FundAssist

Prepare Plan Write

A toolkit to help non-government alcohol and other drug organisations prepare, plan, and write funding applications

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FundAssist.flinders.edu.au

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Disclaimer

This resource has been designed as a guide to assist you to prepare, plan and write your funding applications.

Please note: the use of this resource does not guarantee that you will necessarily be successful in your funding application. Success is dependent upon a range of factors including the funding body's review processes and priorities and demands on available funds which are beyond the scope of this resource.

About FundAssist

FundAssist aims to help non-government alcohol and other drug organisations prepare, plan, and write successful funding applications. The resource was commissioned by the Network of Alcohol and Other Drug Agencies (NADA) on behalf of the AOD peak bodies and developed by the National Centre for Education and Training on Addiction (NCETA). It forms part of NCETA's work on workforce development.

The resource is available as a hard copy, electronic interactive pdf, or on the FundAssist.flinders.edu.au (http://www.FundAssist.flinders.edu.au) website. The reference material referred to herein can be accessed and downloaded from the pdf version which is available on a USB drive from NCETA.

About NCETA

The National Centre for Education and Training on Addiction (NCETA) is an internationally recognised research centre that works as a catalyst for change in the alcohol and other drugs (AOD) field.

Our mission is to advance the capacity of organisations and workers to respond to alcohol- and drug-related problems. Our core business is the promotion of workforce development (WFD) principles, research and evaluation of effective practices; investigating the prevalence and effects of alcohol and other drug use in society; and the development and evaluation of prevention and intervention programs, policy and resources for workplaces and organisations.

NCETA is based at Flinders University and is a collaboration between the University and the Australian Government Department of Health.

Contents

Introduction

Introduction

Who Is This Resource For?

This resource has been designed to help non-government alcohol and other drug organisations develop quality funding applications. A broad approach has been taken to address all relevant aspects of the fund seeking process.

Although this resource was written for alcohol and other drug non-government organisations, the information, principles and tools contained here are generic and can be used by any organisation and/or individual to seek funding.

This resource is designed to help organisations develop a systematic approach to obtaining funding and implement procedures and processes to generate continuous and diverse sources of funding.

Aims

The FundAssist resource was produced to help organisations and individuals:

- Develop strategies to reduce the stress associated with applying for funding
- Navigate the diverse funding options available and understand how funding bodies allocate funding
- Understand the essential components of a funding application and improve their writing skills.

This resource aims to assist organisations to:

- Identify and respond to the needs of their community: See Identifying Needs (p11)
- Define their organisational strategy and develop a database to map their current activities and resources: See About Your Organisation (p23)
- Understand the criteria against which funding applications are assessed: See Funding Evaluation Criteria (p85)
- Build a team to assist in identifying funding opportunities, developing proposals, and writing applications: See Funding Development Team (p95)
- Develop and implement a long-term funding strategy and identify potential sources of funding: See Funding Sources (p107)
- Develop proposals which address an identified need, are evidence-based, and meet the funder's requirements: See Developing a Proposal (p131)
- Develop comprehensive and accurate budgets: See Your Budget (p175)

- Write clear, accurate, persuasive funding applications: See Writing the Funding Application (p191)

- Submit compliant applications: See Section 9: Submitting the Application (p231)

- Review unsuccessful applications and improve your application success rate: See After Submission (p237).

Four Key Steps

Most organisations rely on external sources of funding to establish and continue their services and programs. Organisations, therefore, need a comprehensive strategic funding development approach with dedicated resources that is continuously monitored.

Developing a sustainable organisation with a strong funding base is not reliant upon luck.

Good funding proposals entail four steps:

1. Careful preparation
2. Identification of needs and strategies
3. Development of relationships and solutions
4. Good technical writing skills.

Follow these steps to reduce the time and stress involved in writing funding applications.

Remember: An organisation's funding strategy should not start when a funding round is announced or end when the application is submitted.

How To Use This Resource

Each section of this resource contains activities which may be used by individuals or groups. If you choose to complete the activities, it is recommended that responses are saved to a central file that may be readily accessed when funding applications are completed. Creating a Funding Portfolio may be useful to store the information created.

The resource can be used in its entirety or users can choose to focus on the sections and/or activities which are appropriate to their skill sets and needs without having to complete the preceding steps.

How Is This Resource Structured?

Each section of the resource is independent and self-contained (i.e., you do not need to complete a particular section before moving to the next). Some content therefore has been deliberately duplicated across sections.

It contains activities of varying degrees of difficulty to suit both novice and experienced writers. The activities provided may be completed individually or as a group. Some tips for working on groups are provided on the next page. Individual users and organisations can select information and activities best suited to their respective skill sets.

It is recommended that users create a funding portfolio to store the information created.

Successful fund seeking involves multiple steps that commence much earlier than the actual writing of the application. The diagram below shows the crucial steps involved, and only one of these entails the actual writing of the application.

This diagram also provides the schema or map for the contents of this resource.

Remember: No matter how much experience you have in writing funding applications always carefully plan each new application.

Understand The Fund Seeking Process

- Seeking funds is, and has always been, a competitive process.
- Treat fund-seeking as core business, not an add-on.
- Understand the funder's criteria or guidelines.
- Make sure that the funding criteria meet your organisation's objectives.
- Applications received usually far exceed the funds available.
- Applications that are poorly written, contain factual or budgeting errors, fail to meet the set criteria or inadequately explain their proposal may be quickly eliminated.

Working in Groups

Working in groups is a great way to reduce the stress involved with preparing, planning, and writing funding applications. Two methods organisations may employ are the:

1. Nominal Group Technique
2. Brainstorming.

Nominal Group Technique

The nominal group technique is a group problem solving process involving problem identification, solution generation, and decision making. It can be used in groups of different sizes, that want to make their decision quickly, but want everyone's opinions taken into account. For more information about the nominal group technique, see:

- Centers for Disease Control and Prevention. (2006). Gaining Consensus Among Stakeholders Through the Nominal Group Technique. *Evaluation Briefs*. Available at http://www.FundAssist.flinders.edu.au.

Brainstorming

Brainstorming is a simple technique for generating a long list of creative ideas. To obtain maximum benefit from the process, use the rules below to enhance group interaction and creativity:

1. Ask for a volunteer to act as a neutral group leader to facilitate the process (encouraging and prodding other members, checking the time etc.). Appoint one if necessary
2. Ask for a volunteer to act as a recorder. Appoint one if necessary
3. Set a time limit. Ten minutes will be plenty
4. State one question or research problem

5. Ask the group members to generate and present as many possible solutions to the problem as they can within the time limit

6. Encourage the group members to piggyback on each other's ideas (i.e., suggesting a new idea that adds to the one already given)

7. Record all answers, combining those that are similar. Actual electronic recording of the session is optimal if everyone agrees to it

8. Avoid any evaluation or discussion of the ideas until the process is over. This rule is critical for productive brainstorming. It is critical that you share ideas in a non-competitive forum. The recorder can ask to have an idea repeated but should allow no comments, negative or positive, from others (e.g., "We can't do that!" "That's stupid!" or "I love your thinking!").

Section 1
Identifying Needs

Section 1 Identifying Needs

Funding applications must contain a clear and credible statement of the need or problem to be addressed.

You must establish that a problem exists and that it is not being addressed elsewhere **before** you present your proposed solution.

Do not assume that the funding body knows the importance and urgency of the problem. If you do, you may:

- Lose the opportunity to demonstrate your intimate knowledge and understanding of an issue
- Reduce the credibility of your organisation
- Undermine confidence in your proposed solution.

This section outlines the types of information and methods you might use to demonstrate community need.

The Importance Of Identifying Need

Identifying the needs of your community and consumer groups is important to:

- Secure funding
- Ensure your organisation provides quality services
- Clarify and maintain your organisation's position and relevance
- Build opportunities for collaboration.

Regular needs assessments are an essential part of your organisation's:

- Strategic planning and review processes
- Continuous quality improvement and evaluation methods
- Sustainable funding strategies.

How To Identify A Community Need

There are many tools available to help identify community need (see Table 1.1). While some approaches may involve traditional research methods (e.g., literature reviews), most require you to establish and build relationships with your broader community.

You will need to collect relevant information to:

- Demonstrate that a problem exists in the community
- Highlight your organisation's strategy or proposal to address the problem.

What Information Will You Require?

Consider what information will best demonstrate the existence and nature of the problem. Use more than one type of data and clearly link the problem with your proposed solution.

Use reliable and transparent data collection methods to support your proposal.

Ask yourself:

- How does this data demonstrate the problem or community need?
- How does this data justify or support the solution you propose?

Make the link sufficiently clear so that anyone, even those unfamiliar with your proposal, can see the relationship between the problem identified and the solution proposed.

What Should You Use In Your Funding Application?

Your funding application should include a simple explanation of:

- The community's needs
- How you established this
- What you propose to do about it
- Why your proposal is best suited to deliver positive outcomes.

See Developing a Proposal (p131) and Setting The Scene (p204) for more information about using your needs assessment to develop your proposal.

TIPS: Identifying Needs

- First describe the problem, not your solution.
- The identified need is not the services to be provided.
- Use evidence, not assumptions or undocumented assertions, when establishing community needs.
- Use relevant statistics to support the problem and proposed solution.

Table 1.1 Methods for Identifying Needs

Local/Community Needs

Key Informant/Key Stakeholder Interviews:

May be used to demonstrate that your proposal is addressing concerns held by respected community members

Purpose	Examples	How	Tips	Activities
Demonstrates concern and potential support from respected community members	• Police • Health professionals • Principals of local schools • Other community organisations	Informant interviews are relatively easy to undertake and you control the type of information that is sought	Key experts and stakeholders may be able to write a letter of support for your application	Read the UCLA Centre for Health Policy Research paper about how to conduct key informant interviews. Downloaded from http://healthpolicy.ucla.edu/programs/health-data/trainings/Documents/tw_cba23.pdf

Community Forums:

May be used to demonstrate that there is an identified need in your local community

Purpose	Examples	How	Tips	Activities
A record of community needs and support for your organisation	Consult with your local community by holding a forum or focus groups with your organisation's targeted population group/s	Organising a community forum takes time and commitment: • Identify key community members • Schedule regular meetings (e.g., twice a year)	Key community members can provide support for your proposal	For more information go to the Community Toolbox website http://ctb.ku.edu/en

Table 1.1 continued over page

Table 1.1 Methods for Identifying Needs (cont.)

National and State Surveys and Datasets:

May be used to demonstrate the extent of the problem or issue

Purpose	Examples	How	Tips	Activities
National surveys report the prevalence and incidence of a problem National datasets provide a description of the extent of a problem or an issue	National Drug Strategy Household Survey AOD National Minimum Dataset National Survey of Mental Health and Wellbeing	Draw comparisons between population data and local data to demonstrate the significance of a problem in your community An example: 10% of the Australian population have recently used cannabis, but in XXX 50% of XXX have recently used cannabis	When developing a survey, try to use the same/similar questions used in validated surveys	Obtain from local councils, police, schools, hospitals or other community organisations any relevant local statistics

Literature Reviews:

May be used to demonstrate ‘how big’ the problem or issue is in your local community

Purpose	Examples	How	Tips	Activities
A synthesis of the evidence on a specific research question or topic Provides insights on what others have done to solve similar problems Identifies factors you need to consider when designing and implementing your proposal		Demonstrates to potential funders that you have a broad understanding of a topic and that you are aware of current practice and gaps in knowledge	If you conduct a literature review it needs to be complete and current using up-to-date secondary and primary international, national and local data sources where possible	Read the article: Greenhalgh, T. (1997). How to read a paper: Papers that summarise other papers (systematic reviews and meta-analyses). BMJ, 315(7109), 672-675. Downloaded from: http://www.bmj.com/

Table 1.1 continued over page

Table 1.1 Methods for Identifying Needs (cont.)

Service Information

Routine Information: Can be used to demonstrate the key aspects of your service provision

Purpose	Examples	How	Tips	Activities
Information your organisation routinely collects for current reporting and funding purposes	Number of NSP clients, new service clients, gender, age, marital status Activities held for mothers with children	Identify and clearly state the key aspects of your service provision that are relevant to a particular funding application	Information can also be used to highlight unique aspects of your organisation (e.g., specific activities, particular location, targeted issues)	List the type of information that you currently collect for funding purposes

Assessments/Evaluations: Demonstrate you know what works and what doesn't work

Purpose	Examples	How	Tips	Activities
Illustrate the success and achievements of previous initiatives	Service evaluations Quality assurance assessments Consumer feedback	Can be used to document evidence-based practice in service delivery, intervention tools, and access and equity in community interactions	Use information that your organisation routinely collects as part of evaluations and quality improvement activities	List the type of information that you currently collect for funding purposes

Case Studies: May be used to demonstrate need and successful client outcomes

Purpose	Examples	How	Tips	Activities
Illustrate the challenges and successes of your clients	Success stories Case studies	Ask client/s' permission if not anonymous With your clients' involvement develop an analytical, realistic description of their problem/ situational need for services	Clients' confidentiality and privacy must be maintained	Identify your organisation's procedures and protocols for writing up case studies

Table 1.1 continued over page

Table 1.1 Methods for Identifying Needs (cont.)

Government Policies and Strategies:

Can be used to demonstrate that your proposal aligns with the potential funders' broader program of work.

Purpose	Examples	How	Tips	Activities
Establishes the significance of an issue at a global, national, state or local level	National Drug Strategy National Mental Health Strategy	Identify the components of government policies and strategies that are directly relevant to your organisation and proposal	If applying for funding through a private body, consider the strategies and policies they have on their websites and ensure that your program goals align with theirs	Identify relevant government-based policies and strategies Identify the policy or strategy of a charitable trust from whom you would like to apply for funding

Protocols and Guidelines:

May be used to demonstrate that your proposal follows standard clinical and/or community practices.

Purpose	Examples	How	Tips	Activities
Establishes the significance of an issue at a global, national, state or local level	NHMRC Alcohol Consumption Guidelines National Guidelines for Managing Sexually Transmitted Infections (STI) Clinical guidelines and procedures for the use of methadone in the maintenance treatment of opioid dependence	Identify the components of protocols and guidelines that are directly relevant to your organisation and to your proposal	Elsewhere in your proposal (e.g., under Risk Management) you can highlight how staff and volunteers adhere to these protocols and guidelines	Identify relevant protocols and guidelines

References & Resources

- Carlson, M., & O'Neal-McElrath, T. (2008). Winning grants step by step (4th ed). John Wiley & Sons.
- Greenhalgh, T. (1997). How to read a paper: Papers that summarise other papers (systematic reviews and meta-analyses). BMJ, 315(7109), 672-675. Downloaded from http://www.bmj.com/content/315/7109/672
- UCLA Center for Health Policy Research Website contains various papers about how to conduct key informant interviews and needs assessments - http://healthpolicy.ucla.edu/programs/health-data/data-resources/Pages/Key-Informant-Interviews.aspx

The websites and resources below will help you to conduct a community needs assessment:

- Blueprint for Change Website - http://www.blueprintforchangeonline.net/pages/assess/starting.php
- Government of Western Australia, Drug and Alcohol Office 'Engaging the Community' Website - http://www.dao.health.wa.gov.au/Informationandresources/Engagingthecommunity.aspx (also see Activity 1.4 for an adaptation of the Community Mapping Tool developed by this agency)
- Our Community Website Helpsheet - http://www.ourcommunity.com.au/management/view_help_sheet.do%253Farticleid%253D10
- The Community Door Website, Step 4 Beginning the project planning and needs assessment process- http://www.communitydoor.org.au/learnings-case-studies-and-guidelines-for-establishing-shared-and-collaborative-service-delivery-i-3
- The Community Toolbox: Assessing Community Needs and Resources - http://ctb.ku.edu/en/assessing-community-needs-and-resources
- The University of Illinios at Chicago, Stage 2: Choosing Data-Gathering Methods for Your Project - http://www.uic.edu/depts/crwg/cwitguide/04_EvalGuide_STAGE2.pdf
- World Health Organization. (2000). Needs Assessment, Workbook 3 - http://www.emcdda.europa.eu/attachements.cfm/att_5865_EN_3_needs_assessment.pdf

Sample community needs assessments may be found on the websites below:

- Rotary International Community Assessment Tools. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Reisman, J., Gienapp, A., & Stachowiak, S. (2007). A Handbook of Data Collection Tools: Companion to "A Guide to Measuring Advocacy and Policy". Downloaded from The ORSImpact Website
- Rural Health Works Template. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- University of Wollongong - Screening and Assessment Tools Used for Aged Care Programs in various Australian states and territories - http://ahsri.uow.edu.au/chsd/screening/index.html

Section 1 Activities

Activity 1.1 Needs Assessment Worksheet

Complete the needs assessment questions and provide examples of information that demonstrate the problem or need.

List the information you require to develop an accurate assessment.

If you cannot answer the questions below, look at the References & Resources (p17) for information about how to conduct a needs assessment.

Has your organisation conducted a needs assessment?

☐ YES ☐ NO

When was the last time you conducted a needs assessment?

What activities did you undertake when conducting your needs assessment?

What needs or problems were identified through the needs assessment?

What information demonstrates that there is a need or problem?

Are you missing any information which could demonstrate with greater clarity that a need or problem exists?

☐ YES ☐ NO

If yes, what further information should you collect?

Where will you get this information from? See Table 1.1 in Identifying Needs if you require assistance.

What might happen if the need or problem is not addressed in a timely manner?

Activity 1.1 Needs Assessment Worksheet (cont.)

How do you know this?

What may happen if you implement your solution?

How do you know this?

Activity 1.2 Describe the Identified Need

Focus on the need/problem that your organisation wishes to address.

Develop a three- or four-sentence description that depicts the need/problem you will address.

Try not to use technical language or jargon.

Show this to a colleague with relevant expertise (e.g., Board members or senior staff). Ask them to define the problem and provide feedback on the clarity of your description.

What is the problem or community need?

Describe the problem or community need here.

Activity 1.3 Promote the Identified Need

Organisations often have to also approach local community members to obtain support for their proposal.

Develop a short 100 word "speech" using two or three key pieces of evidence to obtain support for your organisation from funders and local community members.

Cut straight to the heart of the issue and quickly and effectively convey the thrust of your argument to convince funders and community members to support your proposal.

In your "speech", try to provide a sense of the urgency for your request. Help the funder and community understand why the proposal is important now.

Write your "speech" here.

Activity 1.4 Community Mapping Tool

Step 1: Write a brief description of the problem in your community that you wish to address.

Step 1a: Who displays the problem?

Step 1b: Where and when does the problem occur?

Step 2: How is the problem affecting the community or individuals in the community?

Step 3: What is causing the problem?

Step 4: What has been done previously to deal with the problem and how successful was this?

Step 5: What resources/support do you currently have to do something about the problem?

Step 6: What can you do to address the problem?

Step 7: Does the general community see this issue as a problem?

☐ YES ☐ NO

Step 7a: If yes, what action is being taken?

Step 7b: If no, what strategies can/are you implementing to move the community towards being ready to act.

This activity was adapted from the Western Australian Government Drug and Alcohol Office Community Mapping Tool. Visit the Western Australian Government Drug and Alcohol Office website for more information about community engagement - http://www.dao.health.wa.gov.au/Informationandresources/Engagingthecommunity.aspx.

Section 2
About Your Organisation

Section 2 About Your Organisation

An appropriate description of your organisation is a fundamental part of your funding application. Do not overlook this!

Modify and tailor the description of your organisation to suit each funding application.

This section provides a step by step process for building a portfolio of information about your organisation.

2.1 Who You Are and What You Are About (p24) provides guidance on how to map:

- Who your organisation is
- What your organisation does
- Why it matters
- Why your organisation's resources, programs and services should be funded.

2.2 Your Vision, Mission, and Strategy (p28) helps you develop your vision and mission statements and strategic planning processes. It provides useful tips about reviewing and up-dating your vision, mission and strategic plan.

2.3 Your Organisation's Track Record (p40) will help you to:

- Map key features of your organisation's current and previous programs
- Measure the outcomes of your programs and services
- Identify your organisation's achievements and benefits.

2.4 Your Board, Staff and Volunteers (p57) are vital to your organisation's success. This section will help you compile information about your organisation's governance structure and staff roles, responsibilities, and qualifications to:

- Ascertain gaps in and potential contributors to your funding strategy and activities
- Assure funders that your organisation has the required expertise and knowledge to provide quality services and successfully execute your proposal.

2.5 Organisational Compliance (p71) will help you to identify your organisation's legal and tax status, quality assurance processes, and provides information about where to obtain further information about core business requirements.

You may have already prepared some of this information. Nevertheless, it is important to continually revisit it, and make sure it is up-to-date and readily available when you start to prepare a funding application.

Section 2.1
Who You Are and What You Are About

Who You Are

An important initial step in the fund seeking process is to:

- Define, map, and inform your staff, funders, community, and consumers about your organisation's past, present, and future
- Identify, measure, and highlight your organisation's critical success factors
- Develop and cultivate relationships with community, funders, and clients to ensure your organisation's continued relevance and success.

These processes are not dependent upon advertised funding rounds. They are processes which should be undertaken and reviewed on a routine basis.

The following sections provide suggestions about how to:

- Develop this information
- Organise and store information so it can be readily retrieved to develop the organisational capacity section of your funding application.

What Funders Need to Know

It is not enough for *you* to know about your organisation. You need to **tell *others*** (staff and volunteers, funders, community members, policy makers and clients) about the who, what, where, how, and why of your organisation.

Details of the who, what, where, how, and why of your organisation should be used in all communications with potential funders, as well as when writing a f unding application.

Potential funders need to know:

- What your organisation does
- Why your organisation matters
- How its achievements and successes are measured
- Why your organisation's resources, programs and services should be funded.

Never assume this key information is known, no matter how long you have had a relationship with the group or organisation from which you are seeking support or funding.

Why do Funders Need this Information?

This information is needed to persuade funders that your organisation:

- Has the knowledge, experience and capacity required to meet the community's needs
- Holds values and goals that are aligned with theirs
- Is uniquely placed to meet the funder's requirements.

Do not only tell funders about the *features* of your organisation; tell them about the *benefits* of your organisation.

Your Organisation's Track Record (p40) shows you how to develop this information and Demonstrating Your Organisation's Strengths (p214) shows you how to use it in your funding application.

TIPS: Who You Are and What You Are About

- Before you start to write a funding application, make sure you can clearly and succinctly tell a funding body about your organisation.
- Describing your organisation is a crucial part of your funding application. Organisations often overlook this part and undersell their importance to the community.
- Define, map, and publicise your organisation's past, present and future successes to help you:
  - Obtain funding
  - Demonstrate community relevance
  - Demonstrate sustainability
  - Promote organisational strengths and uniqueness
  - Ensure planned development and quality services and programs
  - Address any organisational limitations.
- **Always** carefully read the funding application guidelines to make sure that you have addressed the funder's requirements and that you have appropriately described your organisation.
- It does not matter if you have a long standing relationship or have submitted many funding applications. Never assume that funding bodies know about your organisation.

- As a general rule, when you tell a funder about your organisation, you will need to:
  - State who your organisation is
  - What it does
  - Highlight who comprises your organisation
  - Describe how it delivers its existing programs/services.

FAQs

Q. Why should I define, map, and publicise my organisation's vision, mission, plans, and achievements?

Even if you are a large, well known organisation, always assume that the funder has no idea about who you are and what you do. Funding applications are generally reviewed and assessed by at least some people who know nothing about your organisation.

Always provide a comprehensive description of your organisation with sufficient detail to convince the funding body that your organisation:

- Is reputable
- Is financially solvent
- Has a strong organisational structure
- Delivers on its contractual obligations
- Has suitable data tracking methods.

Q. How do I define, map and publicise my organisation's vision, mission, plans, and achievements?T

Information that should be routinely collected and reviewed is outlined in the following sections. It will help you provide potential funders with an accurate, succinct, and convincing description of what your organisation does, why it matters, how it is measured, and why your organisation's resources, programs and services should be funded.

Section 2.1 Activity

Activity 2.1.1 At First Glance

How long has your organisation been in existence?

What are your organisation's values?

What community does your organisation serve? What are its geograhical boundaries? Who are your targeted consumers?

