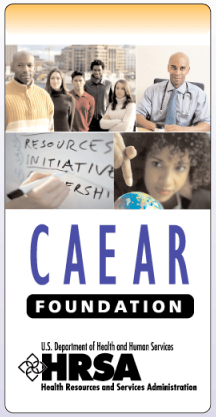
Communities Learning Together

Advancing HIV Care and Support through Fiscal Management and Organizational Development

Creating a Financial Plan for Organizational Sustainability

Day Two
June 29, 2007
Cathy Lins

Developed under cooperative agreement with HHS, HRSA, HAB
Access Ryan White TA at careacttarget.org



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Advancing HIV Care and Support through
Fiscal Management and Organizational Development

Module 1:

Where Are We Now? The Self-Assessment

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Standards

- Everyone is a teacher and learner
- Support each other in participation
- Manage your own needs
- Cell phones on silent or off
- Limit side conversations

Learning Objectives

- **At the conclusion of the training, participants will:**
  - Understand the eight key elements of sustainability
  - Understand how to develop strategies to secure the fiscal resources needed to accomplish their long-term financial goals
  - Understand how to develop strategies to marshal other non-monetary resources to sustain their work

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Overview of the Sustainability Planning Process

- Sustainability planning requires both time and resources.
- Make sure to complete a few pre-planning steps to get the most out of the process.

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Sustainability Planning Helps You To:

- Clarify where you are and where you want to go
- Develop strategies for long-term success
- Provide benchmarks to measure progress, and
- Demonstrate to partners and other stakeholders the value of your work

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Getting Started

- Define your scope and clarify your planning parameters
- Decide whose input you need
- Decide how you will structure and manage the process
- Collect needed information, and
- Develop a workplan

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Define Scope and Planning Parameters

- **Be clear on the scope, scale, and timeframe of your planning effort**
- **What resources can you reasonably commit to the process?**
  - Staff
  - Key Stakeholders
  - Logistical Costs

Decide Whose Input You Need

- Internal Stakeholders
- External Stakeholders

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Decide Whose Input You Need

- Historical Perspective
- Ground Level Perspective
- Knowledge of Local Politics and Resources
- Power to Adopt the Plan
- Power to Implement the Plan

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How to Structure and Manage the Process

Structure:

- Having an advisory or governance group to complete the process

Management:

- Full Group Participation
- Subcommittee Participation
- Staff-Driven Model

Collect Needed Information

- List of useful documents and needed data listed by module

Develop a Workplan

- We will review this step in more detail at the end of the day

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Four Key Types of Strategies

- Recruitment and Management of Volunteers
- Partnerships with Community Members and Organizations
- Marketing and Promotion
- Increase and Diversification of Resources

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Self Assessment

- Do you know how much you need and what you need it for?
- Is the organization pursuing a variety of financing options?
- Do you have a plan in place to pursue the options identified?

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A Review:
Form a Resource Development Team

- Program coordinator
- Other appropriate program staff
- Members of your agency board (or advisory counsel)
- Representatives from partner organizations
- Community members

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Form a Resource Development Team

- *[If you have a Resource Development Team]*
  Who is included as part of your team and why?

- *[If you do not have a Resource Development Team]*
  Who would you include and why?

- Effectively planning for sustainability involves building competencies into your ongoing planning and operation that lead to success and stability over time.

- Regardless of the specific goals of an initiative, sustainability depends on developing a clear plan for putting in place and keeping in place the key elements that make the program or initiative successful.

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Eight Key Elements of Sustainability

- **Vision** - Having a clear picture of what you want to sustain, which starts with clearly articulating what you want to achieve through your work and then clearly identifying the strategies and activities that will get you there.

- **Results Orientation** - Defining "success" for your initiative; measuring your progress over time; and adjusting your work, based on what you learn.

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- **Strategic Financing Orientation** - Projecting the resources you will need and systematically developing a variety of financing strategies and fund-ing sources to provide a stable base of resources over time.

- **Broad-Based Community Support** -- Strategically considering whose support you need and developing appropriate outreach efforts and vehicles for community involvement in your initiative.

- **Key Champions** - Rallying leaders from business, faith-based institutions, government, and other parts of the community and persuading them to use their power and influence to generate support for your initiative.

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- **Adaptability to Changing Conditions** - Being proactive in the policy environment and adjusting to changing social, economic, and political trends in the community.

- **Strong Internal Systems** - Building strong systems and structures, such as fiscal management, information, personnel, and governance.

- **Sustainability Plan** - Creating a written plan that can be used to manage and market your work.

- Developing a sustainability plan is a lot like developing a business plan. Starting a business requires a clear concept of how to meet a market need and a plan for developing the resources to do it profitably.

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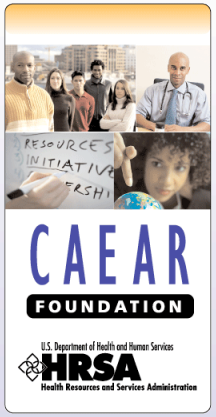
End of Module 1



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Module 2:

What Do We Want to Sustain? What Do We Mean by Sustainability?

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Vision and Results

- The most successful initiatives are those that focus on sustaining their VISION and then work to achieve that vision in a dynamic and entrepreneurial manner

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Logic Model Process

What Do You Want to Sustain?		How Will You Measure Your Progress?
Vision and Desired Results		Indicators
Conditions and Causes		
Strategies and Activities		Performances Measures

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Vision Statement

- Your concept of what success would look like for your program/agency.
- The statement communicates your vision in a way that is Understandable and Compelling

Results

- Your long-term goals for the community and its members that your work is targeted towards.
- Your results proceed naturally from your vision.

Identify Conditions and Causes

- Conditions and causes are the factors or circumstances that exist in your target population or community that you need to affect in order to achieve your desired results.

Identify Conditions and Causes

- Target population trends and growth
- Target population perspective
- Research
- Experience and best practice

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Identify and Prioritize Strategies and Activities

- They address key conditions and causes, and help you achieve desired results
- You have the capacity to implement them effectively
- They are financial feasible
- They are well supported by policy makers and the public

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Identify Performance Measures

- Measures of Effect
- Measures of Effort

Data Availability

- Does data already exist on this performance measure?
- Do you have access to this data?
- Are the existing data accurate and reliable?
- If data does not exist, what tools would you have to develop and what collection activities would you have to implement to gather the needed data?
- Do you have the capacity to do this?
- Are there others in the community who might help you?

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Data Relevance

- Look back at the desired results that you identified on the left side of the logic model, as well as the measures of effect on which you have decided to focus.
- Does this measure clearly relate to at least one of your desired results?
- Will it help you understand your perform-ance on any of your measures of effect?

Data Usefulness

- Will this measure provide information that will help you communicate the scope and reach of your work?
- Will this measure help you account to funders and supporters for what you do?
- Imagine communicating information that you gather on this measure to key stake-holders and funders of your initiative.
- Would it help them understand what you do and how you do it?

Identify Indicators

- If we were successful in achieving this result, what would we see; what would success look like?
- How would we measure this?

Data Availability

- Do data already exist on this performance measure?
- Do you have access to this data?
- Are the existing data accurate and reliable?
- If data does not exist, what tools would you have to develop and what collection activities would you have to implement to gather the needed data?
- Do you have the capacity to do this? Could others in the community help you?

Data Relevance

- **Look back at the desired results that you identified on the left side of the logic model.**
  - Does this measure clearly relate to at least one of your desired results?
  - Is there a known relationship between what you are measuring and the results that you are trying to achieve, either from research findings or experience?

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Using the Logic Model

- Inform sustainability planning
- Communicate what you do and why
- Guide data-collection and continuous improvement efforts

Data Power

- Will this measure provide information that is a powerful testament to the value of your work?
- Imagine communicating information that you gather on this measure to key stakeholders, decision makers, funders, policy makers, and the public. Would they care?

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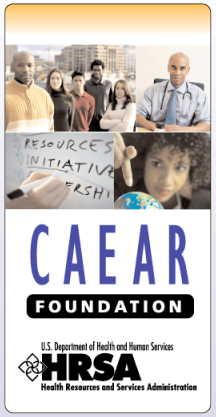
End of Module 2



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Module 3:

How Much Does It Cost? How Will We Finance It?

