# Course Information

Course Number and Title: CADS 3970-002 Grant-making

Instructor: Peter C. Weber, PhD.

Class time: TR, 9:30am-10:45am

Classroom: Draughon Library 3127

## Contact Information:

Office: 372E Spidle Hall

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Office hours: TR 2:00-4:00 (Zoom) and by appointment (zoom)

Course Description: CADS 3970-002 Grantmaking. An analysis institutional philanthropy. The course includes a student philanthropy component, as students will allocate a grant to a local nonprofit organization. This experience will familiarize students with key aspects of grant-making institutions, such as mission development, needs assessment, grant proposal analysis, and site visits. Students will develop their own grant-making strategy and learn how to be strategic in their individual giving. (3 credit hours).

Course Prerequisites: None.

# Outcomes and Objectives

Student Learning Outcomes (SLOs):

1. Delineate a nonprofit organization’s mission, vision, goals, organizational structure, operating policies, scope of influence, and impact.
2. Demonstrate the knowledge and skills to develop careers in the professional realms of personal financial planning/wealth management and philanthropic nonprofit organizations.
3. Develop a personal philanthropic strategy.

Objectives: In this course, students will:

1. understand the diversity of forms of philanthropic action and the diversity of fields of activity;
2. develop methods to evaluate performance and social impact at both organizational and programmatic levels;
3. understand decision-making models and methods and how to apply them in nonprofit organizational settings; and
4. develop standards and context of professionalism, e.g., conduct and speech appropriate to the (respective) profession.

# Assignments, Grading and Class Materials

Assignments:

The assignments are listed below with weights and short descriptions (additional guidelines and rubrics are available on Canvas). **No unannounced quizzes will contribute to the final grade**.

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| Due date | Assignment | Weight |
| Ongoing | Participation/attendance | 10% |
| February 9 | Research paper & presentation on local needs | 20% |
| March 4 | Mid-term exam | 20% |
| April 13; April 22 | Site visits (presentations/video) | 20% |
| Ongoing | Analysis of grant applications | 15% |
| Finals week | Final (Reflection) | 15% |

**Attendance and participation (10%):** Preparation and participation are crucial to success in your university education. The grade includes:

1. Attendance (25 points): I expect the class to be almost exclusively discussion based, so attendance is mandatory.
2. Facilitating the grantmaking process (25 points): Read and analyze the assigned material before class, attend regularly, ask questions, and comment thoughtfully throughout the course. I expect the class to be almost exclusively discussion based. Asking good questions during the granting process is essential to making good granting decisions.
3. Responses to discussion questions (5 points per question; total 50 points): Each student should answer the discussion questions before the beginning of the class (answers should not be longer than 250 words), post the answer on Canvas, and bring a (hard/electronic) copy to class.

**Research Paper and Presentation on Local Needs:** This paper requires students to research community needs, non-profits addressing these issues, and to present about these needs to the class. The paper will be 5-8 pages in length, and tasks and focus of the paper may vary depending on the number of group members. Depending on the number of students, each person will present individually or in a group by sector. Your paper will be your own.

**Mid-Term Exam (20%):** An exam will test factual knowledge about the readings and your ability to use that knowledge to interpret the causality and significance of developments in philanthropy. You will receive a study guide before the exam.

**Site-Visit Report and Presentation (20%):** In small groups, students will conduct site visits with a short list of finalist nonprofit organizations. The grade will include:

1. Video (group) [100 points): The site visits and conversations with local nonprofit professionals will expose you to a range of tested solutions to social problems that increase the quality of life of individuals at the community, national, and international level. The video clips provide you with a creative and flexible format to report to the rest of the class on your site visits. The video clips allow you to showcase your creativity through a medium (the video clip) that is receiving increased attention by nonprofit professions to connect their organizations to a broader and younger audience.
2. Presentation (individual) [50 points]: As a group, you will report back to class on the visits, providing an overview of the visits, identifying strengths and weaknesses, and making recommendation (why you would fund or would not fund this organization). This is a crucial component of the grant-making process, as all students will not be able to visit all finalists and thus must rely on these reports to make a grant-making decision.
3. Feedback (group) [25 points]: Local nonprofit professionals involved in the site visits will provide feedback on the scheduling, organizing, and implementing of the site visits. This group evaluation assesses professionalism and demeneor.
4. Peer evaluation (individual) [25 points]: Students will assess each group member ***(including yourself)*** with regard to their contribution to the visit.

