

## COURSE DESCRIPTION

### *I. Course Purpose and Description*

Resilient organizations engage in a continuous process of self-review and refocusing. Referred to as "strategic planning," this process requires the active participation of a broad range of agency "stakeholders" who, in their work together, seek to realign the organization's goals, structures, programs and funding patterns so as to make them more responsive to the changing needs of their service populations and other constituencies. Building on the content of the program's other foundation courses, "Envisioning and Realizing Possibilities" has been designed to strengthen the student's leadership capacity for engaging in strategic planning and resource development practice across a broad range of not-for-profit organizations. The importance of organizational flexibility, innovation and the creation of public-private partnerships is emphasized throughout the course.

### *II. Course Educational Objectives*

The course draws heavily on both the liberal arts perspective and the student's capacity for critical thinking. The course also requires the student to demonstrate considerable skill in integrating principles of research and policy analysis with the goal of improving the functioning of not-for-profit organizations. Thus, on completion of this course students are expected to:

1. demonstrate a fuller understanding of strategic planning and resource development *as leadership functions* in the development non-governmental (NGOs/PVOs) organizations;
2. demonstrate beginning skill in the uses of strategic planning and resource development for *increasing organizational effectiveness and efficiency*;
3. demonstrate an increased commitment to *the engagement of people* at all levels of organizational life—including diverse client groups and other consumers of services—in helping to shape organizational goals and processes and resource development efforts;
4. demonstrate a commitment to the use of strategic planning and resource development skills for promoting increased social and economic justice with and on behalf of historically disadvantaged and other underserved population groups; and
5. demonstrate *at least beginning skill* in providing leadership to a limited agency- or other organization-based strategic planning and resource development process.

**III. Course Requirements**

A. Texts

**Required Texts:**

Bryson, John M. 2004. Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement. 3rd Edition. (San Francisco: Jossey-Bass Publishers). ISBN: 0-7879-6755-6.

Bryson, John M. & Farnum K. Alston. 2005. Creating and Implementing Your Strategic Plan: A Workbook for Public and Nonprofit Organizations. 2<sup>nd</sup> Edition. (San Francisco: Jossey-Bass Publishers). ISBN: 0-7879-6754-8.

Seltzer, Michael. 2001. Securing Your Organization's Future: A Complete Guide to Fundraising Strategies. 2<sup>nd</sup> Edition. (New York: The Foundation Center). (paper, c. \$19)

**Supplemental Course Bibliographies:**

Please download copies of two supplemental bibliographies on: a) *Strategic Planning*; and b) *Resource Development* “Selected Course in Social and Economic Development” subdirectory of my home page, Praxis:

<http://caster.ssw.upenn.edu/~restes/praxis/courses.html>

B. Course Assignments and Expectations:<sup>1</sup>

Students are expected to prepare for this class by: 1) completing at least the assigned readings; 2) attending and participating actively in all classes; 3) undertaking independent research on their chosen topic of specialized study; 4) submitting all written assignments on a timely basis; and 5) preparing adequately for at least one oral presentation.

C. Grading Policy:

Class Participation	20%
Strategic Planning Exercises	40%
Resource Development Exercises	40%

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<sup>1</sup> Students must read at least the required reading indicated by an asterisk (\*). Secondary readings are indicated by a pound sign (#) and, in most cases, have been placed on reserve in the Rosengarten Reading Room of the Van Pelt Library which offers single copies of individual articles at no or minimal cost to students of Penn. All other readings may be located through use of the Franklin classification system and, in most cases, are grouped with related books or journals in the library’s “stacks”.

D. Class Participation:

Students are expected to participate in all aspects of class including: class discussions, questions and issues raised by reading assignments, and preparation for individual presentations

E. Attendance:

The class meets one time per week for a time period of 2.5 hours. Students are expected to attend and actively participate in all class sessions. Excused absences require the approval of the instructor. Repeated lateness to class and unexcused absences from class may result in failure of the course.

F. Other Policies:

All written work must be typed double-spaced with one inch margins (top, bottom and sides). Font sizes smaller than 11 CPI are not acceptable. With the exception of your two major plans, please do not submit papers in binders or folders of any type; simply staple the exercises/papers using a large enough staple in the upper left corner.

NOTE: Written work must be submitted at the beginning of the class on the date the assignment is due. Late submissions will not be accepted without prior permission of the instructor.

