

**NASFAA
College Goal Sunday**

Resource Development Tool Kit



FIRST EDITION

Winter 2006

Published 2006
National Association of Student Financial Aid Administrators
Washington, DC

Developed by
Capital Development Strategies
Arlington, VA

TABLE OF CONTENTS

INTRODUCTION.....	1
Sponsor acknowledgement.....	1
Lumina Foundation	1
History of College Goal Sunday	1
NASFAA	2
Content Development.....	2
HOW TO USE THIS RESOURCE	3
Questions/Comments?.....	3
Section 1 - FUNDRAISING BASICS.....	4
Fundamentals – Process, Plan, Prospects and People.....	4
Process – Essential elements – What do you need to be successful?.....	4
Process – How Fundraising Works	4
Section 2 - ORGANIZING THE OVERALL EFFORT.....	6
Setting up a Fundraising Working Group	6
Fundraising Working Group Job description.....	7
Section 3 - CREATE A CAMPAIGN – Setting Up Your Fundraising Program.....	9
Using the Create A Campaign Steps for a Fundraising Program	9
Section 4 - DEVELOPING A FUNDRAISING PLAN	10
Components of a Good Fundraising Plan	10
Setting Annual Fundraising Goals and A Budget.....	10
Identifying sources of revenue	11
Suggested Tactics for Securing Funding from Target Groups	12
Establishing a timeline, set of accountabilities, making staff and volunteer assignments	13
Annual schedule of solicitations and other initiatives	13
Assignments – Establishing Who’s Responsible	13
Gift Acceptance Policies and Sponsorship Guidelines	14
Learning as You Go - Evaluating your Fundraising	14
Review by FWG and staff	15
Section 5 - PROSPECTING – Identifying and Engaging Potential Supporters	16
Identifying potential donors, sponsors and partners	16
Prospect research.....	16
Methods of Prospect Identification and Engagement	18
Comments on various prospect groups	19
Corporate foundations and corporate marketing	19
Charitable foundations	19
Service Clubs and Organizations	19
Prospect engagement and cultivation	20
Section 6 - DEVELOPING YOUR CASE FOR SUPPORT.....	22
Creating your message	22
Collateral materials to support fundraising – “The Packet”	23
Section 7 - SOLICITATIONS	26
Preparing for a solicitation meeting.....	26
Strategy development	26
Setting ask amounts – How much is enough?.....	27
The steps in an effective solicitation meeting	27
Following up after the request is made	28
Other Resources related to Solicitations.....	29
Checklists.....	29

Sample Solicitation Phrases – “How do you say that?”	30
Section 8 - GRANTS	32
Assessing the role for foundations	32
Developing an effective grant program	32
Using Common Grant Application Forms.....	32
Using grantwriters	33
Section 9 - SPONSORSHIPS	35
Example of the Sponsorship Process	35
The Lumina Foundation Sponsorship Guidelines	38
Section 10 - ADVANCED TOPICS	40
Special events	40
Using fundraising or development consultants	41
Section 11 - RESOURCES	43
Places on the Internet to find helpful information	43
Useful Facilities and Organizations	43
Publications and Books	44
APPENDICES	i
Create a Campaign Template	ii
Fundraising Plan Formats – SAMPLE ONE – Simple use of a spreadsheet or table	iv
Fundraising Plan Formats – SAMPLE TWO – Comprehensive Plan with Strategies, Calendar and Goals	v
Fundraising Plan Formats – SAMPLE THREE – Narrative with goals and strategies	vi
Fundraising Plan Formats – SAMPLE FOUR – Narrative with Goals and Strategies	vii
Fundraising Plan Formats – SAMPLE FIVE – Chart style with staff assignments and goals, including a report.....	viii
Common Grant Application Outline.....	ix
Common Grant Application Format User’s Guide	xii
Prospect Development Tool.....	xix
Sample Letter – Invitation to a Business.....	xxii
Sample Letter – Letter of Inquiry to a Foundation.....	xxiii
Sample Pledge Form.....	xxvi
Sample Acknowledgement Letter	xxvii

INTRODUCTION

Welcome to the College Goal Sunday Fundraising Toolkit.

Sponsor acknowledgement

Lumina Foundation

Lumina Foundation for Education, an Indianapolis-based, private, independent foundation, strives to help people achieve their potential by expanding access and success in education beyond high school.

Through grants for research, innovation, communication, and evaluation, as well as policy education and leadership development, Lumina Foundation addresses issues that affect access and educational attainment among all students, particularly underserved student groups, including adult learners.

The Foundation bases its mission on the belief that postsecondary education remains one of the most beneficial investments that individuals can make in themselves and that society can make in its people. For more details on the Foundation, visit its Web site at www.luminafoundation.org.

History of College Goal Sunday

College Goal Sunday began in Indiana in 1989 as a joint project of the Indiana Student Financial Aid Association (ISFAA) and the State Student Assistance Commission of Indiana (SSACI), with funding from Lilly Endowment, Inc.

Like most successful projects, it was designed to meet a specific need. Research had shown that Indiana families often cited high cost as the main barrier to college attendance, even though tens of millions of dollars in various forms of financial aid were available to Indiana students. Too many families — particularly those of color, low income and no tradition of pursuing an education beyond high school — simply were not applying for those funds.

It was clear that the mere availability of funds wasn't enough to push these students over the threshold to higher education. These students and their families needed two more things: First, they needed to receive more information through a variety of channels about the availability of financial aid; second, they needed expert assistance in filling out the paperwork required to qualify for that aid.

A two-part strategy was devised to address the problem. First, ISFAA members, who primarily staff college financial aid offices throughout the state, volunteered their expertise on one particular day of the year. On College Goal Sunday (traditionally, a week or two after Super Bowl Sunday), these professionals would fan out to selected community sites in Indiana to help families complete the Free Application for Federal Student Aid (FAFSA), the universally required financial aid application.

Second, as a prelude to College Goal Sunday, the group implemented an extensive public information campaign to reach low-income Indiana residents. The campaign used the news media, direct mail and celebrity appearances at key high schools to inform the public about the importance of an education beyond high school, the availability of financial aid, and the existence of College Goal Sunday to help them complete the FAFSA.

Over time, College Goal Sunday has attracted a number of important and loyal allies in Indiana, including the Indiana Career and Postsecondary Advancement Center (ICPAC), the Twenty-first Century Scholars Program and former National Football League standout Bill Brooks, who

volunteered his personal endorsement for the first College Goal Sunday and remains the program's faithful celebrity spokesman.

College Goal Sunday also has garnered generous financial support beyond that of Lilly Endowment. For several years, USA Group (then the nation's largest guarantor and administrator of student loans) and its affiliates co-funded the program with the Endowment. Also, employees of USA Group and its philanthropic division, USA Group Foundation, served as College Goal Sunday volunteers. In addition, the Foundation provided matching grants to replicate the College Goal Sunday program in Arizona in 1997, in Kansas in 1999, in Kentucky in 2001, and in the Washington, DC/Baltimore area and California in 2002.

Since 2001, Lumina Foundation has provided funds and the model to help establish College Goal Sunday in other states. We lead this effort with the encouragement of ISFAA because College Goal Sunday works. In the past 14 years, the program has assisted more than 60,000 Indiana residents. The event has more than tripled its reach from 10 sites statewide the first year to 34 sites in 29 Indiana cities and towns in 2003.

In 2004, NASFAA was awarded a grant to manage the College Goal Sunday program that served 20,000 students and families in 2003. It is projected that College Goal Sunday programs will increase in number of sites and will serve more than 100,000 students and families by 2007.

NASFAA

The National Association of Student Financial Aid Administrators (NASFAA)

NASFAA is a nonprofit membership organization that represents more than 11,000 financial aid professionals at nearly 3,000 colleges, universities, and career schools across the country. Based in Washington, D.C., NASFAA is the only national association with a primary focus on student aid legislation, regulatory analysis, and training for financial aid administrators. Each year, members help more than 8 million students receive funding for postsecondary education. In addition to its Member Web site at www.NASFAA.org, the Association offers a Web site with financial aid information for parents and students at www.StudentAid.org.

Content Development

Capital Development Strategies

Founded in 2000, Capital Development Strategies supports nonprofit organizations by providing experienced perspective, expertise, personalized training and strategic guidance. We tailor our work to the distinctive needs, capabilities, opportunities, and challenges of our individual clients. The result is a vibrant, sustainable resource development program, increasing the client's capacity to serve the community and accomplish its mission. The firm is a proud member of the Association of Philanthropic Counsel, and its staff members belong to the Association of Fundraising Professionals.

HOW TO USE THIS RESOURCE

- This toolkit is designed to be read either from cover to cover or you can go directly to sections to apply to your particular situation.
- Use this resource when you're recruiting volunteers. Share with them a copy of this toolkit to demonstrate to them that you're organized. It will help these volunteers to know they will be provided with resources and training so that they can be successful in their tasks.
- Do not use this guide all by itself. Your fundraising program should be linked and integrated with your marketing plans, your volunteer recruitment efforts and your implementation plans. Fundraising does not happen in a vacuum. It's part of the ongoing life of your program.



Look for this symbol, which indicates samples you can use right from this toolkit or that you can easily adapt for your own program.



Look for this graphic to indicate step by step instructions on how to undertake certain tasks or initiatives.

Questions/Comments?

We are eager to make this toolkit a resource that will help your state College Goal Sunday program to succeed. If there are components you would like to see added to future editions, please let us know.

For questions on this resources and how it might apply to your situation, call the national office of College Goal Sunday:

Marcia E. Weston
Director of College Goal Sunday Operations
National Association of Student Financial Aid Administrators NASFAA
1129 20th Street, N.W., Suite 400
Washington, DC 20036-3453
(202) 785-0453, ext. 111
(202) 785-1487 (fax)
westonm@nasfaa.org

Section 1 - FUNDRAISING BASICS

Let's all get on the same page!

There are indeed basic elements and concepts that form the foundation of effective fundraising and resource development. There are right ways and there are wrong ways to implement a successful fundraising initiative. There are in fact certain fundamentals that apply to all organizations, regardless of their size or mission.

Fundamentals – Process, Plan, Prospects and People

PROCESS – There is a process through which good fundraising happens.

PLAN – Your College Goal Sunday program should have a fundraising plan in place.

PROSPECTS – Everyone should be involved in identifying and engaging potential supporters, partners and friends for your program.

PEOPLE – Fundraising is a people business; it's all about relationships!

Process – Essential elements – What do you need to be successful?

LEADERSHIP - As you begin your campaign, you must identify, cultivate and foster strong and active volunteer leadership. Without solid leadership, your effort runs the risk of stalling out or drifting without clear direction.

CASE - For any fundraising effort, it is essential to have a well-defined, compelling case that clearly describes why we should support this effort and why now. Be able to tell your story!

PROSPECTS - A campaign must have a sufficient number of identified, qualified, cultivated and engaged prospects. Your donors, members, friends, constituents, etc. must know about your work and be ready to make a gift at the right level.

RESOURCES - To launch and maintain a successful fundraising program, you must commit a sufficient level of resources to the effort. This includes human and financial resources.

Process – How Fundraising Works

The fundraising process is a balance between the art and science of engaging potential donors. Fundraising focuses on *people*. The most important reason why someone gives is that the right person asked them for the right gift at the right time. Fundraising programs must contain certain fundamental elements to assure maximum success. These involve an organization's ability to:

- **Identify** prospects (potential partners, sponsors or donors) through research,
- **Educate** prospects through appropriate materials,
- **Cultivate** prospects through relationship-building activities and events,

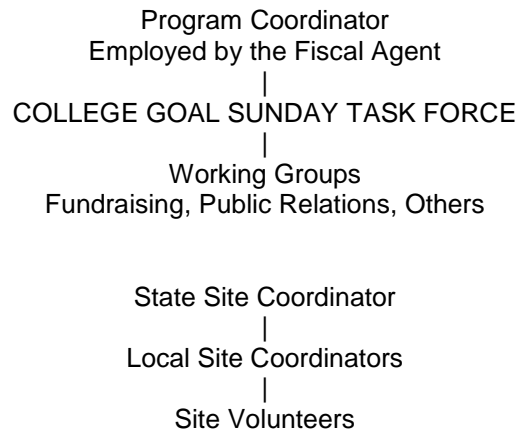
- **Engage** prospects through meaningful involvement, and
- **Solicit** them through personal contact.



This an ongoing process that continually builds on itself. The actual gift is not the end of the process. It is a never-ending cycle of bringing people in to support your mission, keeping them involved, and deepening their relationship with your organization.

Section 2 - ORGANIZING THE OVERALL EFFORT

Regardless of the format of your particular College Goal Sunday program, all of the members of your task force, your program coordinators and the members of your various working groups have a responsibility for ensure your fundraising plan is implemented well. Everyone has a role to play, and even if an individual is not directly involved in the solicitation of funds, there are still many strategic steps that must be taken and for which anyone can lend a hand.



Setting up a Fundraising Working Group

College Goal Sunday programs are encouraged to establish a local Fundraising Working Group (FWG) to serve as a conduit between the program and the broader community. The FWG will support the College Goal Sunday program by offering their perspective, guidance and suggestions regarding the development of initiatives that reflect and advance the needs of the students and families, advising on ways to develop higher visibility for College Goal Sunday within their community, and assisting with outreach to the region’s philanthropic sector, including corporations, foundations and individuals.

The FWG will not have any fiduciary or governing authority over the program; such authority rests solely with the program’s Task Force and ultimately the program’s fiscal agent. The members of the FWG, however, will play an active and leading role in building financial support from the community for your College Goal Sunday. The FWG will coordinate such activities with the Program Coordinators through regular reports and ongoing interaction.

FWG members, by their presence and endorsement, have a principal role in galvanizing enthusiasm and support for College Goal Sunday. Members of this critical committee emerge from a list of community leaders who share a commitment to building access to college for young people and adults eager to further their education.

What follows is a standard job description that can be used in recruiting members of the FWG. States may adapt this job description as they feel appropriate.

Fundraising Working Group Job description



FWG members will be appointed by the program chair or by some process as may be determined by the Program Task Force. Members of the FWG will be asked to sit for a 1-year term. Members may serve for no more than three consecutive terms. Members may resign from the FWG at any time, but are asked to inform the chair/co-chairs of his/her intention to do so in writing.

Membership in the FWG will be open to as many people as the Task Force feels necessary, but it is recommended that it be limited to approximately 15 individuals. The chair of the FWG, or appropriate designee, may be asked by the program chair to participate in the state's College Goal Sunday leadership meetings as an ex-officio member.

Each individual member of the FWG is asked to:

- 1) Attend meetings as they are called.
- 2) Actively participate in the function of the FWG. This includes agreeing to have his/her name included on College Goal Sunday official materials.
- 3) Be available for individual consultation to the Program Coordinator.
- 4) Accompany – as appropriate – a College Goal Sunday leader for personal solicitation of selected prospects.
- 5) Write or sign letters endorsing College Goal Sunday solicitations.
- 6) Undertake initiatives as may be decided by the FWG and assigned by the chairperson.

Getting Involved in College Goal Sunday Programs and Success - FWG members should join members of the Task Force in making College Goal Sunday a priority:

- Limit major new volunteer roles for other organizations.
- Review philanthropic planning for 2006 and 2007, as well as their upcoming calendars, to ensure that they are able to devote appropriate time to this effort.
- Review his/her list of contacts – friends, neighbors, business associates – and consider carefully which of them should be given the opportunity to learn more about College Goal Sunday and to participate in the organization's fundraising initiatives.
- Make an appropriate, meaningful gift to College Goal Sunday, either through personal means and/or through their place of employment.

FWG members should strive to be an advocate for College Goal Sunday, to the best of his/her ability, in the wider community. Their key role in this effort will be expanding the organization's influence and exposure among community leaders, and among those who are in positions to play a part in College Goal Sunday' long-term success. There are many ways that can be accomplished:

- Secure the sponsorship of a business group or corporation.
- Recruit a speaker, host or sponsor for a special event that promotes College Goal Sunday.
- Host a cultivation or informational event at their home, place of business or community organizations.
- Endorse a solicitation made by the organization's leaders, either by phone or by letter.

Use this job description as a way to work closely with the members of your Fundraising Working Group. Let them know that you will be keeping up with them to make sure they have what they need

to successful in their work. Each individual member of the FWG should have the opportunity to develop his or her own personalized list of tasks and assignments, based on this job description. Empower individual members to play from their own strengths and abilities.

Remember, your FWG members are volunteers, too. They are giving their time and energy to make your College Goal Sunday program a success. Make sure you thank them for their service.



Section 3 - CREATE A CAMPAIGN – Setting Up Your Fundraising Program



1. **Define**
2. **Identify**
3. **Set objectives**
4. **Research**
5. **Plan**
6. **Implement**
7. **Learn**
8. **Evaluate**

Use these 8 steps to create a fundraising campaign for your program. You can use the same 8 steps to develop the overall fundraising effort for your program as well as to develop a tailored strategy for one particular prospect.

