STANDARD LECTURE NOTES

RESOURCE MOBILIZATION AND FUNDRAISING

SOCIAL WORK MODULE II
AIM/PURPOSE OF THE COURSE:
This module unit is designed to equip the trainee with knowledge, skills and attitudes that will enable him/her to mobilize and manage resources effectively in a society.

OBJECTIVES
At the end of the course a learner should be able;
1. Understand the importance of resource mobilization for development activities.
2. Understand the appropriate methods used to mobilize resources and fundraising
3. Appreciate the importance of project proposal in resource mobilization and fundraising
4. Understand emerging trends in resource mobilization and fundraising

TOPICS
Introduction to resource mobilization
- Meaning of resource mobilization
- Types of resources
- Identification of resources
- Importance of resource mobilization

Philanthropy and donor psychology
- Meaning of philanthropy and donor psychology
- Types of donors
- Implications of donor dependency
- Strategies to win donor support
- Case studies

Resource mobilization approaches
- Meaning of resource mobilization approaches
- Process of resource mobilization
- Guidelines on resource mobilization
- Importance of building partnerships in resource mobilization
- Legal issues in resource mobilization

Fundraising
- Meaning of fundraising
- Guidelines to fundraising
Tools used in fundraising
Reasons for fundraising
Types of fundraising
Methods of winning sponsorship
Role of media in fundraising
Legal aspects and ethical aspects in fundraising
Ways of evaluating fundraising events
Factors to consider in fundraising
Challenges in fundraising

Fundraising process
- Fundraising planning
- Marketing research for fundraising
- Strategic planning for fundraising
- Fundraising process

Project proposal writing
- Meaning of proposal
- Format of a project proposal
- Importance of project proposal
- Challenges of using a proposal for fundraising and resource mobilization
- Project proposal writing
RESOURCE

A resource is a source or supply from which benefit is produced. Resources can be broadly classified on bases upon their availability they are renewable and non-renewable resources. They can also be classified as actual and potential on the basis of level of development and use, on the basis of origin they can be classified as biotic and abiotic, and in the base of their distribution as ubiquitous and localized. An item becomes a resource with time and developing technology.

Typically resources are materials, energy, services, staff, knowledge, or other assets that are transformed to produce benefit and in the process may be consumed or made unavailable. Benefits of resource utilization may include increased wealth or wants, proper functioning of a system, or enhanced well being. From a human perspective a natural resource is anything obtained from the environment to satisfy human needs and wants. From a broader biological or ecological perspective a resource satisfies the needs of a living organism (see biological resource).

The concept of resources has been applied in diverse realms, with respect to economics, biology and ecology, computer science, management, and human resources, and is linked to the concepts of competition, sustainability, conservation, and stewardship. In application within human society, commercial or non-commercial factors require resource allocation through resource management.

Resources have three main characteristics: utility, limited availability, and potential for depletion or consumption. Resources have been variously categorized as biotic versus abiotic, renewable versus non-renewable, and potential versus actual, along with more elaborate classification.

In economics a resource is defined as a service or other asset used to produce goods and services that meet human needs and wants. Economics itself has been defined as the study of how society manages its scarce resources. Classical economics recognizes three categories of resources, also referred to as factors of production: land, labour, and capital. Land includes all natural resources and is viewed as both the site of production and the source of raw materials. Labour or human resources consists of human effort provided in the creation of products, paid in wage. Capital consists of human-made goods or means of production (machinery, buildings, and other infrastructure) used in the production of other goods and services, paid in interest.

Biological

In biology and ecology a resource is defined as a substance that is required by a living organism for normal growth, maintenance, and reproduction (see biological resource). The main essential resources for animals are food, water, and territory. For plants key resources include sunlight,
Resources, can be consumed by an organism and, as a result, become unavailable to other organisms. Competition for resources vary from complete symmetric (all individuals receive the same amount of resources, irrespective of their size) to perfectly size symmetric (all individuals exploit the same amount of resource per unit biomass) to absolutely size-asymmetric (the largest individuals exploit all the available resource). The degree of size asymmetry has major effects on the structure and diversity of ecological communities, e.g. in plant communities size-asymmetric competition for light has stronger effects on diversity compared with competition for soil resources. The degree of size asymmetry has major effects on the structure and diversity of ecological communities.

Economic versus biological

There are three fundamental differences between economic versus ecological views: 1) the economic resource definition is human-centered (anthropocentric) and the biological or ecological resource definition is nature-centered (biocentric or ecocentric); 2) the economic view includes desire along with necessity, whereas the biological view is about basic biological needs; and 3) economic systems are based on markets of currency exchanged for goods and services, whereas biological systems are based on natural processes of growth, maintenance, and reproduction.\[1\]

Computer resources

A computer resource is any physically or virtual component of limited availability within a computer or information management system. Computer resources include means for input, processing, output, communication, and storage.\[6\]

Natural

Natural resources are derived from the environment. Many natural resources are essential for human survival, while others are used for satisfying human desire. Conservation is the management of natural resources with the goal of sustainability. Natural resources may be further classified in different ways.\[1\]

Resources can be categorized on the basis of origin:

- Abiotic resources comprise non-living things (e.g., land, water, air and minerals such as gold, iron, copper, silver).
- Biotic resources are obtained from the biosphere. Forests and their products, animals, birds and their products, fish and other marine organisms are important examples. Minerals such as coal and petroleum are sometimes included in this category because they were formed from fossilized organic matter, though over long periods of time.

Natural resources are also categorized based on the stage of development:
Potential resources are known to exist and may be used in the future. For example, petroleum may exist in many parts of India and Kuwait that have sedimentary rocks, but until the time it is actually drilled out and put into use, it remains a potential resource.

Actual resources are those that have been surveyed, their quantity and quality determined, and are being used in present times. For example, petroleum and natural gas is actively being obtained from the Mumbai High Fields. The development of an actual resource, such as wood processing depends upon the technology available and the cost involved. That part of the actual resource that can be developed profitably with available technology is called a reserve resource, while that part that can not be developed profitably because of lack of technology is called a stock resource.

Natural resources can be categorized on the basis of renewability:

- **Non-renewable resources** are formed over very long geological periods. Minerals and fossils are included in this category. Since their rate of formation is extremely slow, they cannot be replenished, once they are depleted. Out of these, the metallic minerals can be re-used by recycling them, but coal and petroleum cannot be recycled.

- **Renewable resources**, such as forests and fisheries, can be replenished or reproduced relatively quickly. The highest rate at which a resource can be used sustainably is the sustainable yield. Some resources, like sunlight, air, and wind, are called perpetual resources because they are available continuously, though at a limited rate. Their quantity is not affected by human consumption. Many renewable resources can be depleted by human use, but may also be replenished, thus maintaining a flow. Some of these, like agricultural crops, take a short time for renewal; others, like water, take a comparatively longer time, while still others, like forests, take even longer.

Dependent upon the speed and quantity of consumption, overconsumption can lead to depletion or total and everlasting destruction of a resource. Important examples are agricultural areas, fish and other animals, forests, healthy water and soil, cultivated and natural landscapes. Such conditionally renewable resources are sometimes classified as a third kind of resource, or as a subtype of renewable resources. Conditionally renewable resources are presently subject to excess human consumption and the only sustainable long term use of such
resources is within the so-called zero ecological footprint, wherein human use less than the Earth's ecological capacity to regenerate.

Natural resources are also categorized based on distribution:

- Ubiquitous resources are found everywhere (e.g., air, light, water).
- Localized resources are found only in certain parts of the world (e.g., copper and iron ore, geothermal power).

Actual vs. potential natural resources are distinguished as follows:

- Actual resources are those resources whose location and quantity are known and we have the technology to exploit and use them.
- Potential resources are the ones of which we have insufficient knowledge or we do not have the technology to exploit them at present.

On the basis of ownership, resources can be classified as individual, community, national, and international.

Labour or human resources

In economics, labour or human resources refers to the human effort in production of goods and rendering of services. Human resources can be defined in terms of skills, energy, talent, abilities, or knowledge.\[5\]

In a project management context, human resources are those employees responsible for undertaking the activities defined in the project plan.\[7\]

Capital or infrastructure

In social studies, capital refers to already-produced durable goods used in production of goods or services. In essence, capital refers to human-made resources created using knowledge and expertise based on utility or perceived value. Common examples of capital include buildings, machinery, railways, roads, and ships. As resources, capital goods may or may not be significantly consumed, though they may depreciate in the production process and they are typically of limited capacity or unavailable for use by others.

Tangible versus intangible

Whereas, tangible resources such as equipment have actual physical existence, intangible resources such as corporate images, brands and patents, and other intellectual property exist in abstraction.\[8\]

Generally the economic value of a resource is controlled by supply and demand. Some view this as a narrow perspective on resources because there are many intangibles that cannot be measured in money. Natural resources such as forests and mountains have aesthetic value. Resources also have an ethical value.

Use and sustainable development
Typically resources cannot be consumed in their original form, but rather through resource development they must be processed into more usable commodities and usable things. With increasing population, the demand for resources is increasing. There are marked differences in resource distribution and associated economic inequality between regions or countries, with developed countries using more natural resources than developing countries. Sustainable development is a pattern of resource use, that aims to meet human needs while preserving the environment.[1] Sustainable development means that we should exploit our resources carefully to meet our present requirement without compromising the ability of future generations to meet their own needs. The practice of the three R’s – reduce, reuse and recycle must be followed in order to save and extend the availability of resources.

Various problems relate to the usage of resources:

- Environmental degradation
- Over-consumption
- Resource curse
- Resource depletion
- Tragedy of the commons
- Myth of superabundance

Various benefits can result from the wise usage of resources:

- Economic growth
- Ethical consumerism
- Prosperity
- Quality of life
- Sustainability
- Wealth

Mobilization

Mobilization, to assemble or marshal (armed forces, military reserves, or civilian persons of military age) into readiness for active service. To organize or adapt (industries, transportation facilities, etc.) for service to the government in time of war. To marshal, bring together, prepare (power, force, wealth, etc.) for action, especially of a vigorous nature: mobilize one's energy. To increase or bring to a full stage of development: to mobilize one's anger.

In military terminology, the act of assembling and readying troops and supplies for war. The word mobilization was first used, in a military context, to describe the preparation of the Russian army during the 1850s and 1860s. Mobilization theories and techniques have continuously changed since then. The opposite of mobilization is demobilization.

Mobilization became an issue with the introduction of conscription, and the introduction of the railways in the 19th century. Mobilization institutionalized the mass levy of forces that was first introduced during the French Revolution, and that had changed the character of war. A number of technological and
societal changes promoted the move towards a more organized way of assembling armies. These included the telegraph to provide rapid communication, the railways to provide rapid movement and concentration of troops, and conscription to provide a trained reserve of soldiers in case of war.

**SOCIAL MOBILIZATION**
2.1 Introduction

Social mobilization is the primary step of community development for recovery from conflicts and disasters. It allows people to think and understand their situation and to organize and initiate action for their recovery with their own initiative and creativity. Through mobilization, people can organize themselves to take action collectively by developing their own plan and strategy for recovery rather than being imposed from outside.

Communities that take charge of their own recovery will make informed decisions, reach sustainable solutions, and achieve better results faster, while at the same time enhancing their solidarity and capacity to undertake development initiatives. This action is one of the most effective means of overcoming the trauma of a conflict or a disaster. Social mobilization is practiced in many different ways by development practitioners. This chapter describes the common threads of What is a community?

A community is a body of persons sharing common problems, living in a physically identifiable area. In a disaster or conflict situation, the affected community is the focal point in the implementation of the Programme. The number of families in a physically identifiable area can be any number from 10 to 250.

The community living in any settlement needs to be responsible for decisions about their own development or in larger developments that will affect them. This should essentially be the cornerstone of the recovery and the reconstruction effort of the Programme.
Vulnerable groups including women headed households and disabled should be given special attention because their needs may be particular. Political, social, religious or other affiliations may divide a community. These issues need to be addressed before other collective activities can take place.

Stronger groups in the community can influence the decision making process in the community for their own benefit. These issues have to be very carefully considered and addressed in the implementation of a recovery programme.

For this purpose, methods and tools that help them to take decisions regarding their own development need to be applied. In the reconstruction and recovery process these methods will assist the community of a particular settlement to plan, implement and evaluate their own actions.

Under a disaster and conflict recovery programme, the responsibility of the community will be strengthened by the establishment of representative Community Development Council (CDC). The recognition of the representative community organization by the authorities is crucial for empowering the community to be responsible for their own actions. A formal recognitions mechanism that can be established is the registration of the CDC with the Local Authority (Annexes 001, 002 and 003).

2.3 Steps of Social Mobilization

Two representatives from the Primary Group will represent in the CDC
Assist in the election and formation of the Community Development Council
Assist in the formulation of constitution and registration of CDC, which may assume a name

Formation of Primary Group (PG)
Social mobilization will be initiated by Community Mobilizers or Social Mobilizers
Firstly they should visit the community in the camps and their settlements and establish a rapport
Determine physical boundaries of the settlement with the people
Should assist the community in holding a mass meeting and encourage them to understand the need to organize for collective action
Assist in the formation of Primary Groups in the settlement of clusters of 10 to 15 houses
Assist the Groups in camp management and relief distribution

A group of persons in a community affected by a disaster, who wish to address their common interest of recovery and reconstruction, can form a Primary Group (PG). The main issue of common interest is rebuilding of the homes, but they may have many others e.g. restarting their livelihoods, education, health care, savings and credit, enterprise community infrastructure etc. The purpose of forming a Primary Group is for the group to collectively address these particular issues.

2 Community members who would have been living in neighborhoods with socio-economic affinity, having common interest can form Primary Groups Each group will select a group leader and a secretary to serve for a period to be determined by them
3 Ideally the size of the group should be 15-20 households
4 The group should discuss amongst themselves and workout their rules of association
5 Ensure that rules are clearly understood by all group members
6 Initially the groups would have to meet daily to discuss the most pressing issues and action to be taken
For a community, the appropriate number of groups would be around 20
Primary Groups meetings can be used to activate and motivate passive members
The group leader and secretary will represent the Primary Group in the

Formation of Community Development Council

After the formation of Primary Groups, the Community Development Council (CDC) will be formed in each community
The purpose of the Community Development Council is to address the common development issues faced by the entire community. All group leaders and secretaries will be the members of the Community Development Council. The members will elect a Chairperson, a Vice-chairperson, a Secretary and a Treasurer for a period to be determined by them. The office bearers can be elected through secret ballot or consensus. Either the chairperson or vice-chairperson should be a female member. Community Development Council may assign specific tasks to members as and when necessary. The Community Development Council should formulate a Constitution for its operation and this should be presented to and accepted by the whole community.

The Community Development Council should apply for registration to the Local Authority or the local level government agency. The Community Development Council should open a bank account in a recognized bank with the Treasurer as mandatory signatory and the Chairperson and Secretary as alternative signatories. To establish linkage among the CDCs, and forum can be established at city or district level.

Beneficiary Identification

In a disaster or a conflict recovery programme, generally all the affected families are entitled beneficiaries. In this situation one would often find that families who were not affected trying to get into the recovery programme in order to draw on the cash and other benefits that will be provided. Therefore screening becomes important. The government official working at the local level may have the lists from the initial damage assessments. These lists need to be screened by the community in a transparent manner.
TYPES OF RESOURCES

Human resources

**Human resources** are the people who make up the workforce of an organization, business sector, or economy. "Human capital" is sometimes used synonymously with "human resources", although human capital typically refers to a more narrow view (i.e., the knowledge the individuals embody and economic growth). Likewise, other terms sometimes used include "manpower", "talent", "labour", "personnel", or simply "people".

A human-resources department (HR department) of an organization performs human resource management, overseeing various aspects of employment, such as compliance with labour law and employment standards, administration of employee benefits, and some aspects of recruitment and dismissal.\[^1\]

A human resources manager has several functions in a company:\[^3\]

- Determine needs of the staff.
- Determine to use temporary staff or hire employees to fill these needs.
- Recruit and train the best employees.
- Supervise the work.
- Manage employee relations, unions and collective bargaining.
- Prepare employee records and personal policies.
- Ensure high performance.
- Manage employee payroll, benefits and compensation.
- Ensure equal opportunities.
- Deal with discrimination.
- Deal with performance issues.
- Ensure that human resources practices conform to various regulations.
- Push the employees' motivation.

Managers need to develop their interpersonal skills to be effective. Organisations behaviour focuses on how to improve factors that make organisations more effective.

**Origins of the terminology**
Pioneering economist John R. Commons used the term "human resource" in his 1893 book *The Distribution of Wealth* but did not further build upon it.[5] The term "human resource" was subsequently in use[by whom?] during the 1910s and 1920s as was the notion that workers could be seen as a kind of capital asset. Among scholars the first use of "human resources" in its modern form was in a 1958 report by economist E. Wight Bakke.[6] The term began to become more developed in the 19th century due to misunderstandings between employers and employees.[7][need quotation to verify]

The term in practice

From the corporate objective, employees have been traditionally viewed as assets to the enterprise, whose value is enhanced by further learning and development, referred to as human resource development.[8]

In regard to how individuals respond to the changes in a labour market, the following must be understood:

- Skills and qualifications: as industries move from manual to more managerial professions so does the need for more highly skilled staff. If the market is "tight" (i.e. not enough staff for the jobs), employers must compete for employees by offering financial rewards, community investment, etc.
- Geographical spread: how far is the job from the individual? The distance to travel to work should be in line with remuneration, and the transportation and infrastructure of the area also influence who applies for a position.
- Occupational structure: the norms and values of the different careers within an organization. Mahoney 1989 developed 3 different types of occupational structure, namely, craft (loyalty to the profession), organization career path (promotion through the firm) and unstructured (lower/unskilled workers who work when needed).
- Generational difference: different age categories of employees have certain characteristics, for example, their behavior and their expectations of the organization.[9]

Concerns about the terminology

One major concern about considering people as assets or resources is that they will be commoditized, objectified and abused. Some analysis suggests that human beings are not "commodities" or "resources", but are creative and social beings in a productive enterprise. The 2000 revision of ISO 9001, in
contrast, requires identifying the processes, their sequence and interaction, and to define and communicate responsibilities and authorities. In general, heavily unionised nations such as France and Germany have adopted and encouraged such approaches. Also, in 2001, the International Labour Organization decided to revisit and revise its 1975 Recommendation 150 on Human Resources Development, resulting in its "Labour is not a commodity" principle. One view of these trends is that a strong social consensus on political economy and a good social welfare system facilitate labour mobility and tend to make the entire economy more productive, as labour can develop skills and experience in various ways, and move from one enterprise to another with little controversy or difficulty in adapting.

Another important controversy regards labour mobility and the broader philosophical issue with usage of the phrase "human resources". Governments of developing nations often regard developed nations that encourage immigration or "guest workers" as appropriating human capital that is more rightfully part of the developing nation and required to further its economic growth. Over time, the United Nations have come to more generally support the developing nations' point of view, and have requested significant offsetting "foreign aid" contributions so that a developing nation losing human capital does not lose the capacity to continue to train new people in trades, professions, and the arts.

Development

Human resources play an important part of developing and making a company or organization at the beginning or making a success at the end, due to the labour provided by employees. Human resources is intended to show how to have better employment relations in the workforce. Also, to bring out the best work ethic of the employees and therefore making a move to a better working environment.[10]

Planning

Administration and operations used to be the two role areas of HR. The strategic planning component came into play as a result of companies recognizing the need to consider HR needs in goals and strategies. HR directors commonly sit on company executive teams because of the HR planning function. Numbers and types of employees and the evolution of compensation systems are among elements in the planning role.[11] Various factors affecting Human Resource planning Organizational Structure,
Growth, Business Location, Demographic changes, environmental uncertainties, expansion etc. Additionally, this area encompasses the realm of talent management.

**Introduction to natural resources (NR)**

Ever since the earth was inhabited, humans and other life forms have depended on things that exist freely in nature to survive. These things include water (seas and fresh water), land, soils, rocks, forests (vegetation), animals (including fish), fossil fuels and minerals. They are called Natural Resources and are the basis of life on earth.

All these mentioned above are natural, and they exist in nature. No human created them. We tap into their supply to survive and also to function properly. Natural resources are all connected in a way. Therefore if one is taken away, it will affect the supply or quality of all others. For example, if water is eliminated from an area, the vegetation, soils, animals and even the air in that area will be affected negatively.

Below is a simple illustration of some great things that we get from some natural resources.

![Diagram showing natural resources]

Natural resources can be consumed directly or indirectly. For instance, humans depend directly on forests for food, biomass, health, recreation and increased living comfort. Indirectly forests act as climate control, flood
control, storm protection and nutrient cycling.

**Raw materials**
Sometimes, natural resources can be used as raw materials to produce something. For instance, we can use a tree from the forest to produce timber. The timber is then used to produce wood for furniture or pulp for paper and paper products. In this scenario, the tree is the raw material.

Every item in your home was made from a raw material that came from a natural resource. The tea mug, electricity at home, bread, clothes, you name them: each of them came from a natural resource.

Natural resources come in many forms. It may be a solid, liquid or gas. It may also be organic or inorganic. It may also be metallic or non-metallic. It may be renewable or non-renewable. Click next to see what each category is made up of.

**Types of Natural Resources**

All Natural Resources fall under two main categories: **Renewable and Non-renewable Resources**. The table below will help us understand this better.

- **Renewable resources**
  Renewable resources are those that are constantly available (like water) or can be reasonably replaced or recovered, like vegetative lands. Animals are also renewable because with a bit of care, they can reproduce offsprings to
replace adult animals. Even though some renewable resources can be replaced, they may take many years and that does not make them renewable.

If renewable resources come from living things, (such as trees and animals) they can be called **organic renewable** resources.

If renewable resources come from non-living things, (such as water, sun and wind) they can be called **inorganic renewable** resources.

- **Non-renewable resources**
  Non-renewable resources are those that cannot easily be replaced once they are destroyed. Examples include fossil fuels. Minerals are also non-renewable because even though they form naturally in a process called the rock cycle, it can take thousands of years, making it non-renewable. Some animals can also be considered non-renewable, because if people hunt for a particular species without ensuring their reproduction, they will be extinct. This is why we must ensure that we protect resources that are endangered.

  Non-renewable resources can be called inorganic resources if they come from non-living things. Examples include minerals, wind, land, soil and rocks.

  Some non-renewable resources come from living things — such as fossil fuels. They can be called organic non-renewable resources.

- **Metallic and Non-metallic Resources**
  Inorganic resources may be metallic or non-metallic. Metallic minerals are those that have metals in them. They are harder, shiny, and can be melted to form new products. Examples are iron, copper and tin. Non-metallic minerals have no metals in them. They are softer and do not shine. Examples include clay and coal.

  **Why are Natural Resources so important?**

  Natural resources are available to sustain the very complex interaction between living things and non-living things. Humans also benefit immensely from this interaction. All over the world, people consume resources directly or indirectly. Developed countries consume resources more than under-developed countries.
The world economy uses around 60 billion tonnes of resources each year to produce the goods and services which we all consume. On the average, a person in Europe consumes about 36kg of resources per day; a person in North America consumes about 90kg per day, a person in Asia consumes about 14kg and a person in Africa consumes about 10kg of resources per day.  

In what form do people consume natural resources? The three major forms include Food and drink, Housing and infrastructure, and Mobility. These three make up more than 60% of resource use.

- **Food and drink:**
  This includes agricultural products as well as naturally occurring foods such as game, fish from fresh water and seas, seeds and nuts, medicines, herbs and plants. They also include drinking water, as well as water for sanitation and household use. Think of ceramic plates, silverware (spoons, forks and knives), cans, milk packages, paper and plastic cups — they are all made from raw materials which come from our natural resources.

- **Mobility:**
  This includes automobiles, trains, water vessels, airplanes, together with all the fuel that powers them. Can you imagine where all the raw materials used in their production came from?

- **Housing and infrastructure:**
  Think about all the houses, public places, roads and constructed objects you have in your city or town. Think about all the energy for heating and cooling that we consume in our homes — can you imagine where all the wood, metals, plastic, stone and other materials came from?

Beyond these three major areas of resource consumption, we consume much more resources from our environment on a daily basis. The role of natural resources in sustaining life on earth is extremely important and we must ensure that we protect the environment and also make it easy for it to replenish itself naturally.
Natural resources are not evenly distributed all over the world. Some places are more endowed than others — for instance, some regions have lots of water (and access to ocean and seas). Others have lots of minerals and forestlands. Others have metallic rocks, wildlife, fossil fuels and so on.

For example, The US has the world's largest coal reserves with 491 billion short tons accounting for 27% of the world's total. Australia is the world's largest net exporter of coal accounting for 29% of global coal exports ¹

China remains the largest producer of gold with a 14% share of the global production. ²

The United States, Russia, and Canada are the leading producers of timber and pulp. Annual exports of primary and secondary wood products from tropical forests have exceeded US$ 20 billion in recent years and further increases are anticipated. ³

Many countries have developed their economies by using their natural resources. Some also get a lot of income from their resources in the form of tourism and recreation. Brazil and Peru for example, make a lot of money from The Amazon Forests, which is super diverse in trees and animals.

Crude oil is another important natural resource. From Crude oil, we get many petroleum products such as petrol, diesel and gas. We use these to fuel our cars and provide energy to warm and cool our homes. But Crude oil is not evenly distributed all over the world. Below is an illustration of how much each region of the world produces.
International and local trade has its roots in the fact that resources are not evenly distributed on the earth’s surface. Regions with crude oil can drill oil and sell to regions without oil, and also buy resources such as timber and precious metals (gold, diamonds and silver) from other regions that have them in abundance.

The uneven distribution is also the root of power and greed in many regions. Some countries use their wealth in resources to control and manipulate regions with fewer resources. Some countries and regions have even gone to war over the management, ownership, allocation, use and protection of natural resources and related ecosystems.

**Threats to Natural Resources**

**A. Overpopulation**
This is probably the most significant, single threat that natural resources face. The world’s population is increasing at a very fast rate. In the USA, a baby is born every 8 seconds, and a person dies every 13 seconds. The increase in populations mean there will be pressure on almost all natural resources. How?

- **Land Use:** With more mouths to feed and people to house, more land will need to be cultivated and developed for housing. More farming chemicals will be applied to increase food production. Many forest or vegetative lands will be converted to settlements for people, roads and farms. These have serious repercussions on natural resources.
Forests: Demand for wood (timber), food, roads and forest products will be more. People will therefore use more forest resources than they can naturally recover.

Fishing: Fresh water and sea food will face problems too as we will continue to depend heavily on them. Bigger fishing companies are going deeper into sea to catch fish in even larger quantities. Some of the fishing methods they use are not sustainable, thereby destroying much more fish and sea creatures in the process.

Need for more: Human's demand for a comfortable life means more items (communication, transport, education, entertainment and recreation) will need to be produced. This means more industrial processes and more need for raw materials and natural resources.

According to the Millennium Ecosystem Assessment (MEA, 2005), More than 50 percent of all types of forest, agricultural land and wetlands surrounding urban and semi-urban areas have been lost through conversion to other land uses. In the past decade alone, about 130 million hectares of forest were lost, of which 40 million hectares were primary forests (FAO, 2010b).

B. Climate Change
The alteration in climate patterns as a result of excessive anthropogenic CO₂ is hurting biodiversity and many other abiotic natural resources. Species that have acclimatized to their environments may perish and others will have to move to more favorable conditions to survive.

C. Environmental Pollution
Land, water and air pollution directly affect the health of the environments in which they occur. Pollution affects the chemical make-up of soils, rocks, lands, ocean water, freshwater and underground water, and other natural phenomena. This often has catastrophic
Problems associated with Natural Resources

Even though natural resources are the basic support structures of life, too much or too little of it can come with a lot of trouble and conflict.