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Creating a Strategic Financing Plan

- **A financial plan includes the following steps:**
  - Step 1: Clarify what you need financing for
  - Step 2: Estimate your fiscal needs
  - Step 3: Identify your current resources
  - Step 4: Assess your funding gaps
  - Step 5: Identify potential funding sources and financing strategies

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Step 1: Clarify Financing For What

- **For the next three years, do you want to maintain, contract, or expand?**
  - Number of clients you serve
  - Number of sites you operate
  - Target population you serve
  - Range of activities and services you provide
  - Level of quality of services you provide

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Step 2: Estimate Fiscal Need

- **Program Costs**
  - Start-Up Costs
  - Ongoing Operating Costs
- **Infrastructure Costs**

Step 3: Identify Current Resources

- Take stock of internal resources and external resources

Take Stock of Internal Resources

- **Internal resources that influence resource development include:**
  - Your program's mission and goals (everything you do should be tied to your mission);
  - Staff time and skills;
  - Tools, such as databases, donor tracking software, boilerplate text, and templates that can help with grant proposal development;

Take Stock of Internal Resources

- Established relationships with community, education, religious, and business leaders;
- District policies and guidelines that influence fund development;
- Volunteers who can help with sustainability tasks; and
- Marketing materials and public relations plans.

Take Stock of External Resources

- **External resources that influence resource development include:**
  - The level of support, financial and otherwise, for HIV/AIDS programs in your community;
  - Other agencies that your organization may be competing with for funding;
  - The fiscal health of the potential funders;
  - Trends in the HIV/AIDS and related fields that could have an impact on your program's future;
  - Shifts in federal or local priorities that might affect the program; and
  - State and local funding streams and broad funding priorities.

Step 4: Assess Funding Gaps

- Where are the gaps between what you need and what you have in resources?
- What areas do they fall into? This should provide clues to your future strategies.

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Step 5: Identify Funding Sources and Financing Strategies

- Clarify what you need and when
- Determine the most appropriate strategies and sources
  - Review current mix of funding resources
  - Evaluate potential funding sources

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Review Your Current Mix of Funding Sources

- How many funding sources support your work?
- What percentage comes from the public sector? Private sector?
- How much is unrestricted sources? Restricted?

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Review Your Current Mix of Funding Sources

- What percentage comes from time-limited grants of one-to-three years? Longer time periods?
- Are any funding sources at risk of being cut or reduced?

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Evaluate Potential Funding Sources

- **Once a potential funding source has been identified, ask yourself:**
  - How much does it generate?
  - What is the administrative burden?
  - What is the timeframe to realize revenue?
  - Does it help diversify my portfolio?
  - Can I use the source to meet my specific fiscal needs?
  - What are the political considerations?

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Critical Components to Fundraising Methods

- Develop a vision, mission statement, and case for support
- Identify all potential stakeholders
- Research prospective donors
- Communicate and cultivate relationships with stakeholders and prospective donors

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Critical Components to Fundraising Methods

- Work to develop stakeholder and donor "buy-in" for the program and activities
- Prepare and make the request for support ("the Ask")
- Carry out follow-up to "Asks" made
- Demonstrate accountability and results to stakeholders and donors

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Underlying Principles of Fundraising

- **Person-to-person effort.** Whether for foundation or corporate grants, or for solicitation of individuals, it is the personal relationships that you cultivate with prospects that will increase your chances for success.

- **Team effort.** Everyone involved in the organization (e.g., staff members, members of Boards of Directors, volunteers, and constituents) should be recruited and trained to participate in the process.

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Underlying Principles of Fundraising

- **Team captain.** You need a team captain who directs and encourages each team member to do his or her part. If one person is not assigned primary responsibility for fundraising, it is easy for it to fall between the cracks.

- **Focus and discipline.** These are the most critical factors in determining success for organizations with small fundraising shops. Once a fundraising plan has been developed, it is critical that the organization stick to it, no matter what.

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Trends Impacting the Survival of Nonprofit Organizations

- **<u>Trend: National Security</u>. More government funds are being re-allocated to defense and anti-terrorism activities. The September 11th events prompted some organizations to postpone their fundraising activities or to change the beneficiaries.**
  - *Solution: Programs could benefit from this trend by finding creative ways to link their programs to national security. One example might be programs that build stronger, more inclusive communities that can help strengthen national security.*

- **<u>Trend: General Reductions in Government Spending.</u> Over the past two decades, the U.S. government has reduced domestic spending for human services substantially. As a result, nonprofits that relied primarily on government funds now compete more fiercely with other nonprofits for this money.**
  - *Solution: Programs should seek to diversify funding sources and secure non-federal dollars.*

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Trends Impacting the Survival of Nonprofit Organizations

- **Trend: Business Mergers and Acquisitions.** The trend in corporate mergers has eliminated millions of dollars in grant money. As new conglomerates come into existence, they can completely change a former company's grant funding and application process, as well as the process for allocating in-kind donations.
  - *Solution: Mergers and acquisitions may also provide opportunities to expand the pool of stakeholders and eventually access larger sums of money.*

- **Trend: Accountability**. As funds diminish and competition increases, funders are scrutinizing programs more closely. Funders want stable, well-managed and trustworthy organizations that generate clearly defined and measurable impacts.
  - *Solution: Smart organizations view this trend as an opportunity to improve their operations systems and program evaluation methods.*

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Trends Impacting the Survival of Nonprofit Organizations

- **Trend: Compassion Fatigue and Increased Competition for Donors.** Due to mass technology, people can review tragedies locally and around the world in real time. Viewers are often inundated and overwhelmed with human suffering to the point of saturation. Also, the most urgent and immediate crisis tends to be viewed as the most deserving.
  - *Solution: Organizations that find uplifting approaches, share success stories or link their programs in a meaningful way to local or national events will stand out from the rest of the competition, maintain stakeholder interest and develop new sources of interest.*

- **Trend: Changing Demographics.** Changing demographics provide threats and opportunities. Agencies that assume their same donors and funding streams will always be there may be for an unhappy surprise.
  - *Solution: Organizations that are more flexible, proactive and market-oriented will welcome changing demographics as an opportunity to expand their stakeholder base.*

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Opportunities for Expansion and Diversification

- What are the characteristics of the major sources of funding in your area, and what should you consider when targeting these sources?

Major Donors

- This category refers to individuals, foundations, corporations, local businesses, and federal, state, and local government programs.
- Major gifts typically require personal, direct solicitation. This may require significant staff time and a long lead time before a gift is received.

Individuals

- While each person has different areas of interest, nonprofits that provide direct services in the community typically ranks high on the priority list.
- Remember that the larger the contribution sought, the longer the cultivation time. You will need a diverse toolbox to gather funds from individuals (e.g., major gift program, special events, direct mail).

Foundations

- The giving characteristics of the three major types of foundations are typically clear.
- *Independent foundations* usually have giving guidelines that target areas of interest and types of support available.
- *Corporate foundations* a re financial resources provided by a corporation. These organizations often have grant guidelines that drive their grant making efforts.
- *Community foundations* are founded by gifts from multiple donors and/or public entities. Grant making is usually limited to a specific geographic area.

Corporations and Local Businesses

- For-profit organizations are by definition in the business of making money and are increasingly developing ways to undertake philanthropic efforts that will enable them to make more money.
- *Cause-related marketing* is the phrase used to describe partnerships between corporations and nonprofits.

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Federal, State, and Local Government Programs

- While this source can provide significant support to community-based organizations, this type of funding can be volatile and undependable over the long term.

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HIV/AIDS Funding At A Glance:

Federal Funding – Domestic Discretionary

- HRSA/Ryan White Program
- Centers for Disease Control and Prevention – Domestic Prevention and Research
- National Institutes of Health
- Substance Abuse and Mental Health Services Administration
- Department of Veterans Affairs

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HIV/AIDS Funding At A Glance: Federal Funding – Domestic Mandatory

- Medicaid
- Medicare
- Social Security Disability Insurance
- Supplemental Security Income
- Federal Employees Health Benefits Plan

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HIV/AIDS Funding At A Glance: State and Local

- State Department of Health and Human Services
- City or County Department of Health and Human Services

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HIV/AIDS Funding At A Glance: In-kind Contributions

- Staff Time from a Community Organization
- Evaluations Conducted by Universities
- Fundraising Consultation by a Business
- Special Events Ads by Local Media

Sustainability Tips

- *Be prepared*.
- *Be creative*.
- *Be persistent*.

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2006 Ryan White HIV/AIDS Treatment Modernization Act

- http://hab.hrsa.gov/treatmentmodernization/
- The newly enacted Ryan White HIV/AIDS Treatment Modernization Act of 2006 provides the Federal HIV/AIDS programs in the Public Health Service (PHS) Act under Title XXVI flexibility to respond effectively to the changing epidemic.
- The new law changes how Ryan White funds can be used, with an emphasis on providing life-saving and life-extending services for people living with HIV/AIDS across this country.