What services or programs does your organisation provide?

What are your service's operating requirements (e.g., hours of operation, clients, fees charged, inclusion/exclusion criteria?

Describe what your organisation does in 100 words. Think about how you would explain who your organisation is and what it does in everyday language to an interested passer-by. Share your response with others involved in your organisation and see if they agree.

Section 2.2
Your Vision, Mission, and Strategy

> "It is awfully important to know what is and what is not your business." Gertrude Stein

Vision & Mission Statements

Vision and mission statements are not meaningless statements. They:

- Keep non-government organisations focused on the needs of their community
- Define organisational boundaries by clearly outlining the problem or need which it addresses
- Provide staff with clear direction about organisational values and goals and motivate them to achieve common outcomes
- Inform the development of the strategic plan and your organisational goals
- Give funders a clear indication of the purpose of your organisation (Braun, 2012).

Although mission and vision statements are short, writing one is not a quick process. It takes time to identify an organisational purpose which is inclusive, inspirational, and appropriate.

Vision Statements

Vision statements inform staff, clients, funders, and the community about the values that your organisation represents. Your vision statement paints a picture of what your organisation wants to achieve. It takes a longer term view than your mission statement and strategic plans (i.e., what does your organisation hope to achieve in 20 years from now?).

Unlike mission statements and strategic plans, vision statements are not measurable. They embody long-term foundational beliefs which:

- Inform staff about how things should be done
- Shape consumers' understanding of why they should engage with yourorganisation
- Provide funders with an indication of whether your organisation's values match their own.

Mission Statements

An effective mission statement must provide a clear description of:

- Where an organisation is headed
- What sets it apart from other entities
- The target need and consumer group.

A mission statement must be short, memorable, unambiguous, and appropriate for a variety of organisational stakeholders including employees, consumers, Board members and funders.

Mission statements inform staff, consumers, funders, and the community about:

- The reason your organisation was established (purpose)
- What your organisation wants to achieve (objectives).

Good mission statements should keep your organisation focused and help decision-making processes by:

- Providing a brief overview of your areas of concern
- Incorporating measurable outcomes.

A mission statement is your organisation's touchstone. Use it as a tool to help you decide between various courses of action. As you develop programs, apply for funding, and pursue your ideals, always ask:

"Will this help us accomplish our mission?"

When developing or reviewing your mission statement, answer the six questions in Table 2.1.

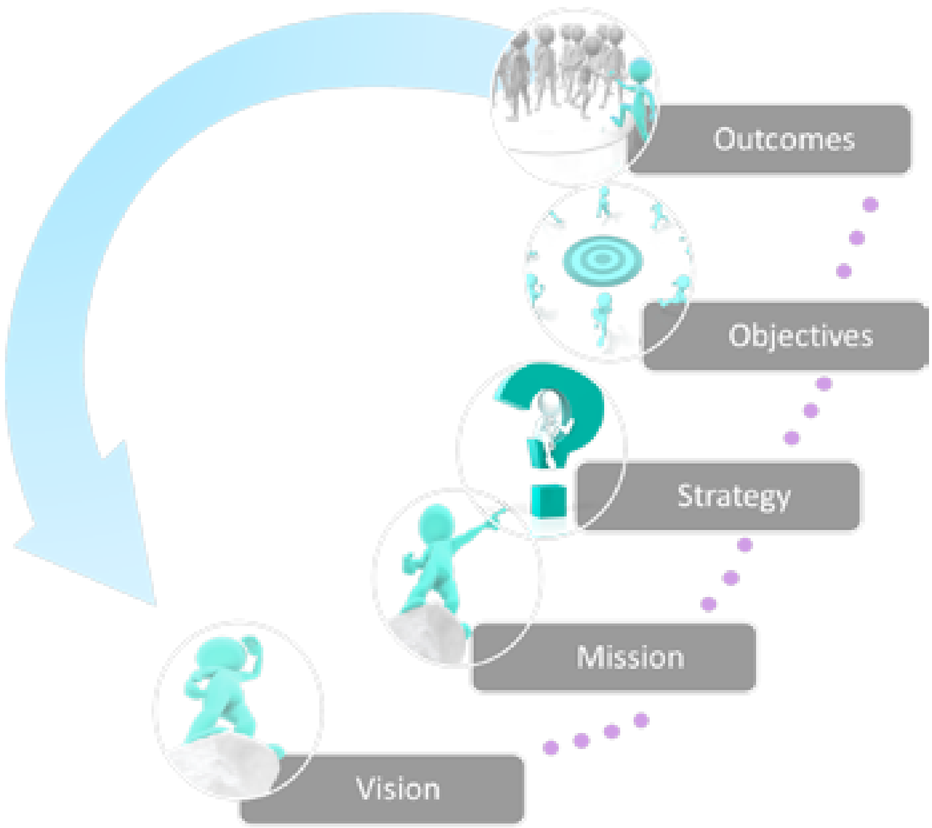

Table 2.1 Six Questions to Help Develop Your Mission Statement

Question	Considerations
1. What do we do?	What services do you provide?
2. How do we do it?	This refers to technical elements of the organisation i.e., the types of programs and services that you provide to your consumers and how are those services and programs are delivered?
3. For whom do we do it?	The answer to this question will help you focus your organisational efforts, define your consumers' demographic characteristics (age, income etc.), and then define a geographic area in which your organisation offers services.
4. Is this the best way of providing our services?	This question helps organisations to avoid becoming fixed, focused, or rigid about how they do things.
5. Is there anything else we could be doing to improve our outcomes and achieve our goals?	This question helps organisations evolve their service delivery models and/or activities.
6. Is everything we are doing really focused on achieving our goals?	This question helps you avoid or cease activities which are not achieving your goals.

Strategic Plans

Strategic plans are important to:

1. Inform potential funders about:
   - Your organisation
   - Your organisation's goals and functions
   - What your organisation hopes to achieve over a specified period of time – usually five or so years.
2. Strengthen your organisation by:
   - Assessing productivity and the effectiveness of your fund development activities
   - Building Board, staff and volunteer understanding of your organisation's relationship with its community
   - Developing and enhancing relationships with funders

- Targeting areas of stakeholder interest
- Identifying fund development areas
- Increasing the organisation's visibility.

Your strategic plan should:

1. Outline your organisation's critical success factors. These are the areas which require a long-term focus to achieve your organisation's mission and vision

2. Detail your strategic approach to achieving your objectives

3. Define your relationship with the community by including details of intended target groups and collaborators

4. Clearly state specific and measurable short-term goals in terms of:
   - What you want to accomplish
   - When you want to accomplish it
   - How you are going to do it
   - Who is responsible for achieving these goals.

5. Identify:
   - Activities that lead to the implementation of your goals (also known as action items)
   - Who will manage and monitor the plan and how it is communicated and supported.

Developing Your Vision, Mission, & Strategy

Your organisation's vision, mission, and strategy are influenced by the needs and problems you have identified in your community (see Identifying Needs (p11)).

To develop your strategic plan, you need to identify your organisation's:

- Values and goals
- The activities, steps, and resources needed to achieve its goals
- What you will need to measure to determine success.

Organisations often undertake a Results Based Accountability (RBA) process which asks:

- What do we want to achieve?
- How much will we do?
- How well will we do it?
- Will anyone be better off?

Knowing what you want to achieve, what and how much you need to do to achieve it, and who will benefit from your actions is crucial when developing and/or reviewing your organisation's strategic plan. In general, strategic plans explain:

- Where you are now

- Where you are going
- How you intend to get there.

Strategic plans build on your organisation's strengths; address its weaknesses; capitalise on opportunities; and develop responses to threats (see Your Organisation's Track Record (p40) for a SWOT analysis of your organisation's activities and resources).

Demonstrating that your organisation has a long term plan reassures funders that their investment is sustainable, in safe hands, and will have ongoing benefits.

Reviewing Your Mission and Strategy

The planning process defines and continually reviews your organisation's relevance. It is imperative that you regularly revisit your mission statement, strategic plans, and funding development strategies and involve as many stakeholders as possible.

As organisational priorities are influenced by community needs and problems, organisations may have to change direction as the external environment changes. Mission statements and strategic plans may need to be adapted or even completely rewritten, over time.

Example of a changing political environment: The Australian Context

In 2007, The Improved Services Initiative was implemented by the Australian Government to build service capacity, so that the alcohol and other drug sector could respond more effectively to alcohol and other drug consumers with co-occuring mental health issues. The Initiative included a range of strategies that aimed to better qualify, train and professionally develop the workforce, build the capacity of the NGO sector, increase organisational responsibilities through the development and dissemination of resources, and enhance partnerships with related professionals through linkage activities. A number of alcohol and other drug agencies have subsequently incorporated a mental health focus in their mission statements (WANADA, 2011).

Example of a changing medical environment: The International Context

The March of Dimes was an organisation that had been set up specifically to serve polio victims and search for a cure. As polio was gradually eradicated in the US by the introduction of the Salk vaccine, the March of Dimes faced an evolving identity crisis. Should they go out of business or change their mission? The organisation chose to change the mission. A wise decision since there was a healthy infrastructure in place. The March of Dimes re-focused on preventing birth defects, premature birth, and infant mortality.

The Planning Process

An organisation that thinks and acts strategically is better positioned for effective funding development. The planning processes involved in developing your mission statement, strategic plans, and funding development strategies enable:

- Diverse stakeholders to embrace your organisation's mission, strategies, and objectives
- Staff, funders, clients and the wider community to be informed about:
  - Why your organisation matters
  - What your organisation does to obtain results and make a difference.

Involving relevant external and internal stakeholders in your organisation's planning activities is a good way to:

- Educate them about your organisation's mission, goals, and successes
- Bring about organisational commitment and alignment
- Produce organisational learning and change.

When developing or reviewing your strategic plan, complete Activity 2.2.3 Developing and Reviewing Your Strategic Plan in 20 Questions (p37).

TIPS: Your Vision, Mission, and Strategy

- Creating or renewing your vision and mission statement will take time. The process involved is just as important as the end result.
- When creating your vision and mission statements, involve the Board, staff and others who are connected to your organisation.
- Stimulate ideas by looking at sample mission statements.
- If you are a large and/or diverse organisation you may want to consider developing targeted mission statements to satisfy the needs of different clients.
- Do not make your mission statement lengthy and ambiguous. It must reflect your organisation's goals and the community's needs.
- Vision and mission statements guide your organisation. They do not lock it into a particular direction. As your organisation grows or the community's needs change, review your mission and vision statements to ensure they still reflect your organisation's goals.
- However, do not review your vision and mission statements too often or too radically as they contain foundational aspirations, not ever-changing items based on the flavour of the moment.

- Your mission statement must be measurable. Funders are committed to your values; not your organisation. Reinforce your vision by measuring how well you achieve your mission. See Your Organisation's Track Record (p40) for ways to measure your services and/or programs.
- Try not to use unmeasurable objectives or unachievable goals such as "eliminating drug use" in your mission statement and strategic plan.
- Develop a communication plan for informing staff, clients, funders, and the community about your organisational history, values, missions, plans, and achievements. Items which may assist you to record your organisational history are annual reports and previous reports to funding bodies.
- How long your organisation has been in existence is not as important as your organisational values and outcomes.
- Do not use jargon and/or formal language that only professionals in your particular field will understand.
- Use the active voice, not passive voice.
- Do not focus on the organisation; focus on the people it serves.

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- The Community Toolbox Website contains the Strategic Planning Resource Kit - http://ctb.ku.edu/en/developing-strategic-and-action-plans
- The Fiscal Policies Studies Institute Website contains information and resources about the Results Based Accountability Framework - http://resultsaccountability.com/
- The Mission Statements Website contains examples of mission statements- https://www.missionstatements.com/
- The My Strategic Plan Website provides examples of strategic plans - http://mystrategicplan.com/samples/
- The Results Based Accountability Implementation Guide Website provides information and resources to help organisations adopt the Results Based Accountability Framework when planning, making decisions, and measuring performance of goals - http://raguide.org/

- The Strategic Planning for Dummies Cheat Sheet may be downloaded from the For Dummies Website - http://www.dummies.com/how-to/content/strategic-planning-kit-for-dummies-cheat-sheet.html

- The Top Nonprofits Website provides examples of mission statements (see http://topnonprofits.com/examples/non-profit-mission-statements/)

- The Creating Mission and Vision Statements Worksheet is available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Western Australian Network of Alcohol and Other Drug Agencies (2011). *Review of the Impact of the AOD Improved Services Initiative in Western Australia*. Canberra: Australian Government Department of Health and Ageing. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au.

YouTube Videos

For more information about Results Based Accountability, watch the YouTube Videos below.
These videos are available from the FundAssist website - http://www FundAssist.flinders.edu.au.

- Mark Friedman. (2009). Video Introduction to Results Based Accountability

- Mark Friedmen. (2009). Mark Friedman Explains how Results Accountability is Different from any other Framework

Section 2.2 Activities

Activity 2.2.1 Exploring Your Organisation's Vision and Mission

Does your organisation have a vision and/or mission statement?

YES NO

If no, develop a vision and mission statement with your team (see Activity below).
If yes, write your organisation's vision and/or mission statement here.

Does your vision and/or mission statement say what your organisation believes in and why your organisation exists?

YES NO

Ask the questions below to review your organisation's vision and mission statements to assess their relevance.

Is the problem we set out to solve still a problem?

YES NO

Does your organisation's vision and mission statements reflect the community's needs? Look at Identifying Needs (p11) **to inform your answer.**

YES NO

Are your vision and mission statements and strategic plans still relevant?

YES NO

If no, briefly outline the reasons why.

If yes, briefly outline how your vision and mission statement reflect your community's needs.

Does our mission statement reflect the priorities of potential funding partners?

YES NO

Consider potential partners identified in Funding Sources (p107) and Building Relationships (p123).

Activity 2.2.2 An 8 Word Mission Statement

Create a unique mission statement for your organisation which clearly defines your organisation's purpose by answering the questions below.

What do you do?

How do you do it?

Who are your clients?

Where are you going?

What community need does your organisation provide for?

What can you do for your clients that will enrich their lives and contribute to their success?

If you could measure only one thing, what would it be?

Use a verb, target population, and a measurable outcome to develop an eight word mission statement.

Activity 2.2.3 Developing and Reviewing Your Strategic Plan in 20 Questions

Involve senior staff, Board Members, and management in developing a strategic plan for your organisation.

If you are a smaller organisation or have a large volunteer workforce, involve junior staff or volunteers in this process. See Funding Development Team (p95) for ideas about how to involve junior staff and volunteers.

Activity 2.2.3 Developing and Reviewing Your Strategic Plan in 20 Questions (cont.)

If your organisation already has a strategic plan, review it using the checklist below.

Does your organisation have a strategic plan?

If yes, review your strategic plan. If no, develop a strategic plan. Answer the questions below when developing and/or reviewing your strategic plan.

1. **Who are our consumers?**

2. **What do they value?**

3. **What has been the outcome of our work?**

4. **What is our unique contribution to the community — why does this matter and to whom?**

5. **What is happening in the world outside our organisation? What are the implications for the work that we do and might do, and how we do it?**

6. **What needs are being met, and who is meeting these needs?**

7. **What needs are not being met?**

8. **Do we have the capability to respond to any of these needs?**

9. **How do we cooperate and collaborate with other organisations?**

Activity 2.2.3 continued over page

Activity 2.2.3 Developing and Reviewing Your Strategic Plan in 20 Questions (cont.)

10. Could we build alliances and collaborate to meet the community's and/or our organisational needs?

11. What do we want to achieve? What is our vision for the future?

12. Will we change who we are?

13. What will we need to do to achieve our vision and outcomes?

14. Who will be our collaborators?

15. How will we move from where we are today? What are our strategies? What services and programs will we offer? What organisational development is required?

16. Who will do what and in what time frames?

17. How will we recognise when we have achieved it?

18. How will we measure success?

19. How much will all this cost, and how will we finance our endeavours?

20. How will we ensure that we are accountable?

Section 2.3
Your Organisation's Track Record

Funders want to support organisations that:

- Have sustainable programs and resources
- Provide quality services and measurable outcomes
- Have appropriate and transparent financial arrangements.

They want to know:

- What existing or previous programs and services you have provided
- The need/s that they addressed
- Whether the programs and services were successful and made a difference.

Map Your Programs and Services

Funding bodies need to be told about the services and programs provided by your organisation so they may:

- Ascertain whether such programs and services are driven by community need and demand
- Determine how much experience you have in delivering programs and services of the type for which you are seeking funds.

Table 2.2 provides an overview of organisational and service features you may wish to record.

Table 2.2 Organisational and Service Features

Feature	Example
What is/was provided?	Education, counselling, advocacy
Who funded it?	Education Department; Health Department
How long was the program/service provided for?	12 months
When was the service provided?	Monday from 2 pm to 6 pm
To whom was it provided?	Young people, drug users, families

Table 2.2 continued over page

Table 2.2 Organisational and Service Features (cont.)

Feature	Example
Where was it provided?	Toorak Gardens, Victoria; Bundaberg, Queensland
What was the mode of delivery?	One-off events, mixed mode, telephone
How many people accessed the program?	10, 100, 1000
What was involved?	Implementation, maintenance, evaluation, collaboration

How Well Does Your Organisation Perform?

"However beautiful the strategy, you should occasionally look at the results". Winston Churchill

When delivering programs or services, you should measure:

- What you are doing
- How well you are doing it
- The outcomes of your programs and services.

Implementing systems and processes to regularly collect and analyse this information is important to:

- Inform the design, delivery, and maintenance of quality services
- Provide information to consumers, the community, and funders about the benefits your organisation provides
- Increase transparency and accountability in your reporting requirements to funders.

Critical Success Factors (aka Key Result Areas)

Define your organisation's critical success factors before you measure what you do, how well you do it, and the outcomes of your services and programs. Your organisation's critical successes are the:

- “Aspects of organisational performance that determine ongoing health, vitality and well being” (Niedritis, Niedrite, & Kozmina 2011)
- Essential areas of activity that must be performed well for your organisation to achieve its mission, objectives and goals.

Your organisation’s critical success factors should operate over four domains (Table 2.3).

Table 2.3 Critical Success Factor Domains

Domain	Description	Example
Industry	Factors determined by industry-specific matters Organisations need to adhere to so they may remain competitive	Provide quality services Employ staff with at least a minimum qualification
Environmental	Factors resulting from macro-environmental influences on an organisation	Effectively collaborate with other organisations Increase use of emerging technologies in service delivery
Strategic	Factors determined by your Board as strategic in positioning the organisation	Consult regularly with the local community and other stakeholders
Temporal	Factors resulting from the organisation’s internal forces	Consistently review and evaluate performance to drive improvement

Knowing your organisation’s critical success factors will help you to identify:

- The performance measures needed to achieve your organisation’s goals
- Which stakeholders should be approached for feedback on your organisation
- The tools and processes required to evaluate your organisation’s activities, services, and programs.

To determine your critical success factors, consider your organisation’s strategic goals (see Your Vision, Mission, and Strategy (p28)) and ask:

“What area of business or activity is essential to achieve this goal?”

Why is it Important to Identify Your Organisation's Critical Success Factors?

Identifying your organisation's critical success factors is important to:

- Streamline your organisation's reporting requirements
- Help everyone involved in your organisation understand what is expected of them
- Link your daily activities to the organisation's strategy
- Highlight your organisation's unique abilities and distinctive qualities
- Conduct evaluations and identify areas of achievement and improvement.

Tell funders about your organisation's critical success factors and how you have achieved them. If you know what your goals are and have measured how well you have achieved them, then it should be easy to tell funders about the sustainable competitive advantage you offer compared to your competitors.

Measuring Your Critical Success Factors

To obtain funding, many funding bodies require organisations to:

- Undertake accreditation and continuous quality improvement processes (or be working towards these)
- Demonstrate their key results indicators (e.g., how many people use your service)
- Identify their key performance indicators.

Your approach and the way you document your key results will depend on the nature of the project and its objectives. Results can be recorded as either processes, outcomes or a combination of both.

Whichever way you record your results, you will need to describe how your evaluation information will be collected and how the data will be analysed.

Obtain information from a variety of sources when measuring your services and/or programs. Diverse information is required to inform different stakeholders.

To inform the design and delivery of effective, appropriate, and efficient services, organisations need to measure:

- What they are delivering (process evaluation) and what they are achieving (outcome evaluation) to determine how they may improve
- The views of consumers about the strengths and weaknesses of the services received to ensure they are delivering quality services.

The programs and services provided by your organisation should be routinely evaluated to record whether your organisation is achieving its objectives and how well it is achieving them (Table 2.4).

Table 2.4 Ways to Assess Progress

Type of Results	Description	Who Do You Ask?
Process	What has been done? How it has been done? Who has been involved or reached? Quality of activities Examples of process results include: • Tracking inputs (e.g., funding levels, number of staff) • Throughputs (e.g., bed occupancy rates, length of stay) • Outputs (e.g., number of community contacts).	• Staff • Volunteers • Board members
Impact	Document changes (i.e., what was the situation previously and what is it like now?) How has it changed in the short- and medium-term? This could be documented in two ways: • Qualitative: A record of participant expectations, experiences and outcomes • Quantitative: Details of a range of program elements (e.g., number of people whose substance use was reduced, number of people engaged in treatment) Examples of impact results include comparing changes before and after a project started (e.g., bed occupancy rates at the beginning and end of the project period).	• Consumers • Participants • Community

Consumer Health Outcomes

Measuring consumer health outcomes in alcohol and other drug organisations is important to ensure the services and programs provided are relevant, accessible, effective and efficient. A consumer health outcome is:

- A change in a consumer's health status between two points in time
- Measured to assess change or improvement as a result of the services received.

A range of relevant and reliable instruments are available. For further guidance, see:

- NSW Department of Families and Community Services. (2012). Measuring Outcomes in Community Care. Downloaded from http://www.adhc.nsw.gov.au/__data/assets/file/0005/241664/51_Measuring_outcomes_in_community_care_report.pdf
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When completing your database of previous programs and services, record how the outcomes were measured. Consumer's health outcomes can inform which aspects of your programs or services are effective, efficient, or appropriate regardless of the episodic nature in which many people with alcohol and drug problems engage with services and/or the manner in which their wellbeing, functioning and quality of life may fluctuate over time.

Your Benefits and Impact

> "It's not what you're selling that matters; it's what I'm buying that counts." Simone P. Joyaux

Funding bodies need to be persuaded that your organisation should receive their funding. They see their support as an investment and prefer to invest in organisations which can value-add to the funding they provide. Tell funders about the:

- Benefits of working with your organisation
- Long-term impacts your organisation has had on the community.

The Benefits and Impact of Alcohol and Other Drug Non-Government Organisations

Alcohol and other drug agencies are human-change agents. They exist to either bring about some change in the way someone behaves or their circumstances, attitude, health, competence and capacity. Like all community organisations, alcohol and other drug agencies contribute to community wellbeing in four broad ways.

Alcohol and other drug agencies:

1. Provide services to consumers

2. Influence and promote change on economic, social, cultural and environmental issues (e.g., providing education programs, contributing to research, and increasing understanding of effective approaches)

3. Connect individuals to community networks

4. Invest in skills, knowledge and physical, social, cultural and environmental assets for the benefit of future generations.

Benefits provided by alcohol and other drug agencies derive from the services and outcomes provided to:

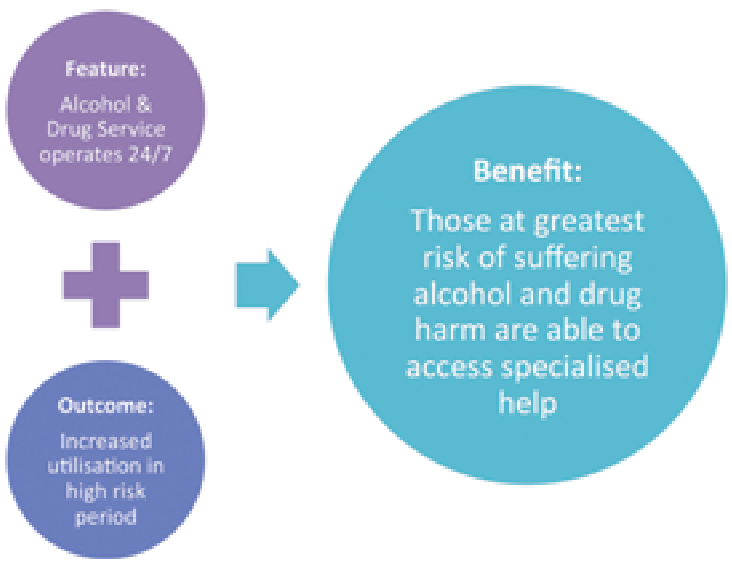
- Clients
- Community
- Staff
- Funders and partners.