Too little natural resources:
In many regions of the world a mix of limited resources, overpopulation and environmental degradation has produced extreme poverty and income inequality. This has in turn has fuelled grievances, rebellion and conflict in society.

Too much natural resources:
This problem is even bigger in regions with excess natural resources. Greed, corruption, and conflict from revenue distribution, resource ownership, decision making, management, and access has fuelled local and international conflict.

For example, in Papua New Guinea, The Panguna Copper Mine, once the largest open pit mine in the world was the centre of violent conflict. Developed in the 1960’s, locals were angry about the unfair salaries between local and foreign workers. They were also angry that the government did not give the community a fair share of revenues from the mine. They also had problems with foreign firms exploiting the community’s resources. This conflict continued even after the mine
Conflict does not occur only in local communities. Third parties (including advanced nations) also have extreme interest in wealth from natural resources in other regions. This often results in tensions between regions and countries, as well as foster or engage in civil conflicts.

For example, civil war in Democratic Republic of Congo (DRC) was partly fostered by neighbouring states seeking raw materials. It is also believed that the actions of a French Oil Corporation (Elf) escalated the conflict in DRC.

What kind of natural resources are in your country and do you think some nations are interfering with your country's resources? What can your leaders do to ensure that there is no conflict from this scenario.

Resource Recovery

In recent years, waste has been viewed as a potential resource and not something that must end up in the landfill. From paper, plastics, wood, metals and even wastewater, experts believe that each component of waste can be tapped and turned into something very useful.

Fossil fuel use by the pulp and paper industry in the United States of
America declined by more than 50% between 1972 and 2002, largely through energy efficiency measures, power recovery through co-generation and increased use of biomass.  

**Resource recovery** is the separation of certain materials from the waste we produce, with the aim of using them again or turning them into new raw materials for use again.

It involves composting and recycling of materials that are heading to the landfill. Here is an example: Wet organic waste such as food and agricultural waste is considered waste after food consumption or after an agricultural activity. Traditionally, we collect them and send them to a landfill. In Resource Recovery, we collect and divert to composting or anaerobic digestion to produce biomethane. We can also recover nutrients through regulator-approved use of residuals.

The concept can be applied in household settings too. Many communities have places that residents can drop off waste that they have already sorted in their homes. This makes it easy for waste recovery organizations to pick them up for further processing.

Recovering waste is not an easy task. It involves good planning, education, community participation, and use of technology. But it has huge environmental and economic benefits and must be seriously considered.

Resource recovery benefits us because it reduces our need to tap into new raw materials, thereby saving the environment. For example, by separating and collecting all paper products from the waste we create, we can recycle them to reduce the need for new pulp which comes
from timber. Less energy is also used in recycling old materials than new raw materials.

Think of wastewater and stormwater as another example. The demand for potable water can be greatly reduced if we can divert all wastewater and stormwater for treatment and re-use. We can use it for gardening, agriculture, sanitation (cleaning) and even heating by energy producers.

In Victoria, Australia, reclaimed water is used to irrigate vineyards, tomatoes, potatoes, and other crops in addition to traditional landscape irrigation. In Mexico City, nearly 46 million gallons (174 million liters) per day of reclaimed water is used for irrigation of green areas, recharge of recreational lakes and agriculture.

Conservation of Natural Resources

To have an environmentally sustainable secure future where we can still enjoy natural resources, we urgently need to transform the way we use resources, by completely changing the way we produce and consume goods and services.

The case of high resource consumption occurs primarily in the bigger cities of the world.

*Cities worldwide are responsible for 60-80% of global energy consumption and 75% of carbon emissions, consuming more than 75% of the world’s natural resources.*

To turn this unfortunate way of life around, we all have to play a role.

Education and Public Awareness

All stakeholders must aim to provide information and raise public awareness about the wonderful natural resources we have and the need to ensure its health. Even though there is a lot of information in the public domain, campaigners must try to use less scientific terms, and avoid complex
terminology to send the message across. Once people understand how useful our natural resources are, they will be better placed to preserve it.

**Individuals, organisations and nations**

People and organisations in developed nations with high resource consumption rates must be aware of the issues of natural resources. People should understand that it is OK to enjoy all the items and gadgets at home, but also, give back to the environment by way of reducing waste, recycling waste and becoming a part of the solution. We can achieve this in our homes and workplaces by reducing waste and also by recycling the waste we create.

**Governments and Policy**

Governments must enforce policies that protect the environment.

For example, a part of the Ross Sea in Antarctica is to be protected beginning from December 2017 (READ MORE HERE)

They must ensure that businesses and industries play fair and are accountable to all people. Incentives must be given to businesses that use recycled raw materials and hefty fines to those that still tap from raw natural resources. Businesses must return a portion of their profits to activities that aim at restoring what they have taken out of the environment.

**Did you know...**

**Natural Resources Consumption:**

1. People in rich countries consume up to 10 times more natural resources than those in the poorest countries. On average, an inhabitant of North America consumes around 90 kilograms (kg) of resources each day. In Europe, consumption is around 45 kg per day, while in Africa people consume only around 10 kg per day.

2. **Which society consumes more?**

Before industrial times, people lived by hunting and gathering. They consumed only renewable natural resources such as wood and sun. Wood
was basically used for basic shelter and carving hunting weapons. One person consumed only about 3kg of natural resources per day.

In agrarian communities, more natural resources were used to power the farms, feed animals and transport produce and meats. The average consumption per person in this community is 11kg per day.

In an industrial society, more energy, particularly fossil fuels is used to power production plants. Construction, infrastructure, transport, storage, marketing and distribution, all depend on energy and other natural resources. This is why industrialised nations consume so much resources. The average consumption per person is 44kg per day.

3. Waste Recovery is real:
Before the mid 1970, waste in Connecticut (a state in the USA) was sent to landfill. The state recognised the environmental hazards of it, and made some policy changes. By 2010, about 92% of Municipal Solid Waste (MSW) is saved from the landfill. Of this amount, one this is recycled and two thirds is combusted to energy. The energy is enough to power 100,000 homes.

Material Resources
A resource is a means of any kind to obtain what is desired. Hardware, on the other hand, is what belongs or is relative to the material (it is therefore the opposite of that which is spiritual or soul).
That said, material resources are physical and concrete ways which help to achieve a goal. The concept is common in businesses and Governments. For example: "we have great professionals in the hospital, but lack us material resources", "society has made a pretty significant investment to renovate the hardware resources", if material resources are not sufficient, one must know sharpen its know-how and redouble the efforts.
In the daily operations of a company, there is mention several types of resources. Material resources are tangible assets that offer products or services in question. Among them, there are the raw materials, facilities, machineries and the ground.
Also important to the functioning of a business, we will quote resources techniques (such as patents or systems), financial resources (cash in hand, credits) and human resources (those working within an organization). The success of a company, regardless of its dimension, depends on the proper management of all these service resources. It is difficult that a
business be a success if it has good material resources but whose human resources are inadequate or vice versa. Generally, the best way to promote material resources, it is investing in order to renovate and update. On the other hand, with regard to human resources, their management is more complex and committed many variables.

**Monetary Resource** - assets in the form of money

- cash in hand, finances, funds, pecuniary resource
- assets - anything of material value or usefulness that is owned by a person or company
- bank - the funds held by a gambling house or the dealer in some gambling games; "he tried to break the bank at Monte Carlo"
- bankroll, roll - a roll of currency notes (often taken as the resources of a person or business etc.); "he shot his roll on a bob-tailed nag"
- pocket - a supply of money; "they dipped into the taxpayers' pockets"
- Medicaid funds - public funds used to pay for Medicaid
- exchequer, treasury - the funds of a government or institution or individual
- money supply - the total stock of money in the economy; currency held by the public plus money in accounts in banks
- escrow funds - funds held in escrow
- matching funds - funds that will be supplied in an amount matching the funds available from other sources

**Monetary Value**

**Monetary value** is value in currency that a person, business, or the market places on a resource, product, or service. In fact, most goods and services in our modern economy are priced based on monetary value. Let's look at some examples of resources, goods, and services priced by monetary value:

- Commodities, such as precious metals, agricultural products, oil, gas, and other natural resources
Tangible property, which is really any physical man-made thing, such as a computer, pencil, and art
- Intangible property, such as patents, literary rights, and publishing rights
- Land
- Certain legal property rights, such as gas, mineral, oil, timber, and water rights
- Services
- Labor, such as wages and salary
- And businesses

In fact, almost everything related to our modern economy and market has a monetary value.

Determining Value

If we assume a perfectly competitive market and no government intervention on price, then we can say that the monetary price of a resource, good, or service is determined by the market according to the law of supply and demand. The law of supply and demand is a pretty simple concept. All things being equal, if demand for something is high but the supply of it is low, then the price will be high. However, if the demand is low and the supply is high, the price will generally be low. The price will reach equilibrium, or stabilize when supply equals demand, which can be depicted graphically as follows:

![Graph of supply and demand](image)

You can also view fair market price as the price at which a willing buyer will pay for a product and a willing seller will sell it.

Importance

A modern economy cannot function without being able to apply a monetary value to goods and services. Let's look at why it's important.
Medium of Exchange - Money is a medium of exchange that is accepted by all members of an economy. In other words, everyone recognizes the value of money and will accept it in exchange for goods and services.

Identifying Community Assets and Resources

Many community organizations focus on the needs or deficits of the community. And they should. Every community has needs and deficits; they ought to be corrected.

Yet it's also possible to focus on assets and strengths -- emphasizing what the community does have, not what it doesn't. Why? Because those assets and strengths can be used to meet those same community needs; they can improve community life.

To accomplish this, we first have to find out what those assets are. So in this section, we will learn how to identify community assets and resources. We'll also show how they can be harnessed to meet community needs and to strengthen the community as a whole.

But first:

What is a community asset?

Our definition is broad. A community asset (or community resource, a very similar term) is anything that can be used to improve the quality of community life. And this means:

It can be a person -- the master mechanic down the street who can fix any car ever made. The stay-at-home mom or dad who organizes a playgroup. The church member who starts a discussion group on spirituality. Or a star high-school athlete, or coach, or cheerleader, or fan in the stands. These are all community assets.
It can be a physical structure or place -- a school, hospital, church, library, recreation center, social club. It could be a town landmark or symbol. It might also be an unused building that could house a community hospice, or a second-floor room ideal for community meetings. Or it might be a public place that already belongs to the community a park, a wetland, or other open space.

It can be a **business** that provides jobs and supports the local economy.

You are a community asset, too, and so are your friends, and the people you know, and the people you don't know yet. When you walk down the street, there are assets all around you. This is a very encouraging and promising way of seeing the world.

And actually, in a true sense of the word, **everyone** living in the community is a community asset -- at least potentially so, and probably really so. This is good news, because it suggests that **everyone in the community can be a force for community improvement if only we knew what their assets are, and could put them to use.**

**Why should you identify community assets?**

Basically, because they can be used as a foundation for community improvement. And also because:

External resources (e.g., federal and state money) often just aren't available, whether we like it or not. Therefore, the resources for change must come from within each community.

• Identifying and mobilizing community assets enables community residents to gain control over their lives. People can become active shapers of their own destinies, instead of passive clients receiving services from a variety of agencies. Improvement efforts are more effective, and longer-lasting, when community members dedicate their time and talents to changes they desire.

Are there other reasons you can think of?
• **When should we identify community assets?**

• **Every day.** But here are some situations when it's especially desirable to do so:

  When you don't know what those assets are. This may be especially true when you are new to a community.

  When the community includes talented and experienced citizens whose skills are valuable but underutilized.

  When you can't provide traditional services, even if you wanted to, and are looking for other ways to build up the community.

  When you want to encourage residents to take pride in and ownership for local concerns and improvements.

  When you want to strengthen existing relationships and build new ones that will promote successful community development in the future.

So here are the key questions we face:

**What kinds of assets are available right here in the community?**

And:

**How can I work together with the community to mobilize these assets to help the community achieve its goals?**

**How do you identify community assets?**

*Some questions before you begin*
The techniques for identifying community assets aren't very hard. You don't need a lot of special training or expertise to do the job well.

Before you begin, though, you do need to answer some important questions. You can do this yourself, in the privacy of your own home. But we recommend strongly do so before you start. Here they are:

1 What is the size of the community, in your case? It could be an entire town (or even larger), or a smaller village. It could be a part of a town -- such as a neighborhood, or an even smaller community, such as a housing development or cluster of blocks.

   Obviously, the bigger the size, the more work is involved; and probably different study methods, too.

2 What people are available to do the work? You? You, plus some friends? A small group of people? A larger organization? Of course, you can also reach out to others, get them excited about the project, and recruit them to work with you.

   And what about help from the town itself? It might be possible to get town government backing for a project like this, for knowing the community's assets is surely in the town's interest.

3 How much time do you have for the task or how much time can you allow? Tonight? A week? A month? As much time as it takes?

   The more time you have, the more assets you will be able to uncover. Hopefully, you've got more time than just tonight. But unlimited time is not required, nor even desired. This task is time-limited.
4 How much money, if any, is at your disposal? Or, how much can you get hold of? We're talking about money for copying, mailing, incidental expenses, rather than for bigger-ticket items such as staff time. If identifying community assets can be made part of your regular work, that's certainly a plus, and worth pushing for; but this is frequently a volunteer type of community job.

The more people, time, and money available, of course the more you can do. But even if you have just yourself, no money, and little time, you can still do useful work in identifying assets that will be helpful to the community especially if nothing like this has ever been done before.

5 Lastly, a big question, perhaps the most important of all: What do you want to do with the results? Do you just want to keep these assets on file? Or share them with others? Or use them for action? If so, what action, and how?

What is Resource Mobilization and Why is it so Important?

What is resource mobilization?

Resource mobilization refers to all activities involved in securing new and additional resources for your organization. It also involves making better use of, and maximizing, existing resources. Resource mobilization is often referred to as ‘New Business Development’. The figure below shows how New Business Opportunities – which are intended to mobilize resources – form part of an organization’s overall functioning.
Why is resource mobilization so important?

Resource mobilization is critical to any organization for the following reasons:

1. Ensures the continuation of your organization’s service provision to clients
2. Supports organizational sustainability
3. Allows for improvement and scale-up of products and services the organization currently provides
4. Organizations, both in the public and private sector, must be in the business of generating new business to stay in business

What is meant by sustainability?

Although sustainability is often identified with having sufficient funds to cover an organization’s activities, it is actually a broader concept. There are three fundamental streams of sustainability: institutional, financial and programmatic. Each is vital to the survival of an organization. Below are the definitions of these three areas of sustainability:

Programmatic sustainability. The organization delivers products and services that respond to clients’ needs and anticipates new areas of need. Its success enables expansion of its client base.
**Institutional sustainability.** The organization has a strong, yet flexible structure and accountable, transparent governance practices. Its structure and good governance allows it to respond to the shifting priorities of its supporters and to new responsibilities toward its clients, while creating a positive work climate for its staff.

**Financial sustainability.** The organization draws on various sources of revenue, allowing it to support its ongoing efforts and to undertake new initiatives.

Figure 2 below shows how all of these streams of sustainability are exercised in an organization. The strategic plan is the anchor, in which an organization’s programs, structure and systems, as well as financials are reviewed and new business opportunities are identified. These new directions or new business opportunities are then pursued using a distinct resource mobilization strategy, such as writing proposals, submitting grant applications, or drafting business cases or business plans. All of these instruments are designed to showcase an organization’s programs, institutional structure, and financial health.

![Figure 2: The Strategic Plan and Resource Mobilization](image)

In signing off, I would like to share with you 10 truths about resource mobilization:

1. Organizations are not entitled to support; they must earn it.
2. Successful resource mobilization requires a lot of work and takes a lot of time.
3. If your organization needs additional revenue one year from now, start today!
4. Be ready, willing and able to sell your organization and the programs for which you are raising money.
5. Resource mobilization efforts should align with your organizational mission, objectives and strategic plan.
6. Resource mobilization is also about the needs of the (prospective) funder.
7. Understand the needs of your clients (target population/funders).
8. Be prepared to provide evidence-based results.
9. Your organizational performance today impacts your ability to generate resources tomorrow.
10. You must establish and maintain organizational credibility and reputation.

Features of Resource Mobilization
1. Resource identification
2. Identification of Resource Provider
3. Identification of mechanism to receive resource
4. Expansion of relations with the Resource Provider
5. Right use of resource
6. Knowledge and skills to Resource Mobilization
7. Human skills, service, information, equipment
8. Seeking out new resource
9. Thought of institutional sustainability
10. Lower financial risk.

Importance of Resource Mobilization
1. To diversify and expand resources.
2. Resource Mobilization helps to formulate an independent budget.
3. To break the Tradition of running the specific programs of any donor agencies only.
4. To spend in the Program of the Organization's liking.
5. To decrease dependency on others.
6. To save oneself/lessen the chance of becoming contractors of foreign donor agencies.
7. For sustainability of the Organization and program.
8. For maximum use of domestic capital and skills.
9. To expand deep relations with the stakeholder and community.
10. To clean the image of the Organization and expand relations.
11. To fulfill responsibilities towards the community.
12. To run programs based on the genuine needs of the community and to advocate for such programs.
13. To disseminate the good practices of the Organization.
14. To develop new thinking and challenge the old traditions.
15. To enhance the dignity of one's Organization.

PHILANTROPY AND DONOR PSYCHOLOGY

Philanthropy (from Greek φιλανθρωπία) means etymologically, the love of humanity, in the sense of caring and nourishing, it involves both the benefactor in their identifying and exercising their values, and the beneficiary in their receipt and benefit from the service or goods provided. A conventional modern definition is "private initiatives, for the public good, focusing on quality of life," which combines an original humanistic tradition with a social scientific aspect developed in the 20th century. The definition also serves to contrast philanthropy with business endeavors, which are private initiatives for private good, focusing on material gain, and with government endeavors, which are public initiatives for public good, focusing on provision of public services. A person who practices philanthropy is called a philanthropist.

Philanthropy has distinguishing characteristics separate from charity; not all charity is philanthropy, or vice versa, though there is a recognized degree of overlap in practice. A difference commonly cited is that charity aims to relieve the pain of a particular social problem, whereas philanthropy attempts to address the root cause of the problem—the difference between the proverbial gift of a fish to a hungry person, versus teaching them how to fish.

Definitions

The most conventional modern definition, according to the Catalogue for Philanthropy, is "private initiatives, for public good, focusing on quality of life" This combines the social scientific aspect developed in the 20th century with the original humanistic tradition, and serves to contrast philanthropy with business (private initiatives for private good, focusing on material...
prosperity) and government (public initiatives for public good, focusing on law and order). These distinctions have been analyzed by Olivier Zunz, and others.

Donation Psychology: The Heart of Social Giving

Donation Psychology
Donation psychology isn’t intuitive. Fundraising technologies should be. A real-time donation thermometer for event fundraising is the perfect tool to address the psychology of giving. Donation thermometers:

- create a sense of urgency
- give personal recognition
- drive more donor contributions

That’s one smart donation psychology tool! After all, Clark Hull’s 1934 Goal-Gradient Hypothesis found the behaviorisms and psychology of animals and humans increased in effort as they approached a reward or goal. (We bet you feel even smarter now. You’re welcome.)

Understanding Donation Psychology 101
Donation psychology 101 is that donors usually give for personal satisfaction – not solely out of kindness. Here are some reasons why:

1—Social Connection
Someone they know is affected or personally asked them to give and they wanted to help. People want to feel connected.

2—Sense of Control/Power
The feeling of powerlessness naturally makes people seek ways to regain control and balance our psychological well-being. Choosing to make a donation allows supporters to feel like they are contributing to a solution for the problem.

3—Acceptance and Belonging
When everyone else is making a difference, chances are others will join the cause.

4—Morality
It’s the right thing to do.

How to Use a Donation Thermometer
Take advantage of donation psychology...
1—Talk to Supporters…Create A Sense of Urgency
Have a conversation with potential donors about why they are important to the cause. Studies show people are more inclined to give if they feel a personal or emotional connection and have details about the benefits of their contribution.
People give with their heart…not their head. Go ahead and pull on their heartstrings, but focus on the positive changes their donation will make – it’s proven that happier people give more.

2—Display the Real-Time Thermometer
Bigger is better! Project your custom fundraising thermometer for everyone to see. Supporters can see the text instructions, campaign goal, and (most importantly) real-time stats like number of donors, donation amounts, and how close you are to your goal. The closer you get, the more people are inclined to give.

3—Let’s Get Physical
Get people involved. Giving is an emotional and impulsive action. Be a good example while you talk supporters through the steps of pledging to your campaign from your own mobile phones as they sit in audience pledging from theirs’.
Simply instructing everyone to take their phones out and open a new text message puts them this close to making a donation they may as well follow through with the rest of the steps. The pre-selected suggested donation amount on your form eliminates additional work for your supporter.
Plus, remind them they can see their donation added to the cause within moments. Suggestion: Have everyone stand as they see their name/donation appear. (Why? Keep reading…)

4—Friendly Competition is A Good Thing (Really!)
Have you been the only one sitting in a room full of people standing? Awkward! If you invite donors to stand as their name scrolls on the thermometer, people around them will be inclined to join them.
Human effort increases as the goal approaches fulfillment because the impact of contributions feels greater. Keep going until your cause has the standing ovation it deserves!

5—Extra Credit
Thanking specific individual donors from the real-time thermometer feed elicits more donations from supporters looking for their own public recognition high. It doesn’t take much to psychologically solidify their contribution towards making a difference.

6—Give ’em Something To Talk About
Encourage donors to share about their donations and your cause on social media channels. It’ll make them feel good – plus, people have said they are more inclined to give if a friend asks them to do so. Sharing keywords, links to donation forms, and/or text instructions in social media allows more people to see it – even after your live event is over. You can also embed your thermometer on your website for all to see before, during, and after your campaign event.

The Psychology of Philanthropy and Community Change

What does it take to get foundations and individual donors more involved in community change? That’s the question we’ll explore today, using psychology as the focal point for five strategies we’ll discuss. There are other answers we won’t discuss, such as changing tax laws or creating public communication campaigns. And we’ll look at psychology not just as a source of strategic interventions, but as a context for thinking about philanthropy and its role in community change - taking our lead from recent business research.

A new Harvard Business School study suggests that the single most important characteristic shared by America’s leading business figures of the last 100 years is contextual intelligence - the ability to understand and capitalize on the sweeping trends influencing the marketplace of their time. The Leadership Initiative database of researchers Nitin Nohria and Tony Mayo includes everybody from Henry Ford to Jack Welch, who built GE by getting it largely out of the declining industrial sector, and into the services and banking businesses.

A second and related set of contextual forces are also increasingly recognized by business researchers and business leaders as fundamental to success, particularly when organizations are creating change strategically. These are the human dynamics of change, made understandable by psychological concepts of reward, resistance and the need to feel ownership and involvement in making changes that will profoundly affect a person’s life and work.

MIT’s Michael Hammer, the inventor of re-engineering, perhaps the most popular transformational change intervention of the 1990s, has said that two-thirds of all re-engineering interventions failed - mostly due to staff resistance. Human beings’ innate resistance to change is “the most
perplexing, annoying, distressing and confusing part” of re-engineering, says Hammer. Moreover, resistance to change is “natural and inevitable. To think that resistance won’t occur or to view those who exhibit its symptoms as difficult or retrograde is a fatal mistake ... The real cause of re-engineering failures is not the resistance itself but management’s failure to deal with it.”

At our Institute, we see these psychological concepts as providing important contextual intelligence for understanding and guiding the complex processes of change in nonprofit organizations and communities - a topic we’ve been studying for the last 44 years. And we see psychology as relevant to philanthropy not just for defining strategy, but also for understanding the societal role of philanthropy from a public policy standpoint.

A central mission of philanthropy is to help create change in the community. Since their financial resources are small compared with government’s, both foundations and individual donors stimulate change through the leverage that comes because they can use those resources with few constraints, and, especially for foundations, through the ability to convene the community for planning or action-taking. Perception and persuasion are bound up in both the leverage and convening processes, so philanthropic strategy is inherently psychological, from the era of Rockefeller and Carnegie to today.

Moreover, philanthropy is psychological because foundations and individual donors can set any bottom line they want. Donor intent and its psychological aspects are more critical than for government or the private sector - or even for the nonprofit sector, which is mission driven in a very different way. The independence of philanthropy, by the way, is also a main reason why improving philanthropic practice can be so difficult - one philanthropist need never change because another one has.

Katharine Fulton and Andrew Blau of the Global Business Network identify two trends that will shape the future of philanthropy: first, its continued growth and diversification, because of the coming transfer of wealth, and second, growing internal and external pressure to demonstrate that philanthropy is successful, and makes a difference. Recent economic conditions that required foundations to cut their giving have added to this
pressure. Improving philanthropic practice using psychological strategies is all the more important because of these trends.

However, philanthropy as a field is just at the beginning of looking at its human side in a more thoughtful and strategic way. Jed Emerson, in his recent book, *The Blended Value Map*, has a footnote at the beginning that says he deliberately excluded matters psychological from his classification system for looking at how economic and social values intertwine. In a recent conversation, Jed agreed that his concepts could be enriched by looking at the psychological side.

There are some philanthropic observers who have already applied psychological approaches. For example, the California Community Foundation’s Joe Lumarda, in his book with Frank Ellsworth, *From Grantmaker to Leader*, uses psychologist Abraham Maslow’s hierarchy of needs to understand the psychology of donors.

In our work, we’re finding that behavioral sciences have potential for increasing the involvement of both foundations and individual donors in community change. Today we’ll talk about the psychological aspects of five interventions:

1 - *Helping community stakeholders get more involved in guiding the work of foundations*

2 - *Helping individual donors understand the value of supporting nonprofit capacity building*

3 - *Helping smaller foundations understand the value of building their own capacity*

4 - *Helping foundations develop and use collaboration approaches to increase their impact*

5 - *Helping foundations deal with the human side of change for their own staff*

Each intervention comes not only out of our recent research, but also discussions in the field of philanthropy about how to increase foundation and donor impact.
1 - Helping community stakeholders get more involved in guiding the work of foundations

Increasingly, foundations are recognizing that getting people from the community to come to the table and help define philanthropic strategy can lead to better outcomes, as well as building credibility for foundations and their work. Corporations around the world already have recognized this. For the last three years, we’ve been looking at stakeholder interactions from a psychological perspective in the US and eight other countries, as part of a project for the International Network on Strategic Philanthropy. We’ve found some interesting examples;

• the Nike Foundation created a national youth philanthropy program, to teach kids about grantmaking and giving them actual opportunities to give out grants. Nike wanted a youth-driven evaluation design for this program, too, which was created by a group of kids working at the Boys & Girl’s Club in the West San Gabriel Valley here in L.A. The psychological advantage was clear - not only was evaluation expressed in terms that youth carrying out the evaluation strategies could understand, but they also could see the photos of the youth who designed the program on the website that communicated it to them.

• in Los Angeles, the Liberty Hill Foundation has a long tradition of having grassroots community representatives share equal responsibility for grantmaking with foundation trustees; this unusual degree of stakeholder involvement influences everything else about how the foundation operates and how it is perceived in the community. For example, at a recent Liberty Hill networking event, it was difficult to tell who were the grantees, community advisors, foundation staff and trustees - and that’s the way the Foundation wants it!