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- New method for determining eligibility for Part A (formerly called Title I) funds gives priority to urban areas with the highest number of people living with AIDS while also helping mid-size cities and areas with emerging needs.

- New method for distributing Part A funds directs money to metropolitan areas with the highest number of people who are HIV-positive. It also encourages outreach and testing, which will get people into treatment sooner and save more lives.

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- More money will be spent on direct health care for Ryan White clients. Under the new law, grantees receiving funds under Parts A, B, and C (formerly called Titles I, II and III) must spend at least 75 percent of funds on “core medical services.”

- The new law recognizes that HIV/AIDS has had a devastating impact on racial/ethnic minorities in the U.S. African Americans accounted for 49 percent of all HIV/AIDS cases diagnosed in 2005. The new law codifies the Minority AIDS Initiative for HRSA's Ryan White programs.

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Grant awards in FY 2007

- Appropriations for the U.S. Department of Health and Human Services, including HRSA, were enacted on February 15. HRSA is diligently working to determine the funding for the Ryan White programs in the PHS Act.

Part A Funding Schedule

- Formula awards were given on March 5
- Supplemental awards will be awarded by April 30
- Minority AIDS Initiative funds will be awarded on August 1

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At-a-Glance

- Part A funds eligible metropolitan areas and transitional grant areas. 75% must be spent for core services
- Part B funds States. 75% must be spent for core services
- Part C funds early intervention services. 75% must be spent for core services
- Part D grants support services for women, infants, children & youth
- Part F comprises Special Projects of National Significance, AIDS Education & Training Centers , Dental Programs and Minority AIDS Initiative. Also requires HHS to develop Severity of Need Index by September 2008.

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Part A Funds for Cities (formerly Title I) Eligibility

- The new method for determining eligibility for Part A (formerly called Title I) funds gives priority to urban areas with the highest number of people living with AIDS while also helping mid-size cities and areas with emerging needs.
- Metropolitan areas with a cumulative total of more than 2,000 cases of AIDS during the most recent five-year period and a population of 50,000 or more are eligible for funding as Eligible Metropolitan Areas.
  - List of 22 Part A Eligible Metropolitan Areas and their FY 2007 Formula Awards

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- Continued eligibility as an Eligible Metropolitan Area is contingent on having:
  - 2,000 or more cases of AIDS during the most recent 5 years; and
  - a cumulative total of 3,000 or more living AIDS cases as of the most recent calendar year.
- Cities are considered a Transitional Grant Area if they have at least 1,000, but not more than 1,999 cumulative AIDS cases during the most recent five years, and a population of 50,000 or more persons.
  - List of 29 Part A Transitional Grant Areas and their FY 2007 Formula Awards
  - This includes five areas that were not previously funded through Part A funds:
    - Baton Rouge
    - Charlotte
    - Indianapolis
    - Memphis
    - Nashville

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Funding

- The new method for distributing Part A funds directs money to metropolitan areas with the highest number of people who are HIV-positive. It also encourages outreach and testing, which will get people into treatment sooner and save more lives.
- The new law's formula for awarding funds relies on counts of people living with HIV/AIDS for the most recent calendar year.
- Under the new law, HRSA must use HIV/AIDS data from both name-based states and code-based states.
- The funding distribution in the old law only counted estimated AIDS cases within the last ten years.

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- Adding the count of HIV-positive people to the formula for determining funding distributions allows medical care and support services to be provided in a way that reflects the spread of the virus in U.S. urban areas.
- And by linking the current count of people who are HIV-positive to funding levels, the new law gives cities an incentive to encourage people at risk of HIV infection to get tested.
- The sooner people know their HIV status, the sooner they can enter treatment. And the sooner they enter treatment, the better their chances for staying healthy.

Core Services

- More money will be spent on direct health care for Ryan White clients. Under the new law, grantees receiving funds under Parts A, B, and C (formerly called Titles I, II and III) must spend at least 75 percent of funds on "core medical services."

- Previously, no core set of medical services was specified in statute.

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- The Administration and Congress want to make sure that grantees target Federal funds to pay for essential medical care. That care includes
  - outpatient and ambulatory health services;
  - pharmaceutical assistance;
  - substance abuse outpatient services;
  - oral health;
  - medical nutritional therapy;
  - health insurance premium assistance;
  - home health care;
  - hospice services;
  - mental health services;
  - early intervention services; and
  - medical case management, including treatment adherence services.

- Remaining funds may be spent on support services, defined as services needed to achieve outcomes that affect the HIV-related clinical status of a person with HIV/AIDS. The law outlines support services as:
  - outreach;
  - medical transportation;
  - language services;
  - respite care for persons caring for individuals with HIV/AIDS; and
  - referrals for health care and other support services.

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Minority AIDS Initiative

- The new law recognizes that HIV/AIDS has had a devastating impact on racial/ethnic minorities in the U.S. African Americans accounted for 49 percent of all HIV/AIDS cases diagnosed in 2005.
- The new law codifies the Minority AIDS Initiative as part of the Ryan White program in the Public Health Service Act under Title XXVI and provides funding for activities to evaluate and address the disproportionate impact of HIV/AIDS on racial and ethnic minorities.
- Through Parts A and B, metropolitan areas and states will be able to compete for funding to address disparities in access, treatment, care, and health outcomes.
- HRSA expects to award funds through the Minority AIDS Initiative for Part A and B programs in August 2007.
- The Minority AIDS Initiative funding for Parts C, D and F (AIDS Education and Training Center) programs will continue to be awarded at the same time as programs receive their other Ryan White funds.

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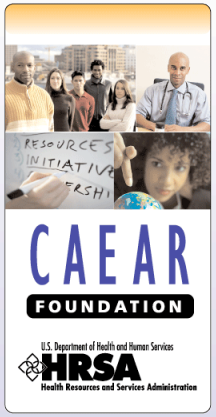
End of Module 3



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Module 4:

Building Community Support

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Self Assessment

- Do you have a plan to create a desired identity?
- Are you able to communicate your value to the clients and populations you serve?
- Do you involve parents and youth in your work?
- Do you involve a broad range of stakeholders in your work?
- Do you recognize and reward people who help you achieve your sustainability goals?

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Adaptability to Changing Conditions

- Adaptability to changing conditions involves strategic thinking about trends in the field and the community you serve.
- The most successful initiatives are those whose leaders are adapt at anticipating, influencing, and effectively responding to new opportunities or threats in their environment.

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- This involves keeping abreast of current research in the field and of data on the economic, demographic, and social conditions of your community.
- It also means contributing to and helping shape policy at the local, state, and national level.

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- Your ability to track, contribute to, and adapt to changing policy environments – and to position your initiative to respond to national, state, and local decision makers' priorities – is critical to sustainability.

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Conduct an Environmental Scan

- Political Environment
- Economic Conditions
- Demographic Changes
- Related Organizations

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Design Strategies

- What opportunities did the environmental scan identify? Do you anticipate changes in the policy or program environment that you should be responding to?
- What threats are present in the external environment? Do you need to take action to respond to those threats?

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- What are your major strengths related to adaptability to changing conditions? What resources are associated with those strengths?
- What are your major weaknesses? Do those weaknesses significantly affect your ability to accomplish your sustainability goals?

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- Do the financing strategies you selected require you to respond to factors in the external environment in new and intentional ways?
- What resources do you need to implement these strategies?

Potential Strategies

- Create or join a coalition of organizations and individuals interested in similar issues
- Improve your ability to participate in advocacy efforts – identify yourself as a resource, develop written materials, and advertise your expertise
- Set up a monitoring process to track major policy and program developments

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- Create a community assessment process to identify emerging needs
- Designate a person from your governance group to serve as a liason with other coalitions or associations
- Identify opportunities to influence the policy process and take advantage of them – including public comment opportunities, public forums, and other opportunities

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Designing Strategies for Broad Based Community Support

- Who are the critical stakeholders you need to engage in your initiative? Who is important to have on board in order to accomplish your sustainability goals?
- Do you currently have their support? Do you need to deepen their commitment? Do you need to solicit their involvement as a first step?

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Designing Strategies for Broad Based Community Support

- How best can you engage these stakeholders? …through community outreach strategies or by providing new leadership opportunities within the initiative?
- Do the financing strategies you selected require you to engage a broader set of stakeholders or to bring on a different set of stakeholders than have historically been a part of your initiative?
- What resources do you need to implement these strategies?

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Questions for Consideration:

- What groups or organizations from the community are missing? Are all stakeholders represented?
- Is leadership and responsibility shared among all partners?
- Are roles and responsibilities clear to all members of the collaboration?
- Are all partners moving toward goals to achieve the common vision?