IV. ***Communications Information:***

Dr. Richard J. Estes, Professor, School of Social Policy & Practice, University of Pennsylvania  
3701 Locust Walk, Philadelphia, PA 19104-6214  
Tele: 215/898-5531; Fax: 215/573-2099; E-Mail: [restes@sp2.upenn.edu](mailto:restes@sp2.upenn.edu)  
Homepage: <http://www.sp2.upenn.edu/~restes/praxis.html>

*Course Syllabus*

**PART I**

**The Nonprofit Sector in Comparative Perspective**

- Week 1 The Purpose, Mission and Size of Nonprofit Organizations Worldwide
- Week 2 Nonprofit Organizations in the Context of Civil Society: The Public-Public Mix
- Week 3 The Nature of Leadership and Social Entrepreneurship in the Nonprofit Sector

**PART II**

**STRATEGIC PLANNING**

- Week 4 Advancing NGOs and Civil Society through Strategic Planning (Phase 1)
- Week 5 Identifying Organizational Values, Mission, and Vision (Phase 2)
- Week 6 Assessing the External & Internal Environment [SWOT] (Phase 3)
- Week 7 Identifying Strategic Issues and Modifying Organizational Goals and Objectives (Phase 4)
- Week 8 Formulating Strategies to Manage the Strategic Issues (Phases 5a & 5b)
- Week 9 Writing the Strategic Plan [Written Strategic Plan Due]
- Week 10 Implementing the Strategic Plan...and Keeping it Moving (Phases 6 & 7)

**PART III**

**RESOURCE DEVELOPMENT IN NONPROFIT ORGANIZATIONS**

- Week 11 Resource Development: Generating Resources to Implement the Strategic Plan
- Week 12 Raising Money Individuals
- Week 13 Raising Money from Corporations and General Purpose Foundations

**PART IV**

**REVIEW & INTEGRATION**

- Week 14 Raising Money From Special Events and Other Mission-Supporting Initiatives of Nonprofit Organization [Resource Development Plan Due]

NOTE: Professor Estes has regular office hours posted on his office door (Room C-19) in the Castor Building. Please sign up for the time you need. When necessary, additional office hours can be arranged.

*Detailed Course Syllabus*

**PART I**

**The Nonprofit Sector in Comparative Perspective**

Week 1. The Purpose, Mission and Size of Nonprofit Organizations Worldwide

Major Concepts to be Covered This Week:

- The “nonprofit sector” defined
- The size, nature, role and function of nonprofit organizations in comparative perspective
- The role of national taxation agencies in defining, shaping, monitoring and regulating the activities of non-profit organization
- Nonprofit organizations vs. “private voluntary organizations” vs. “civil society” organizations

Readings:

(Select at least three of the following books or articles to read that are of special interest to you. Many deal with philanthropy—the focus of the second half of our course—but also with the nature and structure of philanthropic organizations as NGOs). References preceded by an asterisk (\*), including recommended WWW/URL sites, are “required” for the week indicated and, thus, students are expected to come to class prepared to discuss the content of these materials in relation to the weekly theme indicated.

Baron, Barnett F. (Editor). 1991. Philanthropy and the Dynamics of Change in East and Southeast Asia (New York: Columbia University East Asian Institute).

\* Chow, Nelson. 1987. Western and Chinese ideas of social welfare International Social Work 30:31-41.

\* Estes, Richard J.<sup>2</sup> 1998. "Trends in World Social Development, 1970-95: Development Prospects For a New Century" Journal of Developing Societies 14(1):11-39.

\* Estes, Richard J. 1998. "Emerging Chinese Foundations: The Contribution of Private Philanthropy to the New China," Regional Development Studies (of the United Nations Centre for Regional Development, Nagoya), 4 (Winter 1997/1998), pp. 165-180.

Estes, Richard J. 1993. "Toward Sustainable Development: From Theory to Praxis," Social Development Issues 15(3):1-29.

\* Fisher, Julie. 1998. Non-governments: NGOs and the Political Development of the Third World. (West Hartford CT: Kumarian Press).

Hsiao, Hsin-Huang Michael. 1996. The current state of Taiwan's private philanthropy, Occasional Papers

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<sup>2</sup> All references cited on these pages authored by Richard Estes are available for downloading from the “Selected Papers by Richard J Estes” subdirectory of the course home page, Praxis (<http://www.sp2.upenn.edu/~restes/praxis.html>).

Series (Of the Hong Kong-America Center) 4(Summer):17-19.

Ilchman, Warren et al. Philanthropy in the World's Traditions (Bloomington: Indiana University Press),

Jung, Ku-Hyun (Editor). 1994. Evolving Patterns of Asia Pacific Philanthropy (Seoul: Institute of East-West Studies).

Leung, Joe C.B. and Richard Nann. 1995. Authority and Benevolence: Social Welfare in China. (Hong Kong: Chinese University Press).

London, Nancy. 1991. Japanese Corporate Philanthropy (New York: Oxford University Press).

McCarthy, Kathleen, Virginia Hodgkinson, Russy Sumariwalla. 1992. The Nonprofit Sector in the Global Community (San Francisco: Jossey-Bass).

\* Yamamoto, Tadashi (Editor) Emerging Civil Society in the Asia-Pacific Community: Report of the Osaka International Symposium (Tokyo: Japan Center for International Exchange), pp. 143-160.

#### Selected URL Sites:

Familiarize yourself with the content of each of the following major sites on the WWW. While on each site, visit at least three NGOs listed contained on the site and become knowledgeable about the types of activities in which they engage and the sources of the revenues and other types of support they generate in support of their activities.