Using the Create A Campaign Steps for a Fundraising Program

Define the purpose and focus of your campaign: what initiatives are you trying to fund?

Identify your potential donors, sponsors or partners, as well as their primary influencers.

Set objectives: what do you want these prospects to do?

Research your prospects as a reality check.

Plan: Build a strong fundraising plan (resources, strategy, tactics, messages).

Implement your plan.

Learn as you go: track results and make adjustments.

Evaluate results and share your efforts with the field.

See an example of the Create a Campaign model in the Appendix

Section 4 - DEVELOPING A FUNDRAISING PLAN

For use in Step 5 of the “Create A Campaign” model.

It is essential that when your program begins to explore a permanent funding base that it creates a clear plan of action to help it get there. A fundraising plan does not have to be complicated; it just needs to be in place. Your program coordinator, your fundraising working group and other volunteers will all need a central roadmap from which they can work and to which they can turn to see if everything is going in the right direction. This section will help you to develop a plan and to explore the various components that need to be incorporated into a good fundraising plan.

Why planning is an essential component of a good fundraising program; what does a good fundraising plan give you?

- Gives you a road map so you know where you’re going and when you’ve gotten there.
- Helps to build ownership among all participants.
- Tells everyone what their role is; assigns responsibilities.
- Allocates dollars to programs, as well as to various fundraising techniques.
- Builds confidence with task force and working group members.
- Can be used as a way to energize the program’s leaders, making the goal look realistic and achievable.
- A great tool with which to evaluate staff and leadership performance.
- Helps everyone with financial planning; revenue projections, cash flow projections.

Components of a Good Fundraising Plan

1. **Mission-Drive Programs** – What needs funding? How do those programs relate to your mission? Are you targeting all elements of your program for funding?
2. **Sources of Funding** – Take advantage of the many sources for funding. Make sure you are using a balanced approach.
3. **Dollar Goals** – How much do you plan to raise?
4. **Staff Assignments** – Who is responsible? What will the Coordinator do?
5. **Volunteer Assignments** – Volunteers, such as the Fundraising Working Group, play an important role.
6. **Monthly Tasking** – What tasks need to be done when?
7. **Costs** – Some fundraising techniques require a financial investment, others an investment of time and energy.

Setting Annual Fundraising Goals and A Budget

When exploring how much you need to raise each year, pay close attention to the various budget categories and expense categories for your program. Think of all the ways your program can use financial and other contributed revenue. Examples of such expense areas include:

- Scholarships for participating families
- Public relations initiatives, such as posters, mailings, flyers
- Design work
- Site specific expenses, such as refreshments, signage or equipment
- Technology expenses, such as computers for completing the online FAFSA
- Materials for participants, such as envelopes giveaway gifts
- Task force expenses, such as conference calls, meeting spaces

Some of these elements will indeed need a financial support, i.e. you will have to pay for the services or these materials. Other elements can be supported through in-kind contributions, whether they be donated services or contributed materials.

As you develop your fundraising materials or letters, use these or similar budget categories to describe how you will use contributed funds. This will give a great tool through which you can easily describe the impact a gift or sponsorship will have. For example:

- “Your contribution of \$2,500 will enable us to fund a \$500 scholarship at five sites across the state. These scholarships are given away to participants through a drawing held at each site on College Goal Sunday.”
- “By underwriting the costs of our promotional brochure, ABC Company’s sponsorship of \$10,000 will enable the XYZ College Goal Sunday program to reach out to and engage even more families and students across the state.
- “With a gift of just \$50, you help defray the cost of College Goal Sunday tee-shirts for XX volunteers at one of our sites.”

See sample budget in the appendix.

Identifying sources of revenue

Sources of Funding

- There are many ways through which you can raise the dollars to support the programs your organization has prioritized. It is essential that your program is balanced, and that you do not rely too heavily on any single type of fundraising method.
- Additionally, you should examine for each of these whether it is appropriate for your particular type of organization. Events are not right for everyone, some organizations make a conscious effort not to take money from large corporations, others are working on ways through which they can generate earned income through “for profit” ventures.
- See the chart “Suggested Tactics.” These are just a few mechanisms through which you can raise money. Each of these can be factored into your plan.



Suggested Tactics for Securing Funding from Target Groups

SOURCE	METHODS/PROCESS
Individuals	<p>Major Gifts program – personal solicitations by staff and or FWG members for larger gifts than might be raised through the mail, such as \$500 or \$1,000</p> <p>General support through direct mail or telephone programs, raising smaller gifts such as \$25, \$50 or \$100</p> <p>General support from online giving through the program's website; include a section on your website that gives visitors information on how to make a gift.</p> <p>Volunteers who have helped your program should all be given the opportunity to make a financial gift to the College Goal Sunday program</p> <p>Family members of former participants – As your program develops, keep in touch with the families you help. They may appreciate the opportunity to say “thank you” by making a contribution.</p>
Corporations	<p>Major corporate grants – These can be in the order of \$5,000, \$10,000 or \$25,000 to provide significant financial underwriting for your program</p> <p>Local/Regional business support – Work with your local or state chambers of commerce to get broad based support for your program</p> <p>Corporate sponsorships – Approach corporate marketing departments to see if you and a corporation can establish a strategic alliance</p> <p>Matching gifts make by corporate employees and their spouses</p> <p>Corporate volunteer programs, “loaned” executives – Many businesses encourage their employees to give their time to help local nonprofits</p> <p>In-kind materials, products or services – Corporations may have inventory, materials or facilities they can share</p>
Foundations	<p>Charitable grantmaking foundations</p> <p>Community Foundations and Donor advised funds – Most large communities and states have foundations dedicated to supporting work in their area</p> <p>Family foundations – Cultivate these like you would a wealthy individual</p>
Government	<p>Local, regional, state or federal contracts</p> <p>RFPs, appropriations, etc.</p> <p>Quasi government organizations</p>
Events	<p>Fundraisers – events designed to raise financial support for your cause</p> <p>Friend-raisers – events designed to raise awareness of your program and to broaden your outreach into the community</p> <p>Bake sales, auctions, theatre parties and galas – there are many ways to raise support, explore which ones are right for you</p>

SOURCE	METHODS/PROCESS
	Events at homes – host smaller, personal events that allow potential donors to engage in meaningful conversation about your program
Earned income	Fees for services Ticketed events Admission fees, voluntary or otherwise Advertising

Establishing a timeline, set of accountabilities, making staff and volunteer assignments

Annual schedule of solicitations and other initiatives

- When you design an annual plan, you must associate all of your various tasks and assignments with a specific, targeted time frame. Whatever your plan’s format or technological tool, get these onto a calendar so that you and everyone who has a part in making the plan happen understand when things are due.
- Use the calendar to hold participants accountable for their responsibilities – staff and volunteers. This is especially effective at meetings.
- Post key elements of the plan in a central place at your office or on your website so that everyone knows when important deadlines are approaching or when the development staff will be particularly engaged in a specific project.
- There different types of date-specific elements you can incorporate into a plan:
 - Hard dates and deadlines
 - Foundation proposal or report deadlines
 - Dates on which mailings must be sent to the mail house
 - Task Force meetings
 - Events
 - Target dates to gauge the success of the plan
 - Contacting a certain number of donor prospects by a certain date
 - Targets a specific percentage of a fundraising goal achieved by a specific date
 - Setting a timeline for a long-term project such as entering historical data into the computer

Assignments – Establishing Who’s Responsible

Everyone has a role to play in making the implementation of the annual plan a success. The program Coordinator has the overall responsibility for ensuring that your organization has the resources it needs to get the job done. Even if these jobs are done by one person, you need to think about these roles and make sure things are covered.

- Prospect research
- Data entry of gifts, prospect and donor information
- Cultivation meetings

- Pledge reminders and invoices
- Grant reports showing how the money was spent
- Public presentations on the work of the organization
- Management of volunteers
- Solicitations
- Grant writing
- Program descriptions and developing a case for support
- Financial reports for the board and the annual report
- Pledge forms, thank you gifts and newsletters
- Program tours for interested donors, prospects and the press

Get everyone involved in this process. Developing the annual plan is not something that only one person does in isolation. It is a joint effort to which all members of the team bring their experience and their responsibilities to the table. When everyone has a part in creating the plan, everyone will have that sense of ownership that is critical to making it a successful program.

When it comes to **volunteers**, their role is equally important. Volunteers – especially task force members and the Fundraising Working Group – are your key links to the community. They provide a perspective and a relationship to your organization that cannot be filled by the staff. Invite their participation in the development and implementation of your annual plan. Some of their tasks might include:

- Cultivation of current and potential donors
- Solicitation of prospects and donors, especially of “peers”
- Identification of new prospects
- Advocating for your organization in the community
- Signing solicitation letters
- Hosting cultivation events at their homes or places of business

Gift Acceptance Policies and Sponsorship Guidelines

A gift-acceptance policy are the rules and regulations developed by your organization to determine which types of gifts should or should not be accepted. They give your leaders the ability to review potential gifts and sponsorships to determine whether they are in the best interests of your program and the families it serves.

For example, if your program focused a lot of marketing on the children of recent immigrants, and those immigrants were predominantly agricultural laborers, your program might choose not to accept a gift from a chemical company that made pesticides known to cause cancer among those working families. In other cases, your organization may choose to not to accept support from a lending institution so as to avoid the perception of inappropriate relationships.

See example in the appendix

Additionally, your ability to fulfill some of the potential obligations incorporated into a sponsorship agreement may be limited by other factors. For example, College Goal Sunday programs must comply with certain guidelines imposed by the Lumnia Foundation. (cross reference)

Learning as You Go - Evaluating your Fundraising

This relates to Steps 7 & 8 in your “Create a Campaign” plan.

Every year, in fact, throughout the year, your program should be constantly evaluating your fundraising program. This should be undertaken by the Fundraising Working Group, the program coordinator, and the task force. There are many ways to evaluate your fundraising program beyond the simple evaluation as to whether or not you made your financial goal. All the elements in the fundraising plan for instance, can be listed, measured and tracked. Programs are encouraged to use many ways to track their successes as well as challenges. For example, even if you didn't raise as much money as you had hoped, but you made contact with a specific number of contacts with potential partners, who could help your organization in the future, you have a great deal of success to report, and that should be celebrated. Here are some specific examples of elements that can be tracked or evaluated from year to year.

Don't forget to share your results with the field.

Review by FWG and staff

What can be measured?

- Dollars raised – this one's an easy one to measure
- Donors, sponsors, partners acquired - you should be doing this constantly
- Donors, sponsors, partners renewed – it's easier to renew a donor than to get a new one
- Donors upgraded to higher levels or who give to multiple appeals
- Gifts designated for a particular component of your program
- The financial costs associated with raising certain types of gifts
- The time allocation costs associated with raising certain gifts
- Donors, sponsors or partners contacted by Task Force members, Fundraising Working Group members and Site Coordinators
- Ability to prepare timely, complete and accurate reports for funders
- Ability to craft a message and develop materials – can the story be told?
- Level of response/enthusiasm to a solicitation for a new program or initiative

Clarifying Roles and Rationale

- Does everyone know what's being measured and why
- Is there a policy, process or procedure established that tells you what the organization will do with this data?
- Know who is doing the measuring and the reporting
- Explore the ways you can gather information and intelligence
 - Surveys
 - Focus groups
 - One-on-one conversations
 - Web-based feedback

Organizational Capacity

- Look at fundraising as a means to an end – increased ability to accomplish your mission
- Tie fundraising results to program results – clarify that link to your donors, partners and sponsors and your program leaders
- Work with your site coordinators and volunteers to help them understand their role in the process – this is especially important if you are evaluating a new program or initiative
- Use statistics on your participating families and students to make your case that dollars invested in your College Goal Sunday program are well spent.

Section 5 - PROSPECTING – Identifying and Engaging Potential Supporters

Prospect research is an exciting, yet time-consuming activity. It is, however, an essential component to the success of any fundraising program. It is critical, that sure organization to all of the right homework regarding who your potential donors are, what their interests are, and learning how best to engage these potential donors. This is where prospect research comes in. There are many sources of information on potential donors. Many of these sources are free, others have a nominal fee associated with them. Do not be afraid to invest the proper time and resources into prospect research.

Below you will find a sampling of the many places to which he you can turn to find out information regarding potential donors in your region. As you can see, the Internet is now an incredible source of information about companies, foundations, as well as wealthy individuals.

As you research various potential donors, you should keep in mind the opportunities that may exist to collaborate with other College Goal Sunday programs, as well as with the national NASFAA office. For example, many companies have plants or operations in multiple regions of the country. It is potentially much more effective, if college goals Sunday can prepare a coordinated proposal to such a company requesting financial support for several states programs at once, rather than that same company get four or five separate requests all at the same time. Do not be afraid to communicate with each other. Use the national office as a resource. Their goal is to ensure the success of all of the College Goal Sunday programs.



In a similar vein, if your program promotes activities and initiatives that are very similar to another organization in your state or region, you may want to approach that organization to undertake a collaborative proposal to a charitable foundation, for example. Grantmaking foundations are especially interested in efforts that utilize many organizations' core competencies in a joint fundraising effort rather than providing funds for efforts that seem to duplicate themselves. Again, use the national office as a resource; use other programs in your region as resources.

Identifying potential donors, sponsors and partners

Prospect research

Research Resources

Not all of these are free, but most can be found on the Internet. Others can be found at your local library.

Corporations

www.hoovers.com

www.fortune.com

www.forbes.com

Corporation websites

Local newspaper websites

Regional/Local business journals

National newspaper websites, NY Times, Wall Street Journal
Magazine websites
The Chronicle of Philanthropy and the Chronicle of Higher Education
Local, regional and state-based chambers of commerce
Business leagues and associations

Foundations

www.fdncenter.org (The Foundation Center)
www.guidestar.org
Foundation websites
Local newspaper websites
National newspaper websites
Philanthropy News Digest
Regional association of grantmakers
Council on Foundations

Individuals

www.google.com
www.ask.com
www.yahoo.com (Click on Finance/Quotes to search on stock ownership of individuals)
Foundation websites
Corporation websites
Local newspaper websites
National newspaper websites
Magazine websites, such as Forbes, Fortune, Wealth
Who's Who by Marquis
WealthEngine

Service Clubs

Kiwanis
Rotary
Jaycees
Junior League
Lions Club
Knights of Columbus

For Doctors

www.ama-assn.org
www.physicians.com
www.doctorline.com

For Lawyers

www.lawyers.com
www.findlaw.com
www.law.com

Addresses, Telephone Numbers, Lists Of Companies By City And Category

www.switchboard.com
www.555-1212.com
www.yellowpages.com

Methods of Prospect Identification and Engagement

Everyone should be involved in this process. The Task Force, the FWG and other volunteers must all play an active role in prospect identification, evaluation and cultivation.

The Fundraising Working Group

This is their primary responsibility – ensuring your College Goal Sunday program has the resources it needs – and there are many ways they can fulfill that duty.

- They can review their list of personal contacts and carefully consider which of them would be interested in your program. This means opening up their rolodexes and/or Palm Pilots and looking at the names of friends, neighbors, colleagues, etc.
- FWG members represent the community at large – they are a link with your various constituencies; they have a level of access to other community leaders that may be beyond the sphere of influence of other Task Force members. They should be encouraged to make those connections and forge bonds between the organization and the people who can make a difference by supporting your College Goal Sunday program.
- They should make sure they are familiar with the specific details of your state’s program. They should be able to name a few sites, know who is the specific fiscal agent (ABC Regional Association of Financial Aid Administrators, for example), understand some of your state’s key target populations, etc. By doing this, they can easily have conversations with friends and colleagues about your program.
- FWG members should publicly acknowledge their affiliation with your state’s College Goal Sunday program. They can become a “go-to” if a reporter, business leader, politician, etc. wants to engage in the college access marketing conversation.

Most importantly, FWG members should participate financially – to the best of their ability – in any of your fundraising programs, such as the annual fund. The FWG members can really set the tone for others who may be considering a gift. Invariably, one of the first questions asked by a potential donor – whether a foundation, corporation or individual – typically regards the level of participation demonstrated by the program’s leadership.

The Coordinators and other Volunteers

All of your program’s coordinators should participate by sharing names of the people with whom they interact in the course of their work. Get these names onto a list that can be reviewed and compared with lists generated by the FWG. These contacts may also be known to others involved with your program, and it is always helpful to make those connections.

Invite your other volunteers to share names. Like your Task Force or FWG members, they are also members of the larger community who clearly have an interest in your organization. Provide them with easy-to-use tools, such as prospect information forms, that describe the type of information that is most helpful to know. Assure them that their information will be handled with sensitivity and confidentiality, and keep these volunteers involved throughout as you engage these prospects.

