE: $4,750

Again we thank you for your support.

Sincerely yours,

Name
Treasurer
The Everytown Children’s Advocacy Center capital campaign
### SAMPLE CAC CAPITAL CAMPAIGN PLEDGE/PAYMENT RECORD

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**Campaign Leadership & Organization**

Your campaign leaders, especially the Chairpersons, should bring energy and confidence to your effort. They should establish, by example, the high standards necessary for your campaign. A list of the attributes of the ideal campaign Chairperson, in no particular order, include:

- charisma
- sense of humor
- well organized
- ability to motivate others
- equanimity
- good judgment
- sense of fairness
- determination
- stamina
- excellent communication skills
- affluence and influence
- passion of commitment to a cause
- enthusiasm
- ability to set priorities
- non-confrontational
- willingness to take on problems
- tact and diplomacy
- efficiency
- honesty
- pragmatic
- high-energy quotient

You could, of course, list other factors as important as those above. You need to enlist a campaign Chairperson whose dedication, time commitment and leadership will serve to inspire others. Where do you find such men and women? The most logical place to look is within your organization. They may be on your Board. However, for strategic reasons it may be preferable to recruit an individual who is not on your Board. This will help ensure the wider community support that you will need in order to be successful. If you do look outside, the first place to look is at your Planning Study and the names of the interviewees as potential Chairpersons. If you have not conducted a Feasibility Study, then you should look at parlor meeting hosts and guests.

**Comfort Zone**

You may find that many community leaders are reluctant to devote the time required by an organized fundraising campaign. People everywhere are working harder and longer. Consequently, an alternative campaign organizational structure is proposed in Section 10, “The Campaign Advisory Team.”
ENLISTING THE CHAIRPERSON

Care must be exercised in the way you structure your approach to the individual you have chosen to be your campaign Chairperson. Hopefully, you have been cultivating this individual for an appropriate period of time. If that is the case, the enlistment process will be much easier. Since you have been involving this person in your organization and assessing his/her enthusiasm for your cause, the ask will not come out of the blue. It will simply be another logical step in the cultivation process. The following steps outline the Chairperson enlistment process.

Step 1. ASSESS THE ATTITUDE OF THE POTENTIAL CHAIRPERSON

Is this person primed for the ask? Ask someone who knows the individual what his/her attitude is toward the organization and the role he/she would assume. Can you approach the person now, or must you cultivate the relationship further? If yes, go to Step 3 or Step 4. If no, you must continue cultivating; go to Step 2.

Step 2. DETERMINE HOW MUCH CULTIVATION WILL BE NECESSARY

Does the candidate have extensive knowledge of your organization, or is the potential Chairperson relatively unfamiliar with CACs? If his/her familiarity is such that you need to undertake significant cultivation, you should immediately back up and ask if this is the right person for the position.

Assuming a modicum of familiarity, the cultivation might be simple and straightforward. For example, invite potential candidates to a pre-campaign briefing in the form of a parlor meeting. At this meeting, held in the home of one of your existing leadership members, inform community leaders about the plans for the forthcoming campaign. At this meeting you can assess the attitude of your prospects, both during the informal part of the evening and from their reactions to the presentation. If they have a positive attitude, go to Step 4. If their attitude is equivocal, you should again assess their fitness for the position. If you determine that their leadership is an absolute necessity and you do not have alternatives, proceed to the next step.

Step 3. ENLIST THE PERSON WHO CAN BEST INFLUENCE THE BASHFUL CANDIDATE - HAVE THEM MAKE AN INFORMAL APPROACH

No one likes to be turned down. It is standard operating procedure to have feelers put out before offering an important position to anyone. Even the President puts out feelers before asking a prospective Supreme Court Justice or Cabinet officer to accept the position. It makes sense to have someone, preferably someone with much influence on the person, ask informally and off the record if he/she would accept the position. This strategy has three virtues:

1. You save time and potential embarrassment.
2. You find out what assurances, terms and conditions, if any, the candidate requires and can assess if these are acceptable to your organization.

3. Since you have not extended an offer, if the candidate indicates no interest, you can go to your next-best candidate without asking him/her to “purchase used goods.” The next-best candidate does not need to know he/she was your second or third choice.

Step 4. MAKE THE FORMAL OFFER

To demonstrate the importance of the position and your high regard for the candidate, you can have your CEO and Board Chairperson visit that candidate and extend the formal offer. During the visit, it may be prudent to include a third person who is esteemed by the candidate.

You should not accept second-rate substitutes for quality leadership. Therefore, if you have the unfortunate experience of having one candidate after another turn you down, you need to reassess the prospects for the campaign. It may be wise to undertake an intensive cultivation program before you begin a campaign with questionable leadership.

COMFORT ZONE

In the event you have no logical prospect for campaign Chairperson or you have experienced several turndowns, you should consider an alternative. An alternative is set forth in Section 10, “The Campaign Advisory Team.” In many cases this alternative is preferable to structuring a traditional campaign organization.

ORGANIZATIONAL CHART

Before setting forth the responsibilities of the campaign leadership, it is helpful to visualize its structure through an organizational chart. You should also note that because CACs are relatively new organizations in the community, so you might not have sufficient volunteers to establish the traditional campaign organizational structure. Alternatives to this formal structure are described in this section and in other sections throughout the manual. In constructing the chart, keep the following factors in mind:

- The administrative structure of an organization ensures proper reporting and accountability.

- The numbers of personnel and their alignment to each other will be based on the gift table (see Section 4, “The Gift Table”). Specifically, as a standard rule of thumb, you will require three prospects for each gift and will assign each volunteer solicitor an average of five prospects.

- Consequently, the top gift category will have 10 gifts totaling approximately 40% to 50% of your fundraising goal. This category will have 30 prospects and will therefore require six volunteer solicitors.
• The next division normally comprises the next 90 to 100 gifts. It equals another 40% to 45% of the goal, with 270 to 300 prospects and 55 to 60 volunteer solicitors. In the truncated campaign that is recommended, you will have 10 to 20 gifts and 30 to 60 prospects.

COMFORT ZONE

It is suggested that for your initial campaigning effort, particularly for an annual campaign, you simplify the campaign by reducing the number of gifts sought to 20 to 30. This will result in proportionately fewer prospects and volunteer solicitors.

BOARD OF DIRECTORS/TRUSTEES

The Board represents the heart of the organization’s strength and leadership. It determines policies, operations and long-range objectives. Its involvement in the campaign is absolutely critical to the campaign’s overall success.

The Board members should be the first prospects solicited. They must make commitments commensurate with their means and interests. Their pacesetting involvement will serve as a challenge and inspiration to others who are not as close to the cause.

1. They should be asked to take responsibility for a reasonable number of solicitations and other campaign assignments.
2. They will have the opportunity to review progress reports prepared by the campaign office and to contact the campaign office at any time with questions and concerns.
3. They will be asked for assistance in identifying prospects and in “opening doors.”

ROLE OF THE GENERAL CHAIRPERSON

The general Chairperson, with the aid of the Campaign Director, will accept responsibility for the day-to-day operations of the campaign. It is this individual’s responsibility, with the assistance of the Campaign Cabinet, to organize, motivate and set an example for the entire campaign organization. The Chairperson will:

1. Preside over the Campaign Cabinet.
2. Make certain that his/her own pledge and those of the Division Chairpersons are among the first reported.
3. Enlist Chairperson for both soliciting and non-soliciting divisions.
4. Attend all scheduled meetings and see that the Division Chairpersons attend.

5. Ensure that the Division Chairpersons enlist/organize their divisions in accordance with established deadlines.

6. Maintain communication on the status of the campaign with Chairpersons.

7. Coordinate all campaign activities with the Campaign Director.

8. Serve as CEO and chief spokesperson for the campaign.

CAMPAIGN CABINET OR STEERING COMMITTEE

This committee will be formed to act as the single body with oversight responsibility for the campaign, reporting to the organization’s Board of Directors/Trustees. It will be chaired by the campaign’s general Chairperson and include soliciting Division Chairpersons, the Chairperson of the Board of the organization, the organization’s CEO, the campaign Director and any other individuals the general Chairperson deems necessary.

PROSPECT REVIEW COMMITTEE

This committee will consist of anonymous persons enlisted by the general Chairperson. The Prospect Review Committee will help classify the giving potential of leading prospects in each of the Divisions. Through confidential small group reviews, each prospect is evaluated to determine giving potential, interest in the campaign, the right person to conduct the solicitation and whether the prospect should be enlisted as a campaign volunteer.

Members of the committee must be knowledgeable about the constituency. People with this kind of information include lawyers, accountants, bankers, investment advisers, real estate brokers and corporate executives. They must be fair. Their own gift will relate to the manner in which they evaluate other prospects. Previous campaign experience is helpful. Their work is conducted in anonymity, and confidentiality is accorded to the information developed.

FAMILY GIFTS DIVISION

There are no better prospects than those who are completely familiar with the organization, and there is no better incentive for those on the outside to give than the generous investment of those closest to the need. For these reasons, the Family Gifts Division is very important to the success of the campaign. Prospects in this Division include:

- trustees
- staff
- auxiliary (if applicable)
- key vendors of goods and services

The campaign Chairperson will enlist a Family Gifts Chairperson who, in turn, will be responsible
for the enlistment of Co-Chairpersons for each Subdivision. This is the first Division solicited.

**LEADERSHIP GIFTS DIVISION**

This Division solicits the largest gifts in the campaign. Its Chairperson must be an individual whose reputation, enthusiasm and financial participation will spearhead successful negotiations with prospects whose giving abilities are significant. Prospects may be individuals, corporations, foundations, or family groups. Members of the campaign Cabinet should be available to assist the Division Chairperson.

Each of the prospects in this Division is capable of a significant gift. A mini-campaign must be developed around each of these prospects. Only individuals who, in their own capacity or in their capacity as corporate executives, have the potential to make large gifts are enlisted to work in this Division. The proper assignment of prospects to the volunteers in this Division is critical, as is the proper enlistment of the volunteers themselves. The dollar parameters for this Division are determined by the requirements set forth in the gift table.

**SPECIAL GIFTS DIVISION**

The number of prospects in this category will determine the size of this Division. It is suggested that this Division be responsible for 10 to 20 gifts. It will, therefore, have 30 to 60 prospects and six to 12 volunteer solicitors. When a large campaign is conducted with as many as 100 gifts, the Chairperson must have excellent organizational capabilities and the ability to motivate others. The gifts of the Chairperson and the Vice-Chairperson of the Division should not be limited by the range of gifts expected to be solicited by this Division. In other words, if they have the capacity, they should give more. Again, the parameters for giving are determined by the gift table.

The Division kickoff will often coincide with the public announcement of the campaign. This will permit the campaign to take full advantage of the momentum established by earlier Divisions' commitments.

**COMMUNITY GIFTS DIVISION**

During the annual campaign, this would not be established as a formal face-to-face soliciting division. Instead, this Division could be used for a grassroots direct mail effort.

**CAMPAIGN AUDITOR (OPTIONAL FOR ANNUAL CAMPAIGNS)**

The principal function of this position is to audit and authenticate the periodic transmittals of pledges and gifts. The campaign office usually prepares the transmittals on a regular basis. These periodic transmittals are the official giving records of the campaign.
The Campaign Advisory Team

The leadership directing your campaign will be the most important factor in determining your level of fundraising success. The entire campaign structure and organization are designed to maximize volunteer and leadership resources. This structure ensures that a campaign with strong, assertive leadership will have a high likelihood of fundraising success.

One of the more problematic areas for the small non-profit organization is the development and recruitment of volunteer leadership for the campaign. Traditional campaign techniques call for a highly structured campaign organization consisting of a general campaign Chairperson, Chairperson and Vice-Chairpersons over the organized Divisions, as well as multiple volunteers.

Fundraising campaign techniques evolved in situations involving large organizations such as colleges, universities, hospitals and major cultural institutions -- often with the assistance of paid resident campaign directors provided by fundraising consulting firms. These techniques must be modified, in many cases, to reflect the resources and capacity of smaller organizations and organizations with less fundraising experience.

In many instances, the non-profit organization that is new to campaigning will have difficulty recruiting a general campaign Chairperson and other leadership. Even in cases where these organizations can recruit an effective Chairperson and other leadership, there remains the important issue of whether they will have the time and personnel resources to establish an elaborate campaign structure. A great deal of time and energy is required to prepare reports, organize meetings, prepare agendas, record notes, disseminate minutes, follow up on committee actions and stoke the egos of the leadership. More than half the time of Resident Directors provided by consulting firms is spent attending to and maintaining the campaign structure rather than to taking direct action to obtain gifts.

Recent studies of the American labor force have found two interesting facts. One, that over the last two decades Americans are spending more time at work; and two, that Americans have diminished leisure time. This time crunch is even more acute for the individuals of influence and affluence who would be the most desirable for your campaign. People of this caliber simply may not have the ability or inclination to attend the committee meetings that are so vital to the traditional campaign structure.

In recognition of limited time and resources, an alternative plan is presented in this Section that utilizes a more flexible and time-efficient structure in place of the very formal and very structured traditional campaign organization.

This alternative structure is based on a Campaign Advisory Team. This team should be comprised of anywhere from 15 to 30 members -- depending on the characteristics of the community and the requirements of the campaign.

The Campaign Advisory Team will not function as most committees typically do. Rather, it will serve as a resource pool from which the advice and counsel of individual members will be sought throughout the campaign on an as-needed basis.
Information on campaign progress will be made available to Campaign Advisory Team members through written communications and brief phone calls rather than through periodic meetings. A sample letter of invitation to prospective Campaign Advisory Team members is contained in this Section.

**CAMPAIGN ADVISORY TEAM SAMPLE JOB DESCRIPTION**

As stated above, this Campaign Advisory Team will be formed to act as a single body comprised of the necessary campaign leadership. It will serve as a resource pool from which the advice and counsel of individual members will be sought throughout the campaign on an as-needed basis. **There will be no meetings of the Campaign Advisory Team.** The members will be asked to make individual, specific and very discreet contributions to the campaign. For example, members may be asked their advice on the best way to approach a specific prospect as well as to undertake solicitations of certain prospects.

- Members will be asked to identify prospects.
- Members will participate in prospect review on a case-by-case basis.
- Members will participate in developing solicitation strategies.
- Members will write letters and/or make phone calls to key individuals.
- Members will be asked to conduct a reasonable number of solicitations.
- Members may be asked to participate in presentations to local foundations and corporations.
- Member’s names will be listed on campaign stationery, and their names can be used as endorsements as appropriate.
SAMPLE CAC INVITATION LETTER TO JOIN A CAMPAIGN ADVISORY TEAM

DATE

Dear Prospective Campaign Advisory Team Member:

The present economic and political climate is extremely challenging for non-profit organizations. Traditional sources of support such as government grants are no longer adequate to maintain services. In some cases, there is no funding to support essential agency initiatives such as preventive services. The Children’s Advocacy Center, like many other non-profit organizations, is trying to augment existing financial support through a community fundraising campaign. To this end, we have conducted a community-awareness program through a series of parlor meetings.

To obtain community support for the next phase of the campaign, we need the advice and counsel of community leaders such as yourself. We realize that you have many competing priorities for your time. We are therefore asking you to assist us in this campaign in a way that will not involve a major time commitment on your part. We are establishing a Campaign Advisory Team (CAT) and would like to invite you to serve on this team. The CAT will not function as most committees do. Rather, it will serve as a resource pool through which the advice and counsel of individual members will be sought on an as-needed basis. There will be no meetings of the CAT. Rather than dissipate the valuable time of its members through routine committee meetings, the members will be asked to provide individual, specific and very discreet campaign assistance. For example, members may be asked their advice on the best way to approach a specific prospect.

Information on campaign progress will be made available to CAT members through written communications and brief phone calls rather than through periodic meetings. We are confident that if you serve in this capacity, the time commitment on your part will not exceed 5 to 10 hours over the next 4 months.

We will, of course, be pleased to provide you with any information you may require about the CAT and the Children’s Advocacy Center fundraising campaign.

We will contact you in the next couple of weeks to follow up on this request. In the meantime, if you have any questions or would like additional information, please feel free to contact us at __________.

Sincerely,
PROSPECT REVIEW

The prospect review process lays the initial groundwork, pulls the campaign together and prepares volunteer solicitors for an energized campaign effort. Prospect review will determine what you ask for, who should make the solicitation and what strategies you should employ for each prospect; it will also validate the overall campaign goal.

A committee comprising the leadership of the campaign usually carries out prospect review. They should be able to make informed judgments regarding the appropriate size of donor gifts. The following factors should be considered when making decisions about prospect review:

- The prospect's capacity to give based on an assessment of his/her assets
- An assessment of his/her interest in your organization
- A determination of who is the right person to ask for the gift

The committee's role is to ensure that elements of reason are a part of the process. There must be a valid reason for a prospect to consider an investment of the ascribed magnitude, and the volunteer solicitors must be committed to asking for that amount. A prospect may have the means to make a very significant gift. Unless the individual has an interest in the cause and the right person asks for the gift, the capacity to give will not manifest itself in an actual gift of the desired amount.

MECHANICS OF PROSPECT REVIEW

1. A small committee of individuals reviews all prospects. The individuals comprising the committee should be drawn from the campaign leadership. They should be individuals who, because of their professional or social contacts, are familiar with the financial circumstances of those in your prospect pool.

2. Members of the committee must be assured that their work will be kept confidential and that their participation will be kept anonymous. This will help promote a fuller and more candid discussion.

3. Before the meeting, the campaign staff should prepare cards or data sheets containing as much information as possible on the prospect. This information should cover:

   - The prospect's interest in your organization, including whether the prospect was a past donor
   - The relevancy of your cause and the project to the prospect
• the prospect’s financial capacity

4. In capital campaigns there will be two meetings. At the initial committee meeting, all prospects are classified into one of three broad categories (A, B, C).

• A: Prospects with the greatest potential to give a top 10 gift
• B: Prospects with the next highest potential, should be solicited in person
• C: Prospects who will be solicited in person if time and resources permit

The campaign staff keeps the process moving and ensures that the committee focuses on one prospect at a time.

5. After the initial classification meeting, campaign staff will meet with smaller groups of committee members -- one, two, or at most three people at a time. These small group meetings eliminate the necessity to convene the entire committee. Experience suggests that more information is uncovered during the repeated evaluation of prospects by smaller groups. At these meetings, specific figures are established for each prospect. Volunteer solicitors are suggested for each prospect. Those suggested to solicit should be selected with care. The maxim “people give to people and not to causes” should be prominent in the decision-making process.

6. For annual campaigns, particularly during your initial efforts, two meetings would be overkill. Therefore, you should consolidate the two meetings into one. A limited campaign with manageable numbers of prospects and volunteers is also recommended. If you seek only 20 gifts, you will need only 60 to 90 prospects (assuming three prospects for each gift). You should be able to accomplish prospect review on this number of prospects in a single meeting. Again you will rate prospects by letters. In this case, A or B. In addition, when you have rated a prospect as B, you will ask the group if anyone knows enough about this prospect to provide a specific dollar figure for the individual. Place the initials of those people on each B card.

Following the initial rating, continue with specific figures for each, beginning with the A-rated prospects. If you run out of time before completing the B group, you can either reconvene the group or, alternatively, contact by phone those who claimed to know enough about a prospect to provide specific dollar figures. This is why initials were put on the B cards.

The campaign staff synthesizes the evaluation figures for each prospect and establishes a consensus figure. If there is any doubt as to the correct “ask” figure, it should be resolved with the campaign Chairperson.
HANDLING OBJECTIONS TO PROSPECT REVIEW

As with any endeavor, there are occasionally people who are uncomfortable with the prospect review process or who suggest shortcuts that might be detrimental. The more common objections and the appropriate responses follow.

Objection #1

I don't like putting numbers on anyone. The person knows what is right, and they will give what they can.

Response #1

In the ideal world, all you would have to do is pass the hat, everyone would put in his/her fair share, and you will have reached your goal. However, individuals cannot be expected to know what level of support is needed to meet the goal and what others are being asked to give.

People give in response to others who have given. Experience shows that donors will want to know what you would like them to consider. Frequently, if you do not suggest a figure, the individuals will ask what is expected of them. It is your duty to give the volunteer solicitor an evaluation that will lead to a successful ask and, in turn, a successful campaign.

Prospect review provides the volunteer solicitor with a relevant yet challenging figure to think about. It is a figure that reflects his/her interest and ability. The figure is in line with what others will be asked to contribute. It is an amount for a prospect to consider.

You will discover, through the prospect review process, the particular pattern of giving for this institution, in this community, at this particular time. That pattern will allow you to adjust your plans to establish the most appropriate strategy.

The giving pattern that results from this campaign may or may not exactly match the gift table. However, two factors are certain:

1. If you are to achieve your overall dollar objective, you are going to have to approximate these standards, especially the collective Top 10 Gifts.

2. If you do not ask for gifts at these levels, you are not going to get them. Few people will ever give more than they have been asked to give.

Objection #2

The prospect could give anything he/she wants, but I know they won't. How do we determine a relevant figure?
Response #2

Never prejudge or presume a donor's motivation. A past reputation for strong or weak giving should not be the determining factor in what you ask a prospect to consider in this campaign. He/she may have a higher level of interest in this campaign. Perhaps they have had a change in financial condition. This might be the right time to ask. You may have the right person to ask. Moreover, if you do not ask, you have no chance of receiving a gift.

Remember to measure interest, ability and access in your evaluation.

Objection #3

Wouldn't it be easier if you just mailed us a list and let us rate each prospect? This takes too much time.

Response #3

This process is extremely sensitive and subjective. For the committee to make accurate evaluations, a level of interaction must occur. That interaction does not happen through the mail. Issues like the prospect's motivation, interest and sensitivity, choosing the right time, the right figure and the right solicitor can only be settled through the open, candid and confidential discussion that takes place around the table.

Mailing a list may be easier. However, easier is not necessarily better. Mailed lists are impersonal and run the risk of ending up in places where this sensitive and confidential information should not be.

Finally, what can be more important to the success of this campaign? Prospect review merits your time, your thoughtful discussion and your energy.

Objection #4

If we need to raise $100,000, why can't we simply go to 100 people and get $1,000 from each one?

Response #4

Averaging gifts looks deceptively easy. However, in order for you to get 100 gifts, you would need to identify and solicit 300 prospects (remembering three prospects for every gift). Do you have that many $1,000 donors in your community?

Not everyone has the same ability to give or the same motivation for giving, and most people prefer to give in proportion to their interest in your project and their ability to give.

Averaging lowers sights. An individual whose ability is only $100 is not going to give $1,000.
regardless of what you ask. A prospect capable of giving $10,000 will give you $1,000 if that is all you ask of them. To achieve an average of $1,000, you are going to need gifts of $2,500, $5,000, $10,000 and more to compensate for those who give $25, $50 and $100, and those who decline to give anything at all.

Overcoming objections to principles that are fundamentally sound requires tact and diplomacy. The best way to handle objections of this type is to acknowledge them and provide a reasonable alternative based on experience. The suggested language below can be helpful:

“I understand your concern; in fact, that issue has been raised as a concern in several campaigns. However, during thousands of campaigns, campaigners have found that...”

Saying, “That won't work” or any negative statement denigrates the volunteer and can polarize the conversation. The volunteer will feel compelled to defend his/her position, and the overall process will suffer.
Volunteer Stewardship

The fundraising campaign is premised on creating an organization of volunteers. A substantial part of your time will be spent on the care and comfort of these volunteers. You must generate and sustain enthusiasm. You must also maintain a high level of comfort and confidence in your competency and professionalism. Consequently, any of the activities involving volunteers must be well planned and carried out with attention to every detail. You will communicate with your volunteers through meetings and campaign communications. The meetings can be structured to serve multiple purposes. For example, you can simultaneously have a meeting which will serve as:

- a kickoff for a Division
- a training session for volunteers
- an opportunity for volunteers to select those prospects they wish to solicit

Comfort Zone

You may find that many community leaders are reluctant to devote the required time to a campaign. People everywhere are working harder and longer. They may be willing to help you but not have the time to attend campaign meetings. Consequently, an alternative campaign organizational structure is described in the previous Section 10, “The Campaign Advisory Team.”

Campaign Communications

You can communicate with your volunteers in a number of ways. In large campaigns it is advisable to communicate through a newsletter. The newsletter should be readable, witty and uplifting. It will inform the troops about important gifts received, important dates, hints and other relevant information. In smaller campaigns, you can use bulletins for communication needs. You will produce memos, minutes of meetings and reports for top campaign leadership. Press releases and newspaper clippings of campaign stories should be sent to the volunteers.