- Action Without Borders: <http://www.idealists.org/>. A coalition of 54,000 NGOs worldwide.
- Interaction: <http://www.interaction.org/>. A coalition of about 150, mostly American, NGOs.
- Indian NGO Center: <http://www.indianngos.com/>. A coalition of NGOs located on the Indian subcontinent.
- The World Bank NGO Center:  
<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0,,contentMDK:20064711~pagePK:64141683~piPK:64141620~theSitePK:502184,00.html>.  
Contains a wealth of information concerning patterns and practice of NGO/World Bank relations—including general policies that inform these relationships.
- The United Nations Nongovernment Organization Center:  
<http://www.un.org/dpi/ngosection/index.asp>. Contains a wealth of information concerning patterns and practice of NGO/United Nations relations—including general policies that inform these relationships.

Week 2. Nonprofit Organizations in the Context of Civil Society: The Public-Public Mix Within the North American Context

Major Concepts to be Covered This Week:

- Identifying the major micro and macro institutions that make up societies everywhere
- Identifying the three key actors/stakeholders in the shifting “development triangle”
- Placing NGOs in the shifting “development triangle”
- Illustrating application of the shifting public-private triangle via poverty alleviation efforts in the United States

Selected Readings NOTE: Read Evers & Wintersberger and at least one other of the following references of your choice.

Editors. 2005. Giving USA, 2005 (New York: American Association of Fund-Raising Counsel Trust for Philanthropy).

\* Evers, Adalbert and Helmut Wintersberger (Editors). 1988. Shifts in the Welfare Mix: Their Impact on Work, Social Services and Welfare Policies. (Vienna: European Centre for Social Welfare Training and Research). [Request an electronic copy of this article from the instructor].

Friedman, Lawrence J. & Mark D. McGarvie. 2002. Charity, Philanthropy, and Civility in American History (Cambridge: Cambridge University Press).

Ginzberg, L.D. 1990. Women and the Work of Benevolence: Morality, Politics and Class in the 19<sup>th</sup> Century United States ((New Haven: Yale University Press).

Hamer, John H. 2002. America, Philanthropy, and the Moral Order (Lewiston: Edwin Mellen Press).

Independent Sector. 2002. Faith & Philanthropy: The Connection Between Charitable Behavior and Giving to Religion (Washington: Independent Sector).

McCarthy, Kathleen D. 2003. American Creed: Philanthropy and the Rise of Civil Society (Chicago: University of Chicago Press).

Salamon, Lester M. 1999. America’s Nonprofit Sector: A Primer (New York: The Foundation Center).

Sirianni, Carmen and Lewis Friedland. 2001. Civic Innovation in America: Community Empowerment, Public Policy and the Movement For Civic Renewal. (Berkeley: University of California Press).

Smith, Bradford (Editor). 1999. Philanthropy in Communities of Color: Sharing and Helping in Eight Communities of Color (Bloomington: Indiana University Press).

Thompson, Ken. 2001. From Neighborhood to Nation: The Democratic Foundations of Civil Society (Hanover NH: University Press of New England).

Selected URL Sites to Visit:

- The Internal Revenue Service (IRS) Home Page on Nonprofit laws and regulations: <http://www.irs.gov/charities/charitable/index.html>. The site is very rich with information. Explore many links to get a good sense of the role of U.S. central government in both promoting and controlling the activities of NGOs.
- The Nonprofit Times: <http://www.nptimes.com/>. Self proclaimed as “the leading business publications for NGOs”. Even so, this monthly publication identifies the resource bases of the largest American charitable organizations and also gives information concerning salary ranges and the like for various NGO positions.
- The National Center For Charitable Statistics: <http://nccsdataweb.urban.org/FAQ/index.php?category=31>. This is the homepage of NGO and other charitable organization researchers. Examine the unique typology of NGOs developed by the NCCS, including the various subcategories of organizations associated with each type. Other useful data, including information concerning the number and assets of all registered NGOs, are included on this home page.
- Guidestar: <http://www.guidestar.org/>. The leading source of information, especially financial information, on some 1.4 million American NGOs. Pull up the Form 990s (tax returns) of at least two different types of organizations of interest to you. You should be surprised by the wealth of institutional and personal information available through the inspection of Form 990s. [Note: You will need to register, without cost, to gain access to this site].

Week 3. The Nature of Leadership and Social Entrepreneurship in the Nonprofit Sector

Major Concepts to be Covered This Week:

- Core elements of leadership in NGOs and for-profit organizations
- Elements of leadership in NGOs
- Differences between leadership of NGOs and for-profit organizations
- Examples of approaches, including styles of leadership, in various world regions
- Constraints on leaderships and efforts to undermine leadership by others
- When leadership fails: the special problems confronted by NGOs, e.g., the United Way of America, the American Red Cross, etc.

Selected Readings (Select at least 3 to read):

Adair, J. 2002, Effective Strategic Leadership (London, McMillan)

\*#Bornstein, David. 2004. How to Change the World: Social Entrepreneurs and the Power of New Ideas.