**Grantmaking process (analysis) (15%):** This assignment includes granting funds to a local agency or agencies. Students will examine values and local needs, and develop strategic goals for intervention in these areas. These goals will identify the guiding principles the class wants to pursue in their charitable giving and will be used to formulate the request for proposals. Among the decisions we will make is what issues to target and what to fund, e.g. special projects, operating expenses, endowment. Each grant will be evaluated and finalists will be visited to determine the NPO to receive the grant. Students will need to complete a number of tasks early in the semester because the granting agencies must be given time to respond to the request. Please be prepared to dive right in.

1. Evaluation sheets (50 points): Students are required to carefully evaluate each grant proposals by completing evaluation sheets.
2. Peer evaluation [25 points]: Students will assess each group member ***(including yourself)*** with regard to their contribution to the grantmaking process.
3. Analysis [25 points]: Read and analyze the assigned material before class, attend regularly, ask questions, and comment thoughtfully throughout the course. I expect the class to be almost exclusively discussion based. Asking good questions during the granting process is essential to making good granting decisions. As part of the grantmaking process, you will be in charge of communicating with local nonprofit organizations. You will solicitate grant proposals, draft social media posts to advertise the request for proposals (RFP), and draft emails communicating to local agencies the outcome of the grantmaking process.

**Final (Reflection Paper) (15%):**The final reflective paper will be about 8 pages in length and should focus on the whole course. You should describe what happened, evaluate an important aspect of the process, and analyze what you have learned. Include a discussion of the key aspects of the course: role of philanthropy and philanthropic foundations in society, research on needs, drafting mission and vision statements as well as RFP, and evaluating grant proposals.

Grading and Evaluation Procedures:

Writing expectations: In all assignments, the grading process will consider writing quality. Grammatical and punctuation errors, as well as repeated typos will significantly lower the grade. Particularly in small nonprofit organizations, all staff members are responsible for a great deal of writing. Grammatical or punctuation errors raise red flags as they suggest that the writer either has poor attention to detail or did not take the time to edit.

Deadlines: Assignments must be posted on Canvas by the deadline. Extensions without grade penalty will be considered on a case-by-case basis and only under extraordinary circumstances (any excuse for a late or missing assignment/exam must be documented). No assignment will be accepted after five days from the due date – in the case of excused absence(s), see policies on excused absences and make up policies on p. 6.

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| **Grading Scale** |
| **Letter grade** | **Percentage points** | **Definition** |
| A | 90-100% | Exceptionally high quality: master of course content at the highest level of attainment |
| B | 80-89% | Good quality: strong performance demonstrating a high level of attainment |
| C | 70-79% | Satisfactory (average) quality: A totally acceptable performance demonstrating an adequate level of attainment for a student |
| D | 60-69% | Poor quality, but passing: A marginal performance demonstrating a minimal passing level of attainment |
| E | 0-59% | Failure: almost no understanding of the course content |

Witdrawal policies:

* Students may withdraw no grade assignmentuntil February 1st, and until April 22nd (although a W will appear on the student’s transcript if the student withdraws between February 1st and April 22nd).
* Students who withdraw from the course between January 16th and February 1st will pay a course drop fee of $100.

## Class Materials

All readings are available on Canvas.

Canvas: All course information are on Canvas. Students should familiarize themselves with Canvas, as all assignments must be submitted via Canvas. Via Canvas, students have also access to all assignments, readings, and assignment guidelines/rubrics on Canvas, and will be able to monitor their academic progress as all grades will be regularly posted.

A student troubleshooting support page for Canvas is available here: <http://wp.auburn.edu/biggio/canvas/student-help/>

Technical support for students is available through the Help Desk.

# Classroom Policies

## COVID-19 policy

Due to the Coronavirus pandemic, public health measures have been implemented across Auburn’s campus. Students should stay current with these practices and expectations through the campus reentry plan, [A Healthier U](https://ahealthieru.auburn.edu/). The sections below provide expectations and conduct related to COVID-19 issues.