2 - Helping individual donors understand the value of supporting nonprofit capacity building

We’ve just finished a research study, interviewing 34 donors and their trusted advisers across the country. We asked them how individual donors think about nonprofit capacity building - providing grant support or direct services to help nonprofits grow stronger and better able to achieve their missions, through staff training, board development, better computer technology, and so forth. Foundations have been doing a lot of work in nonprofit capacity building over the last 15 years, but until our research no one had looked at what individual donors were doing.
We found that many donors have actually done capacity-building grantmaking, but that they never use this term for it, don’t much like the term “capacity building,” and they know nothing about, and really don’t care about, what foundations are doing in this same realm. We also found that:

- because donors often resist paying overhead when they give money to nonprofits, capacity building is hard to sell because it doesn’t immediately increase services

- some donors are hesitant to fund capacity building because they erroneously fear that money given for this purpose won’t be tax deductible
- donors are reluctant to pay for any kind of education services for themselves

- to encourage them to do more capacity building funding, donors want guidance and testimonials from their peers about the success of this approach

Just to give one example: a long-time philanthropist had given money for several years to an AIDS prevention education organization, based in San Francisco but working in Africa, and run by an Episcopal priest. The priest’s wife, a nursing professional, served as secretary. When it became clear that the nonprofit was struggling and needed to expand, the philanthropist gave a $50,000 grant so the nonprofit could hire its first paid secretary and rent office space. Within the next year, the nonprofit received a $1 million grant from the Gates Foundation that transformed the organization’s ability to provide its educational services. Thus an established donor relationship facilitated the capacity-building opportunity - but that term was never used by any of the parties to this grant!

3 - Helping smaller foundations understand the value of building their own capacity
We did a study of how small, unstaffed or minimally staffed foundations in the U.S. deal with capacity building for themselves - using either resources from philanthropy or from the larger nonprofit community to build their own strength. Our 16 interviewees identified a number of reasons why internal capacity building is difficult to encourage, such as:

2 foundation donors, staff and trustees often are resistant to participating in capacity building experiences because they feel uncomfortable talking about their own challenges while in the same room with staff of nonprofits they might give money to
3 they are suspicious of the “jargon around capacity building” just as much as individual donors are

In addition to these psychological factors, we also found that in many cases, small foundations simply don’t know about what resources for capacity building are available to them, and have scant energy available to find out. We’re now looking at what might be done to address both the psychological and structural factors in two California communities.

4 - Helping foundations develop and use collaboration approaches to increase their impact
   We also just did a study of approaches to collaboration for foundations. We found, for instance, that the Annie E. Casey Foundation is using a heavily psychological approach in its 11 Making Connections communities, such as Oakland. Casey has learned important lessons from its New Futures initiative in the late 1980’s, to which there was a lot of community resistance. In its very insightful self-analysis, The Path of Most Resistance, Casey outlined how this happened and what could be done differently.

Casey now enters into a community now in a very different way, staying in the background, and acting largely as an outside observer. It provides funding not directly but through a third party, such as the East Bay Community Foundation in Oakland. This approach also was used when Casey helped coordinate a recent meeting of foundations in Canada, to talk about neighborhood based philanthropy in both countries. Its quiet example helped create a spirit of collaboration among the Canadian participants.
Collaboration approaches like this also pay careful attention to the power differentials between the large and small foundations. Such differences can create potentially uncomfortable relationships, as famously characterized by Woody Allen: “And the lion and the lamb shall lie down together, but the lamb won’t get much sleep.”

Such approaches also help to address the difficulties created when bringing foundation cultures into conflict - for instance, between a hands-off vs. a directive style. To succeed, one has to build slowly to get trust, and strong leadership is needed. Two of the best examples of such sensitive collaborations are the Rochester Effectiveness Partnership in upstate New York, and Los Angeles Urban Funders in our own area, which many of you know.

5 - Helping foundations deal with the human side of change for their own staff

I was asked to write a paper on this subject for a national meeting of senior foundation executives, the Chief Program Executives group, looking at what’s happening as the result of the recent economic downturn and its impact on philanthropy, including staff layoffs and cutbacks in giving almost unparalleled in the history of institutional philanthropy. I suggested bringing to the table some interventions that might help - making stress management seminars or self-help support groups available for foundation staff, setting up a staff committee to formulate a plan for addressing these “human by-products of change,” and getting outside consultation on the subject when appropriate. The point is not to turn foundation conference rooms into group therapy settings, but to include these human factors within the foundation as important subjects for attention, ideally by getting staff themselves to provide input and help shape a response.

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As for the future - we are now developing a study of transformational change in foundations. This will include looking at strategic process, outcomes, and human dynamics for several large national foundations that have in the last five years engaged in a process of transformational and profound change, involving not just operations but basic values. Casey, Knight, and Northwest are the initial sample we’re thinking of studying, foundations we’ve had the chance to observe for some years.

Such change is urgently needed, because of the current problems of funding, increased need for service increases, and other factors no nonprofit or community can ignore. Our Institute just completed a research study, in partnership with the California Association of Nonprofits, looking at safety net nonprofits throughout California. Our more than 800 respondents told us, among other things, that 41% of them had less revenue this year than last year, and that the average funding decrease was 22.5%. This has resulted in a real crisis for many nonprofits, as this one quotation from our study makes clear:

"Running our agency with fewer staff while maintaining the quality and quantity of our services has been challenging. While the economic downturn continues, so do the funding cuts. The worst in the government funding cuts is yet to come, and it is a challenge to make up for that funding from private, corporate and foundation funds. Many corporations and foundations are more cautious in their funding because the economic downturn greatly affected their giving abilities. Private donors are more cautious too. It is an extremely difficult time in which the need is increasing while the support is decreasing."

But our study also identified many innovative approaches nonprofits and foundations are using to cope with these circumstances. Just as one example, the Humboldt Area Foundation’s “Canary in the Mine” project involves monthly monitoring of requests for services at eight food banks for poor people in their rural area of Northern California. This service monitoring gives an early warning of increased requests for all other types of services for poor people, helping other nonprofits to get ready psychologically as well as practically, and helping the Foundation pro-actively shape its own
funding, then work together with local nonprofits to meet suddenly-rising needs. As our work continues, we hope to identify many more strategies for philanthropic activity that blend the psychological and the practical, so that foundations and donors can contribute the most possible to community change.

Types of Donors

It is necessary for you to understand the types of donors and the types of funding opportunities, before you start fundraising. There are several sources for you to avail funding for your organization, and to make the most of this opportunity, you will have to understand the various types of donors, their priorities and their core values. Most donors can be classified in to the following categories.

TYPES OF DONORS There are three major types of donors and each one has their own motivations and tax incentives for giving.

INDIVIDUALS. If an individual likes you and wants to support your organization, he will give you a donation. Individual donors are traditionally: your family, friends, audience, people who embrace your cause and/or artistic vision. By giving you money to support you, they become your patron.

If you’re a charitable organization, you can issue tax receipts. Donations can be large or small, but keep in mind that no donation is ever too small.

Advantages for the arts organization: Building a network of contacts and support.

Advantages for the donor: Receiving a tax receipt. This represents a tax savings of 48.2% when the donor gives over $200 during the fiscal year. Example: if someone gives you a $200 donation, he will get a tax credit of $96.40 on his next tax return (Quebec and Canada combined). His donation will have cost him $103.60.
How to proceed: Success is based on two factors: maintaining relationships and regularly updating your database. Are you ready to devote the necessary time and energy to these tasks?

Types of donations from individuals: Planned gifts Annual or spontaneous donations In memoriam donations Participation in benefit events

CORPORATIONS A corporation can choose to invest funds to support an artistic cause or vision, or share its goods and services.

Advantages for the arts organization: A company that has a community involvement policy provides money to support its vision. These amounts can be substantial and may lead to various forms of partnership. Advantages for the donor-company: A company that makes a donation to a charitable organization (which issues tax receipts) can deduct that amount from its taxable income, up to a maximum of 75% of its net revenue. Discuss this with your tax specialist. Furthermore, any gift in cash, goods or services reflects positively on the donorcompany, by reinforcing its image as a good corporate citizen.

How to proceed: There’s no point in writing to every CEO! Target the companies that are close to you, whether geographically (companies like to have an impact on the local community) or in terms of vision (RONA once supported a violin-maker by providing wood). Ask yourself the following questions: what does this company want to accomplish or communicate about itself, and how can my artistic organization help it achieve this? Tip: large companies often have a “Social Responsibility” section on their website, which describes their vision. In addition, corporations use the following strategies to support a cause: Donations (cash) Sponsorships (cash, goods or services) Entertainment expenses (cultural subscriptions are tax deductible) Art acquisitions (fiscal depreciation when the work is exhibited in the place of business)

FOUNDATIONS

A private foundation is constituted of funds from an individual, family or limited group of persons. The assets under management are often quite large and only the portion of interest generated during the year is redistributed to various causes. Private foundations are obliged, under the law that constitutes them, to redistribute the money to charities duly registered with
the Canada Revenue Agency. A public foundation has a mandate to collect funds from various sources to support a specific mission. For example, the Fondation du Théâtre du Nouveau Monde’s mandate is to collect funds to be managed by the foundation and redistributed to the TNM. Since the foundation is a separate entity, it’s administered separately from the organization and has a certain freedom in deciding how to give back to the TNM. There are also community foundations, like the Foundation of Greater Montreal, which distributes the funds it collects to charity organizations that meet its granting criteria.

N.B.: the creation of a public foundation to support a group’s fundraising activities requires a strong organizational structure. That’s why, in general, only artistic companies with large budgets are able to create their own foundations. Advantages for the arts organization: Benefitting from the support of foundations (sometimes quite large) whose mission is precisely to support organizations such as yours. Advantages for the foundation: The very mandate of a foundation is to give back to charitable organizations; therefore, enabling it to accomplish its mission is the main advantage. Of course, the fiscal advantage occurs when the money is given to a foundation – that’s when the tax benefit is calculated and not when it’s donated to a charitable organization. How to proceed: private foundations are not always found on the Internet. There are, however, guides and online tools to help you identify them. You can also consult the guides published by the Centre québécois en philanthropie, found in libraries.

Types of donors for your nonprofit

Knowing your donors well is the secret to growing your donor base. You can retain your existing donors and find other people with aligned interests too.

Your existing donors will help you understand which type of people are more likely to donate. Using that, you can specify your approach for any new prospect. Back up your door-to-door volunteers with scripts to use. Connect with them over social media.

All of these steps help in understanding the types of donors to your nonprofit. Each of your donors may be from a different background and
came on board through a different route. To figure out the types of donors, look at what aligns these people besides support for your cause.

**Based on how they joined**

Your nonprofit must have various ways of getting discovered. These are the paths that the interested people follow before they agree to donate. The path that gets a donor curious says a lot about them.

Someone who started off as a volunteer would be inclined to take responsibilities that keep them active. So you could ask them to participate or lend a hand at events. A donor who discovered you through social media would also spread the word about an upcoming campaign online. They may have been hooked through a conversation with a volunteer or an existing donor.

These are all pointers towards the types of donors they are.

**Based on the means of engagement**

The response you get from a donor to any of your communication measures says a lot about them.

So a social media user who shares or responds to your post would spread the word in their circle and get like-minded users to discover and engage with your content. A donor who opens and replies to email updates is likely to click on an online fundraiser. In the same vein, someone who signed up at an event would be willing to participate in the next one. So next time, you could ask them to take up a bigger responsibility.

**Based on the generation**

The medium of communication has a lot to do with the response you get. Each generation grew up with a different communication channel and that affects how comfortable they are.
So a donor from the silent generation would be more responsive to direct communication through their peers or volunteers. A baby boomer may be getting used to the digital age but their chances of donating are higher through written cheques or at an event. Generation X and millennials are known to prefer online communication, having quickly adopted these new methods, so an online fundraiser will see more traction from donors of these generations.

What about Generation Z?

Sure they are still up and coming youngsters who are not high on a nonprofit’s priorities. However, this generation is more taken toward philanthropic causes and will likely be engaged through new media better than the older demographic. It is good to plan ahead.

**Based on inner drive**

The reason which leads a donor to donate is another clue into the type of donor they are. This is because every donor gets something personal out of giving.

A donor who attends events or engages with the online community is interested in networking with their peers. Someone who is seeking information about the issue or cause would be subscribed to your newsletter or even follow related blogs and sites. Some donors are driven by their desire to do good.

The way to engage them is to give them what they seek out of the experience.

**Based on the channel of engagement**

However they discovered you in the first place, donors are best engaged on the same communication channel they prefer to connect over. When you approach them on the same channel, the chances of them responding are higher as well.

A donor may have signed up at a fundraiser, but if they prefer a phone conversation it is best to drop them a line directly for the ask. Others would
rather receive direct mail to their door or have a talk with a volunteer. If they are an active Facebook user, you should take that into account as well.

**Based on activity**

The level of activity, of course, differs on every medium. An active online user would like and share community posts on a regular basis. A donor who participates at events would not be so active.

Donors who prefer ground activity are dependant on time, location, their own schedule and various factors. An active donor online may be unresponsive of invites to join a ground campaign. These factors come into play when you try to understand the types of donors your nonprofit has.

**Based on method of giving**

The donor’s way of contributing also says quite a bit about them. It shows their trust which is a way to grasp how their mind works.

An online donor is open to digital operations and modern fundraising campaigns. They would also participate in any new channel that comes up. Donors who contribute at events are inclined to taking social proof into account in their decisions. Those who donate through direct mail probably hold on to their roots. So your approach should be grounded in a traditional structure that they are comfortable in.

Knowing your donors better would help you personalize the next approach. You could take their preference into account and improve the chances of getting them to engage further in your nonprofit’s activities. This also helps you understand the different types of donors you attract so you could plan your outreach for new donors better. Update your donor lists with this information to empower your volunteers in their donor-related tasks.

**Audience segmentation** is a must for non-profits of any size to connect with your community in 2016. Gone are the days when simply inserting someone’s name in an automated email was considered personalization. You’re now expected to talk with your audiences on an individual level.
Are You Ready to Save Money and Resources?

Your marketing channels may be based on a cost-per-engagement basis. (If you send out X newsletters then you’re paying Y/brochure.) This can waste a lot of money if you only have one or two donor lists. Remember, this is who you’re reaching when you send messages to everyone:

- You’re asking someone who donated (or died) two days ago to give again.
- You’re inviting people who live out of state to local fundraising events.
- You’re suggesting broke college kids sponsor events for $5,000.
- You’re asking someone who hasn’t visited in five years to become a volunteer.

None of those demographics are going to convert on your message, so why don’t you pull them out?

Beginner: Let Your Community Segment Themselves

One of the easiest ways to segment your contact list is by type of engagement. This is as simple as separating a volunteer newsletter from a donor mailing list. From there, you can break out donors by gift levels: $100, $1,000, or $10,000+ annually. Donors at each level need a different message to renew their donation.

Intermediate: Utilize Demographic Data

As you start to learn more about your community, take your profiles to the next step by segmenting by demographic details.

For Events: separate locals from long-distance donors. Create a list by zip code for people who live within 50 miles of your location vs. more than 50 miles.

For Volunteers: segment by age. Younger volunteers are looking for college credit, mid-age volunteers can only help on weekends, and retired volunteers are available during the week.

For Donors: segment by household income. This way you’re not asking lower-income families to give several hundred dollars each month.

Not only will this help your conversion rate, but you will also start to better understand your audience sizes and how they react to different messaging.
Advanced: Creating Engagement Personas

Now that you understand who each customer is, it’s time to create four or five customer profiles for your ideal target audiences. These personas go beyond donor data or statistics and help you talk to a specific person with your messaging. Here’s an example of one non-profit’s target personas:

1. Annual Angels

This person donates once a year and then goes underground for another 12 months. Most communication will fall on deaf ears, but calls to renew their annual donation will have a high conversion rate.

**Example:** 38% of people are more likely to give during the holiday season. The Salvation Army generated $144 million with their Red Kettle Campaign in 2014. They engage donors who only support the Salvation Army during the shopping season.

2. Cause Contributors
These supporters will be at your side during a crisis. As soon as you’re in need of funds, volunteers, clothes, food, etc. they will go out of their way to help. However, they quickly go back to anonymity a few weeks later and are hard to engage during good times.

**Example:** The Red Cross raised more than $313 million to help Hurricane Sandy survivors rebuild. This organization is all over the web when a natural disaster hits, but fades out of the collective conscience after a few weeks.

![Red Cross Hurricane Sandy Expenses and Commitments](image.png)

*These expenses include both direct services and support to other agencies*

3. **Give Me Givers**

Engage this customer with deal offers or gifts for contributing. They’re more likely to open their wallets if it means they get something back. They’ll respond well to value propositions like “free gift with donation,” or “donate today and save on…”

**Example:** The San Francisco Zoo lets fans “Adopt a Hissing Cockroach” for Valentine’s Day in honor of your terrible ex. Blood banks will also offer free
movie tickets, gas cards, and t-shirts for those willing to give a pint or two of the red stuff.

4. Gifters Not Bankers

Not everyone just wants to send money (even if that’s usually easier for the organization.) These donors want to give something physical or offer their time instead of their monetary contribution.

Example: Food banks will put out calls for canned goods during the fall, animal shelters accept beds and kitty litter throughout the year.

Next Steps

Now that you have your customer personas, you should be able to see how to target each one. Someone in a remote city who bought their ex-boyfriend a Hissing Cockroach shouldn’t be on the “local events” email list, while your gifters are the first people to reach out to when you’re low on supplies. You have a need, and have a list of who can fulfill it.

Moving forward, try to get your community to segment themselves. Ask new visitors what kind of communication they want or how they want to be involved. This will immediately put them on the right path to becoming a long-term partner.

Fundraising Success Strategies For Your Nonprofit
Writing grant proposals is an important fundraising source for most nonprofit organizations. However, it is certainly not the only way nonprofits can attempt to raise the money they need to achieve their missions.

Here are six other ways you can generate nonprofit funding:

1. **Events.** Fundraising through events is extremely common in the nonprofit world. Open a weekly newspaper and you will find any number of local events being put on by nonprofits. Events are great. They engage your constituents and allow people to become involved with supporting your organization at almost any level.

   The kinds of events most often put on by nonprofits include:
   - Runs and walks where participants pay a certain set amount to enter but also are encouraged to obtain other donations from friends, family, and colleagues
   - Dinners that might include a speaker, live and silent auctions, and other ways to earn money from the event
   - Online auctions
   - Holiday-themed events such as haunted houses, Santa events, New Year’s galas, fall festivals, Valentine’s Day chocolate-related activities, and many other possibilities
   - Casino trips, bus tours, etc., are all great fun and can be great fundraisers

2. **Earned income.** Earned income refers to fees charged for services you offer or revenue from goods your organization sells. If your nonprofit is the type that has a physical space, then having some amount of retail is probably a good idea. Patrons of museums want and expect at least a small store where they can purchase souvenirs of their visit, postcards of their favorite piece of art in your museum or simply high-quality and unusual gift items.

   Be careful of earned income and keep track of the percentage of your organization’s income that is through goods and services; there are lots of variables, but the IRS has very specific rules on how much of a nonprofit’s income can be earned before you no longer are operating like a charitable organization.

3. **Annual appeal.** A nonprofit’s annual fund is made up of donations given without any restrictions as to what the donations are used for. The annual
fund is raised through a direct appeal to the widest possible audience—from known regular donors to occasional donors to haven’t-yet-donated prospects. This appeal usually goes out in direct-mail format in the late fall, hitting people at the holidays when they’re feeling the most generous and looking ahead to the end of the calendar year and the benefit of a tax deduction.

4. **Membership.** If your organization is such that membership makes sense, by all means, offer membership. Rolling membership refers to when the membership renewal is one year from the date of joining. This means that membership income is coming in at almost every month of the year. It also means that someone has to be sending out renewal notices all year long. This sounds ominous, but even the simplest database can help keep track of this.

Memberships that are renewed on a one-time-of-the-year basis get an appeal-type mailing. The advantage to this is that you can time your membership appeal to bring in donations at a time of the year other than your annual appeal, helping your cash flow. A key disadvantage is that it's easy to forget about membership at other times of the year, resulting in often not capturing members who have let their membership lapse for a couple of months. And you may be losing new members who find out about you and your membership opportunity in April, but your membership renewal is once a year in September. They may not want to join in April for just a few months but decide to wait until September—but they aren’t in your database and they forget and so they never join.

5. **Planned giving.** Planned giving gets the classic brush-aside—that means talking about death. The best way to get over that is to stop approaching it as a talk about death. Approach planned giving as an opportunity for donors who care about your organization to have a lasting positive impact on your organization. Many nonprofits call their planned giving campaign a “Legacy Society.” People are quite interested in leaving a legacy in an area they care about deeply.

6. **Capital campaigns.** A capital campaign refers to a campaign to generate donations for a specific initiative, such as a new facility to replace your aging one or a new large-scale program. The campaign is typically of a finite time period, designated by either when you collect the targeted sum or a specific time frame.
The so-called “silent phase” of a capital campaign is critical. This is the phase when board members and the director and anyone else who has been a member of the steering committees cultivate individual and corporate donors to contribute to the campaign early in a substantial way. These donations set up the success of the “public phase” of the campaign.

The public phase is where you go public with your plans and your monetary goal and announce the support you've already received in the silent phase. This is where it becomes clear how critical the silent phase is--this is the support that gives your general donor pool confidence that the campaign will succeed and is worthwhile.

Top 10 Qualities of a Successful Fundraiser

Many individuals entering the profession for the first time and those hiring their first development staff person are often not certain what qualities to look for in a development professional.

Often one hears that development is really just sales or marketing. The individual or organization about to embark into the world of development needs to understand that it is a profession in its own right.

Being a good sales person or a good marketer may be helpful in fundraising, but there is far more to the career than sales and marketing. In his book, Born to Raise, Jerold Panas lists the top ten qualities of a successful fundraiser as:

1. Impeccable integrity
2. Good listener
3. Ability to motivate
4. Hard worker
5. Concern for people
6. High expectations
7. Love the work
8. High energy
9. Perseverance
10. Presence
This is a tall order—what if you feel you do not have these qualities? Can they be learned? If so, how can you learn to cultivate them? Let’s look at each one and see if there are things that can be done to cultivate what might seem, at first glance, like innate qualities.

1. **Impeccable Integrity**

Although professional integrity seems to be a quality that one either has or doesn’t have, there are things you can do to help develop your personal integrity. First know, understand, and support the AFP Code of Ethics and Standards of Professional Practice. These documents will provide guidelines about what is ethical in the field of fundraising. Adherence to the Donor Bill of Rights is another step in assuring that the organization holds the donor’s interests above its own, and that you, the professional, hold the interests of the donor first, the organization second, and yourself last.

If you have a faith system in which you believe, it can be a help in developing your sense of morality and ethics. Every major religious belief holds certain moral principles which can help its members make sound ethical judgments.

You can also enroll in a class in ethics and attend AFP programs on ethics. AFP also has an ethics board that can answer questions about ethical issues. So although integrity might seem to be an inborn quality, it can be developed by understanding ethics, morals and donors’ rights.

*Free White Paper on Fundraising Ethics* — *It is essential that all fundraising practitioners should develop an awareness of potential ethical conflicts and dilemmas. [Find out how here >>]*

2. **Good Listener**

Good listening is definitely a quality that can be learned. A class in communications can help emphasize that listening is the most important part of good communication skills. (There may be a very good reason why human beings were created with one mouth and two ears!)

Active listening is important to good donor relations. Often a major gift can be secured by a solicitor whose listening skills have been honed. Listening for what the donor’s interests are is even more important than being able to persuasively explain the organization’s case. Practice making “the ask” and
truly listening to the donor through role playing with colleagues or by attending courses in making the ask.

3. Ability to Motivate

The ability to motivate donors, volunteers and staff is a critical key for success. Motivating donors goes back to the integrity section. Putting the donor’s interest first and foremost will make it easier for you to motivate donors. Motivating donors does not mean persuading donors to do something that they don’t want to do or that is not in their best interest. Motivating donors comes through understanding that philanthropy brings joy to the donor and that if the donor really believes in the mission, motivation is simply a tool to bring about the donor’s wishes. Learning the case for support and having passion for the mission of the organization for which one works, is the best way to successfully motivate another person to share that passion.

It is also important for you to understand the psychology of philanthropy. There are many motivating factors that prompt an individual to contribute to a nonprofit organization. Each donor will have different motivating factors that influence a decision to give or not give. Listening to the donor is a critical skill which can help you understand how to motivate donors.

Volunteers, likewise, can be motivated only if the volunteers and the fundraising staff share a passion for the mission of the organization. Again, a good course in communication will help you learn how to speak and write with enthusiasm and passion that will motivate others.

Motivating the staff of the organization is also important. This starts with having respect and concern for other staff members. Staff members will be motivated by the good example set by the chief development officer. Involving staff in the development planning process is a good way to motivate them to help implement the plan.

Regular staff meetings that include an educational segment about some facet of fundraising and occasionally a motivational or inspirational guest speaker, in addition to staff updates on current projects, can help motivate staff to greatness.

4. Hard Worker
One thing you need to understand going into this profession is that it is definitely not a 9 to 5 job. Often you may be on the job as early as 7 a.m. meeting with volunteers, attending breakfast meetings, or just getting into the office early to organize your day before the phone calls and emails start arriving. You may easily be at work at 7 or 9 p.m. attending after-hours events, meeting with volunteers, or working at a phonathon. The key is to work hard, but take good care of yourself at the same time. Eating healthy, getting regular exercise, having a hobby or interests outside of work, and taking a vacation or several mini vacations each year will keep you mentally and physically healthy even though the hours of your job may be demanding.

And, working hard does not mean you need to be “wired in” 24/7. Leave work at work, do not take it home or on vacation unless it is extremely critical. In some cases, it might be better to answer emails while on vacation rather than becoming stressed out by the sheer volume of email waiting at the office on your first day back at work. But, as a true professional be careful to avoid thinking that you are indispensable and that you have to stay connected to the office at all times. You aren’t, and you don’t!

5. Concern for People

Again, this may seem like an innate quality that one either has or doesn’t, but there are some things you can do to cultivate concern. First, working for an organization about which you care deeply is one way that you can feel concern for the organization’s clients. Many professionals gravitate to an organization that may have helped them or a loved one and these individuals will usually be empathetic with the organization’s clients. Another tool that can help is to get out and about within the organization, the old “management by walking around” theory. Talk to the people who use your organization’s services, find out their stories, and talk to them about their hopes and desires for the future. It will make fundraising easier and allow you to speak in a compelling fashion about your organization’s mission and can also help you build empathy and concern.

Concern for people goes beyond caring about the donors and the clients, but extends as well into concern for the staff. Taking time to listen to the concerns of other staff people, your colleagues in the development office and others in the organization, can help the development professional build a concern for people.
6. High Expectations

As a development professional, you should have high expectations not only for yourself, but for your organization and for your coworkers. Often it is the development professional that “leads from the middle” and inspires the organization to greatness. Cultivating donors who have vision is one way to lead the organization to a higher level of performance. Also, some board members can have a great effect on the vision of the organization, so as a development professional, you should have input into the selection of new board members who can help transform the organization into bigger and better things. However, this does not mean setting unrealistic goals or having expectations that are so demanding that the staff gets frustrated.

Expecting the best from the development staff and other staff within the organization is critical as well. Development professionals who have a staff reporting to them should allow the staff members to set their own goals and provide them with the tools to do their job. Having a once-a-year staff retreat for the development office members in addition to regular staff meetings can be a good way to empower staff.

7. Love the Work

Not only do you need to love the organization you work for, you need to love the work of development! Loving this career often starts with volunteering in the area of development. If you do not enjoy volunteer fundraising, you probably won’t love it as a career. So if you are thinking about entering the profession, you may want to begin by volunteering to work on a special event, a phonathon, or a corporate appeal for a few nonprofits and see if you really do love fundraising.

As with anything the more knowledgeable you become in an area, the more likely it is you will enjoy doing it. Who can say they love knitting if they don’t know how to knit, or cooking if they have never learned how to cook, or skiing if they haven’t taken a ski lesson? The same is true with development. You will need to learn as much as you can about the profession by taking classes, reading books, attending workshops. If you find a particular aspect of fundraising that really appeals to you, such as planned giving, major gifts, or grant writing, you should pursue that area. If you prefer being a generalist you should look for a position as a development director in a small shop where you will get to do a variety of
fundraising tasks. Finding your niche is critical to loving the work. It also means that if you become frustrated, worn out, or just bored, you may need to think about moving on.