A wonderful collection of some 20+ chapters that illustrate the society-changing activities of young leaders in various world regions. With purchasing a copy from Amazon.com. Many chapters from the book may be downloaded from the author's home page: <http://www.howtochangetheworld.org/>.

Edwards, M. February 1999, "NGO Performance – What Breeds Success? New evidence from South Asia", World Development, Vol. 27.2

\* Fowler, A. 1997, Striking a Balance: A Guide to Enhancing the Effectiveness of NGOs in International Development (Earthscan, London).

\* Hailey, J. & James, R., 2004, "Trees Die From The Top: International Perspectives on NGO Leadership Development", Voluntas, Vol.15.4, pp.343–353.

\* INTRAC. 2006. Leadership development (for NGOs), <http://www.intrac.org/wiki/pmwiki.php/Main/LeadershipDevelopment>. Includes an analysis of the major elements of leadership for all organization with special attention to generating leadership for nongovernmental organizations.

\* Jacobs, Alex. 2004. Helping People is Difficult: A Contribution to Recognising the Constraints and releasing the Energies of NGO Staff. Available at: [www.mango.org.uk/about/professionalstandards.asp](http://www.mango.org.uk/about/professionalstandards.asp). Accessed June 12, 2006.

James, R., 2004, "The Crushing Impact of HIV/AIDS on Leadership in Africa", <http://www.intrac.org/wiki/pmwiki.php/HIV/AIDSAndCapacityBuilding>. Accessed June 11, 2005.

Kotter, J. 1996. Leading Change (Harvard Business School Press, Cambridge, Mass).

Lewis, D. 2001, Management of Non-Governmental Development Organizations: An Introduction (Routledge, London).

\*# Seltzer, Michael. 2001. Securing Your Organization's Future: A Complete Guide to Fundraising Strategies (New York: The Foundation Center). Read Section 1: Getting Started (Chapters 1-3 only). The section focuses on the role of the leader in defining vision and mission as well as undertaking steps necessary to make an organization legal (including establishing a board of directors, among others).

Smillie, I. & Hailey, J. 2001, Managing for Change: Leadership, Strategy and Management in Asian NGOs (Earthscan, London)

\* "Social Entrepreneurship," in Wikipedia: [http://en.wikipedia.org/wiki/Social\\_entrepreneurship](http://en.wikipedia.org/wiki/Social_entrepreneurship). Read the content of at least three of the dozens of links articles and other references contained on this page. All of the links can be downloaded for future reference as well.

#### Selected URL Sites to Visit:

- Ashoka Social Entrepreneurship Fellowship program.

[http://www.ashoka.org/fellows/social\\_entrepreneur.cfm](http://www.ashoka.org/fellows/social_entrepreneur.cfm). A well-established organizations that prepares young people worldwide for leadership positions in social entrepreneurship.

- Schwab Foundation: <http://www.schwabfound.org/>. Also provides funding to train and support social entrepreneurs
- Duke University, Center for Social Entrepreneurship: <http://www.schwabfound.org/>
- Harvard University, Center for Social Entrepreneurship (Annual conference materials): <http://www.socialenterpriseclub.com/conference/>
- Polish Efforts at social entrepreneurship: [http://www.ashoka.org/global/aw\\_ce\\_poland.cfm](http://www.ashoka.org/global/aw_ce_poland.cfm)

## **PART II STRATEGIC PLANNING**

Week 4. Advancing NGOs and Civil Society through Strategic Planning (Phase 1)

Major Concepts to be Covered This Week:

- “planning” defined
- “strategic” planning defined
- origins of strategic planning in the human services
- strategic planning as a professional function in social work
- the ethical requirements of strategic planning
- the “do’s” and “don’ts of strategic planning
- “strategic” vs. other types of planning—long range; operational, etc.

Selected Readings (all from Bryson[2004]. 3<sup>rd</sup> Edition):

- Chapter 1. “Why Strategic Planning is More Important Than Ever”
- Chapter 2. “The Strategy Change Cycle: An Effective Strategic Planning Approach”
- Chapter 3. “Initiating and Agreeing on a Strategic Planning Process”
- Chapter 11. “Leadership Roles for Making Strategic Planning Work”
- Chapter 12. “Getting Started with Strategic Planning”

Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):<sup>3</sup>

The Context and Process of Strategic Change (Readiness Assessment Worksheets)

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<sup>3</sup> Note: The designated exercises are to be completed in the Bryson & Alston (2005) workbook—preferably using pencil, and must be 100% legible. As needed you are free to revise your worksheets as you become more knowledgeable about your NGO sector or organization. I will collect and review your workbooks from time to time.

- Worksheet #1: Strengths, Weakness, Opportunities & Challenges (or threats)
- Worksheet #2: Barriers to Strategic Planning
- Worksheet #3: Expected Costs of Strategic Planning
- Worksheet #4: Expected Benefits of Strategic Planning
- Worksheet #5: Should We Proceed With the Strategic Planning Process?