Explaining these benefits in a funding application requires:

- Knowledge about the field
- Insight into your identified consumer base
- Creativity and imagination
- Good writing skills.

Some may think that the benefits of their organisation are the same as the outcomes; however, there are distinct differences.

An outcome is a result which affects real world behaviours/circumstances and may lead to one or more benefits. **Benefits** are measurable improvements resulting from, and enabled by, the outcomes. An illustration of the difference between an outcome and a benefit is shown below.



Your Organisation's Success Stories

Success stories are powerful tools which help:

- Promote your organisation's progress and achievements
- Inform the community and funders about individual consumer outcomes and the benefits of your organisation
- Staff and volunteers celebrate achievements
- Engage the community, other organisations, and funders.

When preparing your success stories, consider the following:

- What is a success story?
- What is the developmental stage of the program?
- What type of format is most appropriate for the story and audience?
- How will the story be collected?

Success stories may be used to:

- Respond to public inquiries about your organisation
- Educate decision-makers
- Demonstrate that funds are well spent
- Make the target population aware of your organisation
- Show progress when planned outcomes will not be realised until well into the future
- Help your organisation get necessary resources
- Document both intended and unintended results
- Provide information that can be used to publicise early achievements.

Creating Success Stories

Don't collect success stories haphazardly or at the last minute. Instead:

- Develop a plan to systematically collect and create success stories that highlight your organisation's achievements. The plan should include assigning data collection, story development, and communication strategy responsibilities
- Assign success story collection duties to specific staff
- Determine the story formats, themes and targeted audience. Categories could include:
  - Testimonials (e.g., individual consumer life changes)
  - Organisational and/or partner achievements (e.g., coalitions, advisory groups, committees)
  - Promising practices and lessons learned (e.g., programs that are showing progress but are not yet "proven"; ideas that other programs similar to yours might learn from or ideas that might suggest future action)
  - Infrastructure development (e.g., improved data collection systems).

Explore Your Organisational Strengths

Organisations that strive to create an advantage will continue to be competitive over time. The process of exploring the strengths within your organisation is similar to other organisational analyses. It requires working with internal and external stakeholders to identify what works well. By exploring what works well, the leadership and management teams can focus energy on catalysing those areas of success and applying "what works" to areas that need a boost.

Processes can include:

- One-on-one interviews with members of the executive and management team
- Gathering feedback from individual employees through focus group discussions, interviews, and anonymous surveys
- Identifying employee talents
- Collecting information and feedback on organisational processes, communications, and collaborations
- Evaluating the organisation's website and promotional activities
- Obtaining feedback from consumers, the local community, funders, and other partners
- Measuring consumer engagement
- Analysing inputs and outputs.

Promoting Your Organisational Benefits

Great ways to create and promote funding opportunities for your organisation include participating in community events, contacting local businesses and councils, and developing success stories (see p47) for the local media as well as featuring them on your organisation's website. When promoting your organisation:

- Identify, profile and understand who will be receiving your message
- Practice your message and delivery and obtain feedback from someone representing the target audience before publicising.

Referees

A referee is someone who can vouch for your organisation and its capacity to successfully conduct the project. When choosing a referee, consider:

- Agencies your organisation regularly works or consults with
- The objectives of your proposal
- The target audience of your proposal.

TIPS: Your Organisation's Track Record

- Develop a list that highlights your organisation's critical success factors and its ability to achieve them.
- Promote your organisation's success stories (see p47) on your organisation's website, in the local media, in community presentations, and when networking with local businesses and/or other organisations.
- Keep it simple: Organisations should only have between 5 and 8 critical success factors.

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- The RapidBI Website - https://rapidbi.com/
- The SANE Media Centre has developed a range of comprehensive factsheets which may assist your organisation when working with the media. Visit http://www.sane.org/sane-media/mental-health-sector/working-with-the-media
- Victorian Government Health Information Website. Outcome Measurement in Mental Health. Downloaded from http://www.health.vic.gov.au/mentalhealth/outcomes/about.htm

Section 2.3 Activities

Activity 2.3.1 Map Your Organisation's Programs, Services, and Activities

Complete an organisational track record. Construct a database/table listing previous and current activities, services, and programs. Describe each entry's features, objectives and outcomes, duration, location, and:

- The resources involved
- Who the target population was and how many were involved
- Why the activities/program were provided
- Who the funding body was
- Whether any partners were involved.

Where possible, provide both qualitative and quantitive information to highlight the outcomes and benefits of previous activities.

Project	Funder	Partners	Duration	Target Population	Activities & Features	Objectives	Outputs & Outcomes

Activity 2.3.2 Measuring Success

Critical Success Factors or Key Result Areas

What are your organisation's critical success factors?

Does your organisation measure its critical success factors?

☐ YES ☐ NO

How does your organisation measure its critical success factors?

What are the results? Present supporting documentation.

Quality Assurance & Accreditation

What mechanisms do you use to know if the programs and services you provide are effective and appropriate?

What indications of success can you provide? List both quantitative and qualitative measures of outputs and outcomes.

Activity 2.3.3 Develop Your Success Stories

Previous work, staff development, collaborative efforts, community awards and recognition are important components of your organisation's overall uniqueness (see p47). You need to develop:

- A method of recording your organisation's success stories
- Promoting your organisation's success stories to your funders, partners, and the community.

Activity 2.3.3 continued over page

Activity 2.3.3 Develop Your Success Stories (cont.)

To develop success stories, read the Centers for Disease Control and Prevention's *Impact and Value: Telling your Program's Story* - http://www.cdc.gov/oralhealth/publications/library/pdf/success_story_workbook.pdf - and follow the instructions. Consider the questions below to formulate the success stories for your audience's perspective.

Who is the primary audience(s) for your success story?

What is important to them?

What do they care about?

What type of outcomes will be meaningful to them?

How will they use your success story?

Once you have developed some success stories, develop a promotional plan to highlight your organisation's success (see Activity 2.3.4).

Activity 2.3.4 Develop a Promotional Plan

Promoting your organisation's success and values is critical to:

- Enhance your organisation's community connectedness
- Attract volunteers and appropriate Board members
- Increase your funding base.

Activity 2.3.4 continued over page

Activity 2.3.4 Develop a Promotional Plan (cont.)

Your Community Connectedness

Prior to developing your promotional plan, assess your organisation's community connectedness. For each of the questions below, rate your organisation from 1 (very poor) to 5 (excellent). Write down the 'evidence' for your answer and also assign a task to improve your future score.

How well is the work that we do known in the wider community?

Do we need to attract more volunteers?

Do we need to attract appropriate Board members?

Are we accountable to our community, funders, consumers, and staff?

Is there a possible funding body that is unaware that we exist?

Do we have a negative image that we need to turn around?

How Will Your Organisation Increase its Community Profile?

To increase your sources of funding, organisations should develop a plan to promote your organisation.

Does your organisation have a promotional plan?

☐ YES ☐ NO

If yes, write the activities your organisation undertakes to increase its community profile. If no, read the Civicus toolkit, *Promoting Your Organisation,* available from http://www.civicus.org/new/media/Promoting%20your%20organisation.doc**,**
and complete the table on the next page.

Activity 2.3.4 continued over page

Activity 2.3.4 Develop a Promotional Plan (cont.)

Who do we need to communicate with?	Why do we want to communicate with them?	What do we want to communicate with them about?	How will we communicate?	When/how often? How will we distribute?	What will it cost?	Who is responsible?	How will we monitor and evaluate success

Activity 2.3.5 Conduct a SWOT Analysis

Conduct a SWOT analysis to identify the strengths, weaknesses, opportunities, and threats which may impact your organisation.

Use your SWOT analysis to identify:

- The positive, unique qualities and successful experiences your organisation and its personnel possess. This information may be used to inform the Demonstrating Your Organisation's Strengths (p214) section of your application
- The areas which may be lacking in your organisation with a view to either remedying these deficiencies through external opportunities (e.g., funding/collaboration) or internal restructuring
- The external changes which may impact your organisation's mission, vision, and strategy and influence the ideas you cultivate in Developing a Proposal (p131).

Internal	***Strengths*** What are your strengths? What do you do better than others? What unique capabilities and resources do you possess? What do others perceive as your strengths? Are you planning to do something that will bring significant change?	***Weaknesses*** What are your weaknesses? What do your competitors do better than you? What can you improve given the current situation? What do others perceive as your weaknesses?
External	***Opportunities*** What trends or opportunities may positively impact you? What opportunities are available to you?	***Threats*** What trends or conditions may negatively impact you? What are your competitors doing that may impact you? Do you have solid financial support? What impact do your weaknesses have on the threats to you? What impact do your strengths have on the threats to you?

Section 2.4
Your Board, Staff and Volunteers

A range of people develop, manage and deliver your organisation's services and programs. It may be difficult to recognise all those who contribute to the work of your organisation. It is important to map:

- The roles, functions, and expertise of each person involved in your organisation
- The skills, ability, and willingness of each person to contribute to your funding strategy and activities, including application writing
- Your organisation's decision-making and risk management procedures.

The information acquired will help:

- Develop the organisational capacity section of your funding application (see Demonstrating Your Organisation’s Strengths (p214))
- Enable team members to participate in the development of the organisation's funding strategy and applications
- Assure funders that your organisation has appropriate decision-making processes in place and is able to manage any organisational and/or program/service risks.

Enabling all members of your organisation to contribute to decision-making processes, participate in developing the organisation's funding strategy, and improve their capacity to develop funding applications will contribute to your organisation's sustainability (see Funding Development Team (p95)).

The material below will help you:

- Map the qualifications, skills, organisational knowledge, and commitment to organisational growth of all those who contribute to your organisation
- Develop short biographies for your Board members and staff
- Define staff roles and responsibilities necessary to deliver your proposal.

Governance

Governance is about good decisions being made by the right person and the systems and/or processes involved when making and implementing decisions.

Effective governance in the non-government alcohol and other drug sector is a growing requirement for many organisations, particularly where funding is provided by government.

Effective governance:

- Provides leadership and direction to the organisation

- Ensures proper processes and structures are in place so the organisation can operate effectively and efficiently
- Positively impacts the success of organisational funding strategies.

As the governance structures which underpin your organisation impact the sustainability of your organisation, you will need to demonstrate to funders that your organisation:

- Has appropriate governance structures
- Is a sound and reliable entity.

In your funding application, provide funders with a copy of your organisational structure to demonstrate you have defined staff roles and responsibilities, and appropriate financial, ethical, and business practices.

Remember: There is no ideal way of conceptualising governance and no "one best way" to structure a Board of Directors.

For more information about governance models for your organisation see:

- Synergy Associates. (2001). *Models of Governance: What is Right for Your Organisation?*. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au.

Why is good governance important?

Good governance is important because it:

- Enhances community confidence in your organisation
- Increases staff confidence in contributing to organisational decision-making
- Allocates responsibility and increases transparency in decision-making processes
- Leads to better decisions by ensuring decisions are supported by quality data and reflects the broad interests of the community and stakeholders
- Helps non-government organisations meet their legislative responsibilities
- Provides an ethical basis for decision-making where Board members ask "what is the right thing to do?" when making decisions.

There are many things that a non-government organisation must have in place to demonstrate good governance. For indicators of good governance see Table 2.5.

Table 2.5 Indicators of Good Governance

Characteristic	Indicator
Accountable	An obligation to report, explain and be answerable for the consequences of decisions.
Transparent	Decision-making processes are clear and easily understood. This includes information about how and why decisions are made, what information and advice is considered, the level of consultation, and which legislative requirements are followed.
Legal	Decisions are consistent with relevant legislation or common law. See Organisational Compliance (p71) for more information.
Responsive	Decisions are made in a timely and appropriate manner taking into account the needs and expectations of community, clients, funders, and staff.
Equitable, inclusive, and participatory	Community well being is enhanced when community members are considered and provided with opportunities to participate in the decision-making process. It is important to remember that under some legislation and funding requirements, there will be an obligation to consult with the local community and clients as part of a quality assurance process.
Effective and efficient	Decisions are implemented and follow processes which make the best use of the available people, resources and time to ensure the best possible results.
Leadership and vision-building	All staff members know and reflect the organisation's values. Team members are involved in building the organisation's reputation in the community.
Ethical codes and practices	All staff members engage with consumers and the community in an ethical manner.

Table 2.5 continued over page

Table 2.5 Indicators of Good Governance (cont.)

Characteristic	Indicator
Board structure and operations	Board roles and functions are clearly documented and meetings are held regularly. Structure and functions must comply with all relevant legislation.
Organisational plans and operational policies	A comprehensive set of policies related to the management of the service and the operation of the Board have been developed. Policies are clear, concise, easy to understand and comply with all relevant legislation. Policies and procedures are available to all staff.
Risk assessment and management	A comprehensive list of risk assessment and mitigation policies and procedures have been developed and are regularly monitored and reported on.
Managing employees and monitoring performance	Policies and procedures have been developed to assist managers and staff to be more accountable and comfortable about their decisions. Policies and procedures can also help when providing constructive feedback to staff and ensuring that better decisions are made in the future.
Compliance measures	A governance compliance report should form part of the manager's report to every Board meeting. A compliance report is a tool that assists the Board to ensure that its governance responsibilities are being met. It is important for the Board to have checklists and a calendar to help them monitor compliance.
Creating and delegating authority	When making important decisions, it's essential to have the right person making them. Establish clear lines of authority to guide your employees to recognise the decisions that they can and cannot make on their own.

Cultural Challenges with Governance

Community controlled organisations often have cultural and organisational features that offer advantages when delivering healthcare to their communities. However, when implementing managerial systems that derive from a different cultural foundation they may experience challenges (NIDAC, 2013).

The Australian Government Office of the Registrar of Indigenous Corporations (ORIC) Website and Indigenous Governance Toolkit may assist Indigenous community controlled health organisations implement managerial systems to:

- Meet the local community's needs
- Operate within a competitive funding environment that expects specific organisational arrangements.

Measuring Governance

Equally important to establishing a system of governance is measuring how well your governance structure operates. For more information about how to measure your organisation's governance structure, see:

- Brown, W.A. (2002). Inclusive governance practices in nonprofit organizations and implications for practice. Nonprofit Management and Leadership, 12(4), 369-385. Downloaded from http://onlinelibrary.wiley.com/doi/10.1002/nml.12404/abstract
- Sharp, C. (2002). Measuring Organisational Governance: Through Transparency to Trust in Governance of Nonprofit Organisations. Downloaded from http://www.anglicare.asn.au/userfiles/file/conf/DrColinSharp-MeasuringOrgGovernance.pdf.
- Gill, M., Flynn, R.J., & Reissing, E. (2005). The governance self-assessment checklist: An instrument for assessing board effectiveness. Nonprofit Management and Leadership, 15(3), 271-294. Downloaded from http://onlinelibrary.wiley.com/doi/10.1002/nml.69/abstract.

Team Roles in Securing Funding

Everyone involved in your organisation has a role to play in securing funding. Although their roles may be different, each person must be equipped with the information and resources necessary to successfully execute their function.

The image on the next page depicts some of the different questions which may be asked by those involved in your organisation.

Board Members

Board members are important advocates and supporters of your organisation. Recruit Board members who:

- Are experts in their field
- Will take on a leadership role
- Will promote your organisational strengths to the community, potential collaborators, and funders.

Involve Board members in:

- Developing your funding strategy
- Undertaking promotional activities

Source: Share Well and Prosper Website- http://www.sharewellandprosper.com/

- Creating your proposal
- Reviewing your funding application.

Effective and efficient Board members are leaders who:

- Spearhead your organisation's funding development strategy
- Are knowledgeable, adaptable, and continuously learn
- Promote the values and vision of the organisation rather than their independent belief systems
- Generate community goodwill and inspire staff to achieve organisational goals
- Foster organisational development and build staff capacity to contribute to funding development activities
- Facilitate the ongoing process of developing, sustaining, and renewing relationships with staff, community, clients, and funders.

Leadership is a critical component of effective infrastructure. To inform funding bodies about the capacity of the Board, map:

- The composition and role of the Board in organisational affairs and the governance process
- The qualifications and skills of Board members
- The way in which the Board conducts its affairs
- How the Board discharges its accountabilities to stakeholders.

Management

The management team is responsible for:

- Implementing the strategic frameworks and policy directions created by the Board
- Managing the operational functions of the organisation
- Implementing the funding development strategy by:
  - Rewarding critical thinking
  - Encouraging dialogue and shared decision-making
  - Ensuring individual and team learning
  - Building adaptive capacity
  - Accepting uncertainty and complexity
  - Encouraging staff to meet their funding activities performance indicators (see Funding Development Team (p95)).

Staff Members

Staff should be involved in developing and implementing the organisation's funding strategy (see Funding Development Team (p95)).

They should:

- Know their organisation's vision and mission statements
- Understand the future directions of their organisation
- Participate in organisational planning activities
- Collaborate with other organisations
- Contribute to writing funding applications.

Involving staff may assist in:

- Building organisational capacity
- Utilising personal skill sets which may be undervalued
- Connecting individual goals with organisational goals
- Generating innovative ideas and directions.

Volunteers

Volunteers can be critically important to non-profit organisations. They often have diverse skill sets which may extend the reach, capacity, and capability of your organisation. Enabling and empowering volunteers to participate in your organisation's funding strategy can help you to develop a broad funding base.

Partners and Collaborators

Take a comprehensive look at the way your organisation operates to identify potential collaborations, individual or organisational supporters, and funding opportunities.

Partnering with other non-government organisations and local businesses may be useful to:

- Secure scarce monetary resources
- Enhance quality and reduce cost
- Achieve a greater impact across the community.

Record:

- Your organisation's track record of collaboration
- How the work complemented each partner's role
- What outcomes and benefits were achieved.

In funding applications, include the above details as well as a memorandum of understanding (MOU), letter of support or intent if you are collaborating with another organisation (see Identifying Opportunities for Collaboration (p151) and Building Relationships (p123)).

References & Resources

- Council of Social Service of NSW. (2011). Information Sheet 1. Good Governance. NCOSS Management Support Unit (MSU): NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Good Governance Guide Website - http://http//www.goodgovernance.org.au/about-good-governance/why-is-good-governance-important/#sthash.HTcsNghl.dpuf
- Howse, G. (2011). Legally Invisible. How Australian Laws Impede Stewardship and Governance for Aboriginal and Torres Strait Islander Health. The Lowitja Institute, Melbourne. Downloaded from https://www.lowitja.org.au/sites/default/files/docs/Legally_Invisible_report.pdf
- National Indigenous Drug and Alcohol Committee. (2013). Funding of Alcohol and Other Drug Interventions and Services for Aboriginal and Torres Strait Islander People. Leadership Position Paper. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Network of Alcohol and Other Drugs Agencies (NADA). (2011). Governance Toolkit: A resource to help improve governance knowledge and practice. NADA: NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Spooner, C., & Dadich, A. (2008). Non-government organisations in the alcohol and other drugs sector issues and options for sustainability. Australian National Council on Drugs: ACT
- The Australian Charities and Not-For-Profit Commission (ACNC) Website, Governance Standards - https://www.acnc.gov.au/acnc/manage/tools/acnc/edu/tools/GFG/GFG_Intro.aspx
- The Australian Government Office of the Registrar of Indigenous Corporations (ORIC) Website - http://www.oric.gov.au/
- The Centre for Aboriginal Economic Policy Research Website has many resources and reports about Indigenous Community Governance - http://caepr.anu.edu.au/governance/index.php
- The Indigenous Governance Institute Website - http://www.aigi.com.au/
- The Indigenous Governance Toolkit - http://www.reconciliation.org.au/governance/
- The Share Well and Prosper Website - http://www.sharewellandprosper.com/

YouTube Videos

The presentations below are available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Balderrama, D. (2011). Good NGO Governance Slideshow Presentation
- Brown Dog Consulting. (2010). What is governance?

Section 2.4 Activities

Activity 2.4.1 Develop a Skills Profile

Conduct a skills audit to:

- Ascertain both generic/soft and specialist skills your team may possess
- Highlight the skills required and analyse your organisation's gaps and development needs
- Match staff and volunteers to their areas of development and expertise
- Determine which skills and areas your organisation must invest in to reach its funding targets
- Enhance your team's ability to work together and draw on each other's strengths.

How to Conduct a Skills Audit

Have all employees (including Board members) and volunteers complete an individual skills audit. To obtain a comprehensive overview of the available skill base, include 'soft' skills as well as 'hard' skills in your audit.

Soft skills are those skills which are:

- Not reliant upon a set method of acting or doing. How effective you are at a soft skill will change depending on your emotional state, external circumstances, and the people you are interacting with
- Transferable to many career and job situations because they are dependent on your ability to adapt and interpersonal effectiveness
- Never fully mastered because new situations and people will test your competency and push you to learn more.

Collate and keep the information in a readily accessible location.

Allocate a staff member to maintain the information.

Obtain individuals' permission to share the information.

A Skills Audit

Personal details

Name	
Phone	
E-mail	
What qualifications do you have? List any academic qualifications and courses you have undertaken (e.g., First Aid, Bachelor of Nursing)	
Current Role **What is your job title?**	
Years in this or similar fields	
Provide a brief description of your work	

Instructions for Completing the Skills Audit

When completing these tables, consider how well you can do the skill.

- "Really Well" means that you are very proficient, and have an advanced level of knowledge or skills
- "Well" means that you are more than just proficient, but you could still learn more about the skill
- "I Can Do This" means you are proficient and have a basic level of knowledge or skills
- "More Practice" means that you are not quite proficient, and need to learn more about this skill or knowledge
- "No Knowledge or Experience" means that you have never learned or had opportunity to practice this skill before.

If you can complete a skill "Really Well" or "Well", please indicate whether you are willing to teach others or be involved in the funding development team. If you have a basic knowledge of a skill, need more practice, or wish to learn a new skill, please indicate whether you are interested in learning the skill.

The following template has been provided for you as a starter. Please adapt to suit your organisation's needs. Examples of some other categories you may want to include are:

- Business Development Skills
  - I am comfortable establishing new relationships
  - I understand the organisation's vision, mission, and strategy
  - I have project management skills
  - I can present at community events
  - I have cold-called potential funders
  - I am interested in finding more funding opportunities
  - I can develop a range of promotional products
- Research Skills
  - I am able to find information in print and electronic resources
  - I am knowledgeable about the alcohol and other drug priorities in Australia
  - I am knowledgeable about the alcohol and other drug priorities in my region
  - I know how to reference both primary and secondary sources of information
  - I have some statistical analysis skills
- Consumer Skills
  - I know how to conduct a quality assurance survey
  - I know how to assess whether the services we provide are effective and appropriate
- Evaluating Activities and Services
  - I have experience in conducting evaluations
  - I know how to design evaluation plans
  - I know how to write a budget for a funding proposal
  - I know about the GST rules and can explain them to others
- Budgeting
  - I know how to reconcile a project budget
  - I can write a budget justification
  - I know how to estimate costs
  - I can contact organsations to obtain quotes
  - I can use excel or another budgeting tool
- Wrting and Editing
  - I have good written communication skills
  - I can write a range of materials adapting them for different audiences
  - I can write success stories.

For examples of other skills you may want to include in your skills audit, see:

- The University of Warwick, Skills Audit. Available from http://www2.warwick.ac.uk/services/ldc/introcareer/skills/skills_audit.pdf
- The University of Kent, Skills Audits. Available from:
  - https://www.kent.ac.uk/graduateschool/skills/skillsaudit/skills_audit.doc
  - https://www.kent.ac.uk/graduateschool/skills/rda/Appendix%20to%20Annex%20P%20Researcher%20Development%20Assessment.doc.