Looking for New Donors

Start with individual donors, who as a group out-give corporations and foundations combined. Help volunteers to categorize prospects along certain lines, such as

- family, friends and neighbors;
- fellow church, temple, or synagogue members;
- business colleagues;
- club members; and

- other donors they know.

Encourage FWG members and staff to explore the contacts they have with corporations, local business owners and foundations. Assemble a master list of your target corporations and foundations, examine the connections identified by staff and volunteers; evaluate those connections, and plan your strategy accordingly.

Prospect Rating and Brainstorming Sessions

The process of building your donor and prospect lists must be a permanent part of your fundraising program. Establish structures that facilitate the evaluation of prospects.

Prospect rating and brainstorming sessions bring Task Force members, FWG members and others together in small groups to discuss specific prospects and prospect strategies. Use these meetings to have frank and detailed conversations about prospects, their ability to give and the right solicitation team that needs to be assembled to reach out to these prospects. These meetings inevitably deal with very sensitive information. Take care to ensure such sessions are promoted, conducted and reported on properly.

Make sure that someone takes sufficient notes. These sessions are helpful in pulling out critical information about prospects and about your organization's relationship to those individuals. Finally, through their participation in such sessions, your board members and committee members are further cultivated and engaged in your organization's work.

See sample prospect information form in appendix.

Comments on various prospect groups

Corporate foundations and corporate marketing

Corporations typically make grants to organizations in one of two ways. Some grants are charitable in nature, coming from a corporate foundation for example. These gifts typically require a standard proposal and must follow certain guidelines or schedules. They are typically smaller in size than the other type of gift of Corporation makes, which come in the form of the sponsorships.

Sponsorships typically derive from a corporation's marketing budget, which affords an organization the opportunity to bring in higher dollars. The important component of this, however, is that sponsorships typically require a certain amount of promotion or recognition for the corporation in return for the sponsorship. Remember, this support is coming from the marketing budget and is designed to advance the goals of the company. You will need to negotiate carefully with the potential sponsor to make sure that your program's needs are met as well as the company's needs.

In all cases, your sponsorships should be coordinated within the guidelines set by the Lumnia Foundation and NASFAA.

Charitable foundations

As will be noted in the "Grants" section of this toolkit, foundations can play an important part of your fundraising effort. You should be careful, however, not to depend too much on foundation support or on one particular foundation for the majority of your revenue. You should always work to diversify your funding "portfolio" so as to have a balanced program.

Service Clubs and Organizations

Don't ignore the possibility of going to groups such as Kiwanis, Rotary or the Jaycees for support. These and other similar clubs have large membership, typically composed of your region's business and civic leaders. Make a concerted effort to reach out to these groups. Offer them a speaker for an

upcoming program. Offer your College Goal Sunday program as a volunteer opportunity for their members.

Additionally, you should research to see what other nonprofit organizations and associations exist in your state that might serve as natural partners for your program. For example, your state probably has an association of guidance counselors or college presidents. There may be other nonprofits that are actively working with young people to help them finish high school or with their families to help them to get on a path to success. These groups might provide your College Goal Sunday program with opportunities to share resources, leverage abilities and to expand your effectiveness.



Prospect engagement and cultivation

See also the Prospect Development Tool in the Appendix.

These are typical strategies and tactics used by organizations to engage potential and current donors. See which of these might be applicable to your College Goal Sunday program.



Strategy	Benefits
Meetings with staff (site coordinator or Task Force member)	Gives prospect a chance to ask technical questions; gives them a sense of what's being accomplished and how.
Meetings with volunteers (FWG or Task Force members)	Can be effective in a social or a business setting; allows prospect to speak frankly about concerns or ideas to a peer.
Events and receptions	Whether large scale galas or intimate dinners at a program leader's home, these can be great ways to introduce a prospect both to the organization as well as to other donors/partners.
Recognition	Highlight the work of a donor in your materials, or run a feature story in your newsletter.
Visits to the organization (site visit)	Gives prospects a first-hand look at your program; this is especially effective when there is something tangible to see, such as kids, or site volunteers, or talented leaders. Consider how you will use your College Goal Sunday event to educate and engage potential sponsors and donors.

Strategy	Benefits
Notes and letters	Very personal, old fashioned but can stand out in today's email-laden world.
Materials	Share "hot off the press" copies of annual reports, interesting statistical reports or newsletters with your top donors and prospects; attach a personal note.
Committee work	Get donors and prospects involved with the work of your organization by inviting them to serve; it's a great stepping stone toward board membership. Consider inviting a donor's spouse to participate in this as well.
Advisory role	Invite donors or prospects onto an advisory council, or structure ways through which they can share their ideas or expertise with your organization. Today's volunteer might be tomorrow's donor.

As you implement these with your prospects, don't forget to track that information in your files/database.

Section 6 - DEVELOPING YOUR CASE FOR SUPPORT

Creating your message

This is heavily linked and coordinated with your program's marketing messages. Your message should all resonate together to form a cohesive story. Everyone working with your College Goal Sunday program should understand what's going on, why it's important, and how this effort fits into the bigger picture of college access marketing.

Here is an easy way to see how these two concepts relate to each other:

Remember the core principals of **social marketing**.

- Know your audience and look at everything from their point of view.
- Build on your audience's existing beliefs, attitudes, values, and motivations.
- Be very clear about what you are encouraging people to do.
- Remove unnecessary barriers (make it as easy as possible).
- The best techniques aren't necessarily the flashiest.
- Remember that success depends on getting your audience to act.

Adapted to **fundraising**, you can think of message development in this way:

- Know your prospect (potential donor, partner or sponsor) and look at everything from their point of view.
- Build on these prospect's existing beliefs, attitudes, values, and motivations. Use their motivations and dreams as the starting point, not your organization's needs.
- Be very clear about what you are encouraging people to do. In this case, it's to make a gift, sign up as a partner or join as a volunteer.
- Remove unnecessary barriers (make it as easy as possible).
- The best techniques aren't necessarily the flashiest. Fancy brochures and packets are helpful, but nothing is as effective as personal contact and one-on-one relationship building.
- Remember that success depends on getting your prospects to act.



Collateral materials to support fundraising – “The Packet”



Use a nice looking pocket folder. Staples/Office Depot sells a wide variety of them. Find ones that have the cutouts for a business card. Also, make sure you put a label on the front cover indicating the packet is from your College Goal Sunday program. (It does not have to be in color.)

Here is a list of potential contents for your packet -

Cover Letter

Your packet should always be accompanied by a cover letter explaining the purpose of your contact and promising that you will follow up.

Contents – While you do not have to include all of these materials in every packet you distribute, it is a good idea to have all of these ready to go should you need them. Create a “master file” where clean ready-to-use copies of these materials are kept on hand.

A - Brochure

Include some type of document that describes your College Goal Sunday program. If your program is new, describe where your sites will be and give some background about the establishment of your program. Make sure to include that the Lumina funding is for three years only, and that your program is expected to sustain the program after this seed funding ends.

B - IRS letter

Enclose a copy of the letter indicating the 501c3 status of your program or fiscal entity. Most foundations and corporations are required to have this on file.

C - Response Card

Include a form or card that enables anyone to make a contribution to the organization. Typically, this should be addressed to the chair of your fundraising working group.

D - List of your task force members and working group members. Be sure to include some sort of professional affiliation if known. For example:

George Smith
 ABC Industries, Inc.
 Gloria Jones
 Anytown Unified School District
 Page Johnson
 Community Activist

E - Program budget.

Be sure to include in-kind services, materials or resources that you will use for your program, in addition to including financial support you have received. If you are new or if this is the first time you are seeking outside support, indicate your primary targets for financial support. (You can list foundations to which you have submitted proposals or other business you are approaching for assistance.) Make sure that you include support you are receiving from the national program.

F - “Ways to Give” flyer or document.

List all of the ways anyone – foundation, business or individuals – can make a difference in your program. Indicate the types of gifts you can take, and make sure to include the address and/or website so people can respond to you. It should be short and to the point.

G - Press clippings and Photos

If you received any media attention for your efforts, include those clippings here. If you have photos of participating families, or if you have photos of your outreach workers engaging a group of potential participants, include them as well.

H - Letters of support

If your program has received a letter of endorsement or support, include a copy. Make sure you alerted the writer that you will be using those letters in this manner. If applicable, include copies of special “proclamations” made by your state’s governor or legislature on behalf of your program.

I - Testimonials

If you have quotes or testimonials from parents, teachers, counselors or students, included them on a separate sheet. You can format them to look nice on a single page.

J - Statistics

Include meaningful information from the evaluations, such as 98% of families indicated on their evaluations that they would not have been able to complete the FAFSA without this program. If your program is new, include a few key data points that demonstrate why College Goal Sunday is needed in your state.



SAMPLE TEXT FOR A COVER LETTER

Dear Interested Party:

Thank you so much for your interest in the ____ College Goal Sunday program. We appreciated your willingness to meet with our co-chairs last week. (or) We appreciated being able to discuss our plans with you over the telephone last week.

I am sure you will agree that our program has the potential to make a real difference in the lives of many young people here in our state.

Thank you as well for your consideration of our request for \$10,000 in sponsorship support. Given your organization’s track record of leadership in this community, you seemed a natural fit with our cause. We are grateful for the opportunity to share our stories with you.

Please find enclosed a packet of materials that will provide you with additional information on the ____ College Goal Sunday program. In it you will find a description of our program as well as information on how your business can play a part in bringing this service to these young people. We are looking forward to our first event this coming February. With your support, we know that we will have a successful event.

If you have any questions, I hope you will feel free to contact me at my office. I will check in with you next week to follow up.

Sincerely,

Abe Peters
Co-Chair
____ College Goal Sunday Coordinating Committee



SAMPLE TEXT - A “Ways to Give” Flyer

Ways to Support the _____ College Goal Sunday Program

_____ College Goal Sunday is a 501c3 charitable organization and relies on grants and private support for its ongoing success. Here are just a few ways you can support our work.

Gifts of Cash

You can support us with a check or by credit card. You can contact our offices for more information or visit our website. Businesses can make a corporate gift, or their managers may wish to pool their resources by making separate gifts. Make checks payable to _____.

Stocks

Do you have appreciated stocks that you need to sell? Want to avoid paying capital gains tax? Donate appreciated stocks or funds from the sale of stocks that have decreased in value to College Goal Sunday. To find out how, visit the program’s website.

Gifts-In-Kind

Does your company have services, products or materials that would be valuable to the College Goal Sunday program? Perhaps you have a facility that can be used as a participation site this year. Would you be able to distribute our materials to your employees? Contact a member of the staff to find out more.

Volunteering

College Goal Sunday needs many volunteers on-site. Consider working with your colleagues to help out at a particular location. You may also consider helping out with a specific working group, such as marketing or fund development.

Section 7 - SOLICITATIONS

This section focuses on preparing for and undertaking an actual solicitation meeting with a prospect. It assumes that you have done your homework and that the prospect has been cultivated and is ready to be asked for a gift.

Preparing for a solicitation meeting

GET READY FOR THE ASK

- A. Review your materials. Do you know the specifics? How are you going to tell the story? Will you need a script?
- B. Learn about the prospect. What are their needs, interests, or background with your organization? No single strategy will work for everybody.
- C. Strategize with your team, practice if you need to.
- D. Who is going to say what and when are they going to say it?
- E. Is anyone going with you?
- F. Who is going to make the actual ask?



SET UP THE MEETING

- A. Call your prospect on the telephone. Do not do this by letter.
- B. Explain the reason for your call and your role. "I would like to set up a time during which we can meet with you to talk about our organization and our project."
- C. Reinforce that it will not take long, and that you can do it at a time and place that is convenient to them.
- D. If they respond, "Our schedule is really tight, can't I just send you something in the mail," reinforce the importance of a personal meeting.
 - a. "Please wait until we have talked. It is important to you and to your organization to have someone knowledgeable about the program and College Goal Sunday to visit with you."
 - b. "We very much want you to understand the full scope of the effort and the reasons we are all going the extra mile to help these students and their families."

Strategy development

Each prospect should his/her own strategy!

- Do prospect research. (Remember Step 4 of the Create a Campaign model?)
- Learn as much as you can.
- Make connections among the data that you uncover.
- Use the data to help you determine which prospects to approach first.

What kind of questions should you be asking yourself?

- What motivates the prospect?
- What are the interests of the prospect?
- Who should be asking this prospect?

- Who should be cultivating this prospect?
- What is the evidence that this person can make a major gift?
- Who are the decision-makers in the prospect’s family/company?
- What relationship or connection does the prospect have with your organization? Its staff? Your donors? Your volunteers?

There is an art to this as well as a science. It’s a puzzle waiting to be assembled. There are many pieces out there; it’s up to you to fit them all together so you can see the whole picture. Once you see that picture, you will have begun to craft a good strategy.

Get those strategies into a tracking sheet or program. Review them on a regular basis. Always make sure you are moving them along a path that leads to a deeper or broader relationship with your organization.

Setting ask amounts – How much is enough?

- It’s always important to give prospects a specific gift or range to consider. “Won’t you consider a gift of \$1,000?” or “We are looking for businesses to join us in the \$5,000 - \$10,000 range, can your business be a part of this great program?”
- Prospect research may tell you about other gifts this prospect has made; use that information as a starting point.
- A member of your Fundraising Working Group may have knowledge or perspective on that prospect’s ability to make a gift at a certain level.
- If peers are asking peers, whether they’re individuals or businesses, they can always ask each other to match their gifts or level of support.
- Do not be afraid to ask for the meaningful or “stretch” gift; keep your sights high. If you think a business would have no problem making a simple gift of \$500, then ask for \$1,000.
- Link the gift amount to a specific level/scope of impact on the mission of your program. Make it “real” to the donor so they can understand what is made possible by their support.

The steps in an effective solicitation meeting

THE SOLICITATION

1. Meet the person as promised. Thank them for the meeting and for their support in the past, if applicable.
2. Bring them up to speed on the organization or the project. Use materials to make your point, but do not let them get distracted so that they do not hear the real message.
3. As you speak – do as much listening as you can. Hear what the prospect is “saying” to you.
4. Tell the story! Make the case. Use your own natural style. Be yourself!
5. Make a link between these plans and how they might meet the needs of the donor. Remember, you should have been listening to the prospect all along.
6. Refer to your own gift as well as to those of others as may be appropriate.



7. Suggest a specific gift or gift range for the person to consider.
8. Then ... MAINTAIN SILENCE. Let the person consider your request.
9. Respond appropriately to their reaction.
10. Present any leave-behind materials that may be appropriate.
11. Discuss any necessary follow up. (Keep any promises you make.)
12. Thank your hosts for their hospitality and for their time.
13. Report immediately on your progress back to the appropriate office.

A few other points to bear in mind

Get to the point of your visit as soon as possible. This is not purely a social call, so don't leave your prospect in doubt as to the reason you are there – even if you explained it when you set the meeting up.



One of the primary objectives of this process is to keep the conversation going. While the focus of this exercise is on the solicitation, sometimes that may not actually happen. In listening, you may discover that the prospect is not actually ready to be asked. The goal of the meeting should then become what's the next piece of the conversation.

Following up after the request is made

What do I say based on what they say?

The prospect says “Yes! I’ll make a gift right now.”

- Thank them;
- Reconfirm the gift terms;
- Can the prospect join you and other leaders in making the campaign a success by serving as a solicitor? We want their time and enthusiasm, not just their dollars; and
- Write a personal note of thanks.

The prospect says, “I will be happy to consider your request, I will get back to you.” – This is the most typical response.

- Thank them for their willingness to consider a gift, encourage them to think carefully about their response;
- Ask if there are any materials or information that they need to help their decision-making;
- Review the ways they can make a gift;
- Set a specific date on which you will follow up with them; and
- Follow up as you promise.

The prospect says, “I really can’t make a commitment to you at this point.”

- This is a signal that more cultivation might be needed or that there might be a personal situation that must be considered.
- Ask if there are additional materials or information that you could provide to make it easier for them.
- Offer to have them meet with some other leaders of your organization so that they can learn more.

- Remember, you're trying to keep the conversation going.

Other Resources related to Solicitations

Checklists

These lists present a wide range of tips and “tricks of the trade” that are helpful to bear in mind when asking people for financial support. They are applicable in many situations and types of campaigns or major gift programs.

What Do Donors Want?

- Have his/her interest addressed.
- Do what is right.
- Make a proportionate gift.
- Look good to peers.
- Participate in a win/win situation.
- Pay the gift on his/her own terms.

Some Reasons Why Things Don't Go Well

- Failure to do adequate prospect research: premature request.
- Failure to ask for a specific amount or range of gift levels.
- Failure to suggest that donor may use multiple resources.
- Failure to match solicitor to the prospect.
- Failure to include spouse in the solicitation.
- Failure to do an adequate follow-up.