Meetings

Time is critical to leadership. Your agendas must be tight and well structured. Try to cover more than one topic during your meetings.

A particular problem is the attendance of campaign VIPs. Their schedules are full, and they have many competing priorities for their time. Yet you need their attendance. You will need their ideas and their influence. If they do not attend, they are indicating to others the low priority they place on the campaign. Absence of key leadership will adversely affect morale and destroy momentum. The following strategies are suggested to attract VIPs to your meetings:

- Schedule the meeting around VIPs availability. This may mean putting the date on their
schedules several weeks in advance.

- Confirm VIP attendance 5 days before the meeting and again on the day of the meeting. If too many VIPS will be absent, you may have to reschedule your meeting.

- Have other VIPS who are definitely attending call one or two other VIPS to encourage their attendance.

- Cultivate the VIP with one-on-one meetings and regular phone calls at which you seek their advice and counsel. Prior cultivation will increase the likelihood of attendance.

- Request active VIP participation and place them on the agenda; if they have an active role to play, they are more likely to attend.

- To keep them coming, keep programs short, on time and stick to the agenda.

Each Division should have meetings called and presided over by the Division Chairperson. These meetings provide the following opportunities:

- to report the campaign’s successes

- to motivate volunteers

- to solve problems and develop strategies

**VOLUNTEER TRAINING**

The training of the volunteer solicitors must be designed to increase their comfort level with their role as solicitors. Each volunteer should receive a packet at the training meeting containing:

- the campaign brochure

- a question-and-answer brochure (optional)

- a volunteer handbook with the following sections:
  - a message from the Chairperson
  - a description of the volunteer’s role in the campaign
  - a summary of the case for support
  - a summary of “How to Ask”
  - how to report pledges and gifts
  - the gift table
- a list of the leadership
- pledge cards
- volunteer report envelopes
- prospect selection cards or the prospect assignment form with pre-assigned prospects

The training can begin with a video tape demonstrating a solicitation. Such tapes are available from fundraising consultants. If you do not have contacts with consultants, you can obtain a tape of a mock solicitation from:

American Association for Fundraising Counsel  
25 West 43rd Street  
New York, NY 10036

Role-playing, while a very good training device, may not be appropriate for the leadership of a campaign. They may consider it demeaning or embarrassing. If your constituency is amenable to this type of training, use it. If you have doubts, listen to your instincts and do not use role-playing as a training technique.

**HOW TO ASK - TRAINING VOLUNTEERS**

The Campaign Director will review the “How to Ask” guidelines. The following material should form the basis of your volunteer training material. These guidelines contain the following components:

- **Know the Institution’s Story** -- The volunteer will be asked to read the campaign material and call the campaign office for assistance if needed.

- **Make Your Own Pledge First** -- This is the basic premise of any campaign. We cannot ask others to do that which we have not done ourselves.

- **Know Your Prospects** -- Thorough prospect review helps develop a solicitation strategy.

- **See Your Best Prospect First** -- You want your volunteers to receive positive reinforcement and not be discouraged by their first efforts.

- **See Your Prospects in Person** -- The campaign’s importance can only be reflected in the personal time and attention people give it. Besides, we are generally more effective in person.

- **Call in Pairs Whenever Possible** -- There is strength in numbers, and an effective team can complement one another. The person in charge of fundraising for your
organization can always be the second of the pair.

- **Ask for a Thoughtful and Appropriate Pledge**—The solicitor can use the following words:

  “We hope you will consider a contribution of $____”

The modifying word “consider” enables the solicitor to get the words out easily. You should also suggest that after the ask, it is best that the solicitor be silent and allow the prospect to speak first. Anything, that the solicitor adds after the ask will only weaken the request. This makes common sense, and it is an axiom of sales closing techniques. Alternatively, if the campaign is a capital or endowment campaign with an extended payment period, you can use the following words:

“We hope you will consider a pledge of $____ over a ____-year period.”

In the case of a capital campaign in which you are asking for very substantial gifts, it is suggested that the solicitors plan for a second visit. It is also suggested that this technique be followed for the very top gifts in your annual campaign.

- **Negotiating a Pledge.** The best and most convincing argument the solicitor can use is the example set by his/her own pledge. Again, the basic principle of the campaign is to give before you ask others to give.

- **Point Out the Many Ways to Give.** Depending on the policies you adopt, people can honor their pledges in different ways. The various means include stock, bonds, personal or real property, deferred gifts, or gifts of insurance. This should not be a factor in an annual campaign; prospects should be able to honor their commitment from current income.

- **Retain Control of the Pledge Card.** A pledge card should never be left behind because the prospect could then fill in whatever amount they wish. You will need a pledge card because the prospect may not be prepared to write a check at the time of solicitation.

- **Keep Your Sights High.** Urge your solicitors not to permit slippage of contributions below the evaluation figure. If this occurs with frequency, you will have problems in attaining your goal.

- **Ensure That Pledge Cards are Complete.** A housekeeping matter but one of importance.

- **Report Your Progress Promptly: Return Your Pledge Cards Personally.** This ensures the prompt acknowledgment of gifts. It also keeps the campaign office up to date.
“My practice is to go first to those who may be counted on to be favorably inclined, who know the cause and believe in it and ask them to give as generously as possible. When they have done so, I go next to those who may be presumed to have a favorable opinion and to be disposed to listening and secure their adherence. Lastly, I go to those who have no predilection for it and influence them by presentation of the names of those who have already given. Do not neglect those whom you are sure will give nothing, for in some of them you will be mistaken.”

Benjamin Franklin

RECOMMENDED PROCEDURES FOR SUCCESSFUL SOLICITATIONS:

You Make the Difference

The capital campaign for Everytown Children's Advocacy Center (ECAC) is important. It will create a new facility for the benefit of abused children. The new facility, a model for the nation, will greatly enhance ECAC's ability to provide services to children in a safe and comforting environment.

As a volunteer, you are the key to success because people give to people more than to causes or institutions. Therefore, your effectiveness as a solicitor is crucial to the success of the capital campaign. What you do depends on your attitude, your belief, your determination, your interest, your enthusiasm and your follow-through.

Study the ECAC Capital Campaign Materials First

Read the campaign brochure and other materials included in your volunteer kit. Become familiar with the ECAC story. Understand the need for the new facility.

Please call the ECAC's Executive Director or the campaign Chairperson in advance of the solicitation to ask for a proposal letter. These letters, which in most cases will be written under the signature of the campaign Chairperson can be:

1. used in advance of the solicitation call,
2. presented to the prospect at the time of the call, or
3. used after the solicitation call is made to reinforce the presentation.

Make Your Own Pledge First

When you know that you have given to the best of your ability, you will be in a better position to ask others to do the same. Make your pledge commensurate with your means and interest. Once you give, you are simply asking others to follow your leadership example.

Call on Your Best Prospects First

Concentrate your efforts on the people you consider to be your most promising prospects. Success is contagious.

Personal Interviews Only

You will obtain far better results from a face-to-face visit than by letter or telephone. While it is all right to phone to make an appointment, do not let yourself be drawn into discussing your purpose in detail over the phone. When telephoning to make an appointment with your prospect, you could say something like:

“I am doing volunteer work for the Everytown Children’s Advocacy Center, which has a new and exciting program. The importance of this initiative lends itself to visiting with you for only 10 to 15 minutes to explain this very interesting program, which has benefits both for the ECAC and you. When is a good time for me to see you?”

Your personal visit to explain the capital campaign will help your prospect realize its importance. Keep in mind that you would not want to be solicited for major gifts by telephone or by mail.

Be a Good Listener

If the prospect wants to talk and ask questions, let him/her do so unless you assess that the prospect is purposefully leading you off the topic. Discussion with prospects may help develop enthusiasm and give clues to areas of personal interest.

Refer Questions You Cannot Answer

If the prospect raises questions that are beyond your capacity to answer, inform him/her that you will get the answer and follow-up with an answer. Call the Executive Director, who can usually obtain the correct answer or tell you how to obtain it yourself. If you tell a prospect that the Executive Director or another person will call them, be absolutely certain to inform the
Executive Director or the other person.

**Plan for Two Visits**

Your first visit should be designed to gain your prospect’s interest and to explain the need for the new facility. Give your prospect time to consider your request, and if you consider it necessary, arrange a second visit for a few days later. Significant gifts will be attained only if prospects have the opportunity to think it over carefully.

**Make Team Calls**

Because of the nature of the capital campaign, another solicitor should accompany you. Please call the Executive Director or the campaign Chairperson to arrange for a co-solicitor.

**Sell Major Gifts**

Tell the prospect about Pacesetting Gifts.

One attraction of the capital campaign is the opportunity for major donors to obtain significant recognition opportunities through the naming of rooms and other aspects of the new facility. Help your prospect envision the satisfaction and recognition to be derived by endowing a facility program or a room, and reveal the annual pledge amount necessary for such an endowment. The committee can provide information regarding a suggested pledge amount for type of major gift. This figure to think about represents the best judgment of the prospect’s ability to give, if sufficiently motivated and interested. You will not insult the prospect; it is likely that he/she expects such a suggestion from you.

When discussing a major gift and reviewing a figure to think about, you can say something like:

“**Would you please consider a pledge of $_____ to help build a child-friendly facility for Everytown?**”

**Gifts Below the Amount Suggested by the Committee**

If the prospect wants to donate an amount that is below the pledge amount suggested by the committee, it is recommended that you:

- **Negotiate.** You do not have to accept the first offer. Say something to the effect: “Thank you for considering that donation, but I’d like you to think about what a donation of $_____ would mean to the ECAC and to the community it serves. ECAC needs gifts such as these for its programs to be a success.”

- **Show them the gift table.** In this way you can demonstrate the level of gifts that are
necessary to reach the campaign objective.

- **Suggest extended payments.** The prospect may be able to make a more significant gift if provided with the opportunity to extend his/her pledge period beyond 3 years. Offer the prospect the opportunity for a pledge period of 4 years, and in rare cases, 5 years. In the latter case, the Campaign Advisory Team must approve 5-year pledges.

**Be Certain that the Pledge Card is Completed**

Be sure that the pledge card shows the total of the pledge, the immediate payment, the terms of the payment, the contributor's signature and the date.

**Never Leave the Pledge Card**

Cards and forms left with the prospects are seldom seen again. If returned at all, they usually have pledges below initial expectation. If the prospect is unable to make a decision, determine what his/her questions are, and make another appointment to continue your discussion.

**Report Your Progress Promptly**

Bring your completed pledge cards and payments to ECAC and leave them with the Executive Director. All phases of the donation should be completed in as timely a manner as possible.

It is important to acknowledge donors' gifts promptly. Also, your success will encourage fellow volunteers.

**Keep Your Sights High, Relax and Remain Positive**

As in any campaign, the success of the capital campaign is dependent on your interest, your enthusiasm, and your ability to counsel your prospects toward making thoughtful and appropriate gifts. Keep your sights high and encourage your prospects to join you in making this fundraising campaign a complete success.

Ask for more than you expect, and then expect it.

**THANK YOU FOR YOUR COOPERATION AND DEDICATION AND FOR PROVIDING A SAFE PLACE FOR EVERYTOWN'S CHILDREN.**
CHAPTER FIVE

CORPORATE FUNDRAISING

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Developing an understanding of the corporate culture can be extremely valuable and relevant to your efforts to raise corporate dollars.

The corporation is the dominant form of business enterprise today. This is largely because of a legal principle known as “limited liability” which limits investors’ risk to the value of their investment. As a result, setting up a corporate structure is the most effective way to attract investors and the funds necessary to start or expand a business.

An investor becomes an owner through holding shares. This is called equity. Since shareholders do not earn a salary nor derive any other benefits of employment, the return they obtain on their investment is their sole financial incentive. This return on investment may be achieved through dividends or by appreciation in value of their stock. The managers of the corporation have a legal and fiduciary responsibility to maximize this return.

The single most important thing to understand is that the managers of the corporation have a legal and fiduciary responsibility to maximize the investors’ return of their investment. Everything the corporate manager does must be reasonably related to the ultimate objective of making money for the shareholders. Philanthropy is not a corporate objective. Giving corporate assets to charities, in the form of cash grants, gifts, or even equipment, no matter how worthy the cause, will not increase corporate profits. However, a corporation that is perceived as a good citizen derives the tangible and intangible benefits of positive exposure within the community. This exposure can lead to increased revenue from sales of goods and/or services. It can also lead to the reluctance of legislative and regulatory bodies to enact legislation or issue regulations that may be adverse to the corporation’s interest. The corporation’s financial success is its motivation, its legal responsibility and its purpose. If you do not approach corporate fundraising from this perspective, you will likely be frustrated and disappointed.

CORPORATE GLOSSARY

There are a number of corporate terms that will be helpful if you plan to pursue corporate contributions.

Joint Promotion

A partnership between a corporation and a charity. The corporation provides funds to a charity and serves as a sponsor of a particular activity. The activity is generally structured to gain public visibility. Activities might take the form of a special event, a concert, an art exhibit or a special display at a museum. Alternatively, the event may be organized, planned and executed by the corporation. They may designate a portion of the proceeds to go to a specific charity. Movie or restaurant openings are popular examples of this practice. In all cases, a joint promotion is intended to meet some marketing objective of the corporation.
**Cause-Related Marketing**

A specific joint promotion in which a corporation agrees to contribute money to a designated charity for every consumer purchase of specified goods or services. The corporation will generally engage in an advertising campaign to inform the public of this joint enterprise. For example, a corporation may issue coupons in the local paper. When the consumer redeems the coupons, the manufacturer will donate funds to a specific charity such as the Special Olympics.

**Grants**

A grant is a conditional gift generally made to a non-profit organization for use by that organization. In the context of corporate fundraising, a grant refers to the charitable contributions of a corporation made through its corporate foundation. Corporate foundations are treated as private foundations. They are bound by provisions of the tax laws to carry out their activities in a prescribed fashion. They must follow reporting requirements and must dispense a minimum percentage of the foundation’s assets each year.

**Contributions**

Cash gifts, gifts of equipment and other tangible gifts made by corporations to non-profit organizations.

**In-Kind Contributions**

A contribution that is not made in cash. It can include technical assistance, loans of executives to help the charity, use of corporate facilities and resources of the corporation and tangible gifts such as furniture, vehicles and food.

**Public Corporation**

A corporation whose shares are traded on one of several stock exchanges. Any member of the public may become an owner through purchasing publicly traded stocks. The United States Securities and Exchange Commission regulates these corporations.

**Closely Held or Private Corporation**

A business that has adopted the corporate form of business organization but whose stock, and therefore its ownership, is not publicly traded. Sometimes they are referred to as family businesses because all the ownership may reside with a single family.
Joint promotions between businesses and non-profit organizations can be as fun as they are profitable. Through creative and enterprising activities, the corporation promotes itself while simultaneously raising funds for the charity. In order to organize successful joint promotions, you must understand the motivation of your corporate prospect. There is no hidden agenda. Joint promotions either help businesses sell more goods or services or help improve their image. When the joint promotion works well, you have a win-win-win situation. The corporation’s objectives are met, the charity receives much-needed financial support and the participating public feels good.

An Example

A restaurant chain plans to open a new restaurant in a fast-growing suburb of a major city. It wishes to test out its new staff’s abilities to prepare their recipes and to serve their patrons in an efficient manner. How can it accomplish this shakedown with a tolerant audience as their guinea pigs? The manager decides to have an invitation-only cocktail party. The restaurant approaches the CAC and asks if they would like to participate in a joint venture with the proceeds from the evening’s festivities benefiting the CAC. The party guests will each pay $10 to receive one drink and an all-they-can-eat selection of finger foods and snacks sampling the restaurant’s menu. The CAC receives $5000. The restaurant tests its kitchen, receives favorable publicity and generates good feelings among the guests. The guests get good food at a giveaway price while simultaneously helping a worthwhile cause.

Is It Charity?

Critics of corporate joint promotions express concern about the commercialization of philanthropy. However, these criticisms fail to take into account the very complex motivations underlying traditional corporate philanthropic efforts and how self-serving corporate philanthropy can be. When corporations give, they tend to combine their philanthropic strategy with their overarching responsibility to increase stockholder earnings and increase the value of the company. The primary motivation in corporate philanthropy is the commercial advancement of the business venture. It is helpful to think of corporate philanthropy as a kind of enlightened self interest through which charitable giving helps the cause while simultaneously helping the corporation meet its financial goals.

Why Corporate Joint Promotions Work

While joint promotions between charities and businesses are not new, the mushrooming growth of these endeavors is more recent.

The power of television and mass media has increased the frequency and scope of successful joint promotions. Television provides an opportunity to demonstrate corporate civic mindedness to mass audiences through concrete displays of a corporation’s involvement with visible and
worthy charities.

For example, General Electric is known as a supporter of higher education through its sponsorship of the GE College Bowl. Other companies become a part of American folk culture by participating in the Jerry Lewis Muscular Dystrophy Telethon each year. With ever-increasing fanfare, corporate executives join Jerry in reaching an audience of millions while presenting checks for tens of thousands, hundreds of thousands and even millions of dollars.

Corporate joint promotions set up a system in which enterprising charities raise millions of dollars while simultaneously entertaining audiences and promoting corporate America. The system works for charities in a number of ways:

1. Corporations can underwrite the cost of a special event, thereby increasing the net return to the charity.
2. Corporations can supply promotional items that enhance a special event such as tee shirts, balloons, printed materials, novelties and giveaways.
3. Corporations that produce throwaways such as milk cartons, soda cans, tray liners and napkins can print messages promoting charities on these items.
4. Corporations can sponsor exhibitions, plays, seminars, art shows and other public events.
5. Corporate joint promotions that enlist corporations other than the initial sponsor create opportunities for charities to become beneficiaries of spin-off events.
6. Corporations may engage in a cause-related marketing venture with a charity to generate cash contributions.

These same ventures benefiting the charity also promote important marketing objectives for the corporation including:

- **increased market share**
- **increased sales of goods and services to increase profitability**
- **improved corporate image**
- **reinforcement of an existing positive image**
- **identification of the corporation with a group representing certain demographics**

**CREATING JOINT PROMOTIONS WITH CORPORATIONS**
The first step in obtaining more joint promotional opportunities is to develop a marketing mentality for your charity. Developing a marketing mentality does not mean compromising your values. Rather, it means developing skills that will allow you to increase your fundraising results.

Understanding the marketing process and developing strategic marketing skills will have three major benefits:

1. **It will show you how to begin to think and act to improve your fundraising ability.**

2. **A marketing mentality encourages a direct style of discipline, planning and problem solving that has overall strategic benefits for your agency.**

3. **The marketing process also sheds some light into the insular world of non-profits, forcing non-profits to realize that they do not exist in a vacuum.**

### Marketing Concepts and Fundraising

After reading and digesting the basic marketing concepts discussed in this chapter, you should have greater comfort with and understanding of the motivation of for-profit managers.

Begin thinking as marketers so that you can meet your counterparts in corporations and speak their language. By understanding their motivation, you facilitate communication. They will be impressed with your pragmatism and marketing savvy. These are attributes they perceive as scarce in the non-profit world.

### Approaching Corporations

**WHO**

Do not look for the corporate contribution officials. Look for the people responsible for joint promotions. Call the public relations department of the corporation and ask who is responsible for making decisions about joint promotions for the company. The people you are looking for may be:

1. Marketing and public relations personnel.

1. On occasion those responsible for joint promotions are not located within the corporation itself. They may work for advertising or public relations agencies hired by the corporation. The *Red Book* lists advertising agencies and their clientele. It lists the agencies representing certain corporations and specifies the product line.

2. If you have begun working with a volunteer marketing professional, this person may be able to give suggestions regarding whom to approach.
HOW

You can certainly approach these people on your own by phone or letter. However, unless you have a background in advertising, public relations, or marketing, it is better to rely on the expertise of people who do.

COMFORT ZONE

If you are not already using the talents of advertising or public relations professionals as Board members or volunteers, you should do so immediately. There are actually a number of professional organizations and associations serving as matchmakers and placing marketing professionals with charities for pro bono work. Contact a large advertising agency to get the name of such an association. Use the contacts and expertise of the volunteer advertising people to help arrange for meetings with their counterparts who either work for or represent the potential corporate partner.

A PLAN

When you contact the corporation and/or their representative, have a clear idea of the type of joint promotion you are interested in planning. Corporations have no interest in vague offers to undertake a joint promotion. They need specific ideas from the charity. The ideas should reflect some understanding of their marketing needs, and a written plan is desirable. The advertising/public relations/marketing professional on your Board who is helping you can produce that plan.

WHAT ARE THEIR NEEDS?

Without professional help you would need to undertake research in a field where you might be very uncomfortable. However, you may surprise yourself with a high aptitude and creative flair. Take the following steps to increase your sensitivity to the marketing needs of corporations:

1. Scan the business periodicals for stories about companies that explicitly and implicitly discuss these issues. Be alert for the introduction of new products, openings at new locations for existing businesses and stories of products in trouble. There are often stories about the problems of industries as they mature, such as video stores, and how there will be a market shake-out.

2. Take notice of commercial joint ventures in which for-profits become partners. Walt Disney rarely releases a film without high visibility joint promotions. Note which companies enter into these promotions as they are likely targets. Also take note on how they structure the joint promotion; this can guide your planning.

3. Try to figure out why corporations engage in visible image-building campaigns and how they hope to shape public attitudes. Why is Philip Morris promoting the First Amendment? Why is Dow Chemical showing young graduates “doing great things”?
4. Read corporate ads promoting joint ventures with non-profit organizations. See how their copywriters link the attributes of the charity with attributes of the business. For example, Movado watches referred to “timeless classics of the ballet repertoire” in an ad publicizing their sponsorship of the American Ballet Theater. Digital, in an ad publicizing their sponsorship of a Monet exhibit, cited Monet’s penchant for painting the same scene at different times in different light. Digital used the ad to refer to their “ability to view problems from different perspectives.”

THE CHARITY Q SCORE

The next step is to make your organization attractive to the targeted corporation. Some organizations have a clear advantage over others. They have attributes that make them natural and desirable partners. If you have such attributes, your task is easier. If not, you must position yourself in order to increase your charity’s desirability and utility to the corporation.

Consider the concept of a Q score that typically measures name recognition and how positively the public views a particular individual. The Q score measures the attractiveness and appeal of celebrities in order to evaluate whether they would work for product endorsements. Someone with high name recognition but who is perceived in a negative light should not do many product endorsements. Along these lines, before approaching a targeted corporation, think about what makes a CAC a solid product endorser. In other words, consider your charity Q score.

Attributes of a Favorable Charity Q Score

1. Is the charity mission easily understood? Can it be conveyed with only a few words, or does it require several paragraphs to explain its purpose?

2. Does the charity represent values that are universally held in high esteem by members of society, or is it controversial?

3. How prestigious is the charity? If you are doing only local joint promotions, you need only consider your prestige in your community.

4. Does the charity have high visibility? What are the ways to bring joint promotion to the public’s attention?

5. Has the cause been legitimized by celebrities? Is it trendy? Is it the right time to claim your 15 minutes of fame?

Assess your organization based on the criteria listed above. On a scale from 1-10, with 10 being the highest, grade your organization on each of these attributes:

<table>
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<th>Attribute</th>
<th>Q Score</th>
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1. Easily understood mission _______
2. Representing esteemed and uncontroversial values _______
3. Organizational prestige _______
4. Visibility _______
5. Trendiness of the cause _______

The following scale should give some perspective on how you rate:

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<th>Score</th>
<th>Significance</th>
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<tr>
<td>40 - 50</td>
<td>Write your own ticket</td>
</tr>
<tr>
<td>30 - 39</td>
<td>Excellent prospects for joint promotions</td>
</tr>
<tr>
<td>20 - 29</td>
<td>Potential is there, but help is needed</td>
</tr>
<tr>
<td>10 - 19</td>
<td>Joint promotions are not for your organization</td>
</tr>
<tr>
<td>0 - 9</td>
<td>Work to improve your attributes and re-evaluate your organization at a later date</td>
</tr>
</tbody>
</table>

Remember, some of the attributes are inherent to your organization. You may be unable to alter them without radically transforming your organization in the process. In general, CACs should have a good Q score. The two problems may be the difficulty in explaining the CAC mission and agency visibility. These areas can be modified to raise your Q score and enhance your attractiveness as an endorser.

**MISSION**

Improve your ability to communicate your mission to the community by enlisting advertising volunteers to help you:

1. Develop a tag line that explains what you do in a few well-chosen words.
2. Modify your organization mission if you have unintentionally generated a controversial or unappealing image. (Mission modification is not likely to be necessary for CACs).