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Key Champions

- Have you identified key senior decision makers who can influence your sustainability?
- Do you have an outreach plan tailored to each decision maker?
- Do you keep the key leaders of your initiative informed about your work and its value for your community?

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Champions Are People Who…

- Know lots of people from different social and professional circles because they have a knack for making friends and acquaintances everywhere they go.
- Keep in touch with the people they know, often by sending notes, birthday cards, and other small contact gestures.
- Occupy different social and professional circles.

CAEAR FOUNDATION Communities Learning Together

Champions Are People Who…

- Like to bring people together - great for providing introductions and access to those you don't know.
- Have numerous friendly acquaintances rather than lots of close friends.
- Know enough about their contacts to provide insight on how best to approach and motivate prospective stakeholders/resources.

CAEAR FOUNDATION Communities Learning Together

Designing Strategies for Key Champions

- Who are the critical community leaders you need to engage in your initiative? Whose leadership is important to accomplishing your sustainability goals?
- Do you currently have their support? Do you need to deepen their commitment? Do you need to solicit their involvement as the first step?

CAEAR FOUNDATION

Communities Learning Together

Designing Strategies for Key Champions

- How can you best engage these decision makers? …through community outreach strategies or by providing new leadership opportunities within the initiative?
- Do the financing strategies you selected require you to engage a broader set of champions or to bring on a different set of champions than has historically been a part of your initiative?
- What resources do you need to implement these strategies?

Potential Strategies

- Think about ways to make participation in your initiative an attractive prospect to an influential community member. Consider creating leadership opportunities on your governance board or for special events
- Consider who would be most persuasive in convincing a potential champion to get on board with your initiative.

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Potential Strategies

- Some leaders need to be cultivated over time. Make sure to send potential champions information about your initiative on a regular basis. Let them know the value of the work you are doing.
- Consider the personal background of community leaders when identifying potential champions. Personal connections to your work can provide a strong motivation for a leader to participate in your initiative.

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Strong Internal Systems

- **Quality programs cannot exist without strong internal systems, such as:**
  - Communications Systems
  - Accounting and Auditing Procedures
  - Procurement and Personnel Procedures
  - Information Systems
  - Governance Structures
  - Management Systems

Design Strategies

- What systems do you currently have in place?
- Do these systems meet your needs? Do they provide you with the information you need to manage your initiative? Do they enable you to operate efficiently?
- What systems do you need to expand or strengthen? What systems do you need to create?
- What resources do you need to implement these strategies?

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Potential Strategies

- Fiscal Management – enlist the aid of a local nonprofit accountant to review your fiscal management system and develop recommendations to improve it
- Communications – Set up regular processes for communicating with various partners and stakeholders

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Potential Strategies

- Governance – Review your governance structure to ensure it meets your needs. If your initiative has grown, do you still have the leaders you need to guide your work?
- Human Resource Management – Consult with a nonprofit organizational consultant to review your human resources practices and procedures

Prioritize Strategies

- Importance for accomplishing your sustainability goals
- Ease of implementation
- Financial feasibility

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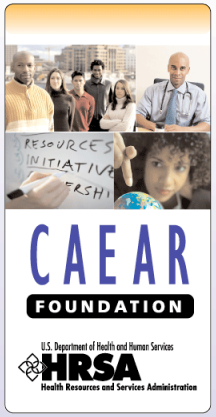
End of Module 4



Communities Learning Together

Advancing HIV Care and Support through
Fiscal Management and Organizational Development

Module 5:

Putting It All Together

Developed under cooperative agreement with HHS, HRSA, HAB
Access Ryan White TA at careacttarget.org

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Developing a Workplan

- Align your sustainability workplan with your existing management tools
- Seek input from those who will actually implement the workplan
- Use an appropriate timeframe for your initiative

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Using Your Sustainability Plan

- A Management Tool
- A Public Relations Tool
- A Current Document

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Communities Learning Together

End of Module 5

Developed under cooperative agreement with HHS, HRSA, HAB
Access Ryan White TA at careacttarget.org

Creating Sustainability:
Modules 1-5: Building a Sustainability Initiative

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(Some worksheets adopted from the Finance Project: An Afterschool Project)

Overview of the Sustainability Planning Process

Module 1: Building a Sustainability Initiative	■ What are the key elements of sustainability? ■ What are your initiative's strengths and weaknesses?	■ Sustainability self-assessment
Module 2: Developing a Vision and Results Orientation	■ What do you want to sustain? ■ What do you mean by sustainability? ■ How will you measure progress toward those results?	■ Logic Model
Module 3: Creating a Strategic Financing Plan	■ How much will it cost to accomplish your sustainability goals? ■ What resources do you currently have? ■ What additional resources do you need? ■ How do you access those funding sources?	■ Fiscal Worksheets
Module 4: Building Organizational Capacity and Community Support	■ What resources related to community support, key champions, and organizational capacity do you need to accomplish your sustainability goals?	■ Environmental scan ■ Strategy design worksheets
Module 5: Developing and Writing the Plan	■ Over what timeframe will you implement your plan? ■ How can you best present all of your analysis in a convincing written plan?	■ Sample formats ■ Sample plan

Information Needed in a Sustainability Planning Process

	Useful Documents and Needed Data
Module 1: Building a Sustainability Initiative	• Previous strategic planning documents
Module 2: Developing a Vision and Results Orientation	• Mission and/or vision statements • Existing logic models • Planned or completed evaluations
Module 3: Creating a Strategic Financing Plan	• Budget information; data on costs of services • Information on current funding sources • Information on how various funding sources are currently allocated in your community
Module 4: Building Organizational Capacity and Community Support	• Information and analysis on the political and economic environment • Information on community demographics and needs
Module 5: Developing and Writing the Plan	• Previous proposals and public relations materials • Completed worksheets from previous modules • Organizational chart, recent audit statements, and other document for the appendix.

SUSTAINABILITY SELF-ASSESSMENT TOOL

The eight elements of sustainability, along with tasks specific to each element, are described below. Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:

1 = Have not started this task
2 = Have started initial conceptual and planning work
3 = Have begun to implement this task
4 = Have made solid progress in implementing this task
5 = Have made sufficient progress in completing this task

ELEMENT ONE: Vision						
The initiative's leaders know what they want to sustain.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative's leaders have developed a clear vision for their work.						
B. The initiative's leaders have developed a process to determine what is to be sustained, and by whom.						
C. The initiative's leaders have decided what they want to sustain (for example, a formal entity, a process, a service, a particular practice, a method of operation).						
D. The initiative's leaders have analyzed and can articulate how the initiative fits (or would like to fit) within the larger community.						
E. The initiative's leaders have analyzed and can articulate how the initiative complements, yet is distinguishable from, other initiatives.						

ELEMENT TWO: Results Orientation						
The initiative incorporates processes to establish and track performance and process measures. The initiative's leaders use that information to improve their work over time.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative has an accepted "theory of change" and logic model that shows how its work fits into a range of state and community efforts to improve the lives of targeted populations.						
B. The initiative's leaders have identified and use indicators[1] and performance measures to track the performance of their own work.						
C. The initiative uses indicators and performance measures to plan its work and budget its resources.						
D. The initiative's leaders examine data on these measures (including input from clients) to find ideas for ways to improve service design and delivery.						
E. The initiative's leaders implement these ideas, including changing or discontinuing initiatives as necessary.						
F. The initiative's staff and board collaborate with other initiatives that are pursuing improvements in community-wide indicators that relate to the initiative's work.						

ELEMENT THREE: Strategic Financing Orientation						
The initiative's leaders have identified a variety of financing strategies that could support the initiative. The initiative has a plan to pursue those strategies and is following that plan.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative's leaders know how much funding is needed to sustain their work.						
B. The initiative's leaders have identified the types of financial resources necessary to sustain their work, such as: • discrete sources of public funds (for example, one-time, ongoing); • discrete sources of private funds; • institutionalization within an ongoing system or process.						
C. The initiative's leaders have identified and are pursuing ways to ensure the most efficient use of existing funds (for example, gaining economies of scale).						
D. The initiative's leaders have identified and are pursuing ways to support the redirection or reallocation of funds (for example, using funds freed up through improved outcomes to finance more prevention activities).						
E. The initiative's leaders have identified and are pursuing ways to increase the flexibility of existing funding streams (for example, through pooling funds across agency and program lines or improving coordination of existing funding streams).						