Activity 2.4.1 continued over page

Activity 2.4.1 Develop a Skills Profile Cont.

An example of a skills profile

Communication Skills	Really Well	Well	I Can Do This	More Practice	No Knowledge	I Want to Use This	I Can Teach This	I Want to Learn This
I have good verbal communication skills								
I am able to communicate in a professional manner, including being able to present my ideas in a clear and concise manner								
I am able to communicate with a variety of clients								
I am able to negotiate beneficial outcomes								
I have effective conflict resolution skills								

Activity 2.4.2 Develop Short Biographies

To save time in writing funding applications, develop a “staff member skills template”. The information can be adapted to fit the requirements of specific tender applications.

In practice this means providing short biographies on each of the proposed team members.

This enables the funder to know that the proposed project staff are competent and have the capacity to successfully undertake the project. They also want to be assured that the duties of the proposed staff are clearly defined.

Name & Current Position	Qualifications	Brief description of skill sets and experience within the field	Highlight previous success and achievements

Section 2.5 Organisational Compliance

All eligibility criteria and compulsory compliance requirements set by funders must be adhered to in your application.

Carefully read the funder's guidelines to ensure that your application totally complies.

Organisations may have to demonstrate that they:

- Are a legal entity
- Have adequate insurance
- Comply with statutory requirements
- Are either an accredited organisation or working towards accreditation.

You should know:

- If your organisation is a statutory, incorporated, or unincorporated body
- Your organisation's Australian Business Number (ABN), Australian Registered Body Number (ARBN), or Australian Company Number (ACN)
- The types and limits of your organisation's insurance
- Whether your organisation has any current or pending legal matters which need to be disclosed
- Who your accrediting body is.

Collate and store up-to-date copies of this information (i.e., certificates of insurance, audited financial reports/statements, ABN numbers) in an accessible location.

Some funders will require you to submit copies of these documents with your application.

Store key organisational information in a hard copy and/or electronic folder.

Legal Entity

A legal entity may enter into legally recognised agreements or contracts, obligations, debts, and be accountable for illegal activities. Different types of legal entities include associations, corporations, partnerships, proprietorships, trusts, or individuals. Each type of legal entity is governed by different legislation and/or common law principles and has its own limitations and benefits. For more information about relevant legal entities, see:

- From incorporated association to a company limited by guarantee: Part 1 — comparison of legal structures suitable for NFPs. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au.

Incorporated Bodies

Incorporated bodies are corporations or associations recognised as legal entities. Once a community group starts to accumulate assets and wealth, they should consider becoming incorporated. Non-government organisations may be listed as either corporations or associations depending on their:

- Size
- Income
- Scope of work.

Corporations are governed by Commonwealth legislation.

Associations are governed by state and territory legislation. They tend to be smaller than corporations. See the table below for further information and contacts.

Benefits of Incorporation

There are many benefits to being an incorporated body. Registering as a corporation or association is beneficial for non-government alcohol and other drug organisations as it:

- Limits financial and legal liabilities for individuals
- Increases funding opportunities as many private and public funding bodies require applicants to be incorporated
- Simplifies financial arrangements and increases transparency
- Clarifies and fixes the purposes (or objects) for which the organisation was formed
- Provides organisations with a clear regulatory framework for how they should operate
- Ensures the organisation is publicly accountable, compliant and transparent in its operations
- May provide tax advantages.

For more information about the benefits of incorporation, read the PilchConnect fact sheet:

- What is incorporation and does our group need to incorporate? Available the FundAssist website - http://www.FundAssist.flinders.edu.au

If you want to learn more about incorporation in your jurisdiction, contact the relevant department listed in Table 2.6.

Table 2.6 Contact List Of Federal, State, and Territory Offices

Jurisdiction	Department
ACT	Office of Regulatory Services - visit http://www.ors.act.gov.au/
NSW	Fair Trading - visit http://www.fairtrading.nsw.gov.au/
NT	Department of Business - visit http://www.dob.nt.gov.au/Pages/default.aspx
QLD	Office of Fair Trading - visit http://www.fairtrading.qld.gov.au/
SA	Consumer and Business Services - visit http://www.cbs.sa.gov.au/wcm/
TAS	Consumer Affairs and Fair Trading - visit http://www.consumer.tas.gov.au/
VIC	Consumer Affairs Victoria - visit http://www.consumer.vic.gov.au/
WA	Department of Commerce - visit http://www.commerce.wa.gov.au/index.htm
National	Australian Securities & Investment Commission (ASIC) - visit http://www.asic.gov.au/

Unincorporated Bodies

An unincorporated association is an organisation which has no separate legal identity from that of its members. It is simply a group of people who associate for a particular purpose and have verbally agreed to carry out certain functions. It may operate according to a constitution or rules.

An unincorporated body is:

> "...where two or more persons are bound together for one or more common purposes by mutual undertakings, each having mutual duties and obligations, in an organization which has rules identifying in whom control of the organization and its funds are vested, and which can be joined or left at will." Conservative and Unionist Central Office v. Burrell, 1982 W.L.R.1 522 (1982).

An unincorporated association cannot sue or be sued. Its assets must be held by trustees on its behalf, contracts must be made for the association by the committee members, and the liability of the members (especially the committee members entering into those contracts) is generally personal and not limited to the assets of the association.

Should Your Association Remain Unincorporated?

It is appropriate to be an unincorporated association where:

- Your assets are relatively small
- You are a local branch of a charity, and a standard constitution exists for branches
- You have a membership
- The management committee is elected or appointed to hold office by members for a fixed period of time
- You are undertaking a one-off, short-term project that does not require much funding
- Your associations objects are carried out wholly or partly by, or through, the members (i.e., where the members undertake office or voluntary work on behalf of the organisation).

For more information about unincorporated bodies, see the Our Community website, https://www.ourcommunity.com.au/management/view_help_sheet.do?articleid=2101.

Aboriginal Community Controlled Health Organisations & Services

Aboriginal Community Controlled Health Organisations (ACCHO) are incorporated bodies controlled by, and accountable to, Aboriginal people in those areas in which they operate. ACCHOs are governed by a Board of Directors. They operate in the metropolitan, regional, rural and remote areas of all States and Territories in Australia.

An Aboriginal Community Controlled Health Service (ACCHS) is an incorporated Aboriginal organisation initiated by a local Aboriginal community and based in that community. The Service is governed by an Aboriginal body elected by the local Aboriginal community.

Table 2.7 provides links to peak national, state and territory bodies representing Aboriginal Community Controlled Health Organisations and Services. For more information about incorporating an Aboriginal Community Controlled Health Organisation and/or Service, visit the The Australian Government Office of the Registrar of Indigenous Corporations (ORIC) Website - http://www.oric.gov.au/.

Organisational Insurance

Certificates of Insurance

Make sure that your oganisation has a current Certificate of Insurance verifying the existence of your insurance cover. Ensure that the Certificate:

- Lists the effective date of the policy
- The type of insurance cover purchased
- The types and dollar amount of applicable liability.

Table 2.7 Peak Bodies Representing Aboriginal Community Controlled Health Organisations and Services

Jurisdiction	Organisation name
ACT	Winnunga Nimmityjah Aboriginal Health Service Incorporated
NSW	Aboriginal Health & Medical Research Council (AH&MRC) of New South Wales
NT	Aboriginal Medical Services Alliance Northern Territory Incorporated (AMSANT)
QLD	Queensland Aboriginal and Islander Health Council (QAIHC)
SA	Aboriginal Health Council of SA Incorporated (ACHSA)
TAS	Tasmania Aboriginal Centre Incorporated (TAC)
VIC	Victorian Aboriginal Community Controlled Health Organisation Incorporated (VACCHO)
WA	Aboriginal Health Council of Western Australia Incorporated (AHCWA)
National	National Aboriginal Community Controlled Health Organisation (NACCHO)

Tax Registration

Australian Business Number (ABN) Details

If your not-for-profit organisation has a GST turnover of $150,000 or more you must register for GST and you'll need an ABN to do this. If your organisation has a lower GST turnover, registering is optional.

For more information about ABNs see the Australian Taxation Office website, http://www.ato.gov.au/Business/Australian-business-number/In-detail/Introduction/ABN-a-great-start-for-business/.

If you have an ABN ensure:

- Your details are correct and up-to-date
- The number is easily accessible when you are completing a funding application.

Australian Company Number

Under the Corporations Act 2001, every company in Australia is issued with a unique, nine-digit number, an Australian Company Number (ACN), which must be shown on a range of documents. The purpose of the ACN is to ensure adequate identification of companies when transacting business. New companies are issued with numbers by the Australian Securities and Investments Commission (ASIC) upon registration.

Australian Registered Body Number (ARBN)

The ARBN is a nine-digit number allocated by ASIC when a body is registered with them other than as a company (e.g., foreign companies).

If a registrable Australian body wishes to carry on business in one or more states or territories other than its home jurisdiction, it must be registered under Part 5B.2 of the Corporations Act 2001 (Cth). Associations registered under state laws may be a registrable Australian body. If you are conducting business interstate, contact ASIC for further information.

Charity

Institutions or funds can be established for a charitable purpose. Charitable purposes are those that the law regards as charitable, namely:

- Advancing health
- Advancing education
- Advancing social or public welfare
- Promoting or protecting human rights
- Other similar purposes "beneficial to the public" (Charities Act 2013 (Cth)).

Reporting Statements

Financial Reports

Your financial reporting obligations are dependent on the size and scope of your organisation and whether it is registered as an association or corporation. The reporting and auditing obligations for associations are contained in the publication:

- "Incorporated Associations: Reporting and Auditing Obligations" available from the FundAssist website - http://www.FundAssist.flinders.edu.au.

To highlight your organisation's financial information, control mechanisms and viability attach a copy of your most recent approved financial statements as an appendix or a link.

An audited financial statement can demonstrate that your organisation has good financial management skills and systems in place.

Annual Reports

Annual reports are a useful way of providing additional information about your agency/organisation. Usually, annual reports include details of activities completed during the year, details of Board members and staff, and report on impact and outcomes in relation to your program of work.

These documents can often be attached to your application as an appendix or a link.

Prior to attaching any documents such as Audited Financial Statements and/or Annual Reports please check that the funding body allows you to do so.

Quality Assurance

Providing quality care to consumers should be one of the critical success factors identified as integral to your organisation's success (see Your Organisation's Track Record (p40)).

Your organisation should have processes in place to measure:

- What you do
- How well you do it
- Whether anyone is better off.

Quality assurance processes often involve an external agency evaluation of whether your organisation:

- Complies with agreed service standards
- Provides services that are relevant, accessible, and equitable for consumers.

Quality assurance generally involves:

- Identifying and monitoring appropriate service standards (international, national, regional and local) including clinical safety and standards
- Monitoring and inspecting premises
- Implementing a process for consumer feedback and complaints management
- Advocating for those using the service.

The main objective of these activities is to assess whether the consumer's experience indicated that you provided a quality service. Information obtained from these processes may be used to:

- Develop your proposal (see Developing a Proposal (p131))
- Inform the statement of needs section (see Setting The Scene (p204))
- Demonstrate your organisational strengths and the benefits you bring to the community (see Demonstrating Your Organisation's Strengths (p214)).

If your organisation has received, or is working towards obtaining quality assurance accreditation, include evidence of this in the appendices of your application.

References & Resources

- Australian Securities and Investment Commission (ASIC) - http://www.asic.gov.au/
- Australian Taxation Office Website - http://www.ato.gov.au/Business/Australian-business-number/In-detail/Introduction/ABN-a-great-start-for-business/
- CPA Australia. (2007). Incorporated Associations: Reporting and Auditing Obligations. Adapted from Financial Reporting by Unlisted Public Companies - Discussion Paper (Appendix 1). Published by the Commonwealth Dept of Treasury. Downloaded from http://www.cpaaustralia.com.au/~/media/Corporate/AllFiles/Document/professional-resources/auditing-assurance/incorporated-associations.pdf
- Our Community Website - https://www.ourcommunity.com.au/management/view_help_sheet.do?articleid=2101
- The JusticeConnect (formerly Pilch) factsheet: What is incorporation and does our group need to incorporate? Downloaded from http://www.pilch.org.au/Assets/Files/IncorporationDecisionFINAL%5B1%5D.pdf
- Fittler, D. (2012). From incorporated association to a company limited by guarantee: Part 1 — comparison of legal structures suitable for NFPs. Keeping Good Companies, July, 344. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- The Australian Government Office of the Registrar of Indigenous Corporations (ORIC) Website - http://www.oric.gov.au/

Quality Standards, Frameworks, and Guidelines

- Western Australian Network of Alcohol and other Drug Agencies (WANADA). (2012). Standard on Culturally Secure Practice (Alcohol and other Drug Sector). WANADA: Perth, Western Australia. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Western Australian Drug and Alcohol Office and WANADA. (2005). The Western Australian Alcohol and Other Drug Sector Quality Framework. WANADA: Perth, Western Australia. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Roche, A.M., Evans, K., Steenson, T., Pidd, K., Lee, N., & Cusack, L. (2012). Australia's Alcohol and Other Drug Telephone Information, Referral, and Counselling Services: A Guide to Quality Service Provision. Adelaide, South Australia: National Centre for Education and Training on Addiction (NCETA), Flinders University. Downloaded from http://nceta.flinders.edu.au/files/4913/4430/5778/EN461_Roche%20 2012.pdf

- Victorian Government Department of Human Services. (2008). Shaping the Future: The Victorian Alcohol and Other Drug Quality Framework. Victorian Government Department of Human Services: Melbourne, Victoria. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- NSW Department of Health. (2007). Drug and Alcohol Treatment Guidelines for Residential Settings. NSW Department of Health: North Sydney, NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- NSW Department of Health. (2008). Drug and Alcohol Psychosocial Interventions: Professional Practice Guidelines. NSW Department of Health: North Sydney, NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Shand, F., & Gates, J. (2004). Treating Alcohol Problems: Guidelines for Alcohol and Drug Professionals. Australian Government Department of Health and Ageing: Canberra. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- Crane, P., Buckley, J. and Francis, C. (2012). A Framework for Youth Alcohol and Other Drug Practice. Youth Alcohol and Drug Good Practice Guide. Brisbane: Dovetail. Downloaded from http://dovetail.org.au/media/40155/dovetail_guide01doutput.pdf

Other standards which may be of interest are contained in the table over the page.

Department	Resource
ACT Health	Safety and Quality Framework - http://health.act.gov.au/c/health?a=dlpubpoldoc&document=2202
Australian Government Department of Health	National Standards for Mental Health Services - https://www.health.gov.au/internet/main/publishing.nsf/Content/mental-pubs-n-servst10
Homelessness New South Wales	National Standards for Homelessness Services - http://www.homelessnessnsw.org.au/shs-national-quality-framework-nqf/
New South Wales Department of Family and Community Services	Good Practice Guidelines - http://community%20services%20good%20practice%20guidelines/
Northern Territory Department of Health	Quality Assurance - http://www.health.nt.gov.au/Remote_Health_Atlas/Contents/Quality_Assurance/index.aspx
Queensland Government Department of Communities, Child Safety, and Disability Services	Human Services Quality Standards - http://www.communities.qld.gov.au/resources/funding/human-services-quality-framework/human-services-quality-standards.pdf
South Australian Department for Communities and Social Inclusion (DCSI)	Australian Service Excellence Standards (ASES) - http://www.dcsi.sa.gov.au/services/community-development/australian-service-excellence-standards
Tasmanian Department of Health and Human Services	Quality and Safety Standards Framework - https://www.dhhs.tas.gov.au/about_the_department/business/community_sector_relations_unit/quality_and_safety
Western Australian Department of Health	Strategic Plan for Safety and Quality in Health Care - http://www.safetyandquality.health.wa.gov.au/docs/WA_strategic_plan_for_safety_and_quality_in_health_care_2008-2013.pdf
Victorian Department of Human Services	Department of Human Services Standards (Victoria) - http://www.dhs.vic.gov.au/about-the-department/documents-and-resources/policies,-guidelines-and-legislation/department-of-human-services-standards

Section 2.5 Activity

Activity 2.5.1 Organisational Status & Common Documents

Prior preparation will make the process of writing funding applications a little less onerous.

You should:

- Know whether your organisation is incorporated
- Your statutory reporting obligations
- Construct a portfolio of funding-related documents that will be required for most applications.

The portfolio is likely to contain the following standard building blocks for any funding application:

- A brief description of your organisation (see Who You Are and What You Are About (p24))
- An indication of capacity, including organisational equipment and resources available, and experience and track record of staff and organisation (see Your Organisation's Track Record (p40) and Your Board, Staff and Volunteers (p57))
- Certificates of Insurance, ABN, Annual Reports
- Accreditation and other forms of recognition and merit.

Organisational Status

Is your organisation an incorporated body?

☐ YES ☐ NO

If yes, what type and what is its governing legislation? If no, write down the reasons why and the benefits of not being incorporated.

Does your organisation have an ABN, ACN, and/or an ARBN?

☐ YES ☐ NO

Record it here.

Reporting Obligations

If your organisation is an incorporated association, read the 'Incorporated associations: Reporting and Auditing Obligations' report and make a list of the current activities your organisation undertakes to comply with your statutory obligations.

What activities does your organisation currently undertake to fulfil its reporting obligations?

Do you have policies, procedures, and processes in place to provide transparent and accountable financial statements to the funding body?

☐ YES ☐ NO

If no, what policies, procedures, and processes should you develop?

Common Organisational Documents

Have you made a file containing copies of required documents, so you have them ready when you write a proposal?

☐ YES ☐ NO

Are all the necessary documents/details up to date?

☐ YES ☐ NO

Is this file readily accessible (both electronically and hard copy back-up) to everyone involved in writing a proposal?

☐ YES ☐ NO

Where is the file located?

Section 3
Funding Evaluation Criteria

Section 3 Funding Evaluation Criteria

Many funding bodies specify the criteria against which an application will be judged.

To ensure that you directly address these criteria, thoroughly familiarise yourself with them before you start writing your proposal.

If the funding body has not identified the evaluation criteria in the funding guidelines, contact the nominated officer to ascertain the evaluation criteria. Do not be reluctant to do this.

You may contact funders to seek such information. They will let you know what they are allowed to tell you and in what form this information can be provided to you and other potential applicants.

How Are Funding Applications Evaluated?

Funding bodies generally use the following criteria to assess funding applications:

- Is the application clear and concise?
- Does it:
  - Address the urgency or scale of the identified problem?
  - Respond to the identified problem or need?
  - Propose an appropriate solution?
- Does it clearly demonstrate your organisation's capacity to undertake the proposed work including:
  - Experience and skills of key personnel?
  - Proposed project costs?
  - Previous track record?

Table 3.1 details criteria that funding bodies may use to assess funding applications. It is not an exhaustive list, and you are advised to carefully examine any evaluation criteria supplied by the funding body when developing your proposal and application.

Table 3.1 Funding Evaluation Criteria Checklist

Evaluation Criteria	Issues You Need to Address
Is your application, clear, concise and easy to read?	Information is presented in a logical, clear, concise manner, addresses the funder's questions, is accurate, and grammatically correct. The application clearly explains the: • Work to be undertaken • Time frame • Anticipated results/key performance indicators including how the results will be evaluated. The application is presented in a confident, interesting, enthusiastic and original manner.
Does your application meet the funder's requirements?	The application aligns with the funder's goals and priorities. The application responds directly to the identified problem. The concept and program plan are clearly explained, evidence-based, match the funding body's values and objectives, and benefit the community. The proposed methodology: • Has scientific, theoretical or technical merit • Is novel and innovative • Complements similar programs/services.
Is your organisation's capacity to conduct the proposed work clearly outlined?	Describe your organisation's capacity to provide the necessary infrastructure including your existing resources. Describe the expertise and commitment of the staff to deliver the services to achieve the desired outcomes. Outline the qualifications of the team/organisation/ individuals who will conduct the project. Highlight your strategies for identifying and minimising potential problem areas and associated risks.

Table 3.1 continued over page

Table 3.1 Funding Evaluation Criteria Checklist (cont.)

Evaluation Criteria	Issues You Need to Address
Is your organisation's track record clearly explained?	Highlight your track record in delivering effective, efficient, and appropriate services in a timely manner and within budget. Demonstrate your experience in collaborating with complementary services to enhance program and/or service effectiveness. Demonstrate the quality of your previous work.
Are the project costs, appropriate, accurate and justified?	Include an accurate, reasonable and cost-effective budget in your application. Itemise individual costs. Provide clear justifications for major staff and equipment costs.

It is not enough to identify a wish-list of desirable goals or to just describe a problem. The proposal must contain appropriate and relevant information about the proposed activity and must address all of the funder's requirements.

Section 3.1 Activity

Activity 3.1 Have You Met the Funding Evaluation Criteria?

Use the Common Funding Application Evaluation Criteria Checklist below to assess previous and current funding applications. Identify the areas which need improvement and the areas in which you performed well.

Have you ever received feedback on a funding application?

☐ YES ☐ NO

If yes, write it here.

If relevant, have you addressed the feedback received in your current application?

☐ YES ☐ NO

Discuss strategies to improve your funding applications with your funding development team (see Funding Development Team (p95)).

If you are developing a proposal for a current funding round, check the funding application guidelines to find out how applications will be evaluated.

You may want to construct a checklist prior to submitting your application (see Activity 6.1.1 Develop a Checklist (p135)).

Common Funding Application Evaluation Criteria	YES	NO
Is your application, clear, concise and easy to read?		
Is information presented in a logical manner, accurate, and grammatically correct?		
Is your application presented in a confident, interesting, enthusiastic and original manner?		

Activity 3.1 continued over page

Activity 3.1 Have You Met the Funding Evaluation Criteria? (cont.)

The Identified Need	**YES**	**NO**
Does your application:		
• Outline the urgency or scale of the identified problem?		
• Identify what will happen if the problem is not addressed?		
• Propose an appropriate solution which responds directly to the identified problem?		
Your Proposed Plan		
Does your proposal meet the funder's specifications (if any)?		
Do the objectives of your proposal align with the funder's goals and priorities?		
Does your proposal address the funder's questions?		
Does your proposal clearly explain:		
• What work/activities you will do?		
• When the work/activities will be completed?		
• The concept and evidence-base underpinning it?		
• What resources you will need to undertake the activities and work?		
• What the anticipated results/key performance indicators and potential benefits will be?		

Activity 3.1 continued over page

Activity 3.1 Have You Met the Funding Evaluation Criteria? (cont.)

	YES	NO
➋ How you will measure the results?		
Does your proposed plan have scientific, theoretical or technical merit?		
Is your proposal novel and innovative?		
Does your proposal complement similar programs/services?		

Organisational Expertise

Is your organisation's capacity to conduct the proposed work clearly outlined? Have you:

➋ Described your organisation's capacity to provide the necessary infrastructure including your existing resources?		
➋ Outlined the expertise, qualifications, roles of key personnel and time allocated to the team involved in delivering your proposal?		
➋ Highlighted strategies to identify and minimise potential problem areas and associated risks?		
Is your organisation's track record clearly explained? Have you:		
➋ Highlighted your organisation's experience in delivering effective, efficient, and appropriate services in a timely manner and within budget?		
➋ Demonstrated your organisation's experience in collaborating with complementary services to enhance program and/or service effectiveness?		
➋ Demonstrated your organisation's capacity to undertake the proposed work by highlighting its previous success in delivering similar proposals and noting the outcomes?		

Activity 3.1 continued over page

Activity 3.1 Have You Met the Funding Evaluation Criteria? (cont.)

Budget	YES	NO
Have you included an accurate, reasonable and cost-effective budget?		
Are the estimated costs appropriate, proportionate and justified?		
Have you itemised individual costs?		
Have you provided clear justifications for staff allocations, equipment, and travel costs?		
Have you indicated whether the budget is GST inclusive or exclusive?		
Have you provided an estimate for in-kind costs?		

Section 4
Funding Development Team

Section 4 Funding Development Team

"It is the tragedy of the world that no one knows what they do not know—and the less a person knows, the more sure they are that they knows everything." J Cary

Writing a funding proposal is extremely resource intensive. The time taken to complete an "average" sized submission is approximately 105 hours, with smaller organisations taking more time than larger organisations (Australian National Council on Drugs, 2009).