Step 1: Initiate and Agree on a Strategic Planning Process  
Worksheet 6: Plan the Planning Effort

#### Week 5. Identifying Organizational Values, Mission, and Vision (Phase 2)

##### Major Concepts to be Covered This Week:

- Defining what is meant by “values”, “mission” and “vision”
- How to uncover/discover organizational (or sectoral) values and mission
- Identifying organizational “stake holders” and others that have a vested interest in the success (or failure) of the organization/sector
- How to reframe the sector’s or organization’s vision of itself for the future
- Limitations to organizations re-creating themselves, even when sufficient resources are available

##### Selected Readings (all from Bryson[2004]. 3<sup>rd</sup> Edition):

Chapter 4. “Clarifying Organizational Mandates and Mission  
Appendix A. “Stakeholder Identification and Analysis Techniques”  
Appendix C. “Strategic Planning in Collaborative Settings”

##### Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

Step 2: Clarifying Organization Mandates  
Worksheet 7: Review of Mandates  
Worksheet 8: Background for Group Discussion of Mandates

Step 3: Identify and Understand Stakeholders, Develop and Refine Mission and Values, Consider Developing a Vision Sketch

- Worksheet 9: Stakeholder Identification
- Worksheet 10: External Stakeholder Analysis
- Worksheet 11: Internal Stakeholder Analysis
- Worksheet 12: Key External Stakeholder Involvement
- Worksheet 13: Key Internal Stakeholder Involvement
- Worksheet 14: Mission Statement
- Worksheet 15: Values Statement
- Worksheet 16: Vision Sketch

Appendix E: Model External Stakeholder Questionnaire

Appendix F: Model Internal Stakeholder Questionnaire  
Appendix G: Analyzing and Reporting Results of Surveys

Selected URLs to visit:

Boutelle, Jonathan. 2006. Understanding Organizational Stakeholders for Design Success. Available at: [http://www.boxesandarrows.com/view/understanding\\_organizational\\_stakeholders\\_for\\_design\\_success](http://www.boxesandarrows.com/view/understanding_organizational_stakeholders_for_design_success). Accessed June 11, 2006. The site contains other timely references to NGO scholars.

Tangri, Ravi. 2006, "Building a Values-Driven Organization: Part 1—Living the Values. Available at: [http://www.stresscosts.com/AC/V4/AC41\\_Organization\\_Values\\_1.htm](http://www.stresscosts.com/AC/V4/AC41_Organization_Values_1.htm).

Tangri, Ravi. 2006, "Building a Values-Driven Organization: Part 2—Connecting Values and Mission. Available at: [http://www.stresscosts.com/AC/V4/AC42\\_Organizational\\_Values\\_2.htm](http://www.stresscosts.com/AC/V4/AC42_Organizational_Values_2.htm). Accessed June 10, 2006.

Week 6. Assessing the External & Internal Environment [SWOT] (Phase 3)

Major Concepts to be Covered This Week:

- How to assess an organization's/sector's strengths and weaknesses
- How to assess opportunities and threats that confront a sector or organization
- How to identify and incorporate the political, economic, scientific and technological challenges (PESTs) faced by all organizations/sectors
- How to enhance organizational competitiveness using the 4 P's: Product, Place, Promotion and Price

Selected Readings:

Estes, Richard J. 2005. "Global change and indicators of social development," Chapter 28 in Marie Weil (Editor) The Handbook of Community Practice (Thousand Oaks CA: Sage Publications).

Bryson [2004]. Chapter 5. "Assessing the Environment to Identify Strengths and Weaknesses, Opportunities and Challenges."

Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

- Step 4: Assess the Environment to Identify Strengths, Weaknesses, Opportunities and Threats
  - Worksheet 17: Internal Strengths
  - Worksheet 18: Internal Weaknesses
  - Worksheet 19: External Opportunities
  - Worksheet 20: External Challenges

Worksheet 21: Distinctive Competencies

URL Sites of Interest:

Chapman, Alan. 2006. "SWOT Analysis Template. Available at: <http://www.businessballs.com/swotanalysisfreetemplate.htm>. Accessed June 12, 2006. This quite a rich site and will link you to many other methods for identifying organizational strengths, weaknesses, opportunities and threats.

Wikipedia. 2005. "SWOT Analysis", [http://en.wikipedia.org/wiki/SWOT\\_Analysis](http://en.wikipedia.org/wiki/SWOT_Analysis).