Some More Helpful Hints

- Be a good listener, as well as presenter.
- Be your own charming self.
- Ask for a gift in a particular range and ask for enough.
- Remain positive throughout the entire meeting.
- Make sure that you and other solicitors have made their own gifts before soliciting someone else.
- Know your prospect and do your homework before asking.
- Tailor your presentation to the donor's interests.
- Anticipate the prospect's objections and be prepared with answers.
- Leave a written proposal or a campaign kit as a record of your request.
- Use knowledge to reduce the fear of asking for major gifts.

Closing the Solicitation – The “Do’s” of Closing

- Summarize the conversation highlights and points of agreement.
- Assume the commitment and then convince the prospect that he/she is making the right decision.
- Emphasize the reasons why it is important to give now – because this is the time for ...
- Tailor each closing to a specific opportunity.
- Time your close so that it is natural.
- Look and listen for clues.
- Close at the prospect’s pace but try and avoid getting caught by their stalling tactics.
- Seek areas of agreement to launch the close.
- Underscore emotions, they are very important.
- Leave on an optimistic note.

Closing the Solicitation – The “Don’ts” of Closing

- Don’t give up.
- Don’t argue with the prospect.
- Don’t be apologetic about your request.
- Don’t make promises you can’t keep.
- Don’t knock other campaigns.
- Don’t oversell the project.
- Don’t confuse your prospect with too much information.
- Don’t talk too much. Get your prospect’s reaction. Listen, listen, listen.
- Don’t fail to suggest action. This is your role as a solicitor.
- Don’t be overjoyed when you get a commitment. Be appropriately grateful.

Sample Solicitation Phrases – “How do you say that?”

Many people find it awkward talking about their own giving. Prospects, however, often want to know how much you have given when they are talking to you. Prospects want to be able to put their gift into context; they want to know what’s expected of them. The best way to accomplish that is to talk about your own giving or to talk about the level of gifts that have been received by your organization already.

Many people are simply not used to asking people or organizations for money. Don’t worry, it’s not as bad as you think. All you are doing is telling a story and you are inviting your prospect to join you in that amazing story.

Here are some **examples**, feel free to adapt these to your own situation. Remember, make it your story!

Practice these in a group meeting or on your own.

- As you can see, the need is great, and our kids are depending on our being able to provide this new facility for them. That’s why your gift of (\$ amount) will



make such an important difference at this time.

- Given your support of other good causes in this area, I was hoping you would join with (names of other people giving at the same level) in helping us meet our (\$ amount) goal.
- I know you have been looking for a way to honor your family's long-time relationship with this community. We feel that by joining us in making a special gift of \$_____ at this time you can do just that while making a lasting impact on the lives of our residents.
- In order for this effort to be successful, we are hoping to get as many gifts as possible from our organization's families, friends and neighbors. As you can see from this giving pyramid (gift chart) it will take gifts of all levels for us to reach our goal. I hope you will consider joining me in supporting the campaign. Do you see a giving level that's right for you?
- Mary and I are really excited to be a part of this organization's success. We really thought about it, and our gift to your organization is the biggest gift we have ever given to a charity. We hope you will be able to make a gift to this effort too.
- The program has been going really well so far. We have received gifts at all levels, and we are really delighted. We have gifts from families at the \$50 and \$100 level all the way up to \$25,000! We hope that you will think carefully about this campaign and make a gift that feels good to you.
- Albert and I were so pleased that we were asked to serve as volunteers. We understand the importance of setting our sights high and of encouraging others to do the same. We are pledging \$7,500 this year. It's a stretch gift, but we felt it was important to set a good example. I hope that you and Danielle will join us by considering a gift of \$5,000.
- The families in our class are working really hard to achieve 100% participation in the campaign, and we are almost there. We want to make sure that no one is left out! Can we count you in? Some of us are going the extra mile with this program. We gave \$500. Would you consider a gift at that level?
- We are working hard to bring this extraordinary resource to our community this year. Based on our conversation, I can tell that you're as interested in our project as we are. Will you consider making a special gift this year to make this happen?
- As we've talked, I know that you are really focused on measurable results. I feel confident in our organization's ability to produce some real breakthroughs with this new project. Can we count on you to join our new venture group with a gift of \$5,000? I know that we can have real impact here if you join us.
- It's so obvious that you care deeply about this cause; I wish more people could hear what you have told me here today. I think this project will give you a really special opportunity for you to take your involvement to a new level. Will you join me in the Major Donors' Club with a gift of \$10,000?
- Your example of commitment to this organization has touched all of us on the staff, and we are grateful. I am hoping that you can build on that commitment by becoming a charter member of our Major Donors' Club with a gift of \$1,000. Your leadership would send a valuable signal to all of our donors.

Section 8 - GRANTS

This section is focused primarily on grants from private sources.

Assessing the role for foundations

Foundation funding should comprise part, but not all, of your funding sources. Foundation grants are excellent sources of support for new programs, innovative projects or program expansions. They are not useful, in most cases, for sustainability. Foundations can change their programmatic focus. Their asset bases are tied to the success of the financial markets, and hence they can be unpredictable when the economy goes sour.

Developing an effective grant program

Foundation Grants Program

1. Find the largest number of prospective funders through general research.
2. Examine each to see if it is a good fit; narrow list to 10-15 good prospects.
3. Gather more details about promising prospects.
 - a. Interface this list with Task Force and Fundraising Working Group contacts. (Who knows Who)
 - b. Involve Coordinators in prioritization of prospects and projects to be supported.
4. Create a tracking list that summarizes the information gathered about the top prospects; enter the information into development database.
5. Develop a calendar for proposal submissions based on priorities and the funders' deadlines.
 - a. Keep key people informed as deadlines approach.
 - b. Individual strategies are developed for each prospect.
6. Contact prospective funders – as appropriate – in order of priority.
7. Cultivate/engage prospect as appropriate.
 - a. Site visits.
 - b. Contacts by volunteers to prospects.
8. Prepare proposal.
 - a. Established procedure for review/approval of proposals.
 - b. Prospect's application guidelines followed exactly.
9. Follow up/acknowledge/evaluate/report.
 - a. Interface with accounting function.
 - b. Interface with staff leading funded project.
 - c. Success here helps ensure next grant.



Using Common Grant Application Forms

Many foundations accept what is known as the “Common Grant Application” form. It is a basic grant proposal format that is developed by a regional association of grantmakers. Exploring the elements that are required to complete the Common Grant Application can be very useful in developing your

own proposals. Bear in mind, not all foundations accept the CGA, but it can be a great tool in crafting a standard proposal for your program. Always read a foundation's application guidelines carefully before applying.

To find regional association in your area, visit the **Giving Forum** at www.givingforum.org and use their search function to locate information on their 31 member regional associations of grantmakers.

In the Appendix, you will find a set of instructions on how to complete a proposal using the Common Grant Application as a guide.

Using grantwriters

Small nonprofit organizations without the discretionary funds to hire a grantwriting specialist must decide whether to educate existing staff in proposal preparation, recruit a local volunteer with solid writing skills, or hire a fundraising consultant. Fortunately, free web resources can help beginners learn the basics of grantwriting. Of course, be realistic -- the designated staff person should already know the fundamentals of clear writing, have an analytical mind, and love detail like a bureaucrat.

Although beginners might lack the strategic sophistication of a professional grantwriter, funders are more concerned with the quality of the organization than grammatical perfection. (Nonetheless, proofread carefully and use spell check.) In fact, the Hewlett Foundation's guidelines state: "While the Foundation respects the aid that grant writers provide, it has been our experience that proposals are less persuasive and thus less competitive when they lack the voice and do not directly reflect the thinking of those involved in the conception and responsible for the execution of the proposed project."

Grantwriting fees vary enormously, from \$15 an hour for less-experienced writers to \$1,250 per diem or \$10,000 per government proposal prepared by consulting firms. A good strategy might be to use a professional to prepare a boilerplate "case statement" that describes your organization and the various projects that need funding. Then you can cut and paste from this document to prepare proposals for specific foundations.

Another option is to partner with an established nonprofit organization in your area that has experienced staff and would be interested in co-sponsoring a project. Most foundations are hesitant to support brand new charities because of concerns about fiscal accountability. So the proposal would probably be far stronger if you could draw on the track record and infrastructure of an older institution.

Sometimes new nonprofits ask about commission arrangements, where the grantwriter only gets paid a percentage if funding is received. But this is considered highly unethical. Most grantwriters require hourly or per diem compensation, rather than deferred pay contingent on grants received. In fact, the "Code of Ethical Principles and Standards of Professional Practice" of the Association of Fundraising Professionals opposes deferred payment: "Members shall work for a salary or fee, not percentage-based compensation or a commission. Members shall not pay, seek or accept finder's fees, commissions or percentage compensation based on charitable contributions raised, and shall, to the best of their ability, discourage their organizations from making such payments based on charitable contributions."

Suggestions for hiring and retaining a grantwriter:

1. Review a list of grantwriters in your area to get a general understanding of their experience, fees, etc.
2. Choose several grantwriters to contact. Some programs only seek out grantwriters in their state. However, many grantwriters successfully have



- worked with, and secured grants for, schools and other nonprofits located outside their home state. With today's technology, conference calls, faxes, e-mail, etc. can enable grantwriter and nonprofit to communicate very effectively. We encourage you to choose a grantwriter based upon experience rather than solely on his/her location.
3. Call or e-mail your selected grantwriters and ask them to send you a) their resume, b) a list of the private and/or government grants they've written and received, and c) any additional information you would like (experience working with other similar organizations, sample proposals, etc.).
 4. Interview the prospective grantwriters in person or over the phone (if s/he is out of state). Ask for specific examples and samples of grants s/he has written that were funded, including the amounts. **TIP:** Ask about the grantwriters' full background in the nonprofit sector. Some grantwriters have extensive experience in other areas, such as foundation and/or major donor fundraising, that also might benefit your program.
 5. Once you identify the grantwriter you wish to hire, ask him/her for a written contract outlining the services s/he will provide and the fee for these services. The grantwriter's responsibilities should include reviewing all program materials, providing a draft of the grant 10 days or so before the deadline for your review, and providing a final draft at least 2-3 days before the deadline so you can send it out on time. The contract also should include the activities your program will complete, such as supplying all materials the grantwriter will need to write the grant, and making follow-up phone calls to the granter (if applicable).
 6. Have both parties sign the contract upon agreement of the terms.

IMPORTANT: No grantwriter can guarantee your program will receive a grant from the proposal or grant s/he writes. . . . Proposals are judged as much or more on the quality of your program as how well they are written. A good grantwriter will present your program or plan in a compelling, informative, accurate way that follows all guidelines, but s/he must have the information from your program in order to do so.

Section 9 - SPONSORSHIPS

In simplest terms, a sponsorship is the payment by a donor to partially or fully underwrite or subsidize the cost of an activity or event. Typical examples include a "hole sponsorship" in a fund-raising golf event, sponsorship of a musical or theatrical performance, or sponsorship of a celebrity coming to campus for a speaking engagement.

Sponsors may legitimately receive "sponsor acknowledgment" and still have their support be termed a gift donation. Sponsor acknowledgment may be as simple as the sponsor's name being listed on a program brochure; other times it may be displaying the sponsor's business logo. In essence, the organization is acknowledging the support of the sponsors. Sponsor acknowledgment is recognition of the sponsor as a supporter of the event/activity; it may contain the sponsor's name and/or logo or product, but cannot contain any inducement to purchase the sponsor's product, or any product prices, or any qualitative or comparative language. Any acknowledgments that contain these latter elements would make it "advertising," and thus unallowable to be termed a gift donation.

Corporations in most case have very specific guidelines that direct how their corporate sponsorship dollars are spent. Such goals can be very simple, such as those used by Boeing:

The emphasis of the Boeing corporate sponsorship program is on building long-term partnerships by supporting a select number of events and activities that resonate with the Boeing business and brand strategies.

Sponsorship proposals are evaluated against six general criteria. These criteria have been developed to ensure that Boeing establishes sponsorship relationships that will mutually benefit Boeing and the receiving organization.

Proposals are evaluated for:

- *Tangible benefits associated with the partnership.*
- *Opportunity to create long-term value.*
- *Ability to reach targeted audiences and build relationships.*
- *Positive exposure for the Boeing brand.*
- *Potential to be leveraged with additional resource investment.*
- *Potential for long-term, sustainable partnership or relationship.*

Example of the Sponsorship Process

- 1. Define your audience**
- 2. Set sponsorship levels**
- 3. Make lots of phone calls**
- 4. Send letters to your prospects**
- 5. Follow up**
- 6. Cultivate your relationships with sponsors**
- 7. Don't forget non-sponsors**
- 8. Deliver on your promises**
- 9. Sponsor stewardship**



1. Define your audience

Sending "blind" proposals usually does not work well. Knowing your audience helps you figure out who to solicit.

Try to think as broadly as you can about your potential audience. Sponsors may not be interested solely in your organization; they may be interested in getting their product into the hands of your audience. Another advantage to inviting a new pool of people is that more people will know about your organization and possibly volunteer or donate money. Once you have established your audience, do some brainstorming. Think about which companies and local businesses are likely to be interested in reaching your audience.

2. Set sponsorship levels

Make sure the benefits at each level are distinct and enticing enough to encourage previous sponsors to move up a level.

It's a good idea to have a wide range of levels so that smaller businesses as well as larger companies can find a level that suits their needs and budget. You should base your sponsor levels on the benefits to the company. Put a price on each benefit you'll offer and add the prices in each level. This will give you an idea as to the cost of a sponsorship at each level. Know in advance that you may have to be flexible and customize levels for some sponsors to meet their marketing needs. Here are a few benefits you might want to consider offering:

- sponsor banner displayed at event;
- sponsor name announced at event;
- small sponsor banner or logo displayed on podium;
- sponsor name or logo in advertisements in newspapers and magazines;
- sponsor ad in program or flyer;
- sponsor logo on your program's website (can include a hotlink to their site); and
- sponsor logo on T-shirt.



3. Make lots of phone calls

The most time-consuming-but ultimately money-saving-step: Get on the phone and pitch your event as a great marketing opportunity.

Call local business to find out if they're interested in reaching your market. When you begin your conversation, focus on how the company will benefit: "This is Such And Such from My Organization. I thought you might be interested in marketing your company's products/services at an upcoming event we're hosting...do you have a few seconds?" Come up with a pitch that in 20 seconds OR LESS explains the event, audience and some benefits to the company. If they are interested, you can always go into more detail or send more information.

Your calls will vary with the type and size of company you contact. Large companies receive countless requests for sponsorship, and they may have a sponsorship recording that gives you their guidelines for requests. These companies usually put together their budgets once a year, often October, so you may have to send your proposal months ahead of time.

Once you've made all these calls, review your notes and prepare a list of companies you will solicit. Yes, this takes a lot of time, but it can save your organization money. Instead of blindly sending out proposals to hundreds of businesses, ignoring their guidelines and focus areas, you can send dozens of proposals to companies who have already expressed interest in your event.

4. Send letters to your prospects

It's important that sponsors feel you are asking money specifically from their company, and they're not just part of a massive group.

Keep your letters short. As in your phone calls, concentrate on the exposure the company will receive for their money, not on how the money will help you. With large corporations, it's especially true that their marketing budgets are usually much larger than their charitable donations budget.

Whenever possible, customize the letter. With the size and type of company in mind, request a particular level from each potential sponsor. Make sure sponsor benefits are easily found in your letter and they're easy to understand. Consider using bullet points to make the benefits stand out. Make sure your letters include your name, address and phone number, the date and location of the event and the address (es) to send checks and in-kind donations. If you have 501(c) (3) status, be sure to say so, as some companies will only sponsor those agencies.

5. Follow up

Don't be afraid to call potential sponsors to find out their thoughts on sponsorship.

After receiving your letter, some companies will call you to say they're interested in sponsoring. Most will not. It's up to you to follow up with them about two to three weeks after sending your proposal. Some interested companies may request face-to-face meetings, but most sponsor communication will be done via phone, fax and e-mail. One possible way to begin your follow-up call: "This is Such And Such from My Organization. I just wanted to follow up on the sponsorship request I sent. Do you have a few seconds?" If they don't, ask when would be a better time to call back. Then be sure to call back at the requested time. If they say yes, your response might be: "Do you have any questions? Does it look like something you might be interested in for this year?" If they aren't interested, find out why not. Keep good notes so you remember next year not to re-call people who said they definitely would not be interested.

6. Cultivate your relationships with sponsors

Don't drop your sponsors once they've agreed to send you money.

One of the worst messages to send to a sponsor is: "I just cared about getting your money. Now that I've got it, I'm going to disappear." Make sure sponsors see that you value their support. Once a company has agreed to sponsor, send them a thank-you letter that recaps the benefits at the level they've chosen. After you receive their check, send another thank-you. If your organization has a newsletter, begin sending it to them. If you don't have a newsletter, send them periodical updates on your organization and/or the event. Any time you think a sponsor has a concern about something, give them a call. If a sponsor calls you, make it a point to return their call as soon as possible.