8. High Energy

Having high energy seems like a natural for some people, whereas for others, it may require some work. But energy can be built by following some of the advice mentioned earlier. Eating right, exercising and relieving stress by taking time off can help boost your energy.

Using artificial stimulants like caffeine does not really give you a high energy level and may, in fact, cause the opposite when the temporary effects of caffeine wear off. A good herbal tea that relaxes may actually do more to boost your energy. Getting enough sleep at night also helps raise your energy levels during the day. Simple things like having nice artwork or a scented candle or oil in your office, or taking time off work to get a pedicure, can help build energy.

Loving the work will also help you have the high energy needed to work long hours; motivate donors, volunteers and staff; and meet the expectations you have set for yourself or others have set for you.

9. Perseverance

One thing that senior development professionals have learned is that perseverance is a highly needed quality. Major and planned gifts, in particular, require building long term relationships; perseverance pays off. If donors think the organization has forgotten about them they may just move on to the next organization.

If your development office needs to undergo a computer conversion, perseverance is definitely going to be required! This is a tedious and frustrating process and one that never seems to be completed in the expected timeframe.

So how do you cultivate perseverance? Part of the secret to perseverance is setting goals and realistic benchmarks to measure success. This will keep you from wanting to throw in the towel when the going gets tough. Strategic planning is one way to develop reasonable timelines for yourself, and help
you understand that often good things take time. CEOs and development officers are often under a great deal of pressure to raise money quickly. Entrepreneurial board members who are shrewd business people are often accustomed to working on the basis of instant decisions, and may want the development office to just “go out and do it” without adequate planning. Be careful not to get so caught up in keeping your head above water that you do not have the time to plan. A recent survey asking development professionals what their biggest challenge is shows that lack of time for planning as the leading challenge listed.

Working on long-term goals for a specific amount of time each day can help. And understanding that you should focus 90-95 percent of your time on the 5-10 percent of donors who account for 90-95 percent of all the gifts your organization will receive helps as well.

Of course sometimes the organization itself needs to cultivate patience and persistence, so helping to build a philanthropic culture within the organization is a big part of your role. At the end of this chapter, there is a quick and easy assessment to help determine the organization’s commitment to building a philanthropic culture. One of your major tasks may be helping your board and executive staff understand that fundraising is all about building relationships and that if you persevere in this relationship building, your organization will benefit tremendously. If you can impart this knowledge to your organization’s leaders, you will rise to the top of your field. You must take the time to plan strategically; otherwise your organization will be left behind in the dynamic and ever-evolving world of the nonprofit sector. Leadership should look at the return on investment of careful, strategic planning.

10. Presence

This may be the hardest to define and the hardest to cultivate in a development professional. Perhaps the closest thing to this may be a “perception of poise.” A more contemporary definition may be closer to “positioning yourself.” Presence can also be described as the ability to command attention and being respected as a professional.

So what can you do to develop a sense of presence?
First, look and act professional at all times. Development professionals, especially when meeting with donors or potential donors (which may be all of the time) should wear a suit and tie, or for women, a suit, nice dress or pant suit. Although some nonprofits adopt a more casual atmosphere, dressing for success is important for the development professional because you will be very visible in the community. And of course, you never know when that million dollar donor may walk in the front door! Being well dressed and well groomed will give you a sense of pride and confidence that is necessary for a sense of presence. This does not necessarily mean that you need to spend a lot of money on clothes and new car, but looking good and driving a respectable looking car can help add a sense of presence. Good posture, an open and welcoming facial expression can be very meaningful, especially when you remember that you only have one opportunity to make a first impression!

Of course, presence is about much more than just looking good. Knowing the job will make you appear more confident and knowledgeable, adding to the presence factor. So, not to belabor the point, education and training are critical. Read, attend workshops, and join a professional organization such as AFP!

Some practical tips to help you become successful at fundraising:

- Make a conscious decision to work only for organizations whose mission you feel passionate about. Remember the adage—“do what you love and the money will follow.”
- Strive to be a change agent within the organization for which you work. Develop a plan to educate the organization’s leadership about philanthropy.
- Remember that the donor’s interest is always the foremost consideration in any decisions involving fundraising.

There are several key traits that successful fundraisers have in common. These traits include impeccable integrity; being a good listener; the ability to motivate staff, volunteers and donors; being a hard worker; a true concern for people; having high expectations for yourself, your organization and other people including staff, volunteers and donors; perseverance; and presence. While some of these might seem to be innate qualities, there are things you can do to develop these qualities.
Success is measured in many ways—financial success, personal growth, happiness and a feeling of doing a job well, making a difference. How do you measure success?

**Resource mobilization approach**

In fact the resource mobilization approach (RMA) is not a very strict theory. The RMA is based on micro-economic and sociological theories, developed by McCarthy and Zald during the 1960s. [Kitschelt, 1991, p. 325; van Noort, 1988, p. 29] During the second half of the 1970s the RMA became popular in the United States. The RMA is not that clearly defined, but some outlines and basic propositions found by most RMA authors can be given. Kitschelt discusses in his critique on the RMA six basic prepositions of this approach. Not all of these are equally important for mutual relationships of NGOs where we are looking at in the case of East-East cooperation. Below the six propositions of the RMA are given, followed by an explanation which ones are applicable for this research. [Kitschelt, 1991, p. 326-330]

1. Individuals know what they want to accomplish through collective action.
2. Individuals are able to calculate cost/benefit ratios of participation in collective action.
3. Grievances in society are ubiquitous, but social movement entrepreneurs and protest organizations are the catalysts which transform amorphous masses and their demands into concerted and purposive movements. Although social movements are not identical with movement organizations, the latter are the 'backbone' of collective struggles.
4. Knowledge, money and hours of labor, but also solidarity and legitimacy are the resources that enable movements to build organizations and launch effective struggles to attain their objectives. The way and the extent to which movements acquire these resources form their constituencies shape their activities.
5. Movements act in contingent 'opportunity structures' that facilitate or dampen their efforts to mobilize, patterns their strategies, and influence their potential success. Because movement participants respond rationally to contingent opportunities, movements are not subject to a rigid international logic of development. Movements
neither follow a prescribed 'natural history' of rise and decline nor do they involve 'iron laws' of co-optation and institutionalization in the existing social order.

6. Resource mobilization theorists employ the notion of 'social movement' in a very broad sense. It covers all activities, or even beliefs and preferences, to change society by collective mobilization. This broad notion of social movements also implies a broad applicability of all propositions that RM approaches develop in concerning the behavior of social movements.

At this stage it might be helpful to have a look at the definitions McCarthy and Zald use in their statement of the RMA. First they define a social movement as a set of opinions and beliefs in a population which represents preferences for changing some elements of the social structure and/or reward distribution of a society. Then a social movement organization is a complex, or formal, organization which identifies its goals with the preferences of a social movement or a counter movement and attempts to implement these goals. Further a social movement industry is made up of all of the social movement organizations with relatively similar goals (just as an economic industry is all firms offering similar products). Finally a social movement sector consists of all social movement industries in a society, no matter to which social movement they are attached. [Zald and McCarthy, 1980, p.2]

For the topic of East-East cooperation among environmental NGOs these definitions show us first that we are dealing with one social movement industry, namely the environmental movement and second that the focus lies on social movement organizations, namely the NGOs. The broad concept of a movement, as Zald and McCarthy define it, is not meant when the term environmental movement is used in this report, so that the last proposition of the RMA mentioned by Kitschelt is set aside for this research. In order to define the term environmental movement as it is used here a little side step to the New Social Movement theory is needed. According to this theory the environmental movement is the whole of environmental organizations and individual environmental activists. Besides that the environmental movement is one of the New Social Movements, which have some characteristics, according to Claus Offe. [Offe, 1983, p. 42]. They are groups of citizens who act in the name of the collectivity (of all people, all woman, all animals, for example), their theme's are the conservation or creation of peace, a clean environment, human rights and not alienated labor. The value of personal autonomy is important and their way of acting is political protest
based on negative formulated claims. These characteristics draw the outlines of the potential East-East cooperative environmental NGOs we can find in Central Europe. Summarizing this side step to the New Social Movement theory, we find the following definition of the environmental NGO, namely: Non Governmental Organizations with the socio-political purpose of the creation or protection of a clean environment.

Now we come back to Kischelt's five other propositions of the RMA, in order to find out which propositions are indeed applicable to this research on East-East cooperation among environmental NGOs. The first two propositions of the RMA direct us to the underlying rational actor models of the RMA. Most RMA authors see both the behavior of individuals in movements as well as the strategies of movement organizations as rational. This means in practice that clarity about objectives and strategies of organizations and activists is assumed. For the environmental NGOs where this research focuses on this assumption might be valid.

The fourth proposition of RMA defines and shows the importance of resources for a social movement organization. These resources and how to mobilize them is definitely important for the research population. East-East cooperation demands several resources, so that the questions which resources in particular and how to mobilize them are highly interesting for this research.

The fifth proposition draws back on the surroundings of social movements and social movement organizations. In fact this proposition was not abstracted only from the original RMA statements of Zald and McCarthy. It draws back upon the influence of the political process model of McAdam which gives much more attention to the 'opportunity structures' surrounding social movement organizations. Of course the situation in which the environmental NGOs do their jobs is important for the way they act. In the next paragraph the political process model and the connected 'opportunity structure' will be explained.

A following point of interest are the mutual relations within the social movement sector, this means in our case between the environmental NGOs. According to the RMA both cooperation and competition play a role. [Zald and McCarthy, 1979, p. 242; 1980, p. 2] Cooperation ought to exist in order to bring about commonly shared goals, since all environmental organizations are part of the same social movement industry and share the goal of a clean
and healthy environment. But in the same time the RMA highlights the fact that similar organizations, like environmental NGOs, are in competition over the mobilization of resources.

Both cooperation and competition are rational strategies in themselves; it is depending on the situation which one is followed in what situation by a particular environmental organization. An organization might cooperate with some others, ignore other organizations and compete with the next couple of groups. Even within one relationship between NGOs cooperation and competition might exist next to each other. For example cooperation may exist on a local level project, while in the same time competition between these two groups occurs on getting the leadership or funding for a national project. Among East-East cooperative NGOs the situation will not be different. All three strategies, cooperation, competition and ignorance, will occur, depending on mutual relationships within the national and international NGO community, the amount of resources available and the specific topics where upon the groups are focused.

All organizations within one social movement industry share a common market wherein specialization of the individual groups can help them to find their 'niche' in the market. Implicit or explicit domain agreements between environmental NGOs give them their place in society. These domain agreements concern for example the organizations' strategy, the particular issue of interest, the segment of sympathizers or the geographical scale. [Zald and McCarthy, 1979, p. 242]

In a relatively stable social movement industry cooperation will be more likely than in a strongly internal factionalized social movement industry. McCarthy and Zald have the impression that 'the modern environmental movement is far less conflict-ridden than, for instance, the earlier socialist movement'. [Zald and McCarthy, 1979, p. 243] With the latter impression we should keep in mind that it is given in 1979 and refers to the situation in the United States. The mutual relationships of environmental movement organizations in Central Europe by 1996 might be different.

Summarizing the efforts of the resource mobilization approach, it gives us a basis for observing the attitude and behavior of social movement organizations, namely rational behavior is expected. Further this approach shows us the possibilities of interaction of social movement organizations which can be cooperation and/or competition. Then the RMA makes us
aware of the high importance of resources for social movement organizations. And finally it defines what these resources are and how we can structure and define a social movement, as it is done, with the help of the New Social Movement theory, for the environmental movement and the term environmental NGO.

PROCESS OF RESOURCE MOBILIZATION

How to Approach Resource Mobilization – Key Steps

While an individual’s skills in engaging resource partners can greatly influence success, it is also helpful to consider some key ingredients to Resource Mobilization (RM), even if it often comes down to a blend of factors and seizing the opportunity. Bearing in mind that outreach and interaction with partners should be carefully coordinated to avoid competing messages.

For one of our partners we drafted a paper that focused on how to approach RM, and we presented some factors to consider upfront, before launching into a fully-fledged programme or project idea. The RM process was described through five practical key steps. While the steps presented represent a generic approach to attracting resources, the requirements involved in each step can differ when dealing with specific partners/clients.

The five steps presented can help reflect and will help you design an RM Strategy or Action Plan to ‘market’ your programme or project.

Before you start

RM is largely about “making the match” between an organisation’s/project comparative advantage, contextual priorities and partners’ interests, see figure below. The better the organization gears its comparative advantage and service offerings to the contextual priorities and the partners’ interests/needs, the easier common interest areas can be identified.
Before launching into a full-fledged RM effort, it is important to consider the following issues upfront.
<table>
<thead>
<tr>
<th>Think about</th>
<th>Key questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>The “product” (the project proposal or service offering)</td>
<td>Does the organisation/project have a clear record? Is there demand, is it a priority for stakeholders/beneficiaries? Is what the organisation/project will it clearly (support to) demonstrate differentiation? Is it working in its niche?</td>
</tr>
<tr>
<td>A strategic approach</td>
<td>Is your “service offering” clearly anchored to country/regional priorities?</td>
</tr>
<tr>
<td>Partners’ interests</td>
<td>Have any partners already expressed interest? Is it a priority for them? Does it align with their interests? How and with whom do you propose?</td>
</tr>
<tr>
<td>Strong partnerships</td>
<td>Is it based on a collaborative approach within the client/partner level?</td>
</tr>
<tr>
<td>Making a plan</td>
<td>What is your resource target, by when? How will you plan to achieve this? Who and how will you deliver on key actions for the product/service offering?</td>
</tr>
<tr>
<td>A coordinated team approach</td>
<td>Are the main actors in the organisation aware of the key actions? Have you sought agreement from them or their support? Are RM targets be tracked, monitored and plans refined?</td>
</tr>
</tbody>
</table>
Designing an RM Strategy and Action Plan can help structure and guide the RM effort. The advantages are that it:

- focuses RM efforts on the higher-level results of the strategic framework
- coordinates the approach to partners/clients
- avoids confusing messages to partners/clients
- sets RM priorities and avoids fragmented efforts
- creates joint ownership and accountability
- leads to planned, upfront, pipeline resources
- ultimately, leads to comprehensive service/project delivery and broad impact

A team approach to the RM Strategy and Action Plan will ensure that skills, talents and contacts are formally identified and monitored to ensure that responsibilities, success and rewards are shared. It is advised that each team:

- nominate an RM lead person with the requisite skills to provide support and direction to RM efforts, liaising closely with relevant colleagues
- consider assigning specific partner/client liaison roles/focal points to employees
- encourage all team members to utilize every opportunity to engage partners/clients and promote the organisation, its strategic directions and its service offerings
- integrate RM as part of the team’s strategic priorities to ensure RM progress is reported on and monitored (e.g. as an agenda item in team meetings, reports from missions, etc.)

**Practical Steps**

When developing the RM Strategy and Action Plan, it is helpful to consider the process as five steps for implementation. The flow of the five steps is shown in the graph below.
1. IDENTIFY

Step 1, identifying partners/clients, is an ongoing process. It requires continuous updating of the details and specificities of potential resource partners. We can provide annexes with templates for a matrix with some pointers on where to begin. Research on potential funding sources, partners and clients should include web searches, subscribing to e-mail circulars, broad reading on the subject, joining networks or groups (e.g. local donor forums or coordination groups) and by word of mouth and informal meetings.

Below are possible roles stakeholders can play.

a) Donors and other Funding Sources. They provide support in terms of funding. This is usually formalized through a proposal submitted to this type of stakeholder.

b) Partners. These are organizations that can have multiple functions in terms of collaboration. This is usually formalized through a MOU or other type of partnership agreement to conduct the following:

- Joint proposal development for resource mobilization
- Capacity development – building and enhancing capacity of an organisation or project
- Offering consultancy services that complement an organisation’s capacity and-or in order to provide capacity a project, team does not have in-house (at short notice)
- Joint advocacy based on findings of (meta-analysis of) offered services and exchange of information to sensitize stakeholders
- Co-authorship of publications of joint work
Note: Competitors are also classified as partners because they could be requested by the MLE Unit to offer complementary services as explained above or develop a joint proposal for funding.

c) These are the organizations or companies that are potentially interested to request for the services offered by MLE Unit. This is usually formalized through a service provision contract. Clients depending on their nature could also be classified as partners in certain contexts.

In addition to financial resources (from donors for programs or from clients who pay for services), other forms of support for programme or project delivery may be available via in-kind contributions such as human resources, or goods and services through partnerships for collaboration and sub-contracting. A wide range of such ways of cooperation can be pursued to support a project or organisation’s work.

**Gathering information on partners**

Mobilizing resources requires detailed knowledge of partners, their priorities, policies, budgets, rules and procedures. Asking the following pertinent questions can help guide the research:

**Priorities of funding partners**

- Is the country or region a geographic priority for the funding partner? Does the partner have a country or region specific strategy or any ongoing initiatives that could be relevant?
- What are the resource partners’ main areas of intervention in general? Within the country or region?
- How much financial support has the resource partner recently been giving in relation to what a project/organization requests?
- What is the record of the resource partner in funding initiatives in general and in the country or region?

**Processes of funding partners**

- Does the funding partner have any preconditions to be met before financing?
- What is the programming cycle of the funding partner? What is the calendar for submitting requests and/or calls for proposals?
What schemes does the funding partner have (e.g. grants, loans)?
How can the partners’ funding approach be influenced with regard to the required?
What are the procedures for submitting project proposals?
Is there a focal point in your country or region?

**Demands of potential clients**

- Quality service/product
- High expertise and advisory skills (offer technical authority and options to achieve results)
- Value for money
- Timely and fast service
- Credible service/product
- Adaptability and innovation

**Processes of acquiring clients**

- Direct request for service provision (pay per service)
- Contracting (pay for menu of services up to certain value)
- Tenders

**Qualities of collaborating partners**

- Complementary skills (what the organisation, project does not have)
- Supplementary capacity (what the organisation, project has, but not sufficient and/or not available at requested time/duration)

**Processes of partnering**

- Direct request for service provision (sub-contracting via pay per service)
- (Sub-)contracting (pay for menu of services up to certain value)

Memorandum of Understanding (MoU) or collaboration agreement (partners in tender or funding proposal according to conditions)

2. **ENGAGE**

Step 2 involves seizing every opportunity to build strong relationships and favourably influencing decision-makers regarding the programme or project
for which resources are sought. It means establishing and maintaining open and regular dialogue with partners to build mutual trust and respect. The bullets below offer some valuable tips.

Make sure your engagement is:

- **Face to face** – Organize a meeting or presentation. Being present at key technical meetings as a knowledge broker raises the MLE Unit’s visibility and demonstrates the value-added of its work. Invite partners to the field to see the organisation, project in action.
- **Short and snappy** – A concept note or project outline is the best way to provide a short overview of the organisation and its service offerings or project ideas. Most partners/clients prefer to see an initial overview as an invitation to collaborate, rather than receive a full-fledged proposal or pricelist of service offerings.
- **Appealing** – Design an attractive brochure or multipurpose fact sheets introducing the main challenges that you can (help) address. Focus on the benefits for the partners and the potential impact that can be achieved, not only on the activities/services.
- **Personal** – Find out the name of the person responsible and tailor individual letters or e-mails to each potential partner/client. Then, follow up.
- **Thorough** – Make sure concept notes and project proposals are founded within your strategic framework and are related to the partner’s priorities or that the service offerings are addressing the needs of potential clients.
- **Up to date** – Develop or update websites to ensure the organisation’s visibility to complement other communication means like brochures, annual/project reports etcetera.
- **Well timed** – Ensure your request is in sync with a partner’s funding cycle or meets client’s tender deadlines.
- **Demonstrates track record** – Use recent achievements to show the organisation’s capacity to deliver.
- **Keep in touch** – Establish regular exchange of information so partners/clients have a good knowledge of the organisation’s comparative advantage.
- **And do not forget to use every opportunity** – All employees should seek out opportunities to meet, engage and present organisation and its strategic directions and service offerings to potential partners and clients.
Engaging partners/clients is a continual process. This is especially true when developing concept notes and programme/project proposals as well as an up-to-date list of service offerings. The concept notes and programme/project proposals should be prepared in collaboration with prospective partners; the list of service offerings should be kept up-to-date by scouting the needs of potential new but also existing clients – by engaging them. The concept note and service offerings list provide a snap-shot of the organisation’s rationale, its focus and what it offers. It helps to structure a preliminary analysis of the relevance, feasibility and sustainability of the project idea or of the probability to become the preferred service provider to address a client’s needs.

Engaging partners goes well beyond initial scoping or testing of interest with a potential partner/client through presenting a concept note or sharing a service offerings overview. Every step of the RM process should be leveraged as an opportunity to further engage and build partner/client rapport. Building relationships requires strong interpersonal skills to engage partners/clients effectively. This is a distinct skillset whereby a person is not only well-versed in the organisation’s strategic directions and service offerings, but also has the requisite communication and negotiation skills to “market the organisation and/or its services”. Considering when, where and how best to engage partners/clients, and who on the team should take the lead, helps to strengthen the RM Action Plan, through assigning specific tasks to each member of the team.

3. NEGOTIATE

Because this step involves a complex set of knowledge and skills, it is essential that the organisation has on hand the appropriate support mechanisms within the organisation to proceed successfully.

When it comes to finalizing the conditions of funding partnerships or service delivery client contracts, including the relevant procedures, rules and regulations, it is important to understand the different types of agreements that might be reached.

It is of utmost importance that the organisation receives expert advice from the larger organisation on finalizing the agreement to ensure that the agreement is in line with legal frameworks. Before reaching a signed
agreement, check that the partner’s conditions of agreement comply with organisational rules and regulations, in particular, look out for:

- Legal rules and regulations
- Procurement processes
- Financials and Audit – payment schedules, budget and reporting
- Recruitment – Human Resources
- Cover of other than implementation costs – for the different kinds of agreements

Once all conditions have been met and clearances have been provided the contract can be signed.

4. MANAGE AND REPORT

Step 4 involves acknowledging the obligations, often spelled out in the agreement. This step is crucial to maintaining good relations with a partner/client and forms the bedrock of potential ongoing collaboration. Therefore, it must not be overlooked. It is essential that the contractual requirements be well managed and effectively delivered, and that results be reported in a timely manner in agreement with the format agreed to by the partner/client. Acknowledging a partner’s contribution/assignment and thanking them for the support/work is an essential part of maintaining good relations, and securing future resources or projects.

Also crucial in acknowledging a partner/client’s contribution is providing them with regular feedback on progress of the work, including financial reporting, until the final product or service has been delivered. This may mean complying with a particular partner/client’s format for reporting, or at set intervals, or providing the funding partner with mid-term and end-of-term evaluations of the programme or project. The original contractual framework provides the overall means for reporting.

5. COMMUNICATE RESULTS

Communicating the value of partnering with the organisation, project is essential when engaging partners: as described, Steps 2 and 5 are closely connected. The preparation of a communication plan and quality communication materials are important. They convey a set of key messages about the project or service offerings for target audiences, providing an entry point for engaging partners/clients and focusing discussion.
Communication for RM includes broadly communicating about the organisation’s work and comparative advantages, as well as specific projects or client’s needs it can address. It also is about ensuring that partners/clients are given appropriate visibility. The aim is to secure broad support for the organisation’s work, not only from the donor community, but also from civil society organizations, private sector and the general public.

Tools such as brochures, flyers, posters, press releases, special events, speeches, videos, web sites, and social media help communicate key messages about the organisation’s work, as well as services it can provide. They need not be expensive to successfully convey comparative advantages and convince potential partners/clients to commit resources or contract its services.

Illustrating the difference that an organisation, project makes in people’s lives and in addressing challenges is essential for effective communication. This brings the steps of implementation back to Step 1, because communicating a partnership’s success is the best way to encourage partners/clients to contribute additional resources or request for service delivery again.

*If you like to receive annexes such as the RM Strategy & Action Plan Template, Existing/Potential Funding Partner Matrix Template, Existing/Potential Client Matrix Template, and-or Stakeholder Matrices please contact us.*

**RESOURCE MOBOLIZATION AND FUNDRAISING**

**FUND RAISING**

Fundraising or fund raising (also known as "development") is the process of soliciting and gathering voluntary contributions of money or other resources, by requesting donations from individuals, businesses, charitable foundations, or governmental agencies. The organized activity of raising funds (as for an institution or political cause. The act of collecting or producing money for a particular purpose, especially for a charity:

Although fundraising typically refers to efforts to gather money for non-profit organizations, it is sometimes used to refer to the identification and
solicitation of investors or other sources of capital for for-profit enterprises. Traditionally, fundraising consisted mostly of asking for donations on the street or at people's doors, and this is experiencing very strong growth in the form of face-to-face fundraising, but new forms of fundraising such as online fundraising have emerged in recent years, though these are often based on older methods such as grassroots fundraising.

**Organizations**

Fundraising is a significant way that non-profit organizations may obtain the money for their operations. These operations can involve a very broad array of concerns such as religious or philanthropic groups such as research organizations, public broadcasters, political campaigns and environmental issues.

Some examples of charitable organizations include student scholarship merit awards for athletic or academic achievement, humanitarian concerns, disaster relief, human rights, research, and other social issues.

**Professional fundraisers**

Many non-profit organizations take advantage of the services of professional fundraisers. These fundraisers may be paid for their services either through fees unrelated to the amounts of money to be raised, or by retaining a percentage of raised funds (percentage-based compensation). The latter approach is expressly forbidden under the Code of Ethics of the Association of Fundraising Professionals (AFP), a professional membership body. However, by far the most common practice of American non-profits is to employ a staff person whose main responsibility is fund raising. This person is paid a salary like any other employee, and is usually a part of the top management staff of the organization.

Some non-profit organizations nonetheless engage fundraisers who are paid a percentage of the funds they raise. In the United States, this ratio of funds retained to funds passed on to the non-profit is subject to reporting to a number of state's Attorneys General or Secretaries of state. This ratio is highly variable and subject to change over time and place, and it is a point of contention between a segment of the general public and the non-profit organizations.
The term "professional fundraiser" is in many cases a legislated term referring to third-party firms whose services are contracted for, whereas "fundraising professionals" or development officers are often individuals or staff at charitable non-profits. Although potentially confusing, the distinction is an important one to note.

Fundraising professionals, who have been employed with not-for-profit organizations as fundraisers or as fundraising consultants, for at least sixty (60) months, can become certified as a Certified Fund Raising Executive (CFRE). The CFRE credential is administered by CFRE International, an independent 501(c)6 whose sole mission is dedicated to setting standards in philanthropy through a valid and reliable certification process.

A specialty within the fundraising profession is the "grant professional." Grant professionals with at least three years experience, and other requirements, can become certified as Grant Professional Certified (GPC). The GPC credential is administered by Grant Professionals Certification Institute, whose mission is to strengthen the nonprofit sector’s ability to pursue and maintain public sector and private sector funding by promoting competency and ethical practices within the field of grantsmanship. The certification process is designed to measure minimum knowledge and skills related to all aspects of grant development and management, including but not limited to such areas as grant research or pre-production, grant construction, grant reporting, public sector funding, private sector funding, ethics and grant accountability.[4]

**Religious organizations**

Equally important are fundraising efforts by virtually every recognized religious group throughout the world. These efforts are organized on a local, national, and global level. Sometimes, such funds will go exclusively toward assisting the basic needs of others, while money may at other times be used only for evangelism or proselytism. Usually, religious organizations mix the two, which can sometimes cause tension.

**Political campaigns**

Fundraising also plays a major role in political campaigns. This fact, despite numerous campaign finance reform laws, continues to be a highly
controversial topic in American politics. Political action committees (PACs) are the best-known organizations that back candidates and political parties, though others such as 527 groups also have an impact. Some advocacy organizations conduct fundraising for-or-against policy issues in an attempt to influence legislation.