ELEMENT THREE: Strategic Financing Orientation (continued)						
The initiative's leaders have identified a variety of financing strategies that could support the initiative. The initiative has a plan to pursue those strategies and is following that plan.						
	1	**2**	**3**	**4**	**5**	**Comments**
F. The initiative's leaders have identified relevant federal funding sources and are taking steps to access these sources (for example, Medicaid, other federal entitlements, block grants, and discretionary programs).						
G. The initiative's leaders have built public-private partnerships to leverage private-sector funding, create leadership, and garner technical expertise in support of their work.						
H. The initiative's leaders have investigated ways to generate new revenue that the initiative can control (for example, local fundraisers, grants from public- and private-sector sources).						
I. The initiative's leaders have identified and are pursuing ways to support the creation of new sources of public funds (for example, general revenue, expansion or creation of new taxes, and earmarked fees).						

ELEMENT FOUR: Broad-Based Community Support

The initiative's leaders take steps to involve the community in their work and gain community support based on the initiative's positive impact on community members' lives.

	1	2	3	4	5	Comments
A. The initiative has a plan to establish a desired identity and reputation within the community.						
B. The initiative's leaders involve recipients of their services in their work to improve service design and delivery and to build ownership and support.						
C. In addition to service recipients, the initiative's leaders involve a diverse set of stakeholders in their work (such as community-based organizations, government agencies, and private businesses) to improve service design and delivery and to build ownership and support.						
D. The initiative's leaders and community partners understand and communicate the work's value for members in its community.						
E. The initiative's leaders collect quantitative and qualitative data to show the value of their work for community members.						
F. The initiative's leaders package those data in user-friendly formats and communicate them regularly to the community, key stakeholders, media, potential funders, and others.						
G. The initiative's leaders recognize and reward people who are instrumental in helping achieve sustainability for the work.						

ELEMENT FIVE: Key Champions

The initiative's leaders identify potential champions they need to approach on an individual level and are following a plan to do so. These champions include senior decision makers, local community representatives and peer initiatives, and individuals. The initiative's leaders also pursue ways to communicate with stakeholders in a more general (less labor-intensive) fashion.

	1	2	3	4	5	Comments
A. The initiative's leaders have identified key senior decision makers at the community and state levels who can influence its sustainability.						
B. The initiative's leaders have designed and implemented a plan for tailored outreach to these key decision makers (including appropriate messengers and messages).						
C. The initiative's leaders have also developed other, less labor-intensive ways to contact and keep other potential champions informed (for example, sending them newsletters, inviting them to initiative events).						
D. The initiative's leaders use a variety of strategies to encourage champions, such as strongly involving key stakeholders in its work.						
E. The initiative's leaders have and use a variety of strategies to encourage peer community champions, such as collaborating with other organizations (for example, public and nonprofit service providers) in service planning, delivery, and financing.						

ELEMENT SIX: Adaptability to Changing Conditions						
The initiative's leaders seek new opportunities for resource development and support and are able to respond to new opportunities (for example, newly elected or appointed leaders) as they arise.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative's leaders monitor changes in the policy and program environment to see how their initiative could fit with new directives and agendas.						
B. The initiative's leaders consider how its work can be framed or positioned to interest different funders and to take advantage of new financing opportunities.						
C. The initiative's leaders use this information to approach new funders.						
D. The initiative's leaders have identified opportunities to participate in efforts to improve the overall policy and program environment (for example, standing advisory groups, opportunities to develop or comment on state plans for expending federal funds).						
E. The initiative's leaders actively participate in decision-making processes about changes in policy and practice.						
F. The initiative's leaders have determined how they can improve their ability to participate in these efforts (for example, by establishing their credibility as technical experts, community representatives, or controllers of resources), and have followed through to increase the likelihood of being able to participate.						

ELEMENT SEVEN: Strong Internal Systems						
The initiative has strong internal processes that ensure a vibrant, durable, and continuously improving initiative.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative has a well-defined team of staff, advisory or governance group members, volunteers, and others that it needs to accomplish its mission.						
B. The initiative's leaders and others understand and accept their roles and responsibilities.						
C. The initiative has strong fiscal processes that allow leaders to stay informed on its current financial status and to be alerted to emerging financing concerns.						
D. Staff and board develop and review projections for short- and long-term revenues and expenses.						
E. Staff and board develop financing strategies to meet those needs; staff and board review and change financial strategies as needed.						
F. The initiative has strong internal systems (for example, accounting, auditing, management information, procurement, personnel) to maintain quality control over its work.						
G. The initiative has strong communication processes to ensure that all partners are kept informed.						

ELEMENT EIGHT: Sustainability Plan						
The initiative has a sustainability plan that enables it to set priorities and take action.						
	1	**2**	**3**	**4**	**5**	**Comments**
A. The initiative's leaders have a long-term plan for what they want to accomplish.						
B. The initiative's leaders have identified challenges or obstacles to sustaining the initiative, including potential conflicts with alternative initiatives or agendas.						
C. The initiative's leaders have developed strategies to garner needed resources and overcome identified barriers.						
D. The initiative's leaders have a process to reassess and adjust their plan periodically.						
E. The initiative's leaders have identified and communicated with other individuals who have a role in the sustainability plan.						

Module I
I. WORKSHEET 1: Sustainability Self-Assessment Summary

Element	Strengths	Weaknesses
VISION Can the initiative clearly articulate what it wants to sustain and why? Are the sustainability goals in line with the vision and mission?		
RESULTS ORIENTATION Does the initiative measure results? Are the results used to improve its work over time?		

Element	Strengths	Weaknesses
STRATEGIC FINANCING ORIENTATION Is the initiative pursuing a variety of financing options? Is there a plan in place to pursue options?		
BROAD-BASED COMMUNITY SUPPORT Does the initiative work to involve the community in all aspects of its work? Are leaders knowledgeable about the needs and challenges of the clients they serve?		

Element	**Strengths**	Weaknesses
KEY CHAMPIONS Does the initiative have internal champions? Are their efforts noticed and rewarded? Has the initiative identified potential champions outside of its partner organizations?		
ADAPTABILITY TO CHANGING CONDITIONS Do initiative leaders monitor changes in the external environment? Is the initiative positioned to respond to new opportunities as they arise?		

Element	**Strengths**	Weaknesses
STRONG INTERNAL SYSTEMS Does the initiative have strong internal systems (for example, for management, fiscal, human resources, communications, and other systems)? Does the current governance structure support the goals of the initiative?		
SUSTAINABILITY PLAN Does the initiative have a plan that sets priorities and a process for taking action?		

What Do You Want to Sustain?	How Will You Measure Your Progress?
Vision and Desired Results The overall long-term vision and goals for the community and its members.	**Indicators** Measures that quantify and track community-wide progress toward results. Indicators help initiatives understand the context in which they operate, and whether the combined efforts of multiple initiatives are creating desired changes across a community. **Ultimate Indicators** – Measures of long-term community-wide progress toward desired results. They usually require significant investment and time to change. **Interim Indicators** – Measures of short-term or interim community-wide progress toward desired results. **Require community-wide effort**
Conditions and Causes The conditions, causes, circumstances, factors, and issues that need to change in order to achieve the results. The initiative will probably address some subset of these conditions or causes, but not all of them.	
Strategies and Activities Strategies – The broad approaches that the initiative will pursue to change its chosen subset of conditions and causes. Activities – The actions, services, and interventions that the initiative will undertake to implement the above strategies.	**Performances Measures** Measures that reflect how the initiative is implementing the strategies and activities to the left, and what effects the strategies and activities are having on the target population. Performance measures help initiative leaders answer the question: "What contribution, if any, are we making toward achieving the desired results?" **Measures of Effect** – Changes in the target population that comes about as a result of strategies and activities. Measures of effect often reflect changes in knowledge, skills, attitude, or behavior. **Measures of Effort** – Direct outputs of program activities – what and how much the program accomplishes. Measures of effort can include, for example, the number of classes, materials developed, trainings offered, or measures of customer satisfaction. **Can be affected by individual initiatives**

YOUR LOGIC MODEL

What Do You Want to Sustain?		How Will You Measure Your Progress?
VISION AND DESIRED RESULTS	↔	**INDICATORS**
CONDITIONS AND CAUSES		
STRATEGIES	↔	**PERFORMANCE MEASURES**
ACTIVITIES		

Module II
II. WORKSHEET 1: Self-Assessment Summary—Vision and Results Orientation

	Strengths	Weaknesses
ELEMENT ONE: Vision		
Do you have a clear vision for your work? Have you developed a process to determine what is to be sustained, and by whom? Do you know what you want to sustain? Do you know how your initiative fits (or how you would like it to fit) within the larger community? Have you analyzed and can you articulate how your initiative complements, yet is distinguishable from, other initiatives?		
ELEMENT TWO: Results Orientation		
Do you have a logic model? Do you use indicators and performance measures to track your work? Do you use indicators and performance measures to plan your work and budget your resources? Do you use indicators and performance measures to improve service design and delivery? Do you collaborate with other initiatives pursuing results that align with yours?		