Health and Participation in Class

You are expected to (1) take your temperature daily and (2) complete your Healthcheck screener to receive your A Healthier U pass. **You may be asked at any time during class to show your pass.**

Your health and safety, the health and safety of your peers, and the health and safety of faculty and staff are top priorities. If you are experiencing any symptoms of COVID-19, or if you discover that you have been in close contact with others who have symptoms or who have tested positive, you must follow the instructions on the Healthcheck app. If you are feeling ill or if you have been exposed to someone with the virus, you will stay home to protect others.

Please do the following in the event of an illness or COVID-related absence:

* Notify me in advance of your absence, if possible
* Provide me with medical documentation, if possible
* Keep up with coursework as much as possible
* Participate in class activities and submit assignments remotely as much as possible
* Notify me if you require a modification to the deadline of an assignment or exam
* Finally, if remaining in a class and fulfilling the necessary requirements becomes impossible due to illness or other COVID-related issues, let me know as soon as possible so we can discuss your options.

Students with questions about COVID-related illnesses should reach out to the COVID Resource Center at (334) 844-6000 or at ahealthieru@auburn.edu.

### Health and Well-Being Resources

These are difficult times, and academic and personal stress is a natural result. Everyone is encouraged to take care of themselves and their peers. If you need additional support, there are several resources on campus to assist you:

* COVID Response Team ([www.ahealthieru.edu](http://www.ahealthieru.edu))
* Student Counseling and Psychological Services (<http://wp.auburn.edu/scs/>)
* AU Medical Clinic (<https://cws.auburn.edu/aumc/>
* If you or someone you know are experiencing food, housing or financial insecurity, please visit the Auburn Cares Office (<http://aucares.auburn.edu/>)

### A Healthier U Campus Community Expectations

We are all responsible for protecting ourselves and our community. Please read about student expectations for fall semester, including completing the daily GuideSafe™ Healthcheck (<https://ahealthieru.auburn.edu/>).

### Course Expectations Related to COVID-19:

* **Face Coverings**:As a member of the Auburn University academic community you are required to follow all university guidelines for personal safety with face coverings, physical distancing, and sanitation. Face coverings are required in this class and in all campus buildings. Note that face coverings must meet safety specifications, be worn correctly, and be socially appropriate.

You are required to wear your face coverings at all times. If you remove your face covering or are non-compliant with the university’s [policy on face coverings](https://ocm.auburn.edu/news/coronavirus/updates/20200618-face-masks-required.php?ref=coronavirus), you will be instructed to leave the classroom and will be held to the protocols outlined in the [Auburn University Policy on Classroom Behavior](https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonClassroomBehavior.pdf). Any student who willfully refuses to wear a face covering and does not have a noted accommodation may be subject to disciplinary action.

* **Physical Distancing**: Students should observe appropriate physical distancing and follow all classroom signage/avoid congregating around doorways before or after class. If the instructional space has designated entrance and exit doors, you should use them. **Students should exit the instructional space immediately after the end of instruction to help ensure social distancing and allow for the persons attending the next scheduled class session to enter.**
* **Course Attendance**: If you are quarantined or otherwise need to miss class because you have been advised that you may have been exposed to COVID-19, you will be expected to develop a plan to keep up with your coursework during any such absences.
* **Course Meeting Schedule**: This course might not have a traditional meeting schedule in Spring 2021. Pay attention to any updates to the course schedule as the information in this syllabus may have changed.
* **Technology Requirements:** This course may require particular technologies to complete coursework. If you need access to additional technological support, please contact the AU Bookstore at aubookstore@auburn.edu.

*Disruptive or concerning classroom behavior involving the failure to wear a face covering, as directed by Auburn University, represents a potential Code of Student Conduct violation and may be reported as a non-academic violation. Please consult the* [*Classroom Behavior Policy*](https://sites.auburn.edu/admin/universitypolicies/Policies/PolicyonClassroomBehavior.pdf)*.*

### Course Delivery Changes Related to COVID-19

Be aware that the situation regarding COVID-19 is frequently changing, and the delivery mode of this course may adjust accordingly. In the event that the delivery method is altered, please be assured that the learning goals and outcomes of the course will not change; however, some aspects of the course will change in terms of the mode of delivery, participation, and testing methods. Those details will be shared via Canvas as soon as possible. Please be prepared for this contingency by ensuring that you have access to a computer and reliable Internet.