Week 7. Identifying Strategic Issues and Modifying Organizational Goals and Objectives (Phase 4)

Major Concepts to be Covered This Week:

- Doing the hard part—trying to see “between the lines” of the many issues that confront NGOs in order to frame the most important ones in strategic terms
- Identifying and framing the major strategic issues that confront your NGO organization/sector
- Making certain that all of the major organizational stakeholders are “on board” with respect to their (and your) formulation of the major strategic issues confronting the organization over at least the near-term (2-4 years into the future)

Selected Readings (all from Bryson[2004]. 3<sup>rd</sup> Edition):

Chapter 6. “Identifying Strategic Issues Facing the Organization”

Chapter 8. “Establishing an Effective Organizational Vision for the Future”

Appendix B. “The Oval Mapping Process: Identifying Strategic Issues and Formulating Effective Strategies”

Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

Step 5: Identify and Frame Strategic Issues

Worksheet 22: Individual Strategic Issue Identification

Worksheet 23: Master List of Key Strategic Issues

Worksheet 24: Master Strategic Issue Statement

Worksheet 25: Operational vs. Strategic Issues

Appendix A: Brainstorming Guides

Appendix B: Snow Card Guidelines

Appendix C: Strategic Planning Workshop Equipment Checklist

Appendix D: Conference Room Setup Checklist

URL Sites of Interest:

National Council for Teacher Accreditation. 2006. Organizational Goals and Objectives. Available at: [www.ncate.org/documents/NCATEStratGoalObjec.pdf](http://www.ncate.org/documents/NCATEStratGoalObjec.pdf). Accessed June 11, 2006.

Nichols, Fred. 2000/."The goals GRID: A Method for Clarifying Goals and Objectives, "  
[http://home.att.net/~nickols/goals\\_grid.htm](http://home.att.net/~nickols/goals_grid.htm). Accessed June 11, 2006.

U.S. Government. 2006. Setting goals and objectives—a series of modules. Available at: <http://www.fao.org/docrep/W7502E/w7502e05.htm>. Accessed: June 11, 2006.

Week 8. Formulating Strategies to Manage the Strategic Issues (Phases 5a & 5b)

Major Concepts to be Covered This Week:

- Identifying and exploring the range of strategic alternatives available to NGOs for use in resolving their strategic issues including:
  - Rubin’s typology of public sector strategies
  - Nutt’s Eight Archetypal strategies
  - Barry’s 8 major strategies for dealing with strategies issues (and threats)
  - Porter’s 3 generic strategies for organizational innovation
  - Plus a range of “protective”, “developmental”, and “confrontational” strategies
- Identifying and choosing between alternative strategies for resolving strategic issues
- Assessing the impact of the strategies selected for helping the sector/organization achieve its strategic goals (and renewed vision)

Selected Readings (from Bryson [2004]. 3<sup>rd</sup> Edition):

Chapter 7. “Formulating and Adopting Strategies and Plans to Manage the Issues”

Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

- Step 6: Formulate Strategies to Manage the Issues
  - Worksheet 26: Key Questions for Identifying Strategies
  - Worksheet 27: Strategy Statement
  - Worksheet 28: Criteria for Evaluating Suggested Strategies
  - Worksheet 29: Checklist for Deciding on Strategic Plan Contents

Relevant URL Links:

\* BOND. 2006. “NGO Futures” (in the context of UK-based NGOs)--multiple links relevant to this course are listed here. <http://www.bond.org.uk/futures/index.htm>. Accessed 2006.

Chapman, Alan. 2006. Porter's Five Forces Model. Available at: <http://www.businessballs.com/portersfiveforcesofcompetition.htm>. Accessed June 12, 2006.

\* Korten, David. 1990. NGO Strategic Networks: From Community Projects to Global Transformation. Available at: <http://www.gdrc.org/ngo/stratnet.html>. Accessed June 12, 2006.

#### Week 9. Writing the Strategic Plan [Written Strategic Plan Due]

##### Major Concepts to be Covered This Week:

- I shall bring selected previously prepared strategic plans with me to class for review. These should provide you with a good sense of the enormous variety that characterizes ways in which various writers put together their plans in order to realize a new future for their respective NGO sector or organization.
- Note, too, that examples of completed strategic plans may be found in the following books placed on reserved for your use in the Rosengarten Reading Room of Van Pelt Library: Chapter 9 of #Burkhart & Reuss (1993) as well as Appendices A and B of same book contain. Also see Appendix B of #Barry (1998) for an example of another strategic plan.
- Use charts, graphics, photos and other materials to make the plan interesting to the reader. Two copies of the plan should be submitted to me in a binders or other similar format, one of which will be retained by the instructor for inclusion in the resource library developed for this course.

##### Selected Readings:

Prior to beginning work on your written plan, select at least 4-6 readings from the specialized literature (trust me, there are plenty from which to select) that bear directly on strategic planning in your sector of major NGO activity (e.g., health, education, income security, housing, social and economic development, and so on. The readings selected also should provide some of the "needs assessment" data required to justify the innovations and/or strategic goals formulated in your written plan.

##### Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

###### Step 7: Review and Adopt the Strategic Plan

Worksheet 30: Plan Review and Adoption Process

Worksheet 31: Plan Evaluation

###### Step 8: Establish an Effective Organizational Vision for the Future

Worksheet 32: Vision of Success

Related URL Links:

Australian Council for Social Development. 2002. "Strategic Plan: 2003-2006". Available at: <http://www.acfid.asn.au/about/strategic%20plan.htm>. Accessed June 12, 2006.

