

**University of Pennsylvania**  
**SWRK740: Strategic Planning and Resource Development**  
**School of Social Policy and Practice**

**Fall 2017**

**Course and Description**

Resilient Organizations engage in a continuous process of self-renewal. Referred to as “Strategic Planning,” this process requires active participation of a broad range of organizational stakeholders who, in their work together, seek to realign the organization’s goals, structures, programs, and funding patterns so as to make them more responsive to the changing need of their service populations. Building on the content of the program’s other foundation courses: Strategic Planning and Development Resource has been designed to strengthen the student’s leadership capacity for engaging in strategic planning and resource development practice across a broad range of governmental (GOs) and civil society organizations (CSOs). The importance of organizational flexibility, innovation, and the creation of cooperative public-private partnerships is emphasized throughout the course.

**Course Educational Objectives**

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

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

## **Course Requirements**

### **Required Texts:**

Bryson, John M. 2011. Strategic Planning for Public and Nonprofit Organizations: A guide to Strengthening and Sustaining Organizational Achievement. 4<sup>th</sup> Edition. (New York: John Wiley and Sons). ISBN: 978-0-470-39251-5. (Hardcover)

Bryson, John M & Farnum K Alston. 2005 Crating and Implementing Your Strategic Plan: A Workbook for Public and Nonprofit Organizations. 3rd Edition. (San Francisco: Jossey-Bass Publishers). ISBN: 0-7879-6754-8. (Paper)

Greever, Jane C . 2007. The Foundation Center's Guide to Proposal Writing. 6<sup>th</sup> Edition (New York: Foundation Center)

Seltzer, Michael. 2002. Securing Your Organizations Future: A complete Guide to Fundraising Strategies. 2<sup>nd</sup> Edition. (New York: The Foundation Center (Paper)

### **Canvas Readings**

### **Course Assignments and Expectations**

- Students are expected to prepare for class by:
  - Completing the assigned readings
  - Attending and Participating in all classes
  - Undertaking independent research on their chosen topic of specialized study
  - Submitting all written assignments on a timely basis.
  - Students will be expected to make multiple presentations throughout the semester

### **Grading Policy**

Class Participation	30%
Strategic Planning Paper and Presentation	45%
Resource Development Plan	25%

### **Class Participation**

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

## **Attendance**

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

## **Other Policies**

All written work must be typed double spaced with one inch margins (Top, Bottom, and Sides). **Font sizes smaller than 11 are not acceptable.** With the exception of your two major plans, please do not submit papers in binders or folders of any type; simply paper clip the exercise/papers.

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

## **Code of Academic Integrity**

Academic Integrity is an integral part of study at the University of Pennsylvania. All students are expected to undertake their academic work in the spirit and manner identified by the University. Please download and print a copy of the [Code of Academic Integrity](http://www.upenn.edu/academicintegrity/) for your reference in work undertaken in this and other courses at Penn.  
<http://www.upenn.edu/academicintegrity/>.

Under no circumstances, will the University tolerate plagiarism, using documents prepared by others, or failures to cite the sources of work created by others and used in your papers without appropriate attribution. Serious violations of the [Code of Academic Integrity](#) may result in your permanent expulsion from the Penn Community.

## **Communication Information**

**Office Hours available upon request**

## **Course Syllabus**

### **Part 1-The Nonprofit Sector in Comparative Perspective**

**Week1-**The Purpose, Mission and Size of Nonprofit organizations worldwide

**Week 2-**Nonprofit Organizations in the Context of Civil Society: The Public-Private Mix

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

**Part 2 Strategic Planning**

**Week 4-** Advancing NGOs and Civil Society through Strategic Planning  
**(Organizational Description Due)**

**Week 5-** Identifying Organizational Values, Mission and Vision

**Week 6-No Class-Fall Break**

**Week 7-** Assessing the external and internal Environment (SWOT)

**Week 8-** Identifying Strategic Issues and Modifying Organizational Goals and Objectives

**Week 9-** Formulating Strategies to Manage the Strategic Issues

**Week 10-** Envisioning the Future: Writing the Strategic Plan

**Week 11-** Implementing the Strategic Plan...and Keeping it Moving  
**(Written Strategic Plan Due/Presentation to Class)**