## Policies on Class Attendance, Submission of Late Written Assignments, Missed In-Class Work and Missed Examinations:

Excused Absences: Students are granted excused absences from class for the following reasons: Illness of the student or serious illness of a member of the student’s immediate family, death of a member of the student’s immediate family, trips for student organizations sponsored by an academic unit, trips for University classes, trips for participation in intercollegiate athletic events, subpoena for a court appearance and religious holidays. Students who wish to have an excused absence from this class for any other reason must contact the instructor in advance of the absence to request permission. The instructor will weigh the merits of the request and render a decision. When feasible, the student must notify the instructor prior to the occurrence of any excused absences, but in no case shall such notification occur more than one week after the absence. Appropriate documentation for all excused absences is required.

Make-Up Policy:Except in unusual circumstances, such as continued absence of the student or the advent of University holidays, a make-up exam will take place within two weeks from the time the student initiates arrangements for it. Except in extraordinary circumstance, no make-up exams will be arranged during the last three days before the final exam period begins. The format of the make-up exam will mirror the regular exams.

Communication: Students are responsible for checking class email, Canvas messages, and Canvas announcements. Course related material and information, including assignment information, change of schedules, field trip details, will be regularly shared via class email and canvas announcement.

ADA Policy: Students who need accommodations are asked to electronically submit their approved accommodations through AU Access and to make an individual appointment with the instructor during the first week of classes – or as soon as possible if accommodations are needed immediately. If you have not established accommodations through the Office of Accessibility, but need accommodations, make an appointment with the Office of Accessibility, 1228 Haley Center, 844-2096 (V/TT).

Academic Honesty: All portions of the Auburn University Student Academic Honesty code (Title XII) found in the Student Policy eHandbook at <http://www.auburn.edu/student_info/student_policies/> will apply to this class. All academic honesty violations or alleged violations of the SGA Code of Laws will be reported to the Office of the Provost, which will then refer the case to the Academic Honesty Committee.

A paper submitted for another class will not be accepted in this class will not be accepted in this class.

Using another student’s work as your own will be viewed as a dishonest act and that student will receive a zero for this course.

Violations of the Student Academic Honesty Code include, but are not limited to:

* ‘Cheating’ – the possession, receipt, or use of any material or assistance not authorized in the preparation of any project; and such actions conducted while an exam is in progress. Cell phones and other electronic devices cannot be used during exams.
* ‘Plagiarism’ – using the words or ideas of another as if they were one’s own. If another person’s complete sentence, syntax, key words, or the specific or unique ideas and information are used, one must give that person credit through proper documentation, as through the use of footnotes. On individual projects, even though you may discuss your work with others, you are graded based on what you turn in individually. Papers with identical wording, in any order, will be treated as plagiarism for ALL parties involved.

Classroom Behavior: The Auburn University Classroom Behavior Policy is strictly followed in the course; please refer to the Student Policy eHandbook at <http://www.auburn.edu/student_info/student_policies/> for details of this policy.

Emergency Contingency: If normal class and/or lab activities are disrupted due to illness, emergency, or crisis situation (such as an H1N1 flu outbreak), the syllabus and other course plans and assignments may be modified to allow completion of the course. If this occurs, an addendum to your syllabus and/or course assignments will replace the original materials.

## Diversity Statement:

## Diversity at Auburn University encompasses the whole of human experience and includes such human qualities as race, gender, ethnicity, physical ability, nationality, age religion, sexual orientation, economic status, and veteran status. These and other socially and historically important attributes reflect the complexity of our increasingly diverse student body, local community, and national population.

Auburn University recognizes and values the considerable educational benefits emanating from diversity as we prepare our students for life and leadership in a multicultural world. Students who interact with and learn about people from a variety of backgrounds are more apt to understand, appreciate, and excel in the community they inhabit. In this context, diversity is aligned with Auburn University’s land grant mission of providing its students with a superior education in service to the needs of Alabama, the nation, and the world.