**Tag Line**

Many non-profits have names that do not clearly communicate what they do. They may be too vague (September House), too cute (Middle Earth), or too complex (Inner Resources Recovery Systems). They may be acronyms: POWER, SANYO, MSA. They may no longer describe what the organization actually does. For example, a women's center may provide employment counseling and job employment services rather than function as a battered women's shelter or
If your organization has any of these problems or some other communication need, consider a tag line. The women's center can use the tag line: “Job Resources that Work.” CACs often use the tag line “Improving Community Response to Child Abuse.” This simple phrase is clear and succinct and communicates the CAC mission. You can also consider using the tag line exercise at the conclusion of this section.

Repositioning and Selling Your Agency

If your mission is complex or controversial, you will need to reposition yourself to overcome these problems.

An example: A residential facility for severely retarded adults has limited appeal as a charitable cause. The populations they serve and the services required are generally subject to the phenomena of isolation and denial. This is a tough sell if you try to promote the entire mission of the organization. There is a clear and easily demonstrated need for these services. That is not the point. This organization faces the challenge of an unappealing subject matter.

A solution: Restating the mission of the organization can help overcome this problem. The mission can be restated as an abstraction, placing emphasis not on specific services, which have limited public appeal, but on the values represented by the services. Values like dignity and respect. Everyone can support these values. Consider the following copy:

“Dignity and respect -- the finest traditions of the human spirit.”

Including this more appealing message throughout the charity's literature can help corporations become more interested in associating themselves with an institution that represents such noble values. The communication principle used is called projection. In the public's mind, the values of one partner in a partnership will be seen in the other as well. This spin-off effect is the essential basis of product endorsement.

In the case of CACs, you must simplify the mission for the public. The concept of joint interviewing, investigation and the interdisciplinary team is too difficult to grasp quickly. You must simplify this mission by emphasizing that the CAC helps heal children who have been hurt. You do not have to modify your official mission statement. The official mission statement is needed for your staff, your collaborating partners, your institutional funders and your clients. A hospital may have an elaborate mission statement emphasizing quality of care, comprehensive services, research, patient care satisfaction and teaching. However, its advertising will convey a simple, persuasive and appealing message. CACs should strive to do the same.

Since CACs score relatively low in clarity of mission, it makes sense to reposition your organization as part of your marketing and fundraising program.
The Strategy

Consider the following qualities of your CAC as you structure your repositioning strategy:

- **The characteristics of your clients. Is there something appealing about them which you can emphasize?** The Special Olympics quite successfully portrays and highlights the children they serve in ways that evoke our empathy and reduce any awkwardness some might feel about individuals with learning disabilities. Certainly you can do the same for abused children.

- **Underlying philosophy of your organization. Does it represent some values everyone can buy into?** The previous example of the residential facility and the values of dignity and respect demonstrates how agency values can be highlighted when presenting yourself to the general public.

- **The services your agency provides. Are they meeting basic human needs?** While some are repelled by the homeless, particularly those who are substance abusers or who have a mental illness, agencies serving the homeless can finesse this image problem by highlighting an under-represented homeless population – homeless families. They can also focus on the services they provide. Everyone can identify with the need for the three basic survival elements: food, clothing and shelter. In the case of a CAC, some may be turned off or be in a state of denial about the entire issue of sexual abuse. In such cases, it is better to emphasize the fact you aid children who are hurt, without going into specifics.

Agency Visibility

The other attribute that you can readily control is your CAC’s visibility. Donor recognition is an ideal strategy for increasing publicity. Remember the quid pro quo of corporate joint venturing is favorable and extensive publicity for the corporation. Present a publicity plan that will be persuasive and compelling. If you are able to establish the public relations value of the joint promotion, you are more likely to be successful.

If your organization has a highly visible way to publicize its activities, refer to them in your presentation to the corporation’s representatives.

- Furnish circulation figures of your newsletters
- Cite the demographics of your other donors, members and supporters
- Establish your success rate in publishing press releases. Bring clippings and news clips to demonstrate your ability to generate press. Corporate representatives are well aware of the cost of a comparable ad.

- Bring tapes of PSAs
Awards

A plaque for display on a corporation’s wall is the award of most value. This is particularly true if the corporation has a high volume of visitors.

Newsletters

You may have to increase your newsletter circulation to a larger audience. This publication can then serve as a valuable publicity mechanism.

Feature Stories

Feature stories are among the most underutilized publicity devices. There are multiple business publications circulated and read throughout the corporate community. Some are publications of Chambers of Commerce or similar organizations. Others are specialized business publications that exist for every specialty of the field. Many business publications will print articles about corporate philanthropy. The article can discuss the virtues of partnerships between the proprietary and non-profit sectors. This is an effective and little used way to recognize a corporate partner. Of course, mainstream and community newspapers and local television stations will also cover newsworthy feature stories.

Be Creative

Creativity is one of the most effective ways to convince the media that your promotion is newsworthy. Volunteer advertising and public relations professionals can help brainstorm about creative and catchy promotion ideas that will effectively generate press coverage.

BASIC MARKETING CONCEPTS

The following step-by-step marketing system reviews the basic elements of a successful marketing effort:

Step 1. Positioning

Step 2. Setting marketing goals

Step 3. Assessing current market position

Step 4. Creating marketing plan

Step 5. Implementing the plan
Each step is discussed below:

**Step 1. Positioning**

Find your niche in the community – positioning establishes for the public who you are and how they should perceive you.

AT&T (forced to compete for the first time in its history) established its position in the context of dependability and quality. Ford Motor Company said that it was also a quality-conscious business – “Quality is Job One.” Pepsi cut into Coke’s market share by identifying its product with a younger group – “The Pepsi generation.”

**Step 2. Setting Goals**

What does your organization want to accomplish? Do you want to increase your visibility, increase your clientele, establish new services, or improve relations within your community? What is your organization’s mission? What you decide is obviously tempered by reality. You must have or develop the resources to attain your goals. Some of these resources can be raised through your fundraising efforts.

**Step 3. Assessing Where You Are**

Assess the famous 6 Ps of Marketing:

- **Product** - what we are selling
- **Price** - what it costs
- **Place** - where you can get it
- **People** - who are our clientele
- **Production** - how we meet the demand
- **Promotion** - how we get their attention

These are the “who, what, where, when and how” of marketing. Profit-making organizations undertake market research to answer these questions. It is not necessary to do extensive market research, although if you have the time, energy, and most importantly, the resources, great! You can, with a little honest introspection, analyze these issues and determine what you need to do, which leads to the next step.

**Step 4. Creating A Marketing Plan**

After working through step 3, you will spot deficiencies and can develop a plan to remedy those deficiencies. Ask yourself questions such as:

- Is the product we offer of value?
• Do we know what that value is?
• Do we know who our clients are?
• Is the product affordable?
• Is it priced too low?
• Is it accessible?
• Can we provide enough of the product to meet the demand?
• Is our image and message one that will cause the public to respond in the desired manner?

Create an action plan to redress your problems and then go to step 5 and put your plan into action.

**Step 5. Implementation**

While the marketing process is of utility to the overall functioning of your organization, your interest is fundraising, and the above steps can also be applied to fundraising. The *product* you hope to sell is an investment in your organization. This investment is not shares of stock or a bond certificate, but rather a donation. The price is, of course, the amount of the donation you seek. The people are the donor prospects. The place is wherever you can attract donors’ attention – at their homes through direct mail or telephone, in the corporate office suite, or at your site of operations. The production is your ability, as a fundraiser, to develop attractive ways to generate funds. Finally, the *promotion* is the message and image to be conveyed to potential donors.

**AN EXERCISE IN TAG LINE DEVELOPMENT**

If your organization has a name that does not communicate accurately, quickly and efficiently what your agency does, consider the use of a tag line. As discussed earlier, the tag line is used every time the logo and/or the name of the organization appears in your literature.

**Step 1.**

The usual starting place to create a tag line is the organization’s mission statement. Unfortunately, many mission statements contain noble sentiments but do not really establish a market position for the organization. After all, marketing and non-profits were long thought to be contradictory concepts.
Use your mission statement as a starting point or identify your organization’s strengths if the mission statement is inadequate or nonexistent. For example:

- Are your services comprehensive?
- Are you sensitive to your clients' needs?
- Does your agency fill a special need that no other organization does?
- Does your agency have special expertise?

Your agency’s major strengths are: (list as many or few as needed)

1. ___________________________________________________________________
2. ___________________________________________________________________
3. ___________________________________________________________________
4. ___________________________________________________________________

**Step 2.**

Describe your organization’s purpose in as few words as possible:

____________________________________________________________________________________________
____________________________________________________________________________________________
____________________________________________________________________________________________

**Step 3.**

Draft a few sample tag lines. The tag lines should:

1. Use a verb such as develop, create, or provide.
2. State the benefit such as comprehensive services, human growth, or family stability.
3. Identify the beneficiary of your agency’s services such as the community, the poor, older adults and children.

Example: (For an agency that provides day care service):

**Providing** the services that enable **working families** to continue to work together as families.

(verb) (beneficiary) (benefit)
Your Draft Tag Lines:

1. 

2. 

3. 

ETHICS & FUNDRAISING

Ethical issues are an inherent part of fundraising. Anyone handling money for the benefit of an organization has both legal and moral obligations to prevent improprieties or even the appearance of improprieties from developing.

Associations serving the fundraising profession, such as National Society of Fund Raising Executives and American Association Fundraising Counsel, have developed codes of professional conduct. These codes pertain to the appropriateness of accepting funds from a particular individual or corporation whose activities or policies may be considered to be inconsistent with your organization’s mission and/or values. An anti-drunk-driving program will raise eyebrows if it accepts support from the alcoholic beverage industry. Some corporations discriminate in hiring and promotion, pollute the atmosphere, or engage in deceptive sales and advertising. Some individuals have alleged ties to organized crime, have earned their fortune from questionable business dealings, or have participated in white-collar crime such as insider trading. Contributions from questionable sources must be researched and, if necessary, returned. Through careful planning, you can be prepared to assess:

1. Vulnerability to criticism from your internal constituency including your Board, fellow staff, or CAC clientele. Association with a bad corporate or individual donor can generate heated reproach from any or all of these parties.

2. Vulnerability to external criticism and adverse publicity in response to an association with a bad corporate or individual donor.

How can you avoid a public relations disaster? The easiest way is to engage in some contingency planning. Develop, in concert with your Board, policies and guidelines that establish standards and safeguards for your fundraising program. These standards should be unique to your organization. They should reflect the collective values of your organization. For some organizations to survive, they must be more pragmatic than others. Some organizations are highly visible, and that visibility, in the case of a cultural or religious organization, may impose restrictions on what they can and cannot do. In the case of CACs, two specific ethical issues should influence your fundraising contingency planning:

1. The need to maintain confidentiality regarding the identity of clients at all times.

2. The association of child abuse with behavior such as substance abuse and alcohol consumption.

When accepting contributions, ask yourself the following difficult questions:

Are the donor’s activities consistent with your organization?

Should the American Cancer Society or the American Lung Association accept funds from the tobacco industry? Under what circumstances, if any, would this be appropriate? Is it all right if the gift was anonymously made or if no public recognition is required? What about...
appearances of impropriety if this secret arrangement is uncovered? Is it okay to accept funds from the company’s foundation? What about accepting funds from a non-tobacco-producing subsidiary of the company?

Along the same lines, should a CAC accept donations from a local beer distributor?

**Is the donor a good citizen?**

If it is alleged that an individual donor engaged in illegal or otherwise offensive activities, ask yourself about the seriousness of the accusations. Does a single instance disqualify a person or must there be a pattern of transgressions? Must the wrong have been established in a court of law or will well-reported allegations suffice? Is there a statute of limitations for misdeeds? Do we absolve the wrongdoer after an appropriate time period? Who must make the allegations for them to carry weight? The press? Ralph Nader? Government agencies? What if someone in your organization had special knowledge of wrongdoing that is not now or ever likely to become public knowledge? What if a bad corporation takes over a corporate donor who has given to you in the past and their giving programs are merged?

**Can we use/exploit our clients to help promote the cause of this corporate sponsor?**

Perhaps the most flagrant example of this phenomenon is the Jerry Lewis Muscular Dystrophy Telethon. Corporations derive significant goodwill as their leaders are shown with the poster children of a charity they support. Given the need to maintain confidentiality of the clients and families seen by the CAC, is there any way to meet the corporation’s publicity needs and do justice to your clients?

This manual cannot answer such complicated and personal questions. It cannot calculate a suggested threshold for determining donor impropriety. You, your fellow staff and your Board must make these decisions. The adverse consequences of an association with a corporate or individual malefactor can be quite serious and can result in loss of support from other key constituencies.
# Chapter Six

**Grant Proposals**

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INTRODUCTION TO GRANTS

Philanthropy in the United States has some unique attributes. No other nation has such an extensive voluntary sector of private organizations run by ordinary citizens. It is estimated that there are over 1,250,000 non-profit organizations ranging from social clubs, political action and advocacy groups, associations, cultural organizations, hospitals, universities and colleges, social service and mental health agencies. This vast array of organizations and institutions are all dependent, to some degree, on charitable giving by private sources and/or on government support.

It is important to build a grant development perspective. Most grantors are making an effort, through their grant programs, to have a significant effect on major social, economic, political and cultural issues. If we develop a feeling for these issues, we can produce the kind of grant proposals that these grant makers are looking for.

The following four aspects make the US government extremely unique:

1. The central US government is one of limited and delegated powers.
2. In our system, power is shared by federal, state and local governments.
3. There is no federal police power -- the authority to act in order to protect health, welfare and safety is reserved to state and local governments.
4. The US has a non-parliamentarian form of government.

These factors are not included as a refresher lesson in civics. They are listed to illustrate the major power constraints of the federal government. These limitations affect the federal government's ability to intervene in our society or resolve social problems.

These structural limitations are illustrated through the ways that the Federal Government addresses social problems. Because the federal government has no police powers, its activities in most domestic matters have been based on the taxing power and the power to regulate interstate commerce. The federal government rarely undertakes direct action. The federal government, through grants and contracts, has used public and private agencies to carry out such diverse domestic programs as biomedical research, urban planning, drug control and, of course, services to abused children. Only under limited circumstances are federal services provided directly by federal employees. The method of indirect involvement in problem resolution is not just a function of our political-legal structure but also a reflection of our society's values.

Since the establishment of our independence, there has been a pervasive attitude against having a strong central national government. As a nation we continue to be wary of the power of a central authority. One of the major characteristics of American political society is a wide dispersion of power. We have in the United States over 100,000 units of government. It is not difficult to understand that the ability of a government to effectuate policy is inversely related to
the number of decision makers and is directly related to the authority of the decision maker. A dictatorship has the greatest potential to make and enforce policy. A republic with a strong democratic tradition requires concurrence of many more elements to accomplish that which a totalitarian government can accomplish at a more rapid pace. These factors have special relevance to CACs, as the CAC model recognizes that there are multiple agencies responsible for responding to child abuse.

What are the legislative consequences of our political structure and value system as it pertains to social issues? A gradual, incremental and categorical response is characteristic of our approach to problems. We are not likely to see the enactment of any national proposal that creates major or radical reform in our society. We are more likely to see a patchwork of approaches to emerging problems. We refer to this patchwork quilt of legislation programs as the categorical approach. The process through which the National Network provides support to local CACs actually functions like a categorical grant program.

The sheer volume of federal programs created by legislation has resulted in a Byzantine, confusing and most often a contradictory domestic policy structure. The consequences of legislative proliferation are significant. They include waste, duplication, inefficiency and barriers to receipt of services. Each program has different eligibility requirements and strict limits to functional responsibility. Most of us can come up with a personal example regarding the absurdity of federal program rules, regulations and requirements.

American society has sacrificed governmental efficiency to promote participation and ready access of the population to the process. The structure of government established in the United States is essentially a conservative structure. The predominant concern of the Founding Fathers in the formation of our constitutional system of government was to limit the authority of the central government. A structure of government was created to minimize the potential for abuse due to the concentration of power in a single source.

The checks and balances of our government, though revered, are antithetical to timely and comprehensive reform. We must, therefore, temper our expectations of what we can accomplish through the federal legislative process. The values maximized by this process -- democracy, free enterprise, anti-authoritarianism and freedom -- are often contradictory to the achievement or establishment of a national policy that would resolve a major social problem. The framers of our constitution made an accommodation, over 200 years ago, to sacrifice and limit the potential for comprehensive change.

These limitations on government authority are both our opportunity and our challenge. The prevailing political philosophy over the past decade has increased the responsibility of the voluntary sector. Unfortunately, this added burden was not accompanied by additional financial support. As a consequence, we must seek the funds we need from a smaller government pie and from private philanthropic sources.

**DEFINING A GRANT**
The grant-in-aid did not originate in the United States. The Chinese, over 4,000 years ago, set aside properties to support religious observances, and the ancient Egyptians established similar funds to maintain the pyramids. The grant has become a particularly American institution. US grants originated through the government land-grant program established under the Northwest Ordinance in the late 18th century. One of the first private philanthropic endeavors in the US was a bequest in 1835 by James B. Smithson. That bequest created an “establishment for the increase and infusion of knowledge among men.” Smithson’s endeavor eventually became the Smithsonian Institution.

A grant is a conditional gift or conveyance of funds with some strings attached. These strings or conditions vary from grantor to grantor. At minimum, these conditions may consist of minimal expenditures and progress reports. At the other extreme, grants from the government often require complex and detailed reporting and financial accountability. In addition, a wide variety of requirements such as civil rights, protection of human subjects in research, and others are imposed. These requirements often have little or no relation to the basic purpose of the grant. This class of requirements, which we have called “externalities,” is imposed by Congress to further some political or social objective. They comprise the excessive regulations and paperwork commonly referred to as “red tape.”

A grant is not a contract. A contract has mutually enforceable promises by the contracting parties. A grantee, the recipient of a grant, cannot legally compel the granting agency to continue financial support. They cannot sue them for damages should the grantor revoke a grant, even for the most arbitrary of reasons. Conversely, the grantor cannot enforce the promise of a grantee to produce the product or service they propose. A grant for research for a cure for cancer does not give a legal right or remedy to the grantor if no cure is found. The grantee must only act in good faith to undertake the project while adhering to the policies set forth by the grantor. Grantees are given substantial latitude in undertaking activities supported by the grant. For example, if in the course of genetic research on cancer the investigator uncovers a promising lead on diabetes, the grantor usually gives permission to change the focus of the investigation. The grantee is then free to pursue this new and more promising avenue of research.

Grants are given for a wide variety of purposes including:

- construction
- renovations
- research
- services
- travel
- publishing
- conferences
- equipment
- operating costs
- endowments
- training
- scholarships and fellowships

As a general principle, contracts rather than grants are used when the funding source, usually a government agency, knows the precise outcome it wants. With a grant there is no expectation of a specific outcome in exchange for financial support. Contracts establish work requirements and expected outcomes by the funding agency. Organizations or individuals then competitively bid for the contract. In most cases, the idea for the grant or the specific approach to the problem originates with the applicant. In a contract, the idea usually originates with the funding source. There are exceptions to these generalizations; some grant programs originate...
with the funding agency and require applicants to follow strict guidelines. Additionally, some contracts are awarded on a noncompetitive sole-source basis, and in some rare instances contract ideas originate with the funded organization. By statute, government agencies cannot award grants to proprietary organizations. Therefore, some statutes authorize that the agency can award either grants or contracts.
Grants are appealing to organizations for many reasons. Unfortunately, there are many prevailing myths that lead agencies to waste time and effort in their grant-writing pursuits. Among these myths are the following:

**Myth:**
For every agency need, there is a grant out there that can meet the need.

**Fact:**
There are grants for every purpose, including basic operating support, equipment, new construction, renovation of buildings and new projects. However, the majority of grants are for projects such as new services, educational programs, training programs, publication of material and dissemination of information. Grant support for operations and capital projects is limited by two factors:

1. Grants made for these purposes are usually smaller than the total amount required. No single grant for operations or a capital project will be sufficient to meet your needs. Grants must then be combined with other sources of support to meet your objectives.

2. The feasibility of obtaining grants for these purposes is dependent on where your agency is located. The vast majority of grant makers limit their activity to a specific geographic area. The odds drop precipitously that you will obtain significant grant support of this kind if you do not have a sufficient number of grant makers in your location.

**Myth:**
For the bashful fundraiser, grants are the answer, since all you need do is write your proposal, determine where to send it and wait for the results.

**Fact:**
A common mistake made by many grant seekers is to assume that cultivation is not necessary. It is imperative to contact the grant maker before submitting a proposal for a number of reasons. If you do so, you increase the odds in your favor. If you do not, the odds will remain long, and your overall success rate will be beneath your potential.

**Myth:**
The grant format you design and employ will determine your rate of success.
Fact:

Standard formats are now common for government grants. In these cases you have no choice but to follow their format. Many corporations and some foundations have adopted formats that make it easy for them to process large numbers of requests. In these cases, you have no options. Large foundations do not want a full proposal and generally request a brief preliminary letter or concept paper. Only a very narrow group of small foundations allow flexible formats for grant applications.

Myth:

You can rely on published grant directories to do the research for you.

Fact:

Few foundations have the resources to evaluate unsolicited grant proposals. They generally do not make grants on this basis. While they are legally and organizationally private foundations, they operate as major donors. That is, their decisions about whom to fund will reflect the interests of the donor and/or the donor's family or heirs. These foundations are alter egos for the affluent people who created them.

PROACTIVE VERSUS REACTIVE

Two alternative strategies can help secure project grant support:

1. **Proactive.** Develop a proposal and shop for an appropriate source.

2. **Reactive.** Find a source and develop a proposal to meet its program priorities and philosophy.

Should you first develop your grant proposal and then conduct research to locate an appropriate grant maker? Or should you tailor a grant to the philosophy and priorities of the grant maker? If you can be reactive to your funders' needs, your success rate will be higher.

The funds belong to the grant maker and are administered to attain the grantor's objectives. You can never convince them to fund your project, no matter how well-written, persuasive or innovative your proposal, if it does not meet their program priorities.

The WRONG way

You might be successful using the following steps, but your success rate will fall below your potential:
1. Develop an idea for a proposal.

2. Prepare the proposal.

3. Determine, through research, the source to send it to.


The BETTER way

1. Pay more attention to the priorities and programs of the grant maker. Your organization's needs are only one part of the equation.

2. If possible, tailor your needs to meet the funding priorities of the grant maker. You must develop appropriate strategies to accomplish this.

3. If you cannot tailor your proposal without compromising the project and/or your organization's mission, do not submit a proposal. Under many circumstances you can serve your agency better by not applying for specific grants. For example, a CAC might be tempted to pursue a grant that will provide funds for a comprehensive program on domestic violence. However, the grant will require that the CAC begin to offer services to adult victims of violence. As laudable as that might be, you must determine whether the project is within the scope of your agency's mission.

4. Attempt to develop a personal, professional relationship with the grant maker through face-to-face meetings and telephone contacts.

5. Use strategies that will increase the attractiveness of your agency to funding sources.

GRANT SOLICITATION STRATEGIES

Contrary to popular belief, strategic issues are often more important than the grant format or the written grant. As previously stated, a well-written proposal will not be successful if it is not sent to the right funding source.

Poor Strategic Planning

You have decided to start a new program that will have an annual budget of $75,000. The foundation you have applied to provides grants in the range of $1,000 to $20,000. If you receive a grant of $15,000, which for the grant maker is a very generous grant, you will still have a funding gap of $60,000. What are your options?

1. Scale down the project.

2. Defer the project until you have the remainder of the funds.
3. Start the project and hope to get the rest of the needed support.

4. Leverage the funds by asking the grantor to announce the grant as a challenge grant in order to obtain the remaining needed support.

5. Change the project from the implementation of a new service to a study to determine its feasibility.

6. Defer the funding until you secure all required funding.

These problems could have been avoided before the submission of the grant application. It could and should have been known from the past funding history of the foundation that there would be a significant shortfall of funds even if the grant were awarded.

Consider the following strategic issues:

1. Determine what your fundraising options are; do not assume that a grant request is the best or only option.

1. If you determine that grants are a viable and preferred option, you should assess your grant-funding options and make decisions about government, corporate, or private foundation support.

2. Develop a strategy to yield accurate and timely information about the funding source's programs and priorities.

4. Educate yourself about what is state-of-the-art for organizations of your type and/or the service or activity for which you are seeking funds.

5. The credibility of your organization will determine, in large part, if you will be successful in your quest for funds. You must, therefore, have a strategy to demonstrate your organization's worthiness.

6. A financial strategy, manifested in the budget, must be developed to meet the requirements of the funding source and to ensure that you will have sufficient funds to accomplish your goals.