Public broadcasting

While public broadcasters are completely government-funded in much of the world, there are many countries where some funds must come from donations from the public. In the United States less than 15% of local public broadcasting stations' funding comes from the federal government. Pledge drives commonly occur about three times each year, usually lasting one to two weeks each time. Viewership and listenership often declines significantly during funding periods, so special programming may be aired in order to keep regular viewers and listeners interested.

Taxation

Organizations in the United States established for charitable purposes are allowed to raise funds from many sources. They are given a specific designation by the Internal Revenue Service (IRS), commonly noted as 501(c)(3) organizations. Other nonprofits such as fraternal associations have different IRS designations, and may or may not be eligible to raise funds. Financial information on many nonprofits, including all nonprofits that file annual IRS 990 forms is available from GuideStar.

Types

Many non-profit organizations receive some annual funding from a financial endowment, which is a sum of money that is invested to generate an annual return. Although endowments may be created when a sizable gift is received from an individual or family, often as directed in a will upon the death of a family member, they more typically are the result of many gifts over time from a variety of sources.

Non-profit organizations also raise funds through competing for grant funding. Grants are offered by governmental units and private foundations/charitable trusts to non-profit organizations for the benefit of all parties to the transaction.
A capital campaign is when fundraising is conducted to raise major sums for a building or endowment, and generally keep such funds separate from operating funds. These campaigns encourage donors to give more than they would normally give and tap donors, especially corporations and foundations who would not otherwise give. A capital campaign normally begins with a private phase before launching a public appeal.

Charitable giving by corporations is estimated to be $15.29 billion in 2010.[^5] This consists of corporate grants as well as matching gift and volunteer grants. 65% of Fortune 500 companies offer employee matching gift programs and 40% offer volunteer grant programs.[^6] These are charitable giving programs set up by corporations in which the company matches donations made by employees to eligible nonprofit organizations or provides grants to eligible nonprofit organizations as way to recognize and promote employee volunteerism.

Special events are another method of raising funds. These range from formal dinners to benefit concerts to walkathons. Events are used to increase visibility and support for an organization as well as raising funds.[^7] Events can feature activities for the group such as speakers, a dance, an outing or entertainment, to encourage group participation and giving. Events can also include fundraising methods such as a raffle or charity auction. Events often feature notable sponsors or honoree. Events often feature a charity "ad book" as a program guide for the event, but more importantly, as another fundraiser providing members, supporters and vendors to show their support of and to the group at the event by way of placing an ad-like page, 1/2 page, 1/4 page, stating or showing support. Events and their associated fundraisers can be a major source of a groups revenue, visibility and donor relations.

While fundraising often involves the donation of money as an out-right gift, money may also be generated by selling a product of some kind, also known as product fundraising. Girl Scouts of the USA are well known for selling cookies in order to generate funds. It is also common to see on-line impulse sales links to be accompanied by statements that a proportion of proceeds will be directed to a particular charitable foundation. Tax law may require differentiating between the cost of an item verses its gift value, such as a $100.00 per person dinner, for a $25.00 cost meal. Fundraising often involves recognition to the donor, such as naming rights or adding donors to an honor roll or other general recognition. Charity Ad Books are another
form of donation for recognition, sponsorship or selling of ads often in an event related program or group directory.

When goods or professional services are donated to an organization rather than cash, this is called an in-kind gift.

A number of charities and non-profit organizations are increasingly using the internet as a means to raise funds; this practice is referred to as online fundraising. For example, the NSPCC operates a search engine which generates funds via Pay per click links, and Better The World operates tools allowing funds to be raised via members viewing ethical ads on a browser sidebar and/or blog widget.\[8\] Save the Children’s Dave Hartman wrote after the $1 Million Operation Sharecraft online campaign, "We may have reached our mark, but this is just the beginning of a new era of fundraising and using social media and digital technology to better the world."\[9\]

Some of the most substantial fundraising efforts in the United States are conducted by colleges and universities. Commonly the fundraising, or "development" / "advancement," program makes a distinction between annual fund appeals and major campaigns. Most institutions use professional development officers to conduct superior fundraising appeals for both the entire institution or individual colleges and departments. Examples of this include athletics\[10\] and libraries.\[11\]

The donor base (often called a file) for higher education includes alumni, parents, friends, private foundations, and corporations. Gifts of appreciated property are important components of such efforts because the tax advantage they confer on the donor encourages larger gifts. The process of soliciting appreciated assets is called planned giving.

The classic development program at institutions of higher learning include prospect identification, prospect research and verification of the prospect's viability, cultivation, solicitation, and finally stewardship, the latter being the process of keeping donors informed about how past support has been used.

**Accountable fundraising**

Some non-profit organizations demonstrate greater accountability by showing donors the direct impact of their fundraising efforts. This accountability usually comes in the form of a vote, where the members select a specific program or charity that they would like their money to go
to. A specific example of accountable fundraising is the organization [Better The World](#) which allows members to select the charity which receives the money they have raised; members can constantly keep track of the amount raised on the browser sidebar tool.\[12\]

**Fundraiser events**

A fundraiser is an [event](#) or [campaign](#) whose primary purpose is to raise money for a cause, [charity](#) or [non-profit organization](#). Fundraisers often benefit charitable, non-profit, religious, or [non-governmental organizations](#), though there are also fundraisers that benefit for-profit companies and individuals.

One specific type of event is the "ad book" fundraiser, where those who wish to give funds to a fundraising group do so through the sponsorship or statement within a book of advertisements.

Online fundraising pages have become very popular for people taking part in activities such as marathon running. Those pages facilitate online payments in support of the charity event.

Popular charity fundraisers in major American cities include lavish black-tie gala benefit dinners that honor celebrities, philanthropists, and business leaders who help to fundraise for the event's goals through solicitations of their social and business connections.\[13\]

**Relationship building**

Often called donor cultivation, relationship building is the foundation on which most fundraising takes place.\[14\] Most development strategies divide donors into categories based on annual gifts. For instance, major donors are those that give at the highest level of the organization's fundraising scale and mid-level donors are in the middle.

More sophisticated strategies use tools to overlay demographic and other [market segmentation](#) data against their database of donors in order to more precisely customize communication and more effectively target resources.\[15\] Research by [Peter Maple](#) in the UK\[16\] shows that charities generally underinvest in good marketing research spending around a quarter of what an equivalent sized for profit company might spend.
Donor relations and stewardship\textsuperscript{[17]} professionals support fundraisers by recognizing and thanking donors in a fashion that will cultivate future giving to nonprofit organizations. The \textbf{Association of Donor Relations Professionals} (ADRP)\textsuperscript{[18]} is the first community of stewardship and donor relations professionals in the United States and Canada.

Recent research by \textbf{Adrian Sargeant} and the Association of Fundraising Professionals' Fundraising Effectiveness Project suggests the sector has a long way to go in improving the quality of donor relations. The sector generally loses 50–60\% of its newly acquired donors between their first and second donations and one in three, year on year thereafter. The economics of regular or sustained giving are rather different, but even then organizations routinely lose 30\% of their donors from one year to the next.\textsuperscript{[19]}

\textbf{Capital campaigns}

A \textbf{capital campaign} is "an intensive fundraising effort designed to raise a specified sum of money within a defined time period to meet the varied asset-building needs of an organization." Asset-building activities include the construction, renovation or expansion of facilities (for example, a new building), the acquisition or improvement of land, equipment, or other items, and additions to a \textit{financial endowment}. Two characteristics set capital campaigns apart from other forms of fund-raising activities. First, "the gifts solicited are much larger than those generally sought during an annual fund." Second, "pledges are emphasized as commitments payable over a number of years convenient to the donor or through the transfer of appreciated \textit{real} or \textit{personal property}."

Various types of capital campaigns have been identified. The traditional "\textit{brick and mortar}" campaign, focused on building construction or improvements, was considered a "once in a lifetime" campaign in the past because of the ambitious goals of the campaign. Today, however, organizations frequently schedule capital campaigns every five to ten years, and "the megagoals announced by large institutions often are the result of 'counting everything' during a five-to seven-year campaign period.

A second type of capital campaign is the comprehensive, integrated, or total development campaign, which aims for a longer fund-raising program based on a long-term analysis of the organization's needs and direction. This form of capital campaign includes ordinary fund-raising actives, such as annual
gift drives, which are "slower-paced and lack the intensity of the traditional capital campaign."

Reasons for fund raising

What motivates people to fundraise?

Why do people raise money for charity? We asked our fundraisers to write in their answers and the results are in! Here are the top five reasons that drive people to fundraise:

1. They want to support a particular charity

The number one reason for online fundraising is to support a particular charity close to the fundraiser’s heart: they know who they want to raise money for and they are motivated to do it.

2. They are inspired by a person or people

Whether it be a parent, child, friend, colleague or family member, a personal connection drives people to fundraise. Fundraising in memory is a big part of this motivating factor as well—people fundraise to honour someone they loved.

3. To support a cause

People care deeply about their personal passions and look for charities that support their causes. It’s not just about the charity itself—the underlying cause is what really drives people.

4. To feel good

Helping others, making a difference, and getting fit motivates fundraisers too.

5. To take part in an event

Running a marathon, skydiving for the first time, or cycling the Alps is a great personal challenge. And if fundraisers can raise money for charity while they’re at it, even better.
There are lots of other motivations behind fundraising as well, including wanting to support local concerns, being part of a corporate group and for religious reasons.

**So what does this mean for your organisation?**

Firstly, remember that your supporters make great fundraisers. Encourage your committed donors to take on a fundraising challenge or event and ask them to get the message out there, such as why your charity means so much to them.

Also, think about your fundraising messaging. Remember, people don’t only fundraise because they want to participate in the event: highlight your cause and how good fundraising feels.

*Have you got any inspiring fundraising stories to share? What motivates your supporters to raise money for your cause? Share your story below.*

**FUNDRAISING GUIDELINE**

**Objectives**

1. Fundraising is just one way that parents and communities may choose to support their schools
2. Like all activities that support education, fundraising should reflect the values and expectations of the school community, including those of parents, students, staff, the school administration and school board trustees.

When schools and school boards choose to engage in fundraising activities, it is important that they also consider the purposes and principles of public education, including diversity, accessibility, equality of opportunity and inclusivity. These activities should be conducted under the guidance of the school principal, in accordance with school board policies and with advice and input from students, staff, parents, and the broader school community. Finally, it is important that fundraising has a designated purpose and that the proceeds should be for that purpose, as intended.

**Fundraising Tips**

"Fundraising Tips" was created to help make our customers' lives a little easier. We've compiled important information to consider when planning a
fundraising event or initiative. Our customers include nonprofits, schools, churches and community organizations where fundraising is an important part of survival. Without contributions of local businesses and community members, these groups would not be able to raise money for their important causes. We hope that the fun fundraising tips below will help these various groups organize a successful fundraising campaign.

**Guidelines to Assist in Planning a Successful Fundraiser**

**Creating a Plan & Establishing Goals**

Determine how much money your organization needs to accomplish your goal, when it's needed, and estimate costs for fundraising initiatives. Allow participants to set personal and team goals to instill motivation. Run your fundraiser like a small business. Create a written project plan that spells out goals and outlines roles and responsibilities. Assign motivated individuals into managing roles and equip them with the tools to do a great job.

**Identify Fundraising Sources**

Create a list of potential donors and approach them for support. This list can include local businesses, colleagues and co-workers, friends and family. Suggest a minimum amount depending on the group you reach out to. For example, individual donations range from $10 - $50, Businesses typically contribute $100 - $1000. Utilize your networks for reaching these sources! Send an email blast to friends and family with a personalized web page where donations can be made online! Post a link to your fundraiser on your Facebook page. Create flyers to hand out to your neighbors or distribute at work, etc.

**Create a Timeline and Checklist**

Start planning months in advance (if possible) as there are many items on your checklist including:

- Recruiting participants and volunteers
- Soliciting sponsorships and in-kind donations
- Producing flyers, press releases and promotional materials
- Determining event logistics such as date & location
- Identify food & beverage needs, entertainment, etc.
• Implement systems for collecting donations, managing money, tracking participant performance, enabling online bidding on auction items, etc.
  o DoJiggy provides various online software tools to help with managing your event.

Recruiting Sponsors & Volunteers

Approach potential sponsors as partners, and remember not to ask for anything without providing value in return. Give them an informational sheet explaining your goals and outlining the benefits they'll receive as a sponsor. Remember there are different kinds of sponsorships including: Title sponsors, financial contributors and in-kind donations.

To find potential volunteers, ask for names of those who volunteered in past fundraisers. Let volunteers choose their interests and assign them accordingly. Ask fundraising participants to recruit friends and family. Be sure to thank all volunteers and sponsors!

Motivating Participants

Make sure that participants know a specific reason why the money is being raised. Motivate your team with enthusiasm and incentives. For large fundraisers, provide prizes for top-performing participants or teams who raise the most. Make your fundraising event fun! Remember that participants and volunteers are giving up their free time to help. Provide meals and an exciting environment that people enjoy being a part of.

Your fundraiser should enable everyone to comfortably participate. For instance, when the Austin Waldorf School raises money for their knit-a-thon, even those who don't know how to knit have a place in the fundraising effort as the school provides opportunities for them to learn. People can also participate without knitting at all by creating a pledge page and getting sponsors while the event provides a "ghost-knitter" to knit squares for them. People can also help by volunteering at the Casting Off Party or simply making an online donation to support a registered knitter.

Promoting Your Fundraiser

1. Promote the event on your organization’s website. Put an announcement on the home page with a link to more information
about the fundraiser and instructions for 'how to donate'. Post an
announcement in your calendar of events and send out email to your
database.
2. Contact local media about your fundraiser including a press release
with event details and announcement for local calendars.
3. Encourage team members to spread the word to family, friends, co-
workers, neighbors, and online through their social networks.
4. Create promotional flyers and posters to distribute in bulletin boards
at local grocery stores, at offices or churches, or hand out to
neighbors.
   o Be sure to include a link to your fundraising website for people
to get more information or make a donation!
5. Utilize community gatherings! Make announcements, set up a display
table, recruit participants, etc.

Managing Money

1. Implement an online system for collecting safe, secure donations. If
you must make sales in person, use cash collection envelopes and
keep an accurate record of who collects the money as well as the
amount collected.
2. Set a deadline for all donations to be collected and money to be turned
in.
3. Assign an experienced volunteer to be your treasurer. Be sure to have
more than one person present when any money is counted.
4. Deposit money in a timely manner and keep money under lock and
key.
5. Control expenses by reviewing records to see which expenses can be
eliminated or reduced.

Managing Donations & Pledges

One of the most important considerations when planning a fundraising
event is how to successfully manage and track the money raised for your cause.
DoJiggy offers a complete suite of online software tools to assist you in
managing your fundraising event.

❖ TOOLS USED IN FUNDRAISING

Posters
**TYPES OF FUND RAISING**

**What are the major types of fundraising sources?** The types of fundraising most appropriate to your organization will depend on the nature of your work, your size and your geographical presence (e.g., a neighborhood vs. a national organization).

The primary types of fundraising sources include the following:

- **High-net-worth individuals:** For many nonprofits, these individuals represent a significant portion of revenue. They are typically people who live in your community and have a personal commitment to your mission, and they must be cultivated in a very personal way. Companies like WealthEngine (www.wealthengine.com) can be very useful in identifying donors in your area. Your board plays a crucial role in developing and maintaining these contacts. In addition, a skilled director of development should be in a position to support this function by identifying and helping to steward donors.

- **The public:** According to Giving USA 2011 by the Giving USA Foundation, individual contributions accounted for 73 percent of all charitable giving in 2010. In other words, cultivating a broad base of individual donors is critical to fundraising success. Typically these donations are not tied to a specific program (whereas a grant might be), so the funds you raise can be applied to where they are most needed. Online giving, direct mail, and events are common ways to engage individuals. The most important thing is to continue the relationship after the gift has been received.

- **Special events:** Events are a fundraising mainstay for many nonprofits. The most effective ones tend to feature fun, unique content; a clear target market; minimal competition with other events; and a committed volunteer base to help plan, organize and spread the word. Most importantly, truly impactful events feature a clear connection to the organization’s mission and are hosted by an organization that connects with donors year-round.

- **Foundation grants:** Philanthropic funding can be an important part of fundraising, particularly as it relates to funding specific programs,
events or capital campaigns. If you’re new to this type of funding, it’s important to set realistic expectations. Foundations of all sizes are inundated with requests and can usually only fund a small percentage of the proposals they receive. Relationships are as important here as they are with individual donors. Keep in mind that these funders will respond best when they see evidence of community support, including from your own board.

If you represent a small, local organization, start out by seeking grants from small community foundations in your area. Foundation Directory Online (www.fconline.foundationcenter.org) offers subscription-based services to research foundations of all sizes. You might also consider signing up for RFP alerts from Philanthropy News Digest. The Center for Nonprofit Management also offers a list of fundraising databases that will be useful to you. For more information, visit www.cnmsocal.org/category/fundraising-and-marketing.html.

- **Government funding:** Government grants cover a wide range of areas, from the arts and education to community development and technology. A great way to identify and apply for federal funding is through www.grants.gov, a clearinghouse of grants from numerous public agencies. For state and local grants, a search of agency websites can be useful, as can low-cost subscription services such as www.findrfp.com. It’s important to note that government funders are typically the least flexible (i.e., your services must be an exact fit with the stated needs) and often require the ability to closely track and report services and expenditures.

- **Corporate gifts:** Corporate giving makes up only a very small percentage of overall contributions, so unless you’re in a particularly unique situation, you should not expect this type of funding to comprise a large portion of your budget. Typically the odds are best when your project is aligned with a company’s business objectives. That having been said, corporate funding can be beneficial as it relates to sponsorships of events and activities, securing product for auctions/prizes, and small grants that benefit the local community. Many nonprofits also benefit from arranging volunteer opportunities with employees of large companies in their local area and involving key executives as board members. In addition to providing valuable support, it helps to establish relationships with the private sector.
• Don’t forget that many companies also have matching gift programs. Remind donors of this during the giving process. Be sure to collect employer information (so you can follow up as necessary) and let them know where to submit any paperwork.

• **Planned giving:** Planned gifts are those made through wills, bequests and trusts. These are frequently larger than annual campaign or one-time gifts and offer the donor a means of ensuring their legacy through an important cause. There are many ways to execute a planned giving program, but the various structures and regulations can get complicated. Engage legal counsel to establish such a program and design it in full partnership with your board.

• **Annual campaigns:** As the name would imply, these are fixed-time fundraising campaigns that take place annually. They are often board-driven, meaning that the board is actively engaged in soliciting donations and will often jumpstart the campaign with their own commitments. Annual campaigns are usually centered on a specific fundraising goal that is made public. If it’s practical, the beginning and end can be marked with a special event that recognizes donors, engages corporate sponsors, and showcases programs to the media.

• **Fees for service:** Nonprofits of all sizes use fees for mission-related services to meet programmatic and operating needs. These can include membership dues, publication costs, or fees for conferences, seminars and trainings. For more information on this type of revenue generation,

  ⚫ **Other types of fundraising include:**
  - Fundraising from individual
  - Donor community
  - Corporate trust
  - Trust and foundation
  - Branding campaign and fundraising

  ⚫ **METHODS OF WINNING SPONSORSHIP**

Fundraising events provide a great opportunity to bring in funds for your organization, while raising awareness for your cause. However, organizing an event also costs money to produce, as well as resources to manage all the details. Implementing **online fundraising software** can help you save time and money by more efficiently managing your fundraising event. Yet, there
are still a number of hard-costs required to produce an event. To help offset these costs, you may want to consider soliciting event sponsors.

Local businesses often look for opportunities to give-back to their community. The wonderful thing about fundraising event sponsorships is that not only do companies receive tax benefits (as their sponsorship fee is considered a donation), but they also receive exposure through presence at the event. This allows them to reach out to new potential customers, and receive free publicity through media coverage. Sponsoring an event also gives employers an opportunity to engage employees and business partners in a social setting outside of the workplace, while encouraging teamwork and goodwill.

Below we’ve created seven tips for soliciting sponsorships for your fundraiser:

1. **Utilize your network:** Talk to employees, partners, members on your board, etc. to find out what connections they have in the local community. Perhaps they can introduce you to people who handle corporate sponsorships for large businesses.

2. **Do your research:** See what kind of businesses other events are recruiting for sponsorships, and research ideas for sponsorship opportunities (i.e. “ticket-back” sponsor, title sponsor, food and beverage sponsors, etc.)

3. **Media sponsorships:** Media can be great sponsor partners to help you spread the word about your fundraising event, saving you from spending dollars advertising your event. Local newspaper and radio stations often look for opportunities to engage with the community in a live setting, so presence at your event may be just what they are looking for in exchange for free advertisements!

4. **Outline detailed benefits:** Make a list of the benefits companies will receive from sponsoring your event such as exposure to potential customers and media through: expected event attendance, promotional efforts, lead generation, event signage, advertising inclusion, viral marketing efforts, on-site sampling, VIP passes, etc.

5. **Create customized pitches:** Rather than having one sponsorship template, create a custom package that addresses each unique prospect. Be strategic and create a package that compliments the
prospects brand and business goals. For example, if you reach out to a fitness company to sponsor your walk-a-thon, provide them with an on-site area for people to test equipment, or offer discounted gym membership coupons in goodie bags.

6. **Manage sponsorship relationships:** Once you secure sponsors, be sure to treat them well (they may want to come back in future years) Dedicate someone on your team to manage sponsor relations to ensure obligations are met. There are a number of logistics that must be managed including: obtaining sponsor logos, gaining approval on collateral prior to print, customizing offerings based on what is more important to sponsors, managing communications, etc.

7. **Event re-cap:** Don’t forget to send thank you letters to all sponsors. In addition, provide detailed event recap reports that outline the success of the event including: event attendance, money raised, press coverage, sample ads, event photos, etc.

❖ **THE ROLE OF MEDIA IN FUNDRAISING**

Social media platforms enable you to drive awareness to your cause(s) and they can play a key role in your organization’s fundraising efforts. For instance, the Amora family, detailed in Facebook’s Facebook Stories feature, set up their Maven’s Heart Fund Page and surpassed their goal of one million pesos for baby Maven’s heart surgery. It’s a great story, and was helped along through the family’s social media efforts.

Let’s take a look at ways social media can assist with fundraising for your organization.

1. **Tell your story**
   Through your organization’s YouTube channel, share a video that gives your audience some context to your fundraising efforts. Don’t simply ask your community for their hard earned-money, show them who and what will benefit from their donations. Looking to raise money for a Children’s Hospital? Let your community have a virtual look at your facility, and some of the people that stand to benefit from your efforts.

   Don’t have time for a YouTube video yet? Create an Instagram video or a Vine! Vine has the ability to add geo-location data to your posts so if you’re on location, Vine could be used to draw in people from your local area.
2. Recruit your brand influencers
Touch base with your organization’s social media influencers and get them on board. If you’ve cultivated good relationships with them, ask them to get the word out about your brand’s fundraising initiative. Smart brands make certain to involve those socially well-connected folks that are the most likely to reach – and hopefully influence – their intended audiences. Platforms aren’t necessarily fundraising engines, it’s the people using them at are.

3. Add a call to action
Like most campaigns, fundraising usually has specific goals in mind, as well as set time frames. Your call to action is a specific, defined, and measurable action, such as making a donation or sharing your fundraising page on Facebook. Use active language (Click, Share, Donate Now) to get people to take action right away.

Once you’ve created your call to action, make it as easy as you can for people to donate. Ask for only the essentials (name, address, email, payment details) as part of your call. The easier it is for people to take action, the better.

4. Brand your initiative
Now it’s time to brand your campaign. Take a look at the #BellLetsTalk campaign from Canadian communications giant Bell. They used a hashtag to help raise money to improve mental health initiatives throughout the country. The company pledged to donate five cents for every Tweet, Facebook share, and text message sent on a particular day. In the end, the company will donate over $4.8 million dollars for Canadian mental health programs. And speaking of influencers, the hashtag and campaign both got a boost from Twitter’s top influencer, Canadian pop star, Justin Bieber.

5. Thank your partners, volunteers, and donors
Social media also offers a quick way to give public thanks to all those helping to promote your fundraising/charitable efforts. It only takes a few seconds to recognize those volunteers and donors helping to make your brand’s initiative a success. For instance, Charity Water recently thanked another brand that helped out with their cause.

- ETHICS IN FUNDRAISING
Accountability to Donors

Anonymous donors: Some donors ask that their gift remain anonymous, and are concerned that the nonprofit will sell their contact information to other nonprofits (which will increase the chance that they will be solicited by other nonprofits.)

- To address these concerns, the Association of Fundraising Professionals (AFP) has developed a Donors’ Bill of Rights that nonprofits are encouraged to adopt.

Acknowledging donations: Donors expect a ‘thank you’ note to acknowledge their charitable gifts. It is not only ethical to be transparent with donors about the receipt of their gifts, but it is also a legal requirement for certain gifts.

- Read the National Council of Nonprofits' Tip Sheet on Saying Thank You to Donors.
- IRS resources explain what a written gift acknowledgement should include.
- Review IRS Publication 1771, Charitable Contributions, Substantiation and Disclosure Requirements.
- Read about the IRS requirements for acknowledging “quid pro quo contributions” (gifts of $75 or more when the donor receives something of value in return.)
- Learn more from the Council of Nonprofits' resources on fundraising.

Respect Donor Intent

- Respecting a donor’s intent is an ethical issue and also a legal matter.  
  - A verbal agreement between a donor and a charity to use the gift in a certain way can be enforceable. When donors provide a contribution for a specific purpose this is referred to as a “restricted gift.”
  - Clarifying how a contribution will or will not be used and respecting a donor’s intention about the use of a gift or how the donor will be recognized (such as a request to remain anonymous) is a basic tenet of ethical fundraising and accountability.
  - Using a written agreement can help define how a gift will be used, and manage potential donors’ expectations about what
gifts a charitable nonprofit will - and will not accept. Learn about using gift acceptance policies.

Using Fundraisers and Grantwriters

- The Association of Fundraising Professionals (AFP) has developed ethical standards for professional fundraisers.
  - Read AFP’s frequently asked questions about fundraising ethics and Code of Ethical Principles and Standards for professional fundraisers.
- “Can we pay our fundraiser a commission?” One frequently asked question about ethics and fundraising is whether it is appropriate for a nonprofit to compensate a fundraising professional based on a percentage of the money raised. The ethical code adopted by the AFP answers that question with an unequivocal ‘No.’
  - See Standard #21 of the AFP Code of Ethical Principles and Standards for professional fundraisers.
  - Read a position paper on percentage based compensation from AFP that describes why paying a fundraising consultant or grantwriter on commission or based on a percentage of funds raised is not ethical.
  - Example: Code of Ethics/Fundraising. See Section VII of the Pennsylvania Association of Nonprofit Organizations' (PANO) Code of Ethics which is one standard contained in the Standards for Excellence for Pennsylvania nonprofits.

legal tips to get you started:

- Make sure the mission stated in your fundraising campaigns is consistent with the charitable or exempt purpose statement in your governing documents (e.g., articles of incorporation and bylaws). See our previous post on the Charitable Trust Doctrine.
- Initiate a plan to register in all states in which you are actively fundraising that require registration (39 states and the District of Columbia). See Nonprofit Risk Management Center's Fundraising and Charitable Registration FAQs.
- Adopt a gift acceptance policy to help ensure that the organization doesn't accept an asset that results in greater burdens than benefits (e.g., land with hazardous waste issues; carrying or maintenance costs that will drain cash flow).
- Properly account for and manage restricted gifts and endowment funds. See Nonprofits Assistance Fund’s Managing Restricted Funds.
- Provide proper receipts to your donors; the form of such receipts may depend on the type of solicitation and gift. See Charitable Organizations – Substantiation and Disclosure Requirements.