**Week 12-NO CLASS**

**Part 3-Resource Development in Nonprofit Organizations**

**Week 13-**Resource Development: Generating Resources to Implement the Strategic Plan/Raising Money from Individuals **(Presentation to Class)**

**Week 14-**Raising Money from corporations and General Purpose Foundations: The Elements of Proposal Writing

**Week 15-**Raising Money from Governmental Sources **(Resource Development Plan Due)**

**Detailed Course Syllabus**

**8/31/2017**

**Week 1-The Purpose, Mission and Size of Nonprofit organizations worldwide**

Major Concepts to be covered this week:

- The “Nonprofit Sector” Defined

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

### Selected Websites

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

Action Without Borders: <http://www.idealists.org/>. A coalition of 54,000 NGOs worldwide

Interaction: <http://www.interaction.org/>. A coalition of about 150 (Mostly United States), NGOs

The World Bank NGO Center

<http://web.worldbank.org/WEBSITE/EXTERNAL/PROJECTS?EXTPOLICIES/EXTOPMANUAL/0.contentMDK:200064711~pagePK:64141683~piPK:64141620~thesitePK:502184,00.html> Contains a wealth of information concerning patterns and practices of NGO/World Bank relations-Including general policies that inform these relationships

The United Nations Nongovernment Organization Center:

<http://www.un.org/dpi/ngosection/index.asp>.

**9/7/2017**

### **Week 2-Nonprofit Organizations in the Context of Civil Society: The Public-Private Mix**

Major Concepts to be covered this week:

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

### Readings and Written Assignments

Estes, Richard J. & Zhou, Huiqan (Mary). 2012. "The Public-Private Mix in Comparative Social Policy," Journal of Global Social Work Practice

### Selected Websites

The Internal Revenue Service (IRS) home page on Nonprofit laws and regulations: <http://www.irs.gov/Charities-&-Non-Profits/Charitable-Organizations> . The site is very rich with information. Explore many links to get a good sense of the role of US central government in both promoting and controlling the activities of NGOs.

The Nonprofit Times: <http://www.nptimes.com/>. Self proclaimed as the leading business publications for NGOs. This monthly publication identifies the resource bases of the largest American charitable organizations and also gives information concerning salary ranges and the like for various NGO positions.

The National Center for Charitable Statistics: <http://nccsdataweb.urban.org/FAQ/index.php?category=31>. This is the homepage of NGO and other charitable organization researchers. Examine the unique typology of NGOs developed by the NCCS, including the various sub categories of organizations associated with each type. Other useful data, including information concerning the number and assets of all registered NGO's are included on this home page.

Guidestar: <http://www.guidestar.org/>. The leading source of information, especially financial information, on some 1.4 million US NGOs. Pull up the Form 990s (Tax Returns) of at least two different types of organizations that interest you. You should be surprised by the wealth of institutional and personal information available through the inspection of Form 990. (Note you will need to register-registration is free

**As possible, identify a comparable site for your state, or country of origin other than that of the US.**

9/14/2017

### **Week 3-The Nature of Leadership and Social Entrepreneurship in the Nonprofit Sector**

#### Major Concepts to be covered this week:

- Core Elements of leadership in NGOs and for profit organizations
- Element of leadership in NGOs
- Difference between leadership of NGOs and for profit organizations
- Examples of approaches, including styles of leadership, in various world regions
- When leadership fails: the special problems confronted by NGOs (IE-the United Way of America, and American Red Cross)

#### Readings

Select at least one book of interest to you from the following sections of the supplemental Course Bibliography.

### Selected Websites

Ashoka Social Entrepreneurship Fellowship program  
[http://www.ashoka.org/fellows/social\\_entrepreneur.cfm](http://www.ashoka.org/fellows/social_entrepreneur.cfm). A well-established organization that prepares your people world wide for leadership positions in social entrepreneurship.

Schwab Foundation: <http://www.schwabfound.org/>. Also provides funding to train and support social entrepreneurs.

