



# GRANTSMANSHIP AND FUND RAISING

ARMAND  
LAUFFER



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SAGE PUBLICATIONS Beverly Hills London New Delhi



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*To Baila, a mother in Israel*



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I learned about grantsmanship and fund raising the way most people do—the hard way, by doing it. But it was not without support, first and foremost from four deans at the University of Michigan School of Social Work. Fedele Fauri, whose spirit continues to infuse the school with social commitment and intellectual honesty, told me when I first arrived at Michigan to “take a few months, get to know the state, and then start building a program.” He knew well that professional and career interests, when supportive of institutional interests, are a strong combination. “To win at horse racing,” he would say, “you not only have to have horses that can, but will run.” The proper motivation is central to any successful fund raising effort.

But so are knowledge and technical competence. I gained a good deal of both from Bob Vinter, who taught me to be rigorous in program design and meticulous in budgeting. Phil Fellin continued in the traditions of his predecessors, knowing when to reign in a feisty colt, and when to let him have his head. And I owe a special thanks to Harold Johnson, who permitted me the freedom to work on this and other volumes, when he might have preferred to have me out there hustling, practicing what I teach.

These acknowledgments would not be complete without referring to Bill Lawrence, Eloise Snyder, and Milan Dluhy, whose contributions to an earlier Sage volume (*Grantsmanship*, first edition) generated sufficient demand to warrant a new, much expanded, and updated book.

Finally, as in most of what I commit to paper, I want to express genuine gratitude to the dozens of human service practitioners whose words and experiences are related in these pages. I am referring to government and foundation officials, agency planners and administrators, community activists, direct service practitioners, professional fund raisers, and others from whom



I have learned a great deal and whose knowledge and skill I have tried to share with you. Some of these people have written other useful books on program and resource development, grantsmanship, and fund raising. I refer you to them in suggested reading sections throughout the book, and in Appendix B. You will find their thoughts as useful as I have.



## Preface

The mid-1980s have not been encouraging for many practitioners and administrators in the human services. Some have lost their positions through cutbacks, while others have found themselves carrying especially heavy loads in an effort to maintain the quality of services against a background of shrinking resources. The picture has been especially bleak in certain service sectors, and the situation has had a disproportionate impact on different client populations: ethnic and racial minorities, the disabled, those who are among the structurally unemployed, and those who have been defined by society as deviants rather than as the victims of circumstances. The largesse of the 1960s and early 1970s seems to have been replaced by a niggardliness of spirit and resource.

Perhaps—perhaps not. Certainly the distribution of resources has changed considerably over the past decade or two. And this redistribution has caused strains virtually everywhere in the human services. But while strains are perhaps inevitable, they need not be fatal. Individual agencies, even consortia of agencies, may not be able to do much to affect the larger societal forces that have caused this redistribution. But they can do more to assure that they and their clients get their proper share of the resource pie.

It is not an unlimited pie. Nor is it finite. It is probably a good deal larger than it seems (or at least the pie dish can be replenished), even though it is not as large as many of us would like it to be. Unfortunately, we don't all have equal or adequate access to it. That is what this book is all about—increasing our access and increasing the likelihood that we can replenish our resources as new needs are uncovered.

The present volume is an expanded version of the second edition of *Grantsmanship*, published only a year ago. Three new chapters have been added and others have been expanded or rewritten to deal with a wider variety of fund raising strategies. Some of you may recognize in these pages vestiges of



the first edition of *Grantsmanship* (published in 1977), but more than 95 percent of this volume reflects changes that have taken place since 1977.

The 1980s are not the same as the 1970s. We have learned much since then. We have come to understand that living in an affluent society is no guarantee that affluence will be shared equitably. And we have learned that not only must resources be secured, but they must be carefully harnessed to do the most good. I have personally learned a great deal from the dozens of successful fund raisers interviewed for this book and whose experiences are reflected in its pages. The vignettes are all taken from practice, although most are heavily disguised in order to maintain confidentiality. I am sure you will agree that we owe a vote of thanks to all those who contributed their stories.

Why a single volume on general fund raising strategies, grantsmanship, program design, and resource development? Could not these topics be treated separately in different volumes? Certainly, and, as the many references at the end of each chapter suggest, they have been. I have chosen to treat them together because, in other efforts to treat these issues independently so as to better understand them, we have lost sight of their interrelationships, and so have sometimes understood them less well. By juxtaposing these concerns, I am making a number of assumptions about you, the reader. I am assuming that your interests are broad, whatever your occupation. Some of you may be direct service practitioners—case-workers, vocational rehabilitation counselors, teachers, medical practitioners, probation officers, family therapists, community organizers. Others may be supervisors or administrators. Many of you may be active volunteers in the human services, or perhaps members of boards of directors, advisory councils, or public commissions. Still others may be professional fund raisers, proposal writers, or public relations personnel. A number of you may be students in schools of social work or in one of the many occupations that make up the human services.