THE CORRECT MATCH

The correct match between the right source and the right proposal is the ultimate objective. This process involves a nexus of the following:

- **your organizational needs**
• the specific attributes of your organization
• the priorities of the funding source

Organizational Needs
The need of the organization refers to the specific fundraising need prompting the investigation into grant funding. These needs are divided into three categories:

1. Basic operational support
2. Capital projects -- building, renovation, equipment and endowment
3. Project support for new or significantly expanded activities

Specific Attributes of the Organization
The specific attributes of the organization refer to those characteristics used to build your case for fundraising support. For example, they can include:

• special expertise of your organization
• whether the organization is national in scope
• the qualifications of the people involved in the program
• the prestige of the organization
• the level of community involvement and/or support

The CAC Interagency Agreement represents a community collaboration that is very attractive to funders. In addition, the CAC mission is unique -- it is the only agency in any community working to coordinate the investigation of sexual abuse of children in a manner that is sensitive to the needs of the child while working to build a more effective case for the prosecution. This is important because every community has many agencies duplicating services. The fact that a CAC has, metaphorically, an exclusive license/franchise for the services it provides is relevant and important to grant makers.

Priorities of the Funding Source
Ultimately, the specific funding priorities of the foundation, corporation, or government agency will shape the grant proposal that is submitted.
Funders generally try to support one of the following activities:

1. **Operational support -- unrestricted funds**
2. **Project support -- restricted funds**
3. **Capital projects -- restricted funds**

### Grants for Operational Support

Many funding sources will not provide funds for operational support. Their reasoning follows:

1. It is the prevailing view of most grant-making organizations that operational support is first and foremost the responsibility of the organization itself.
2. Grant makers have limited funds. Many believe they can accomplish the most by supporting new and exemplary activities that would not exist without such support.
3. When grant makers provide support for operations, they are usually smaller foundations and corporate grant makers. These grants are generally small.

If your primary need is operational support, there are better and more appropriate fundraising options including the following:

- major donor solicitation
- an annual campaign
- honoree fundraising
- joint promotions with corporations

### Grants for Project Support

Project support or restricted funds must be used for a specific purpose. The range of activities supported is broad and can encompass:

- fellowships
- research
- scholarships
- services
- training
- demonstration
- staffing
- planning
- conferences
- feasibility studies
How Innovative do Project Grants Need To Be?

Not every funding source is looking to fund only state-of-the-art projects. Part of your job is to find out where to send your proposals. You should send your most innovative proposals to the most appropriate source to accommodate your particular funding priority.

While the following is a generalization, and you must prepare for exceptions, grant makers do tend to fall along a continuum of innovation.

CONTINUUM OF INNOVATION

Most Innovative
- National private foundations
- Federal demonstration grants
- National corporate foundations
- State demonstration grants
- Federal service grants
- Community foundations
- Regional private foundations
- State service grants
- Small local private foundations
- Regional corporate foundations

Least Innovative
- Local corporate grants and contributions

Send your most innovative ideas to those sources that will respond to them. The greatest danger is selling your great ideas too cheaply.

Along similar lines, the continuum of sincerity represents the degree of sincerity that a grant maker has. It can be measured by their willingness to make grants of sufficient dollar magnitude to accomplish the intended grant objectives.

CONTINUUM OF SINCERITY

Most Sincere
- National private foundations
- Federal demonstration grants
- National corporate foundations
- State demonstration grants
- Federal service grants
- Community foundations
- Regional private foundations
- State service grants
- Small local private foundations
- Regional corporate foundations
Least Sincere  Local corporate grants and contributions

The continuum of sincerity correlates almost perfectly with the continuum of innovation. This means that the more innovative your proposal is, the greater the likelihood you will receive all the money needed to be successful. **Do not send your most innovative proposal to a source that will only give you part of the funds you need!** Some grant makers provide only a portion of a project’s cost. However, because of their public relations needs, they take credit for the entire program.

**Information Strategies for Project Grants**

A specific step-by-step process for obtaining information is discussed in Section 5, “Possible Funding Sources.” However, from a strategic perspective, your search for information is designed to answer three fundamental questions:

1. What would be considered state of the art for the activity for which you are seeking funds?
2. How does your proposal measure up to state of the art?
3. What are the specific funding priorities, program approaches and philosophy of the grant makers from whom you hope to receive funds? For example, do they emphasize intervention or prevention?

Unless and until accurate information can be obtained, you cannot hope to develop and write a proposal that has a realistic chance of being funded.

Also, try to develop an innovative and creative approach for your projects. Funding sources are looking for the following:

- exemplary projects
- projects that will provide new information and data on important issues
- projects of national significance
- projects calling for new and innovative approaches
- projects meeting previously unmet or inadequately met needs
- projects filling in gaps in services provided or populations served
- projects which can be replicated
- projects providing services more effectively or more efficiently
- projects whose results can be easily disseminated
Grants for Capital Needs

Large national foundations and most national corporate foundations do not generally support requests for buildings, renovations, equipment and endowment. A notable exception is the Kresge Foundation of Flint, Michigan, which does fund building projects. Kresge has very specific requirements for their support. They will not provide the first or last dollars for a building project. You should contact them early in the process to see if they will be a prospect. With this exception, capital requests are more likely to be funded by local and regional foundations and corporations. It is quite rare, however, for any of these sources to provide all the funds that are necessary for a capital project. As a rule, their grant will be one of many gifts required to attain your financial objective. The most effective way to secure these gifts is through the context of a capital campaign.

A special problem that CACs have with respect to capital campaign grants is the fact that CACs are relatively new organizations. Some grant makers question whether the organizations will be in existence 5, 10 or 25 years from now.

When you read or hear of a very large single grant made to buy, build, or renovate a facility, it is usually a major-donor situation. The grant is only the mechanism used to fulfill the philanthropic commitment of the donor. This commitment is obtained through cultivation of the donor and the other steps of major donor fundraising.

PRIVATE FOUNDATIONS FILLING THE GAP

Over the past decade or two, the federal role as initiator of social programs has greatly diminished while a variety of social problems continues to increase. Many private foundations have moved to fill this policy void. As a result, most large national foundations are no longer reactive in their grant making. They no longer make their grants in response to unsolicited proposals. Foundations now take a proactive role in grant making. They either initiate the grant process by issuing a request for proposal (RFP), or they work directly with preselected organizations. Furthermore, these foundations, including many medium-sized regional and even community foundations, now prefer to use their grant investments to bring about systemic reform. They do not wish to use their dollars to fund community-based programs addressing the symptoms of social pathology. Rather, they seek to address the causes of social pathology. In the past, many large grant makers would have a somewhat balanced portfolio -- mixing exemplary projects of a local and regional nature along with grants of national significance. The balance is shifting towards significant representation, if not a total emphasis, on national projects.

These developments greatly favor large, prestigious and national organizations over community-based programs. Furthermore, they require the grant seeker to be highly educated about national trends and state-of-the-art strategies in their field. For the busy professional who must balance dozens of responsibilities, the necessity to remain current may be a very daunting task.
In summary, many large national grant makers are no longer viable prospects for most non-profit organizations. These non-profits must look to local sources for their grant support. However, there are exceptions, and if you truly have an innovative concept, do not be dissuaded from pursuing it. In these cases you will need a strategy to gain the attention of and credibility with the grant maker.
The Dangers of Grant Funding

On the surface, grants represent one of the most attractive fundraising techniques for a number of reasons:

- The fundraising professional is not dependent on the efforts of lay leadership as they would be for major gifts.
- In contrast to special events, relatively little labor is involved and there is no dependence on volunteer labor.
- The initial cost is minimal as compared with such techniques as direct mail.
- The payoff can be enormous; multi-year grants can exceed $1,000,000.
- There is a perception of democratization in awarding grants. Especially in the case of government grants, high prestige is not a prerequisite to funding.

For these reasons, grants represent a very attractive fundraising tool.

It is quite rare for a fundraising manual to alert the potential grantee to the dangers of grants. Not many books on grant techniques would risk potential sales to point out that the world of grants is not risk free. However, the applicant’s first task and obligation is to assess the costs and benefits of a potential grant. In some instances, you must reject a grant opportunity and have the courage to tell your organization that the strings attached to the funds are too strong and constricting.

While some grants can be extremely helpful and productive, grants should not be uncritically embraced as a panacea to an organization's financial needs. This chapter discussed the necessary tools to:

1. Make an informed decision to pursue or not pursue grant support
2. Increase your chances of success when applying for a grant.

What are the traps awaiting the potential recipient? Not all grantors are the same, and the benefits and costs differ by type of grant maker -- federal government, state government, national foundations, regional foundations, community foundations, local foundations, or corporate foundations.

In order to make informed decisions, you must understand why a funding source imposes explicit or implicit conditions on the recipient of their financial assistance.
FEDERAL FUNDS

The processes through which grant programs are established calls for the enactment of specific laws authorizing the specific program. The federal legislative process is complex and convoluted. It is a process of compromise and accommodation. Through intense lobbying, diverse and often conflicting interests are represented in the final legislative product: the new federal law. The law that emerges from this process is most often like a decorated Christmas tree; each ornament representing another interest group’s successful effort to have their views incorporated into the legislation. The results are grant programs with extensive and sometimes contradictory requirements.

Contradictory Terms

In some cases, the grant recipient finds that the conditions of federal support become difficult if not impossible to implement. For example, grant requirements that maintain confidentiality for those who receive medical treatment can in some cases impede efforts to control infectious diseases. For example, confidentiality is in conflict with the efforts of public health officers to track down sexual partners of people undergoing treatment for AIDS.

Value Preferences

Legislation always involves an implied expression of values, choices and preferences. In some instances, Congress enacts legislation that is an explicit manifestation of the prevailing values of current legislators. For example, Congress enacted legislation to help arrest the problem of teenage pregnancy by mandating grantees advocate abstinence as the preferred method of redressing this problem. While the merits of this approach can be debated, there is no question that this requirement imposed significant restraints on grantee choice and innovation.

Red Tape

The Federal Government imposes multiple conditions on its grantees. These conditions include civil rights assurances, confidentiality, procedures for the protection of human subjects in experimentation, use of merit pay systems, consumer participation in decision making and creation of drug-free environments.

What is unique about this class of conditions is that they promote policies independent of the grant purpose. They exist whether the grant is to provide health care to the homeless, education to migrant workers or construction of water treatment plants. Basically, the red tape so inherent to the government process is passed on to the recipients of government grants.

Budgetary Problems

Federal grant programs also impose fiscal constraints on grantees such as mandatory matching...
requirements, whereby the grantee must provide a specified percentage of the funds that are necessary to conduct the project.

Rarely are grantees permitted to carry over funds from one year to the next. A federal grant may be awarded for multiple years. However, there is no assurance that funds will be available for future years. Cutbacks in funding or across-the-board reductions may result in lower funding levels than those originally approved. In extreme cases, there may be no funding at all.

**SUMMARY -- Federal grants often come with the following strings:**

- Contradictory terms and conditions
- Limitations on methods that grantees can use when conducting the program
- Adherence to requirements that may be unrelated to the grant purpose
- Budgetary problems that may constrain how you use grant funds

**STATE GRANTS**

**All the Above Conditions Plus Less Money**

Under our Federalist system, the states were originally the center of authority to carry out programs promoting the health, safety and welfare of citizens. However, the economic turmoil of the Depression and the ambitious social agenda of Lyndon Johnson’s Great Society caused this power to shift. The federal government began assuming more of the responsibility for the support of domestic activities. During the Reagan and Bush administrations, states again assumed more of the initiative for domestic spending. The Republican majority in Congress accentuated this shift of power to the states. The Clinton administration has, by acquiescence and policy, endorsed the redirection of power to the states.

Despite the shift of power, state and federal grants still share many similar characteristics. Many of the same conditions are imposed on grantees. This is because state grants are for the most part a pass through mechanism for federal funds. The authority for the state program is federal legislation that provides funds to be allocated to the states according to some statutory formula. (The formula may use population or per capita income or some combination of the two.)

The result of this process is a dilution of funds. The states’ administrative costs for the program become an overhead expense and, therefore, represent funds that are not available for expenditure by the ultimate grantee agency. What this means to a prospective grantee is relatively fewer dollars to do the job, and in some cases, insufficient dollars to do the job properly.

**Additionally, when the state grant program is a conduit of federal funds, the grant conditions will be the same as if the grant was a federal one.**
Record Keeping

Under both federal and state grants, periodic progress reports are required. Financial accountability is extremely stringent and, consequently, quite time-consuming. Program audits and site visits are also common. The grantee must keep excellent records, and adherence to these requirements can be burdensome to a small organization. One of the more dismaying aspects of federal and state funds is the almost adversarial relationship that sometimes evolves between grantor and grantee. The government official too often seems to be looking for audit and programmatic problems.

PRIVATE FOUNDATIONS

The conditions and terms of private foundations are as varied as the number of foundations who make grants. Some impose almost no conditions. The great bulk of them do expect periodic reports and financial accountability.

Grants from private foundations, while not free from conditions, are significantly different from those of the government. However, there are significant risks to the grantee. This is especially true for the grants from large foundations. The risks are far more subtle and, therefore, the prospective grantee must be more vigilant.

Departure from Organizational Mission

The greatest numbers of grants from private foundations are made in response to unsolicited requests. However, it is becoming increasingly common for proposals to be requested for a foundation-initiated program. Organizations may be very tempted to apply for these funds. Sometimes the foundation grant program represents a departure from the organization's mission. It can be a grave error for a non-profit organization to undertake activities outside the scope of its mission.

A CAC has a specific mission and therefore cannot apply for the kind grants that, for example, a YMCA could apply for and still maintain consistency with its mission.

Loss of Control over the Project

Foundation-funded grant risks also involve a loss of control over the project. Foundation staff is often very active in the formation of a grant proposal. The process of grant development becomes a synthesis of grantee and grantor concepts. The problem for a grantee is that the direct participation of foundation staff may lead to a project that is no longer consistent with the organization's original objectives.


**Restricted Funds**

Grant money is restricted money. An organization cannot transfer those funds to meet some other organizational purpose, even if that means hardship to the organization. Every year in every community there are agencies that get into trouble by misuse of restricted grant funds.

**No Overhead**

In most cases, foundations, particularly larger foundations, will not support existing activities of an organization. Rather, they require the project to be an entirely new endeavor. For a struggling organization in need of basic financial support, the additional administrative burden of a new activity supported by grant funds can be extremely counterproductive. This is particularly important since foundations generally do not provide funds to cover an organization’s overhead expenses. The accounting, managerial and personnel support for this project must be met by existing organizational resources. This can be a real hardship if these resources are already strained. **NOTE:** You can, with careful budget preparation, overcome some of the hardship of this restriction. You can request, as direct costs, many of the costs ordinarily attributed to overhead.

**Insufficient Project Funds**

One of the biggest pitfalls for an organization is to apply for a grant for a project that costs $50,000 to implement, and the grant maker sends a check for $10,000. This issue has been addressed elsewhere, but the significance of this challenge cannot be overstated. One safeguard is to check the dollar range of grants the foundation makes. This information is available in all the standard references on grant makers. If the grant maker’s dollar range is $5,000 to $25,000, you should not submit a grant proposal to them for $100,000.

**SUMMARY -- Private foundation support has the following caveats:**

- Some grant programs may be outside the scope of the organization’s purpose and mission.
- The participation of foundation staff in project development may result in a different project than originally contemplated -- one that may not reflect the organization’s priorities.
- Most foundations will not provide basic organizational support but require that the grant be used for new program activities.
- Most foundations do not provide for overhead expenses.
- Some foundations will not provide all the funds needed to carry out the project.
The following **YES or NO Grant Decision Matrix** can help resolve the problem of whether or not to prepare a particular specific grant proposal. It can help you decide when it is not in your best interest to apply for a particular grant.
If you diligently seek informational sources on grant opportunities, you will become aware of RFPs that may be of interest to your organization. Board members or others in your organization may also suggest specific grant opportunities. How can you evaluate these potential grants to determine whether they are worth pursuing?

THE YES or NO SYSTEM

To assist in this judgment, the following YES or NO scoring system can be used. The YES or NO scores are based on six factors:

1. How consistent is the grant with your short- and/or long-range goals? The greater the consistency, the higher the score, based on a rating from 1 to 10.

2. What is the cost/benefit of applying for the grant? This is determined by dividing the average award by the percentage of grants the funding source makes to the total of proposals they receive. Then multiply that figure by the approximate cost to your organization to prepare the proposal.

Example: A government grant program that will award $15 million is announced. The agency will make at least 100 awards. Consequently, it can be determined that the average award will be $150,000 ($15,000,000 divided by 100). It is also known that the funding source historically receives 800 proposals. The percentage of successful applicants is 12.5% (100 divided by 800). Lastly, (for example), you determine that professional and clerical time plus other costs will be approximately $3,000 to prepare the proposal. The calculations look like this:

\[
\frac{150,000 \times 12.5\%}{3,000} = 6.25
\]

Example: The XYZ Foundation makes 85 grants per year, totaling $23 million. Their average grant is $270,000. They fund 15% of qualified applications. (Approximately 30% of the proposals they receive do not meet their guidelines -- indicating poor research by those applicants.) Assuming, that total preparation time including meeting with foundation officials, is also $3,000, the calculations are:

\[
\frac{270,000 \times 0.15}{3,000} = 13.5
\]

3. On a scale from 1 to 10, rate how closely your organization matches the profile of...
organizations they typically fund. For example, if they fund mostly national and statewide organizations, then a grassroots or community-based group will score very low.

4. What kinds of strings are attached as conditions of grant support? The fewer the strings attached to the grant support, the higher your score on a scale of 1 to 10.

5. What kind of expectations will be established in your community at the conclusion of grant support? Will you be providing a necessary service but have little probability of continuing to provide it after grant support ends? While you can only be expected to do your best in continuing the project following grant support, you must make an honest appraisal of your capacity to continue the program. On a scale of 1 to 10, rate how feasible it will be for your organization to continue the project following grant support.

6. Lastly, you must assess your ability to perform based on your organization's capabilities as well as the adequacy of grant funds. Do you have the resources to carry out the mission of the grant, or will you stretch an already over-worked staff too far? Are the grant dollars sufficient for the job and will they cover your overhead costs? On a scale of 1 to 10, rate the adequacy of the monetary support your agency would receive from the grant.
USING THE YES or NO SYSTEM

The best way to use this scoring system is to establish:

1. A base score that if an RFP meets or exceeds, will determine that you will definitely apply.

2. A mid-range score that if an RFP meets or exceeds, will warrant consideration and discussion about whether to apply. Your Board, Executive Committee and /or your superior will participate in this discussion.

3. A minimum score that the RFP must meet in order to apply. If the RFP falls below this minimum score, you definitely will not apply.

Due to the varying importance of these issues, the threshold scores for each item should differ. Below is a listing of the suggested score for each criterion:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Minimum to Apply</th>
<th>Board to Decide</th>
<th>Definite Go</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>2.</td>
<td>7</td>
<td>10</td>
<td>15</td>
</tr>
<tr>
<td>3.</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>4.</td>
<td>5</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>5.</td>
<td>5</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>6.</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>TOTAL</td>
<td><strong>35</strong></td>
<td><strong>43</strong></td>
<td><strong>53</strong></td>
</tr>
</tbody>
</table>

Explanation of Scoring

If the score is below 35, you should not apply. If the score is above 53, you should apply. Between the scores of 35 and 43 there is a presumption not to apply. Between 43 and 53 the presumption is to apply. Of course, to be truly effective, this scoring system must be agreed to by your Board or superior. Through their approval of this system, you can preserve your freedom of action while maintaining a good relationship with them.
PRIVATE FOUNDATIONS

The job of the grant seeker has been greatly facilitated by a number of commercial sources that regularly publish information regarding funding opportunities. Preeminent among these sources are The Foundation Center and the Taft Group. Each of these organizations provides extensive source material on private foundations and corporation funding sources. The Foundation Center offers computerized searches by topic. These include 26 specific program areas such as the aged, crime and law enforcement, museums, science programs and public health. In addition, they offer computerized searches for 31 subtopics; for example, under "education" they list the following:

- child abuse
- child development
- children and youth services
- adult and continuing education
- educational research
- higher education -- capital support
- higher education -- endowments

The Foundation Center now offers, through CD-ROM, their entire database on foundations. It is expensive, over $1,800, but if you can afford it, it will enable you to conduct searches on foundations by a number of variables including geographic limitations and subject matter.

The addresses and phone numbers of these companies are:

The Foundation Center
79 Fifth Avenue
New York, NY 10003-3076
1-800-424-9836
(212) 620-4230

The Taft Group
27500 Drake Road
Farmington Hills, MI 48331-3535
(248) 699-4253 or (800) 877-TAFT

HOW USEFUL ARE THESE SOURCES?

A crucial issue is whether or not these commercial resources will really be beneficial to you. The proliferation of grant directories has led to a proliferation of grant requests. Many naive and inexperienced grant seekers indiscriminately send out dozens if not hundreds of proposals, literally flooding and overwhelming the system.
In many cases they do not bother to ascertain whether or not their proposal meets the priorities or policies of the grant maker. Armed with their word processor and a directory, they produce an unlimited number of misdirected proposals.

Another critical difficulty is that the directories do not identify foundations that make grants on the basis of unsolicited proposals. They do not distinguish the true grant maker from foundations that are actually the mechanism through which a wealthy donor and/or his/her family fulfill their philanthropic commitments. The true grant maker will be referred to as a “professional foundation,” and the wealthy-donor foundation as a “PO Box” foundation.

Some people refer to PO Box foundations as family foundations. This is not a very helpful designation. All private foundations were created from private wealth. All private foundations can be considered to be family foundations. The distinction to be made is whether the foundation has the willingness and capacity to evaluate unsolicited proposals. The critical factor which will, in the overwhelming number of cases, provide us with the information to distinguish between foundations we should cultivate as major donors and foundations to which we should send unsolicited proposals is whether or not they have a full-time staff. It is only when the foundation has sufficient resources to professionalize their operations that they become true grant prospects – or true professional foundations. PO Box foundations, on the other hand, maintain a listed place of business to meet legal requirements. They have no staff or any other aspect of a professionally run enterprise.

Perhaps as many as 90% of the largest foundations listed in The Foundation Center's Foundation Directory do not have any full-time professional staff. Only 800 of the 4,000 foundations with assets of $50,000,000 or less have any staff at all. Regarding these foundations, 85% of the staff will be either clerical or part time. The largest 142 foundations employ half of all professional foundation staff.

In summary, temper your enthusiasm for ready-made research resources. They are useful, but are not the panacea their publishers would have you believe. Their use is as follows:

1. The directories indicate whether a foundation has a professional staff thus indicating whether it is a prospect for a grant proposal.

2. In cases where the foundation does not have a professional staff, the directories show where there are sources of wealth in your community and whom you should consider cultivating for possible major gifts.

Another good source of information is the Chronicle of Philanthropy published every 2 weeks. Each issue contains profiles of grant makers, notice of significant grant awards, feature articles on major foundations and other information that can be very helpful. Their address is:

The Chronicle of Philanthropy
PO Box 1989
Marion, Ohio 43305
THE NEXT STEP

The directories are only a starting place. The publications of the grant makers themselves are of far greater utility. The larger foundations produce annual reports and sometimes guides to current program priorities. Request written material from all foundations that:

1. Have a professional staff
2. Fund programs similar to your own
3. Award grants in your geographic area

Read the material from cover to cover, not only to find out about current priorities, but also to discern their philosophy as a foundation. Take note of their giving patterns in past grant making. What kinds of patterns are discernable?

Look for the following:

- **Type of organization the foundation supports**
  - Is it national, regional, or community based?
  - Do they tend to choose established organizations, or do they appear to choose newer agencies?

- **Geographic distribution of grantees**
  - Does the foundation restrict their giving to a particular community?
  - Is the foundation regional or national?

- **Type of project**
  - innovative services
  - dissemination projects
  - flashy projects that are public relations gold mines
  - basic projects

- **Choice of means to bring about change**
  - advocacy
  - education
  - preference for cooperative programs
  - services
  - systemic reform

- **Subject matter and program interests of the foundation**
  - breadth or narrowness of their program
  - any restrictions on their grantees

- **The dollar range of their grants**
  - the range of their grants -- the high and the low
- the average size of their grants
- how many grants have they given?

Be alert to the fact that the publications of some foundations are out of date or are too vague to provide real assistance.