Duke University, Center for the Advancement of Social Entrepreneurship:  
<http://www.caseatduke.org/>

## **Part 2 Strategic Planning**

**9/21/2017**

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

Major Concepts to be covered this week:

- Planning defined
- Strategic Planning Defined
- Origins of Strategic Planning in Human Services
- The Ethical requirements of strategic planning
- The dos and Don'ts of Strategic Planning
- Strategic vs. other types of planning-long range, operational

Selected Readings (All from Bryson)

Chapter 1: Why Strategic Planning is More important than ever

Chapter 2: The Strategy Change Cycle: An effective Strategic Planning Approach

Chapter 3: Initiating and Agreeing on a Strategic Planning Process

Chapter 11: Leadership Roles for making Strategic Planning Work

Chapter 12: Getting Started with Strategic Planning

Exercises (Bryson and Alston)

- The Context and Process of Strategic Change (Readiness Assessment Worksheets)
  - Worksheet #1: Strengths, Weaknesses, Opportunities & Challenges (Threats)
  - Worksheet#2: Barriers to Strategic Planning
  - Worksheet#3: Expected Costs of Strategic Planning
  - Worksheet#4: Expected Benefits of Strategic Planning

- Worksheet#5: Should we Proceed with the Strategic Planning Process?

### Step 1: Initiate and Agree on a Strategic planning Process

- Worksheet#6: Plan the planning Effort
- **Note”: The designated exercises are to be completed in the Bryson and Alston workbook. (Please us pencil-100% legible. As needed please feel free to revise your worksheets as you become more knowledgeable about your NGO. I may collect and review your work books from time to time.**

### ***\*Organizational Description Due***

**9/28/2017**

**Week 5**--Identifying Organizational Values, Mission and Vision (Phase 2)

### Major Concepts to be covered this week:

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

### Selected Readings (All from Bryson)

Chapter#4: Clarifying Organizational Mandates and Mission  
Appendix A: Stakeholder Identification and Analysis Techniques  
Appendix B: Using the Web in Strategic Planning

### Exercises (All from Bryson and Alston)

Step 2: Clarifying Organizations Mandates

Worksheet#7: Review of Mandates

Worksheet#8: Background for group Discussion of Mandates

Step#3: Identify and Understand Stakeholders, develop and Refined Mission and Values,  
Consider Developing a Vision Sketch

Worksheet#9: Stakeholder Identification

Worksheet#10: External Stakeholder Analysis

Worksheet#11: Internal Stakeholder Analysis

Worksheet#12: Key External Stakeholder Involvement

Worksheet#13: Key External Stakeholder Involvement

Worksheet#14: Mission Statement

Worksheet#15: Values Statement



Worksheet#16: Vision Sketch

**\*\*10/5/ 2017 Fall Break-No Class\*\***

**10/12/2017**

**Week 7-Assessing the external and internal Environment (SWOT) (Phase 3)**

Major Concepts to be covered this week:

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

Selected Readings

Estes, Richard J. 2011. "Global Change and indicators of social development," Chapter 28 of Marie Weil. The Handbook of Community Practice. 2<sup>nd</sup> Edition. (Thousand Oaks CA: Sage Publications)

Bryson (2011). Chapter 5. "Assessing the Environment to identify strengths and weakness, opportunities and challenges"

Exercises (Bryson and Alston)

Step 4: Assess the Environment to Identify Strengths, Weakness, Opportunities and Threats

Worksheet#17-Internal Strengths

Worksheet#18-Internal Weaknesses

Worksheet#19-External Opportunities

Worksheet#20-Exteranl Challenges

Worksheet#21-Distinctive Competencies

Websites

Chapman, Alan, 2006. SWOT Analysis Template

<http://www.businessballs.com/swotanalysisfreetemplate.htm>

Wikipedia: SWOT Analysis, [http://en.wikipedia.org/wiki/SWOT\\_analysis](http://en.wikipedia.org/wiki/SWOT_analysis)

**10/19/2017**

**Week 8 -Identifying Strategic Issues and Modifying Organizational Goals and Objectives**

Major Concepts to be covered this week:

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

### Selected Readings (All from Bryson)

Chapter 6: Identifying Strategic Issues Facing the Organization

Chapter 8: Establishing an Effective Organizational Vision for the Future

Appendix D: Using Action oriented Strategy Mapping to Identify Issues and Formulate Effective Strategies.