Smaller organisations may require more time in writing funding proposals due to:

- Insufficient data collection and reporting systems in smaller organisations
- Lack of staff involvement and experience in funding strategies and activities, and application writing.

Complete the activities in About Your Organisation (p23) to start a database that will assist you to write future funding applications more efficiently.

To reduce the stress of writing grant applications involve a team to assist in the process.

A team can:

- Share the workload and reduce stress
- Enhance your organisation's profile
- Pool experience and build capacity in identifying and achieving organisational objectives
- Increase your organisation's ability to write and submit quality funding applications.

Prioritising Fund Development Activities

Fund development activities are often not highly valued or prioritised in non-government organisations. Front-line staff infrequently view organisational development as a core activity and focus on more immediate issues (Hopkins & Hyde, 2002).

The challenge for leaders in non-goverment organisations is to ensure that staff members:

- Understand the importance of continuously fostering the organisation's relationships with funding bodies, local businesses and government, and other community groups
- Are involved in developing and writing funding proposals.

To increase the prominence of fund development activities in your organisation:

- Schedule a meeting/s with your Board, staff, and volunteers to develop a funding strategy
- Establish a clear reporting role by allocating responsibility for overseeing the fund development strategy to one person
- Incorporate funding development activities into employees' position descriptions and key performance indicators
- Review and evaluate your success in implementing your fund development strategy.

The funding development team should be involved in finding and securing support from potential new funders.

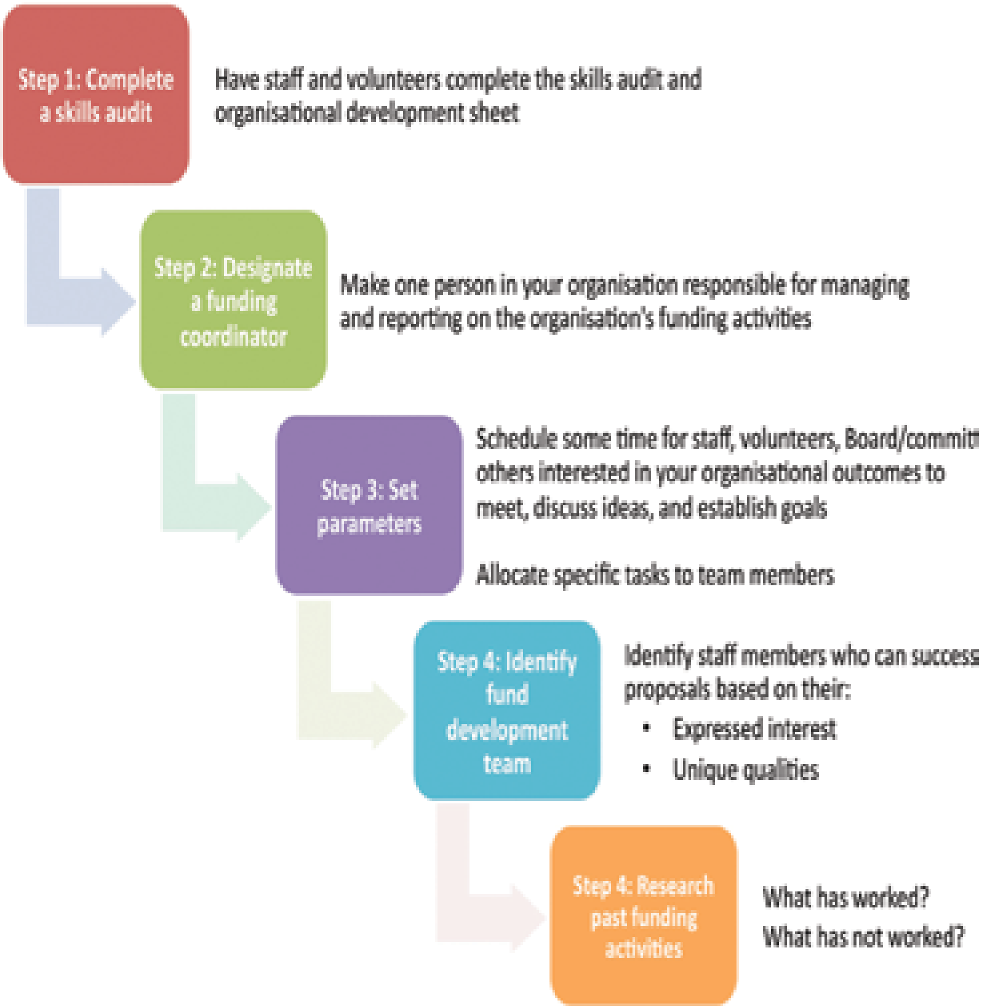
What Skills are Needed to Form Your Funding Development Team?

Successful funding development teams should:

- Be proficient in gathering and analysing information about:
  - Your community's need
  - Solutions which meet the community's need
  - The funder's objectives
- Make decisions about viable funding and collaboration prospects
- Have strong communication and negotiating skills
- Be flexible and creative in their responses to changing priorities and identify alternative options
- Have strong leadership skills, influence organisational change, and inform community priorities
- Stay calm under pressure, and meet tight deadlines
- Keep objectives and goals firmly in sight
- Be able to write well.

How to Build a Fund Development Team

The figure on the next page demonstrates the steps involved in building a fund development team.



What Does a Good Team Look Like?

A good team is made up of individuals with diverse personalities, skills, and knowledge who are committed to achieving uniform goals.

Fund development teams should involve people who:

- Possess leadership skills
- Exhibit goodwill
- Have the necessary skills, or are interested in broadening their skill sets
- Have defined tasks.

Tasks should be allocated according to the abilities and personal characteristics of the team members.

Allocate tasks based upon team members' natural attributes and skills to avoid burnout and/or stress.

Include people on your team who are:

- **Creators:** Generate new ideas, concepts, and solutions
- **Advancers:** See great ideas, solutions, or approaches and new ways to promote them
- **Facilitators:** Manage other members, monitor proposal development, and work task distribution
- **Refiners:** Challenge, analyse, and use a methodical process to detect and resolve process issues
- **Executors:** Develop orderly processes and execute detail once funding is received.

When you establish your team:

- Identify and allocate key writing tasks
- Assign a key person to coordinate the development of the funding application
- Schedule regular meetings to review and discuss progress on the funding application
- Assign overall responsibility to one person to submit the funding application.

Remember: If team members are not clear about who is responsible for what, there is a high probability that some tasks won't get done.

Engaging External Writers

External paid writers can help reduce the time you spend writing funding applications.

Consider using an external writer to:

- Write your funding proposal
- Assist your funding development team
- Review your funding proposal.

If you use an external writer make sure that:

- They clearly understand your organisation's structure, functions, and funding strategy
- You brief them about your proposal
- They understand and address all the funder's requirements
- You retain control and ownership of the funding proposal
- You carefully proof-read their work before submitting the application
- You can afford them.

For more information about engaging external writers see Wombat Creative's article, Using Professional Grant Writers, available from http://www.wombatcreative.com.au/wp-content/uploads/2012/12/WOMBAT-hiring-a-professional-grant-writer.pdf.

TIPS: Funding Development Team

- Leave personal needs and egos at the door of each group meeting.
- Group success requires people to act responsibly, recognise and appreciate the strengths of each team member, and be themselves.
- Improve your data collation and assign tasks to staff and volunteers to reduce the time and stress involved in writing funding applications.
- If you or other team members are experiencing difficulty in writing a particular section, approach a colleague for support and advice.

References & Resources

- Australian National Council on Drugs. (2009). *The Burden of Submission Writing and Reporting for Alcohol and Other Drug Non-Government Organisations*. ANCD. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Bauer, D.G. (2011). The "how to" grants manual successful grantseeking techniques for obtaining public and private grants. Rowman & Littlefield in partnership with the American Council on Education
- Cary, J. (1958). Art and reality (Vol. 20). Cambridge, U. P
- Heck, T. (2006). Teach Me Teamwork. Downloaded from http://www.teachmeteamwork.com/teachmeteamwork/files/Teambuilding_on_a_Shoestring_sml.pdf
- Hopkins, K. M., & Hyde, C. (2002). The Human Service Managerial Dilemma: New Expectations, Chronic Challenges and Old Solutions. Administration in Social Work, 26(3), 1-15
- The MindTools Website has more information about developing and assessing your team
- Wombat Creative. Using Professional Grant Writers. Downloaded from http://www.wombatcreative.com.au/wp-content/uploads/2012/12/WOMBAT-hiring-a-professional-grant-writer.pdf

YouTube Videos

- Blessing White. (2012). The 'X' model of employee engagement: Maximum Satisfaction meets Maximum Contribution. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Minnear, G. (2009). Teamwork. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Ng, N. (2011). The Power of a Team - Together Everyone Achieves More - The Rabbit and Turtle Modern Race Story. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au.

Section 4 Activity

Activity 4.1 Build Your Funding Development Team

Mix and Match Team Skills

Review the skills profile developed in Develop a Skills Profile (p66). Write a list of skills (e.g., researching, writing, promotional activities) needed to implement your funding strategy. Match staff who indicated they could complete the skill “Really Well” , “Well”, and “I Can Do This” in Activity 2.4.1 to the tasks in this list.

Look for opportunties to develop other staff skillsets. If staff do not have the skills necessary but wish to learn, consider pairing them with a more experienced staff member where possible.

If no one indicated that they could complete the skill “Really Well” or “Well” in Activity 2.4.1, organise a small team to learn the skill and complete the task. This will take the burden off one member completing the task and enhance team building.

Allocate tasks to your different funding team members.

Set targets to ensure staff members remain committed to achieving and incorporating the funding activities as part of routine tasks.

Adapt the Proposal Development Team table on the next page to develop your funding teams.

What Role Do You Take in a Team?

When organising the funding development team, it may be interesting and useful for staff to take the team role test to find out what role they play in the team. The test is available from: http://testyourself.psychtests.com/testid/3113.

Activity 4.1 continued over page

Activity 4.1 Build Your Funding Development Team (cont.)

Proposal Development Team Plan

Skillset	Task	Staff Member/s Responsible	Expectation	Due Date
Management	Oversighting the whole team – delegating tasks and due dates			
Concept Development	Reviewing and adapting the needs analysis to reflect the funder's priorities and objectives			
	Ascertaining core activities to be undertaken in the program plan			
Research	Gathering and collating evidence to support the needs statement			
	Finding evidence to support the proposed program plan			

Activity 4.1 continued over page

Activity 4.1 Build Your Funding Development Team (cont.)

Proposal Development Team Plan

Skillset	Task	Staff Member/s Responsible	Expectation	Due Date
Collaborating	Identifying and contacting key supporters			
	Identifying and negotiating with potential collaborators			
Administrative	Collating key documents to demonstrate organisational track record			
Writing	Writing the context statement			
	Writing the project/program plan			
	Writing the capacity statements			
	Writing the executive summary and/or cover letter			

Activity 4.1 continued over page

Activity 4.1 Build Your Funding Development Team (cont.)

Proposal Development Team Plan

Skillset	Task	Staff Member/s Responsible	Expectation	Due Date
Financial	Completing and checking the budget			
Legal	Completing a contract compliance table			
	Writing a risk management plan			

Section 5
Funding Sources

Section 5 Funding Sources

There are many types of funding bodies and several funding models. Funding sources include:

- Government funding (e.g., local council, state or federal funding)
- Foundation support (e.g., general funds or project support)
- Corporations and businesses (e.g., both financial support and/or in-kind contributions)
- Philanthropic trusts and foundations (e.g., funding to pilot innovative services/programs)
- Individual donors (e.g., both financial support and/or in-kind contributions).

Some organisations may also undertake entrepreneurial activities (e.g., fundraising drives, merchandise sales, and fee-based services) to generate capital. Although this resource does not address these types of revenue raising, the strategies outlined in the sections below may also be used to further develop these avenues of funding.

5.1 Developing a Funding Strategy (p110) informs you about the benefits of taking a formal, structured approach to securing funding. When developing your funding strategy, aim to secure a diverse pool of funding support.

5.2 Building Relationships (p123) helps organisations see the ongoing value in continually building and nurturing relationships with external stakeholders.

Funding organisations will also employ several funding models (i.e., tenders, procurements, and grants). It is important that you understand how the funding models differ and how this may affect your organisation's proposal, reporting requirements, and contractual obligations.

Table 5.1 describes the different sources of funding models and Table 5.2 provides examples of key differences between the models.

The Database of Funding Sources and Resources

This database is available on the FundAssist website - http://www.FundAssist.flinders.edu.au. It lists over 50 organisations and resources which may help you identify potential funding sources to target in your funding development strategy (see Developing a Funding Strategy (p110)).

Table 5.1 Different Types of Funding Models

<table>
<tr><th>Funding Models</th><th>Description</th></tr>
<tr><td>Tenders</td><td>Outcomes are predefined by the funding body.

Funders are purchasing a service or product at a specified price.

Funding is provided pursuant to meeting designated milestones.

Often there is a short time frame between the request for tender and the closing date.</td></tr>
<tr><td>Procurement</td><td>Governments arrange for public services to be delivered by external suppliers. Also known as contracting or service agreements.

Australian governments are placing greater emphasis on procuring services, including alcohol and other drug services.

Funders determine the service needed, the standard required, and the price payable.

Organisations should assess what the funder is asking for and whether it can be achieved by their organisation.

The contract will outline the:
Full specification of the services to be provided
Requirements relating to how the services are to be provided.
If the service is not provided as agreed, the funder may terminate the contract or agreement.

As organisations need to demonstrate that they are viable, this funding process may not suit small, start-up organisations.

Small organisations should consider partnering with a larger organisation when participating in the procurement process.</td></tr>
<tr><td>Grants</td><td>Grants usually provide one-off support to organisations for a specific purpose over a specified period of time. They are awarded to fund project-based research, pilot initiatives, or community development activities.

Grants are generally provided subject to conditions that state how the grant must be used (e.g., the provision of alcohol and other drug counselling). If the funding is not used for the specified purpose within the designated time frame, the funds may have to be returned.

For both grants and tenders, there is an obligation to achieve what was described in your proposal and there may be a requirement to provide progress/annual reports.

Grant recipients are not able to make a profit from a grant.</td></tr>
</table>

Table 5.1 continued over page

Table 5.2 Key Differences between Funding Models

Key Differences Between Funding Models

Compared to procurement processes, organisations may have greater flexibility in identifying and undertaking activities in tender and grant arrangements.

Different tax rules may apply to tenders, procurements and grants. In some instances, grants may not be subject to GST.

Claimable losses:

- If a grant agreement is broken, only the grant money may need to be repaid
- In a tender or procurement arrangement, if a service agreement is broken, the provider may be required to compensate the funder for any loss caused. This may be higher than just repayment of invoices received.

  See Contract Compliance (p222) and After Submission (p237) for more information about how to vary contract clauses and negotiate with funding bodies.

Section 5.1
Developing a Funding Strategy

Developing and implementing a funding strategy is crucial to the sustainability of your organisation. It helps organisations raise funds to continue or increase their services.

A funding strategy is an integral part of your core functions. It should be linked to your vision, mission, and strategic goals. Funding strategies should cover a three to five year period. Do not file it away after it has been developed. Treat it as a living, action-orientated document and continuously evaluate and review your targets and efforts.

A funding strategy identifies:

- Your funding needs
- Potential sources of income or support
- How relationships with current funders will be nurtured and maintained
- Team roles in funding development
- How the strategy will be implemented, monitored, and evaluated
- How the outcomes will be reported.

For more information about developing a team to formulate a funding strategy see Funding Development Team (p95).

Your Funding Strategy

A funding development strategy is in part a business plan. When developing a funding strategy, you need to:

- Assess **all** funding opportunities
- Consider the type of funding needed (e.g., project support, general funds, in-kind contributions)
- Identify the type of organisation or funding arrangement which will meet your needs
- Plan long-, medium-, and short-term goals to maximise opportunities
- Recognise and promote your organisation's assets and strengths.

Keep your funding strategy short. The basic information required in every funding strategy is:

- What funding is needed – how much, for what types of activities, when?
- Where will funds come from?
- What activities are needed to raise funds, when do they need to happen and who will undertake them?

Service Duplication

Funding bodies want to minimise duplication. To avoid duplicating services, conduct an environmental scan of:

- Similar services in your area
- Services in other areas which may be suitable for your community and consumer group
- New research and modes of working to ensure the services you are offering reflect best practice.

Consider how your activities:

- Complement, but do not duplicate, the work of others
- May be improved by incorporating new ideas and service delivery options.

Review and Evaluate

Your funding strategy needs to have the flexibility to react to new opportunities or to limit activities that are not practical or profitable. It should be:

- Monitored and evaluated throughout the year (at least once per quarter)
- Reviewed on a yearly basis.

At the end of each year, review what you said you would do and compare it to what was done. Hold an evaluation session so everyone can contribute. Ask yourself:

If we are not hitting our targets, what can we do to improve the situation?

Warning: You must adhere to certain laws when making an appeal for public funds. The rules are different in each state and territory. To find out how fundraising rules may affect you, see the Our Community Website - http://www.ourcommunity.com.au/legals.

Why Develop a Funding Strategy?

A funding strategy helps organisations to:

- Focus, prioritise and plan their objectives
- Incorporate funding activities as part of routine activities
- Identify additional help from Board members, volunteers, or external stakeholders
- Plan the team involved in developing proposals and writing applications
- Identify the strengths and weaknesses that team members bring to the fund development process
- Work towards achieving concrete funding strategy targets.

An Ask Letter

An Ask Letter is an unsolicited letter written to a funding body to request their support.

When writing an Ask Letter, it is important to:

- Keep your letter formal and to the point
- Communicate how the funding body's contribution will help the identified problem
- Personalise the letter
- Conclude by thanking the funding body for their time and consideration.

The letter should contain three simple paragraphs:

- Introduce yourself and your organisation's mission
- Outline your request to the funding body and indicate what they will get in return
- Thank the funding body for their time and invite them to contact you with any questions.

A good Ask Letter may be used again. However, always adapt it to reflect each specific funding body and their priorities.

Anatomy of An Ask may be downloaded from the FundAssist website - http://www.FundAssist.flinders.edu.au. This resource highlights the components of an Ask Letter.

Why Do Alcohol & Drug Organisations Need to Apply for Funding?

Funds are distributed through competitive grant, tender, and procurement arrangements because funders:

- Are accountable to stakeholders
- Must demonstrate the work funded was worthwhile
- Have limited financial resources
- Receive more applications for assistance than they can fund
- Assess which bids offer best value and community benefit
- Are required to be transparent in their decision-making
- Establish criteria upon which to base their decisions.

Government bodies, in particular, must:

- Follow formal public procurement, tendering, and grant rules when distributing public funds
- Act on an objective, fair and transparent basis.

For further information about government funding opportunities and procedures, see Table 5.3. Please note that information was not available for all states and territories. Check with your relevant state or territory if you require further information.

Table 5.3 Australian Government Funding Policies (current as at August 2014)

Jurisdiction	Department	Resource
Australian Government	Department of Finance	Australian Government Grants Policy Framework. Visit http://www.finance.gov.au/resource-management/grants/
	Department of Social Services	General Information on Funding. Visit http://www.dss.gov.au/grants-funding/general-information-on-funding
	The Australian National Audit Office	Implementing Better Practice Grants Administration. Visit http://www.anao.gov.au/Publications/Better-Practice-Guides/2013-2014/Implementing-Better-Practice-Grants-Administration
Australian Capital Territory	Health Promotion Innovation Fund	The Health Promotion Funding Guidelines. Visit http://health.act.gov.au/health-services/population-health/health-improvement/act-health-promotion-grants/funding-opportunities/
New South Wales	NSW Department of Family and Community Services	Community Services Funding Policy. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Table 5.3 continued over page

Table 5.3 Australian Government Funding Policies (cont.)

Jurisdiction	Department	Resource
New South Wales	NSW Health	Operational Guidelines Non-Government Organisation Grant Program. Available from the Fund Assist website - http://www.FundAssist.flinders.edu.au
		Grant Management Improvement Program (GMIP) Taskforce Report. Available from the Fund Assist website - http://www.FundAssist.flinders.edu.au
		Goods and Services Procurement Policy Manual. Available from the Fund Assist website - http://www.FundAssist.flinders.edu.au
Queensland	Department of Housing and Public Works	Queensland Government QTenders Website. Visit https://secure.publicworks.qld.gov.au/etender/index.do
South Australia	Department of Communities and Social Inclusion	Procurement Approvals and Processes Policy and Guidelines. Visit http://www.dcsi.sa.gov.au/__data/assets/pdf_file/0014/12155/Procurement-Approvals-and-Processes-Policy.pdf
Victoria	Tenders VIC	https://www.tenders.vic.gov.au/tenders/index.do
	Department of Human Services	http://www.dhs.vic.gov.au/for-service-providers/for-funded-agencies
	Department of Health	http://www.health.vic.gov.au/pch/service_providers/funding.htm
Western Australia	Department of Finance	Factsheets and Frequently Asked Questions webpage. Visit http://www.finance.wa.gov.au/cms/content.aspx?id=13032#grant_vs_service_agreement

References & Resources

- Australian Government Department of Finance Website. This website contains tools and information about selling services to the Australian government - http://www.finance.gov.au/procurement/procurement-policy-and-guidance/selling/
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- Management Accounting for NGO (MANGO) Website. This website contains the Guide to Financial Management - http://www.mango.org.uk/Guide/Usage
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- Price, K. (2008). A Guide to Writing a Fundraising Strategy. Downloaded from http://www.grantnet.com/HelpfulReports/fundraisingstrategy.pdf
- The Advocates for Youth Website: Seven Components of Organizational Sustainability. Downloaded from http://www.advocatesforyouth.org/publications/publications-a-z/612-the-seven-components-of-organizational-sustainability-#5
- The Funding Central Website: Writing a Fundraising Strategy. Downloaded from http://www.fundingcentral.org.uk/page.aspx?sp=6313
- The Nonprofit Hub Website: Anatomy of An Ask Letter. Downloaded from http://www.nonprofithub.org/featured/how-to-ask-for-donations-nonprofit-infographic/
- The Volunteering Queensland Website: Why Develop a Funding Strategy? Downloaded from http://www.volunteeringqld.org.au/web/index.php/resources/menu/resource-central/487-submission-writing-grants-and-funding

YouTube Videos

- Institute of Fundraising . (2012). Developing A Fundraising Strategy. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Stewart, H. (2013). Successful Fundraising: Developing a Fundraising Strategy. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 5.1 Activities

Activity 5.1.1 List Current and Potential Funding Sources

Relying upon one source of funding may be a threat to your organisation's sustainability.

Does your organisation depend on one funder?

☐ YES ☐ NO

If you answered yes to this question, it is recommended that you develop a funding strategy to diversify your support structure.

Does your organisation have diversified sources of income?

☐ YES ☐ NO

Diversified sources of income relates to more than just the source of funding. It also relates to the types of funding received. For example, an organisation may receive a grant for core activities from a government department, but fund staff development training through corporate sponsorships.

Current Funding Sources

If you receive funding from more than one source, make a list of organisations from whom you currently obtain funding. If you completed the mapping activity in Your Organisation's Track Record (p40), copy and paste your current sources of funding into this list.

Record the type of funding received and your forecast for continued funding (High, Med, Low).

Current Funding Body	Type of Funding	Likelihood of Continuance (High, Med, Low).

Activity 5.1.1 continued over page

Activity 5.1.1 List Current and Potential Funding Sources (cont.)

Potential Funding Sources

Consider your organisation's vision, mission, and strategy (see Your Vision, Mission, and Strategy (p28)) and look through the Database of Funding Sources and Resources (available from the FundAssist website - www.FundAssist.flinders.edu.au) to identify organisations you would like to approach for funding.

Make a list of organisations that you will contact to discuss future opportunities. Assess your relationship with the funding body by answering the questions below.

Do you know the organisation well enough to ask for funding?

☐ YES ☐ NO

Regardless of how well you think you know an organisation, it is beneficial to develop a brief profile of them to foster your institution's knowledge and create a corporate memory. Complete Activity 5.2.2.

Does this organisation know you well enough to provide you with funding?