II. WORKSHEET 2: Clarifying Vision and Desired Results

Vision Statement
Desired Results

II. WORKSHEET 3: Identifying Conditions and Causes

Result:		
(1) Related Conditions and Causes	(2) Do you address this condition? How?	(3) Who else in the community addresses this condition?

II. WORKSHEET 4: Prioritizing Existing Strategies and Activities

(1) Strategies and Activities	(2) What condition or cause does this strategy or activity address?	(3) Evidence of effectiveness (1–5)	(4) Ease of implementation (1–5)	(5) Financial feasibility (1–5)	(6) Political support (1–5)	Total

II. WORKSHEET 5: Considering New Strategies and Activities

(1) New Strategies and Activities	(2) What condition or cause does this strategy or activity address?	(3) Evidence of effectiveness (1–5)	(4) Ease of implementation (1–5)	(5) Financial feasibility (1–5)	(6) Political support (1–5)	Total

II. WORKSHEET 6: What Do You Want to Sustain?

(1) Strategies and activities that you want to sustain	(2) What scale are we aiming to sustain? **(for example: number of clients served, number of sites, range of activities, target population)**			(3) Over what time do we want to sustain?
	Next Year	**2 Years**	**3 Years**	

II. WORKSHEET 7: Identifying Measures of Effect

Strategies and Activities	Skills or Knowledge	Attitude	Behavior or Functioning	Status or Circumstance

II. WORKSHEET 8: Prioritizing Measures of Effect

(1) Measures of Effect	(2) Data Availability (1–5)	(3) Data Relevance (1–5)	(4) Data Power (1–5)	(5) Total Rank	(6) Priority Measures (X)

II. WORKSHEET 9: Identifying Measures of Effort

(1) Strategies and Activities	(2) Input Measures	(3) Output Measures	(4) Quality Measures

II. WORKSHEET 10: Prioritizing Measures of Effort

(1) Measures of Effort	(2) Data Availability (1 – 5)	(3) Data Relevance (1 – 5)	(4) Data Usefulness (1 – 5)	(5) Total Rank	(6) Priority Measures (X)

II. WORKSHEET 11: Identifying Indicators

(1) Results	(2) Indicators	**(3)** **Data Availability** (1–5)	(4) Data Relevance (1–5)	(5) Data Power (1–5)	(6) Total Rank	(7) Priority Measures (X)

Module III
III Worksheet 1: Financing For What?

Strategies and Activities You Want To Sustain	Over What Time Do You Want To Sustain Them?	Ramp-up Assumptions: What scale are you aiming to sustain? (for example: number of clients, number of sites)		
		Next Year	2 Years	3 Years

III Worksheet 2: How Much Do You Need?

Cost Assumptions

Type of Service or Activity: _____

Number of Clients Served/Number of Sites:_____/_____

Timeframe:_____

	Program Element	Estimated Cost
Start-Up Costs		
Planning		
Community Assessment		
Initial Staff Recruitment and Training		
Equipment and Supplies		
Facilities Renovation/Expansion		
Ongoing Operating Costs		
Staff		
Supplies		
Training and Technical Assistance		
Transportation		
Facilities (Rent, Utilities and Maintenance)		
Administration and Overhead (Insurance, Planning, Evaluation, and Reporting)		
Other		
Infrastructure		
Planning and Coordination		
Training and Technical Assistance		
Evaluation		
Management, Administration, and Overhead		
Other		
Total Costs		

III Worksheet 3: Identify Current Resources

Major Strategies or Activities	Available Resources			
	Source of Funding or In-Kind Contribution	Amount	Restrictions on Use of Funding	Expected Timeframe Funding is Available

III Worksheet 4: Assess Your Funding Gaps

Major Strategies or Activities	Next Year			Two Years			Three Years		
	Total Costs	Available Resources	Gaps	Total Costs	Available Resources	Gaps	Total Costs	Available Resources	Gaps

III Worksheet 5: Evaluate Potential Funding Sources and Financing Strategies

Funding Source	How much does it generate?	What is the administrative burden?	What is the timeframe to realize revenue?	Does it help diversify my portfolio?	Can I use the source to meet my specific fiscal needs?	What are the political considerations?	Priority Source to Access (X)
Public Sources							

Funding Source	How much does it generate?	What is the administrative burden?	What is the timeframe to realize revenue?	Does it help diversify my portfolio?	Can I use the source to meet my specific fiscal needs?	What are the political considerations?	Priority Source to Access (X)
Private Sources							

Funding Source	How much does it generate?	What is the administrative burden?	What is the timeframe to realize revenue?	Does it help diversify my portfolio?	Can I use the source to meet my specific fiscal needs?	What are the political considerations?	Priority Source to Access (X)
Other Sources							

III Worksheet 6: In-Kind Donations

Donated Equipment and Supplies		
Number	Equipment/Supplies	$ Value

Donated Services		
Service	Provider	$ Value

Donated Facilities		
Facility	Agency/Function/Use	$ Value

Common fundraising methods are as follows:

- **Stakeholder Giving** refers to gifts from individuals who have a special interest in the activities of an organization, such as board members, staff, volunteers and constituents.
- **Direct Mail Fundraising** is solicitation of funds by mass-mailings directly to individual donor prospects. Contributors may be members of the organization, individuals in the community, and individuals sharing the organization's vision.
- **Annual Giving** is a fundraising program that generates gift support to help sustain yearly budgets or general operations. Contributors are members of the organization, individuals in the community, and individuals sharing the organization's vision.
- **Major Gifts/Grants** are significant donations to a not-for-profit organization. Contributors are individuals, corporations and foundations.
- **Capital Campaigns** are intensive fundraising efforts to meet a certain financial goal within a specified period of time for one or more major projects, such as the construction of a building. Contributors are wealthy individuals who share the organization's vision, other stakeholders, members of the organization, and individuals in the community.
- **Endowment Campaigns** are campaigns to allocate funds specifically to create or supplement a permanently restricted net asset, the principal of which is protected and the income from which may be spent for an organization's operating expenses. Contributors are wealthy individuals who share the organization's vision, other stakeholders, members of the organization, and individuals in the community.
- **Planned Giving** is a pre-arranged gift, such as a bequest, life insurance policy, charitable remainder trust, or gift annuity. Contributors are members of the organization, individuals in the community, individuals sharing the organization's vision, and those needing annuity income.
- **Resource Donations** are donations of time, talent, equipment, supplies, free or discounted services, and free or discounted products. Contributors are businesses and professionals in the community.

- **Fees for Services** are charges for services an organization already provides (or can provide) to clients and other community members. Contributors are beneficiaries of services provided.

Though there is great diversity in fundraising methods, the following steps are critical to most or all of them:

- Develop a vision, mission statement, and case for support
- Identify all potential stakeholders
- Research prospective donors
- Communicate and cultivate relationships with stakeholders and prospective donors
- Work to develop stakeholder and donor "buy-in" for the program and activities
- Prepare and make the request for support ("the Ask")
- Carry out follow-up to "Asks" made
- Demonstrate accountability and results to stakeholders and donors

Private Funding for HIV/AIDS Programs

Giving Circles

Often described as a “social investment club,” a Giving Circle is a pooled fund, generally hosted or sponsored by a charitable organization such as a community foundation, through which members make grants together. Circles are typically organized around a particular issue or area of interest, such as women’s issues, the environment, or education, and are considered a high-engagement form of philanthropy because donors engage in collective decision-making and educational activities. The circle’s grant making functions – which may include issuing a request for proposals, proposal review, and site visits – offer an enriching philanthropic experience. This participatory process, combined with the increased impact of pooled charitable dollars, has strong appeal for many donors. Giving Circles allow for a wide range in charitable styles, philosophies and politics, structure, size, and focus.

Donors combine their resources with colleagues and/or friends who share a common interest in a social cause or issue. Together, donors gain an in-depth understanding of a specific interest area, focus on ways the group can have an impact, make joint social investment decisions, and leverage monetary contributions with volunteerism and expertise to the nonprofits supported. Giving Circle donors often commit to participation in the circle for several years at an established dollar level and the entire group engages in strategic decision-making to determine which charitable organizations to support.

Charitable Bequests

Charitable bequests amounted to $17.44 billion in 2005 (estimated, *Giving USA 2006*). This amount was small (7% of estimated total giving in 2005) compared with the $199 billion donated by living individuals. What is more, this amount has not shown the growth observed for other types of giving, remaining at a stable level across the past six years while other types of giving grew. This lack of growth in giving by bequests, points to a potential new source of charitable giving for fundraisers.