**GOVERNMENT GRANTS**

While government grant support has declined steadily for the past two decades, US government grants still represent the largest single source of grant funds. There are several ways to obtain information about these grants. The *Federal Register* issues notices of grant programs. It is available by subscription from the Superintendent of Documents:

US Government Printing Office  
Washington, DC 20402  
202-783-3238

The *Federal Register* is now on line and accessible through the internet at:

http://www.nara.gov/fedreg/

Most states do not have publications similar to the *Federal Register*. If they do, your job would be easier. If your state does not have such a publication, you will need to place your agency on the mailing list of any state agency that might conceivably be making grants that might interest you.

**NOTHING SUBSTITUTES FOR PERSONAL CONTACT**

No matter what publications are available, there are no substitutes for personal contacts and discussions with grant makers. This is critical when their written materials are confusing or uninformative. You will need to communicate with grant makers to obtain accurate and timely information.

Many grant makers encourage such contacts. They do not wish to be inundated with proposals that are outside the scope of their interests. A phone call or a visit can lead to more productive use of each party’s time. These contacts will also demonstrate your professional competence to the grant maker. However, meetings are more difficult to arrange now than in the past. This is due to the proliferation of grant requests that have occurred in the past few years.
MAKING THE CALL

Your objective in making this call is to arrange for a face-to-face meeting with a program officer at the foundation. Failing that, you should try to speak to the Officer; to ascertain his/her current priorities.

**Step 1. Be prepared.**

Prepare a short explanation of why you want to speak to the program officer. If the funding source does not know you, have available a brief written description of what your organization does.

Prepare a short written description of your current grant concepts. You may be asked to describe what specific projects you have in mind.

**Step 2. Make the call.**

Ask to speak to a program officer and say something like: “We would rather not send one proposal after another that might be outside your current interests. If your program officer has a few minutes, we would like to discuss your current funding interests.”

**Comfort Zone**

If you cannot get past the secretary, politely hang up. If you have a secretary, you could let that person make the initial call. If the secretary cannot get past the grant maker’s secretary, after an appropriate time lapse (a month or so), call back. This call should be made by your top VIP, such as your Board Chairperson or some other prominent individual to secure a meeting. Tell the grant maker’s office that the VIP will be available in the next 2 to 3 weeks and would like to meet with a program officer. If this does not work, you should reconsider whether to apply to this foundation. Without a meeting you are submitting a blind proposal, and the likelihood of success drops dramatically.

**Step 3. Secure a Meeting**

Explain to the program officer who you are and suggest that you schedule a brief meeting with him/her. If you secure an appointment, thank them and hang up. Anything said after you secure the meeting can jeopardize that meeting.

**Comfort Zone**

Should the program officer prefer to speak to you on the phone, ask him/her first what their
current interests are. If your conversation reveals that their funding priorities do not match your application interests, ask a few process questions so you do not appear abrupt. Questions such as:

- Are there deadlines for submission?
- Does the foundation prefer a specific format?
- Can she/he send a copy of an exemplary proposal the foundation funded?
- Can she/he refer you to an exemplary project in your general area of interest?
- What is the dollar range of their grants?

If your conversation reveals that, YES, their fundraising priorities match your application interests, use your project description as a guide and briefly explain your current grant concepts. It is best to offer them some alternatives rather than a single concept.

Ask them if they think a meeting might be appropriate. If they say YES, arrange the meeting.

If they do not want to meet with you, ask if they are interested in a project such as you have described. If they say YES, submit a proposal according to their instructions. If they say NO, you have saved yourself a great deal of potentially wasted time.
Step 1. Identify your CAC’s funding needs. Different needs include:

1. Operational support
2. Project support
3. Capital project or endowment

Step 2. Select the most appropriate mix of fundraising methods for each need:

<table>
<thead>
<tr>
<th>Fundraising Method</th>
<th>Organization Need</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants</td>
<td>Projects, capital, operations</td>
</tr>
<tr>
<td>Special events</td>
<td>Operations, projects, capital</td>
</tr>
<tr>
<td>Major donors and deferred giving</td>
<td>Operations, capital, project</td>
</tr>
<tr>
<td>Campaigns</td>
<td>Capital, operations, project</td>
</tr>
<tr>
<td>Direct mail or phone solicitation</td>
<td>Operations, capital, project</td>
</tr>
<tr>
<td>Joint promotion with a corporation</td>
<td>Operations, capital, project</td>
</tr>
</tbody>
</table>

Step 3. If you list grants as the appropriate method for a particular need, the following funding options exist:

- **Local or small foundation without a staff or with just a clerical staff**
  It is best to cultivate these sources as you would a major donor. The major utility of grant directories is that they provide the names of the people you need to reach in your cultivation efforts. They include the donor, officers and/or Board members.

- **Regional or local foundation with a staff**
  1. Determine what if any geographic limitations they have established.
2. Use grant directories to determine their average grant size. If they give out large grants, check to see if they are giving to agencies similar to yours. The large grants they give may be going to organizations the donor has some prior relationship with, or to the most prestigious non-profits in your area. If their average grant to organizations like yours is below the amount you need to initiate a new program, send them a boiler plate proposal. Even if you send a boiler plate proposal, first check out their program priorities. If the dollar level is above your established threshold, send them a complete custom proposal.

3. Call organizations they have given grants to in the past to find out about the decision-making process of the foundation. In particular, it is important to learn whether the staff makes the decisions or if the power lies with the board. Is the foundation staff directed or Board directed? This information can save you time and effort and prevent you from being misled by a staff person who may overstate the likely success of your proposal.

4. If the foundation is staff directed, continue your preparations for the grant application as suggested below.

5. If the foundation is Board directed, treat the foundation as a major donor situation and cultivate the decision makers, being careful not to offend the staff who may feel slighted if you direct all your attention to their superiors.

6. Call the foundation and obtain their latest guidelines and annual report. However, many annual reports and guidelines are vague and general and may not provide any real guidance. In these cases, the written materials are public relations pieces and have little utility to grant seekers.

7. If their documents do not clearly show their interests, call them to learn about their current priorities. If you still cannot discern their priorities, send them a boiler plate proposal.

8. Develop grant ideas based on the average size of their grants, their program priorities and any patterns you can discern about their grant-making process.

9. Call, or better yet, visit them to test whether your ideas meet their current priorities. Use the contact strategies discussed in the previous section.

- Corporate foundation or corporate giving program

1. There often are differences between giving programs, priorities and dollar levels of grants between local operations of a corporation and its national office. Determine the correct application procedures, deadlines and any division of responsibility between the national corporate headquarters and any local facility.

2. Determine whether the dollar level of their giving will meet your need. Corporations tend to make their largest grants to the United Way and other prestigious organizations. If their giving trend is below your dollar threshold level, send them a boiler plate proposal.
If the amount is above the threshold level, send them a complete custom proposal.

3. Keep the previously discussed concept of enlightened self-interest in mind. Try to discern and communicate how your grant request can promote both non-profit and corporate business objectives.

4. Unless you have specific knowledge indicating otherwise, or are submitting a proposal to a very large national corporate foundation, do not submit your most innovative ideas to a corporate foundation.

- **State and Federal grants**

  1. The government grant proposal requires substantial work to prepare. Carefully determine whether the time and effort will be worthwhile.

  2. Analyze the RFP and call the program to obtain necessary information when filling out the grant application and using the YES or NO Decision Matrix.

  3. Call for information if the RFP is unclear. Determine whether the program has a hidden agenda. For example, the government agency may have determined in advance what organizations will receive their grants. If you are confused, it might be wise to skip the present funding cycle. You can then speak to the Program Officials after the awards are made to clarify what they were looking for. With this information, you can write a stronger proposal for the next funding cycle.

  4. Determine whether the dollars in the grant are sufficient to meet your need. State Grants are notorious for underfunding projects.

  5. If feasible, meet with government Program Officials. Non-profit organizations that are near national headquarters of federal programs have a real advantage. Federal Officials can and should be cultivated.

- **National foundations**

  1. Start with the list of the 100 largest foundations in The Foundation Directory, and in descending order check each listing. If, from the description, it appears that they might fund a project you could submit, call or write to obtain their most current written material, including program guidelines and their annual report.

  2. Carefully evaluate the material to determine whether there is some common interest between your program and their funding priorities.

  3. Develop a new idea that you believe might meet their interest or modify an existing program idea to meet their program priorities.
4. Call to ask if they are currently funding projects of the general type that matches your application needs.

   A. If **YES**, ask for the name of an exemplary program. If there is an exemplary program, you should call them. Your objective is to ascertain how to complement what they have done in the past and advance the state of the art.

   B. If **NO, they are not currently funding such projects**, ask if they would consider such a proposal. If **YES, they have interest in the project**, proceed with the proposal. Research what the state of the art is for the program and the adequacy of present efforts to redress the problem. If **NO, they have no interest in the project**, end the process with this foundation and go on to next foundation prospect.

5. Refine the grant idea, taking into account the research you have undertaken.

6. If possible, meet with the potential grantor to determine which, if any, of your grant ideas are appealing to them. There should be two people from your organization at that meeting. One will be the designated presenter and the other the designated listener.

7. Prepare a concept letter or proposal according to their guidelines.

8. Wait to hear from funding source and provide any additional information they may request.
A constant theme of this manual is time management. Time is your most precious resource. You could, if you choose, spend all your time using a single fundraising method. If you have a large fundraising staff, you could dedicate at least one position to each of the various fundraising methods -- grants, major gifts, special events, annual appeals and deferred giving. You could also have one or more people doing research on prospects, and you could assign an individual to maintain your information systems. If you are the only one doing fundraising, you must manage your time effectively. If you are juggling fundraising with other responsibilities, time management is an even greater issue.

For most, fundraising is something you do as an adjunct to other professional activities. Even if fundraising is your major professional pursuit, you are not likely to have significant prior experience as a fundraiser. Two of the most common scenarios for your first forays into fundraising are either special events planning or grant writing. Those with a public relations background or those who first became involved with the organization as a volunteer are most comfortable with, and therefore likely to use, special events. Alternatively, the Executive Director, who has substantial knowledge of the area of service of the agency, will probably be most comfortable writing grant proposals. Either method can easily fill 100% of your time.

Unfortunately, a CAC cannot prosper or survive using only one single fundraising method. Special events are time consuming; they burn out staff and everyone else working on them. They can produce relatively little funds for time expended. Grants are always speculative. For most organizations, there are not enough grant makers that can realistically be considered viable prospects to pursue a grants-only strategy. Most grant makers have geographical requirements. The number of grant-making prospects you will have is dependent on the location of your organization. The message should be clear. You must diversify your methods of fundraising.

What is the right mix of fundraising methods for your organization? It will depend on a number of factors. Some factors are internal and relate to an organization’s strengths and weaknesses. Some factors are external and relate to the attributes of the specific fundraising technique. The fundraising priority-setting mechanism in Chapter 2, Section 1 “Setting Fundraising Priorities,” addresses this issue. In addition, the following strategy is recommended to get the most out of your grant opportunities.

**Plan Ahead**

If you have prepared the standard elements of most grant proposals in advance, your grant-writing task will be much easier. The elements that can be prepared in advance are:

- a brief description of your organization
- resumes or curriculum vitae of key agency personnel
• statistics, charts and graphs on services rendered and populations served
• any statistics documenting prior success
• Board and Committee members and their professional affiliations
• copies of your agency’s IRS determination letter
• quotations or endorsements from satisfied clients
• the operational budget of the agency and audited financial statements (if available)

The availability of this documentation will significantly speed up your ability to produce a proposal. It will be extremely important if, for whatever reason, you need to produce a proposal under a tight deadline.

**Determine a Dollar Amount**

Once you have compiled the documentation above, determine a threshold dollar amount that makes it worthwhile to prepare unique grant proposals. Below this figure, it is not time efficient to prepare distinct and unique proposals. A reasonable threshold level might be $10,000. You could, of course, adjust this figure based on the size of your current budget and the total dollars you need to raise. If your budget is relatively large and you have relatively large dollar needs, you may want to increase the threshold. Since the number of proposals you can produce is somewhat fixed, if larger sums of money are needed, you will need to increase the dollar amount of each proposal. Conversely, if your budget needs are smaller, you can reduce the dollar level.

**Comport Zone**

Undertake some research to create a list of grant prospects. Resources can be very expensive, and few have the several hundred dollars per year needed to obtain and maintain an up-to-date grant information library. However, many public libraries have maintained such resources. Unfortunately, severe budgetary cutbacks are adversely affecting libraries. And they may no longer be able to continue purchasing these resources. In addition to public libraries, there are non-profit resource centers in many communities that may have the needed materials. The last and almost foolproof source consists of local colleges and universities. Their fundraising offices have extensive and up-to-date publications. They are usually quite generous and will often allow non-profit organizations to use their materials. Call them and explain your needs. Most likely they will let you use their grant libraries at a mutually convenient time.
GRANT OPPORTUNITIES -- CREATING A LIST OF PROSPECTS

Use the four sources of grant support to compile your list:

- Private local or regional foundations that make grants within the community
- National foundations
- Local corporations or national corporate foundations
- Government grants

Local or Regional Foundations

Research foundations in the community, state and region.

1. Using The Foundation Directory published by The Foundation Center, look up all foundations in your state and adjoining states to see if they award grants within your community (all the information needed to undertake this analysis is located in this directory).

2. Eliminate all foundations from your list that do not have professional staff. They are not true grant prospects. For an explanation, please review Section 2, "Grant Application Strategies," and the Section 5, “Possible Funding Sources.”

3. Segregate the foundations by the dollar amount of their grants and create two lists. One list will contain those making a significant number of grants over $10,000 (or whatever dollar level you determine as your threshold), and a second list will contain the foundations whose average grant sizes are below this level. For purposes of this manual, the list of $10,000-and-over foundations will be referred to as “custom made grants,” and the list of foundations making grants under $10,000 will be referred to as “boiler plate grants.”

National Foundations

1. Using The Foundation Directory, look up in the Introduction the 100 largest foundations by amount of giving.

2. Look up each of these foundations in the directory to ascertain the following:

- any geographical limitations
• their purpose and activities

List as prospects those foundations awarding grants in your community and whose purpose is compatible with the goals of your agency and/or any grant idea you may have.

Corporate Grant Makers

1. Using both The Foundation Directory and a directory of corporate fundraising (both The Taft Group and The Foundation Center have excellent publications), compile two lists based on the dollar size of grants awarded. One list will be $10,000 and over and the other will be under $10,000. Check to see if they impose any geographic limitation on their giving.

2. Your list will be small since most corporations make grants within a relatively narrow dollar range. Corporate grants of $10,000 or more to a single agency for a single year are relatively rare. It is pointed out in Chapter 5, “Corporate Fundraising,” that grants at the upper limits of the corporate range are often made to the most prestigious organizations in a community.

Government Grants

Unfortunately, there are few resources that provide a comprehensive listing of all government grants. There are just too many federal and state programs to do so. There are, however, grant reporters you can consult. The Federal Grant Reporter regularly publishes which federal grants have funds currently available. You can also consult the Federal Register, which is published daily and is now available on the Internet.

HINT: If you are a novice regarding federal grants, you may wish to speak to other agencies serving similar needs and populations. Ask them who their current funding sources are. They can help identify federal and state grant programs.

Because of the time requirements inherent to securing government grants, apply the YES or NO Decision Matrix discussed in Section 4 before applying for any government grant. If the grant scores the requisite number of points, prepare and submit the proposal.

THE RIGHT MIX

Creating a list of prospects is your first step. Next, you need to determine the right mix of proposals. This depends on the time available, your needs, the dollar size of the grants given by the grant maker, your expertise, the sophistication of your proposal and the priorities of the grant maker.
**Boiler Plate Proposals**

If a particular grant maker's typical award is below the threshold level you established, it is not an effective use of your time to prepare a unique proposal. However, you do not necessarily have to drop these grant makers as prospects. Your best course of action to prepare a basic proposal that can be sent to such grant makers. Thanks to word processors, it is not difficult to compile a standard brief proposal. This proposal should be two to three pages in length and can be modified as needed to meet the requirements of the grant maker. Your case statement can serve as a basis for the boiler plate grant proposal.

How long will it take to prepare a boiler plate proposal? With a preexisting case statement and a word processor, perhaps a day -- less if you write quickly. If you do not have a case statement, you should add another day to this process.

**Using the Boiler Plate Proposal**

You have two options for using your boiler plate grant proposal:

1. You can send the boiler plate proposal to corporations and local foundations on campaign stationery as part of an annual or capital campaign effort. If this is the course of action you decide to follow, it is not necessary to have had extensive contact with the foundation. The assumption is that the visibility and breadth of support for the campaign, in part manifested by the prominent names and affiliations listed on the campaign stationery, will be persuasive to the grant maker.

2. You can also send out boiler plate grant proposals independent of any campaign. You should at least make a phone call to obtain information on the current funding priorities of the grant maker. You can then make minor changes to the proposal to reflect the requirements of the grant maker. Do not spend more than 1 day modifying the proposal.

**Custom Proposals**

Grants above your threshold level warrant a unique proposal drafted to the specific requirements of the grant maker. Tailor each proposal to meet the grant maker's priorities by making a personal visit or phone call.

The time required to produce a comprehensive custom proposal will probably limit you to two to three such proposals per year. Of course, this presumes you have sufficiently qualified prospects in your community to warrant this effort. The investigative phase may take 1 to 2 days, and the preparation of the proposal is entirely dependent on how quickly you can write. However, the entire effort should not take more than 5 days.
**National Foundation Grants**

While the payoff for multi-year and/or multi-$100,000 grants is tremendous, the creative burden is great. You will, in most cases, be required to produce very innovative proposals. This should not discourage you. Great ideas can emanate from any organization, regardless of size or location. Even the smallest agency can generate a creative solution to a problem. To be realistic, you should not pursue more than one or two such grant opportunities per year. The investigation, preparation of the grant concept and the preliminary written inquiry to the foundation will probably require a time expenditure of 2 weeks. Should the national foundation have interest in the concept presented in the preliminary proposal or concept letter, you will be asked to prepare a more extensive submission. The additional time that will be required at this point is time well spent. The foundation has expressed a serious interest in your proposal, and the large potential payoff certainly warrants this effort.

**Government Grants**

Because of the time required to prepare these grants and the considerable strings attached to the funds, you should never prepare a government grant without first using the **YES or NO Decision Matrix**. If the score is high enough, the time you spend is justified.

**Total Time Invested**

If you wish to include grants in your fundraising mix and you follow these suggestions, the chart below can demonstrate the appropriate amount of time to invest.

<table>
<thead>
<tr>
<th>Task</th>
<th>Estimated Time Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation in advance of standard documentation and research on sources</td>
<td>5 to 7 days</td>
</tr>
<tr>
<td>Boiler plate grant without a case statement sent out separately</td>
<td>2 days plus 1 day to modify as necessary</td>
</tr>
<tr>
<td>Boiler plate with a case statement sent out separately</td>
<td>1 day plus 1 day to modify</td>
</tr>
<tr>
<td>Boiler plate sent out as part of a campaign (a campaign presumes the existence of a case statement)</td>
<td>1 day</td>
</tr>
<tr>
<td>Custom grants</td>
<td>5 days per grant = total 10 to 15 days</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>National foundations</td>
<td>10 days to research and prepare an initial written inquiry = total 10 to 20 days</td>
</tr>
</tbody>
</table>

**TOTAL TIME**

**RANGE**

27 to 50 days equals 10% to 20% time commitment
GRANT TO THE FREUD FOUNDATION FOR A GROUP THERAPY PROGRAM
FOR SEXUALLY ABUSED CHILDREN:
El Circulo de los Amigos Program (The Circle of Friends Program)

INTRODUCTION and PROBLEM STATEMENT

The children of our country are beset by a variety of risk factors that make it very difficult for them to develop into healthy mature adults. Among these risks is the sexual violation of children. It has been recently established that sexual abuse of children is far more prevalent than formerly suspected, and the effects are long lasting and insidious. The victim most typically knows the perpetrator of sexual abuse. Perpetrators are often a family member or a friend. Therefore, the mere allegation of abuse can shatter the fabric of a family.

The overwhelming trauma to the child can adversely affect him/her for a lifetime. Children lose their ability to trust and can also lose confidence in themselves. They are at risk of becoming substance abusers and battered women, and in the completion of a vicious cycle, the victim can become an adult perpetrator of abuse.

THE SPECIFIC GRANT REQUEST -- El Circulo de los Amigos Program

The Everytown Children’s Advocacy Center (ECAC) is requesting support from the Freud Foundation for the El Circulo de los Amigos Program -- a group therapy and support program for sexually abused children. These children feel a sense of isolation, shame and humiliation. They frequently believe that no one else has ever experienced what has happened to them. Group therapy can help end their isolation, support them through their trauma and reassure them that they are not alone. The El Circulo de los Amigos program will form small groups of four to eight sexually abused children of the same gender and age for group therapy. All children will have been previously seen by ECAC. There are no other programs in Everytown providing these services. Furthermore, the ECAC therapy program will be available at the most critical time for the child -- soon after his/her outcry for help -- when his/her trauma is most acute.

ECAC has conducted pilot groups that have demonstrated great success. Unfortunately, ECAC does not have the resources to implement a complete group therapy program. This grant will give ECAC the necessary staff resources to conduct support groups on a monthly basis. Because of the nature of the population served, the ECAC staff must be sensitive to issues that might inhibit children from participating in therapy. Therefore, ECAC staff under the El Circulo de los Amigos program will sustain the family as well as the child throughout the therapeutic intervention.

The El Circulo de los Amigos program will complement the individual therapy that the children
receive and can address issues that individual therapy cannot. Group therapy is empowering for those who participate. These children have been stripped of their dignity, and the El Circulo de los Amigos program can help restore it.

We plan to conduct two groups per month, one for boys and the other for girls. Each group will last 6 weeks and will serve four to eight children. We will therefore be able to have seven or eight cycles of group sessions during the project year. The project will start within 6 weeks of the receipt of the grant. This will allow time for the recruitment of children for the first two groups by the ECAC Victim Assistance Coordinator.

**PROGRAM EVALUATION**

ECAC counselors will evaluate each child client after his/her individual therapy visit. We are confident that the group therapy program will be as effective as individual therapy and will have a significant and beneficial effect on the children we serve. Behavior is currently evaluated by a therapist during each child’s initial intake interview. All children will be reevaluated during an individual counseling session following the group therapeutic intervention. Each child will be assessed for the following symptoms of distress:

- Difficulty talking with counselor
- Guilt about the abuse
- Fear of adult perpetrator
- Fear of the system
- Sleep problems/nightmares
- Sense of isolation
- Depression
- Concern about their physical condition

**Assessment Scoring Scale:**

1. No symptoms = 1
2. Mild symptoms = 2
3. Moderate symptoms = 3
4. Severe symptoms = 4

We expect a 50% reduction of symptoms following the group therapy as compared with the initial evaluation. Therefore, the scores of the children on average will decline from a moderate to high degree of symptoms to an average of mild to no symptoms.
## PROJECT BUDGET

<table>
<thead>
<tr>
<th>PERSONNEL</th>
<th>REQUESTED FROM FREUD FOUNDATION</th>
<th>ECAC IN-KIND</th>
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<tbody>
<tr>
<td>Project Director</td>
<td>$1,500</td>
<td>$1,500</td>
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<tr>
<td>1. Overall project coordination</td>
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<td>2. Reporting and administration</td>
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<tr>
<td>Victim Assistance Coordinator</td>
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<tr>
<td>1. Recruitment of group</td>
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<td>2. Liaison to families</td>
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<td>3. Investigator for future reimbursement</td>
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<tr>
<td>Group Therapist</td>
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<td></td>
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<tr>
<td>1. Direct group and related additional individual therapy</td>
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<tr>
<td>2. Provide family support therapy</td>
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## MISCELLANEOUS EXPENSES

| Family support group brochure | $500 | | |
| Office expense | $500 | $500 |
| Space | --- | $500 |

**TOTAL**  
$10,500  
$4,000

**NOTE:** The project budget of the above boiler plate proposal requests $1,500 for the Executive Director, who will serve as Project Director. This is done to capture indirect costs by stating them as a direct project cost. A simple bookkeeping transaction can apportion part of the Executive Director’s salary to the Freud Foundation and the remainder to the organization. This transaction merely reimburses the ECAC for administrative and indirect costs of the grant. We also show in-kind contributions in additional time of the Executive Director and Victim Assistance Coordinator and space and office expenses. Foundations like to see commitment on behalf of the organization to the project.
No magic format can ensure grant writing success. No format can improve a badly conceived project. Any well-organized expository piece of writing should suffice. However, the following format can convey a clear and concise presentation.