## Tentative 15-week Schedule:

NOTE: This course schedule is tentative and may be modified if necessary. All changes to the schedule will be communicated via Canvas.

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| **Week** | **Day** | **Topic** | **Readings** | **Assignments** | **Grantmaking process** |
| Week 1 (Jan. 11-17) | Jan. 12 | Introduction |  |  |  |
| Jan. 14 | Philanthropy & strategic giving | Frumkin, P. (2006). *Strategic Giving: The Art and Science of Philanthropy*. Chicago: University Of Chicago Press, 2006. Chapter 4: The Idea of Strategic Giving (pp. 125-145).Webb, A. (March 15, 2018). Philanthropy’s Seven Deadly Sins. *The Nonprofit Quarterly*. | *Discussion question #1: What does it mean to give well? In other words, what are the characteristics of a gift well given?* |  |
| Week 2 (Jan. 18-24) | Jan. 19 | Identifying problems and issues  | CommunityToolBox, “[Collecting Information About the Problem](https://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/collect-information/main)”CommunityToolBox, “[Defining and Analyzing the Problem](https://ctb.ku.edu/en/table-of-contents/analyze/analyze-community-problems-and-solutions/define-analyze-problem/main)”CommunityToolBox, “[Analyzing Community Problems](https://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/analyzing-community-problems/main).”“Writing the needs statement or problem statement” | *Discussion question #2: As we start the process of researching local needs, we need to select a research topic within the broad areas of social services, education, advocacy/civic participation, culture & recreation, and health care. Select a topic that is narrower than the broad area (e.g. hunger in Lee County within the social service area) and in 1-2 sentences define the topic.* | Identifying research topics |
| Jan. 21 | Foundations  | Boris, E. (2016/1998). Foundations. In J. S. Ott & L. A. Dicke (Eds.), *Understanding Nonprofit Organizations* (3rd ed., pp. 173-182). Boulder, CO: Westview Press.Dykstra, C. (2008). What is a Grant? In A. Kass (ed.), *Giving Well and Doing Good* (pp. 79-81). Bloomington, IN: Indiana University Press.<https://www.boardeffect.com/blog/roberts-rules-of-order-cheat-sheet/>  | **Due: identify research topic***Discussion question #3: Compare individual giving (you, as an individual, making a donation) and grants made by a philanthropic foundation. What are the pros and cons of each? (List at least 2 pros and cons for each form of giving.)* | Robert's Rules of Order; selecting foundation officers; finalizing research topics selection |
| Week 3 (Jan. 25-31) | Jan. 26 | Donor intent | Horvath, A., & Powell, W. (2020). Seeing like a philanthropists. From the business of benevolence to the benevolence of business. In W. Powell & P. Bromley (Eds.), *Nonprofit Sector. A research handbook* (3 ed., pp. 81-122). Stanford: Stanford University Press. |  | Identifying values |
| Jan. 28 | Foundation behavior  | Bernholz, L. (1999). The Future of Foundation History. Suggestions for Research and Practice. In E. Lagemann (Ed.), *Philanthropic Foundations. New Scholarship, New Possibilities* (pp. 259-275). Bloomington: Indiana University Press. | *Discussion question #4: Based on the values identified in class, develop a first draft for a class vision statement.*  | Drafting mission & vision statements |
| Week 4 (Feb. 1-7) | Feb. 2 | Mission & vision statements | CommunityToolBox, “[Proclaiming Your Dream: Developing Vision and Mission Statements](https://ctb.ku.edu/en/table-of-contents/structure/strategic-planning/vision-mission-statements/main).” | *Discussion question #5: Based on the values identified in class and the vision statement discussion, develop a first draft for a class vision statement.* | Drafting mission & vision statements |