In-Kind Contributions

In-kind contributions can play a major role in your program's funding plan, providing much needed resources (from supplies to staff time to facilities). One way to identify potential in-kind contributions is to map your community's assets and then examine how they can apply to your program's needs. In-kind contributions can come in the form of donated supplies from local stationary stores, grant writing services from nonprofits, evaluations conducted by universities and a variety of other ways.

Be creative in your approach to involving other organizations in your program - there are frequently uptapped resources and support among organizations that share your vision and goals.

Not only will such in-kind contributions decrease your program's direct expenditures, but they can be considered as matching funds for programs and grants that require a local contribution.

Wealthy, Affluent and Influential Individuals

Overall, for the best results in pursuing private funding, try to frame the outcomes of your program in terms that resonate with private funders.

Strategies to locate and cultivate donors include:

- 990 tax filings in your state's Attorney General or Secretary of State Office for people with small family foundations
- Contributor listings in not-for-profit annual reports
- Listings of influential members of "society" –i.e., in Baltimore, it is "The Blue Book", etc.
- Newspapers (obituaries, front page, business section, etc.), regional magazines, business journals, etc.
- Business, Academic, Hospital, United Way, Organization lists of Board members
- Volunteer knowledge and insight

A September 2006 articles indicates:
The 10 states with the largest amounts of wealth — those where the total assets held by residents were the highest — did not rank in the top 25 percent of most-generous states, the study found. Those states are California, Connecticut, Florida, Illinois, Massachusetts, New Jersey, New York, Ohio, Pennsylvania, and Texas.

Market Research.com puts out a semi-annual report on the habits of the most affluent people in the U.S. They sell the mailing list for their market research.
MarketResearch.com

Phone: 800.298.5699 (U.S.)

Fax: 240.747.3004

Email: customerservice@marketresearch.com

Address: 11200 Rockville Pike
Suite 504
Rockville, MD 20852

Hours: 8:30am to 7:00pm EST Monday thru Thursday
8:30am to 6:30pm EST Friday

Corporations and Business

Strategies to locate and cultivate donors include:

- Annual Reports
- Web Sites
- Newsletters

- Newspapers, Business Journals
- Volunteer knowledge and insight

Cause Related Marketing

Cause-related marketing is one of the fastest growing business marketing strategies in North America. Increasingly in this era of global competition, companies must fight for consumer recognition and loyalty. Simply offering a quality product or service does not guarantee success in the twenty-first century.

Companies must look for innovative ways to distinguish themselves in the market. One successful strategy is cause-related marketing. Partnership with a worthwhile cause attracts consumers, who when faced with roughly equal products or services, choose one that has an impact on an issue they care about. You need only think of The Body Shop or Ben and Jerry's Ice Cream to see how successful cause-related marketing can be for a company in a crowded marketplace.

Donor and Prospect Research

Association of Professional Researchers for Advancement - APRA's collection of Web pages – links to Internet pages created by and for advancement researchers or their peers. This collection is a launch point for research work. APRA believes experts should guide the way, and the professionals who built these pages are experts in finding worthwhile Web sites. Each researcher's page consists of a unique set of links. Your visits to several of these mega-pages will give you access to the most current sites and tools researchers are using to identify and qualify prospective donors. Collection includes Web sites built and maintained by researchers or their peers, all employed by nonprofits. **http://www.aprahome.org/researchlinks/index.html**

Association of Small Foundations – Small foundations may not have the Gates fortune to draw upon, but many community development investments are made by individuals and families establishing small foundations. Here you'll find a list by state, and more important, information the members of this group may use to determine grant giving policies, such as their Primer on Grantmaking.
http://www.smallfoundations.org

David Lamb's Prospect Research Page – A great site for prospect researchers. Comprehensive links and much more of the sites he uses and recommends to others. Mr. Lamb is Director of Prospect Research for the University of Washington.
http://www.lambresearch.com/

EDGAR - Acronym for Electronic Data Gathering, Analysis and Retrieval system. It is the Securities and Exchange Commission's database of corporate information. This includes annual reports on Form 10-K or 10-KSB. Information on officer compensation and assets of corporations.
http://www.sec.gov/edgarhp.htm

Internet Prospector - Monthly newsletter is part of this site, accumulated by fund development research volunteers and hosted by the University of Arizona. Includes extensive information and links to philanthropic and prospect research sources. One of the best features is the Archives section that links to the last 12 months of their newsletters. The Tools section brings you the tools you need (hence, the name) to begin your work including some of the best prospect research sites (with full annotation) and some interesting goodies like the Calculators and Zip Code search resources. They do find some interesting and helpful sites on all aspects of resource development.
http://www.internet-prospector.org

MSU Prospect Research Resources - A pretty good collection of resources in several topic areas: General Prospecting, People Prospecting, Company Prospecting, Professional Organization Directories, and Professional Research Organization Directories. Another of MSU's funding guides.
http://www.lib.msu.edu/harris23/grants/prospect.htm

NETSource at USC - Selected and extensive sites for prospect research on the web, provided by the university's Development Research Department. Links to corporate, foundation and individual research, directories of many types, articles written by staff, list of free and commerical sources, tools, lists and more. Examples of some sub-sections follow:
http://www.usc.edu/dept/source/

Directory of Directories from NETSource
http://www.usc.edu/dept/source/direct.htm

Fund-Raising and Foundation Research from NETSource
http://www.usc.edu/dept/source/found.htm

Government Documents from NETSource
http://www.usc.edu/dept/source/gov.htm

Planned Giving Research from NETSource
http://www.usc.edu/dept/source/planned.htm

Prospect Research Sites NETSource
http://www.usc.edu/dept/source/research.htm

Prospect Research Tips from Waltman Associates - A compilation of reference works for prospect research. A very large annotated section on sources and tips linked to databses, publications and internet sources. **Best Bet.**
http://www.tc.umn.edu/nlhome/g248/bergq003/wa/rsrchtips.html

Researching Companies Online - This business research tutorial presents a step-by-step process for finding FREE company and industry information on the World Wide Web. With the Internet, you can gather a tremendous amount of business intelligence information on prospects, competitors, vendors, suppliers, customers, or other companies in just a few hours. This online course will enable you to: Locate High-Level Company Information; Find Sales Prospects; Identify Telephone Numbers and Addresses; Locate Company Home Pages; Research Company Financial Information; Monitor Company News and Periodicals; Review Public Opinion; Use Business and Financial Meta-sites; Locate Professional Associations; Find Conferences and Seminars; Learn about an Industry; Research Nonprofit Organizations; and Identify International Business Resources.
http://home.sprintmail.com/~debflanagan/index.html

SEC Information - A Securities and Exchange Commission (SEC) EDGAR database service with millions of links created within these filings. A commercial site by Finnegan O'Malley & Company, but the site is free. All SEC reports, a free notifcation service on certain reports, search by several variables, and more. For research on public companies, this is a very promising site.
http://www.secinfo.com

Society of Research Administrators Grants Web – It appears that almost any site you're searching for related to federal government funding is linked here… but also a lot more. Policy information and regulations, private funding sources, e-journals, legislation, plus, plus. Just the type of site you would expect from this professional association.
http://www.srainternational.org/newweb/grantsweb/index.cfm

St. Bonaventure University - Donor and Prospect Management/Development Research - Links to the following categories of information: Corporate and Company, Professionals and Individuals, Directory Information , Searchable Gopher Reference Sites, Professional Research Organizations , Other Prospect Research Sites , Other Fun and Useful Sites
http://www.sbu.edu/alumni/alumni_corp_reasearch.html

U.S. Census Bureau - Demographics collected by the Federal government, helpful in evaluating demographic portion of grant proposals. Links to other Federal statistical agencies.
http://www.census.gov

Veritas Information Services - Many prospect research links compiled by this consulting firm, and available by categories, such as by Company, Demographics, Foundations, Financial/Securities, Real Estate, Government, Prospect Research Sites and more. Nice compilation of links and related articles.
http://www.veritasinfo.com/training.htm

Module IV

IV. WORKSHEET 1: Environmental Scan

	General Trends	Opportunities	Threats
Political conditions			
Economic conditions			
Demographic changes			
Related organizations			

IV. WORKSHEET 2: Self-Assessment Summary—Adaptability to Changing Conditions

	Strengths	Weaknesses
Do you monitor changes in the policy environment?		
Have you considered how your work could be framed to interest different funders?		
Have you identified ways to participate in efforts to improve the overall policy environment?		
Do you participate in efforts to change policy and practice?		