☐ YES ☐ NO

If the funding source is not aware of your organisation, develop a plan to build your relationship with the funder (see Building Relationships (p123) for more information and complete Activity 5.3.2).

Do I need to do any further research?

☐ YES ☐ NO

If yes, go back and look at previous sections of this resource.

What are the funding body's attitudes, values and beliefs about my community's need, the proposed solution, and my organisation's expertise?

What does the funding body expect and need from my application?

Activity 5.1.2 Fund Source Profiles

Read through the information listed on potential funders' websites. Contact a nominated representative if you wish to obtain a more in-depth understanding.

> **Write down what you know about each funder's values and objectives and identify shared goals.**

Answer the questions below to ascertain whether the funding source is a good fit for your organisation's objectives.

1. **How would seeking funding from this organisation meet your organisation's needs and fulfil your aspirations?**

2. **How does this organisation's priorities compare to your organisation's objectives?**

3. **What do you still need to find out about this funding body?**

4. **What information should you collate prior to contacting the agency?**

5. **When will you contact each agency on your list?**

If the funding source's objectives match your organisation's objectives, ensure you contact a nominated representative to discuss your ideas (see Building Relationships (p123) and complete Activity 5.2.2).

Activity 5.1.3 Should You Develop a Funding Strategy?

If you answer yes to any questions below, it is time to develop and implement a funding strategy.

1. **Does your organisation need to develop a funding strategy?**

   YES NO

2. **Do you tend to submit applications in an ad hoc and reactive manner?**

   YES NO

3. **Do you have limited resources both in time and money?**

   YES NO

4. **Do you sometimes miss important funding opportunities to develop your organisation?**

   YES NO

5. **Do you operate in an increasingly competitive environment?**

   YES NO

6. **Is there a potential funder that is largely unaware that you exist?**

   YES NO

7. **Do you need to raise funds?**

   YES NO

8. **Do you feel that applying for funding is a waste of time and you should get on with real work?**

   YES NO

9. **Are there other non-government organisations doing similar work and getting more sustainable funding than you?**

   YES NO

Activity 5.1.4 Your Funding Plan

All organisations' resources, needs and strengths are different, and not all funding opportunities will work for everyone. The following process is designed to help you work through your organisation's funding options and create a plan of what you want to achieve over the next 12 months.

Step 1: Establish funding targets

What do you hope to achieve?

What opportunities do you have to promote your organisation to funders?

How can you improve your profile in the community?

Step 2: Research past fundraising activities

What activities have you undertaken previously?

What has worked?

What has not worked?

Step 3: Identify who will fund what

From the list of current and potential funding sources you developed previously, write down what activities you will be asking each funding source to provide support for.

If you did not previously develop a list of current and potential funding sources, construct a list now and determine what activities you will be asking each funding body to provide money for.

What kind, and how much funding do you need?

Activity 5.1.4 continued over page

Activity 5.1.4 Your Funding Plan (cont.)

Which funding bodies might potentially support your work?

Are there any other kinds of funding or finance options which you could investigate?

Is there a natural partnership between your organisation's and a local or national business' objectives?

Step 4: Develop a case to support each prospective funding activity

Why do you think the activity will/will not be successful?

Step 5: Decide on and describe the methods you plan to use to raise funds

Remember the golden rule: Diversity is the key to a good funding strategy.

Set an estimated target for each funding development activity. Write your targets here.

How many staff and work hours will you devote to completing fundraising activities?

How will you implement each fund development activity?

Step 6: Allocate responsibilities to Board members and staff so that everyone knows what they have to do, and by when

Who will complete the fund development activities? Refer to the staff matrix developed in Funding Development Team (p95).

Activity 5.1.4 continued over page

Activity 5.1.4 Your Funding Plan (cont.)

Do any of the staff involved in the fund development activities need training or support?

☐ YES ☐ NO

Have you fully utilised your Board and volunteers?

☐ YES ☐ NO

If you answered no, go back and review your fund development strategy to ensure greater involvement of Board members and volunteers.

Step 7: Who will authorise your strategy?

It is important to obtain organisational and staff support for your strategy. Send your draft funding strategy to the Board or CEO for endorsement. Incorporate comments and suggestions into the final document.

Write down who authorised your strategy and when it was signed.

Step 8: Develop a Funding Calendar

Once you have set your funding activity targets, identified the skill sets required, available opportunities, and allocated team roles, develop a funding calendar with closing dates for publicly advertised funding rounds and potential funding sources.

Many funding bodies call for applications on a periodic basis. If the funding source does not have a cyclical call for applications, record deadlines for staff activities and when you want to have the completed application submitted.

Section 5.2 Building Relationships

> "We are in a relationship business and so the more relationships that we have, the more opportunities, as a non-profit, we have to tell our story and to bring the community along and let them know what is going on." Simone Joyaux

To successfully implement the funding strategy you created in Developing a Funding Strategy (p110), you will need to build professional relationships with your community, funders, and other organisations.

Successful professional relationships require:

- A shared understanding of goals and objectives
- Acknowledging and valuing differences in diverse organisations, partnerships and individuals
- Mutual respect and trust
- Sharing information and resources in an efficient manner.

Relationship building is critical to any effective organisation. The key to a successful relationship is negotiation and communication. To build relationships:

- Understand what your organisation does and identify other organisations with similar visions, missions, and interests
- Attend networking opportunities
- Work out what each organisation is prepared/able to commit to the relationship.

Always keep a lookout for opportunities to establish new relationships and nurture current partnerships.

Building Relationships With Your Community

Building a successful relationship with your community requires you to:

- Know who your community is
- Establish clear communication lines with key representatives
- Involve local community members on your Board of Management
- Maintain regular contact with local government.

See Identifying Needs (p11) and About Your Organisation (p23) for more information about how to build relationships with your community.

Building Relationships With Funding Bodies

You must get to know your funder before you develop your proposal and prepare your funding application.

Build a proactive and responsive relationship with the funding body. Contact them to:

- Clarify their expectations and desired outcomes
- Check whether you can append or provide additional information at a later date (e.g., information which is not requested but will help to sell your organisation or concept to the funding body)
- Improve your understanding of the assessment process
- Obtain insight into other programs they have previously funded and/or looked upon favourably
- Promote the unique aspects of your organisation.

Funding bodies generally:

- Have specific goals they want to achieve
- Want you to demonstrate how you can help them achieve their goals.

Your relationship with the funding body does not stop once you receive your funding. You should also work to maintain relationships with your existing funding partners. Keep them engaged and committed to your organisation by:

- Demonstrating mutual respect and trust
- Sharing information and resources
- Promoting your organisation's successes
- Responding to their needs
- Acknowledging their contribution (see below).

Partnering With Other Organisations

Consider partnering with other organisations (see Identifying Opportunities for Collaboration (p151)) to develop a funding application:

- Make general inquiries (e.g., through annual reports, websites) about the other organisation

- Identify potential common areas of interest (e.g., similar mission statements)
- Make initial contact and arrange a face-to-face meeting with a key person
- After the meeting, send a thank you email and encourage further contact.

If you decide to partner, make sure:

- Both organisations clearly understand their respective roles - not only in relation to the preparation of the application BUT also subsequent roles if the application is successful
- You develop a formal agreement (e.g., Memorandum of Understanding) to avoid potential confusion and/or conflict including:
  - A statement about what each organisation brings to the partnership
  - A clear indication of respective roles and functions
  - A statement about what you expect to get out of the partnership
  - Clear communication lines with nominated key contact people
  - How the funding will be allocated if the application is successful
- You are comfortable with the partnership arrangement and communicate early concerns
- Contingencies are in place if things go wrong.

Acknowledge Your Funding Body and Partners

Ensure you appropriately acknowledge anyone who has assisted or contributed to your organisation.

Acknowledgement can be expressed:

- During an event
- In your newsletters or annual reports
- On your website
- In promotional materials
- In a personal letter from your CEO or Chair.

References & Resources

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Section 5.2 Activities

Activity 5.2.1 The 30 Second Pitch

In thirty seconds state:

- The name of your organisation
- What your organisation does
- What you want
- Why you want it.

Now write it down.

Activity 5.2.2 From Contact to Collaboration to Client

To successfully implement the funding strategy you created in Developing a Funding Strategy (p110), you will need to build professional relationships with your community, funders, and other organisations.

It's Who You Know

It is best to start with the organisations and people you are already familiar with and then expand outwards. Develop a list of organisations and people that your organisation currently works with and the reasons why. Start with your organisational contact list and people that you regularly liaise with. Detail the current relationship you have with the person and/or organisation.

Six Degrees of Separation

Next, for each organisation and person on your list, identify who they know. Links may be formal or informal. For example, if a Board member is also a member of a local sporting team, write down any member of the team who may also support your organisation's objectives. This will also help you identify other ways in which Board members may be useful to your organisation.

Who Do You Know?	Current Relationship	Who Do They Know?	Current Relationship

Activity 5.2.2 continued over page

Activity 5.2.2 From Contact to Collaboration to Client (cont.)

Communicate Strategically

Using the lists above as well as the list of current and potential funders developed in Developing a Funding Strategy (p110), brainstorm ways you may further develop these relationships by answering the questions below.

Who do we need to communicate with?

Why do we want to communicate with them?

What do we want to communicate with them about?

How will we communicate with them? (i.e., telephone, email)

When/ how often will we communicate with them?

Who is responsible for communicating with them?

Ask staff and volunteers to note when they have contacted the person and/or organisation and for what reason.

Do you need to follow up?

☐ YES ☐ NO

If yes, when

If no, explain why.

Section 6
Developing a Proposal

Section 6 Developing a Proposal

This section outlines how to develop a funding proposal which:

- Meets the needs of your community and consumer groups
- Is consistent with your organisation's vision, mission and strategic directions
- Reflects the funding body's values and interests
- Promotes their aims
- Complies with the funding guidelines.

When developing your proposal, allow time to:

- Become familiar with the submission process
- Ascertain the funding body's priorities and requirements
- Brainstorm a proposal to match:
  - The funding body's objectives
  - The community's identified needs
  - Your organisation's aims, goals and functions
- Identify whether your proposal may be strengthened by collaborating with others
- Focus on why? who? how? and what it will achieve?

The following parts of this section of the resource will take you through the proposal development process:

6.1 Understand the Funder (p132): Highlights the importance of reading **ALL** documentation about the application process and the funder's objectives. Your proposal has to meet the funder's criteria. Contact the funder to clarify any matters.

6.2 Designing Your Proposal (p141): Explains factors to be considered and areas to be addressed when developing your proposal. This section helps you identify the problem, describe your proposal, its outcomes and benefits.

6.3 Identifying Opportunities for Collaboration (p151): Increase your funding opportunities by collaborating with others. This may be a requirement to meet eligibility criteria or to strengthen your proposal.

6.4 Identifying Risk (p154): Identify and take steps to mitigate all risks which may be associated with your proposal. Activities and resources are provided to help you do this.

6.5 Setting Objectives and Measuring Outcomes (p162): All proposals should specify the intended improvements and how these improvements will be measured. This section provides information about how to set SMART goals and develop an evaluation plan.

Section 6.1 Understand the Funder

The Funding Guidelines

Before you start to develop a proposal make sure you:

- Carefully study the funding guidelines, application processes, and any other information which may be relevant to the funder
- Scale and address your proposal to what is being requested/offered by the funder
- Note evaluation criteria and any application deadlines and requirements (especially closing date and time, formatting and file size requirements, compulsory questions)
- Understand the funder's goals and priorities.

Warning: It may be tempting not to read all the relevant documents if you:

- **Have extensive experience in writing funding applications**
- **Have a long relationship with the funding body**
- **Are overwhelmed by the amount of reading material.**

Avoid this temptation!!!

Do not underestimate the importance of understanding the funding guidelines, application processes, and funder's objectives. The funding guidelines and processes, and the funder's objectives and criteria may have changed since you last applied for funding. Your application may be unsuccessful if you fail to:

- Follow guidelines
- Comply with requirements
- Submit a proposal which aligns with the funding body's objectives.

The Funding Body

Build a proactive and responsive relationship with the funding body. Contact them to:

- Clarify their expectations and outcomes
- Check whether you can append additional information to your application (e.g., information not requested but which will help to sell your organisation or concept) or if you can provide it at a later date
- Understand the assessment process

- Promote the unique aspects of your organisation.

To meet the funding body's objectives and priorities, investigate previously funded services and activities to:

- Avoid duplication
- Gain insight into programs favoured by the funding body.

Complying With Guidelines

Checklists

Some funders provide a checklist to be completed prior to submission. Checklists help you:

- Provide all the necessary information
- Avoid omissions or errors.

If the funding body has not provided you with a checklist, develop your own.

Deadlines

Guidelines often tell you the final date and time for:

- Contacting the funder to ask questions
- Submitting your application.

Record the closing dates. If you use an electronic reminder system - set reminders.

Some funders set an **exact time** by which an application must be received. Make sure you know whether any regional time differences exist.

Deadlines are a fact of life. Make sure you submit your application on time. There is **no flexibility** with this.

Eligibility Criteria

Eligibility criteria and compulsory compliance requirements must be adhered to. Some funding programs require you to submit essential supporting documentation (i.e., certificates of insurance, audits or financial reports, ABN numbers, annual reports). Collate and store these items in an accessible location so they are readily available.

To fulfil the funder's requirements you may also have to partner with another organisation (see Identifying Opportunities for Collaboration (p151)).

Prioritise

Highlight the questions you have to answer and underline key words or phrases.

TIPS: Understand the Funder

- Read the information provided and contact the funder to clarify any matters you do not understand.
- Demonstrate to the funder that you understand their priorities and have the expertise required to meet them and achieve community benefits.
- Record deadlines and adhere to them. They are not flexible.
- If funding applications contain checklists, use these prior to submission.
- If the funding application does not contain a checklist, develop one to ensure all essential items have been completed, formatting requirements are met, and additional information is attached.
- If the application needs to be entered using an online system, register early and log into the online system. Becoming familiar with the requirements and nuances of the online system will make your submission process less stressful.
- If attachments need to be uploaded, check to ensure all items are attached in the correct format and meet any size limitations.
- Make a file containing copies of core organisational information so it can be easily located when you complete your application.

Section 6.1 Activities

Activity 6.1.1 Develop a Checklist

It is helpful to develop a checklist to record important matters and dates.

Adapt the checklist provided to meet the funding guidelines and make sure you do not omit any key information or documents from your application.

***NB: Use this checklist as a guide as not all of these categories will be applicable to you and not all of this information will be asked for by all funding bodies. Only complete those sections that directly apply to you.**

Important Dates	Yes	No	N/A
Do the funding guidelines specify closing dates?			
What closing dates apply? List the type of deadline (e.g., asking questions/submission) and the date and time applicable.			
Is there a time difference? If the funding body is located in another state or territory, there may be a time difference.			
If yes, record what time you will need to submit your application.			
Have you completed the following information: **Organisation's Details including (where appropriate):** • Name of organisation • Current Australian Business Number (ABN) • Australian Company Number (ACN) • Australian Registered Body Number (ARBN • Registered business name (may be different to organisation name) • Insurance details (including a copy of current insurance certificate if required) • Corporate status/Date and place of incorporation • Physical address • Postal address • Email address			

Activity 6.1.1 continued over page

Activity 6.1.1 Develop a Checklist (cont.)

	Yes	No	N/A
Organisation Contact Person: • The nominated person within your organisation to whom all correspondence will need to be addressed • Phone Number • Fax Number • Email address			
Conflict of Interest: • Is there any known conflict of interest for the organisation or any of the proposed staff who will be working on the program/providing the service? • If there is a known conflict of interest, has this been declared in the funding application?			
Litigation: • Are there any litigation proceedings against the organisation and have these been declared in the application?			
Cover Letter: • Have you completed a cover letter?			
Executive Summary: • Name of your organisation • Briefly summarise what you will do/service you will provide • Provide a brief statement of your track record in relation to the funding that you are seeking • State the total amount of funding you are seeking			
Addressing Essential Criteria: • Are there any key criteria that must be addressed as part of the funding application? • Have all of these been responded to in your application?			

Activity 6.1.1 continued over page

Activity 6.1.1 Develop a Checklist (cont.)

	Yes	No	N/A
Proposed program/service:			
• Does your proposal clearly and succinctly state what you will do if you are successful in getting the funding?			
• Does it clearly address what the funder is looking for and does it align with your organisation's priorities?			
• Will the program of work be conducted in stages/ phases and if so, are the start and finish dates clearly stated?			
• Have you clearly outlined your methodology?			
Objectives:			
• Does your application clearly state what the objectives of the proposed program/service are?			
Performance Indicators:			
• Have you set performance indicators to measure whether the objectives have been met?			
Evaluation:			
• Does your application include an evaluation plan?			
• If so, does it clearly state what the different components of the evaluation will comprise and when they will be undertaken?			
Project/Program/Service Team:			
• Have you stated in your application which staff will be conducting the project/program or delivering the service?			
• Have indicated what their roles/tasks will involve?			
• Have you stated how much time those staff will spend on the project/program (i.e. in terms of Full-Time Equivalence)			

Activity 6.1.1 continued over page

Activity 6.1.1 Develop a Checklist (cont.)

	Yes	No	N/A
Risk Management:			
• Does your application clearly and succinctly state the types of governance processes that your organisation has in place to manage the proposed project/program/service?			
• Have you indicated your organisation's risk management/mitigation strategies in relation to the funding that you are seeking?			
Track Record:			
• Does your application clearly and succinctly state your organisation's track record as it relates to the funding that is being sought?			
• Have you provided relevant examples?			
Budget:			
• Have you completed a budget section in your application?			
• Does the budget include accurate, realistic and transparent costs associated with the proposed project/program/service?			
• Have you listed all the personnel (e.g., salaries) and non-personnel costs (e.g., goods and services such as WorkCover, insurances, office supplies, rent, travel costs)?			
• Have you included in-kind contributions (e.g., time and financial)?			
• Have you included a budget justification section in your application explaining expenditure?			
Contract compliance:			
• Does the current funding application contain a copy of the proposed contract?			
• If yes, has it been checked to ensure that your organisation:			
› Has sought legal advice/clarification?			
› Is compliant with the clauses?			
› Can make changes to the clauses if appropriate?			

Activity 6.1.1 continued over page

Activity 6.1.1 Develop a Checklist (cont.)

	Yes	No	N/A
Attachments:			
Copy of certificate of incorporation			
Copy of insurance certificate			
Copy of a recent audit and/or financial statement			
Letter of support/intent/MOU			
Copy of latest annual report			
Copy of strategic plan			

Activity 6.1.2 Understand the Funder's Objectives and Priorities

Many funding bodies will provide information about their objectives and priorities.

Which documents will help you understand the funder's objectives and priorities? Write the document titles and locations here.

Do the documents stipulate the funder's objectives and priorities?

☐ YES ☐ NO

If yes, write them here.

If no, contact the funding body to seek clarification about this.

Are there any key words or phrases used in the funder's documentation?

☐ YES ☐ NO

If yes, write them here.

If no, contact the funding body,

Activity 6.1.3 How Can You Meet the Funder's Objectives?

Brainstorm ways to meet the funder's objectives. If you find it easier, mindmap your thoughts.

Write down what the funder wants.

Write down what you can do.

Write down how this will meet the funder's needs.

Write down how this will meet your organisation's objectives.

Write down how it will benefit the community.

Section 6.2 Designing Your Proposal

When developing your proposal, identify the problem, specify your aims, objectives, activities, outputs and outcomes.

Your proposal should reflect:

- The funder's priorities/requirements/objectives
- Your community's needs
- Your organisation's role, goals and strategic directions.

Funding bodies want you to clearly describe:

- The identified need
- What you are offering them
- What your proposal will achieve.

Your proposal should inform the funder about:

- The underlying problem or need (see Identifying Needs (p11))

- Your proposed aim/s
- Your proposed objectives
- Your planned activities and timelines
- The products and services you will generate (i.e., outputs)
- The outcomes and benefits anticipated (see Setting Objectives and Measuring Outcomes (p162))
- The resources required to conduct the activities and produce the services
- Total cost involved in delivering the activities and the amount you are asking for (see Your Budget (p175)).

For more guidance about your proposal's aims, objectives and activities, please refer to Developing Your Proposal's Aims, Objectives, and Activities (p144) and Setting Objectives and Measuring Outcomes (p162).

Questions you may want to address when developing your proposal are outlined in Table 6.1.

Table 6.1 Proposal Development Questions

Proposal Area	Questions
Concept/Idea	WHAT is the identified need? WHO is the targeted population? WHY does the problem need to be addressed? WHAT does the funder want? WHAT do you propose to do? HOW will your proposal meet the identified need and the funder's aims?
Activities	WHAT activities will you be doing? WHO will be doing them? HOW will the activities be delivered? HOW long will you be undertaking the activities? WHAT will the activities achieve? HOW will your achievements be measured (See Setting Objectives and Measuring Outcomes (p162))?

Table 6.1 continued over page

Table 6.1 Proposal Development Questions (cont.)

Proposal Area	Questions
Budget	WHAT resources and materials are needed? WHY are the resources and materials needed? HOW long do you need the resources and materials for? HOW much do they cost? HOW much of the total cost will be met by your organisation? HOW much of the total cost will be requested from the funding body? (See Your Budget (p175))
Organisational Track Record and Proposal Team	WHY should the funding body fund your organisation? WHAT experience does your organisation have in producing outcomes and benefits? WHAT skills and qualifications does the proposed team possess?

The Identified Need

Tell the funder about the underlying problem or need you have identified:

- Demonstrate that the need exists
- Underscore the urgency of addressing the need
- Establish your expertise and knowledge (see Identifying Needs (p11)).

Provide information about:

- The targeted consumer group
- Why they need your proposed program/service
- How often they will use your service.

Prioritise needs by assessing the:

- Number of people who experience the problem and/or are detrimentally impacted
- Harms caused to the social, environmental, physical, and/or mental wellbeing of the individual and community
- Availability, suitability, and effectiveness of other services and/or programs.

If you are seeking:

- Continued funding, tell the funding body:
  - How your current activities are measured and provide up-to-date statistics about the relevance, effectiveness and efficiency of these activities
  - How the service will respond to emerging needs and/or periods of high demand

- Funds to start a new service or program of work, consider which sources of evidence may be useful to include in your proposal (see the list below).

Evidence Which Demonstrates Need, Significance, and/or Community Support

The following sources of information may assist you to demonstrate community need:

- Letters of support that highlight the difference your proposal will make

- Needs assessment findings which detail and prioritise problems, map complementary services, and identify gaps

- Quality assurance surveys which demonstrate the relevance and effectiveness of your proposed activities

- Case studies which illustrate:
  - The beneficial outcomes and impacts of your activities
  - What is likely to occur if the activities are not provided

- Information obtained from local, sub-regional or regional plans.

Developing Your Proposal's Aims, Objectives, and Activities

Develop a clear, achievable and measurable approach to address the identified need and funder's priorities and requirements:

- Define your proposal's aims

- Set your objectives - use action-oriented words (e.g., decrease, deliver, develop, establish, improve, increase, produce, and provide)

- Outline the activities you will undertake to achieve your objectives

- Detail who will be involved in executing the proposal

- Develop measures to assess:
  - What you are doing
  - How well you are doing it
  - Is anyone better off?

Box 1 Description of Aims, Objectives, and Activities

Aims are broad, general, and intangible statements which:

- Provide a succinct description of what your proposal hopes to achieve
- Are directly linked with the identified need.

Objectives are:

- The steps involved in achieving your aims
- The measurable outcomes of the program
- Specific, realistic and tangible (see Setting Objectives and Measuring Outcomes (p162)).

Activities:

- Are the specific actions and tasks required to achieve your objectives
- Have defined start and end dates.

Outcomes:

- Are the end result of your proposal
- Are specific, focused and easily interpreted
- Measure whether your proposal has achieved its aims (see Setting Objectives and Measuring Outcomes (p162)).

Your Proposed Activities

In developing the specific activities and tasks required to achieve your objectives, consider:

- The approach you will adopt
- What actions and tasks are required
- Why you selected your approach, activities and tasks
- Who will undertake the activities and tasks:
  - The skills, knowledge, and experience required
  - How much time they will contribute
  - Whether any new staff will be recruited
- When the activities will start and finish
- How your proposal will be administered (including lines of authority, supervision, reporting and communication). This is especially important for a large proposal or if more than one agency is involved.