| Feb. 4 | Funding goals and practices | Ferris, J., & Williams, N. (2010). Foundation Strategy for Social Impact: A System Change Perspective. *Nonprofit Policy Forum, 1*(1).Engelhardt, S. L. (2008). Foundation Grants and the Grantor/Grantee Relationship. In A. Kass (ed.), *Giving Well and Doing Good* (pp. 145-148). Bloomington, IN: Indiana University Press.Draper, L. (2001). The Seven Principles of Firmly Centered Grantmakers. *Draper Consulting Group*. | *Discussion question #6: What is the ideal relationship between a grantor and grantee? In other words, discuss the duties and responsibilities of both the grantor and the grantee.*  | Finalizing mission & vision statements |
| Week 5 (Feb. 8-14) | Feb. 9 | Research presentations  |  | **Due: Research papers and presentations** | Share research on needs |
| Feb. 11 | Research presentations  |  |  | Share research on needs |
| Week 6 (Feb. 15-21) | Feb 16 | Wellness day – No class |  |  |  |
| Feb 18 | Writing a request for proposal (RFP) | Example of old RFPVu Le. (January 9, 2017). Foundations, how aggravating is your grantmaking process? Use this checklist to find out! *Nonprofits With Balls*.Vu Le. (January 17, 2017). Grantseekers, how irritating are you to funders? Use this checklist to find out! *Nonprofits With Balls*. | *Discussion question #7: As we start drafting the RFP, what advice could you add to these readings? On what basis do you give this advice?* | Drafting RFP |
| Week 7 (Feb. 22-28) | Feb. 23 | Writing a request for proposal (RFP) |  |  | Finalizing RFP  |
| Feb. 25 | Sharing RFP |  | *Discussion question #8: Based on our vision and mission statements, as well as RFP, identify 3-5 nonprofit organizations (with contact information) that you would like to encourage to apply for the grant.*  | Sharing RFP |
| Week 8 (March 1-7) | March 2 | Midterm prep |
| March 4 | Midterm |
| Week 9 (March 8-14) | March 9 | Drafting logic models | CommunityToolBox, “[Developing a Logic Model or Theory of Change](https://ctb.ku.edu/en/table-of-contents/overview/models-for-community-health-and-development/logic-model-development/main).” | *Discussion question #9: What are reasonable objectives to pursue with our grantmaking activity?* | How to analyze proposals |
| March 11 | Using logic models for evaluation |  | *Discussion question #10: How do you measure the success of a nonprofit organization?*  | How to analyze proposals |
| Week 10 (March 15-21) | March 16 | Making sense of numbers: Form 990 and financial ratios | Peter Swords, How to Read the New IRS Form 990. |  | How to analyze proposals |
| March 18 | Evaluation | Kibbe et al., *Grantmaking Basics, a Field Guide for Funders: Reviewing Grant Proposals* (Washington, D.C.: Council on Foundations, 1999), pp. 1-35. |   | Review first proposal |
| Week 11 (March 22-28) | March 23 | Evaluation |  | **Due: evaluation sheets** | Review first group of proposals |
| March 25 | Evaluation |  | **Due: evaluation sheets** | Review second group of proposals |
| Week 12 (March 29-Apr. 4) | March 30 | Evaluation | GiveSmart, [Guide to Interviewing a Nonprofit Board Member](https://www.bridgespan.org/insights/library/philanthropy/nonprofit-due-diligence-donor-decision-tool/quick-guide-to-interviewing-a-nonprofit-board-memb).GiveSmart, [Guide to Interviewing a Nonprofit’s CEO](https://www.bridgespan.org/bridgespan/Images/articles/guide-to-interviewing-a-nonprofit%E2%80%99s-ceo/Due-Diligence_Guide-to-Interviewing-a-Nonprofit-CEO.pdf). |  | Preparation for site visits |
| Apr. 1 | Wellness day – No class |  |  |  |
| Week 13 (April 5-11) | Apr. 6 | Site visit |
| Apr. 8 | Site visit |
| Week 14 (Apr. 12-18) | Apr. 13 | Site visit presentations  |  | **Due: Site visit presentations** | Discussion of site visits |
| Apr. 15 | Decision |  |  | Grant decision |
| Week 15 (Apr. 19-23) | Apr. 20 | Decision |  |  | Grant decision |
| Apr. 22 | Decision |  | **Due: site visit video; site visit peer evaluation** | Grant decision |
|  Apr. 26-30 | Finals week |  |  | **Due: Reflection** |  |