**Evaluating the success of your fundraising event**

As with any marketing program, there is not one solid indicator that tells you if your event was a success. Nor is there one stakeholder that determines whether or not the event was “successful”. There are many factors to consider in order to come up with a thorough evaluation of your fundraising event.

The first thing you’ll want to do is to review the goals and objectives you previously established prior to hosting your event to see if you’ve accomplished what you’d hoped. If you did not outline measures of success prior to your event, you can still use these guidelines to help you evaluate your event and plan to use these as parameters for establishing fundraising goals and objectives for future events.

**Evaluating Goals & Objectives:**

1. **Financial Metrics**
   - Did you raise the amount of funds you hoped for? To answer this question completely, you need a complete understanding of all proceeds and expenses as well as donations raised. Compile all financial details here. How much did you raise through pledge donations? How much money did you bring in from in-kind donations? How much did you make from ticket sales or food and beverage sales? Did you have a raffle or silent auction? Were you able to secure large investments from local businesses from sponsorships? Along with this, summarize event costs and compare these costs to your budget. What were the hard-costs of your event including logistics (i.e. tent rentals, tables, permits, decorations, food, etc.), plus event entertainment, paid labor, promotion costs, and your staff’s time and effort planning the event. Did you stay within budget? Were you able to off-set costs through building partnerships and receiving in-kind donations? If not, consider this for next year.
2. **Event Attendance**
   Did you get as many participants as expected, and were they successful in raising pledges? What about overall attendance? With a gala dinner or charity golf tournament where you have registrations, this number can be easily tallied and compared year after year for annual events. But what about a public walk-a-thon event or fundraising carnival? How do you know the exact turnout? The best answer here is to track participant registrations and note the number of sponsors and partners brought on board to support the event. Between these networks, along with your investment in promoting the event, you likely gained a lot of exposure. As far as reporting attendance numbers… take pictures and estimate. It’s great to include a photo of all the people gathering together at your fundraising event to support your cause as part of your event-recap report. You can also set up kiosks where event attendees can sign-up to win prizes or fill out event surveys. Reporting these numbers provides additional information about the type of audience you attracted, as well as getting feedback on your event.

3. **Spread Awareness**
   Success is not only about numbers. It’s also about gaining awareness about your cause to help establish supporters and contributors. Estimate how many people you reached through your promotional efforts. How were your promotional materials distributed? Did you have flyers posted on community bulletins? Did you send out email blasts inviting people to your event? Did you run ads in local newspapers or online? What about bus signage and radio announcements? Did you have help from sponsors, volunteer organizations, vendors, etc.? Estimate the total reach your promotional efforts. Make sure to include media outreach. Did you distribute press releases? Did any media attend the event? Did you get any press coverage, radio mentions, listing on event calendars, etc. Make sure to print copies of all promotional materials and press coverage to keep on file and include in your event recap reports.

4. **Was it fun?**
   What was the overall perception of the event? Did people have fun? This is an important determinant of event success. If people had fun, they’ll likely come back year after year, and they’ll tell their friends about it, meaning you’ll have an even better turnout in the future. Make sure to interview people to find out what they thought about the event. You do not only want the perspective of event planners.
Interview all parties involved in the event including: event attendees, workers and volunteers, vendors, sponsors, key stakeholders, etc. What did they like about the event and what things did not work? How can you improve the event in the future? Don’t forget to find out how they learned about the event, as this could help you determine your most effective promotional methods. After evaluating all of these questions, identify the things that were most successful and what you can improve on. Analysis of your event can help you plan better for the future.

5. Event Recap Reports
This may not seem like a critical part of event evaluation. After all, the event is over, so you may be wondering why you’d want to spend time creating this report. But this is absolutely one of the most important parts of event evaluation. You want to list detailed information about every step of the planning process, and every happening during the event from set-up through take-down. Include vendor lists, copies of contracts, lists of entertainment and how they were perceived. Include detailed maps outlining where everything was located from sponsor expo areas to stages to beer tents and bathrooms. Include interviews and notes from your post-event meetings. List event sponsors (these will be the first groups you reach out to next year) along with an explanation of benefits provided to sponsors so you can satisfy and improve on them next year. What group did you use to secure volunteers and what was the turnout like? Include photos in your recap reports, quotes from happy sponsors, vendors and event attendees. Include copies of ads, flyers and promotional materials. Be sure to include press clippings to show any press coverage received leading up to and during the event. Create a detailed report outlining the things that were successful and intended improvements for next year. You may not realize it now, but this information will become invaluable as you begin your planning process in the future.

Factors to consider in fundraising

A successful fundraiser, no matter the size of your organization or your goals, requires advance planning and consideration of many factors you may not yet have thought about. These factors are especially important for smaller fundraisers, such as community organizations, PTO/PTAs and school groups, and other more independent groups without the extensive resources that large organizations have. At GoodTwo, we work with
fundraisers of all sizes, and have seen some very successful community fundraisers. Here are some of the items they consider when they kick off their fundraisers.

1. **Communication to Potential Donors.** How will you spread the word? Now that you’ve planned your fundraiser, you need to get the word out, and fast. If you have a generous email list, an online fundraiser platform like **Crowdrise** is a great option to consider, as you’ll be able to easily target your audience and allow them to donate on the platform on which you’re communicating—the Internet. You’ll also want to brush up on your social media skills through Facebook, Twitter and LinkedIn.

   However, if you don’t have an email list or you’re just starting out, an online option won’t make much sense. If your donor base is mostly through mail, you may want to consider asking for mail-in donations or hosting an event. Depending on the area and type of fundraiser, you may even want to contact the local newspaper or TV station for extra publicity.

2. **Fulfillment and Processing.** It’s not the most exciting part of fundraising, but it’s among the most important. If your fundraiser involves selling items, how will those items reach the donor? If it simply involves cash, check or online donations, how will you keep track?

   Task someone with responsibility for fulfillment of any orders, whether that’s delivering products door-to-door or setting up a bake sale or car wash.

   Reach out to the community or other parents to find volunteers who are eager to help make this fundraiser a success. Organizations like **Sparked** can connect your cause with volunteers who care, to help alleviate some of the burden.

   An alternative to this is to find companies like **GoodTwo** that will take care of the fulfillment for you, in this case by emailing donors a great deal with each purchase (like a restaurant gift certificate or spa voucher).

3. **Money Management.** It’s the least exciting, but most essential, task in any fundraiser: making sure donations are accounted for and acknowledged. If you're collecting cash or check donations, you should have a plan in place for managing and accounting for them, thanking donors and sending out any necessary tax deduction information.
This is exponentially easier with online donation platforms like Fundly or Crowdrise, which process the transactions and take care of all the necessary donor information for you. The drawback: they often charge a fee on each transaction.

4. **Preparation for Live Events.** You may have attended many successful fundraisers, from auctions to fundraisers, and this may inspire you to run your own live event like a concert, bake sale or car wash. But those events rarely are as easy as they seem. Before committing to a live event, be sure to consider the logistics. Do you have a back-up plan in case it rains, like a tent or indoor option? How will you create a packed house? Are there any competing events in the area that may affect the turnout, including sporting events and holiday parties? On that note, is there a way for people who aren’t able to attend the event to still make a donation, be it through mail or online?

If you aren’t naturally gifted with event-planning genes, organizations like Eventbrite can do most of the dirty work for you. Evenbrite allows you to create an event for free, and provides resources to send out invitations to your email lists and social media networks.

If the event is local, ask your favorite cafes and neighborhood hangouts if you can post a flyer in the weeks leading up to your event. And recruit social butterfly volunteers to help spread the word in as many ways as possible.

5. **Engagement.** Before launching a fundraiser, you’ll want to think about what will work well for your target audience. You’ll want to consider the best events for your particular target market. For instance, if you’re raising money for your child’s school, a book swap may be fitting. If your fundraiser is focused on hunger and the community, a bake sale or food drive would work nicely.

Aside from the type of event, figure out whether your audience is more likely to get involved with someone online or in-person. What sort of time constraints are on them already? Are they likely to show up somewhere or more likely to press “Give” online? The type of event is secondary to what’s going to help you meet your goals, and by engaging your audience in a way that’s interesting to them, you’re most likely to raise the money you’re looking for.

- **KEY FACTORS FOR SUCCESS IN FUNDRAISING**
Working with a wide range of clients we have found 10 factors that must be in place for successful fundraising. Take our test to see if you have the key steps in place!

1. Does your organisation have a strong vision which can be communicated succinctly by all top leadership?
2. Do you have expert leaders who are compelling and knowledgeable and who are prepared to spend a percentage of their time with donors?
3. Can you describe and demonstrate the excellence of your programmes and how you are different to others? What impact do your programmes have? How is this demonstrated?
4. Why are you looking for private funds? Have you a simple explanation of your overall funding structure that can be shared with donors?
5. What difference will private donors make?
6. Have you identified, or recruited, volunteer leaders at the highest levels? Have they got time, energy and resource to give to your campaign?
7. Is there a fundraising strategy agreed at the top level? How much will be invested in fundraising? Agree internally a coherent fundraising strategy which takes into account your competitors, changes in giving and the most likely sources of support. Consider all fundraising aspects including capital fundraising, endowment and revenue fundraising, legacies and other income sources.
8. How will you identify prospects? Sound prospect identification, research, profile development and a cultivation plan
9. Do you have a professional and committed fundraising team? Does it include research and systems support, including IT and database competence and an understanding of financial and data systems.
10. Are other departments (such as HR and IT) ready to prioritise your needs? Is the communications strategy integrated with the fundraising? Does it take into account the need for regular contact with all potential donors and influencers or are your donors getting many different messages about your organisation?

**CHALLENGES OF FUND RAISING**

- Lack of commitment to the fundraising function on the part of the charity’s trustees, CEO and other stakeholders. A fundraiser
working for such an organisation is usually on thin ice and will probably be the first to be blamed for any financial shortfalls. The remedy for this might well require a professional consultant from outside the organisation who can help the stakeholders to focus on this primary issue.

- **Overdependence on one stream of funding, be it statutory or corporate.** The usual scenario is that the charity has been depending on one source of funding for some years and has not established a public fundraising function. The funding is suddenly withdrawn and the organisation is in crisis. What should have been put into operation is a comprehensive fundraising programme to include fundraising from individuals. Let’s call it ‘jobs for fundraisers’!

- **Passivity in seeking donors – sometimes observed in (but not restricted to) higher education institutions.** The assumption seems to be that donors should have to make the running in making a gift to the organisation – a very dangerous assumption, indeed. One remedy would be to adopt a proactive attitude and make sure that staff members are alert to opportunities to engage potential donors, especially visitors who demonstrate a strong interest in the institution’s programmes.

- **Ignoring the wider picture – could there be opportunities to seek donors or funders abroad?** Here is an issue that could be especially relevant for charities in countries such as Ireland where there are a sizeable number of charities seeking funds in a relatively small marketplace in terms of population. Depending on their cause, such organisations should seriously consider fundraising across borders. In the case of Irish charities, this could mean fundraising in the UK or the USA. It might also be worthwhile for charities to investigate EU funding, a complex but potentially rewarding effort.

- **Networking in the community, especially with professional advisers.** Do you have any channels for networking with financial and legal professionals who just might be advising potential (major) donors? If not, you should investigate which organisations could be useful in this regard. In North America this is considered to be an essential element of ‘planned giving’.
In concluding, there are many other elements of successful fundraising that could be explored, such as Prospect Research, Major Gift and Legacy Fundraising.

**FUNDRAISING PROCESS**

- **The four steps of the fundraising process...**

As you know there are four basic steps to any fundraising process. They hold true for all levels and types of fundraising, but they are particularly essential for any successful capital campaign.

fundraising is more of an art than a science – which means you have to use your intuition and common sense rather than some impersonal, mechanical process.

That being said, the generally accepted process for successful fundraising is somewhat mechanical by design, but -and its a big but – this “mechanical” process can only be effective if we focus on the **person** and not the **wallet**. This will force us to focus on the **relationship** and not the **transaction**. It’s really all about the relationship and nothing else. If we add to the process a genuine and personal interest in the donor as a **human being** we will be far ahead of our peers who often view the donor as a private ATM machine that just keeps throwing off cash any time it is needed.

**Identification** - Identifying potential donors is the most essential aspect of any fundraising campaign. It is an obvious point yet it isn’t always considered the keystone of the fundraising process; without prospects there can be no solicitation. This step also includes a qualification stage which includes comprehensive research and wealth screening of each prospect/donor to determine capacity and propensity.

**Cultivation** – Cultivation of the identified prospect is the second most important step in the fundraising process. During this stage the prospective donor is cultivated and nurtured for the potential solicitation. Too fast or too slow can both present problems. This step may require months if not years of relationship building (cultivation) prior to even considering making the approach (solicitation).
Solicitation - Solicitation of actual gifts is the single most difficult part in the fundraising process. At this stage the prospective donor is approached with a specific request for support, usually in the form of financial support, although it could be a request for a gift-in-kind. Typically the solicitation meeting, or series of meetings, is handled by two or more people – one of which is the person that made the introduction. This must be orchestrated very well.

Stewardship – Stewarding the donor is critical to building good will and planting the seeds for future gifts. During this stage the donor’s gift is acknowledged and the donor is also regularly informed of the progress of the project and the results that were attained from their individual gift. Donors of all levels need to be stewarded to varying degrees depending on their level of financial commitment and involvement.

❖ STEPS TO A POWERFUL FUNDRAISING PLAN

Although planning can seem overwhelming, it’s not really a difficult process, yet it makes all the difference in the world in the success you will enjoy in raising big money.

Step 1. Start where you are.

Before you can create goals to work toward, you need to know where you are.

Anytime you look at a map, you first have to find your starting point.

Do a quick inventory of what’s working and what isn’t in your fundraising efforts.

An honest assessment of your current situation can lay the foundation for moving forward.

Step 2. Identify your assets.

What have you got to work with? Great name recognition? Compelling mission? Something else?

Once you know your organization’s strengths, you’ll know what you have that you can leverage.
Step 3. Set your targets.

There are 3 fundraising targets that you need to shoot for – raising money, renewing current donors, and acquiring new donors.

No matter which fundraising techniques you use, you need to include these three targets.

Step 4. Choose your strategies.

Pick out the fundraising strategies you want to use that will get you the most donations for the least investment of time, energy, and money, for the greatest long-term gain.

Be very purposeful in your choices.

Make sure they will work for your organization and support your targets.

Step 5. Set your goals.

Once you know which strategies you’ll choose, set goals that are specific, measurable, achievable, realistic, and timely.

Step 6. Create a plan of action.

This may be the most important step!

The action plan gives you detailed steps that must be taken in order to reach your goals.

It tells you who will do each step, when it will be done, and any resources that are needed.

Step 7. Work the plan.

Taking action is the difference between wildly successful nonprofits and those than languish.

You want to be a successful nonprofit?

Implement.
Do stuff.

Take action on your plan.

**Step 8. Monitor the plan.**

Review your plan frequently to see how things are going.

If you don’t ever evaluate your plan, there’s no point in creating one in the first place.

**Step 9. Refine as needed.**

Your plan should not be carved in stone.

Things change.

Adjust your plan as often as necessary to achieve your goals and hit your targets.

**Market research and fundraising**

Market Research is a new area paying cash for undertaking surveys. Some companies will allow you to set up an account for your fundraising activity. Every time one of your members completes a survey the money is credited to your fundraising account. This is a very easy way of earning money.

❖ **Fundraising Idea of the Month - Market Research**

by Doug Nash

What is market research in regards to fundraising? It is the same as if you were running a commercial venture! The principles are the same. Find out what you need to do to make a success of your venture. You do this in two ways. First go out and have a look at what others are doing in the area you want to go. Secondly, ask a lot people a lot of questions. People like customers, donors, helpers,
critics anyone that you feel can help by passing on to you their opinions or knowledge.

Simply start by answering these basic question of who, what, when, where, why and how. Who did it? what did they do? when did they do it? where did they do it? why did they do it? and how did they do it? Once you have these answers you may want to move on to questions like: Who did what? Why did they do it when they did it? Why was it held where it was? While it may sound amusing these are valid questions. Who did what relates to organisational structure and allocating tasks and responsibility. Why did they do it when they did it? Was weather or other community events the major reason in deciding this point. There is no such thing as a stupid question!

As an example lets use a fete as our fundraising project. The first thing to do is find out who else also runs a fete in our area. If there are a lot of fetes in your area and you can't offer something either better or different, you may want to think of some other type of fundraiser. If you decide to proceed then go and if possible have a close look at what they do and how they do it. Take a note of what attractions they have, how did they advertise? Is their fete well established, annual or occasional? When do they hold it and why do they hold it that particular time of the year? Who were their donors? Was it a success? What if any rides did they have? What worked and what didn't?

By collecting this information you can then set about devising your own fete that is different and hopefully better. You will have a better idea of what to copy and what to leave out. By doing this research you may discover a niche in the market, an area that you can address that no-one else can or have thought of. You will also know better what you have to provide to make it work in regards to volunteers, donations, events and other detail that can make or break your fundraiser. With this information you can better assess if you have the area, the people power, the resources and the desire to make it a success. Without this information you can not accurately judge if this is the right fundraiser for your organisation. You will either be hoping or guessing that it will work. Just because the information you receive indicates that it may not be the fundraiser does not mean you should not proceed. However you will know what you are up,
against and by using this information have a better chance of avoiding a disaster.

Even if you already run a fete you can benefit by keeping an eye on other fetes. You will be able to compare other fetes to your own. Are they better? Can you copy something they do to improve your fete? If it is a school fete, have they catered for all the groups that have attended? Groups like grandparents, parents, children and those not connected to the school? Are they copying things you do? If they are then compliment yourself for doing something right. Can we do it better? how can we do it better?

Now armed with this information you can answer the most important questions of all and they come from your members. When they ask what is it we should do?, why should we do it?, why will it be successful?, how will we do it? and is the best options for us? you will be able to answer them with confidence and details. By being able to answer their questions with facts and confidence, you will find it easier (note: it is never easy only easier) to win your members support and efforts when the fundraiser moves off the drawing board and into reality.

Two major keys to success are planning and preparation. By doing market research you will be able to plan better and prepare better. Market research can guide to areas you may not have thought of originally. Fundraisers are based on giving others something worthwhile in return for their support, the better value you offer the better they will support you. The better they support you the better the financial return for your efforts.

You may have noticed the number of questions you have just read in this article. This underlines the importance of questions in market research. Asking the right person the right question will give you the right answer. Experience will enable you to know if you have asked the right person the right question. This is the same when asking for donations. Market research can trigger or improve brainstorming sessions to help you improve your organisation or fundraiser.

Market research will not guarantee a success nor is it a shield from disaster. What you do with the results will determine the outcome.
Market research is an aid, a very valuable aid, but nevertheless just an aid. Just like volunteers, use it well and it will reward you accordingly.

**Developing a Fundraising Strategy**

A fundraising strategy identifies the financial and other expectations of your institution and outlines the activities, time scales and resources that are needed to meet these expectations. It is a working document that evolves as circumstances change, but it typically takes a forward view of three to five years.

Why Do We Need a Fundraising Strategy?

Having a well thought out strategy will help you to prioritise your projects and target your energy and resources effectively. It is also a useful tool for articulating your goals and activities to colleagues and other stakeholders to win their support and cooperation.

The process of developing a strategy brings into focus the strengths, weaknesses, opportunities and threats that are relevant to your fundraising ambitions.

What Should It Look Like?

There is no set template for a fundraising strategy, though several common elements (outlined below) are included in most strategic plans.

The important thing is that your plan should not be written and then filed away. Rather, it should be a living document, shared with colleagues and regularly reviewed and updated.

Here are the common elements of most strategic plans.

**The overarching case for support**

This succinct statement should set the tone of what you want to achieve. It says why your organisation exists, what it does, whom it benefits, how they benefit, why funds are needed and why donors should give. The case for support should be based on the vision and priorities set by the institution’s
leader and should be the touchstone for all your communications with donors.

**What you want to achieve**

This section should set out why you are fundraising, detailing the individual projects and/or programme areas for which donations will be sought. Each project description should outline the benefits the project will bring and identify the funds it requires and within what time scale. All the projects should be ranked according to their priority.

**Resources**

It is useful to identify what resources you have as well as a plan of how you would like those resources to develop over time to support your fundraising goals. Resources include staff, budget, data, volunteers, established lines of communication (e.g., website or alumni magazine) and an events programme.

**Identification of fundraising prospects**

Knowing who your best prospects are is an important element of a fundraising strategy, as it enables you to target your efforts effectively. You may want to categorise your prospects (e.g., individuals, trusts and foundations, corporations).

How can you tell who your best prospects are? Keep in mind the Pareto Principle, which says that 80 percent of your gifts will come from 20 percent of your donors. This 80/20 Rule is generally a reliable method for determining your 'best prospects' in your fundraising strategy.

In addition to knowing who is on a prospects shortlist, it is also important to understand the wider mass of data you have to work with. If you have inherited a database of contacts, you need to know how many are accurate, how many of those on the list have an existing relationship with your institution, where they are located and, indeed, if any are already donors. You might also want to record how you wish to improve the quantity and quality of this data.

**Gift table**
Creating a gift table is one way to set out how you anticipate achieving your fundraising target.

For example, if your goal is £500,000, your gift table might be:

<table>
<thead>
<tr>
<th>Gift Level</th>
<th># of Gifts Needed</th>
<th># of Prospects Estimated</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>£100,000</td>
<td>1</td>
<td>3</td>
<td>£100,000</td>
</tr>
<tr>
<td>£50,000</td>
<td>2</td>
<td>6</td>
<td>£100,000</td>
</tr>
<tr>
<td>£25,000</td>
<td>4</td>
<td>12</td>
<td>£100,000</td>
</tr>
<tr>
<td>£10,000</td>
<td>8</td>
<td>24</td>
<td>£80,000</td>
</tr>
<tr>
<td>£5,000</td>
<td>15</td>
<td>45</td>
<td>£75,000</td>
</tr>
<tr>
<td>£1,000</td>
<td>45</td>
<td>135</td>
<td>£45,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>£500,000</strong></td>
</tr>
</tbody>
</table>

**Defining your methodologies**

This section of your strategy document describes your tactical plan (often referred to as the fundraising mix) – what fundraising methods you want to use to generate income from the prospects you have identified.

Typically, you will choose to use a combination of methods (e.g., trusts and foundations, corporate sponsorship and partnerships, government and lottery funding, planned giving from individuals, major gift donors, community fundraising, telephone fundraising, online fundraising and direct mail).

Different methods will bring different rates of return and over different lengths of time, so the exact balance will depend upon a number of factors, not least the resources available and the number and level of prospective donors.

**SWOT analysis**

The classic SWOT analysis (strengths, weaknesses, opportunities, threats) is an invaluable planning tool. It helps anchor the fundraising strategy in its
context by highlighting risks such as resource shortages and competition from rival institutions and identifying the strengths of the organisation that might mitigate these risks and the new funding opportunities that might previously have gone unnoticed.

It is not always necessary or useful to show a full SWOT analysis in the strategic document. Rather, you can include a summary of the main issues and how they relate to your institution's objections. A SWOT analysis should be repeated on a regular basis.

**Targets**

You need to establish criteria against which you can measure progress. This should be done in consultation with colleagues and should represent realistic expectations based on what can be achieved with the resources available and in the time scales the income is required.

Targets should be SMART: specific, measurable, attainable, realistic and timed.

Targets tend to be predominantly financial; but in the early life of an office, it can be much more instructive to measure activity rather than income. Nonfinancial targets might include things such as increasing the number of major gift prospect meetings held, foundation proposals submitted or addressable alumni added to the database.

It may be beneficial to set targets that are based on benchmarking criteria already used by other institutions and in surveys (e.g., the Ross-CASE Survey), so that realistic milestones and comparators can be agreed upon.

Don’t forget that you will be accountable for achieving these targets, so it may be unwise to set overly ambitious targets. Any section on targets should also state how and when progress toward the targets will be evaluated and the targets revised accordingly.

**Calendar of activities**

To be useful as a working document, your strategic plan should set out a calendar of activities. It is typical to have proposed activity recorded in detail for the first 12 months and then less detailed accounts for future years. The plan for these subsequent years will become more populated as time
moves on and the strategy evolves. It is also useful to record who will be responsible for each activity.

Action Items

- Draft your fundraising strategy.
- Get feedback and buy-in from key stakeholders. If possible, get approval from your institution’s governing body to gain support for your activities, increase awareness of your objectives and help set expectations appropriately.
- Regularly review and revise.

Creating a Strategic Fundraising Plan

Your organization needs a strategic fundraising plan if

- You don’t have enough money to accomplish your mission in a manner you feel proud about
- You sit at your desk and don’t know what initiative to work on first
- Methods that worked for years are now yielding diminishing returns
- You don’t know what it is costing you to raise funds
- You’ve never had a plan and it’s time to get everyone on the same path

Phase 1: Work with staff to analyze current fundraising efforts. This will include:

1. Direct mail—look at what is being sent, how often and R.O.I.
2. Special Events—each event will be studied to see if it is worth the time, money and effort. (some events might be deemed valuable for marketing, rather than fundraising, and would be under the marketing budget rather than fund development)
3. Planned giving—Are you ready for this? Do you have a program in place and is it working well? Do you have board members who are already planned givers?

4. Product sales—will examine what you have that is salable and what can be developed.

5. E-fundraising—examine current data base and examine how to “beef it up” for both product sales and on-line campaigns.

6. Major donor fundraising—we will examine the data base and decide how to work more effectively with current large donors and long term donors to optimize relationships as well as plan a campaign to recruit new donors. We will also look to formalizing your stewardship program or tweak your existing one.

7. Grant opportunities—We’ll look at your track record and how to increase your foundation dollars.

8. Federal and State funds—We’ll determine if you are getting the optimal amount of funding from government sources

9. Corporate fundraising/cause marketing—We’ll see if there are corporations that are a good fit for your mission and if relationships can be crafted into a cause marketing relationship or increases corporate funding

10. Earned income—We’ll explore other sources of revenue for programs you already have

11. There will be other opportunities that might arise as we look at what you are already doing well and matching talent to task.

**Deliverable:** A report that will benchmark where you are today. This will be in a excel form that is easy to read.

**Time frame:** This takes approximately 4-8 weeks depending on what materials are readily available and how complex the organization is and how long you have been in existence.

Phase 2: Work with development committee on creating a plan. The committee will be made up of board and staff so that this plan will easily go through committee, be actionable and successful. The work with the development committee will include:

1. Looking at how the development committee is now functioning and where they would like to go
2. Assign various members to explore opportunities in the community after looking at where you are today
3. Start to set financial goals and look at the R.O.I. for each aspect of the program
4. Create a strategy that cuts where initiatives are not bearing enough fruit and expands on opportunities

**Deliverable:** A plan that explores various options that is focused on people assigned to look into opportunities.

**Time frame:** This takes approximately 4-6 weeks and takes a minimum of two to three meetings. The first needs to be in person and the rest can be done by phone.

Phase 3: Putting together the plan with board and staff.

1. We will do a careful analysis of the findings of the development committee
2. We will look at each potential stream of revenue and prioritize which programs to begin with based on ease, R.O.I. and current talents of board and staff.
3. We will begin to look at what should be kept “in house” and what you might want to farm out. This might include planned giving, special events, website development, direct mail, etc.

**Deliverable:** A plan to be written by Carol with financial goals, examining each potential stream of revenue and the thinking of the group as to how to approach it or not, and a time frame for implementation. Some projects might be in year 2 or 3 of the plan.

**Time frame:** Approximately 4 weeks

Phase 4: Present plan to the board for approval. Ideally, this would be done with the entire board as part of a retreat. This would include:

1. Board members signing on to what they will be doing.
2. Debate, discussion and rigorous review of the work on the consultant, fundraising committee and staff.
3. A look at the governance structure and nominating procedures to decide what skills and talents are needed with-in the board to move forward.
4. Discuss governance structure to decide what needs to be in place to implement the plan. This might involve additional committees or using advisors differently.
5. Sign off by board on exactly what they are going to do to implement the plan.
6. Review of budget incase additional tasks need funding i.e. web development, planned giving etc.