Many proposals forget to quantify the amount of time and resources contributed by volunteers. Describing tasks that volunteers can undertake highlights the value added by the volunteers, as well as the cost-effectiveness of the project.

Warning: Do not over commit staff to achieving the proposed activities. Funders may ask about other funding commitments and how you will free up the time of an already fully deployed individual. Be prepared to discuss with funders how staff will allocate their time.

TIPS: Designing Your Proposal

- Aims are broad statements that describe what programs or activities should achieve. They reflect the purpose and priorities of your program.
- Ensure aims are easily understandable.
- Aims must start with an action verb.
- Well-articulated objectives are increasingly critical to a proposal's success as they define the methods adopted by the funding recipient.
- Case studies can capture the imagination of funding panels. They humanise the organisational story and can present a compelling picture.
- Select facts or statistics which best support your proposal.
- Use data which is current, accurate, and targeted. Do not use statistics which are out-of-date, incorrect, generic or too broad.
- It may be helpful to include a Gantt chart or some other scheduling tool so the assessor can clearly see the start and end time for each activity.
- Establish an organisational chart which clearly defines the lines of authority and supervision, and the staff relationships with consumers.
- It needs to be clear who is responsible for financial management, project outcomes, and reporting. Develop a tracking sheet to monitor staff allocations.
- A skills matrix may be useful to describe the skills required to deliver the proposed activities. Identify staff already employed and those who will be recruited specifically for the project.

References & Resources

- Centers for Disease Control and Prevention. (2006). Gaining Consensus Among Stakeholders Through the Nominal Group Technique. Department of Health and Human Services: US. Available from http://nceta.brighterserver.com/uploads/docs/Nominal_Group_Technique.pdf

- Swiss Agency for Development and Cooperation CDC. (2011). Planning and Monitoring in Results-based Management of Projects and Programmes. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

- To develop a mindmap, see the online Text2Mindmap Tool - https://www.text2mindmap.com/

Section 6.2 Activities

Activity 6.2.1 Create a Mindmap

Before writing your proposal:

- Brainstorm ways to meet the funder's objectives
- List the broad program areas/services that you intend to provide and their objectives
- Identify the activity/ies for each area and objective
- Map the order and timing for the activities and objectives
- Explain why you chose the activity to achieve your objective
- Describe the evidence base for your chosen delivery model, methods, activities, and outcomes
- Indicate how the planned work will effectively lead to the anticipated outcomes.

Mindmap your thoughts.

Answer the questions on page 149. Use bullet points or post-it notes to separate out ideas. Every time you have a new idea, put it on a post-it note and then stick them all on the wall. Once you have got all your ideas, you can group them together and see what goes with what. Arrange your thoughts into themes.

Possible themes include:

- What does the funder want?
- Our capabilities
- Our track record
- Costs and timings
- Background to project
- Our proposal.

Activity 6.2.1 continued over page

Activity 6.2.1 Create a Mindmap (cont.)

Proposal Area	Questions
Concept	• WHAT is the identified need? • WHO is the targeted population? • WHY does the problem need to be addressed? • WHAT does the funder want? • WHAT is your solution? • HOW will your solution meet the identified need and the funder's aims?
Activity Plan	• WHAT activities will you be doing? • WHO will be doing them? • HOW will the activities be delivered? • HOW long will you be undertaking the activities? • WHAT skills or knowledge gaps are in your proposed team? • WHO should you partner with to strengthen your application (see Identifying Opportunities for Collaboration (p151))? • WHAT will the activities achieve? • HOW will your achievements be measured?
Budget	• WHAT resources and materials are needed? • WHY are the resources and materials needed? • HOW long do you need the resources and materials for? • HOW much do they cost? • HOW much of the total cost will be met by your organisation? • HOW much of the total cost will be requested from the funding body? (See Your Budget (p175))
Organisational Track Record and Proposal Team	• WHY should the funding body fund your organisation? • WHAT experience does your organisation have in producing outcomes and benefits? • WHAT skills and qualifications does the proposed team possess?

Activity 6.2.2 Summarise Your Mindmap

Take a moment to focus on the need/problem that your organisation seeks to address.

Develop a three or four-sentence description that describes the need/problem that your proposal (and the funder's money) will address.

Write down the funding body's priorities and objectives.

Write down what you can do.

Write down how your proposal will meet the funder's objectives.

Write down how your proposal will meet your organisation's objectives.

Write down how your proposal will address the identifed problem and benefit the community.

Section 6.3
Identifying Opportunities for Collaboration

When developing your funding application, there may be opportunities to collaborate with other organisations and individuals to ensure you deliver optimal outcomes.

The decision to collaborate will depend on the:

- Proposed solution/project
- Funding application guidelines (see Organisational Compliance (p71) regarding eligibility criteria)
- Funding body's expectations.

Always check the funding application guidelines to see if you are able to explore collaborative opportunities.

If in doubt, contact the funding body to seek clarification.

Choosing A Collaborative Partner

When identifying organisations or individuals for potential collaboration consider if:

- You share common ideologies, interests and ways of working
- There is shared respect
- You have clear expectations about what each organisation:
  - Brings to the collaboration
  - Hopes to get from the collaboration
- You have processes in place to work through potential conflicts (see Building Relationships (p123)).

Identify key people from your respective organisations and establish a small working group to:

- Identify and allocate the key writing tasks
- Assign a key person to coordinate the development of the funding application
- Schedule regular meetings to review and discuss progress
- Assign overall responsibility to one person to submit the funding application.

References & Resources

- The Australian Government Department of Social Services. (2007). Partnering with Community Organisations: A Toolkit for Small to Medium Sized Businesses. Canberra: ACT. Although this toolkit is designed for businesses partnering with community organisations, it also has applicability for alcohol and other drug organisations working with others. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Hunt, J. (2013). Engagement with Indigenous Communities in Key Sectors. Resource sheet no. 23. Produced for the Closing the Gap Clearinghouse. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- National Congress of Australia's First Peoples. (2013). Principles for a Partnership-Centred Approach for NGOs Working with Aboriginal Organisations and Communities in the Northern Territory. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- National Resource Center. (2010). Partnerships: Frameworks for Working Together. Downloaded from The Strengthening Nonprofits: A Capacity Builder's Resource Library Website- http://strengtheningnonprofits.org/resources/guidebooks/Partnerships.pdf
- New South Wales Department of Community Services. (2009). Working with Aboriginal People and Communities. A Practice Resource. New South Wales Department of Community Services, Ashfield: NSW National Congress of Australia's First Peoples. (2013). Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Tennyson, R. (2011). The Partnering Toolbook (4th ed). International Business Leaders Forum. Dowloaded from http://www.nada.org.au/media/25076/partnering-toolbook-en-20113__2_.pdf
- The Center for Nonprofit Excellence Website contains checklists, tools for successful collaborations, and tips on successful relationships. Visit http://thecne.org/collaboration
- The Good Project Website. (2013). The Good Collaboration Toolkit: An Approach to Building, Sustaining, and Carrying out Successful Collaboration. Downloaded from http://thegoodproject.org/wp-content/uploads/2012/09/Good-Collaboration-Tlkt-v3_Edited-2.pdf
- The Mental Health Coordinating Council Website. The Seven Stages of Partnership Development. Downloaded from http://www.mhcc.org.au/sector-development/promoting-partnerships/7-stages-of-partnership-development.aspx
- VicHealth. (2011). The Partnership Analysis Tool and Checklist. Downloaded from http://www.vichealth.vic.gov.au/Publications/VicHealth-General-Publications/Partnerships-Analysis-Tool.aspx
- Victorian Department of Human Services. (2010). Sharing Strengths. How Community Organisations Can Work Together to Access Information and Support Services. Office for the Community Sector Department of Planning and Community Development: Melbourne. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

YouTube Video

- The Artmadillo. (2010). Effective Team Work & Collaboration. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 6.3 Activity

Activity 6.3.1 Identify Collaborative Opportunities

Read and complete the activities in:

- The Good Project's Collaboration Toolkit - http://thegoodproject.org/wp-content/uploads/2012/09/Good-Collaboration-Tlkt-v3_Edited-2.pdf
- The Partnering Toolbook (4th ed) - http://www.nada.org.au/media/25076/partnering-toolbook-en-20113__2_.pdf

Section 6.4 Identifying Risk

Organisational Risk

Managing risk is not crisis management. It requires thinking proactively about what risks may arise. There are many such risks.

Risks may be internal or external and include legal, economic, contractual, operational, and political risk.

Organisations should have a range of risk management policies and plans to reduce the:

- Likelihood of the risk occurring
- Consequences of the risk.

Ask the funding body if they want this information in your application. Attach your risk management policies as appendices or a link.

Program and Project Risk

Risk management is a formal part of contract management. It takes resources to develop and maintain.

Planning for Risk

Risk management plans are formal, written documents which:

- Provide information about potential risks (category, probability and impact)
- Allocate staff roles and responsibilities for monitoring, controlling, and reporting risk
- Outline the plan for reducing risk occurrence and impact.

Risk Mitigation

Processes involved in risk mitigation include:

- Identifying the risk/s
- Assessing the probability, nature and scope
- Developing plans to respond to the risk, for example:
  - Contingency plans are predefined actions if an identified risk event occurs
  - Fallback plans are developed for risks that have a high impact on meeting project objectives, and are implemented if attempts to reduce the risk are not effective
- Contingency reserves or allowances held by the project sponsor or organisation to reduce the risk of cost or schedule overruns to an acceptable level.

Develop a Risk Management Plan

To manage the risks inherent in your proposal, it is necessary to develop a risk management plan which monitors, controls, and reports on risk.

- Create a risk register (using an Excel spread sheet) to help you identify project risks, analyse risk severity and document possible solutions
- Use the risk registers to better manage risks
- Clearly describe the activities you will undertake
- Identify how you will manage changes in scope throughout the contract period
- Identify what may cause a risk to eventuate
- Develop appropriate responses to risky situations
- Analyse the level of risk tolerance accepted by the funding body.

Failure to manage risk may negatively impact:

- The services provided to the community
- Your relationship with the funding body
- The long term sustainability of your organisation.

The most common project risks are detailed in Table 6.2.

Table 6.2 Common Project Risks

Type of Risk	Managing or Reducing Risk
Scope risk Scope risk eventuates when the boundaries of your project are not clearly defined. The scope of your application is defined by your: • Objectives • Goal • Phases • Tasks • Resources • Budget • Limitations and parameters (e.g., you only provide counselling to men aged over 18 but workers start seeing anyone who presents at your clinic). • Schedule	Defined deliverables or performance indicators, objectives, activities, consumers, geographic area, and hours of operation are clearly communicated to stakeholders, senior management and team members. Objectives are tangible and reflect your organisational objectives.

Table 6.2 continued over page

Table 6.2 Common Project Risks (cont.)

Type of Risk	Managing or Reducing Risk
Cost risk The costs which you have provided in your budget may be affected by internal and external factors (e.g., increases in salaries; increases in utility/transport costs).	Make sure you clearly specify the resources and materials needed. If the contract period is long, factor in increases for fluctuating costs. When providing estimates for material expenses, use the upper estimates. Include a contingency amount. Prepare an exhaustive budget with line items for your proposal. Establish good accounting procedures.
Schedule risk Scheduling phases and activities enables: • You to manage changes throughout the contract period • Goal setting and the development of critical paths • Clarity in reporting requirements. Achieving timelines and agreed critical paths may be difficult if there is extensive reliance on external parties or materials.	**To minimise schedule risks:** • Break down the flow of activities into small, clearly defined components • Allocate relatively short timeframes for each component. When formulating the critical path, ensure that holidays are built into the equation. Wherever possible, include projected periods of high demand.
Performance risk Performance risk arises when activities fail to produce anticipated results and/or there is a failure to complete an activity on time.	Make objectives tangible, feasible, and credible. Construct a schedule to identify priority activities. Identify potential red tape impediments (e.g., financial or ethical approvals) that may impact on the performance of your activities.

Table 6.2 continued over page

Table 6.2 Common Project Risks (cont.)

Type of Risk	Managing or Reducing Risk
Governance risk Governance and decision risk usually occur where an organisation's governance and decision-making structures are not clearly articulated or communicated to staff, funders, consumers and the community.	Develop a governance model for your proposal which describes the roles of team members and decision-making process. Describe the ground rules for participation in the program and the processes for sharing information with the rest of the organisation. Be specific about the commitment expected from Board members, external stakeholders, and team members.
Strategic risk Strategic risks may result from: • Choosing a technology which does not work for outreach services • Proposing activities that are inflexible and/or inaccessible to consumers • Not being able to secure infrastructure support or cooperation from other parties to successfully execute your proposal.	Clearly state how the proposed services will be provided and highlight the beneficial outcomes for consumers. Conducting a community needs assessment and a review of the program/service you are implementing will help you to minimise any feasibility or design risks.
Legal risk Alcohol and drug organisations may encounter many legal and regulatory obligations, as well as contract risks.	Your organisation's policies and procedures may need to be adapted to reduce legal risk. Make sure these policies and procedures are continuously reviewed and implemented for all activities and program.
Environmental risk Environmental risks are risks associated with external hazards, including storms, floods; earthquakes; vandalism.	Organisations have little control over environmental risks. Ensure your organisation has adequate insurance cover.

Table 6.2 continued over page

Table 6.2 Common Project Risks (cont.)

Type of Risk	Managing or Reducing Risk
Resource risk Resource issues such as staff turnover and inadequate access to education and professional development are common risks. There is always a risk that your key experts or senior staff will leave and that your team are inexperienced or need to acquire new skills. In addition, you may need to invest in new materials, technology, or resources to replace outdated or unreliable equipment.	Develop policies and procedures to manage organisational and staff changes. Estimate costs accurately Do not place undue expectations on the capacity of the staff to undertake the proposed activities. Ensure any contracted and/or collaborative work is clearly defined in contracts and memoranda of understanding. Ensure sufficient funds have been requested for: • Training and professional development • New materials and technology required to conduct the proposed work.
Interpersonal conflict risk Conflict management may arise with a number of internal and external stakeholders throughout the development of the funding application.	Develop conflict management strategies and train staff in conflict management techniques.

If you are having difficulty in developing risk management plans for your program or service, consult similar agencies, advocacy groups, or a professional service to develop such a plan. Consulting a professional service may involve a development cost and then a yearly review.

References & Resources

- Australian Council on Healthcare Standards (ACHS). (2013). Risk Management and Quality Improvement Handbook. Ultimo: NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Australian Government Comcover. (2010). Factsheet 1: AS/NZS ISO 31000:2009 - Risk Management – Principles and Guidelines. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Newdick, D. (2011). Risk Management and ISO 31000. Downloaded from http://www.slideshare.net/dougnewdick/risk-management-and-iso-31000
- NSW Government Department of Education and Communities Volunteering Website. This website contains links to a useful risk management tool and contains a number of examples and templates that can be adapted to suit the specific needs of individual organisations. Visit http://www.volunteering.nsw.gov.au/organisations/running-an-organisation/risk-management
- Our Community Website: Helpsheets, Checklists, and Policies for Risk Management. Visit http://www.ourcommunity.com.au/insurance/insurance_article.jsp?articleId=1245
- Our Consumer Place Website - http://www.ourconsumerplace.com.au/consumer/helpsheet?id=3510
- Risk Management Services, RiskCover. (2007). Can You Risk It? A risk management initiative of the Government of Western Australia. Insurance Commission of WA: Perth, WA. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- South Australian Government Department of Premier and Cabinet Website. This website provides information and training resources on risk management responsibilities and legal obligations for organisations. Downloaded from https://www.sa.gov.au/topics/community-support/community-organisations/managing-a-community-organisation/risk-management
- Standards Australia. (2009). AS/NZS ISO 31000:2009, Risk management - Principles and guidelines. Sydney, NSW. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- The Community Door Website - http://www.communitydoor.org.au/risk-management
- Victorian Managed Insurance Authority (VMIA). (2010). Risk Management For Community Service Organisations. Melbourne, Victoria. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Volunteering Australia. (2003). Running the Risk: Risk Management Tool for Volunteer Involving Organisations. Australian Government Department of Family and Community Services: ACT. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 6.4 Activity

Activity 6.4.1 Identify and Manage Risks

List all the possible risks associated with your proposal. Consider the likelihood and consequences of the risks eventuating.

Develop a plan to reduce the chances of any risk which may impact the successful delivery of your proposal. Plan how you can either prevent the risk from eventuating and/or develop strategies to reduce the impact of the risk if it does occur.

Develop a risk register and assign responsibility to a staff member to ensure the risk is monitored and managed.

Complete the table below.

Risky Event	Consequences	Who Will be Impacted?	Probability of Risk Occurring			Level of Control			Risk Management Plan	Risk Mitigation Plan	Responsible Person
List all Possible Events	**List all Possible Consequences**		**High**	**Med**	**Low**	**High**	**Med**	**Low**	**How do you prevent the risk from occurring?**	**How do you reduce the consequences of the risk?**	

Activity 6.4.1 continued over page

Activity 6.4.1 Identify and Manage Risks (cont.)

As many of the risks which may be associated with your proposal are also likely to be linked to other activities undertaken by your organisation, it is possible that your organisation already has plans in place to manage and reduce these risks.

List all the policies that your organisation currently has in place to manage risks.

Are all staff familiar with these policies?

☐ YES ☐ NO

Where can staff access these policies?

Are these suitable to reduce the likelihood and consequences of the risk occurring for your proposed activities?

☐ YES ☐ NO

If the policies are not suitable, do the current policies need to be adapted or will you need to develop others?

Section 6.5 Setting Objectives and Measuring Outcomes

Your proposal's objectives will be informed by:

- The funder's priorities and goals
- Your identified need
- Your organisation's mission and vision.

There are at least four types of objectives (Table 6.3). Depending on the nature of your project, applications may include more than one type of objective.

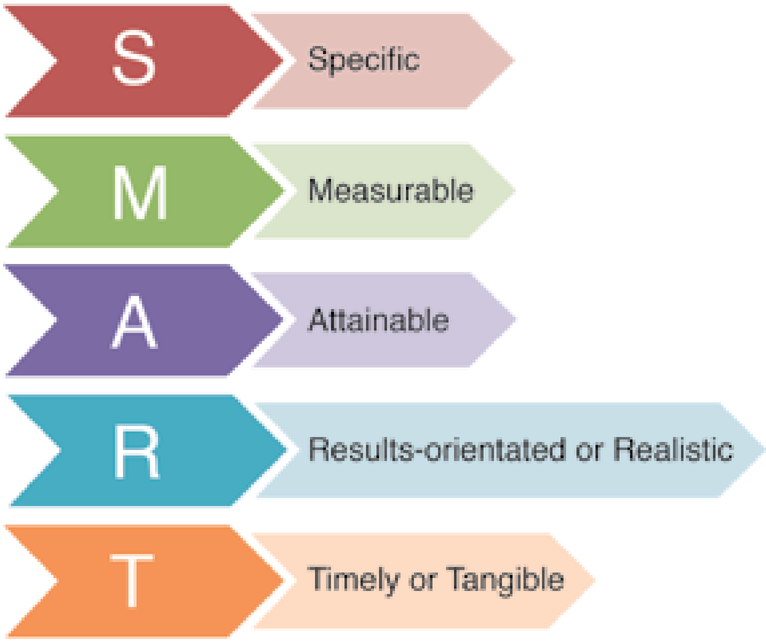
Present the objectives clearly, making sure that they stand out on the page. Where possible, use numbers, bullets, or indentations to clearly denote the objectives in the text.

Table 6.3 Types of Objectives

Objective Type	Outcome
Behavioural	A human action is anticipated
Performance	The behaviour will occur within a specific timeframe and at an expected level of proficiency
Process	How the actions were implemented is an end in itself
Product	A tangible item results

Warning: Make sure you set realistic objectives. Don't promise what you can't deliver. Failing to fulfil your objectives may hinder future funding applications.

SMART Objectives



One way of writing the objectives for your application is to use the S.M.A.R.T method.

Specific objectives should answer 6 questions:

1. **Who** - Who is involved?
2. **What** - What do I want to accomplish?
3. **Where** - Identify a location
4. **When** - Establish a timeframe
5. **Which** - Identify what activities you will undertake and the resources and materials you need
6. **Why** - Detail the reasons, purpose or benefits of the goal.

For measurable objectives you must establish criteria for measuring progress. To determine if your goal is measurable, ask:

- How many?
- How much?
- How will I know when it is accomplished?

Attainable objectives help you prioritise your actions and activities and establish what you need to do to accomplish your goals. To determine if your goal is attainable, ask:

- How can it be done?

Your objectives should be realistic. Only you can decide how high you should aim. Consider what you are both willing and able to do. Ask yourself:

- What have you accomplished previously?
- Why does it matter?

Timely objectives are grounded within a timeframe. Otherwise there is no urgency or priority given to your activities. They incorporate short and medium term objectives. Consider:

- What conditions need to exist for the goal to be accomplished?
- By when?

Tangible objectives may be the production of reports, brochures, community events, or the implementation of a new service or extension of an existing one.

Measuring Outputs and Outcomes

Funders are accountable for the money they donate to organisations and increasingly request information about the organisation's operations, activities, outputs, and outcomes. Measuring outcomes is therefore an important component of service delivery and managing your funding.

Alcohol and other drug non-government organisations should proactively allocate resources into developing and maintaining output and outcome measurement processes to ensure the organisation can:

- Articulate their processes for continuous quality improvement
- Quantify results if they want support for ongoing programs.

When assessing your proposal, funders will expect you to outline an evaluation plan. Your evaluation plan will need to identify:

- The activities undertaken
- The services or products created
- Your key performance indicators
- How your results will be evaluated.

Answer the questions:

- What did we do?
- How did we do it?
- What did it achieve?
- What could we improve on?

Outcomes

An outcome is the end result of a program. It may be intended or unintended and can be either positive or negative. Outcomes are ways of measuring whether your program or practice has achieved its aims.

Specifying outcomes will give you opportunities to measure the success of the program. You can break down the outcomes into indicators which will also enable you to track how the program is progressing.

For alcohol and other drug agencies, outcomes may include both changes in consumer health as well as improvements in staff knowledge and service quality.

An outcome statement should be specific, focused, easily interpreted, and:

- Identify the intended result(s) of the agency, with the level of achievement against the intended result(s) being measured
- Specify the target group(s) of the program/service
- Specify the activities undertaken by the agency that contribute to the achievement of the intended result(s).

Focus on the positive outcomes your proposal may achieve and identify what improvements are likely.

Such outcomes may include:

- How your proposal may strengthen the community
- Increased collaboration between community services sectors
- Improved access to and quality of services
- Improvements in client health, housing and other experiences.

Features of Good Proposals

A good proposal will demonstrate to funders that you:

- Know your community
- Collaborate with others to accomplish the best results for your community and consumers
- Are knowledgeable about the best methods to employ and/or innovative in your approach
- Have identified objectives and outcomes and are committed to achieving them (Table 6.4).