### Exercises (Bryson and Alston)

Step 5: Identify and frame Strategic Issues

Worksheet#22: Individual Strategic Issue Identification

Worksheet#23: Master List of Key Strategic Issues

Worksheet#24: Master Strategic Issues Statement

Worksheet#25: Operational vs Strategic Issues

Appendix A; Brainstorming Guides

Appendix B: Snow Card Guidelines

Appendix C: Strategic Planning Workshop Equipment Checklist

Appendix D: Conference Room Setup Checklist

### Websites

US Government. 2006. Setting Goals and Objectives-a series of modules.

<http://www.fao.org/docrep/W7502E/w7502e05.htm>

**10/26/2017**

### **Week 9-Formulating Strategies to Manage the Strategic Issues**

#### Major Concepts to be covered this week:

- Identifying and exploring the range of strategic alternatives available to NGOs for use in resolving their strategic issues including:
  - Rubins typology of public sector strategies
  - Nutt's Eight Archetypal strategies

- Barry's 8 major strategies for dealing with strategies issues (and threats)
- Porter's 3 generic strategies for organizational innovation
- Plus a range of protective, developmental and confrontational strategies
- Identifying and choosing between alternative strategies for resolving strategic issues
- Assessing the impact of the strategies selected for helping the sector/organization achieve strategic goals (and renewed vision)

### Selected Readings (Bryson)

#### Chapter 7: Formulating and adopting Strategies and Plans to manage the issues

#### Exercise

- Step 6: Formulate Strategies to Manage the Issues
  - Worksheet#26: Key Questions
  - Worksheet#27: Strategy Statement
  - Worksheet#28: Criteria for evaluating suggested strategies
  - Worksheet#29: Checklist for deciding on strategic plan contents

**11/2/2017**

### **Week 10-Envisioning the Future: Writing the Strategic Plan**

#### Major Concepts to be covered this week:

- Presentation of your Strategic Plans (10 Min)
- Use charts, graphics, photos and to make the plan interesting
- Please utilize the website for ideas for formatting your strategic plan
- One copy of the plan and presentation should be submitted to me in a binder or other similar format.

#### Selected Readings:

Prior to beginning work on your written plan, select at least 4-6 readings from the specialized literature that bear directly on strategic planned in your sector of major NGO activity (eg: health, education, income security, housing, social and economic development, etc). The readings selected should provide some of the needs assessment data required to justify the innovations and/or strategic goals formulated in your written plan.

#### Exercises

- Step 7: Review and Adopt the Strategic Plan
  - Worksheet# 30: Plan review and Adoption Process
  - Worksheet# 31: Plan Evaluation
- Step 8: Establish an Effective Organizational Vision for the Future

- Worksheet#32: Vision of Success

**11/9/2017**

**Week 11-Implementing the Strategic Plan...and Keeping it Moving**

Major Concepts to be covered this week:

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

Selected readings:

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

Bryson

Chapter 9: Implementing Strategies and Plans Successfully

Chapter 10: Reassessing and Revising Strategies and Plans

Exercises (Bryson and Alston)

- Step 9: Develop an Effective Implementation Process
  - Worksheet#33-Existing Programs, Services and Projects: Evaluation
  - Worksheet#34: Strategic Plans Proposed Programs, Services and Projects: Evaluation
  - Worksheet#35: Prioritizing Programs, Services and Projects: Evaluation
  - Worksheet#36: Action Planning
- Step 10: Reassess Strategies and the Strategic Planning Process
  - Worksheet#37: Improving Existing Strategies
  - Worksheet#38: Improving the Strategic Planning Process