7. Don't forget non-sponsors

Perhaps people who weren't able to sponsor may be interested in attending your event.

As your event draws near, send invitations to some of the companies that did not sponsor. You might want to say something like, "Even though you weren't able to sponsor us this year, we hope you'll consider attending or volunteering during the event." Sometimes, an employee from the company will attend, see what a great event it is, and make sure money is budgeted next year for sponsorship.

8. Deliver on your promises

Publicity is why your sponsors signed on...so make sure they get it!

This sounds obvious, but make sure your sponsors receive everything promised. If you can give them added publicity, by way of name announcement, etc., do so. You don't want to put all the work into acquiring sponsors and then not deliver results.

9. Sponsor stewardship

Don't drop your sponsors after the event.

Send thank-you letters to sponsors after the event. Let them know how successful the event was, how much money was raised, the final attendance count, etc. Even after the final tasks of the event have been taken care of, and that last thank-you has been sent, keep in touch with your sponsors! You don't want to only contact them once sponsorship solicitation starts up again. The bottom line is recognizing that each sponsor has unique needs and concerns. Do what you can to accommodate your sponsors while striving to make your event a successful continuation of your organization's mission.

The Lumina Foundation Sponsorship Guidelines

IMPORTANT NOTE: All of your sponsorships must abide by the guidelines established by the Lumina Foundation. If you have any questions about this, you should contact the College Goal Sunday national operations office at NASFAA.

I. Purpose

- a. College Goal Sunday (College Goal Sunday) is a volunteer, charitable effort to assist low-income families and those who have no college-going tradition. Specifically, College Goal Sunday helps families complete the universal application (Free Application for Federal Student Aid form – the FAFSA) required to qualify for college financial aid nationwide. The initiative began in Indiana in 1989, when it became evident that many families were not aware that millions of dollars in financial aid were available and that they needed assistance to complete the required form. The College Goal Sunday program was created by the Indiana Student Financial Aid Association with funding from the Lilly Endowment, Inc. and with supplemental support from Lumina Foundation for Education, Inc. The program expanded to Arizona in 1997 and Kansas in 1999. The National Association of Student Financial Aid Administrators (NASFAA) currently manages the program under a grant from Lumina Foundation. In 2004 there are 20 states with College Goal Sunday programs.

II. Collaboration with the National Association of Student Financial Aid Administrators (NASFAA)

- a. In 2004 Lumina Foundation collaborated with NASFAA to expand College Goal Sunday. Through this collaboration, Lumina Foundation retains control of the College Goal Sunday name and continues to make the College Goal Sunday grants. NASFAA provides program development, communication and fund-raising and technical support. The collaboration provides NASFAA with the responsibility of supporting College Goal Sunday grantees to further the effort of the College Goal Sunday program.
- b. NASFAA will embark on fund-raising efforts for College Goal Sunday. Such fund-raising efforts will include national support and assisting individual College Goal Sunday programs in their efforts to raise local support.
- c. In conducting such fund-raising efforts, all College Goal Sunday programs will adhere to the sponsorship provisions set forth in III below.

III. Sponsorships

- a. The success of College Goal Sunday depends in part on support from the communities in which it takes place. This support is from non-profit entities, businesses and individuals who support the educational and charitable mission of College Goal Sunday (“Sponsors”).

Sponsors are invited, and encouraged to contribute to College Goal Sunday, subject to the following:

- i. The name and identity of College Goal Sunday must be protected. A sponsor may not be the exclusive, or sole, sponsor of College Goal Sunday nor may a sponsor state or imply ownership or control of the College Goal Sunday name or program.
- ii. Sponsors of College Goal Sunday will be recognized as being a sponsor of the program through listings in promotional materials.
- iii. Sponsorship of College Goal Sunday is a charitable opportunity for a sponsor. Although sponsors will be recognized as set forth in ii above, sponsorship is not a business development or marketing opportunity for a sponsor. Further, sponsorship of College Goal Sunday is not to be used to further a political agenda, position or platform.
- iv. Sponsors of College Goal Sunday will be businesses whose missions are both consistent with and in furtherance of the mission of College Goal Sunday. Further, businesses that sponsor College Goal Sunday will have business efforts that are consistent with prevailing community standards.
- v. Sponsorship contributions will be tax-deductible to the sponsor as a charitable contribution to the extent provided by law.
- vi. Non-profit entities may be sponsors of College Goal Sunday through grants and contributions to College Goal Sunday.

IV. Use of the College Goal Sunday Name

- a. To protect the College Goal Sunday name and to ensure consistency in communications efforts, all College Goal Sunday programs will adhere to the following:
 - i. In all informational materials, organizations are asked to use the service marks symbol (SM) after the first textual reference to College Goal Sunday. Subsequent references need not carry the mark.
- b. Lumina Foundation is committed to recognizing the original organizers of College Goal Sunday as it seeks to expand the program. Therefore, organizations will use the following language, including the service mark, as part of any widely disseminated promotional or informational material:
 - i. *The College Goal Sunday SM program was created by the Indiana Student Financial Aid Association with funding from Lilly Endowment, Inc. and with supplemental support from Lumina Foundation for Education.*
- c. Sponsoring organizations will use the official College Goal Sunday logo provided by Lumina Foundation and NAFSAA and Sponsors will create material that fits with the look and feel of sample materials provided by the Foundation and NASFAA. The goal is not that College Goal Sunday materials be identical in content or format, but that they bear a family resemblance. To achieve that goal, organizations are asked to submit layouts of their material to the Director of College Goal Sunday Operations at NASFAA for approval prior to publication.
- d. Sponsors may use the College Goal Sunday logo only on materials that promote the College Goal Sunday Program.

Section 10 - ADVANCED TOPICS

Special events

Defining Special Events

Special events, often called fundraising benefits, are social gatherings that accomplish or include any or all of the following:

- Generate publicity for the nonprofit organization;
- Raise money for the nonprofit organization;
- Request attendance for a fee or ticket charge, but offer some form of entertainment in exchange; and
- Include extravaganzas (gala dinner-dances, benefit concerts, cruises, and major sporting events), events for bargain hunters and gamblers (bingos, raffles, casino nights, garage sales, rummage sales, auctions, flea markets, and bake sales), and educational events (ranging from major speakers that fill large auditoriums to slide shows shown in community centers).

This it is not a hard and fast rule, some believe that special events should not be conducted unless the net profit realized will be 50 percent or more of its gross proceeds.

Beyond the Dollars – The Importance of Events

Although special events often raise a small amount of net proceeds and require a large amount of time and energy to plan and implement, they have other benefits. These can include the opportunity for your program to:

1. Increase public visibility for your program;
2. Provide active roles for volunteers who work for the organization;
3. Provide leadership training and development;
4. Cultivate new prospects;
5. Improve current donor relations; and
6. Educate the public regarding your program and its work in the community.

Other Concepts that are Related to Special Events

1. Donor Relations – special events are ideal for building stronger relationships with current donors.
2. “Friend” Raising – invite potential donors; even if the event doesn’t generate a large amount of funds, it will have generated a large amount of friends for your organization and its staff.
3. In-kind Gifts – recognize companies in the event program that donate goods or services gifts to be auctioned or used as parting attendee gifts, bringing increased visibility to these companies as well.
4. Marketing – think of special events fundraising as marketing your organization to the community, donors and potential donors.
5. Public Relations – invite media to the event and generate as much publicity as possible.
6. Sponsorships – partner with for-profit companies to sponsor the event and save fundraising costs.
7. Volunteer Involvement – special events require a large amount of time and organization; assemble a strong team of volunteers to help get the job done.

HOW EVENTS CAN HELP YOUR ORGANIZATION

Ask yourself some key questions to get you started:

- What's the purpose of the event?
- How does it fit into the overall fundraising plan?
- What type of event works best?
- Where should it be held?
- Who should be involved?

How do you evaluate any special event or fundraising event to see if it will work for our program? Use the “I” Exam as a way to accomplish this.

The “I” Exam

INCREASE
INVITE
INFORM
IMPROVE
INVIGORATE
ILLUSTRATE
INVESTMENT



- Does the event **INCREASE** the size of the gifts you'll get?
 - The event should help you to get gifts of \$500 instead of \$100; \$50 instead of \$5, etc.
- Will it **INVITE** participation from the broadest range of people?
 - Your efforts should bring in many people, not just a select few, to play a part in making it a success.
- Does it **INFORM** participants about your programs?
 - If someone makes a gift or attends an event, do they know what they have supported? Will they care?
- Will it **IMPROVE** the prestige or notoriety of your organization, the issue of college access, college applicants?
 - The activity should strengthen your mission, reflect your values and demonstrate that your organization is successful.
- Will the event **INVIGORATE** the constituents – members, business leaders, neighbors, friends, etc. – who participate?
 - Everyone should feel good about being a part of the activity.
- Will it **ILLUSTRATE** why you're raising funds and build awareness of your program's needs?
 - The community may not know about your needs. Make sure a fundraising program brings those needs to the attention of those who can make a difference.
- Does the activity provide for a good return on your **INVESTMENT**?
 - This is really critical. After you invest a lot of time, effort and energy into it, the activity should make financial sense.

Using fundraising or development consultants

The employment of a professional fundraising or development counsel is an investment in your organization's future that deserves careful evaluation. We believe it is useful to keep the desired end result in mind while making this determination. You should always start with a discussion that focuses on what you wish to accomplish by turning to outside counsel.

1. Determine what your organization wants to accomplish and the expertise and set of skills you are seeking in a consultant.

2. Identify prospective consultants by networking with colleagues, contacting similar organizations, and consulting professional sources, such as the Association of Philanthropic Counsel, the Association of Fundraising Professionals or The Chronicle of Philanthropy.
3. Request informational packets and consulting fee structures. Conduct an informational interview with prospective firms in order to narrow the field.
4. Prepare a request for proposals (RFP) and send to consultants you have identified. Request at least three references from the consultant's clients.
5. Review proposals. Proposals should clearly present a proposed scope of work, the activities to be conducted, a timetable, expected deliverables, fees and expenses. Ask them to provide the expertise/background of the representatives who will actually provide the services to your organization. Ask them to list any professional affiliations they or their firm may have, such as APC, the Association of Healthcare Philanthropy or the Chamber of Commerce, for example.
6. Interview several candidates and check references. Always check references carefully. Ask the clients if they would hire the firm again. You may want to ask for three references from satisfied clients and one reference from a client whose goal was not achieved or where the firm or the organization resigned from the contract.
7. In addition to skills and experience, chemistry is an important factor in a successful consulting relationship. Your close working relationship with your consultant requires confidence and trust. Seek an individual or firm who relates well to staff, volunteers and board members.
8. Notify all candidates of your decision in a timely manner. Do not hesitate to provide helpful feedback to consultants who were not selected, if appropriate.
9. Typically consultants prepare a contract for services. Review it carefully. The agreement should include the following: description of deliverables including expected results, activities to be conducted, timeline, designated consultant for your project, professional fees and a budget for additional direct expenses, payment schedule and termination provisions. This is an important document for both the consultant as well as for your organization. Take the time to make sure this is done properly and that everyone is comfortable with the contract's provisions.
10. Once the consultant is hired, schedule meetings at regular intervals to review progress and to monitor deliverables.

Section 11 - RESOURCES

Places on the Internet to find helpful information

Techsoup

www.techsoup.org

Excellent resource for technology issues, information on donated software and more

Charity Channel

www.charitychannel.com

The largest online forum for nonprofit professionals; e-newsletters, classifieds, discussion forums and more

Idealist

www.idealist.org

Another excellent online forum; sponsored by Action Without Borders

Nonprofit Oyster

www.nonprofitoyster.com

An online forum for jobseekers and employers

FundraisingInfo

www.fundraisinginfo.com

Lots of good subject-based information on a variety of topics; does require a subscription

National Charter School Clearinghouse

<http://www.ncsc.info/>

Click on the "Funding" link on this page for an excellent range of informational topics.

Supporting Advancement

www.supportingadvancement.com

Useful Facilities and Organizations

The Foundation Center

www.fdncenter.org

The Foundation Center's mission is to strengthen the nonprofit sector by advancing knowledge about U.S. philanthropy. The headquarters is in New York City, and the library/learning centers are located in Atlanta, Cleveland, San Francisco, and Washington, DC. There are cooperating collections located in library and other facilities nationwide.

AFP International - The Association of Fundraising Professionals (AFP) (www.afpnet.org) is the leading professional association for fundraising executives who work for nonprofit and philanthropic organizations. It now serves more than 26,000 members in over 174 chapters throughout the world. AFP offers continuing education and career development services, including a certification program for fundraising professionals, and subscribes to a comprehensive code of ethics.

Resource Center - Alexandria, VA

800-688-FIND

<http://www.afpnet.org>

The AFP Resource Center has a comprehensive collection of books, magazines and other materials on fundraising, nonprofit management and lots more. Many of the same materials are available by phone. There is no charge for AFP members.

BoardSource - Washington DC

202-452-6262

800-883-6262

www.boardsource.org

The leading authorities in volunteer leadership for nonprofits, BoardSource – formerly the National Center for Nonprofit Boards – has a comprehensive catalog of materials, consulting services, online papers covering a variety of subject matter and lots more. There is a membership fee. There is a small library at their Washington, DC office.

Center for Nonprofit Advancement - Washington, DC

202-457-0540

<http://www.nonprofitadvancement.org>

The Center is an organizational membership group serving more than 1,000 nonprofits throughout the Washington, DC area. They publish a newsletter and a catalog of their services, and they offer a complete range of educational programming. Look for other similar associations for nonprofit organizations such as the Michigan Nonprofit Association and the Ohio Association of Nonprofit Organizations through the National Council of Nonprofit Associations at www.ncna.org.

Washington Grantmakers - Washington, DC 20036

202-939-3440

info@washingtongrantmakers.org

www.washingtongrantmakers.org

Washington Grantmakers identifies and supports effective leadership in the philanthropic sector; promotes effective grantmaking; works with nonprofit partners to promote new approaches to meeting community needs; tells the story of how philanthropy can make a difference; and advocates for all grantmakers in the region. Visit their web site, and click on the resources for grantmakers page. There you will find links to many of their partners from around the country, such as the Giving Forum at www.givingforum.org.

Gifts In Kind International - Alexandria, VA

(703) 836-2121

www.giftsinkind.org

Gifts In Kind International is dedicated to providing quality products and services nonprofits need to continue improving lives and communities around the world. Nonprofit organizations with 501(c)(3) Federal tax-exempt status (or similar status for the country in which the charity is located), Indian Reservations, and tax-exempt educational organizations are eligible to access donated products and special pricing programs through Gifts In Kind International.

Publications and Books

Chronicle of Philanthropy – www.philanthropy.com – national publication on fundraising and nonprofit management.

Chronicle of Higher Education – www.chronicle.com – national newspaper on education and educational funding.

CASE – Council for the Advancement and Support of Education – “Currents” Magazine – www.case.org.