Whatever your connection to the human services, and whatever use you may want to put this book to, I am also assuming



that you wish to understand more fully how grantsmanship, fund raising, and program and resource development are connected. For some, the chapters on program design and proposal writing may be of focal concern. All else will be contextual. For others, finding out where the money is (as described in the chapters on public, foundation, and private sector funding) will be of focal concern. For still others, the design and conduct of campaigns and other direct-appeal fund raising efforts will be central. That is as it should be.

None of us is equally interested in everything at any particular point in our careers. What I have attempted to do is to provide you with an opportunity to concentrate on those issues that are currently of focal interest, while also providing you with sufficient information on other issues so that you may better comprehend that which interests you most. I have done this by including case illustrations and exercises liberally throughout the text. You might chose to do some exercises and look for parallels in those cases that relate to your interests, while putting others aside for future consideration.

Look over the table of contents. Check out some of the exercises in each chapter. Look over the glossary (Appendix A). This will give you a better idea of what is to be covered. Plunge in, splash around a bit, then take off in the direction you have chosen.

—*Armand Lauffer*  
Jerusalem, 1984







## CHAPTER *1*

# The Business of Grantseeking and Fund Raising

Let's talk business—the business of raising money and putting it to good use. You may not generally think of yourself as being in the fund raising business; I don't often think of myself that way, either. As an academic, I generally consider myself in the business of knowledge development and dissemination. And I sometimes find myself in the counseling, consulting, and community organizing business. Some of you may identify yourselves primarily as trainers, therapists, managers, supervisors, and planners. You may do your business in the child welfare field, in mental health, in substance abuse services, in public education, or in any of the dozens of fields that make up the human services.

Your business is your rightful work, your personal and occupational concern. It is your justification for meddling in the affairs of others. You make their business yours in order to provide human services to people in need. To support that work, you may have found yourself increasingly involved in seeking funds to support or expand current services, or to start up new programs.

There once was a time when most human service workers needed to concern themselves only with the distribution of money, with what it was spent on and how. Someone else—a



public body, an administrator, a professional fund raiser—worried about where the money would come from. Some of you may even remember when that was not much of a worry in certain service sectors. Today, it is a major concern in virtually every community and in every agency. Our jobs may depend on our understanding of and skill in fund raising. In some cases, the lack of funds may create problems that are even more serious than the possibility that an agency may have to lay off staff or even close its doors. The problems are those for which we presumably provide services—the problems faced by agency consumers, by people in desperate need—those for whom we and our agencies are presumably in business.

If you ask, “What are our chances of getting the support we need to do *our* business?” the reply throughout the 1980s is likely to be, “Not very good.” Now let us try another question: “What are our chances of getting the support needed to do business?” The answer is, “Not bad.” In fact, the chances are probably pretty good, if you are clear about “whose business” you are doing.

Human service and other nonprofit organizations are in the business of doing the public’s business. The support you are going to be able to muster will depend on the extent to which its various publics perceive the organization’s activities as being in their interests. Successful fund raisers have always known that. Unsuccessful fund raisers are more likely to relate stories such as the following:

Nothing happened, absolutely nothing. We sent our grant application to the foundation, got a postcard saying it was of interest and that it would be reviewed within three months. When we got no further word at the end of six months, I wrote a letter inquiring as to the status of our proposal. It was a year before we finally got our reply. We were turned down. Luckily, we were no longer dependent on the foundation. By then we had decided to let the whole idea die a natural death.

That may not be the most encouraging way of being introduced to grantsmanship. Unfortunately, it is an experience shared by all too many of us who begin with good intentions,



and perhaps with the conviction that what we are doing is important and deserving of support. That is not a bad way to begin. But it must be supported with skill and hard work. Will all the results be worth the effort? The answer to this can be yes, even if you do not get funded. Unlike the person quoted above, fund raisers and grantseekers are not resigned to letting projects die a natural death. It is rarely sufficient to send a proposal off and then wait to see what the potential funding source does with it. When it comes to grants—pardon the pun—take nothing for granted. Prepare for both acceptance and rejection. Prepare the funding source to deal with your proposal or ideas, and prepare other key publics.

In the narrow sense, this is a book about fund raising. In a broader sense, it is about program and resource development, and about articulating your organization's interests with those of suppliers, consumers, and other publics. Without them your organization would have no resources and no business.

## THE RESOURCEFUL WAY TO RAISE MONEY

In everyday language, the term “resources” is usually understood to mean “money.” It can refer to money, of course, but the term is not limited to that usage. Resources are all those means and commodities needed to achieve an objective, produce a service, or distribute a product. Some resources—such as facilities, equipment, and supplies—may be purchased with money or can be used in lieu of cash. Other resources—such as legitimacy, expertise, and commitment—may or may not be related to money. They are, nevertheless, indispensable to the conduct of organizational affairs. Without them, fund raising and grantsmanship are hardly likely to be successful.

Close attention to resource development and orchestration, and a concern with programs and the various publics they serve distinguish this book from a number of others that deal with grantsmanship, fund raising, or both. Don't get me wrong—many of these other books are excellent, and I recommend a number to you throughout the text. Their step-by-step directions for proposal writing or for organizing campaigns, and their