**Deliverable:** Board approved fundraising plan and commitment from each board member as to their role in implementing the plan.

**Time frame:** This phase is best accomplished through a board retreat. Approximate time 4 hours for retreat to be scheduled on weekday evening or Saturday morning based on preference of your organization.

Phase 5: Monitor plan: Carol would work with board and staff to make sure that all is going well. This would include:

1. Reviewing current plan with the development committee
2. Making changes where needed to estimated income or expenditures
3. Looking at changing fundraising mix if new opportunities are available or if there are changes with current funders (bankruptcies, major changes to economic climate, new government initiatives etc)
4. Determine if additional board or staff training is needed and create a plan to implement.

**Deliverable:** Updated fundraising plan.

**Time frame:** Time 3-6 months of board and staff time. Approximately 8-20 hours per month.

**Total Investment:** Plans start at $12,000 depending on how many of the phases you choose to do and the complexity of your organization and where you are in terms of your leadership.

---

**PROJECT PROPOSAL WRITING**

**Proposal**

**Definition**
A document that offers a solution to a problem or a course of action in response to a need. A project proposal is basically a document that describes your project in detail, as well as the strategy and tactics you plan to use to achieve its completion. There are several formats to follow in order to develop a good project proposal.

The nature of the project proposal is basically the area where the project belongs to. The nature of a project can be construction improvements, Machine improvements, New electronic design, etc. Types of proposals include internal proposals, external proposals, grant proposals, and sales proposals.

A formal description of the creation, modification or termination of a contract. A proposal may serve as the blueprint for a future agreement and may be accepted or rejected by the entity or entities that receive it.

A proposal is a plan, a scheme, an offer to be accepted or rejected: to make proposals for peace. An overture is a friendly approach, an opening

**Audience.** A proposal offers a plan to fill a need, and readers will evaluate your plan based on how well you answer their questions about what you are proposing to do, how and when you plan to do it, and how much it will cost. Because proposals often require more than one level of approval, take all your readers into account as you answer their questions. Consider especially their levels of technical knowledge of the subject. For example, if your primary reader is an expert on your subject but a supervisor who must also approve the proposal is not, provide an executive summary written in nontechnical language. You might also include a glossary of terms used in the body of the proposal or an appendix that explains highly detailed information in nontechnical language.”


**Analyzing the Effectiveness of a Proposal**

"[T]he success of a proposal rests totally on the effectiveness of the argument--how convincingly the writer argues for a plan... and how well the writer convinces the reader that the proposing organization is the best one to do the work.

"The following questions are useful in analyzing the effectiveness of the argument:
What does the soliciting organization really want?
What is the problem that needs to be solved?
What approaches to the solution will be viewed most favorably?
What approaches will be viewed unfavorably?
What objections will our plan elicit?

**Project Proposal Format**

In preparing a Project Proposal for submission, please follow the format specified below. The overall length of your proposal should not exceed 7 pages (including cover page but excluding the required Appendices), and must be submitted on the Application Form. Applications should be submitted following the instructions provided.

**I. Programme Summary**

- Please provide a brief description of what the project aims are, and how these aims will be achieved.

**II. Background and Rationale**

- Clearly articulate the opportunity or problem you are addressing, including the scope, context and factors that create the opportunity or cause the problem. Describe the intended beneficiaries and geographic area of intervention (if applicable).
- Describe how the proposed project relates to ongoing activities in the field and how your effort to capitalize on the opportunity or solve the problem would be innovative or complementary to existing efforts.
- Explain how the project will contribute concretely to improving the current situation at country level.

**III. Intended Results**

- Please define briefly the specific objective(s) of the proposed project, with reference to the objectives articulated in the relevant Thematic Areas (see links in the left-hand column).
- Please specify the results to be delivered by this project, showing how these contribute to meeting the objective(s). Be specific and try to quantify results as much as possible.
• Explain how sustainability will be secured after completion of the action. This may include aspects of necessary follow-up activities, built-in strategies, ownership, etc..

IV. Project Design and Implementation Plan

• Please describe the project design and major activities to be undertaken, linking these clearly to individual results outlined in Section III. This should be limited to broad, strategic categories of activities.
• Please describe which partner organization in the consortium will be responsible for undertaking each activity.
• Please explain how the project will be coordinated at the implementation level - linking the activities of national partners and other related donor initiatives.
• Please highlight potential parallel or co-financing opportunities if applicable, and/or involvement of the private sector as appropriate.
• Where the project is an extension or continuation of a previous project, please explain how the action is intended to build on the results of the previous project.
• Please identify any potential risks to achieving the project’s objectives, and identify the main preconditions and assumptions that affect the implementation phase.

V. Monitoring and Evaluation

• Please specify quantitative and qualitative indicators for all results and describe the proposed methodology for their measurement.

VI. Institutional Arrangements and Management Plan

• Please provide a brief description of the partner organizations of the consortium and their previous experience in programmatic and/or analytical collaboration in this field.
• Please specify the respective roles of the different consortium partners, and identify which partner will assume the lead responsibility for achieving any joint results of the project.
• Outline the organizational structure and personnel requirements proposed for implementing the project (there is no need to include the names of individuals).
Please describe the proposed internal governance arrangements to provide oversight of the project, as well as any coordination groups/forums in which consortium partners intend to participate during project implementation.

Appendices

A. Project Results Framework: Applicants must prepare a logical framework matrix for the project using the logframe template provided here.

B. Budget: Applicants must include a summary cost estimate/project budget for each consortium partner, using the budget template provided.

C. Workplan: Applicants should complete and attach the work plan indicating when specific project activities will be undertaken under the proposed project.

D. Partnership Agreement & Questionnaire: Each consortium partner should complete the partnership agreement & questionnaire provided in full, and must submit it in support of their application.

E. Legal Statutes: Each consortium applicant should attach in pdf format a copy of documentation verifying their legal status.

F. Financial Accounts: Each consortium applicant should attach a pdf of the organisation’s most recent audited statement of accounts.

GEF SGP PROJECT PROPOSAL

TEMPLATE AND GUIDELINES

[Name the country]

[Date proposal]

GENERAL REQUIREMENTS
The Project Proposal should include the standard cover sheet, a one-page table of contents and not more than fifteen pages of text (including any charts or diagrams). A Project Budget Information Sheet should be fully completed and the Proposal in typed form.

You may also submit additional attachments (not more than ten pages), which may include documents certifying the status of the organization, endorsements of the proposed project, funding commitments or other indicators of participation and support from other institutions, and evidence of community support and participation.

Please ensure that a project proposal and all attachments are legible. All supporting documents (attachments) should also have the name of the project on them. Submit one original copy of the Proposal (soft and hard copy) to National Coordinator, GEF Small Grants Programme, [Full address of the SGP Offices]. Keep a copy of your proposal for your own records as the one you submit will not be returned.

In preparing a Project Proposal, you should follow the major (numbered) points of the outline set forth below. These are the major issues which the National Steering Committee (NSC) will consider in reviewing the Proposal. Ensure that the entire bullet points included in the outline is addressed. The number of pages allocated to each section is a guide. The information required can be less but not more than the pages stipulated.

**TABLE OF CONTENTS**

<table>
<thead>
<tr>
<th>TABLE OF CONTENTS</th>
<th>CXXI</th>
</tr>
</thead>
<tbody>
<tr>
<td>GENERAL INSTRUCTIONS</td>
<td>CXXII</td>
</tr>
<tr>
<td>PROJECT PROPOSAL COVER SHEET</td>
<td>CXXIII</td>
</tr>
<tr>
<td>SAMPLE TABLE OF CONTENTS</td>
<td>CXXV</td>
</tr>
</tbody>
</table>

**1.0 PROJECT PROPOSAL OUTLINE AND CONTENT**

1.1 **PROJECT SUMMARY** (2.5 PAGES)  
1.2 **ORGANIZATIONAL BACKGROUND AND CAPACITY** (1 PAGE)  
1.3 **PROJECT OBJECTIVES AND EXPECTED RESULTS** (1.5 PAGES)  
1.4 **DESCRIPTION OF PROJECT ACTIVITIES** (4 PAGES)
1.5 LINK WITH GEF OP5 OUTCOMES AND OBJECTIVES (0.5 PAGES)………

1.5 IMPLEMENTATION PLAN AND TIME FRAME (2 PAGES)------------------- 129
1.6 PLAN TO ENSURE COMMUNITY PARTICIPATION (1 PAGE) -------------- 130
1.7 RISKS TO SUCCESSFUL IMPLEMENTATION (1 PAGE)------------------- 132
1.8 MONITORING AND EVALUATION PLAN AND INDICATORS (1 PAGE) -- 132
1.9 SUSTAINABILITY (1 PAGE) ------------------------------------------ 133

2.0 PROJECT BUDGET INFORMATION SHEET -------------------------- 133

2.1 PROJECT FUNDING SUMMARY--------------------------------------- 134
2.2 PROJECTED EXPENDITURES----------------------------------------- 136
2.4 BANK DETAILS----------------------------------------------------- 137

3.0 MAKING A GRANT APPLICATION------------------------------------- 138

ANNEXES

ANNEX 1: PROPOSAL REVIEW PROCESS ------------------------------- 139

ANNEX 2: GRANT CATEGORIES------------------------------------------ 140

4.1 DEMONSTRATION PROJECTS----------------------------------------- 140
4.2 CAPACITY BUILDING----------------------------------------------- 140

ANNEX3: GEF SGP GUIDE TO GLOBAL INDICATORS-------- 141

5.1 BIOPHYSICAL INDICATORS------------------------------------------ 10
5.2 LIVELIHOOD INDICATORS------------------------------------------ 10
5.3 EMPOWERMENT INDICATORS----------------------------------------- ..10143

PROJECT PROPOSAL COVER SHEET

Project No.  ____________________ (For Official Use. Do not write anything here)

Project Title:  ____________________ (Use the GEF format, title must capture the essence of project and aligns to GEF focal areas)

Applicant
Name of Organization:
_____________________________________________________

Mailing Address:
_____________________________________________________

Physical Address:
_____________________________________________________

Telephone:
_____________________________________________________

Fax: __________________________ E-
Mail: __________________________

Principal Officer:
_____________________________________________________

(Name and Position)

Project Contact:
_____________________________________________________

(Name and Position)

Project

GEF SGP Classification

<table>
<thead>
<tr>
<th>Thematic/Focal Area (Tick one)</th>
<th>Project Category (Tick one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conservation of Biodiversity</td>
<td>Demonstration Project</td>
</tr>
<tr>
<td>Climate Change</td>
<td>Capacity Development Project</td>
</tr>
<tr>
<td>Land Degradation and Sustainable Forest Management</td>
<td>Applied Research/Policy Analysis</td>
</tr>
<tr>
<td>International Waters</td>
<td>Information/Networking/Policy Dialogue</td>
</tr>
<tr>
<td>Persistent Organic Pollutants(POPs)</td>
<td></td>
</tr>
</tbody>
</table>
Multi-focal*

* Proposal addresses more than one focal area

Proposed Starting Date:

(Ideally this should be at least six months after submission)

Proposed Project Duration:

Finances

Total GEF SGP Request: [local currency] _____ (US$ ______________)

Total from Other Sources: [Local currency] __________________ (US$ ______________)

Total project cost: Local currency] __________________ (US$ ______________)

Exchange Rate: __________________

SAMPLE TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>I.</th>
<th>GEF SGP PROPOSAL COVER SHEET</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TABLE OF CONTENTS</td>
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<tr>
<td></td>
<td>SECTION A</td>
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</tbody>
</table>

CXXV
II. PROJECT PROPOSAL OUTLINE (12 Pages)

1. Project Summary (1 Page)
2. Organizational Background and Capacity (1 Page)
3. Project Objectives and Expected Results (1 Page)
4. Description of Project Activities (2.5 Page)
5. Implementation Plan and Time-frame (2 Page)
6. Plan to Ensure Community Participation (1 Page)

SECTION B

7. Risks to Successful Implementation (0.5 Page)
8. Evaluation Plan and Indicators (1 Page)
9. Sustainability

SECTION C (1 Page)

III. PROJECT BUDGET INFORMATION SHEET

V. GRANT CATEGORIES

VI. SGP GUIDE TO PROJECT LEVEL INDICATORS
Sectio A.

1.0 PROJECT PROPOSAL OUTLINE AND CONTENT

1.1 Project Summary (1 page)

The Project Summary should be a brief write up of the key points contained in the Proposal. This should include a brief description of the proposing organization, project objectives, activities, indicators of achievement and the context (or rationale/justification) upon which the project is based. This shall also include the relationship of the project to the GEF/SGP Country Programme Strategy and a statement of the total cost of the project, the amount of funding requested from the GEF Small Grants Programme, how those funds will be used, the amount, nature, and status of community contributions, and the status and sources of additional funding required.

1.2 Organizational Background and Capacity to implement the project (1 page)

This section should clearly demonstrate that the proposing organization has the experience, capacity, and commitment to implement successfully the proposed project. Among the issues to be covered in this section include:

- Nature of the proposing organization – Is it a community-based organization, national or sub-national NGO, research or training institution?
- Purpose and core activities of the organization,
- Organizational approach (philosophy) for project implementation, i.e. how does the organization deliver its projects?
- Length of existence and project management experience
- Organizational structure, governance and administrative framework: number of paid staff members,
- Membership and affiliation to associations or umbrella groupings,
- Legal status - registration with government approved authority
- Target population group (women, indigenous peoples, youth, etc)
- Previous experience relevant to the proposed project including: projects addressing problems of Biodiversity loss, Climate Change Mitigation and/or Adaptation, land degradation/Sustainable Forest Management and Pollution of International Waters. OR experience with projects that focus on environment and natural resources management and sustainable development at community level.

1.3 Project Objectives and Expected Results (1 page)
This section should contain a clear and specific statement of what the proposed project will accomplish. Among the issues to address include:

- **The problem statement** or challenge the project is intended to address
- **The primary objective** and **specific objectives** of the proposed project
- **The rationale** (justification) for the project. The rationale should indicate the importance of the proposed project to the GEF Small Grants Programme in terms of contributing to its overall and or specific focal area objective(s). It should also reflect the relationship of the project to other relevant programmes such as local, district or national government programmes, other GEF and UNDP projects, multilateral and bilateral aid agency projects, and other community-based, NGO, and/or private sector activities. This ensures that the intervention is not a standalone activity.
- **The specific results** that the project will produce. The expected results are the measurable changes which will have occurred by the end of the project as a result of the planned intervention e.g. land area under forest cover increasing because of tree planting and promotion of natural regeneration of vegetation; etc.

1.4 **Description of Project Activities (2.5 pages)**

This section should describe what will actually be done to produce the expected results and accomplish the project's objectives. There should be a clear and direct linkage between the activities and the outcomes. (The proponent must ensure that the activities are a means to getting to intended outcomes). *Note that weakness in this area may be a major reason for failure to receive funding as this is the actual component to be implemented as a project.*

Activity descriptions should be as specific as possible, identifying **what** will be done, **who** will do it, **when** it will be done (beginning, duration, completion), and **where** it will be done. In describing the activities, an indication should be made regarding the organizations and individuals involved in or benefiting from the activity. An example is below for reference only.

1.5 **Implementation Plan and Time Frame (2 pages)**

This section may be presented in graphical (table) form and can be attached as an annex. It should indicate the **sequence of all major activities and implementation milestones**, including targeted beginning and ending dates for each step. Provide as much detail as possible. The Implementation Plan should show a logical flow of
steps, indicating that all the things that must happen have been carefully thought through from the current to the end of project situation. Include in the Implementation Plan all required highlight reports, project reviews and evaluation activities.

1.6 Plan to Ensure Community Participation (1 page)

Describe how the stakeholder communities were (and are being) involved in

- Project planning and design
- Project implementation
- Project monitoring and evaluation to ensure efficiency and effectiveness in delivery. This is the basis for generating and understanding project impact.

Section B

---

1 Note that community participation means much more than how the community will benefit from the project. It refers to active involvement and ownership by an appropriate spectrum of people. Describe the specific steps that have been taken/planned to maximize this involvement.
# Project Work plan and Monitoring Schedule

<table>
<thead>
<tr>
<th>Project No:</th>
<th>Project Name:</th>
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<table>
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<tr>
<th>Name of Grant Recipient</th>
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**Brief description of General Objective of Project:**

<table>
<thead>
<tr>
<th>GEF Focal Area:</th>
<th>GEF Operational Phase:</th>
<th>Project Start and End Dates:</th>
</tr>
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</table>

**Brief Description of Specific Objective No 1:**

List the activities necessary to fulfil this objective. Indicate who is responsible for each activity and an indicator of activity accomplishment.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Responsible Party</th>
<th>Indicator</th>
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<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
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<th>11</th>
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**Brief Description of Specific Objective No 2:**

List the activities necessary to fulfil this objective. Indicate who is responsible for each activity and an indicator of activity accomplishment.

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<th>Activity</th>
<th>Responsible Party</th>
<th>Indicator</th>
<th>1</th>
<th>2</th>
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<th>4</th>
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</table>

Indicate Person responsible for Monitoring  
Monitoring Frequency / Reporting
1.7 Risks to Successful Implementation (0.5 pages)

Identify and list the major risk factors that could result in the project not producing the expected results. These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, significant currency fluctuations resulting into changes in the economics of the project).

Include in this section also the key assumptions on which the project plan is based. In this case, the assumptions are mostly related to external factors (for example, government environmental policy remaining stable) which are anticipated in project planning, and on which the feasibility of the project depends.

1.8 Monitoring and Evaluation Plan and Indicators (1 page)

This section should contain an explanation of the plan for monitoring and evaluating the project, both during its implementation (formative) and at completion (Summative). Among the key issues to be addressed are:

- How the performance of the project will be tracked in terms of achievement of the steps and milestones set forth in the Implementation Plan;
- How the impact of the project will be assessed in terms of achieving the project's objective(s);
- How the mid-course correction and adjustment of the project design and plans will be facilitated on the basis of feedback received;
- How the participation of community members in the project monitoring and evaluation processes will be achieved.

Propose specific and measurable indicators relating to project performance and impact which can form the basis for monitoring and evaluation. These indicators must also speak to the CPS indicators in your country. These indicators will
berefined in consultation with the NC, and will form an important part of the contract between the proposing organization and the GEF SGP. In addition, identify at least **1 GEB and 1 indicator** from each of the 3 categories of biophysical, livelihood and empowerment indicators provided *(see pages 9 – 10).*

### 1.9 Sustainability (1 page)

Sustainability is a critical aspect in all the GEF SGP funded projects. The proposal should outline the steps to be taken before, during and at the completion of project implementation to ensure that once all the SGP funds have been disbursed, the activities of the project and the organization will continue for many years thereafter.

The funds provided by SGP are primarily seed funds, designed to give the project a significant boost. However, project proponents should envision the project three or even five years after SGP has given out the agreed upon funds, and consider the factors that could contribute to the success and failure of sustainability of their project, and address them accordingly.

### 2.0 PROJECT BUDGET INFORMATION SHEET

The Project Budget Information Sheet is an important part of every GEF SGP project proposal and must be completed prior to consideration of a proposed project for funding. Once a project has been approved for funding, the budget information becomes part of the binding contract between the GEF SGP and the proposing organization.

The development and management of a realistic budget is an important part of developing and implementing a successful GEF project. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of the project. In keeping with the role of the GEF SGP as a support mechanism for community-level initiatives, every effort has been made to keep financial management requirements as straightforward and non-burdensome as possible. The following important principles should be kept in mind in preparing a project budget:

- Include only costs which directly relate to efficiently carrying out the activities and producing the objectives which are set forth in the proposal. Other associated costs should be funded from other sources.
• The budget should be realistic. Find out what planned activities will actually cost, and do not assume that you will be able to make do for less.

• The budget should include all costs associated with managing and administering the project. In particular, include the cost of monitoring and evaluation.

• "Indirect costs" or administrative overhead costs such as staff salaries and office rent are not funded by the GEF SGP. These therefore should not be part of the funding request.

• GEF SGP funds should be spent according to the agreed budget.

• All relevant, financial records should be made available. These may be independently audited, and may become public information.

• The budget line items are general categories intended to assist in thinking through where money will be spent. If a planned expenditure does not appear to fit in any of the standard line item categories, list the item under other costs, and state what the money is to be used for.

• The figures contained in the Budget Information Sheet should agree with those on the Proposal Cover Sheet and in the text of the proposal.

• GEF SGP grant requests should not exceed fifty thousand United States Dollars (US$50,000) per project.

**Section C**

2.1 Project Funding Summary

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Funding Plan, [local currency]</th>
<th>Total (local)</th>
<th>Total US$</th>
</tr>
</thead>
</table>


<table>
<thead>
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<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>currency</th>
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</thead>
<tbody>
<tr>
<td>a. GEF SGP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Community</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Proposing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organization</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Other co-financiers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Project Cost</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. Community Contribution

All cost-sharing contributions (cash and in-kind) should be itemized as below. This should include sources and nature of the contribution (e.g. Youth Organization contributing labour, land, cash, etc). Please indicate whether the contribution is already committed or just a projection.

<table>
<thead>
<tr>
<th>Sources of Community Contribution</th>
<th>Type</th>
<th>Committed or Projected?*</th>
<th>Value, in local currency</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Write ‘C’ for committed and ‘P’ for projected funds

b. Proposing Organization Contribution

The GEF SGP believes in cost sharing. It is therefore important that proposing organizations make some contribution towards the cost of the project. Contributions can be outlined as follows:

<table>
<thead>
<tr>
<th>Sources of Contribution</th>
<th>Type</th>
<th>Committed or Projected?*</th>
<th>Value, local currency</th>
</tr>
</thead>
</table>
1. |  |  |  |
2. |  |  |  |

**Total**

*Write ‘C’ for committed and ‘P’ for projected funds*

c. Other Contributions

<table>
<thead>
<tr>
<th>Sources of Contribution</th>
<th>Type</th>
<th>Committed or Projected?*</th>
<th>Value, local currency</th>
</tr>
</thead>
</table>
1. |  |  |  |
2. |  |  |  |

**Total**

*Write ‘C’ for committed and ‘P’ for projected funds*

2.2 *Projected Expenditures*

<table>
<thead>
<tr>
<th>Expenditure Category</th>
<th>Year 1, [local currency]</th>
<th>Year 2, [local currency]</th>
<th>Total, [local currency]</th>
<th>US$</th>
<th>% Total</th>
</tr>
</thead>
</table>
1. Personnel / Labour   |  |  |  |  |  |
2. Equipment / Materials |  |  |  |  |  |
3. Training / Seminars / Travel Workshops |  |  |  |  |  |
### 4. Contracts

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**5. Other costs**

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### 6. Incidentals

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### 7. Other support requested

<p>| | | | |</p>
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**7. Contingency (5%)**

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</thead>
</table>

**Total Project Cost**

**Specify here (category and cost):**

__________________________________________

__________________________________________

**Exchange Rate ([local currency/US $]):**

__________________________________________

**Notes and Remarks:**

__________________________________________________________________

______________

2.4 **Bank Details**

Provide information on any of the Organization’s bank account. Upon being successful, a separate bank account would have to be opened for handling of grant funds - No combining of funds is allowed in the GEF SGP.

**Account Name** :

_______________________________________________

**Title (current, savings, etc):**

_______________________________________________

---

2 Outline other forms of support requested from SGP which is not included in the budget. This support may be for both technical and administrative matters (and not for additional funding). This may cover areas which you need to specify such as: Consultants; Procurement; and Other, (specify)
6.0 MAKING A GRANT APPLICATION

National and local NGOs and CBOs may propose projects for grant support under the GEF Small Grants Programme. Procedures for project proposal screening and approval are generally as follows:

1. The project proponent contacts the SGP National Coordinator to receive project application guidelines.

2. The project proponent prepares a project concept paper and submits it to GEF SGP National Coordinator (NC). NC reviews concept paper and recommends it to National Steering Committee (NSC) for further review and approval.

3. Approved concept paper is developed into a full proposal by project proponent, who later submits it to the GEF SGP National Coordinator.

4. Completed and appraised project proposal is submitted by the NC to the NSC for further review and approval.

5. The NSC reviews the proposal and agrees to accept, reject or return it to the proponent with a request that further work be done to refine the project proposal.

An approved proposal enters the national GEF SGP work programme for that particular year.
Grants are usually paid in three or four installments.

**For proposal submission and more information, contact:**

*National Coordinator, GEF Small Grants Programme,*

[Full Address and Email of the GEF SGP country requesting to programme for a particular year]

**Completed proposals (in both soft and hard copies) should be received by the SGP National Coordinator no later than** [indicate deadline date]

**Annex 1: PROPOSAL REVIEW PROCESS**

The review of project proposals is the responsibility of the National Steering Committee (NSC) with assistance from the GEF SGP National Coordinator (NC). Upon receiving project proposals, the NC acknowledges receipt of the same to the proposing organization(s) and prepares a list of project proposals for consideration of the NSC. This preparation may include discussions with the proposing Organization in refining the proposal if necessary. NC then presents the project proposal to the NSC. The NC may also present, for consideration by the NSC additional information about the proposed project, including the results of consultations or site visits. The NSC is structured to provide a full and substantive (independent) discussion, including the sharing of all relevant concerns and points of view.

The NSC shall make its decisions based on a consensus-building process, rather than by formal voting. Final deliberations regarding a project shall take place in the absence of the project proposing organization. In a related development, NSC members with special interest in a particular proposal will be asked to declare their interest and excuse (disqualify) themselves from the decision making process about the said proposal.

The decision of the NSC may be to recommend that the project:

- Be awarded a grant for immediate funding and implementation;
- Be rejected and cannot receive GEF SGP support;
- Be further developed for reconsideration at a later date.

In all cases, the rationale for the decision shall be documented and communicated to the project proposing organization by the NC on behalf of the NSC. Please see a copy of a typical review sheet annexed to this proposal (annex 1).

**Annex 2: GRANT CATEGORIES**

The GEF SGP provides support for community based projects in line with its Global Strategic Framework and Country Programme Strategy in four broad categories:

### 4.1 Demonstration Projects

Demonstration projects test and demonstrate community-level approaches and technologies in one of the five GEF SGP focal areas (Biodiversity, Land Degradation and Sustainable Forest Management, Climate Change, International waters and POPS). These projects should serve as laboratories and catalysts for the development and dissemination of new approaches and innovative solutions.

### 4.2 Capacity Development

Capacity development projects seek to increase the ability of NGOs and CBOs to address GEF related global environmental concerns. Such projects may or may not be associated with specific demonstration project, approach, or activity. They will often involve training, networking, and organizational strengthening, with the global goal of increasing the commitment and abilities of communities to address global environmental and sustainable livelihood issues in an effective and integrated manner. This will also include some projects relevant to information dissemination, monitoring and policy impact analysis and policy implementation dialogues.