- Bremner, Robert H. "American Philanthropy." University of Chicago Press, 1988.
- Ciconte, Barbara L. and Jacob, Jeanne G. "Fundraising Basics – A Complete Guide" 2nd ed., Aspen Publications, 2001.
- Flanagan, Joan. "The Grass Roots Fundraising Book." The Swallow Press Inc, 1977.
- Grace, Kay Sprinkel & Wendroff, Alan. "High Impact Philanthropy." John Wiley & Sons, 2001.
- Howe, Fisher. "The Board Member's Guide to Fund Raising." Jossey-Bass, 1991.
- Klein, Kim. "Fundraising for Social Change." 4th ed., Chardon Press, 2001.
- Lautman, Kay Partney. "Direct Marketing for Nonprofits – Essential Techniques for the New Era." Aspen Publishers, 2001.
- Petty, Janice Gow. "Cultivating Diversity in Fundraising." John Wiley & Sons, Inc., 2002.
- Rosso, Henry & Tempel, Eugene & Associates. "Achieving Excellence in Fund Raising." 2nd ed., Jossey-Bass, 2003.
- Shore, Bill. "Revolution of the Heart: A New Strategy for Creating Wealth and Meaningful Change." Riverhead Press, 1995.
- Shore, Bill. "The Cathedral Within: Transforming Your Life by Giving Something Back." Random House, 1999.
- AFP Ready Reference Series - www.afpnet.org/publications/ready_reference_series
- AFP/Wiley Fund Development Series - www.afpnet.org/publications/afp_fund_development_series

Developed 2005-06 by
Capital Development Strategies
Marshall H. Ginn, CFRE

For more information, contact us:

Capital Development Strategies
2009 14th Street North
Suite 303
Arlington, VA 22201
703-875-3000
info@capdevstrat.com
www.capdevstrat.com

APPENDICES



Create a Campaign Template

STEP	STRATEGY/TACTICS	Where to Turn for Help
Define – What are you trying to accomplish?		
Identify – Who is your target?		
Set objectives – What do you want that prospect to do?		
Research – Find out all you can.		
Plan – Include strategies, tactics, timelines, etc.		
Implement – Assign responsibilities, keep to the timeline		
Learn – Adjust as needed		
Evaluate – Document what happens, share results		

Example of Create a Campaign Template with a sample campaign

STEP	STRATEGY/TACTICS	Where to Turn for Help
Define – What are you trying to accomplish?	Establish a corporate membership program for small businesses in the state	
Identify – Who is your target?	<p>Members of the state-wide Chamber of Commerce</p> <p>Members of the Chambers of Commerce of the state’s three largest communities, including the capital.</p>	
Set objectives – What do you want that prospect to do?	<p>Small businesses will be asked to become a “Supporting Member” of College Goal Sunday. The minimum gift amount will be \$250.</p> <p>These new members will be asked to display a small sign – “Our business supports College Goal Sunday” – in their window or lobby, etc.</p>	
Research – Find out all you can.	<p>Identify which members of the Task Force are members of a local chamber of commerce.</p> <p>Go to chamber websites to learn about their meetings, policies for list rental, etc.</p> <p>Have members of the Task Force or the Fundraising Working Group to attend regular chamber meetings.</p>	Business journals, websites, key volunteers
Plan – Include strategies, tactics, timelines, etc.	<p>March – do research, attend meetings</p> <p>April – continue to attend meetings</p> <p>May – prepare and send invitation mailing</p> <p>June – follow up phone calls to top businesses in key markets</p> <p>July/Aug – prepare for acknowledgement letters and mailing window signs out to donors</p> <p>Sept – report progress to Task Force</p>	Fundraising toolkit
Implement – Assign responsibilities, keep to the timeline	<p>Fundraising Working Group sub-committee to take the lead on this</p> <p>Report to Task Force on a regular basis</p>	
Learn – Adjust as needed	Be flexible with follow up tactics based on businesses responding	
Evaluate – Document what happens, share results	<p>Track responses in various communities</p> <p>Track key questions/issues raised</p> <p>Invite participating business leader to assume other roles in recruiting new business members.</p>	

Fundraising Plan Formats – SAMPLE ONE – Simple use of a spreadsheet or table

OCTOBER 2003		
Date	Area	Activity
10/1	Communications	Fall Newsletter delivered to Mail House
10/2		
10/3	Workplace Giving	Work place giving presentation at Federal Agency
10/4		
10/5	Special Events	Theatre Event final committee meeting
10/6	Major Gifts	Lunch with John Q Donor to talk about project
10/7		
10/8	Board	Fundraising Committee Meeting at the office
10/9	Special Events	Silent auction catalogs are delivered to the Theatre
10/10	Special Events	Theatre Event
10/11		
10/12		
10/13		
10/14	Database	Database update with Theatre event names
10/15	Special Events	Theatre event thank you letters
10/16		
10/17	Foundations	ABC Foundation Report Due
10/18		
10/19	Special Events	Regional walk event in the community
10/20	Major Gifts	Donor calls for ED and DoD
10/21	Annual Fund	First draft of year-end letter due to the Board Chair
10/22	Foundations	XYZ Foundation proposal draft to program staff for final review
10/23	Corporations	Presentation at Acme Corporation Community Relations Committee meeting
10/24		
10/25		
10/26		
10/27	Volunteers	Committee meeting for holiday volunteer recognition reception in December
10/28	Annual Fund	Confirm production time line with mail house for year-end appeal
10/29		
10/30	Foundations	Deliver XYZ Foundation proposal
10/31	Database	Prepare month-end reports for Executive Committee

Fundraising Plan Formats – SAMPLE TWO – Comprehensive Plan with Strategies, Calendar and Goals

The ABC Foundation for the Arts
Operating Fundraising Plan 2001

INDIVIDUALS

Fundraising Strategies for Individuals for 2001:

- Goal: To raise \$86,400 through individual donations by December 31, 2001.
- Set annual goals for giving from individuals broken into the following categories:
 - Board Giving, Individuals-Major Gifts (over \$1,000) and Individuals-General Gifts
- Develop annual fund solicitation schedule.
- Solicit board members for annual contribution.
- Plan cultivation events at the homes of individuals, board sponsored receptions before concerts.
- Consider establishing a donor “membership” organization.
- Brainstorm ways to make members of this group feel more invested in the ABC Foundation.
- Provide fundraising training, particularly solicitation training for board and staff.
- Request that consultant provide a session in fundraising.
- Include a reminder about corporate matching gift programs on all individual gift solicitation materials.

Direct Mail Appeals

Goal: To raise \$36,000 through four direct mail appeals by December 31, 2001.

Quarter I: January 1-March 30, 2001

Valentine Thank you: February 1: No appeal
Spring Appeal Letter: March 15 Goal: \$9,000

Quarter II: April 1-June 30, 2001

Summer Literary Magazine: June 15

Quarter III: July 1-September 30, 2001

Fall Newsletter: September 15

Quarter IV: October 1- December 31, 2001

Holiday Newsletter: November 30

Individual Donors

Goal: To raise \$21,000 in individual donors gifts by December 31, 2001

Quarter I: January 1-March 30, 2001

Quarter II: April-June 30, 2001

Quarter III: July 1-September 30, 2001

Quarter IV: October 1-December 31, 2001

EVENTS

Fundraising Strategies for Events for 2001:

Establish an annual special event to raise awareness and funds for the ABC Foundation general operations.

Consider recognizing a person at event that personifies the ABC's commitment to the arts.

Goal: To raise \$29,400 through a series of events by December 31, 2001.

Quarter I: January 1-March 30, 2001

Cultivation Event (Susan Cooper): No financial goal

Quarter II: April 1-June 30, 2001

Cultivation Event: No Financial goal

Board Reception before Spring Concert on June 7: \$1,200

Quarter III: July 1-September 31, 2001

Cultivation Event: No Financial goal

Silent auction mid-August: \$2,000

Quarter IV: October 1-December 31, 2001

Cultivation Event: No Financial goal

Fundraising dinner mid October: \$25,000

Board Reception before Holiday Concert on December 16: \$1,200

Fundraising Plan Formats – SAMPLE THREE – Narrative with goals and strategies

ABC Children’s Services (ABCCS)

ABCCS has experienced record growth over the past four years. From FY99 to FY04, the budget increased to \$162,000. The launch of the After School Club last year, was one reason for such a large increase. ABCCS did conduct a special campaign during this time in order to meet the rise in expenses. ABCCS’s greatest fundraising asset has been its range of diverse funding sources and successful approaches in raising money. We have built a broad base of support – listed below – which enables us to stay afloat during good and bad economic times. It is imperative that we continue to build our capacity for fundraising by exploring new methods, tapping new sources, and presenting new opportunities to our supporters.

Revenue Goals FY04

Individuals	\$60,000
Foundations	\$15,000
Corporations	\$5,000
Events	\$25,000
Workplace Giving	\$5,000
Other Organizations	\$5,000
Planning Giving	\$10,000
Endowment	\$7,000
Total Revenue:	\$132,000
Operating Reserve	\$30,000
Total Expense Budget:	\$162,000

Individuals: \$60,000

Individual gifts are the largest pool of income for ABCCS. We will continue our successful individual fundraising program and engage in new activities in increase individual support.

On going activities:

In-house mailings- We will mail two solicitations per year to our existing donors. Our in-house grows about 100 names each year. These mailings are inexpensive, costing on average sixty five cents per piece, therefore highly profitable. We project revenue from our in-house mailings to increase by \$5,000 in FY04. Our assumption is based on the \$2,000 from our FY03 in-house mailings and the projected \$3,000 from a third additional mailing will generate.

Prospect mailing – We will mail two prospect solicitations this year. The goal of the prospect mailing is to bring in at least 75 new donors during FY04.

Newsletters – The newsletter is sent out two times a year to a large segment of the donor list. The newsletter mailing list has grown over the past year by approximately 100 names. The newsletter is mailed out between solicitation letters in order to maximize exposure and spread out giving opportunities. We anticipate revenues of \$2,000 from newsletter mailings (based on \$2,500 received in FY03).

Workplace giving – The United Way and CFC announced that revenue for FY094 will amount to \$5,000. In FY04 the 2003 workplace giving campaign will gear up in the fall to entice employees to designate gifts. We will reach out and participate in some workplace giving fairs but expend more of our efforts on scheduling speaking engagements and other activities with the greatest impact.

New Activities in FY04 to increase individual giving:

Goal: Bring 10 participants into our new *direct giving program*

Action: We will offer a pre-authorized debit option for donors who elect to make a monthly gift. This will generate predictable revenue and be highly cost effective. This will be advertised in the newsletter and on the webpage. Several donors have expressed interest in this and they will be contacted immediately.

Fundraising Plan Formats – SAMPLE FOUR – Narrative with Goals and Strategies

XYZ Housing Corporation

Present Status:

In FY04 XYZ Housing Corporation continues to focus on its major donors. In September 2004, XYZ will host its fourth annual Housing 4 All Luncheon. The event, which relies on pledges spanning a 3 year period, netted over \$250,000 in FY03, which was up from \$175,000 in FY02.

XYZ has developed the Communities in Faith Committee to streamline the process of disseminating information to those in the faith community. We hope that this process, the number of donors that can contribute will significantly increase.

XYZ continues to send appeal letters twice a year, once in May, and again in late November. The November FY04 appeal raised nearly \$15,000.

XYZ continues to participate in the Fannie Mae Help the Homeless Walk-a-Thon, although the amount raised is minimal.

Goals:

XYZ will continue to reach out to large and small businesses to increase support from these entities. The Business Cultivation Committee was formed in January 05 and will work towards increases giving in this area.

XYZ hopes to become a partner in the United Way and CFC efforts. A Workplace Giving Committee has been established and is working towards this effort.

XYZ will sign-up 3 community organizations to walk for XYZ in the Fannie Mae Help the Homeless Walk-a-Thon in order to boost revenue from this activity.

Successes:

For the third consecutive year, XYZ has 100% participation in board giving.

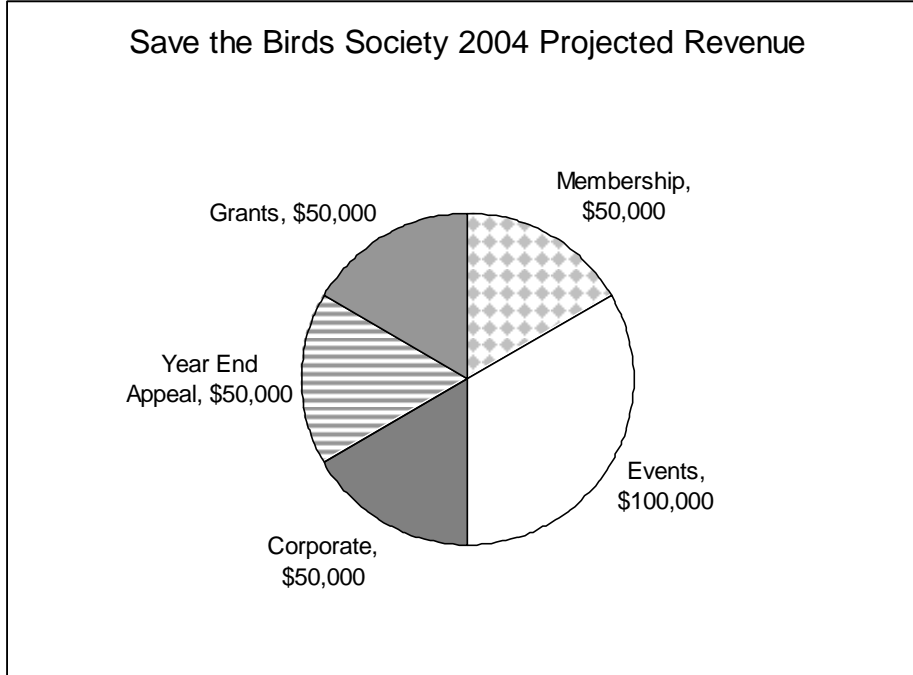
XYZ will receive a government grant in the amount of \$100,000 in FY05, its first ever grant of this size.

Donor communications, such as the newsletter, annual report, and donor calls, all happen in a timely manner.

XYZ continues to add to its database by approximately 50 names per month from reputable sources. XYZ is also diligent about maintaining accurate database records.

Fundraising Plan Formats – SAMPLE FIVE – Chart style with staff assignments and goals, including a report

Save the Birds Society Quarterly Annual Plan Report



Category	Objective	Steps Taken	Responsible Staff	Board Liaison	Outcome
Membership	Raise \$50,000 in renewed and new memberships.	Renewal notices sent out each month. Membership coupon in Newsletter mailed to 5,000 households.	Jane Doe	Membership Committee Chair	\$11,725 in renewals and new memberships as of 3/31, slightly behind for the year, but newsletter drops in April.
Scavenger Hunt (Event)	Raise \$100,000 through registrations and sponsorships.	Committee in place; is tracking registrations & sponsorships	Homer Simpson	Event Committee Chair	25K in sponsorships secured. Registration begins in May.

Common Grant Application Outline

Washington Grantmakers Common Grant Application Format

Formatting notes

Proposals should be printed on white paper, using a 12-point font (Times or similar) and one-inch margins on all sides; pages should be numbered.

Proposals should not be placed in binders or folders; one staple or paper clip in the upper-left hand corner, securing all pages, is sufficient.

I. Executive Summary (1-2 pages, single-spaced)

Application date

Organization's name and contact information (full address, including mailing address if different, telephone, fax, and Web address)

Organization's federal tax-exempt number

Contact person's name, title, and contact information (telephone, fax, e-mail)

Dollar amount of this funding request

Total program budget (if applicable)

Total current organizational budget and fiscal year

Period this funding request will cover

Purpose of this funding request, including target population, number of individuals, and geographic area(s) that will benefit from this proposal

Brief organizational history and brief description of previous year's accomplishments

Total support from this funder for the past three years: List year, amount, and purpose for all support

Signature of executive director

II. Narrative (No more than 8 double-spaced pages)

For All Requests: Information on Your Organization

Describe, in one paragraph, the organization's history, mission, and goals.

Describe current programs and activities, and recent organizational accomplishments.

How will this request enable the organization to build its capacity, address current limitations, and/or improve its ability to meet program or organizational goals?

Describe briefly the involvement of your target population(s) in implementing the work of the organization, if applicable.

PLEASE COMPLETE THE **ONE** SECTION BELOW WHICH IS RELEVANT TO THIS REQUEST. Be sure that the foundation to which you are applying supports the type of request you are making.

For Program Requests (including capacity building projects)

What is the issue/need to be addressed and evidence of that need?

For a **new** program: how was the program approach developed?

For an **ongoing** program: what measurable outcomes (defined as concrete changes or impact) have been achieved over the past year?

Does this program use best practices – i.e., is this program based on a program that has been shown to be effective in other settings, based on national standards, etc? If so, please describe.

What is the plan for implementation? (Narrative, table, or logic model format is acceptable.) What existing community resources (e.g., facilities, people) will be used? If applicable: what is the target population's involvement in this program's development and implementation?

Based on the implementation plan, what measurable outcomes will be achieved during this grant period? What are the measurable longer-term outcomes of this program? What

- methods/strategies will be used to gather data on the project? How will the program evaluation be used?
- How does this program fit into the work of this organization?
- How does this program relate to the work of other organizations in the same field and/or geographic area?
- What resources (financial, personnel, partnerships, etc.) will be needed to sustain this effort over time? How will those resources be secured?

For General Support Requests

- What are the issue(s) or need(s) to be addressed and the evidence of those issues or needs?
- For a **new** organization: how and why was the organization formed?
- For an **existing** organization: what measurable outcomes (defined as concrete change or impact) have been achieved over the past year?
- Does the organization use best practices – i.e., are any programs or operations based on ones that have been shown to be effective in other settings, based on national standards, etc? If so, please describe.
- What are the plans for the organization’s major program activities? (Narrative or table format is acceptable.) What existing community resources (e.g., facilities, people) will be used?
- Based on these activities, what measurable outcomes will be achieved during this grant period? What are the measurable longer-term outcomes of the organization’s work? What methods/strategies will be used to gather data? How will the evaluation be used?
- How does the work of this organization relate to the work of other organizations in the same field and/or geographic area?
- What resources (financial, personnel, partnerships, etc.) will be needed to sustain the organization over time? How will those resources be secured?

III. Finances (for all requests) – This information is not considered part of the narrative.

The following information must accompany all proposals, regardless of the size of the request. Not all categories may be applicable to your organization or request. You may submit this information in the format most convenient to you; it must, however, include as much of the following detail as possible. Footnotes may be used to explain budget items.