**PROBLEM STATEMENT**

The format suggested is one example that has proven successful. Its major advantage is its organization of the proposal. It also creates a logical sequence for your CAC. Proposals should be viewed as a solution to problems or the promotion of an important social objective. You must demonstrate understanding of the dynamics of the particular problem or issue. You must also demonstrate why your proposed idea warrants an investment of funds. The problem must be placed within a broad context. Show the incidence of the problem, the economic cost, the numbers of people affected, or the breadth and depth of its impact. Try to demonstrate the significance of the problem and how an investment in this problem can improve the human condition.

This section of the grant proposal should end in a statement that lays the foundation for your proposed solution. The following lists a series of hypotheses or objectives addressed by the project. Try to provide a detailed explanation of how you intend to achieve that specific objective or the benefits that can accrue if the hypothesis is correct.

**Sample Problem Statement**

“A measure of a society is the manner in which it treats those who do not receive an equitable share of its resources.” While there has been increasing sensitivity to the needs of the disabled and many efforts to redress inequities of treatment, there remains an area of need that has been overlooked. It is estimated that 10% of the population has some physical disability that significantly affects their daily living. Within this group of over 20 million Americans, there are many that could live independently if builders, contractors, and government housing authorities were more sensitive to and considerate of their needs. Consequently, we propose to establish a “Clearinghouse on Housing Information for People with Disabilities.” This clearinghouse would provide architectural and technical information on state-of-the-art construction techniques that exist to facilitate independent living. It is our contention that this effort will have the following benefits:

**Sample Program Objectives**

1. We hypothesize that the clearinghouse can help demonstrate to builders the commercial feasibility of accommodating people with disabilities.

2. We hypothesize a central repository of information will result in increasing the general
awareness of this problem and encourage efforts to redress it.

3. We hypothesize that a center that is capable of disseminating information will serve as an incentive for technological advance in design and construction.

Expansion on Above Objectives

1. We hypothesize that the clearinghouse can help demonstrate to builders the commercial feasibility of accommodating the disabled.

Commercial developers do not realize the size and the commercial significance of the market for accessible housing for people with disabilities. Commercial real estate development is very sensitive to fluctuating market conditions, and it is a field dominated by many small-to-medium-size companies. These companies are unlikely to have the resources, financial strength, or the willingness to risk scarce capital in endeavors in which they are unsure of the economic return. Consequently, the clearinghouse can demonstrate the commercial viability of this market.

2. We hypothesize a central repository of information will be more likely to increase the general awareness of this problem and encourage efforts to redress it.

We will attempt, as stated above, to flesh out our argument and demonstrate the benefits of this project once the objectives are met.

**IMPORTANT HINT:** In a quite serendipitous manner we discovered an additional benefit to this approach beyond proposal clarity and logical flow. Stating our programmatic objectives in a numbered series of hypotheses or objectives first in list form and then later by providing a detailed explanation creates an additional advantage. It enables the funding source to select only one or more of the objectives or hypothesis that interest them. They do not have to buy all the objectives in the proposal. And it makes sense to provide a menu of choices.

**COMFORT ZONE**

Many large private foundations request a brief concept paper as the initial contact. The Problem Statement and Project Objectives as set forth above should suffice. Should the foundation have interest in the concept, they will ask for additional information or a complete proposal.

**METHODOLOGY**

Following the problem statement sets forth your project methodology. This can be done in either narrative form with appropriate subheadings or, particularly for government sources, as a series of tasks and steps such as the following example:
Example:

Task 1: Procedure to develop Training Program on child abuse

Step 1. Needs determination
Step 2. Determination of feasibility of offering courses
Step 3. Instructor selection
Step 4. Preparation of course outline
Step 5. Instructor preparation
Step 6. Offer course

Additional sections of a complete proposal include project evaluation, a strategy to provide for continuation of the project after funding ends (if approved) and a budget.

SUGGESTED FORMAT OUTLINE

- Cover letter
- Abstract (if required)
- Index
- Problem statement/Introduction
- Project objectives/Hypotheses
- Project methodology/Project narrative
- Evaluation
- Strategy for continuation of project after grant support
- Budget
- Appendices: Information about the Organization, Support Letters

The Cover Letter

The cover letter should be brief and should not summarize the basic ideas of your proposal. Including such a summary might encourage a busy grant reviewer to reject your proposal.
without even bothering to read the document that required so much time to compile.
Sample Cover Letter

Date

Mr., Mrs., Ms. ______________________
The ______________ Foundation
Street Address
City, State, and Zip

Dear __________________:

Enclosed please find a proposal to establish a “Group Therapy Program for Abused Children.” Should your foundation have interest in this proposal, we would be delighted to provide more information including a detailed methodology, proposed budget, evaluation methodology, qualifications of project personnel and any other information that you deem necessary.

Sincerely,
The review process for grants will vary from grant maker to grant maker. Only federal grants have a standard review process. Grants from states vary greatly from state to state and program to program. Grant review by private foundations and corporations follows no set procedure. Private grant makers are under no legal obligation to employ any form of due process in their review. They can be completely arbitrary in their decision-making process. This section discusses basic generalizations regarding grant selection. It is important to keep in mind that there will be exceptions to these principles.

**FEDERAL GRANTS**

From the mid-1960s until the mid-1970s, federal grants were the funding mechanisms of choice for most non-profit agencies. With the exception of research support, most agencies and institutions are now more reticent to pursue federal funds. Lengthy red tape and conflicting and contradictory policies have encouraged many agencies to look elsewhere. In addition, federal funds have simply not been available in either the amount or variety that existed in past programs. CACs are quite fortunate that a categorical federal program provides support to CACs through the National Network office.

Reviewers read federal grants are read in their entirety. It is very rare for federal officials themselves to review proposals. Rather, the reviewers are most frequently peers of the applicant agencies. **Peer review** is a method of grant review. This began in the area of biomedical research grants. It now encompasses grant review for most other program areas. It is based on the assumption that non-federal employees will be less biased and have sufficient expertise to evaluate proposals in their respective fields.

Proposals are evaluated and scored by each reviewer according to specific criteria (published in the *Federal Register*). The scores are added together or merged in some fashion to obtain a composite result. A minimum passing score will be predetermined for approved projects. The approved projects are put in rank order, and funds are allocated from the highest-scoring proposal down the list until all funds are allocated. Consequently, there may be proposals that are approved but unfunded since there may not be enough money to fund all approved projects.

Federal grants have detailed requirements. They generally require the following sections to be included in the proposal:

1. **A project abstract**
2. **Introduction** describing the applicant agency and its qualifications
3. **Problem statement** and **needs assessment**
4. **Program objectives**, also called **Anticipated project results**

5. **Methodology**, also called **Plan of operation**

7. **Project personnel**

8. **Budget**

The federal review process is blind. The reviewer cannot contact the applicant to ask for additional information or to clarify ambiguous points. Therefore, your proposal must be complete and stand on its own merit.

**PRIVATE FOUNDATIONS AND CORPORATIONS**

The relatively limited size of foundation staffs and the volume of proposals they receive make it unnecessary and even counterproductive to submit long and comprehensive proposals. Foundations generally want a short concept letter instead of a complete proposal containing all the sections that would be required for a federal grant. Foundations are looking for the following:

1. **The nature of the problem addressed**
2. **The uniqueness of the approach to the problem**
3. **The anticipated impact of the project**
4. **How likely it is that the prospective grantee will achieve the desired results based on:**
   - The feasibility of your proposal
   - Organizational ability to carry out the project
5. **Whether the project will have specific and measurable results**

When the concept letter is submitted, it is not possible for the foundation staff to make a definitive assessment about the ability of the grantee to achieve the desired results. Consequently, if the nature of the problem addressed and the proposed solution arouse their interest, they will ask for a more extensive proposal. They may request a response to some very pointed questions, either in writing or at a meeting with them. This meeting is initiated by them and can take place at their offices or at a site visit to your organization.

**THE GRANTWRITER'S TASK**

The grant writer’s burden is to produce a proposal or a concept letter that is well written and well argued, offering creative solutions to significant problems. One of the best ways to improve
your grant writing skills is to develop an understanding of the decision-making process. Begin to think like a grant maker and not a grant writer. How would you assess a project? What would you look for in a proposal? Four transcending issues that govern the decision-making process:

1. **Dollar resources available to redress problems are finite. There are always competing priorities for limited resources.**

2. **What role should the funding agency play in efforts to redress problems?**

3. **Is the identified problem amenable to change? While it is unrealistic to hope for a total solution, is it reasonable to expect some easing of its adverse effects?**

4. **What is the funding agency’s belief regarding the most effective organization to solve a particular problem and therefore to entrust with their funds?**

1. **Finite resources are available, and competition is intense**

The idea of finite resources and competing priorities is inherent in all public policy decision making. Whether the dollar resources are the funds in the federal budget, the income from a foundation’s endowment, or the funds a corporation allocates from its revenue for charitable purposes, these dollars will never be sufficient to fund all worthwhile projects and worthy organizations.

There simply are not enough dollars available to provide funds for every exemplary proposal that is submitted – and much less for all the remaining proposals that are not exemplary.

2. **What role should the funding source play?**

The second issue relates to the proper role the funding agency should play within society. This is a matter of political, social and economic values. There has been an ongoing debate among politicians, academics, the media and citizens regarding the precise role the federal government should play vis-a-vis the states, local government, the private sector, the non-profit sector and the citizenry. Who should fund medical research, regulate the food we eat, build roads, provide for economic growth, explore space, fight drug abuse and educate our citizens? The answer depends on your particular value system. Whomever is empowered to spend the dollars will decide the precise role they wish to play based on their individual or collective values.

When a foundation establishes policies, it is expressing its judgment on its role within society. Does it wish to promote education, advocacy, free enterprise, mediation, direct services, research, or any other means to ameliorate, if not solve, a particular problem? This choice of means relates to the role the foundation has chosen – a choice of particular subject matter or problem(s). The Robert Wood Johnson Foundation has chosen health care; The Ford Foundation, poverty; The Rockefeller Foundation, agriculture; Kresge, building projects;
Carnegie, education. Recently, some foundations have begun to make grants to promote systemic change. In these cases, the grant maker wants to reform an entire human service system such as the foster care system. These grants are going to state and local government agencies, national organizations and major research universities rather than to community-based non-profit organizations such as CACs.

3. **Is the identified problem amenable to social change?**

For the most part, grants are made in response to acute social problems. Grants to help resolve, or at least ameliorate, social problems reflect the grant maker’s perception of the most promising approaches. The grantor may be conservative in approach and will only fund sound and proven methodologies. In this case, the grantor’s objective would be to spread proven approaches throughout society rather than to develop innovative approaches. Alternatively, a grantor may be looking to fund cutting-edge projects. Many of those projects will be risky and may not achieve the grant’s intended objectives, but if they do succeed, the grant maker will have obtained significant benefits. One of the real advantages CACs have is the existence of the National Network and the Regional Centers. They can help you submit material that is current and informed regarding state-of-the-art CAC services and initiatives.

4. **Who does the grantor believe will be the most effective organization to entrust with foundation funds?**

Grant makers are essentially asking others to do what they would like to see accomplished. The grant recipient, in some sense, becomes a hired hand. The grantor entrusts resources to another organization to engage in works the grantor would like to have carried out. Some grantors have a clear preference for supporting only well-established organizations with lengthy track records. Other grantors will fund new and highly energetic organizations. They will support organizations that have great promise but no real record of achievement. In the extreme case, government and some large foundations have created, with grant funds, new agencies or new organizational arrangements. These new organizations, consortiums, or coalitions are created to redress a specific problem through the grant program.

Grantors may have preference of one type of organization over others. Some prefer national organizations over community-based or community-based over national; medical centers over community hospitals and vice versa; private non-profit organizations over government agencies and vice versa. Some grantors will choose to support individuals as well as organizations.

**GRANT REVIEW CHECKLIST**

The following issues are implicitly and explicitly used to determine how good a proposal is according to the nature, preferences, priorities, prejudices and values of the grant maker. There is no such thing as a good proposal in the abstract. A proposal is only good if the grant reviewer
Who is the intended audience?

How sophisticated are the reviewers and how much time will they likely spend on your proposal? Remember, write to the characteristics of your audience. Are they very sophisticated experts or are they a small foundation with limited program expertise?

What are the expectations of your readers?

Do they have guidelines and established program priorities and clear expectations for the proposals they receive? Are they expecting a Concept Letter or an exhaustive full-blown proposal?

Does the proposed project have national significance or is it meeting essentially local needs?

If resources are finite, some grant makers will not want to waste them on projects of limited importance. They will want to accomplish the greatest good for the greatest number of people.

Will the project increase your knowledge on how to redress a problem, or does it only affirm what you already know?

Some grant makers are interested in the replication and implementation of known techniques. On the other hand, some grant makers seek to expand knowledge, not to affirm that which is already known. A grant you prepare may introduce your community to a proven service that CACs in other communities are using. In this case, you are not breaking new ground, but to a conservative grant maker, this may be the ideal project.

Can the results be easily disseminated?

If you are looking to maximize your investment, you will want the results of the project to spread to other potential users. If it can be replicated, you can multiply the impact of your initial investment. You can prepare a grant for your local community and then use the resources of the National Network and Regional Centers to disseminate the results.

Is the grant consistent with the funding source’s role as they envision it?

Organizations choose a role to play within society. Has the prospective grantee asked the grantor to fulfill a role they are not comfortable with, or is it simply not within their priorities? Are
they being asked to support a discrete small-scale project when they prefer to achieve broad systemic change?

**Is the proposed role of the grantee at variance with the applicant’s historical mission?**

Is the project a departure from the grant recipient’s past role? Is it an evolutionary change or a revolutionary one? If it is revolutionary, do they have the organizational capability to make it work? Or will it be too much of a departure from their original mission? This is a critical issue for CACs. CACs have very specific missions. If a CAC proposes a project that is too great a departure from its core mission, a grant maker will raise legitimate questions about the appropriateness of the project.

**What is the state of the art concerning the problem and the intended solution?**

Some grant makers do not want to fund old technology. They are looking for new and innovative approaches to problems. However, if the proposal is too experimental in nature, the risks of success may be too great. You cannot be too far ahead of public opinion, even expert opinion. As noted, you have the ability to determine the state of the art regarding services and programs through the National Network and the Regional Centers.

**How persuasive is your case?**

Is the proposal logical? Does it flow smoothly, one thought into the next? Does it meet the burden of proof? Assuming the validity of the facts put forth, does it establish the case? Would the proposal persuade a reasonable reader to move forward with your ideas?

**Is it clearly written and easily followed?**

Has the proposal been written in a clear and forthright manner? Or does it have too much jargon and too many convoluted sentences?
Creativity is the heart of any successful grant proposal. Does your idea represent an innovative approach to a social problem? Over the years, patterns in successful grant proposals have been observed that can be used as guides to help create winning proposals. There are 11 such patterns or approaches worth considering:

**Comfort Zone**

We all have a creative self, which some of us have learned to suppress. Children are truly creative. That is, before their inspirations have been forced to conform to adult-imposed tests of reality. In order to feel comfortable, we must let go of our inhibitions. Brainstorming will not work if we go into such sessions with a rigid mindset. We have to give ourselves permission to be silly!! Yes, being silly sets us free. Creativity is greatest when we are not bound by conventionality. Only then can we allow our natural creativity to emerge.

Set a time aside for brainstorming, perhaps on that slow Friday afternoon. Wear informal clothes, a silly hat, tell stupid jokes -- anything that will allow you to temporarily suspend your inhibiting conventions. With inhibitions on hold, you can begin the creative process of seeking inspiration for your grant proposals.

**Grafting**

One of the easiest techniques is using an innovation that has been successful in one field and applying it to another. Techniques that are working in the for-profit sector can also be successfully adapted for use in the non-profit world.

**An example:** Using mentoring, a corporate technique, in a non-profit setting to assist agency clients.

**The Odd Couple**

Various techniques for dispute resolution bring together individuals who are representative of groups that are normally contentious and antagonistic to one another. Such techniques include mediation, arbitration and decriminalization of minor offenses. Another application of this approach is pairing groups that would not be expected to work together, such as intergenerational programs.

**An example:** A grant program created a mediation process for environmental disputes between environmental protection groups and industry.

**An example:** Grant-trained welfare recipients providing care to people with disabilities.
An example: The interdisciplinary team is an “odd couple” approach. The police, child protective workers and prosecutors may represent very different professional training and value systems. This should be highlighted in proposals, particularly the CAC’s ability to get the parties to work together to address their shared mission of responding to the problem of child abuse.

Strength in Unity

It is very difficult to address any problem in a coordinated fashion, but a proposal combining the efforts of two or more organizations has significantly greater appeal than a proposal from a single organization.

An example: Big Brothers and Big Sisters, Family Service Association, Planned Parenthood and a CAC joining together in a teen pregnancy prevention program.

Redeeming the Bad Investment

Grants by their very nature are experimental; some are more innovative than others. While the projects are undertaken with the best of intentions, frequently the goals and the expectations of funding sources are not met. If you can analyze these flawed but noble efforts and suggest in your proposal ways to correct them, you will enable your potential funding source to salvage a poor investment.

An example: A major foundation created continuing education centers at major universities. Rather then engendering a spirit of cooperation among the different schools that comprise these universities, they continued to act as separate entities, squandered resources and duplicated each other’s efforts. An alternative was proposed to house a continuing education center, not in a university, but at a community college.

The Power of a Name

Using terms such as “resource center” and “clearinghouse” has a twofold benefit. First, it causes the prospective grantee to provide a focus for their activities. Second, it has real impact on funding sources. For the grantee, a clearinghouse center will create the impression of a systematic approach, an orderly and efficient endeavor. For the grantor, a center permits limited funds to go a long way. Their investment will be multiplied over and over. The information and technical assistance of the center will be available to other programs throughout the country.

An example: A university sought funds to build a greenhouse, a relatively mundane request. However, by renaming the project to “A Community Center for Environmental Education,” the university increased the project’s attractiveness to funders.

An example: A group therapy program for abused children was entitled “El Circulo de los Amigos -- the Circle of Friends Program.” A difficult concept was made easier to understand.
because of a catchy name.

**Highlighting Unique Attributes**

All organizations, as all people, are unique. What are the characteristics that make your organization different from others? Once identified, they can help establish why your organization is uniquely qualified to solve a social problem. These attributes may be:

- **Size** - a small organization can be responsive and flexible. Conversely, a large organization can be said to have the critical mass necessary to undertake a complex problem
- **Expertise**
- **Resources**

**An example**: A small museum may have the flexibility to bring its programs to the public rather than requiring the public to come to the museum. Traveling exhibits at malls and schools can increase exposure to the museum. A larger and more established institution may not have the flexibility or inclination to popularize its product.

**An example**: CACs have unique attributes including the collaborative approach embodied in the interdisciplinary team and the fact that CACs have a unique mission.

**Selecting the Right Change Agent**

Every non-profit organization, either explicitly or implicitly, seeks to initiate societal change. Social science jargon uses the term "change agents" to describe this aspect of all non-profit missions. Agents of change include:

- **Education**
- **Role Models**
- **Commercial Incentives**
- **Behavior Modification**
- **Advocacy**
- **Role Playing**

Once your organization has identified the problem you wish to address, you then select the most appropriate means to effect this change.

**An example**: One way to address the problem of law enforcement personnel’s insensitivity to victims of rape or abuse would be to include, within the curriculum of police academies’ educational content, material and sensitivity training to increase their awareness of the needs of victims of violent crimes.
The Magic Key

One of the more difficult problems confronting our society is ensuring that all members have equal access, or at least reasonable access, to services and resources. The issue of disenfranchisement has repeatedly arisen in group after group (such as minorities, people with disabilities and veterans). One way to meet the needs of those not receiving their fair share is to suggest some magic key to surmount existing barriers.

**An example:** A mobile van, equipped with medical staff and equipment, is providing routine medical services to the homeless. Rather than wait for emergency treatment, these vans can reach out to address problems before they reach an acute stage. In this case, the van is a magic key.

**An example:** CAC can use videocolposcopy as a magic key to link CACs offering state-of-the-art medical services to physicians in remote areas for on-site diagnostic consultations during the evaluation of sexual abuse. Specially equipped colposcopes are connected through phone lines to permit CAC physicians to see what the physician at the remote site is viewing.

Interdisciplinary and Holistic Approaches

This approach is really two approaches, one being the flip side of the other. The explosion of information has resulted in increasing specialization within our society. The result is that people are seen as separate organs - heart, kidneys, brain. Institutions are viewed from a one-dimensional perspective – as political entities, economic entities and social entities. An interdisciplinary approach, combining separate disciplines, can help ameliorate these problems. Conversely, rather than bringing together several separate disciplines, you can recreate a single Renaissance Man (or Woman). A single individual can be trained so that they have skills and knowledge from several disciplines.

**For example:** An interdisciplinary approach may be required to deal with young substance abusers. The approach may include a team of professionals representing law enforcement, job training, social services and psychological and medical professionals. On the other hand, a holistic approach would be the creation of a new medical specialty: family practitioners. A family practitioner combines the disciplines of internal medicine, pediatrics, psychiatry and obstetrics/gynecology.

**An Example:** CACs represent a holistic approach. This is very attractive to grant makers. It should be emphasized in your grant proposals.

The Model

As previously noted, a foundation or corporation has limited resources. Even the government cannot fund every worthwhile project. Consequently, to increase their effectiveness, they often use their relatively limited resources to create models. These models would presumably be
emulated by other agencies facing similar problems. The model may be a model curriculum, a model service program or a model building structure.

**An example:** Traffic offenses in most jurisdictions are criminal offenses handled in criminal courts. The criminal justice system is overburdened. As a way to relieve pressure, some states and jurisdictions, through the use of grants, decriminalize most traffic offenses and handle them through an administrative law system rather than in criminal courts.

**An example:** A CAC may develop a model in-service training program to provide information and training to day care workers, notoriously underpaid and often underqualified, on how to recognize and report child abuse.

**We Are All in the Same Boat**

Every organization is faced with a variety of problems. Some problems may be unique to that organization. Other problems that agencies face may be representative of problems shared by many other organizations. If you can devise a plausible solution for a shared problem, you develop an important proposal.

**An Example:** Minority populations were underrepresented in a Midwestern hospice. Investigation disclosed that this was a problem common to most hospices. This represented a problem demanding a solution through a grant proposal.

**An example:** Any problem a CAC has might be representative of problems that other CACs may face. For example motivating families to participate in therapy following the initial investigation/examination has been a persistant challenge for CACs across the board. Any program directed to this issue has the potential of helping others in the same predicament.
Your organization has specific strengths that distinguish it from other organizations. This chart is designed to familiarize you with the terminology that can help you show your organization in its best light and improve your opportunities with grantors. It also raises key issues that will assist with the development and assessment of your grant ideas.

### EXAMPLES

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<td>University health science centers</td>
<td>Community hospitals</td>
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</tr>
</tbody>
</table>

### POSITIONING CONCEPTS

- Comprehensive
- Extensive resources
- Holistic
- Research
- National scope
- Specialized expertise
- Easy dissemination of results
- Customer/service oriented
- Responsive and flexible
- Humanistic
- Relevant programming
- Model community oriented
- Interdisciplinary
- Easy replication

### A SERIES OF STRATEGIC QUESTIONS

1. What makes you think your organization is qualified?
2. Isn't THE VERY BIG AGENCY more qualified or appropriate?
3. Isn't your organization TOO BIG and too remote from the community?
4. Is this a project of national significance? Aren't you just serving a local need?
5. Why are you better than others in your field?
6. What is your track record in the field?
7. What is unique about your approach?
8. Are you duplicating the work of other organizations in the community?
9. Can the project be undertaken collaboratively with other organizations?
10. Will the project increase your knowledge about how to redress a problem, or will it only confirm what you already know?
11. Can the results of your project be disseminated easily?
12. Is the grant consistent with the funding source’s role as they envision it?
13. Is the proposed role you will take when implementing the grant consistent with your mission?
14. What is the state of the art with respect to the problem and the intended solution? Is it unique for the nation? Is it unique for the state? Is it unique for your community?
When submitting a grant proposal, you are asking a funding source to make a substantial investment in your organization. In many cases they may not have heard of you before the receipt of your proposal. Because CACs are relatively new organizations, they will probably have a relatively low profile in the community. How, then, do you establish your qualifications and justify an investment of the magnitude you seek?

**BE SUBTLE**

As a rule, the most effective way to establish credibility is to use subtle methods. For example, when setting forth the personnel that will be working on the project and why they are needed, you can increase your credibility by establishing the high quality and credentials of these people. Direct efforts to establish credibility such as letters of support are perceived as self-serving and do not carry much weight.