University of Pennsylvania. 2005. From Excellence to Eminence: The University's Strategic Plan. Available at: [http://www.upenn.edu/provost/strategic\\_plan.html](http://www.upenn.edu/provost/strategic_plan.html). Accessed June 12, 2006.

The African Development Institute Strategic Plan. 2005. Available at: [www.africainstitute.com/downloads/adi\\_strategicplan.pdf](http://www.africainstitute.com/downloads/adi_strategicplan.pdf). Accessed June 12, 2006.

Week 10. Implementing the Strategic Plan: Keeping The Process Moving...and "on Track"

Major Concepts to be Covered This Week:

- Promoting the plan's implementation among key stakeholders
- Issues effecting gaining acceptance for the strategic plan among the secotr's/organization's key stakeholders
- Overcoming obstacles to implementation
- Preparing for generating the resources needed to realize your plan as envisioned

Selected Readings:

\* Estes, Richard J.2002. "Toward a Social Development Index For Hong Kong: The Process of Community Engagement" (in collaboration with Chua Hoi Wai, John Fung, and Anthony Wong), Social Indicators Research 58(1-3):313-347.

Bryson [2004]:

- Chapter 9. Implementing Strategies and Plans Successfully"
- Chapter 10. "Reassessing and Revising Strategies and Plans"

Laboratory Exercises (All From Bryson & Alston [2005]. 2<sup>nd</sup> Edition):

Step 9: Develop an Effective Implementation Process

Worksheet 33: Existing Programs, Services & Projects: Evaluation

Worksheet 34: Strategic Plan's Proposed Programs, Services and Projects: Evaluation

Worksheet 35: Prioritizing Programs, Services and Projects: Evaluation

Worksheet 36: Action Planning

Step 10: Reassess Strategies and the Strategic Planning Process

Worksheet 37: Improving Existing Strategies

Worksheet 38: Improving the Strategic Planning Process

**PART III**  
**RESOURCE DEVELOPMENT IN NONPROFIT ORGANIZATIONS**

Week 11. Resource Development: Generating Resources in Support of the At least One Central Goal in the Strategic Plan

Major Concepts to be Covered This Week:

- The value base of fund raising—especially in promoting social and economic justice among historically disadvantaged population groups and other populations at risk
- The knowledge base of fund raising
- The skill base of fund raising
- Fund raising as a professional function
- The ethical foundations of professional fundraising
- Historical overview of professional fundraising in social work and other human service professions

Selected Readings (all from Seltzer [2001] 2<sup>nd</sup> Edition):

Chapter 4. Putting Your Purpose to Work: Planning Your Programs, pp. 83-102  
Chapter 5. Developing Budgets, pp. 103-142  
Chapter 6. The Many Sources of Funding and Support, pp. 143-154  
Chapter 22. Choosing Your Funding Mix and Strategies to Secure It, pp. 587-658  
Appendix A. A Compilation of State Laws Regulating Charitable Solicitations, pp. 659-668

Week 12. Raising Money From Individuals (and Associations of Individuals)

Major Concepts to be Covered This Week:

- Motivations for individual giving
- Social workers and other human service workers as “fiduciary brokers” in soliciting and arranging for the transfer of contributions from individual donors
- Strategies for generating resources from individuals
- Non-monetary contributions from individuals

Selected Readings (all from Seltzer [2001] 2<sup>nd</sup> Edition):

- Chapter 7. Giving From Individuals: An Overview, pp. 155-178
- Chapter 9. Direct Mail, pp. 207-228
- Chapter 10. Using the Telephone, pp. 229-250
- Chapter 11. Face-to-Face Solicitation, pp. 251-272
- Chapter 12. Beyond the Simple Cash Contribution: Planned Giving, pp. 273-306
- Chapter 13. Raising Money on the Internet, pp. 307-334
- Chapter 20. Associations of Individuals, pp. 537-558
- Chapter 21. Labor Unions, pp. 559-586

Week 13.        Raising Money from Corporations and General Purpose Foundations

Major Concepts to be Covered This Week:

- The nature, purpose, and structure of general purpose and corporate foundations
- Types of grants awarded by general purpose and corporate foundations
- Communicating with general purpose and corporate foundations—the “do’s” and “don’t’s”

Raising Money From Corporate and General Purpose Foundations

Selected Readings (Generic, covering both corporate and general purpose foundations--all from Seltzer [2001] 2<sup>nd</sup> Edition):

- Chapter 4. Putting Your Purpose to Work: Planning Your Programs, pp. 83-102
- Chapter 5. Developing Budgets, pp. 103-142
- Chapter 15. Approaching Foundations For Support, pp. 363-408
- Chapter 16. Corporations and Businesses, pp. 409-452

Additional Readings on Corporate & General Purpose Foundations:

Dees, J. Gregory & Karen Jacobson. 2000. Note on innovations in philanthropy, Harvard Business Review (December 1).