For all requests

1. Fiscal year
2. Financial statements:
 - a. For previous fiscal year: organizational budget v. actual, for both revenue and expenses (using categories below)
 - b. For current fiscal year:
 - i. Organizational budget v. actual, for both revenue and expenses (using categories below)
 - ii. Organization’s year-to-date Statement of Financial Position (Balance Sheet) and year-to-date Statement of Activities (Income Statement)
 - c. If this application is being made during the last quarter of the organization’s fiscal year, provide the organization’s projected/proposed/draft budget for the next fiscal year
3. If available: most recent audited financial statements (include auditor’s letter and notes). If you do not have an audit, provide pages 1-6 of most recent IRS Form-990.

For Program Requests (including capacity building) - In addition to the information requested above:

1. Financial statements:
 - a. For previous fiscal year: program budget v. actual, for both revenue and expenses (using categories below)
 - b. For current fiscal year: program budget v. actual, for both revenue and expenses (using categories below)

c. If this application is being made during the last quarter of the organization's fiscal year, provide the program's projected/proposed/draft budget for the next fiscal year

Revenue Categories: For each category, list specific amounts requested from foundations, corporations, and other funding sources for this proposal, as well as the status of those requests (pending or committed). For pending requests, please indicate the date you expect notification.

1. Grants/Contracts:
 - o Local/State/Federal Governments (please list source(s))
 - o Foundations
 - o Corporations
 - o United Way/Combined Federal Campaign and other federated campaigns
 - o Individual donors
 - o Other (specify)
2. Earned Revenue
 - o Events
 - o Publications and Products
 - o Fees
 - o Other (specify)
3. Membership Income
4. In-Kind Support (donated goods, services, equipment, non-cash items, volunteer hours)
5. Other (specify)
6. Total Revenue

Expense categories: Include the total amount for each category relevant to your organization. Skip categories where you have no expenses. Please show two columns – one listing the total expense and one listing the specific costs requested in this grant proposal.

- Salaries (total salary budget, number of positions, and whether full- or part-time)
- Payroll Taxes
- Fringe Benefits
- Consultants and Professional Fees (itemize type(s) of consultant(s) and fees)
- Travel
- Equipment
- Supplies
- Printing and Copying
- Telephone and Fax
- Postage and Delivery
- Rent and Utilities
- Maintenance
- Technology (if budgeted separately – specify hardware/software capital spending, maintenance, and/or training)
- Evaluation
- In-kind expenses
- Other (specify)
- Total Expenses

IV. Required Attachments (for all requests) –This information is not considered part of the narrative.

1. A copy of your current IRS tax-exempt determination letter. If tax-exempt status is pending, provide an explanation of application status.
2. A one-page organizational chart.
3. Short biographies (no more than 1/2 page) of staff and volunteers essential to the success of this request.
4. List of board members with terms, occupations, and places of employment.
5. Current, dated Memoranda of Understanding or Memoranda of Agreement with other organizations for collaborative or cooperative activities, as appropriate.
6. Annual report, if available.

Common Grant Application Format User's Guide



Adapted from materials created by Washington Grantmakers (www.washingtongrantmakers.org)

These formats are intended to streamline the grantmaking process and make it easier for both grant seekers and grantmakers. This guide will help those seeking grant funds to make the best use of the formats. It explains the purposes of key elements of the formats and suggests some possible avenues for responding to particular sections.

While we have attempted to discuss any points that may be unclear, it is very important that you contact the funder you are approaching if there are any questions about what that particular funder requires.

Formatting Notes: It may seem trivial, but funders do care about how applications are formatted. This is not about having pretty colors or decorative graphics, but focus on format elements that contribute to the ease of reading – 12-point type size (Times or similar), one-inch margins all around, and page numbers on every page.

Funders frequently need to read dozens or even hundreds of letters or applications in a short period of time, and a document that is easy to read and whose content is clear is much more likely to be given serious consideration. Please observe the formatting requirements.

Also, many funders have to make multiple copies of applications as part of their review process. Complicated bindings, including report covers or binders, interfere with this process and increase the funder's burden. Please observe the binding requirements.

The first section of the Application Format is the Executive Summary.
(1-2 pages, single-spaced.)

The first elements of the Executive Summary ask for basic information about the organization making the funding request, including the contact person for the grant proposal, and basic facts about the proposal. This information is used by funders for data-entry and grant tracking purposes; it may also help funders to determine quickly whether or not the application fits in their guidelines.

The next element asks about the purpose of this funding request, including target population, number of individuals, and geographic area(s) that will benefit from this proposal. In this section, the grant seeker should succinctly state the need or issue addressed by the request. It should be focused, and not attempt to provide an in-depth introduction to the topic as a whole. Who are you seeking to serve? Where are they?

Example: "This grant request of \$14,836 will be used to fund the work of the Director of Public Advocacy of the NoVa XYC Project. The Director of Public Advocacy will strengthen the network of HIV/AIDS advocates in Northern Virginia, organize legislative and educational initiatives to mobilize policy makers with influence in HIV/AIDS issues, and coordinate HIV/AIDS organizations' efforts in public AIDS awareness events."

The next element asks for total support from this funder for the past three years: list year, amount, and purpose for all support. This should include technical assistance or capacity building consulting as well as cash grants.

The second part of the Application Format is the Narrative.

We will say this many times in this guide, but it is very important to contact the funders to which you are applying to ensure that they accept the type of proposal you are making. The Narrative section should be no more than 8 double-spaced pages, using the same font and margin guidelines stated before the Executive Summary (12-point Times or similar, 1-inch margins on all sides, pages numbered).

The first section is Section A. Information on Your Organization. This section is applicable to All Requests, no matter what type of proposal you are writing.

Describe, in one paragraph, the organization’s history, mission, and goals. Here funders are looking for an outline, rather than an exhaustive account. They are interested in understanding the organization’s successes and, if applicable, evolution over time. A brief statement of the organization’s mission and goals is a fundamental part of organizational self-definition; it is important and should be thought through carefully.

Example: “Founded in 1998 by a group of physicians and other health care providers who recognized the need for more HIV/AIDS education for young people, Let’s Talk (LT) continues to be the only community-based organization in the Washington, DC area focused solely on the needs of young people as they related to HIV and AIDS. LT outreach and services are provided to youth aged 13 to 24 years in the Washington, DC metropolitan area.”

General Operating Support requests will be asked to address similar information later in the application; this section can be shortened somewhat in those cases, and more information provided in the Request information section.

Describe current programs and activities, and recent organizational accomplishments. “Recent” usually refers to the past 12 months. “Accomplishments” may include statistics on the organization’s successes in pursuing its mission. Additional appropriate information might include any awards or competitions won by the organization or staff members, significant national grants received, or new programs or products produced.

Example: “VAC’s recent organizational accomplishments include:

1. “Awarded a \$102,000 planning grant from the Substance Abuse and Mental Health Services Administration to design and plan a mobile HIV testing and counseling program for minority youth populations at high risk for HIV infection.
2. “Hosted a National AIDS Fund AmeriCorps member for the 4th consecutive year. AmeriCorps members assist in the implementation of this peer-based HIV prevention education program.”

How will this request enable the organization to build its capacity, address current limitations, and/or improve its ability to meet program or organizational goals? Funders are interested in how the current request fits into, and furthers, the work of the organization. They are interested in organizations improving their operations and service delivery over time, as they learn from their experiences. New programs should fit and further already-established goals.

Example: “This request will enable ALA to improve its ability to meet its program goals in several ways. Nearly 90% of ALA funding is restricted to specific programs and services. This restriction presents a significant burden because as ALA expands in size and staff there are not enough funds for administrative and support needs faced by the agency. In addition, ALA, like other AIDS agencies, is facing cutbacks in government spending [three examples follow].... ALA has historically had only a small percentage of its total budget coming from

individual donations. These donations are even smaller because of the economic downturn that is affecting the nation and members of the target population.”

Describe briefly the involvement of your target population(s) in implementing the work of the organization, if applicable. Funders are concerned that organizations are engaging their target population(s) in their work. They often prefer to support organizations with strong ties to their target population and community which can increase the relevance and efficacy of the organization’s programs and activities.

Example: “The youth served by LT are key partners in conducting the outreach and education activities that are the organization’s hallmarks. A cadre of youth peer educators are trained each year and, together with professional staff and adult volunteers, make thousands of outreach and education contacts. This past year we revitalized our peer education and internship programs with young people playing key roles in the design and implementation.... This year we are implementing a Youth Advisory Board that will provide direction and oversight for our programs.... The youth help design the layout of the center and assist with creating its programming.... Young staff who reflect the population we serve: Our staff members, interns and volunteers closely resemble (and are often from) the communities we serve.”

For Program Requests (Including Capacity Building Projects)

Capacity building requests are frequently lumped with general operating requests. However, more often than not, capacity building requests are for specific projects or undertakings, such as engaging a board consultant or purchasing computer hardware or software. For this reason, we have included capacity building projects in the program request section.

What is the issue/need to be addressed and evidence of that need? This is essentially the same as the “purpose of the grant request” in the Executive Summary. However, it should be somewhat more expansive and present specific information about the need. It is not necessary, for example, to trace the entire development of homelessness in the United States or to provide in-depth economic analyses of unemployment.

For a new program: how was the program approach developed? Funders here are interested in understanding how you decided to take the particular approach you did. What factors went into your decision? Was there demand from the community or target population? Was there a change in circumstances: disaster, rise of an epidemic? Why did this particular response emerge as the best?

For an ongoing program: what measurable outcomes (defined as concrete changes or impact) have been achieved over the past year? This question is intended to focus on the specific changes that have been achieved recently. These should be meaningful and relevant, and ideally should point to larger changes or improvements that are the focus of the organization’s mission.

Example: “In the past fiscal year, VAC’s peer education HIV Prevention Education Programs trained 153 peer educators, 72% of whom were youth of color. These peer educators worked with VAC personnel to reach nearly 15,000 youth with traditional education programs and community outreach, 2/3 of whom were youth of color.

“Preliminary results of evaluation of program outcomes for the fiscal year indicate improvements in peer educator HIV risk behaviors:

1. 28% improvement in frequency of latex condom use during sexual intercourse.
2. 62% reduction in the number of reported sexual partners in the past 3 months.
3. 42% decrease in those reporting that they used alcohol or drugs the last time they had sexual intercourse.
4. 24% increase in those who had been tested for STDs, including HIV.”

Does this program use best practices – e.g., is this program based on a program that has been shown to be effective in other settings, based on national standards, etc? If so, please describe. Funders are interested in knowing whether the program conforms to common understandings of “what works” – whether it’s HIV prevention, teaching reading, dealing with foster children, training homeless men for jobs, or any other program. However, funders recognize that it is not always the case that a program draws on best practices.

What is the plan for implementation? (Narrative, table or logic model format is acceptable.) What existing community resources (e.g., facilities, people) will be used? If applicable: what is the target population’s involvement in this program’s development and implementation?

This question has several parts:

The implementation plan is a description of how the program will address the need – the specific tasks (daily, weekly, monthly) that will take place. For the format of this section, please check with the funder you are approaching to determine if he or she prefers a narrative, table or logic model. Existing community resources can include: the church basement in which the after-school program is meeting; a bus company that transports seniors to the fitness center; or the church pastor who will work with recovering alcoholics.

The involvement of the target population in this program: this is not the same question as the one in the organizational information section. This question refers to this specific program request. Based on the implementation plan, what measurable outcomes will be achieved during this grant period? What are the measurable longer-term outcomes of this program? What methods/strategies will be used to gather data on the project? How will the program evaluation be used?

Example: “Short-term goals include: Increase sex workers’ knowledge of the skills base for preventing HIV through harm reduction oriented peer-based strategies; develop a curriculum for future integration of female sex workers into peer education programming; develop and strengthen discussion formats for weekly support groups. Long-term goals include: Collaborate with other peer-based programs around the country to establish strategy-sharing sessions; develop strategies that encourage long-term participation in peer education and reduce attrition rates; increase the network of services available to sex workers through a coalition of service providers.”

Data gathering methods and strategies: How will you be gathering information on your program? Will there be surveys or tests? Will data be gathered by staff, or by a consultant? Will data gathering be ongoing, or just at the beginning and end? What are the reasons for the methods you are proposing?

Example: “Peer educators will provide weekly data on their foot outreach activities, including demographic descriptions, number of contacts and referrals given out. In addition, attendees of workshops and support groups will be given knowledge, attitude and behavior assessments on their first day of participation and will be given follow-up assessments at the conclusion of eight sessions”

How will the evaluation be used? Will information be used to influence development of the program? Will information be shared with anyone outside the organization?

Example: “Data collected from peer educators will allow ABC to examine what information clients come to the program with and behavior change is affected through open dialogue with peers. ABC will utilize this information to strengthen existing documents such as ABC’s Best Practices project and Peer Education Training Manual.”

How does this program fit into the work of this organization? Is this program the core of the organization’s work, or substantially similar to other work? Is it a departure or expansion? If so, why does the organization see it as important to depart or expand in this way, at this time?

How does this program relate to the work of other organizations in the same field and/or geographic area? Are there other organizations working in your subject area? If so, is this program complimentary? Is it unique? How? How does your work fit into the work of other organizations in the neighborhood or area you are working in?

What resources (financial, personnel, partnerships, etc.) will be needed to sustain this effort over time? How will those resources be secured? Assuming the need that generated this program is not going away any time soon, what will be required to sustain and grow the program over time? If you are successful, will more staff need to be hired? Can the program model be expanded to other areas? Can revenue be produced from your activities? What plans are in place, or soon will be in place, for continued support of the program?

For General Support Requests

The questions in this section are very similar to those in the Program Support Requests section above, except that the focus is on the organization as a whole, rather than on a specific program. What are the issue(s)/need(s) to be addressed and the evidence of that need? This fits in with the question in the Organizational Information section about the organization’s mission and goals. Ideally, there should be a clear fit between the mission of the organization and the needs the organization attempts to address.

For a new organization: how and why was the organization formed? This is similar to the question about the organization’s history, but here is an opportunity to discuss at more length the purposes of the organization, especially as they relate to this request.

The remaining elements of this section are directly parallel to those in the Program Requests section, except that the focus is on the organization as a whole, rather than on one particular program. See the Program Requests section for discussions of, for example, outcomes, best practices, and sustainability.

Finances (for all requests)

This information is not counted as part of the narrative.

The financial information must accompany all proposals, regardless of the size of the request. Not all categories may be applicable to your organization or request. You may submit this information in the format most convenient to you; it must, however, include as much of the detail enumerated in the Format as possible. Footnotes may be used to explain budget items.

For All Requests

1. Fiscal year
2. Financial statements:
 - a. For previous fiscal year: organizational budget v. actual, for both revenue and expenses (using categories below).
 - b. For current fiscal year:
 - i. Organizational budget v. actual, for both revenue and expenses (using categories listed in the Format).
3. Organization’s year-to-date Statement of Financial Position (not Balance Sheet) and year-to-date Statement of Activities (not Income Statement)

Note that this section requires a Statement of Financial Position and Statement of Activities. These are the FASB-approved documents that have replaced the Balance Sheet and Income Statement, respectively. Many accounting software packages have a non-profit module that permit generating the correct, non-profit reports.

These reports should be provided in the order requested – that is, all reports for the previous year, followed by reports for the current year, then the projected figures for the next year (if applicable).
 3. If available: most recent audited financial statements (include auditor’s letter and notes). If no audit, provide pages 1-6 of most recent IRS Form-990.

Audited statements or 990 pages are to be provided in addition to the reports generated internally.

For Program Requests (including Capacity Building)

In addition to the information requested above:

Financial statements:

- For previous fiscal year: program budget v. actual, for both revenue and expenses (using categories listed in the Format).
- For current fiscal year: program budget v. actual, for both revenue and expenses (using categories listed in the Format)
- If this application is being made during the last quarter of the organization’s fiscal year, provide the program’s p[rojected/proposed/draft budget for the next fiscal year

These statements relate specifically to the program. They should be in the order requested: prior year, current year, projected year.

Revenue and Expense Categories

For each category, list specific amounts requested from foundations, corporations, and other funding sources for this proposal, as well as the status of those requests (pending or committed). For pending requests, please indicate the date you expect notification.

Funders are interested in knowing to what other sources you have applied for funding of the request, and for what percentage of the total they are being approached. If a category has no amount attached, it can be omitted. If there are categories not listed in the Format, include them as appropriate.

For expense categories, please show two columns – one listing the total expense and one listing the specific costs requested in this grant proposal. Funders are interested in seeing what percentage of a program or organization they are being asked to support.

Required Attachments (for all requests)

This information is not counted as part of the narrative.

While the following are required, there are certain items that should NOT be sent without prior discussion with the funder. These include, but are not limited to, newspaper clippings, video tapes, or any bulky or irregularly shaped items. Most funders do not have the capacity to store such items.