**Letters of Support**

Contrary to what you might expect, letters of support are not especially helpful. They are perceived by the funding source as what they are -- self-serving testimonials. Even letters from elected officials, such as Congresspeople and US Senators, have little value. Sophisticated grant makers know that such letters are not difficult to obtain and do not represent any real evaluation of the project's merits. However, a letter of support will be required as proof of cooperation when a particular agency or institution's cooperation is needed for the project. A copy of interagency agreements will be clear and convincing proof of cooperation. Most CACs have entered into such agreements.

**Cooperation as a Credibility Strategy**

Even though CACs are relatively small and/or unknown to grant makers, you can gain credibility by demonstrating that CACs represent interagency cooperation in process. In addition, you can undertake the project with other organizations and derive a double benefit.

1. A cooperative approach with two or more participating organizations is very attractive to grant makers. A joint program represents more efficient and effective use of community resources.

2. You will also benefit from an aura or spin-off effect by the association with another and perhaps more prestigious organization.
Enhancing Individual and Organizational Credibility

Most funding sources will acknowledge that their investments, though made to organizations, are investments in people. They trust the capability of the project personnel to attain the grant’s objectives. There are two ways through which individual credibility can be increased:

1. Meetings with foundation program officers. These meetings help shed light on the grant maker's interests and priorities. The meeting can also be an opportunity to develop personal credibility. Because CACs are relatively difficult to explain, a face-to-face meeting with a grant maker can be extremely productive. At these meetings, be prepared to demonstrate your professionalism, competency and mastery of the subject matter.

2. Include participating outside experts with established reputations when compiling your application. A ready source of such people is college and university faculty. Academicians can be retained as consultants, subject to the actual award of the grant, and can provide the following services:
   - project design and refinement
   - evaluation design and actual evaluation
   - ongoing technical services
   - preparation and publication of articles on the project

Outside experts provide valuable and necessary services; in addition, their resumes will greatly increase the level of comfort a grantor will have in your organization’s ability to implement the project.

In addition, as part of their responsibilities under the grant, ask the academician to write an article for publication in a scholarly journal. If this occurs, you derive two benefits:

1. The publication of scholarly articles and books about a funded project is one of the best and most appropriate ways to thank your grantor. Some foundations cite a list of the articles and books published under their grant support in their annual report.

2. If you have writing skills, try to coauthor an article or book with your academic consultant. Such a publication will add to your own credibility, and your resume can list this information along with any speaking engagements that may result.

The Pilot Project

Demonstrating your organizational experience and ability to undertake an ambitious new program without the grantor concluding that you are really seeking support for an existing activity is a persistent challenge. If you have a qualifying project, limited in size, scope and duration, one way to accomplish this difficult task is to characterize previous efforts as pilot programs -- initial efforts undertaken in order to determine the feasibility of a fully operational effort.
This approach represents sound methodology. You would, for example, not undertake survey research without pretesting the survey instrument. Thus, you are on sure methodological footing when establishing that prior experience has provided you with the capacity to undertake the project you propose.

Another benefit of the pilot project may be gaining support for your operational needs—support for what you may already be doing, albeit at a significantly lower level. However, this window of opportunity will not exist if your efforts have been so extensive that they cannot be characterized as a pilot effort.

**Using the Prior Investment of Others**

It is easier for a foundation staff member to justify an investment in an organization that has already been blessed by another foundation through the award of a grant. Many grant makers like to make safe investments. A track record with other funding sources will raise the comfort level of the prospective grantor.

There are natural places to provide this information in the grant proposal. It can be included in the section of the grant on financial resources available for continuation of the project after the grant ends. Even better, it can be included in an appendix that describes your organization and its history.

**HINT**: If you include past grants in an appendix on organizational history, place it in the middle of the page. **Use bold type or bullets to draw the reader's eye to this list.** Past grants will carry far more weight than a boring discourse on when your organization was formed and why.

**Reference Checking**

A funding source interested in your proposal will sometimes undertake an independent investigation into your organization. Letters of support will not be persuasive. Rather, the grantor will choose various sources of information. This may include inquiries directed to past grantees in your geographic area. Consequently, it may be judicious to establish lines of communication with key personnel at organizations that were past grantees of the funding source. Good relations with these people and organizations are prudent and can enhance your funding chances.

**Scan Your Application for Big Clues**

Sometimes you can deduce what is important to funding sources through the information they request. For example, a corporate or private foundation providing more space for a description of the organization than for the project itself tells you something. They probably value organizational stability and track record over creative and innovative programs. Who rather than what is more important to them in making funding decisions.
If the grantor asks for an organization's annual budget rather than for a project budget, you can reasonably conclude that your organization's financial condition and stability may be more important than the project itself.

**Credibility with Government Grant Makers**

The federal government application process can be extremely intimidating. The size of the grant application kit and the incredibly detailed instructions can induce anxiety. You can, however, reduce this anxiety to a manageable level while increasing your chances of success by educating yourself about the review process. One of the most important issues facing you as a prospective federal government grantee is who will be evaluating and rating the proposals. There are two possibilities:

- Peer review by an outside panel of experts
- Review by federal employees

**Peer review**

Peer review originated with grants for biomedical research. It has been expanded to encompass grant review in many other areas. Peer review is based on the assumption that non-federal employees will be less biased and have greater expertise than federal employees.

Peer review works as follows: A team of experts review proposals, evaluating and scoring them separately. Each reviewer scores according to specific published criteria (available in the Federal Register) and the scores are added together or averaged to obtain a composite result. A minimum passing score may be predetermined for a particular project. This is to prevent the funding of substandard projects. The approved projects are put in rank order, and funds are allocated starting from the highest-scoring proposal down the list until all the funds are allocated. Some approved projects may not be funded due to inadequate amounts of overall funding.

There is no way to learn who will be on the panel rating your proposal. Even if you could find out, prior contact with reviewers would be inappropriate. Consequently, credibility cannot be established through personal contact. However, one of the criteria used to evaluate a federal proposal is the quality of key personnel. It may count for 15 to 20 points out of a total of 100. In fact, the evaluation of key personnel may count for more than the allocated points. Reviewers may consciously or unconsciously allow the quality of personnel to affect their scoring in other areas. People who have served as peer reviewers have said that the first section of the proposal they read is the qualifications of key project personnel.

To enhance your chances, particularly if your organization is small, has low visibility, or has not established a reputation in the field, you must include personnel within your project who are visible, known and acknowledged as experts in the field. You can do this in the following...
manner:

**Step 1.** Conduct a literature search or by contacting others in the field to learn which individuals have a national reputation. The various national conferences held on child abuse are good sources for identifying experts in the field.

**Step 2.** Contact one of these people and ask if he/she would serve on the project, should it be funded. Compensation should be agreed on at that time. The person selected should be given a role in the grant such as evaluator, curriculum developer, or resource coordinator.

**Step 3.** You can now include the selected person’s resume in your proposal and refer to key personnel resources in the appropriate narrative sections of the proposal.

**Review by Federal Program Officials**

When the review is not conducted through peer review but rather by federal employees, it is possible to cultivate these officials. Remember, they are public servants. It is a part of their job to be accessible and aid organizations in any way they can. A visit to them can produce important information.

1. They can help you ascertain what they are really looking for in grant projects. (Sometimes there is a hidden agenda that may not be apparent in the published notices and application kit.)

2. A face-to-face meeting can help you establish personal credibility.

3. They can suggest ways to improve the project by referring you to exemplary projects and recognized leaders in the field.

4. They are often willing to review proposals and suggest changes in the project that can improve its quality.

5. They can give you some idea of the numbers of expected applicants, size of awards, and number of awards.

These five points are critical in determining whether you should apply for the grant. The information you receive can guide you in making necessary changes to establish your credibility and improve your chances for success.
DEMYSTIFYING THE EVALUATION

No other area of grant preparation is more perplexing to both the novice and the experienced grant writer as the evaluation section. In order to understand why, it is necessary to go back 30 years or so to the beginning of the Kennedy administration. Prior to 1960, the bulk of federal grant support was for bricks and mortar - concrete projects like highway construction, subsidized housing and hospital construction. These projects, by their very nature, did not call for evaluation, nor was evaluation of the results necessary. Either something was constructed or not. The results were tangible. Anyone could see them. They could not be disputed or subjected to different interpretation.

Most research and demonstration projects the government supported during this era were biomedical in nature. These grant projects were scientific experiments. Evaluation of health research grants followed the rigor of the scientific method.

During the post-World War II era, the social sciences came of age. On college and university campuses, scholarship and writing in economics, political science, sociology and anthropology flourished. Many of the insights from the social science literature became a part of our popular culture. Concepts such as conspicuous consumption, power elite, social stratification, a culture of affluence, and the organization man, were discussed and written about in newspapers, mass-circulation magazines, television and the movies.

The growing public notoriety of social science superstars such as John Kenneth Galbraith, Paul Samuelson, C. Wright Mills, Arthur Schlesinger Jr., and Henry Kissinger, was not reflected in growth in their influence over government policy. While many social scientists were content to publish and teach, others, like those mentioned, thirsted after the opportunity to exercise power in the real world. There was an unbridled energy surging in academic enclaves. These social scientists had identified, studied and written about social ills such as poverty, crime and urban renewal. They were confident that they had the knowledge to address an array of complicated social problems.

They and other young and vigorous academicians came to Washington to be a part of the New Frontier of John F. Kennedy. However, it took his death and the ascendancy of master politician Lyndon Johnson to the presidency, to give full flower to the promise of social science. Richard Nathan, a social scientist and former high-ranking federal official wrote,

“Among Western nations, the United States stands out for the optimistic, almost euphoric, belief on the part of social scientists and many politicians that social science scholarship can be useful in the governmental process. The commitment to this idea had its heyday from the mid-1960s to the mid-1970s. Social scientists were feeling their oats. Economists were prominent in government; they were instrumental in the development of national economic policy and in Lyndon Johnson’s war on poverty. There was a feeling of ebullience about the potential for applied social science in national domestic policy.”

While the optimism that Nathan refers to has faded, its legacy has not. Part of its legacy is the attempt to use federal grant support to solve deeply embedded problems. The problems they tried to solve were problems within our social fabric. The chosen methods were designed to...
follow the scientific model. They concluded that the best way to assess the effectiveness of grant programs was to follow the rigorous protocols of the scientific method.

To illustrate:

A hypothesis is stated (the problem statement of the grant proposal), outcomes are postulated (anticipated project results), and the validation of the hypothesis or its disapproval is the ultimate objective. This objective, to prove or disprove, became the evaluation section.

The irony of all this is the persistence of a century-long and still unresolved debate about whether or not the social sciences are really sciences, such as physics or biology. Federal policy makers have been dedicated to maintaining the appearance of a scientific experiment, as demonstrated through the evaluation requirements they continue to impose on those seeking federal funds.

In recent years, political leaders have been less willing to apply social science to policy making; however, the federal grant format still maintains this allegiance to the scientific method. When political fortunes turn and there is a change of administrations, many former Federal officials become important officials in private and corporate foundations. The influence of these transplanted officials and two decades of evaluation experience has permeated the grant world with the evaluation ethic.

Disappointment with the results of many of the New Frontier and the Great Society's social programs leads politicians to publicly decry efforts to throw money at problems, citing a long list of failed federal programs from the 1960s and 1970s. The disappointing results of these programs, in light of their great promise, parallel the difficulties grant writers face when compiling their evaluation protocols.

PROBLEMS CAUSED BY THE EVALUATION REQUIREMENT

Problems confronting grant writers include:

1. The difficulty in measuring the results of social change
2. The difficulty in finding the criteria to use to measure this change
3. The difficulty in reaching appropriate conclusions of causation
4. The difficulty in conducting a scientific experiment without proper controls
5. The difficulty in reaching conclusions about whether the project is a success if forecasted results do not occur, but the project, nevertheless, produces unanticipated benefits
6. Most importantly, the difficulty of conducting an evaluation as an elaborate social science experiment when faced with limited funds
Most of you will not be carrying out a project under the strict controls of a laboratory setting. Instead, most projects are set within a complex social milieu. Grant makers want, and should receive, feedback to determine whether their dollars were well spent; however, they are often asking questions that are extremely difficult to answer. They are also asking for answers without providing sufficient funds to conduct both the project and the social science experiment/evaluation. It is therefore, difficult to avoid becoming cynical about the evaluation process and the evaluation requirement in your grant proposals.

A PRACTICAL APPROACH TO EVALUATION

Ideally, there exists a direct link between your program objectives and the evaluation scheme. If so, the program objectives should be amenable to measurement. You need to be able to measure your outcomes -- the results of the project. Simply put, how will you know if your project is a success? You cannot abandon your accountability as a grantee because your evaluation protocol cannot possibly meet the rigors of a scientific experiment. You cannot expect a funding source to be content with anecdotal information about whether a project was successful.

THE KEY ISSUE: Choosing the right criteria

The difficulties associated with attempting to alleviate if not solve major social problems creates a paradox for the grant seeker. Your project cannot completely eliminate crime, sexual abuse, substance abuse, illiteracy and/or discrimination. You want your program to be successful, and you want to be able to demonstrate success through the evaluation of your program. You must, therefore, choose the evaluation criteria that will most likely result in the positive outcomes that both the grant seeker and the grant makers are looking to find.

The information you seek on whether or not a program is successful comes down to two questions:

1. **Effectiveness** -- To what extent were your objectives met?

2. **Efficiency** -- How much did you have to spend in order to reach your objectives?

EFFECTIVENESS

How do you measure whether or not you were successful in meeting your objectives? Ask yourself two basic questions:

1. **DID IT GO UP OR DOWN?**

2. **ARE THEY HAPPY?**
Up or Down?

Results can be measured on the basis of whether or not there has been an increase or decrease in the incidence of something. That something can be the number of children who have been abused and the severity of the abuse. The number of people abusing drugs, teenagers who become pregnant, homeless people who find shelter or are fed, visitors to a museum or attendees of plays, adults who have been taught to read and write, school drop outs, schools using our model curriculums, or disabled people who become more independent. All you need to do is state in your evaluation plan that you will compare the relevant numbers established before the start of the project to those numbers gathered afterward.

Remember to use the criteria most likely to provide the kind of result you and the grantor are looking to find.

Sometimes a positive result will show that the incidence of something is going down, such as the number of low birth weight babies. Sometimes a positive result will show something going up, such as the number of the unemployed being retrained and obtaining employment.

Are They Happy?

This question refers to the attitude of the people being served or otherwise affected by the project. Ideally, your project would have a before-and-after measurement component. Concern about the self-esteem of teenagers can be measured by comparing scores obtained before and after the project began. This can be most readily accomplished through a questionnaire. Most questionnaires are really happiness indices asking the respondent to rate something according to a scale.

Evaluation Methodologies

There may be, for a whole host of reasons, difficulties establishing meaningful measurements for certain projects. What then are the alternatives?

1. Two groups with similar characteristics can be compared. One would be the subject group to be experimented with, and the other would be the control group. For example, the rates of pregnancy between two similar groups of teenagers who have been abused can be measured. One group receives the project’s services, the other group does not.

2. If it is not possible to use two similar groups at the same site, a similar group at another site can be considered.

3. Data from the experimental group can be compared to statistical norms, which can be obtained from authoritative sources. Data from the experimental group can be compared to the nationally reported incidence of teenage pregnancy available through the US Department of Health and Human Services.
EFFICIENCY

The second major issue of evaluation pertains to cost. While the issue of effectiveness should be a consideration for the large majority of grants, the issue of efficiency may not be a consideration in every circumstance. For example, in much of grant-supported biomedical research, cost is a secondary issue. This is particularly true when there is a relatively generous appropriation for a given area of research such as cancer research in the mid-1970s.

The Unit-Cost Concept

If, however, cost is an issue, the simplest way to conceptualize cost is to think of yourself as a shopper in a supermarket. Products are priced by, for example, the cost per ounce. Thus, you can easily determine if the giant economy size really is more economical than a smaller size. Simply use the standard of cost per ounce. So, if the 28-ounce size is priced at 14 cents per ounce, you know you save over the 10-ounce version that costs 20 cents per ounce. Using this analogy, you need to establish a unit price for the services you will be providing under the grant you seek.

To further illustrate this point, a simple example follows. If you are seeking support to initiate a counseling program, you can establish the unit cost of counseling by dividing the total cost of the project by the number of clients to be seen.

ILLUSTRATION:

Project cost = $100,000
divided by 100 clients = unit cost of
$1,000 per counseling client

While this may appear overly simplistic, this is a perfectly acceptable method for measuring the efficiency of your efforts under the grant.
**Glossary of Evaluation Terms**

**Treatment**: a new program being tested in a demonstration project grant.

**Impact**: researchers seek to measure the impact of a new program by measuring selected characteristics before and after the demonstration.

**Counterfactual State**: the task of identifying an untreated group to compare with the treatment group.

**Control Group**: the identified untreated group.

**Random Assignment**: process through which participants are assigned, as in a lottery, to either the control group or the treatment group.

**Quasi-Experimental**: demonstration projects that do not use random assignments.

**Comparison Groups**: the group to which the experimental group is compared in quasi-experimental studies. The comparison group may be created using a group similar to the treatment group, but it is located at a different site.

**Simulation or Econometric Group**: the use of statistical techniques on data that has been collected on people similar to those in the treatment group; for example, comparisons of equal income groups.

**Before and After**: when projects are conducted without a control group or a comparison group, the treatment group is observed before and after they have participated in the project.

**Predicting**: whether a tested treatment will work if it is replicated or generalized.

**Dependent Variable**: refers to the outcomes of the tested treatment -- the things to be measured; for example, SAT scores after an enrichment program or infant mortality rates after a maternal and child health demonstration project.

**Independent Variable**: refers to the treatment being tested and the characteristics of the people being tested. This side of the equation does not change as would be expected of the other side, the dependent variable. Thus in the example above, the students in the treatment group and the students in the control group do not change, nor does the nature of the enrichment program -- the treatment group receives change. The only thing that we expect to change is the dependent variable -- their SAT scores.
Budget preparation tends to be a neglected area of grant preparation. It is a tragedy to spend the time and energy to win a grant only to find that poor budget planning impedes your ability to implement the project. Proper budget preparation is not just a matter of filling in the appropriate items on the correct line. Budget issues can become extremely complex. In some cases, you may need the advice of a financial professional.

What are your objectives when preparing the grant budget?

1. Providing your best estimate of the costs of the project.

2. Providing appropriate justification, as requested by the grantor, for each proposed expense.

3. Satisfying the financial requirements established by the grantor.

4. Constructing the budget to obtain maximum financial benefit for your organization.

Each of these objectives is addressed within this Section through the budget checklist and subsequent narrative.

**BUDGET CHECKLIST**

A detailed explanation for each of these points follows the checklist.

__1. Do you have sufficient justification for each expense?

__2. Is each proposed expense permissible under the grantor’s guidelines?

__3. Do the numbers add up correctly?

__4. If matching funds are required, have you shown sufficient financial participation by your organization?

__5. If matching is required, have you shown your participation in a manner most advantageous to your organization?

__6. If matching is not required, have you included it as a matter of strategy?

__7. Is your budget constructed to support an argument for continuation of the program after the grant aid has ended?

__8. Have you applied your indirect cost rates correctly?
___9. If the funding agency does not allow indirect costs, do you have funding for a percentage of time for existing staff to cover your costs?

___10. Does your budget accurately and realistically reflect the way expenditures will occur at the proper rate?

___11. Does your funding source permit shifts between different categories, increasing one while decreasing another?

___12. If you are not permitted to shift categories, are your figures for each category as accurate as possible?

___13. Does your source permit carry-over of unexpended funds?

___14. Regarding a multi-year grant, how certain is funding after the first year?

**Budget Issues**

Set forth below are answers and/or explanations for each of the items listed in the budget checklist:

1. **Justification.** A brief and clear explanation for each proposed expenditure will usually suffice. If the funding source requires additional documentation, they will request it.

2. **Permissible Expenses.** If a foundation indicates in its annual report that it will not provide funds for a category of expense, make note of it and comply. Some foundations have unpublished budget policies. We will learn about them later in the negotiation stage. The W.K. Kellogg Foundation, for example, will not allow any personnel whose positions are funded under the grant to receive any increases in salary during the term of the grant.

3. **Check Your Math.** Many proposals lose credibility through careless arithmetic. Check and double check.

4. **Matching.** Most federal grant proposals require that a portion of the project support be borne by the grantee. This is called “matching funds.” Foundations do not generally require any matching. However, including a grantee share of the costs demonstrates a commitment by the organization that can only enhance the proposal’s appeal.

5. **Advantageous Matching.** Matching can be shown in a number of ways that will not financially burden your organization. For example, you can attribute to your matching share the positions of existing personnel who will be working on the project either in a direct fashion or as overhead. Space, equipment and services provided to the project can also be used as matching contributions to the project.

6. **If Matching is Not Required Have You Shown it Anyway?** While many foundations do not
have specific matching requirements, it is always a good idea to provide matching support. This demonstrates organizational commitment to the project.

7. **Continuation of the Project Following Grant Support.** In many instances, this requirement is crucial in determining whether you will receive the grant you request. The budget is constructed so that it will reinforce your argument to continue the project. This can be accomplished by decreasing the amount requested after the initial year in a multi-year project and by showing increasing organizational or other support.

**Illustration:**

<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funds from XYZ Foundation</td>
<td>$100,000</td>
<td>$150,000</td>
<td>$120,000</td>
<td>$60,000</td>
</tr>
<tr>
<td>Matching Contribution by CAC</td>
<td>$20,000</td>
<td>$35,000</td>
<td>$50,000</td>
<td>$50,000</td>
</tr>
<tr>
<td>Fees from Services</td>
<td>$15,000</td>
<td>$30,000</td>
<td>$70,000</td>
<td>$70,000</td>
</tr>
<tr>
<td><strong>Total Project</strong></td>
<td><strong>$120,000</strong></td>
<td><strong>$200,000</strong></td>
<td><strong>$200,000</strong></td>
<td><strong>$180,000</strong></td>
</tr>
</tbody>
</table>

This example shows, because of startup, that project expenditures in Year 1 are lower than in following years. Expenses peak during Year 2. In Years 3 and 4, increased revenue and organizational matching reduce the investment by the funding source. This budget will support the contention that you have a sound plan to continue the project.

8. **Indirect Cost Calculations.** Federal grants provide funds (foundations and corporations generally do not) for overhead expenses called indirect costs. Overhead expenses include heat, light, space, bookkeeping and general administrative personnel functions. Federal agencies must approve your indirect cost rates prior to and separate from your grant proposal. Indirect rates are percentages. An organization with a 70% indirect cost rate would receive an additional 70 cents for each $1 of support. One exception is that Federal Agencies generally limit indirect costs under training grants to a set figure.

9. **Building In Indirect Costs.** Since most private funding sources will not allow indirect costs, you must list these costs as direct expenses. These costs include the hiring, supervising, managing and reporting required by a project. One way to do so is to request funds for the percentage of time existing personnel will spend on your project. These funds duplicate existing salaries so they can help defray overhead expenses.

**Illustration:**

<table>
<thead>
<tr>
<th>Percentage of Time Requested of</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter Six – Grant Proposals</td>
</tr>
<tr>
<td>Section Seventeen – The Grant Budget</td>
</tr>
</tbody>
</table>
In this case, Ms. Starkweather, who is an existing employee and the CAC Executive Director, will be spending substantial time on the project, especially during the startup period. Compensation for her by the foundation is a reasonable request, and the $12,000 represents funds that are now available to offset overhead.

10. **Rate of Expenditures.** It would be unrealistic to expect that on Day 1 of the funded project all personnel needed to conduct the project will be hired and ready to work. First, the personnel must be recruited. You may not be able to control starting dates of the people you hire. Additionally, and most importantly, a project should have a startup period, a time leading to a fully operational effort. During the startup phase, you will not need all personnel on payroll.

A demonstration of phasing in of project personnel is illustrated below:

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Months</th>
<th>Year 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Director</td>
<td>12</td>
<td>$40,000</td>
</tr>
<tr>
<td>Staff Secretary</td>
<td>12</td>
<td>20,000</td>
</tr>
<tr>
<td>*Assistant Project</td>
<td>9</td>
<td>22,500</td>
</tr>
<tr>
<td>Director</td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Coordinator</td>
<td>6</td>
<td>12,500</td>
</tr>
</tbody>
</table>

* The last two positions represent hires after 3 months and 6 months respectively.

11. **Budget Category Shifts.** When a budget is first submitted, it is only an educated guess as to how money will be spent and allocated for a project that exists only in the imagination of the grant writer. You cannot possibly anticipate exact project budgetary needs with a precision that eliminates the need for eventual adjustments. Consequently, a funding source will permit shifts between categories of expenditure. However, some grantors are more restrictive than others and may not allow certain shifts, such as between personnel and other expense categories. As you conduct your negotiations, ascertain the level of flexibility in this area.
12. **Accuracy of Proposed Expenditures When Shifting Categories is Difficult.** If you cannot easily shift budget categories, you may be in trouble at the end of the budget year when you discover that you have underspent in a certain category. If the source, such as a government grant maker, does not permit carry-over to the next year, you will end up with unexpended funds. In this case, accurate estimates of categorical expenditures are critical.