Levy, Reynold. 1999. Give and Take: A Candid Account of Corporate Philanthropy (Boston: Harvard Business School Press).

Marx, Jerry D. 1999. Corporate philanthropy: What is the strategy?, Nonprofit and Voluntary Sector Quarterly 28(2):185-198.

Porter, Michael E. & Mark R. Kramer. 2002. The competitive advantage of corporate philanthropy, Harvard Business Review (December 1):57-68.

\*# Scanlan, Eugene A. 1997. Corporate and Foundation Fund Raising: A Complete Guide From the Inside (Gaithersburg MD: Aspen Publications).

Chapter 1, Overview

Chapter 2, Foundations, corporate foundations, corporate giving programs  
Chapter 3, Corporate foundations and corporate giving programs  
Chapter 4, Private foundations  
Chapter 6, Foundation boards and staff  
Chapter 7, Where to start

Related URL Links:

Visit the home page of the Foundation Center and locate the following lists:

- The 100 largest general purpose foundations in the United States
- The 50 largest corporate foundations in the United States
- The 25 largest community foundations in the United States

In exploring these links try to identify 2-3 of each type of foundation that could/might be approaches to provide funds in support of all, or a part, of your Strategic plan.

**PART IV  
REVIEW & INTEGRATION**

Week 14. Raising Money From Special Events and Other Mission-Supporting Initiatives of Nonprofit Organization—Including From Religious and Governmental Organizations [Resource Development Plan Due]

Major Concepts to be Covered This Week:

- Earned and venture income
- Public sector support for NGO activities, and the uneasy such relationships create in sectarian societies (e.g., faith-based public sector funding)
- Soliciting religious organizations for support, including allied faith-based appeals and charities
- Earned and venture income: Is it okay for tax exempt organizations to pay taxes on unrelated business activities?

Selected Readings:

Seltzer, Michael. 2001. Securing Your Organization's Future: A Complete Guide to Fundraising Strategies. 2<sup>nd</sup> Edition. (New York: The Foundation Center).  
Chapter 8. Special Events, pp. 179-206.  
Chapter 14. Earned and Venture Income, pp. 335-362  
Chapter 17. Government Support, pp. 453-484  
Chapter 18. Religious Institutions, pp. 485-508

Chapter 19. Federated Fundraising Organizations, pp. 509-536  
Chapter 22: Choosing Your Funding Mix and Strategies to Secure It, pp. 587-658.

*Written Assignment:*

In your final written assignment for the course, provide a convincing step-by-step description of how you (i.e., your organization/NGO sector) will assemble **all of the resources** needed to fully implement the new strategic plan/strategic initiatives outlined for at least one of the major goals/objectives the Strategic Plan previously submitted and approved in this course.

The description outlined in your final assignment, to the fullest extent appropriate, should include all of the fiscal and other types of resources from the following sources/activities:

- Gifts from individuals
- Grants from corporate and/or general purpose foundations
- Grants and/or contracts from public sources (including local, state, national governments)
- Grants from federated fundraising/granting organizations, e.g., Federation of Jewish Philanthropies, Catholic Charities Appeal, etc.
- In-kind contributions
- Earned and venture income
- Contributions, including both gifts and planned giving arrangements, from individuals
- Trusts and bequests
- Special events fundraising
- Other sources of support

Charts may be used to summarize the major points or sources of support. In all causes, though, identify current the names of current contact persons, submission addresses, telephone numbers, etc. of the “targeted” funding sources. In the case of state and federal agency grants, provide the appropriate funding/authorization number(s) of the funding sources involved.

The final plan is limited to a maximum of 10 double-spaced type pages (excluding your bibliography and any appendixes).

Selected URL Sites to Visit:

The following public sector URL sites related to this assignment can be easily located on the WWW familiar with the vast array of resources associated with each public entity( remembering that public sector financing accounts for more than 70% - 80% of all funds received by NGOs, especially those engaged in community or community-related personal services:

- Commerce Business Daily (<http://cbdnet.gpo.gov/>). Lists federal contracts that exceed \$25,000, in addition to requests for proposals (RFPs). Become very familiar with this site as it lists 100% of all federal dollars that become available to NGOs in the US, including funds available to many faith-based entities.

- Federal Register. (Washington: Superintendent of Documents, Government Printing Office: <http://www.gpoaccess.gov/fr/index.html>). The site contains pre-announcements of all *Requests for Proposals (RFPs)* or *Requests for Applications (RFAs)* issued by the federal government during the preceding 12-month application period. The Federal Register provides highly detailed information concerning the format(s) that such proposal are to follow (increasingly, including electronic submission of RFA and RFPs).
  
- Superintendent of Documents. United States Government Manual of Organization. (Washington: US Government Printing Office: <http://www.gpoaccess.gov/gmanual/index.html>). This volume changes annually. Most important for our purposes is that it contains the names, mailing addresses and telephone numbers of current holders of grant-making positions of importance to us—esp. important inasmuch as it makes no sense to submit an RFP or RFA without prior contact to those persons who oversee the total competitive process.