- A copy of your current IRS tax-exempt determination letter. If tax-exempt status is pending, provide an explanation of application status.
- A one-page organizational chart. This does not have to be fancy or complicated. Many word processor and presentation programs have simple templates. Generating an organizational chart is important in understanding the flow of responsibilities in an organization.
- Short biographies (no more than 1/2 page) of staff and volunteers essential to the success of this request. Here funders are interested in finding out something relevant about those people most important to the success of the request. It is not necessary to include all biographical or career data. Given the particulars of a program it is possible, for example, that “essential” personnel may not include the executive director.
- List of board members with terms, occupations, and places of employment.
- Current, dated Memoranda of Understanding or Memoranda of Agreement with other organizations for collaborative or cooperative activities, as appropriate. If you have no significant

partnerships, this is not an applicable attachment. Attached Memoranda should clearly delineate the responsibilities of all signatories. Funders are interested in ensuring that any Memoranda are current, and that they show the date.

- Annual report, if available

Prospect Development Tool



College Goal Sunday Prospect Development Tools

Fundraising Working Group members are encouraged to share names of potential individual, corporate or foundation donors. These can and should be donors who have the potential to give modest to significant gifts.

Note that names raised and discussed at meetings or in other contexts will be kept in confidence. Further, prospects will not be approached without the direct involvement/authorization of the board member who raised that name.

The following contains information and tools that will facilitate this process.

Tools for Identifying and Evaluating Prospects for College Goal Sunday

Possible Sources of Prospects for College Goal Sunday

- **College Goal Sunday** volunteers, event participants and other contacts.
- **Corporate** sponsors and/or contributors to related organizations and causes
- **Corporations** who understand the value and importance of an educated workforce.
- **Individuals** who are known contributors, hold leadership positions, or who serve on the board/executive committees of related organizations, or with other education organizations. These individuals can also be engaged to provide College Goal Sunday with perspective, contacts and advice regarding how it can approach its work and secure funding for its initiatives.
- **Foundations** with a demonstrated interest in supporting programs related to educational issues, supporting an educated workforce, supporting families and children, etc.
- **Former Clients** who have been successfully supported by College Goal Sunday.
 - Clients who wish to make a gift in honor of a service provider or advocate
 - Family members who want to recognize the success of a loved one
 - Individuals can direct their place of business to make a gift; they can make a gift which can be matched as well
 - Individual donors can make gifts anonymously and need not “go public” unless they wish to

Identifying and Evaluating Prospects versus Suspects

There is a path along which all potential donors must be brought if they are to make substantial, meaningful gifts to College Goal Sunday. This process can take some time in some cases, in others, it happens quite quickly. All prospects are different. As individuals, foundations and corporations are considered as potential donors, College Goal Sunday’s FWG should identify where they are in this continuum so that the most effective cultivation and solicitation strategy can be developed.

Suspect:

- May be interested in supporting College Goal Sunday’s work.

- Giving to similar programs, other groups, education issues or groups serving the under-served, but never to College Goal Sunday.
- Known on some level by a FWG member, committee member, current donor or staff member.
- More research is needed.

Prospect:

- Known by College Goal Sunday and is familiar with the organization and its work.
- Personal friend, colleague or associate of a College Goal Sunday FWG member, sponsor or donor.
- May be on the mailing list or may have attended an event, but has never made a contribution.
- Considered a good prospect for College Goal Sunday.
- More research and cultivation are needed to move this person/institution up the ladder toward being ready to make a gift.

Steps for Cultivation

Stage One

- May have given to College Goal Sunday in the past or may have attended events.
- Maybe no personal contact has been made outside of events or general mailings.
- Have little to no real knowledge of College Goal Sunday and its work; needs more personal contact.
- At this stage a lead volunteer (FWG member) could be assigned to this person.

Stage Two

- May have been giving to College Goal Sunday on a regular basis.
- May have attended an event or had a personal meeting or encounter with a staff person, or board member.
- Expressed an increasing interest in College Goal Sunday and its programs.
- Somewhat knowledgeable about College Goal Sunday and/or the area of college access marketing.

Stage Three

- Has been involved with College Goal Sunday on a regular basis for an extended period of time either by attending events, making contributions or having been engaged in some significant manner by staff or Task Force.
- Increasingly knowledgeable and interested in College Goal Sunday and its programs, perhaps has heightened interest in a specific component of its programs; has made substantial gifts.
- Careful research and cultivation indicated they are capable and may be willing to make a meaningful gift to College Goal Sunday.

Ready to be Asked

- Shown deep interest in College Goal Sunday and has been prepared for the next step: the solicitation.
- A strong bond between this individual and College Goal Sunday has been created through the lead volunteer.
- The appropriate group of staff and/or volunteers has met and reviewed the briefing sheet and sets a meeting strategy including who will attend the meeting and the actual dollar amount to be solicited.
- A call is made to set-up the face to face meeting by the lead volunteer.



Form Prepared by: _____ Date: _____

College Goal Sunday Prospect Worksheet

Getting Started

Who makes a good prospect? Good prospects are people to whom you are connected and who you think might be interested in giving to or learning more about College Goal Sunday. Think about the people you know from work, your spiritual community or a business you frequent. Are there clients and family members with whom you have worked who would appreciate knowing about College Goal Sunday? Perhaps you have a close personal friend or colleague that is not already involved with College Goal Sunday. Maybe there is someone with whom you share common interests, but have not met yet. For example: You recognize a name on a donor list from another organization that you know from your work.

Prospect Name: _____

Prospect work or home address (if known): _____

Prospect email (if known): _____

Prospect work or home phone (if known): _____

How do you know this prospect (work, neighbor, etc.)? _____

Is this person familiar with College Goal Sunday? If yes, how? _____

Is this prospect a potential donor, mailing list prospect or both? _____

Why? _____

Has this person supported or been involved with other causes? If so, which ones? (Donor, volunteer, board member) _____

What other affiliations does this person have that are important to know? _____

Other comments you might want to make about this person. _____

What role can you play in soliciting this prospect? _____

Sample Letter – Invitation to a Business

NOTE: This is a very general example of a letter that can be sent out to potential business partners. Be cautious in using one single letter for all of your business prospects. Take every opportunity to personalize and tailor the letter to specific prospect. This example should get you started.

Mr. So Andso
President
The Big Business
1234 Big Blvd.
Bigtown, USA

Dear Mr. Andso:

Did you know that each year hundreds of academically talented high school graduates from first-generation and low-income families here in _____ choose not to attend college because they mistakenly believe they cannot afford it? The truth is that there are resources out there to help them, and we are inviting you to be a part of making these dreams a reality for these eager young people.

College Goal Sunday is a nationwide program that is making real progress with this issue by helping tens of thousands of students in need complete the Free Application for Federal Student Aid (FAFSA). The FAFSA is an essential first step to higher education.

With a national grant from the Lumina Foundation for Education this nonprofit, volunteer program has expanded into more than half of the states, with more on the way. College Goal Sunday is on the top ten list of the National Governors Association's higher education initiative. We are proud that _____ has begun its own College Goal Sunday program.

To get our program underway, we have been given a three-year startup grant from the National Association of Student Financial Aid Administrators and the Lumina Foundation. We are grateful for their support and confidence. _____'s program is co-sponsored by two state organizations, the _____ and _____. Our event will be held at ___ different locations throughout _____ on February 12, 2006.

The business community plays a critical role in the ongoing success of College Goal Sunday. In states across the nation, businesses and corporations are contributing services, materials and dollars to make these programs happen. Others are lending employees are serving in a variety of volunteer roles. They are essential members of the team!

We are hoping that you and _____ will join the other businesses and organizations around the state who share our commitment to providing this valuable resource to as many families as possible.

A member of our Task Force will be calling you in the next few weeks to explore ways through which _____ can play a part in the exciting endeavor. I have also enclosed some materials that will tell you more about College Goal Sunday and its many accomplishments.

Thank you for your consideration.

Sincerely,

Coordinator, College Goal Sunday

PS – Perhaps you would like to be our guest on February 12 at one of our sites. You would have the chance to see first-hand the work we are undertaking.

Sample Letter – Letter of Inquiry to a Foundation

NOTE: This is the text of an actual Letter of Inquiry used by another, unrelated organization to exploring funding possibilities with a major foundation. Note how the letter states how they would use funds if they were to receive a grant, and note how the letter asks for guidance from the foundation as how to best proceed. The letter describes the program, highlights specific collaborations already in place and lists key individuals serving in leadership positions. Many foundations have specific limitations on letters of inquiry, so be sure to check the guidelines on any foundation you plan to approach in this way.

October 30, 2001

Secretary
Ford Foundation
320 East 43rd Street
New York, NY 10017

Dear Sir/Madam:

We are pleased to submit the following Letter of Inquiry to the Ford Foundation in the hope that it will invite a complete proposal from the Kurt Schork Memorial Fund. The Fund is willing to explore either current programmatic funding or an endowment proposal.

The Kurt Schork Memorial Fund (KSMF) was created in spring 2001 in honor of Kurt Schork, an American journalist who was killed in a military ambush while on assignment for Reuters on May 24, 2000 in Sierra Leone. The Schork family, with start-up support from Reuters, established the Fund as a 501 (c) (3) organization in March 2001. The Fund will make two annual awards of \$10,000, one to a freelance journalist covering foreign news, and the second to a local journalist in the developing world or countries in transition. These will be the first awards established specifically to honor these types of journalists.

The Kurt Schork Memorial Fund fully recognizes that in the wake of the September 11 attacks on New York and Washington the philanthropic community has been inundated with requests. We respect and admire the commitment with which donors across the United States have responded to the attacks -- and we also understand that our program does not speak directly to those immediate needs.

Nonetheless, we do believe that the program described in this letter is vitally important. The focus on international events has increased exponentially since September 11, and will only grow as the United States continues to take action against terrorism. Most of the world will receive its information about these and other events via the news media. We feel that this request is most suitably considered under the auspices of the Foundation's Media, Arts and Culture unit.

The Kurt Schork Memorial Fund offers an important means of encouraging the kind of exceptional foreign news coverage that will be so critically needed throughout the coming months and years. News organizations have, over the years, dramatically cut back or closed their foreign bureaus during an era in which many Americans indicated they had little interest in what was happening outside their immediate universe. This has begun to change in recent weeks with a dramatic increase in Americans' effort to gather news through foreign press outlets on the Internet. Freelancers and local journalists from the countries being covered have stepped in to fill the gap. Though often key to gathering accurate, hard-to-get information in hostile, dangerous environments, freelancers and local reporters also tend to be the most vulnerable to unfriendly governments and work with few resources. At the same time, however, these same journalists are now having to work even harder to bring attention to their stories as news consumers are able to turn to a variety of

sources for information, including the Internet. The program described here singles out these journalists for recognition and financial help.

The Fund's focus is based on Kurt Schork's own professional interests and values. A freelancer himself, Schork appreciated the obstacles and concerns of freelance journalists who work without the institutional or financial safety net of large news organizations. Nonetheless, they are often first on the scene and are exposed to danger in gathering news to keep the public informed. Schork had enormous respect and admiration for the local reporters who worked beside him. These journalists, rarely acknowledged for their work in the West, are essential players in promoting democracy in countries facing social, political and economic transition. They provide information and expose wrongs that would otherwise stay hidden and are often punished for their efforts. In 2000 alone there were more than 600 cases of media repression in 131 countries around the world, including 26 journalists killed while doing their job. (According to the Committee to Protect Journalists, *Attacks on the Press in 2000*)

The goal of the KSMF, however, is not just to honor these journalists, but also to assist them with a monetary award that provides some financial means to help them continue reporting. Though local journalists from the developing world take extraordinary risks to expose corruption and injustice in their homeland, they rarely earn enough money to support themselves and their families. Freelancers live from job to job, never knowing when the next assignment will come, where it may lead, or how long it will last. The KSMF will highlight and recognize their achievements with these substantial yearly prizes.

The Board of the KSMF hopes that the Ford Foundation will be interested in our program, given its demonstrated interest in promoting free and responsible news media. The KSMF is designed to support those journalists who are serving the civic needs of society in all of its diversity. Throughout the world countries struggle to promote social, economic and political change. In each of these places, it is often the work of freelance and local journalists that brings these struggles to the attention of the broader, global community. Through such attention, those searching for a better life for their communities draw allies and supporters into a dialogue that can make an important difference in these countries.

In the United States and throughout the world there are countless journalists who are committed to reporting accurately and objectively on social and political challenges around the globe. But this reporting is not without cost. Many of these dedicated journalists, sadly, have lost their lives in their attempt to shed light in dark places. The Kurt Schork Memorial Fund is committed to supporting their work and to recognizing their sacrifices.

Already, the KSMF has been able to highlight this important issue among journalists. This past June, in cooperation with the Freedom Forum, the KSMF hosted a panel discussion at the First Amendment Center in New York. Freelance and local journalists from Liberia, Slovenia, the United Kingdom and Canada joined a moderator from *The New York Times* in a discussion that addressed the challenges that these journalists face everyday and the role they play as they go about reporting the news from around the globe.

We are very pleased that the Columbia University Graduate School of Journalism has agreed to collaborate with the Fund to manage the application and competition process. They are currently in the process of hiring a professional who will serve as the point person for the program. The first call for submissions will be announced in early 2002. An independent panel of judges composed of foreign editors, journalists, as well as representatives from the Kurt Schork Memorial Fund and Columbia University will review the applications. It is anticipated that the first annual awards will be presented at a dinner in New York in fall 2002.

Currently, Reuters through its Global News division is underwriting the start-up costs of the Fund while it is being established. We have a small board of directors composed of family members and close friends, and we are actively

assembling an international Advisory Board to guide the process and to assist us with fundraising. So far, such figures as Christiane Amanpour of CNN, former U.N. Ambassador Richard Holbrooke, John Owen of the Freedom Forum, Richard Tait of ITN London, Dean Thomas Goldstein from the Columbia University Graduate School of Journalism, John Burns of *The New York Times*, and author Sebastian Junger are among those who have agreed to serve on the Advisory Board.

With this Advisory Board in place, we are moving forward with an international fundraising campaign to build an endowment fund of approximately \$2 million that will sustain this program into the future. The Fund's leaders realize that it will take time for this total sum to be in place. While the Fund is actively raising the endowment, it is in great need of capacity-building funds to help defray the programmatic costs of managing the awards process. A five-year contract is in place with Columbia University, and the projected expenses (exclusive of fundraising and start-up expenses) for the 2001-02 and 2002-03 fiscal years are \$78,498 and \$121,118 respectively. The FY 2005-06 budget is projected at \$132,308.

We ask that the Ford Foundation guide us on how best to choose between two funding possibilities. The first is a grant of \$100,000 payable over three years (2002, 2003 & 2004) to support the Kurt Schork Memorial Fund as it engages the general public and raises the endowment funds needed to support the project. These funds will be used to support the KSMF's ongoing programs and not for the endowment fund itself. A grant from the Ford Foundation will serve as an important catalyst for this effort and will enable the Fund to move forward with presenting its first awards in 2002.

The second is a direct request of \$500,000 payable over two years (2002 & 2003) to support the endowment of the Kurt Schork Memorial Fund. A grant of this type will have the greatest and farthest reaching impact, enabling the fund to establish itself quickly as a leader in promoting global journalism of the highest quality. In either case, the KSMF is prepared to match funds contributed by the Ford Foundation with other private sources. We are reaching out to other funding institutions such as the Pew Charitable Trusts, the Carnegie Corporation of New York, the Knight Foundation and the Public Welfare Foundation for support of this important project.

For additional information, please visit our website at www.ksmfund.org as well as www.ksmemorial.com for information and testimonials on Kurt Schork. We look forward to hearing from you and hope that the Foundation will request a complete proposal.

Thank you for your consideration.

Sincerely,



Sabina Cosic
President
Kurt Schork Memorial Fund

Enclosures

Sample Acknowledgement Letter

Date of Letter

Name of Donor

Address

Address

Dear _____:

On behalf of the ABC College Goal Sunday Task Force, I wish to thank you for your generous contribution of \$_____, which we received on _____, 2006. We acknowledge your wish that this gift be designated for the _____. [This line can be used if the donor asked for the gift to be used to underwrite the costs at a specific site, for example.]

[This section may be personalized as needed. Feel free to include as many statistics as might be available.] The February event went very well, and we were all reminded of the important role that this program has in encouraging young people to think about attending college. We had more than ___ families participate in the event this year at ___ separate sites across the state. It was a great success.

We are looking forward to kicking off planning for 2007 very soon. Thanks to the work of many volunteers and the generosity of donors such as yourself, we are on track for ensure the long-term success of the ABC College Goal Sunday program.

Again, thank you for your contribution. We promise to keep you informed of our progress.

Sincerely,

Name

Title

P.S. – As you received no goods or services in consideration for your gift, the entire amount is deductible according to the regulations of the Internal Revenue Service.