The above categories cut across the GEF focal areas:

<table>
<thead>
<tr>
<th>FOCAL AREA →</th>
<th>Biodiversity</th>
<th>Climate Change</th>
<th>Land Degradation and</th>
<th>International Waters</th>
<th>POPs</th>
</tr>
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The above categories cut across the GEF focal areas:
Annex 3: GEF SGP OP 5 GUIDE TO PROJECT LEVEL INDICATORS

Biodiversity (BD)
- Hectares of indigenous and community conserved areas (ICCAs) influenced
- Hectares of protected areas influenced
- Hectares of significant ecosystems with improved conservation status
- Hectares of production landscapes/seascapes applying sustainable use practices
- Total value of biodiversity products/ecosystem services produced (US dollar equivalent)

Climate Change (CC)
- Tonnes of CO2 avoided by implementing low carbon technologies
  - Renewable energy measures (*please specify*)
  - Low carbon transport practices (*please specify*)
  - Energy efficiency measures (*please specify*)
  - Other (*please specify*)
- Number of community members demonstrating or deploying low-GHG technologies
- Total value of energy, technology and transport services provided (US dollar equivalent)
- Hectares of land under improved land use and climate proofing practices
- Tonnes of CO2 avoided through improved land use and climate proofing practices

Land degradation (LD) & Sustainable Forest Management (SFM)
• Hectares of land applying sustainable forest, agricultural and water management practices
• Hectares of degraded land restored and rehabilitated
• Number of communities demonstrating sustainable land and forest management practices

**International Waters (IW)**

• Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs
• Hectares of marine/coastal areas or fishing grounds managed sustainably
• Tonnes of land-based pollution avoided

**Persistent Organic Pollutants (POPs)**

• Tonnes of solid waste prevented from burning by alternative disposal
• Kilograms of obsolete pesticides disposed of appropriately
• Kilograms of harmful chemicals avoided from utilization or release

**Policy Influence, Capacity Development & Innovations (all focal areas)**

• Number of community-based environmental monitoring systems demonstrated

  *please specify (1 example per entry)*

• Number of consultative mechanisms established for Rio convention frameworks

  *please specify (1 example per entry)*

• Number of innovations or new technologies developed/applied

  *please specify (1 example per entry)*
- Number of local or regional policies influenced \( (level \ of \ influence \ 0 - 1 - 2 - 3 - 4) \)

  please specify (1 example per entry)

- Number of national policies influenced \( (level \ of \ influence \ 0 - 1 - 2 - 3 - 4) \)

  please specify (1 example per entry)

**Livelihoods & Sustainable Development (all projects)**

- Number of participating community members (gender disaggregated) *mandatory for all projects*
- Number of days of food shortage period reduced
- Number of increased student days participating in schools
- Number of households who get access to clean drinking water
- Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent)

**Empowerment (all projects)**

- Number of NGOs/CBOs formed or registered
- Number of indigenous peoples directly supported
- Number of women-led projects directly supported
- Number of quality standards/labels achieved or innovative financial mechanisms put in place

✈️ **PROJECT PROPOSAL WRITING**
PROPOSALS FOR FUNDING

How to get money out of donor organizations

1. Introduction:

A proposal is a request for financial assistance to implement a project. For a community project, it may be used to seek approval from the community members (the community itself being the most important donor). You may use these guidelines to seek project funding from any donor. We recommend that you aim for multiple sources of funding. If you have only one source of funding, you may become dependent upon that one source.

A proposal is not just a "shopping list" of things you want. A proposal must justify each item in the list of things you want, so that a donor agency can decide if it wants to provide some or all of those things. You must know (and be able to communicate) exactly what you want to do with these things, and that is why you should design a project to carry out what you want to achieve.

It is important to carefully formulate and design your project. It is equally important to write a proposal which will attract the necessary funding. Proposal writing is a skill which requires some knowledge and practice.

Your project proposal should be an honest "sales" document. It's job is to inform and to convince. It is not a place to preach, boast or to deceive. If you are convinced it is a good idea and should be supported, your project proposal should honestly report it to decision makers who weigh its merits against other donation commitments. It should clearly indicate how and when the project will end, or become self supporting. Proposals should be neat and tidy, preferably typewritten, and without any extraneous or unnecessary information.

How elaborate your proposal is should depend upon the amount of resources being requested and how big the total project is. Modify these guidelines to fit the project and proposed donor.

The project proposal must reflect the background work you have already done and should be logically set out. It is not enough to write a letter stating your request. You have to demonstrate the need and prove that the project is worthy of funding. Remember that there will be many other organizations and individuals competing for the funds.

Use clear concise and simple language which says exactly what is meant. If necessary use diagrams or charts to illustrate key points. Use appendices to avoid crowding the body of the proposal and the flow of the narrative. Tailor your
presentation to the agency approached. Express a willingness to be interviewed personally by the funding agency once they receive and read your proposal request.

And, especially . . .
Do not be discouraged if your proposal is not accepted. Find out why, and try another agency.

2. Plan Your Project (Practical Vision):

Perhaps you and your associates have many ideas of things you want to do; you see a need to reduce illiteracy, to reduce poverty, to provide safe drinking water, to improve the level of health, to provide training for disabled persons, and many other things. You must, however, choose a project that is very specific, limit your goal to a single desired solution to the highest priority problem.

Involve the whole community. In choosing your project, call a meeting and do not neglect to include the people who have been often neglected in the past, women, disabled, the very poor, those who have no voice in the way things are decided in the community. Make sure that the people who are supposed to benefitting your project feel that this is their project, for their benefit, and that they may contribute to it because it is theirs.

It is not enough, however, to choose your goal. Good planning is needed, identifying your available or potential resources, generating several strategies and choosing the most viable one, deciding how you are going to monitor (watch) the project to ensure that it stays on track (ie it continues to be consistent with your original desires) , ensuring that the accounting is both transparent and accurate, and deciding what is to be done when (a schedule) . A bit of research about the location, the population characteristics, the situation, the existing facilities, is needed in order to objectively describe the background to the project. Involving the community and the beneficiaries in this research is the best way to ensure that it is valid.

With the community or target group, use Brainstorming Principles and Procedures to outline a Plan or Project Design. Without allowing criticism, ask group members to contribute to each step of a brainstorming group process: what is the priority problem (list all, even the foolish statements; then rank them in order of priority) , facilitate the group to understand, therefore, that the goal is the solution to that identified problem. Help them to generate objectives (finite, verifiable, specific) from that general goal. Identify resources and constraints, then generate several alternative solutions, choosing the most viable. Other documents are available to explain the brainstorming process in more detail but this was a brief sketch.
With your background work behind you, you will want to start drafting your proposal. We highly recommend that you obtain resources (funds) from several sources. Do not let your organization or group become dependent upon a single donor.

Before you begin to write your proposal, keep in mind the following points:

- It is necessary to find out in advance what sources of funding are available, through governments, United Nations agencies, some international NGOs or private foundations.
- Most donors look for the degree of local initiative in the project proposal, the utilization of the available resources within the country itself and the plans for the project to be self-supporting once the initial funding has been spent.
- Your project should be practical, not too costly, and have the potential for being repeated in other situations.
- Increasingly, funding agencies are looking for integrated approaches to development projects. This means that you will want to see to what extent your project supports and supplements existing activities, and is designed to overcome identified problems.
- Almost all UN and government agencies, foundations and private voluntary agencies have their own proposal format, that they will want you to follow. If you are not in contact with a local or regional representative, write a letter requesting information as to proper procedures, application format and funding requirements. While format varies, the same information is asked for by all agencies and foundations.
- Find out the budgeting cycle of the agency, whether annual, quarterly or ongoing. Check to see if there is a closing date for application.

3. Project Structure (Outline of Your Proposal):

These (structure) guidelines are not intended to tell you what to write, but rather how to write the proposal. If you are responsible for writing the proposal, then it is because you are the "expert" (in the best sense of the word). If you are responsible, then you know what you want to achieve and the best way to achieve it. In any event, don't panic at the prospect and don't be put off by the technical jargon that unfortunately is frequently used.

Do not try to write the proposal by yourself. Ask for help from your friends and colleagues, programmer, manager, staff and those who can assist in either concepts or in style. Think of preparing a proposal as a written form of "dialogue" in which each successive draft is a continuation of the process.
The chapters of your proposal do not necessarily have to be written in the order presented here, but what is written in each chapter must relate in specific ways to what is written in the other chapters. Make sure that you put the right content in the right chapter. Make sure that each topic relates to the others and to the proposal as a whole.

4. Title Page (Cover):

This is a single page; the front cover of the proposal. It should include:

- Date;
- Project title;
- Locations of the project;
- Name of the organization; and
- Any other necessary single line information.

The abstract or executive summary follows the title page, but the proposers should not think about that now, read on about the other sections of the proposal first.

5. Background (Causes of the Problem):

This section is expected to answer why your project is needed. Here you will want to give a description of the situation and focus on factors which prompted the formulation of your proposed project. Tell how the need for this project was identified and who was involved in developing the project. Explain your project's origin or context.

It is most advisable to involve the whole community in identifying priority problems; that is called "participatory research."

The first thing the background does is to identify the problem. That means it must name the problem and locate the problem. It indicates the target group (beneficiaries), the sector, the magnitude, and other actors who are working to solve that problem. It also indicates the extent to which the problem has been solved by the other actors, and what has been so far accomplished by your group.

While examining the problem(s) to be addressed, several questions should arise here. What is the condition of the target group to justify the donor donating money and perhaps seconded staff? A history of the community, your group, or the project is not essential, but a brief outline can be useful. More importantly, what conditions, or what changes in conditions, are envisaged that would lead to any donor agreeing to fund your project?

You may wish to include:
• Project area (Issues and problems, not descriptions);
• Reasons for making this proposal;
• Circumstances leading up to the project; and
• Broader plans or strategies of which it is a part.

If yours is a project that is not starting fresh, the background will also indicate any changes in your project since it began.

Remember that the background chapter describes the factors leading to the problem that your project intends to solve. Everything in this section should be justification to approve the project and the requested funding assistance. Long histories and analyses would be detrimental here.

6. Goals & Objectives (Solution = Output):

The goal of your project should be to solve the problem or problems described in the background. Goals and objectives must relate to the previous chapter, by stating what is the solution to those above problems. You need a set of (general) goals, and sets of (specific) objectives.

Start with "goals" which are general, long term, broad desires. From those goals generate specific "objectives" which are verifiable, measurable, finite, and have specific dates of achievement. For example: "To reduce illiteracy," is a goal; while "To teach basic literacy skills to 20 clients by March 2," is an objective.

You will want to be as specific as possible in stating the objectives of your project. They should be written in terms of the end results you expect in the project, not how you will achieve these results. Those results must be verifiable (ie. you can clearly show that they have been achieved, and they can be confirmed by outside observers).

When selecting the goals and objectives for the project, remember the nature of the donor you ask: what kinds of solutions are sought? The donor does not want to contribute to dependency, so is not interested in funding charitable services which may take the pressure of obligation off those authorities who should look after the rights of the local people. Most donors are not simply a source of funds for carrying out routine "operations." They are interested in supporting activities which highlight the needs of the most vulnerable and distressed, and promote self reliance, ethnic harmony and development.

7. Beneficiaries (Target Group):

In this chapter you describe the beneficiaries or target groups in some detail. You may also add indirect or secondary beneficiaries (eg people trained to help the
primary beneficiaries). This can be an expansion of the topic mentioned in your background section; indicate their number, characteristics, reasons for vulnerability, locations, and so on.

Most donor agencies will be more predisposed towards your project if you can demonstrate that the beneficiaries have participated in the choice and design of the project. (An appendix can list meetings of beneficiaries, listing details such as dates, locations, times, topics discussed, speakers, and lists of beneficiary group members who attended. Refer to the appendix in this chapter; do not include it here; put it at the end of your proposal).

8. Targets and Activities (Inputs):

This chapter identifies the inputs in your project, ie what resources (cash, personnel and actions) will be put into your project.

First, start with examining possible strategies to reach the objectives mentioned above. In each case you have to link with the previous chapter. The best project proposal lists two, three or four different strategies and discards or rejects all but one of these, and says why. Then it goes on to say, "Given the objectives and strategies, what activities must be implemented or started to use that strategy and reach the objectives?"

Target means, "How much, to whom, where and by whom?" – In other words, "Who does what?" For example, what kind of training will you provide, for how long, and how many people will be involved? What specific skills will be taught and what kind of follow up activities are planned?

Indicate what kinds of jobs are being done in the project. Refer to your appendix for key job descriptions. Always refer those activities to how they will achieve the objectives mentioned above. Even the activities of the support staff must be justified in that they must be employed so as to allow the operational staff to reach their targets.

9. The Schedule (Each Action When):

In this section you describe in sequence the activities you plan in order to achieve your objectives.

If you can be so specific as to give dates, even if approximate, all the better. You may wish to use a diagram or bar chart to mark out the calendar events.

Include in the work plan the phasing of the project; how one stage of the project leads to the next.
How long will support be needed?  
(When will the project end, or when will the project be locally self supporting? )

10. The Organization (Profile):

This section describes the (perhaps changing) organization and management structure needed to carry out the activities described above. The "O" in "CBO." Diagrams are very useful in this.

Describe briefly your organization's goals and activities. Be specific about its experience in working with problems of a similar nature, what its capabilities and resources are in undertaking a project of this nature.

The abilities and experience of your organization's members, your human resources, may well be your greatest asset. Indicate the kind of assistance your organization expects to receive from possible collaborating agencies. Attach additional organizational information, such as an annual report, if available.

Explain:

- How will it be done?
- Who is responsible for the project?
- Who will implement (who will do it)? and
- Who will direct the implementation of the project?

Who runs the project? Who is in charge of the overall organization? Who is responsible for its overall implementation (in contrast with responsibility for its design and its monitoring, and in contrast with the separate actors, separate agencies, and separate locations) ? Will that change? These can be spelled out in the proposal. See Organizing by Training for participatory methods of developing the organization.

Do not overlook the activities (labour) of volunteers who contribute to the project. Although they might not be paid staff, they are resources, and contribute resources to the project.

11. Costs & Benefits (Analysis):

In a proposal, the chapter called costs and benefits is not the same thing as a line by line budget with numbers indicating amounts of money. (The line by line budget should be put as an appendix at the end of the document, not in the text).

Here in the text of your project proposal, the chapter on costs and benefits should be analytical and narrative, and relate to the previous chapters. It should discuss
those budget lines that may need explanation (eg purchases, expenses or needs which are not immediately apparent or self explanatory).

You should try to make a cost benefit analysis, ie relate the quantity of the objectives reached, to the total costs, and calculate a per unit cost (eg the total cost divided by the number of children taught literacy will be the per unit cost of teaching literacy).

Summaries or totals of the following information may help some donors to decide:

- local costs;
- external costs;
- methods of financing;
- local versus foreign exchange needed;
- all non-financial contributions by the local community (each costed with a money equivalent);
- methods to obtain supplies (where and how purchased); and
- proportion of total costs requested in this proposal.

As well as the costs (including the amounts asked for in the proposal), you should make some comparison between the costs (inputs) and the value of benefits (outputs). The following could be answered:

- Who benefits?
- How do they benefit?
- Justifications for the project?
- What are the specific outputs of the project?
- What is the average total cost per beneficiary?
- Will value of benefits exceed costs of inputs (or vice versa)? By how much?

When the objectives are qualitatively different from each other (eg number of new parent committees formed and the number of children taught literacy), then some arbitrary but reasonable division of "per unit" cost must be calculated.

The budget totals should be indicated in this section, then refer to appendix for the detailed budget. Other sources (donors and the amounts) must be mentioned. The total amount requested should appear here in narrative text.

12. Monitoring (Observing):

Monitoring should be done by:

- the affected community, represented by the local committee;
• Your agency or organization (specify who in it); and
• Your donors.

How will achievements be measured?
How will they be verified?

Monitoring and follow-up should be built into the project activities. Part should be continuous self evaluation by you (the implementing agency).

The monitoring and receiving of reports from the project to the donor must be worked out and put into your project proposal. The monthly reports should be designed and reviewed as to usefulness to the donor for its ongoing planning and programming for the whole country.

One thing is for sure; there should be emphasis in reporting the results, or outputs, ie the effects of the project on the target group or beneficiaries. There is no harm in also reporting activities if the reports are brief. The reporting of achieved results, as compared to planned objectives as defined in your project proposal, is essential.

See Monitoring

13. Reporting (Communicating the Observations):

In any agency-funded project, accounting and accountability are very important. This applies to most donor agencies, UN, governmental or NGO.

In your proposal, your reporting procedures should describe: "how often, to whom, including what?" You may want to discuss this with the prospective funding agency since reporting and evaluation requirements vary among agencies, and are dependent upon type of project.

Evaluating your own project while it is under way will help you and your donors see your progress and accomplishments and the choices available for future action. Careful reporting of your project in progress is an invaluable resource for others who attempt projects of a similar nature.

Your proposal should indicate what reports will be submitted. These include regular ongoing reports, and a final report. Short, frequent reports (eg weekly sitreps) may include only events and activities. Longer reports should indicate the results of the project activities (not just activities), an evaluation or assessment of how far the objectives were reached, reasons why they were not, and the impact or effect on the beneficiaries (target group).
Reports should be prepared and submitted optimally every month. The proposal should indicate what reports are to be submitted and with what frequency and content. Each project (if your group is proposing more than one project) requires a separate report (two or three pages of text plus needed appendices).

A detailed monthly narrative report should include how far each of the intended objectives has been reached, what were the reasons they were not fully reached, and suggestions and reasons about changing the objectives if they were found to need changing. The narrative report can include information about events and inputs (what actions were undertaken, see below), but should emphasize outputs (the results of those actions in so much as they lead to achieving the stated objectives). Attention should be paid to the number and location of beneficiaries. The monthly report would best be organized into sections corresponding to the sections of your proposal.

A detailed monthly financial report should include what moneys were received and from where, what moneys were expended, listed line by line according to the budget categories in the proposal, reasons for over- or under-spending, and an assessment of how well the expenditures contributed to reaching the stated objectives of the project.

The final report should include the same topics as the monthly reports, plus a section called "Lessons Learned," and a section indicating the impact of the project on the target community and surrounding areas. The report should be concise (brief but complete).

The reports should be honestly self-critical and analytical. See the module on Report Writing.

The same principles and guidelines for narrative reports should apply to the financial reports. The monthly budget outcomes of the project are as important to programming as the statements are to the accounting. Explanations of deviations from planned expenditures should accompany the budget outcomes.

14. Appendices (Attachments):

The text of your proposal should be a single, brief yet complete argument from beginning to end — easy to read. Because many important details will make the text too convoluted and difficult to read, they should be put into appendixes at the end.

Typical of documents to put in appendixes are:

- lists;
• diagrams;
• detailed budget;
• job descriptions; and
• any other necessary detailed documents.

When you have written your first draft of the project proposal, go through it and look for any descriptions of details in your text that may draw the reader away from the smooth flow of the argument. Move them to an appendix, and in their place put a brief note about them and ask the reader to look in the appendix for the details.

Now read the document again. With those details tucked away in an appendix, does the flow of argument become smoother, yet not weakened by their absence in the text? Yes? Good! You've just found another way to make use of the appendices.

Appendices can include any other material that will allow officers of donor agencies to decide whether or not to approve funds. The purpose of the appendices is to be able to include all the necessary and important details (which the meticulous reader will examine), but not in the text of your document where you want a smooth flowing, brief argument. It tucks those details away for use when wanted.

15. Detailed Budget:

The line-by-line budget should be put in an appendix. Each line on your detailed budget should have the total costs for one budget category. The lines should be grouped into similar kinds of costs (eg salaries, vehicles, communications, fuels, transport).

If you can, distinguish between non expendable items (ie equipment that can be used again later) and expendable (ie supplies that get used up).

The budget should be a realistic estimate of all costs involved in implementing and operating the project. If possible demonstrate the potential for eventual self support, or support from other resources other than the one to which you are applying. Costs estimates should be broken down in to logical categories (line items) such as: salaries; supplies and materials; equipment; travel and per diem; rent; telephone.

Voluntary contributions made to the project by you and members of your organization should be listed and estimated as closely as possible in cash terms, or shown as "no charge." Specify physical facilities that are available or, are to be made available for the project. Specify your organization's existing equipment and
supplies that will be used for this project. Include any other inputs to be used for this project from government or from other organizations.

Often, funding agencies prefer to match grants, or assist with part of the total budget rather than give the entire sum. Therefore it is suggested that you show the total budget when applying, and indicate when you expect or hope to get other funding assistance.

16. Abstract (Executive Summary):

Write this part last. This is the section on which a potential donor will read and make that vital preliminary decision: whether or not to seriously consider assisting.

This should not be written, or even contemplated, until all above sections are written. Avoid writing it as an introduction. Think of it as a concise summary and conclusion.

The optimum size is half a page; the absolute maximum size is one page. Any longer and it is in danger of not being read or considered. It should summarize only the key recommendations and be written for busy board members or executives who may read up to fifty of them and may not initially read anything more than the executive summary for each proposed project.

Ironically, while you write the abstract last, you then put it directly after the front or title page of your proposal.

and when you finish writing it: . . .

Now that you have written your draft proposal, hand it around for comments and suggestions. View the proposal critically and be prepared to do some rewriting and rethinking if necessary.

17. Some Final Guidelines Comments:

The most likely projects to be funded will be rapid, sustainable, small scale, low budget interventions for the most pressing needs identified by the communities.

Often proposals will be evaluated as to how they will contribute to wider, integrated sustainable development of the geographical area.

Active participation of women in identification, implementation and monitoring of a proposed project should be encouraged. The proposal should clearly describe the number of women involved in project design and implementation, and as beneficiaries.
Any projects that are part of larger or longer term plans must indicate other (preferably secured) funding sources to ensure continuity and sustainability.

Projects which are developmental, promote self reliance, and are ultimately locally sustainable have a higher chance of being funded. Your estimate of when the project could be self sustaining should be indicated in your proposal.

The success of projects requires the co-operation of all segments of the target community. There must be a sense of community "ownership" of the projects (including both local residents and displaced persons affected). That means there should be some initial activity of "community development mobilization," "social animation" or similar community facilitation to ensure all members of the affected community participate in decisions concerning the proposed project. Active participation of the community as a whole (all members) in identification, assessment and implementation of the project is usually a prerequisite for approval.

A good project should be replicable. That means it should be possible to implement the same project in other communities.

Accounting and accountability are very important.

Many of the resources of those beneficiaries can be hidden by the concern we may have for their plight, but this can be deceptive. The hidden resources of your target group usually include skills and wisdom, and surprisingly many material resources, both capital and supplies. Your objective as a mobilizer and trainer should be to stimulate a process of uncovering hidden resources among the beneficiaries and encourage a social process of reducing dependencies and increasing self reliance.

Annex 4 : Project Proposal Review Sheet

The following issues represent major points of inquiry for the NSC in considering each project proposal (provided as a guide to the talking points for the discussion, NSC may include other points not presented here).

<table>
<thead>
<tr>
<th>Evaluation Area</th>
<th>Score:</th>
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<tbody>
<tr>
<td></td>
<td>3=Highly, 2=Moderately, 1=Partially and</td>
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General Remarks
<table>
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<tr>
<th>Question</th>
<th>Points</th>
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<tbody>
<tr>
<td>a. Applicant</td>
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<tr>
<td>1. Does the organization meet the basic eligibility requirement for GEF SGP OP5 support?</td>
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</tr>
<tr>
<td>2. Has the organization demonstrated adequate capacity and experience to successfully implement the project?</td>
<td></td>
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<tr>
<td>b. Project Objectives</td>
<td></td>
</tr>
<tr>
<td>3. Does the proposed project meet the basic eligibility criteria as set forth in the GEF SGP OP 5 Country Programme Strategy (CPS)?</td>
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</tr>
<tr>
<td>4. Does the proposed project address one of the priority concerns identified in either the GEF SGP Global Strategy or the CPS?</td>
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<tr>
<td>5. Does the proposed project have a particular focus on the empowerment of women, Indigenous peoples and or vulnerable grass-roots communities?</td>
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<tr>
<td>6. Are the objectives of the project clear and compelling? Do they represent a well-conceived integration of GEF-related environmental protection and sustainable livelihoods strategies?</td>
<td></td>
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<tr>
<td>7. Are the project's expected results appropriate and relevant to the stated objectives? If accomplished, do they represent a substantial beneficial impact in addressing environmental and sustainable</td>
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livelihood challenges? (Are they sufficiently ambitious but doable? Are they unrealistically ambitious?)

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<thead>
<tr>
<th>c. Project Plan and Approach</th>
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<tr>
<td>8. Does the project present a sound strategy or approach to achieving the stated objectives and expected results? Are proposed activities properly sequenced?</td>
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<tr>
<td>9. Does the project plan incorporate realistic approaches and activities which will ensure the sustainability of the project's impacts, activities, or both?</td>
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<tr>
<td>10. Are the time estimates for project implementation sound and realistic?</td>
</tr>
<tr>
<td>11. Are the assumptions underlying the project's design accurate and complete? Have all substantial risk factors, based on internal and external conditions, been taken into account?</td>
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<tr>
<th>d. Participation</th>
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<tr>
<td>12. Has the organization involved and consulted all appropriate stakeholders, including particular members of affected communities, in the design and development of the project?</td>
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<tr>
<td>13. Have representative groupings in stakeholder communities endorsed or</td>
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</tbody>
</table>
expressed support for the project?

14. Does the project design incorporate effective and appropriate means of assuring the participation and support of community members and other stakeholders throughout the period of project implementation?

15. Has the organization made appropriate plans to include affected communities in the monitoring, assessment, and evaluation of the project, both during and after implementation?

<table>
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<tr>
<th>e. Other Considerations</th>
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<tr>
<td>(………………..Points)</td>
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16. Would the proposed project complement, reinforce, or balance other projects in the GEF SGP portfolio?

17. Is the geographic location of the proposed strategy supportive of the overall GEF SGP Country Strategy, either by concentrating inputs for maximum impact and synergy, or by providing GEF SGP outreach to new or under-represented areas?

18. Would the proposed project generate constructive linkages with larger GEF projects in the country or region?

19. Would the proposed project generate new and innovative models which could be replicated locally, nationally or internationally?

20. Would the proposed project help develop the capacity of communities and organizations (including the proposer) to address environmental and sustainable livelihood concerns in an effective and integrated manner? And how will this
capacity developed be retained?

21. Are there exceptional circumstances which would make it important to fund this project in spite of other contrary reasons?

22. Does the project bring significant co-financing from other partners? What is the ratio of GEF support to co-financing?

23. Does the project demonstrate strategic partnerships?

Total points Scored

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**Note**

**Fundraising and resource mobilisation**

AVI works with many non-government and community based organisations who operate with modest resources. Our fundraising and resource mobilisation volunteers work in partnership with local colleagues to help find long-term solutions to poverty. Regardless of employment sectors or professional streams, our overseas partners (host employers) request a high level of competency in this area.

Fundraising in an international development context differs significantly from the Australian standards of raising funds and resources. There are a range of challenges in dealing with donors from around the world, which is why many of our successful fundraising volunteers think outside the box and adopt creative strategies to assist their local counterparts.

**What is the purpose of fundraising?**

Volunteers working as fundraisers or with fundraising elements in their role maximize resource mobilization capabilities of their respective host employer. By developing the capacity of their host employer, the skill of attracting and meeting the needs of national and international funders is shared. A large portion of fundraising volunteers support the work of NGOs who work in some or all of these areas.
areas; health, HIV & AIDS, disability, participation and governance, education and secure livelihoods.

**What do fundraisers do?**
Volunteers develop financial resources and equip local staff to manage and build donor relationships. Assignment duties vary depending on the regions focus, the host employer’s needs and available resources. Some of the most common areas of support our overseas partners request include;

**Donor Mapping**- Identifying key national donors or international bodies that have the potential to support the host employer vision and goals.

**Fundraising strategy development**- Planning an appropriate fundraising strategy which meets the host employers or community needs with achievable timelines.

**Proposal writing**- Guiding local staff in the development of effective proposal submissions which communicate to potential supporters and donors.

**Resource Mobilisation**- Coordinating strategies to raise funds in the context of the environment while also gaining local community support from key decision makers and stakeholders.

**Planning Marketing and Public Relations**- Develop promotional materials and coordinate specific fundraising activities and manage fundraising events.

**Grants management and administration**- Develop good communications and manage relations with donors, partners and other stakeholders. Current roles available

**Note**
Read and write notes on **importance** of Project proposal and **challenges** of using proposal in fundraising and Resource mobilization.
Nishkam Sant Puran Singh Institute