***(Written Strategic Plan Due/10 Minute Class Presentation for 8 Students)***

**Part 3-Resource Development in Nonprofit Organizations**

***\*\*11/16/ 2017-No Class\*\****

**11/21/2017 (Tuesday)**

**Week 13-Resource Development: Generating Resources to Implement the Strategic Plan**

Major Concepts to be covered this week:

- The value base of fundraising-especially in promoting social and economic justice among historically disadvantaged population groups and other at risk
- The knowledge base of fundraising
- The skill of fundraising
- Fundraising as a professional function
- The Ethical foundations of professional fundraising
- Historical overview of professional fundraising in social work and other human service professions
- Motivations for individual giving
- Social Workers and other human service workers as fiduciary brokers in soliciting and arranging for the transfer of contributions from individual donors
- Strategies for generating resources from individuals
- Non-monetary contributions from individuals

Selected readings (Seltzer)

Chapter 4: Putting your purpose to work (Planning you Programs

Chapter 5: Developing Budgets

Chapter 6: The many sources of funding and support

Chapter 22: Choosing your funding mix and strategies to secure it

Appendix A: A compilation of State Laws Regulating Charitable Solicitations

Chapter 7: Giving from Individuals

Chapter 9: Direct Mail

Chapter 10: Using the Telephone

Chapter 11: Face to Face

Chapter 12: Beyond the Simple Cash Contribution

Chapter 13: Raising Money on the internet

Chapter 20: Associations of Individuals

Chapter 21: Labor Unions

***(10 Minute Class Presentation for 7 Students)***

**11/30/2017 (Tuesday)**

**Week 14-Raising Money from corporations and General Purpose Foundations: The Elements of Proposal Writing**

Major Concepts to be covered this week:

- The nature, purpose and structure of general purpose and corporate foundations
- Types of grants awarded by general purpose and corporate foundations
- Communicating with general purpose and corporate foundations (Dos and Don'ts)

### Raising Money from Corporate and General Purpose Foundations

#### Selected readings (Seltzer)

Chapter 4: Putting Your purpose to work

Chapter 5: Developing Budgets

Chapter 15: Approaching Foundations for Support

Chapter 16: Corporations and Businesses

Geever, Jane C. The Foundations Center's Guide to Proposal Writing. Read selected chapter

#### Website

- Visit the home page of the Foundation Center and locate the following lists
  - The 100 largest general purpose foundations in the US
  - The 50 Largest corporate foundations in the US
  - The 25 largest community foundations in the US
- In Exploring these links try to identify 203 of each type of foundation that could/might be approaches to provide funds/support for your strategic plan.

**12/7/2017**

### **Week 15-Raising Money from Governmental Sources (Resource Development Plan Due)**

#### Major concepts to be covered this week:

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

#### Selected Readings

Seltzer

Chapter 8: Special Events

Chapter 14: Earned and Venture Income

Chapter 17: Government Support

Chapter 18: Religious Institutions  
Chapter 19: Federated Fundraising Organizations  
Chapter 22: Choosing your Funding Mix and Strategies to secure it

## **Due: Written assignment**

In your final written assignment for the course, provide a convincing step by step description of how you will assemble all the resources need to the fully implement the new strategic plan outlined for at least one of the major goals objectives of your strategic plan.

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

Gifts from individuals  
Grants from corporate and/or general purpose foundations  
Grants and/or contracts from public sources (including local, state, and national governments)  
Grants from federated fundraising/ granting organizations, (ie: Federations of Jewish Philanthropies, Catholic Charities).  
In Kind Donations  
Earned and Venture Income  
Contributions, including both gifts and planned giving arrangements, from individuals  
Trusts and Bequests  
Special Events Fundraising  
Other Sources of Support

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

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

### Websites

The following Public Sector Websites related to this assignment can be easily located. Remember that public sector fund 70-80% of all funds received by NGOs, especially those engaged in community or community related personal services.

Commerce Business Daily <http://cbdnet.gpo.gov/>

Federal Register <http://www.gpoaccess.gov/fr/index.html>

Site contains announcements for RFP and RFAS issued by the federal government.

US Government Manual of Organizations: <http://www.gpoaccess.gov/gmanual/index.html>