13. **Carry Over of Funds.** Again, for a whole range of reasons, you may not be able to spend all of your funds within the grant year. Foundations will generally allow unexpended funds to be carried forward to the next project year. Federal grantees cannot carry over funds.

**BUDGET CONSTRUCTION**

The preceding information on budget preparation discusses strategies for budget construction. Specifically, will the amount you are requesting, in the categories you have assigned, accomplish the job? Have you asked for more than you need? Is there a logical and reasonable relationship between the budget, the project objectives and the project methodology?

It is important to master the financial details of your organization or work closely with someone who does. You are not serving your organization’s best interests if you are guessing about what you need to accomplish the proposed project.

**Personnel**

Most projects require staffing new positions created under the grant. Therefore, the logical place to start is the personnel category -- professional, clerical, technical, paraprofessional and other support staff.

**Step 1. Create a list of tasks.**

List all the tasks in the project. Cluster them in some logical fashion so that these clusters of tasks can also work as rough job descriptions.

**Step 2. Match job descriptions to categories of personnel.**

Analyze the rough job descriptions by asking what kind of skills and training will accomplish the enumerated tasks. Can a generalist carry out these tasks? Is specialized education or training required? Do you need a master’s level or a doctoral level counselor? Compensation will vary with the degree of specialization. You will save money by hiring a generalist or providing on-the-job training. The amount you need to hire the personnel will relate to your assessment of what the job requires.
Step 3. Conduct a market survey.

Do a quick-and-dirty market survey. Check with your human resource people or with human resource people at organizations similar to yours. Professional associations often conduct salary surveys on a regional basis. Personnel agencies and classified ads are also useful in getting a handle on appropriate compensation levels. Synthesize this data and develop a reasonable compensation figure for each position supported by the grant.

Consultants

Due to the vagueness in determining who is a consultant, you must be able to justify this category of expenditure. Grant reviewers often flag this category. You must also consider the proper costing out of consultant fees. Do not guess. Every reputable consultant can estimate the time required to accomplish a specific task as described in the grant proposal. Government agencies often limit the per diem of consultants. Learn what that figure is. Foundations may have similar policies. Even if there are no specific limits, what you request should be reasonable and proper. Most large foundations’ primary concern is implementing a successful project. If a $200-an-hour consultant is critical, the grant maker may ask for justification, but they will most likely allow the line item. Grant makers have a solid sense of the difference between a $20-an-hour consultant and a $100-an-hour consultant and they will not ask you to substitute.

Policies regarding the following categories of expenditures vary from source to source. Some sources will not allow for the expenditure of their funds for some of these purposes. Others will treat some as indirect costs (overhead), and these will be subject to their regulations governing indirect costs. For example, under government grants, indirect costs are reimbursed according to a formula. If in doubt, check. Foundations treat as direct costs, in some cases, costs that government agencies consider indirect costs. Find out what policies apply. Any incorrect assumptions that you make may reduce your credibility with the grantor.

Space

If these expenses are permitted under the guidelines of the funding source, you will need to account for office or other space for the new project. Any commercial realtor will tell you the current market costs of leasing. A word of warning -- under multi-year government awards, there is no guarantee of funding beyond the first year. Foundations, while a more secure source for multi-year grants, are not a certainty either. Unsatisfactory progress, declines in their endowment or poor earnings (in the case of corporations) may result in loss of or decline in future funding. Therefore, a multi-year lease would be imprudent under grant support. Other items under this category could include maintenance and utilities. These latter categories are often considered indirect costs, so check with the funding source.

Equipment

There is a legal issue concerning ownership of equipment purchased with grant funds. The
government agency providing the funds owns the equipment purchased under the grant. Therefore, equipment reverts to them at the conclusion of the grant support. Under such grants, an equipment lease may be the better option. Leased equipment is listed as a monthly expense.

**Consumable Supplies**

This category would include paper, paper clips, pens and additional operating supplies. The danger here is that you may omit these expenses or seriously understate them. They may appear trivial, but they add up. The best way to estimate your need is to examine your own expense history in these categories. You can then make a more realistic projection for the grant.

**Postage and Telephone**

Another forgotten, yet potentially expensive category of expenditure is communication through postage and telephone expenses. Some projects will, by their nature, require constant communication with clients. The costs of communications continue to escalate. Two or three letters per client can add up to a significant sum if you have 2000 clients. You must estimate how often and to how many people you will be writing to. In the example above, if you were to request $250 for postage, you would have underestimated your postage needs by $1,550. Installation of business phone lines is expensive and so is the purchase or lease (if you have the option to lease) of business phone systems.

**Printing and Copying**

Will your project require a brochure, direct mail piece or an annual report? Call a printer to find out how much, for example, a 4-, 6-, or 8-panel, two-color printing of 5000 brochures will cost. How much will 20,000 envelopes and letters cost? One of the most frequent mistakes is underestimating of the number of photocopies required. Often, agencies lease or purchase a copying machine that is too small for your day-to-day operational needs. Within 6 months the repairperson will be at your place of business so often that he/she will be mistaken for a regular employee. **Make certain you get equipment suited to your needs!** The cost of copies should also reflect the expense of a maintenance agreement. Do not forget this. Such agreements typically add 1 to 2 cents to each copy.
Writing to the Audience

When the media, particularly television and newspapers, present stories on broad themes or issues, they generally personalize their stories. Their coverage often begins with the experiences of a particular homeless family rather than with abstract generalizations about homelessness. This style is also common with direct mail fundraising, as the mass audience is less knowledgeable about the subject matter and probably will not spend much time reading the mail piece. By personalizing the story, you humanize the issue and make it easier for a broad audience to relate to the writing.

As discussed earlier, developing an ability to write for your audience is essential to successful fundraising. The first step in the process is to ascertain their actual characteristics and/or to make informed judgments about them. The following characteristics should be evaluated:

- **Sophistication (familiarity with the subject matter)**
- **Amount of time to devote to your communication**

These factors can help govern how much to write and the style of your writing. The audience for grant proposals varies greatly in its level of sophistication -- from some of the most distinguished experts in a field to wealthy donors whose affluence and good intentions are greater than their actual knowledge on the subject matter of the proposals they receive. Grant makers will also vary in the time they have to read and review proposals. Government grant reviewers read every word of every proposal. A secretary, who may be the only staff person in a small foundation, may put the proposal in the circular file. Alternatively, he/she may scan the proposal just long enough to be able to type the name and address of the sender on a form letter or postcard rejection notice.

**Level of Sophistication**

Government grant reviewers and the program officers and staff of the largest national foundations have the greatest level of sophistication. The level of expertise of the foundation is usually related to the size of the foundation. The larger the foundation, the more likely it is that the personnel will have a high level of technical expertise in the subject matter of your grant proposal. A **caveat:** There are, of course, relatively small foundations with very narrow and specialized programs (boutique foundations) whose staff tend to have exceptional expertise in their field.

**Time Available to Review Proposals**

The smaller the staff of the foundation, the fewer the amount of resources allocated to the task of proposal review. **The less time the grant maker has to review a proposal, the greater the burden on the grant writer to command their attention.** As noted, only government grant...
reviewers are required to read proposals in their entirety. Therefore, even in the largest foundations, there remains the possibility that if your proposal is too long or too boring to read, it will not be read in its entirety.

When a foundation has no professional staff, it is reasonable to assume that they do not have the resources to read the volume of unsolicited proposals they receive. It is most likely that they will not read them. Small foundations and even some larger ones (by dollar assets) with no staff should be treated as major gift opportunities. They should be cultivated as you would cultivate any wealthy donor. In these cases, the foundation is really only the financial mechanism the wealthy donor uses to honor his/her philanthropic commitments. Small foundations without staff will often refuse to review unsolicited proposals.

**FUNDING SOURCES AND THE REVIEW PROCESS**

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Expertise Level</th>
<th>Review Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government</td>
<td>Highest</td>
<td>Every proposal will be read</td>
</tr>
<tr>
<td>Large foundations with large staffs</td>
<td>Very high to the highest</td>
<td>Enough resources to read short concept letters</td>
</tr>
<tr>
<td>Boutique foundations</td>
<td>Very high within narrow area of their interest</td>
<td>Limited -- must establish quickly that proposal is within their area of interest</td>
</tr>
<tr>
<td>Small foundations with staff</td>
<td>Moderate depending on the staff</td>
<td>Very limited</td>
</tr>
<tr>
<td>Foundations with no staff</td>
<td>Likely to have limited expertise</td>
<td>Assume no time</td>
</tr>
</tbody>
</table>

**WRITING STYLE CHECKLIST**

Your writing style should follow these general guidelines:

___ The lower the expertise of the reader, the more user friendly your style should be; eliminate jargon and acronyms and be selective with your use of statistics.

___ The lower the expertise of the reader, the more you should try to humanize the problem.

___ The less time available, the briefer and tighter the proposal should be.

___ The greater the expertise, the more likely the anecdotal humanizing style will be considered inappropriate.
The greater the expertise, the less emotional and more reasoned the style. The more detailed the instructions, (such as those in government grants) the less style matters.

Checklist of the Audience Characteristics

- Are the readers alike, or are they a mixed group?
- What do they already know about the topic?
- What do they need to know?
- What are their likely attitudes toward the subject matter?
- What is the psychological and physical context within which the new information will be received?
- What terminology will be acceptable?
- Have you used devices of organization and layout (headlines, underlining, italics, charts and bolding) to help readers find the parts of the document essential to their purposes?
- What is the span of attention of the audience?
- What is the proper rate of unloading information? (If too fast, they cannot follow it; if too slow, they will become bored.)
- What are the expertise and intellectual qualities of the reader?

A Step-by-Step Guide to Writing the Proposal

**Step 1.** Analyze your objectives. In grant writing, your primary objective is to persuade and to inform your audience.

**Step 2.** Consider your audience, their level of expertise and the time they have to read your proposal.

**Step 3.** Make a plan, type or write out an outline, and begin to put thoughts under each heading.
If you have difficulty writing or getting started, ask someone to listen to you talk out your proposal. Talking about it may help generate the creative process. Write down the particularly good ideas and thoughts after you voice them. Another way to overcome writer's block is to put up large sheets of papers in the room and put headings corresponding to the various sections of the proposal. Write random ideas and sentences, even fragments of sentences under the appropriate heading. After a while, the paper will be filled. Then arrange them so that the proposal will take the proper shape.

**Step 4.** Draft a synopsis that will help put the random thoughts into a logical order.

**Step 5.** Draft your text.

**Step 6.** Put your draft aside and forget about it for a day or two -- or even a week. You will then be able to look at it with a fresh perspective and approach it with objectivity.

**Step 7.** Revise and edit.

**Step 8.** Have it reviewed by as many people as possible. Make certain they know their precise role in the reviewing process. For example, checking grammar and spelling or checking for clarity or content. This can avoid heated arguments with coworkers, friends and others whom you have asked to review your proposal. Remember, if you have prepared the proposal according to the principles set forth in this manual, you will have superior knowledge of the grant maker's priorities. Therefore, suggestions by well-meaning people on the substantive aspects of the proposal should not be given the weight you might otherwise give it.

**Step 9.** Once your reviewers have offered their final input, make any necessary revisions.
As discussed earlier in the manual, persuasive grant writing and grant review can also be thought of as policy analysis. The audience for the grants you submit is primarily policy makers. They make policy by allocating resources, in the form of grants of money, to grantees with the goal of redressing some problem within society or promoting some particular value. The selection process depends greatly on the values and opinions of the grant maker. Values and opinions can overshadow even technical and scientific knowledge.

When you set forth a proposed policy in the form of a grant proposal, the arguments you make are not offered as scientific proof. Scientific proof follows a formalized system of axioms and rules of inference. In grant writing, you are making arguments that originate from opinions and values. You make logical inferences but not in a rigid deductive manner. The arguments made in grant proposals can encompass:

- a new approach to drug treatment
- the allocation of funds in support of regional theater
- a demonstration of the merits of a particular artist and how an exhibition of their work would benefit society
- a program for health benefits for the unemployed
- the easing of problems associated with teenage pregnancy
- a systematic way to deal with the problem of child abuse

The grant proposal is not designed to convince everyone. The proposal is directed to a particular audience, and its objective is not to obtain intellectual agreement, but rather to elicit action. Since the arguments you make are not formal proofs in a scientific sense, there is no single or correct way to construct your case. You are free to select evidence from a wide array of information in order to support your points. You are an advocate, and your responsibility is to make the strongest argument you can, even if this means being selective in the facts you choose to present. Congresspeople, cabinet officers and even presidents show no reticence in selecting only those facts that provide evidence of the merits of their particular policy choice. There is nothing intrinsically wrong with selecting the combination of facts and methods that seem most appropriate in your efforts to convince a particular audience -- in this case, the grant maker.

**A WARNING:** A very important function of policy making and policy deliberation is determining that a problem exists. In the 1950s, poverty was a very minor issue in the American public’s consciousness. By the 1960s, though the rate of poverty had not significantly changed; it became a major subject of policy debate and action. For most of the past century, concern about the environment was very limited. Beyond the establishment of a national park system, there was very little governmental action or even recognition of the need to act. Thus, many
current public policy issues were not regarded as issues 100 years ago or even 2 to 3 decades ago. A new idea, either the identification of a problem or a new approach to a problem, confronts institutional and intellectual inertia. Therefore, ideas that are consistent with current policies have a considerable advantage over new and therefore unconventional ideas.

A period of public advocacy is generally needed to persuade decision makers that they should support major policy innovations. As favorable evidence accumulates, both the problem and the proposed solution attain some legitimacy. The recent history of such problems as AIDS and homelessness are two examples of problems requiring sustained public advocacy before conventional funding sources made substantial commitments in these areas. The CAC movement will forever be indebted to Congressman Bud Kramer who advocated on behalf of CACs and established national support for the CAC program.

You cannot be too far ahead of your audience. Your creativity must be within the limits of the funding source’s comfort level. To cite an extreme example, decriminalization of certain drug use is in its earliest stages of public debate and advocacy. It is far too early to expect any government entity to consider seriously a proposal legalizing drug use.

FORMS OF ARGUMENT

Policy analysis starts with plausible premises and shifting viewpoints, not with indisputable principles or hard facts. Your burden is to make persuasive arguments that will be plausible to the grant reviewer.

Private Foundations and Corporations

Use a system of deductive logic in the proposals you send to private foundations and corporations. For example:

- **Major premise**: All men are mortals.
- **Minor premise**: Socrates is a man.
- **Conclusion**: Socrates is mortal.

If you have done your research into the programs and priorities of the foundation to which you are applying, the major premise you set forth will reflect the foundation’s values and assumptions about how to redress the social problem. They will concur with the major premise, and if you put forth a plausible minor premise, they will, by the laws of logic, agree with your conclusion. An example:

- **Major premise**: Everyone is entitled to receive quality health care services.

Many foundations, both major and lesser, agree with this premise. You need not beat them over the heads with any proof. They already agree with it. This principle is cited over and over in their literature.
Minor premise: Rural areas do not have adequate resources, and people living there do not have ready access to quality health care services.

This is both a plausible argument and a valid minor premise. If the funding source agrees with it, they will be compelled to concur with your conclusion.

Conclusion: Projects are required which will increase medical resources in rural areas so residents have access to quality health care.

The grant officer, at a minimum, will agree with your argument. Whether or not he/she chooses to make a grant to you will depend on many other factors. However, by using this type of logic, you make a valid argument for funding.

Government grants

When writing government grants, inductive logic can be extremely effective. Inductive logic is a scientific method through which you set forth a hypothesis and then, by observation in a controlled setting, determine its validity.

Through the RFP, the government is really setting forth a hypothesis as to how to address an important issue. If you want the grant, you are not at liberty to dispute the approach they ask prospective grantees to follow. Their assessment of your grant will be based on:

1. The proof you assemble by your own observation. This is demonstrated through the statistics set forth in the section on the need for the project. The proof of need is really a confirmation of the grantee’s hypothesis.

2. The remainder of the proposal will demonstrate, through the proposed methodology and qualifications of personnel on the project, your competency to demonstrate the validity of their hypothesis. The evaluation section will confirm or deny the validity of your approach.

Definitions

So that you can understand your task more clearly, it is helpful to define a few terms:

Argument: The link between the data and information and your overall conclusions.

The structure of an argument includes both factual statements and subjective evaluation. There will be statistical inferences, correlation, assertions of causation, references to expert opinion, estimates of benefits and costs, and analogies.

Evidence: The selective use of information used at specific points to persuade an audience of the truth or falsity of a statement.
If you select the wrong information, place it at the wrong point in an argument, or choose a style of presentation that is inappropriate for your audience, you can destroy the effectiveness of your evidence. Evidence is subjective. Facts are objective and can be evaluated empirically. Evidence must be evaluated according to the particular situation, including:

- the audience
- the prevailing rules of evidence
- the credibility of the presenter
- the nature of the case

GRANT APPLICATION AS POLICY MAKING

The grant application process can basically be viewed as policy making with the following distinct characteristics:

- The audience. The audience (the grant makers) consists of policy makers with varying degrees of sophistication and expertise. Their objective is to solve problems, increase their professional stature and increase the visibility of their organization.

- The prevailing rules of evidence. The grant is not a legal argument subject to rules of legal evidence such as hearsay, the best evidence rule or parole evidence. Unless you are writing a research grant, it will not be subject to the rules of scientific proof. You have much greater flexibility in what you can produce as evidence.

- The credibility of the presenter. The prospective grantee is essentially a policy adviser. Advisers are not all created equal. Some are regarded as experts whose evidence will carry greater weight than others.

- The nature of the case. Appropriate evidence will vary according to the subject matter of the grant. As noted, in research grants the standard is much higher. In cases addressing social problems such as crime, knowledge of causation is speculative and imprecise, so your latitude is much greater.

SKILLS OF THE GRANTWRITER

One of the great fallacies in our perception of policy making is that the process is technical, scientific and impartial. Policy makers are presumed to be nonpartisan problem-solvers weighing all the alternatives and evaluating their consequences by means of mathematical models. The reality is that the Policy Analyst and the grant writer are producers of policy arguments. Grant writers have more in common with lawyers and specialists in legal arguments than they do with scientists. The skills of the grant writer include the following:

- ability to examine assumptions in a critical manner
- ability to produce and evaluate evidence
Checklist to improve your skills of persuasion

___ Don’t be constrained by contradictory facts; select those supporting your case.

___ Remember, there is no one correct course of action when writing demonstration grants.

___ You can criticize existing methods and approaches as inadequate.

___ Do not feel constrained from drawing evidence from many different sources including:

- expert opinion
- public opinion
- data
- analogy
- inference
Effective grant writing has two important qualities. The first relates to the content of your idea and its appeal to the funding source. The second relates to your ability to communicate clearly and concisely. Many books on grant writing tend to overlook this second factor. They emphasize format above all other considerations. This is a mistake. Consider that the grant reviewer is likely to have hundreds of proposals cross his/her desk in a single year. You must get his/her attention quickly. Once you have his/her attention; you must communicate clearly. Writing is a process of display. Some writers develop a style that is designed to impress rather than to communicate. This style will not work well in a grant application. Simplicity is often superior to sophistication. Studies demonstrate that if writing is clear and simple, not only will the reader find it more pleasant to read, but it also gives the impression that the writer is organized and competent.

Writing has Many Objectives

- to describe
- to reject
- to recommend
- to provoke
- to specify
- to persuade
- to instruct
- to apologize
- to explain
- to evaluate
- to protest
- to analyze

You must be clear about your specific objectives when writing your grant or any other writing related to your fundraising campaign.

Policy makers in the mid-1970s discovered the virtues of writing clearly. They asserted that many documents were so poorly written that they were incomprehensible. Life insurance policies, tax forms, contracts and leases were full of jargon, excess verbiage and convoluted structure. In response, the movement to write in plain English began. The IRS and other government agencies hired consultants to redesign their documents. Laws were passed requiring certain consumer documents to be written so that people with minimal education could understand them. Applied research results from this movement are useful to any writer. These results can serve as constructive guidelines.

PRINCIPLES OF CLEAR WRITING

Readability

There are a number of ways to measure the readability of your writing. The most frequently used scale considers both sentence length and the number of syllables in the words. The ideal sentence should contain between 10 and 17 words. If too many words with three or more syllables are used, the reader loses interest. There are several formulas to assess your writing’s readability; a very simple one is the Gunning Fog Index.

Gunning Fox Index Steps to Calculate Readability
1. **Find the average number of words per sentence.** Use a sample of at least 100 words. Divide the total number of words by the number of sentences. Independent clauses count as individual sentences. Dates and other number combinations count as one word. This gives you the average sentence length.

2. **Count the number of words of three syllables or more per 100 words.** Do not count: (a) words that are capitalized, (b) combinations of short easy words like “bookkeeper,” (C) verbs that are made into three syllables by adding “ed” or “es,” like “created” or “trespasses,” (d) polysyllabic words that begin a sentence. Divide this count by the passage length (total number of words) to obtain the percentage of long words.

3. **Add the two factors above and multiply by 0.4.** This reveals the Fog index. It corresponds roughly with the number of years of schooling a person would require to read a passage with ease and understanding. Ignore digits that follow the decimal point.

4. **Check your result against this scale:**

   - 5      Fairly easy
   - 7-8    Standard
   - 9-11   Fairly difficult
   - 12-15  Difficult
   - 17+    Very difficult

The Fog Index is relative. No result is right or wrong. For example, *Time* and *Business Week* are about an 11. Most bestsellers range between 8 and 10.

**Hint:** The Fog Index can be used in reverse. Evaluate the writing of the audience you are writing to. You more than likely have not met this audience and it is important that you communicate with them on their level. You could try figuring the Fog Index on their publications and try to match that level.

**Writing Hints**

1. **Put sentences and paragraphs into a logical sequence** – a sequence allowing the reader to follow the relationship between ideas and information in your document.
   - put information in time sequence
   - discuss the general before the specific
   - organize by topic or related ideas

2. **In a long document, give a summary of the main ideas of the text.** A summary makes it easier for readers to grasp new concepts. **Warning:** In short grant proposals, a summary can be counterproductive. The reader might read the summary and then skip the main proposal.

3. **Use informative headings.** Well-written headings can:
• announce and clarify the nature of the information contained in the text
• display the organization of the document
• mark the location of particular content

4. **Use the active voice.** The active voice establishes the sequence of who did what to whom. It also increases the pace of the prose. The subject comes first when writing in the active voice -- it is the agent or doer.

   The student fills out the form.

In passive sentences the sequence is reversed:

   The form will be filled out by the student.

The passive voice has three features:

   A. a form of the verb “to be” (is, are, been, is being, has been)
   B. a past participle of the main verb (given, shown, sent, filled, received)
   C. the preposition “by” and the doer or agent of the action (“by” phrase)

Using the passive voice often results in writing that is stilted or patronizing and can unintentionally insult your reader.

5. **Avoid jargon and choose words with care.** Jargon is the specialized language of a profession or trade. If the grant reviewer is an expert in your field, these terms will be familiar. If, however, the reader is not an expert, replace jargon with more basic and familiar writing. You can also provide an explanation of a term with parentheses or dashes. Do not be condescending. Try to avoid faddish words like interface.

6. **Do not use extra words.** Avoid such constructions as “due to the fact that” when you can use “because.” Use “now” rather than “at the present time.” Other examples of redundancy are:

   personal opinion  each and every
   positive benefits  one and only

7. **Write sentences in a logical order.** When you break up a sentence with parenthetical remarks, additions and exceptions, the reader may have a difficult time following your point.

   The sentence:

   **You should** before June 20, 1990 take to Fixit Center at 19 Oak Street the VCR for cleaning and repair.
Can be reworded as follows:

Before June 20, 1990, please take the VCR for cleaning and repair at Fixit Center, at 19 Oak Street.

8. **When discussing several items, use lists.** When discussing a sequence of action, items in a category or a topic with several components, it will be easier to follow if you use lists. Make certain that your lists use a parallel construction. For example, each item should be written in the same tense.

9. **Avoid noun strings.** When several nouns are used in succession, the reader may have trouble following your point.

   You must prepare a group technical consumer report that includes an executive summary.

It may take extra words to rewrite this sentence, but it will increase reader comprehension if you do:

   Please advise your group to prepare a technical report for consumers and remember to include an executive summary.
Appendix A