IV. WORKSHEET 3: Strategies Related to Adaptability to Changing Conditions

Issues, Opportunities, and Threats	Potential Strategies	Resources Needed for Implementation

IV. WORKSHEET 4: Self-Assessment Summary—Broad-Based Community Support

	Strengths	Weaknesses
Do you have a plan to create a desired identity?		
Are you able to communicate your value to the clients and populations you serve?		
Do you involve parents and youth in your work (if appropriate)?		
Do you involve a broad range of stakeholders in your work?		
Do you recognize and reward people who help you achieve your sustainability goals?		

Perception Box

Often called a “message box,” the perception box can help us gauge our perceptions and those of potential supporters.

Our Organization	Potential Supporters
How We See Us	How They See Us
How We See Them	How They See Themselves

How can you use this information to appeal to a potential supporters’ self interest?

Creating an Organizational Brand

Create a strong organizational brand and make sure it's used consistently across departments, site and marketing outputs, both print and online.

The challenge, of course, is how to create that high-impact brand and make sure that it is applied according to defined standards in print and online marketing materials to diverse audiences, by all marketing material creators without inhibiting the power of personal voices. The solution goes much beyond a traditional style guide (which is usually focused on writing style and grammar) to encompass these four steps:

1. Make sure that there's agreement, within leadership and key departmental staff, on what the agency's brand is. The brand portfolio includes:
    - Positioning statement.
    - Key messages for the agency, and for each of your programs or services.
    - Design guidelines on use of agency logo and colors.

    Remember that the agency may need to implement audience research to develop a brand that resonates with all of its key audiences. Brand management (reviewing materials, ensuring consistency, brand application) has to be added to an employee's job. That's the only way to bring it to life.

    Many nonprofit staff members perceive the notion of brand as being far too "commercial" to be put to use in their organizations. Beware of this attitude! It is your greatest barrier to marketing success.

    Brand is simply the core marketing elements (both graphic and narrative) that, when used consistently, ensure that your nonprofit is quickly recognized and understood by your key audiences. Every nonprofit needs a strong brand.
2. Discuss the communications creation process with your colleagues and, with input from representative staff departments, create a process for creation and review of marketing materials.

    If communications come through one person in your agency; what happens before and after that person?
3. Design and implement additional tools to make it easier for your colleagues to develop or generate communications that do convey the brand.
    - Select a standard style guide (Chicago Manual of Style, Words Into Type or AP Stylebook) and dictionary as your standards.
    - Create an agency style guide on grammar conventions (whether to use serial commas or periods within acronyms), as well as specifics on writing about the agency (when to use the acronym, if at all) and its work.

- Create templates (in Word or the word processing program used by agency staff) for the most common communications materials. These may include a one-page flyer, tri-panel brochure on services, and a press release.

  Make these available for download so that your colleagues have a quick-and-dirty way of creating ASAP communications that are aligned with the agency's brand.

4. Hold a training session, in which you explain what the brand is (messages, design standards, style guide, processes, and templates) and why it's important to be consistent in using it.

   Include scenarios to illustrate how the communications creations process works, rather than just distributing the guide.

   Most importantly, make sure you convey that individual insights and voices are prized, but that they have to complement core messaging that's crafted to enable the agency to meet its organizational goals.

IV. WORKSHEET 5: Community Engagement Strategies

	Targeted Individuals or Organizations	Engagement Strategies (communication method, who is responsible)	Resources Needed for Implementation
Related community-based organizations			
Community residents, parents, youth			
Legislators and government agencies			
Business leaders			
Leaders of the faith community			
Others			

IV. WORKSHEET 6: Self-Assessment Summary—Key Champions

	Strengths	Weaknesses
Have you identified key senior decision makers who can influence your sustainability?		
Do you have an outreach plan tailored to each decision maker?		
Do you keep the key leaders of your initiative informed about your work and its value for your community?		

IV Worksheet 7: Identifying Your Current Champions

Champions	Affiliations	Networks

IV. WORKSHEET 8: Strategies for Cultivating Key Champions

	Key Individuals	Engagement Strategies (methods of communication, by whom)	Resources Needed for Implementation
Influential community leaders			
Political leaders			
Business leaders			
Local community foundation and United Way leaders			
Others			

Small Gestures – Big Payoffs!

Read the Newspaper.
Let stakeholders know of your ongoing interest in their lives. Clip and mail articles (from the front page, business, obituary, or house and garden sections). Include a short handwritten note to stakeholders to acknowledge accomplishments, offer support or sympathy and pass on useful information.

Send cards
Recognize stakeholders for good work, leadership, birthdays, etc. A personalized note received three or four times a year goes a long way to cultivating stakeholders.

Don't overlook the obvious
Remember co-workers and volunteers have connections, resources and the obvious willingness to further your mission. Give them the attention they need, no matter how time consuming it feels - it will pay off!

Ask for advice
Everyone could use a few people to bounce ideas off of and help to solve problems. On-the-go people should recruit 3-4 personal advisors who know they may be called upon two or three times a year to help you talk out a challenge or opportunity. People like to share their wisdom and feel needed. You benefit from different perspectives while cementing stakeholder involvement and commitment.

Crafting Your "Ask" for Support

We know that any "ask" we might make is enhanced if:

- The right prospect is asked
- In the right way
- At the right time
- By the right person
- For the right resource

Reviewing all of your analysis:

The right prospect is….

What is the best approach?

When is the best opportunity?

Who might be the best person to do the asking?

Concisely stated, what are you asking for?

IV. WORKSHEET 8: Self-Assessment Summary—Strong Internal Systems

	Strengths	Weaknesses
Do you have a well-defined governance board?		
Do the leaders of your initiative understand their roles and responsibilities?		
Do you have strong fiscal management processes in place?		
Do you have strong management systems in place to maintain quality control over your work?		
Do you have communications processes in place to keep all of your partners and supporters informed about your work?		

IV. WORKSHEET 9: Strategies for Strengthening Internal Systems

	Do current systems meet your needs? What needs are not being met?	Do you need to strengthen, expand, or create new systems?	Strategies and next steps	Resources needed for implementa-tion
Governance				
Communications				
Fiscal management				
Human resource management				
Management information systems				
Other				

IV. WORKSHEET 10: Prioritize Strategies Related to Community Support and Organizational Capacity

Strategies	Importance for Accomplishing Goals (1–5)	Ease of Implement-ation (1–5)	Financial Feasibility (1–5)	Total Rate	Priority Strategies for this Plan (X)
Adaptability to Changing Conditions					
Broad-Based Community Support					

Strategies	Importance for Accomplishing Goals (1–5)	Ease of Implement-ation (1–5)	Financial Feasibility (1–5)	Total Rate	Priority Strategies for this Plan (X)
Key Champions					
Strong Internal Systems					

IV. Worksheet 11: Building Collaboration

Our Program's Vision

Current Partner/Source	Who They Represent in the Community	Their Mission/ Interest	Needed Resources from the Collaboration	Actions to be Taken	Who is Responsible?

Potential Partner/Source	Who They Represent in the Community	Their Mission/ Interest	Needed Resources from the Collaboration	Actions to be Taken	Who is Responsible?

Module V Worksheet 1: Workplan for Sustainability Planning

Module	***Task(s)***	***Who's Responsible***	***Timeline***
	Create task force structure to guide the process		
I: Where Are We Now? The Self-Assessment	*Complete Sustainability Self-Assessment*		
II: What Do We Want to Sustain? What Do We Mean by Sustainability?	*Develop Logic Model to:* • *Clarify sustainability goals* • *Identify measures to track progress*		
III: How Much Does It Costs? How Will We Finance It?	*Clarify Financing for What?* • *What types of services?* • *How many children/families?* • *What level of quality?*		
	Estimate Fiscal Needs: How much will it cost?		
	Map Current Spending: What resources do you currently have?		
	Analyze Gaps: What's the gap between how much you have and how much you need?		
	Develop Financing Strategies • *Present financing options* • *Evaluate options* • *Develop recommendations*		
IV: Building Community Support	*Identify Priorities such as:* • *Community engagement* • *Strategic communications* • *Leadership development* • *Governance and management*		
	Design Strategies		
V: Putting It All Together	*Write the Plan*		

V. WORKSHEET 2: Priority Strategies and Milestones

(1) Strategy	(2) Year 1	(3) Year 2	(4) Year 3	(5) Who is responsible?

V. WORKSHEET 3: Year 1 Workplan

Strategy:

Year 1 Milestone:

Who Is Responsible:

(1) Task	(2) Who will complete task?	(3) When?	(4) Actual date completed