Table 6.4 Measuring Good Proposals

Features of Good Proposals	Evaluation Criteria
Know your community Identify your targeted need using information obtained from local sources, literature reviews, and government policies Demonstrate that your proposal's objectives address the need and align with your funder's priorities	**WHY?**
Work together - who can help? Outline which organisations and community members will be involved in the planning, development and implementation of your proposal Demonstrate that your proposal involves a broad range of stakeholders and will contribute to increased cooperation between services Demonstrate how the input of volunteers strengthens your proposal Outline how your proposal will enhance the wellbeing of community members and incorporate strategies for involving disadvantaged and marginalised populations in the design and management of your proposal	**WHO?**
Try new things - is everyone involved? Demonstrate what you have provided before and what new services and/or processes you will be employing to maximise impact Provide information which details the success and/or gaps in current services provided Emphasise how your approach is different and why it is needed	**HOW?**
Will it make a lasting difference? Explain how your proposal will provide a lasting positive impact for the wider community beyond the direct funding period Detail how you will monitor progress and assess impact	**WHAT WILL IT ACHIEVE?**

References & Resources

- Centre for Excellence in Child and Family Welfare Website: Innovative Practice Toolkit - http://www.cfecfw.asn.au/know/research-and-evaluation/research-and-evaluation-supports/toolkit
- Department of Human Services, Victoria. Evaluation for community organisations web resource. Downloaded from http://www.dhs.vic.gov.au/for-business-and-community/not-for-profit-organisations/evaluation-for-community-organisations
- DocStoc Website - http://www.docstoc.com/
- Flinders University Planning and Evaluation Wizard (PEW) developed by the SA Community Health Research Unit (SACHRU) includes a number of evaluation tips and tools primarily for health promotion and primary health care activities - http://www.flinders.edu.au/medicine/sites/pew/
- Free Management Library Website: Basic Guide to Outcomes-Based Evaluation for Nonprofit Organizations with Very Limited Resources - http://managementhelp.org/evaluation/outcomes-evaluation-guide.htm#anchor30249
- Marsh, A., Dale, A., & Willis, L. (2007). Evidence Based Practice Indicators for Alcohol and Other Drug Interventions: Literature Review. Western Australia Drug and Alcohol Office. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
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- NSW Department of Families and Community Services. (2012). Measuring Outcomes in Community Care. Downloaded from http://www.adhc.nsw.gov.au/__data/assets/file/0005/241664/51_Measuring_outcomes_in_community_care_report.pdf
- Simpson, M., Lawrinson, P., Copeland, J. & Gates, P. (2007). The Australian Alcohol Treatment Outcome Measure (AATOM-C): Psychometric properties. National Drug and Alcohol Research Centre (NDARC), University of New South Wales. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Teesson, M., Clement, N., Copeland, J., Conroy, A., & Reid, A. (2000). The measurement of outcome in alcohol and other drug treatment: A review of available instruments. National Drug and Alcohol Research Centre (NDARC), University of New South Wales. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- The Community Toolbox Website: Logic models - http://ctb.ku.edu/en/table-of-contents/overview/models-for-community-health-and-development/logic-model-development/main
- The PerformWell Website - http://www.performwell.org/index.php/identify-outcomes

Section 6.5 Activities

Activity 6.5.1 Your Objectives Checklist

When preparing your objectives, consider the matters below.

	YES	NO
Have you stated your objectives in quantifiable terms?		
Can your objectives be measured as outcomes, not processes?		
Do your objectives specify the results of an activity?		
Have you identified the long term objective(s) for your program?		
Do your objectives identify the target audience or community being served?		
Are your objectives realistic and capable of being accomplished within the specified timeframe?		
Do your aims and objectives link directly to your need statement?		
Have you identified the objectives of each program area (the program areas are the building blocks that make up the overall program)?		
Have you identified the activity(ies) of each program area?		
Are your objectives inclusive of all relevant groups and individuals in your target population?		
Have you allowed plenty of time to accomplish the objectives?		

Activity 6.5.1 continued over page

Activity 6.5.1 Your Objectives Checklist (cont.)

	YES	NO
Have you determined how you will measure the change projected in each objective? If an objective cannot be measured, it may need to be changed.		
Have you determined how you will know when the objectives are met (performance indicators)?		
Have you budgeted for the evaluation (measurement) of your objectives?		

Activity 6.5.2 The Objectives Worksheet

Complete the questions below to outline the objectives of your proposal and its activities.

These questions have been adapted from the DocStoc Website: http://www.docstoc.com/. This wesbite also contains a range of resources which may be useful for improving your organisation's funding application processes.

Specific Objective: What do you want to achieve?

Strategy: How do you intend to achieve this?

Performance Outcome: How can achievement be measured or confirmed?

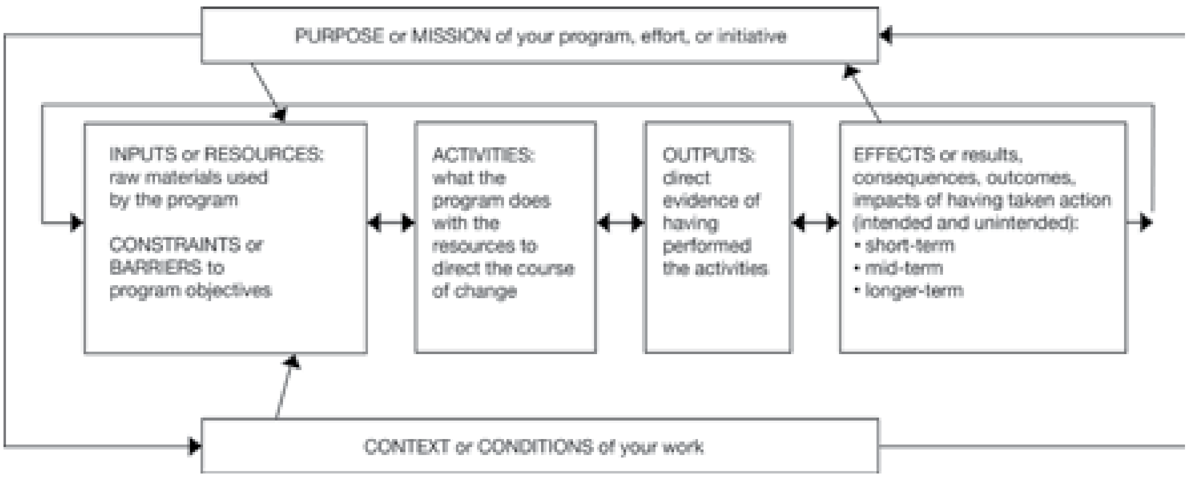
Timeline: When do you expect to achieve the outcome?
May include short-, medium-, and long-term objectives. Include estimated dates if possible.

Activity 6.5.3 Develop a Logic Model

Logic models present a picture of how your proposal is intended to work. They quickly explain to the funder:

- Why your strategy is a good response to the identified need
- What activities you will implement
- The results you expect to see.

An example of a logic model is provided below. For more information about logic models, visit The Community Toolbox website: http://ctb.ku.edu/en/table-of-contents/overview/models-for-community-health-and-development/logic-model-development/main.



Activity 6.5.4 Identify short-, medium-, and long-term outcomes

Outcomes often evolve as you develop your evaluation plan. Follow the steps below to identify the outcomes you want to achieve on the way to meeting your objectives. Make sure your outcomes are meaningful as this helps keep people motivated and allows them to focus on the destination rather than just how to get there.

Step one: Create a detailed summary statement outlining all the outcomes you would like to achieve.

Link your outcomes to the original aims of your proposal. Include all the changes you would like to see as a result of the intervention.

Record what has been observed that indicates an outcome has progressed. To help ensure that monitoring and evaluation occur, incorporate these processes into your logic model.

Activity 6.5.4 continued over page

Activity 6.5.4 Identify short-, medium-, and long-term outcomes (cont.)

Write your statement here.

Step two: Link short-, with medium- and long-term outcomes.

Link the short-, medium- and long-term outcomes by asking what short-term outcomes need to occur for the medium-term outcomes to occur, and what medium-term outcomes need to occur for the long term outcomes to occur.

Identify short-term outcomes - what would you expect to occur in your organisation and target group in 0-6 months?

Identify medium-term outcomes - what would you expect to occur in your organisation and target group in 6-12 months?

Identify long-term outcomes - what would you expect to occur in your organisation and target group in 12+ months?

Step three: Pursue SMART and meaningful outcomes

Ensure the outcomes you have identified are specific, measurable, attainable, realistic and timely. Discuss your expectations with your team to make sure they understand and share your expectations. If your team do not share your expectations or think the outcomes are SMART, you may want to revisit them.

Have you discussed your expectations with your team?

☐ YES ☐ NO

Do they think the identified outcomes are SMART?

☐ YES ☐ NO

It is essential to check with your team to confirm they will measure what you want them to measure.

Have you checked with your team and clearly worked through the processes involved in measuring your outcomes?

☐ YES ☐ NO

Section 7
Your Budget

Section 7 Your Budget

"It's clearly a budget. It's got a lot of numbers in it."

"We didn't actually overspend our budget. The allocation simply fell short of our expenditure."

This section outlines how to develop a comprehensive, compliant budget for your funding application. Your budget may be presented as a simple one-page statement of income and expenses (plus budget justification, see below) or a complex set of budget papers, including explanatory notes and detailed revenue or expense items.

Your budget:

- Is one of the most important sections of your application
- Must detail how much your proposal will cost to deliver and how much funding you are requesting
- Is completed after you have:
  - Planned your proposal
  - Identified the staff, operating needs, and other costs required to deliver the proposed project, program or service
- Needs to be precise, accurate, and transparent.

Pay particular attention to all aspects of your budget. It is the part of funding applications which often lack sufficient detail, contain mathematical errors, or misses key components. Be honest about your proposed expenditure and income and have it checked by an independent reviewer. Your budget needs to clearly:

- Show the total costs involved in delivering your proposal
- Indicate the amount of in-kind support provided
- State how much funding you are seeking (i.e., your "price")
- Demonstrate how the funding will be allocated
- Justify the funding amount requested.

Budget Criteria

Carefully read the budget criteria in the application guidelines when planning your proposal and identifying resources.

Look for:

- Exclusion of types of expenses (e.g., no overhead costs allowed)
- Spending caps on certain expenses (e.g., travel limited to $10,000)
- Overall funding limits (e.g., total costs cannot exceed $300,000 per year)
- Whether your budget should be GST inclusive or exclusive.

Your funding request MUST comply with all limitations.

Determining Budget Costs

Identify all costs that are necessary and reasonable to execute your proposal. All costs should be in proportion to the anticipated outcomes. Ask yourself whether the costs are:

- Allowable?
- Able to be allocated to an activity or resource?
- Reasonable?
- Necessary?

Common costs are detailed in Table 7.1.

Table 7.1 Common Budget Items

Personnel costs	Non-personnel costs
Salaries	Travel
Benefits	Equipment
Consultants, partnerships, and consortiums	Printing
Training and professional development	Overheads
In-kind costs	
Contingencies	

In-Kind Costs

Your in-kind costs are any of your resources that will be used to deliver your proposal but for which you are not seeking funding. For example:

- Your activities may be delivered by volunteers
- Overhead costs may be provided in-kind.

Estimate the costs of these contributions and inform the funder. Emphasise that your organisation is not seeking funding for these items.

In-kind costs demonstrate to the funder that your proposal:

- Offers value for money
- Is sustainable as your organisation is also contributing to its delivery.

Contingencies

Set aside a portion of your budget (usually 10%) for contingencies and unpredictable demands (e.g., recruitment advertising, staff training).

If your anticipated costs exceed the amount allowable in the application guidelines, you will need to:

- Make decisions about those activities that are not essential to your proposal
- Identify where you might seek additional funding or support from other sources.

Prioritising Features

Depending on the available funds, you may need to prioritise:

- How much service and/or how many services you can provide
- How many staff you can support
- The achievable outcomes.

If the costs of your proposal are prohibitive consider:

- Scaling back your plans
- Removing the least cost-effective expenditures
- Approaching other funders to support some components.

National Standard of Accounts

It may be beneficial to refer to the National Standard Chart of Accounts, available from the FundAssist website (http://www.FundAssist.flinders.edu.au), as a reference when completing budgets. The National Standard Chart of Accounts is an agreed list of accounts and definitions used by Australian Governments when requesting financial information from not-for-profit community organisations. The Not for Profit Accounting Specialists website, http://www.nfpas.com.au/resources/standard-chart-of-accounts.html, contains training manuals for some states and territories.

Warning: Do not reduce your estimates without reducing your program of work as this will contribute to the risk of the project either not being completed or a quality service not being provided. When assessing your proposal, the funding body will be quick to recognise these risks. Significant over- or under-estimates suggest that you may not have fully assessed the scope of the work.

Budget Justification

A budget justification (or budget narrative) is an essential part of your application. It describes each budget item and justifies why each item is needed and how much each item will cost.

A budget justification:

- Explains the rationale behind each expenditure line
- Indicates how your budget is cost effective and offers value for money.

It may include explanations about:

- The roles and tasks of the staffing positions, as they relate to the proposed program of work (i.e., what they will do)
- Any proposed travel and accommodation costs (i.e., why, where, how often, how long with precise details of costs involved)
- Any new equipment purchases (i.e., what it is, why you need it, how it will be used).

Your budget justification section should:

- Explain all line items in the budget
- Indicate how your proposed expenses are reasonable and necessary for the conduct of the proposed service/program
- Highlight how your budget is cost effective and offers value for money
- Outline the in-kind support offered by partnering organisations, senior team members, or volunteers in your budget justification and indicate the proportion of the overall cost of the proposal that this represents.

If costs are very straightforward and transparent, a justification may be redundant. Do not assume this to be the case. Even apparently simple budgets may require a budget justification section. Check with the funding body about their expectations.

Review Your Budget

Complete Activity 7.4 Your Budget Costs Checklist (p185) to make sure your budget:

- Complies with the funding application guidelines
- Details all the costs associated with delivering your proposal
- Is accurate, specific, reasonable, and transparent.

Double check: Make sure the amount of funding requested equals the proposed expenditure for your proposal.

TIPS: Your Budget

- You can not complete your budget until you have planned your services/program and identified the staff and/or operating needs required.
- Be precise — a budget for $19,870 is more precise than a request for $20,000 and indicates the care and precision you have taken with the proposal and budget.
- Set aside a portion of your budget for contingencies and unpredictable demands (e.g., fluctuations in user needs such as out-of-hours care, recruitment advertising, staff training).
- Plan your budget so that it takes into account periods of high service demand/needs.
- Refer to the National Standard Chart of Accounts (available from the FundAssist website (http://www.FundAssist.flinders.edu.au) as a reference when completing budgets.
- Prior to submitting your application, double check your budget to make sure that your anticipated costs/expenditure do not exceed the funding application budget, or any limits of subsections within it.

References & Resources

- Australian Government Department of Health Budget Template. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- National Institutes of Health Website - https://grants.nih.gov/grants/grants_process.htm
- National Standard Chart of Accounts. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Not for Profit Accounting Specialists Website - http://www.nfpas.com.au/
- Sample Voluntary Labour and In Kind Support Form. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- The Foundation Center Website - http://foundationcenter.org/getstarted/tutorials/prop_budgt/
- The Social Signal Website - http://www.socialsignal.com/blog/alexandra-samuel/how-create-budget-estimates-proposals-and-project-management
- The University of California Los Angeles. (2008). Proposal Preparation and Submission. Module 2. Budget Basics. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

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- Jefferson Public Citizens. (2012). Application - Part Two: Budget, Work Plan, and Team Member Apps. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- EHow Finance. (2009). Making a Budget: Developing a Project Budget. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 7 Activities

Activity 7.1 Check the Funding Guidelines

Look for limits to the overall amount requested, staff costs, travel costs, and overheads.

Do the application guidelines specify any limits for funding requests?

☐ YES ☐ NO

If no - double check. Contact the funding body and discuss any limitations which may apply.

Make sure you comply with the guidelines about asking questions.

If, yes - write the items which will not be funded and/or limits to the items which may be claimed in your application below.

Activity 7.2 In-Kind Support Form

Complete the table on the next page, noting all the in-kind support required to successfully implement your proposal. Remember, in-kind support includes both time and resources donated by volunteers, Board members, local businesses, community members, and staff.

Activity 7.2 continued over page

Activity 7.2 In-Kind Support Form (cont.)

Proposal Name:

Details of In-Kind Support:

Activity	Skills/qualifications needed	Volunteers/staff member allocated	Number of hours	Rate per hour	Total

Activity 7.3 Your Budget Template

Your budget should include all the costs associated with delivering your proposal. It should clearly detail:

- The actual staff, resources, and materials required and explain why these are needed
- The proportion of funding requested.

You can adapt or delete the examples as you fill out the table with your own project details.

	Salary (Per Annum (PA)) +	On-Costs % (PA)	Time Allocated (FTE and Proposal Period)	Sub-Total	Amount Requested
Staff (example)	34,000 (+)	17% oncosts (=) $39,780	9 month project @ 60% FTE (39,780*60%) = $23,868 PA ($23,868/12 months) = $1,989 per month	$17,901 (= 1,989*9)	$17,901
Staff (example)	34,000 (+)	17% oncosts (=) $39,780	9 month project @ 60% FTE (39,780*60%) = $23,868 PA ($23,868/12 months) = $1,989 per month	$17901 (=1,989*9)	(In Kind)

Activity 7.3 continued over page

Activity 7.3 Your Budget Template (cont.)

Other costs involved

List all the other resources, materials, and products that your proposal will require. Also include a contingency amount (generally about 5–10% of the budget) to allow for any unexpected or increases in costs and an amount for overheads. Note what will be provided in-kind. If you are providing your overheads as an in-kind cost, make sure you write it down so the funding body may fully appreciate the value of your proposal.

Other Items	Salary (Per Annum (PA)) +	On-Costs % (PA)	Time Allocated (FTE and Proposal Period)	Sub-Total	Amount Requested
Total					

Activity 7.4 Your Budget Costs Checklist

Review the costs you have included in your budget against the funding application guidelines and your proposal. Make sure:

- You have costed all the resources and materials needed to deliver your proposed activities in your budget
- The costs included are:
  - Allowable
  - Reasonable
  - Necessary
  - Justified.

	YES	NO
Are all costs allowable?		
Does the budget include all the activities outlined in your project/ service delivery plan?		
Have you included all the income and expenditure related to your proposed activities? You cannot ask for additional costs later.		
Are all personnel and non-personnel items related to the delivery of your proposal (refer to Table 7.1 Common Budget Items (p176)) listed?		
Are your budget estimates accurate, specific, realistic, and transparent?		
Can you allocate the estimated costs to a specific activity or product?		
Are all costs reasonable?		
Do the proposed costs reflect appropriate rates of pay, on-costs, penalty rates, and projected increases (e.g., consumer price index increases)?		
Are all costs necessary?		

Activity 7.4 continued over page

Activity 7.4 Your Budget Costs Checklist (cont.)

	YES	NO
Have you justified all the costs in a budget justification statement?		
Have salaries and on-costs, supplies and equipment, operating and transportation expenses been included?		

Limits on Expenses (see Activity 7.1 Check the Funding Guidelines (p181))

	YES	NO
Do the application guidelines specify any limits on the types of expenses which may be claimed (e.g., no infrastructure costs)?		
Do the application guidelines specify any limits on certain expenses (e.g., travel limited to $10,000)?		
Do the application guidelines specify any limits on overall funding amount (e.g., total costs cannot exceed $300,000 per year)?		

Salaries & Professional Development

All personnel from your organisation who will be involved in your proposal should be listed on the personnel budget along with their base salary, oncosts, and the amount of time they will be contributing to the proposal as a fraction of their full-time equivalent salary (see Activity 7.3 Your Budget Template (p183)).

The assessment panel will consider the amount of time you have listed for each of the senior/key personnel and will judge whether the figures accord with their expectations, based on the program proposed.

	YES	NO
Have you provided estimates for on-costs?		
Have you indicated how much time each staff member will be allocating to the proposal?		
If staff need to complete training to deliver your proposal, have you provided an estimate for training and development?		
Have you included any costs associated with backfill? If no, add an additional 30% to on-costs for backfill where relevant and where allowed.		

Activity 7.4 continued over page

Activity 7.4 Your Budget Costs Checklist (cont.)

	YES	NO
Variable Costs		
Are any of the costs variable (e.g., are salaries likely to increase over the proposal period)?		
If yes, have you explained what the potential variances are?		
Have you advised the funding body that due to the potential variances, the estimates provided will need to be reviewed at a future date?		
Does the funding body allow you to include overheads, or indirect costs in your budget?		
Equipment & Sub-Contracting		
Have you included costs associated with hiring and/or buying equipment and materials or sub-contracting?		
If yes, have you obtained multiple quotes (if required)?		
Have you indicated how these items are necessary to fulfil the aims of your proposal?		
Have you factored in the highest quote in your budget just in case the lower priced item is not available when you are executing your project?		
Have you listed both new costs that will be incurred if your proposal is funded as well as any ongoing expenses for items that will be used as part of the proposal?		
Travel		
Have you factored in all costs associated with travel: airfares, accommodation, car hire, petrol, and food?		
Have you quantified how many trips are needed?		

Activity 7.4 continued over page

Activity 7.4 Your Budget Costs Checklist (cont.)

	YES	NO
Consultants, Consortium, and Partnership Costs		
Have you provided an estimate for any costs associated with establishing partnerships?		
Actual Costs vs Requested Amount		
In-kind costs: Even if personnel and/or volunteers will not be paid from the funds being sought, it is important to provide an estimate of the time that these team members will contribute to the program of work (use Activity 7.2 In-Kind Support Form (p181)). Have your provided an estimate for in-kind costs?		
Have you differentiated between cost (i.e., actual costs incurred) and price (i.e. , the proportion of the proposal you are asking the funding body to provide)?		
Other Items		
Are there any other items that need to be included as part of your budget (e.g., printing, advertising costs)?		
Have you provided an estimate for indirect or overhead costs incurred as part of your service delivery (e.g., utilities, rent, insurances)?		
Are your budget items grouped into sub-categories which reflect the critical areas of expense?		
Have your proposed costs been rounded off to the nearest dollar amount?		
GST: Do not include GST if your organisation is registered for GST. For information about GST refer to the Australian Taxation Office website - https://www.ato.gov.au/. Have you checked whether your total costs are GST inclusive or exclusive?		
Does this comply with the funding application guidelines?		

Section 8
Writing the Funding Application

Section 8
Writing the Funding Application

This section outlines:

- The core components of a funding application
- Where to use and how to present evidence of need and organisational track record as detailed in Identifying Needs (p11) and About Your Organisation (p23).

Do not write your application until you have:

- Assessed the community's needs (see Identifying Needs (p11))
- Researched the funding body (see Funding Sources (p107))
- Researched and planned your organisation's activities in response to:
  - An identified need
  - Your organisational objectives
  - The funder's priorities
- Determined achievable outcomes
- Developed a budget (see Your Budget (p175))
- Developed your proposal's aims, objectives and activities (see (p191)).

Remember: If your application is hastily written, without careful thought or planning, the funding body may think that your organisation will not be able to successfully execute the program. Complete your planning before you start writing.

The following will assist you to work through, step by step, the process of writing your funding application. This part of the resource contains the following sections:

8.1 How To Write Well (p193): Provides advice and guidance to help you write persuasive and effective funding applications.

8.2 An Executive Summary and Cover Letter (p200): Describes how to write an executive summary and covering letter. Always write your executive summary last and provide a brief overview of your application.

8.3 Setting The Scene (p204): Describes how to write a background to inform the funding body about the:

- Problem which exists and why it should be addressed

- Solution proposed by your organisation
- Objectives to be achieved.

8.4 Describing Your Proposal (p208): Explains how to detail the activities proposed and resources and materials required if your funding application is successful. Your description of your proposed activities serves as a roadmap for the entire project.

It provides:

- Guidance on the prioritisation of activities
- The scope of work
- The processes, policies, and quality standards it will adhere to
- An indication of who your stakeholders are and your communication strategies
- An overview of the broad strategy involved in managing costs and personnel
- How performance and benefits will be measured.

8.5 Demonstrating Your Organisation's Strengths (p214): This subsection applies the information you collated in About Your Organisation (p23). Review the information and select items which highlight your organisation's capacity to successfully execute your proposal.

8.6 Contract Compliance (p222): Outlines common contractual matters and demonstrates how to construct a contract compliance matrix.

8.7 Checking the Application (p226): Provides useful tips and suggestions for checking your funding application prior to finalisation and submission.

Section 8.1 How To Write Well

Persuasive Writing Techniques

Writing successful funding applications requires specific technical writing skills. **You need to write to sell.**

Funding applications are documents of persuasion. To persuade the funding body to invest in your proposal, tell them **what** you are going to do and **why** it will meet their requirements (Table 8.1).

Convince the funder that:

- An urgent and compelling problem exists
- Your solution will address the problem, achieve its objectives, and impact the community
- Your organisation will successfully execute the proposal
- The cost involved is appropriate.

Table 8.1 Explaining the What and Why of Your Proposal

Do not just TELL the funder	Explain and clarify
What the problem is	WHY it is urgent
What activities you will undertake	WHY the activities were selected WHY they will achieve the outcomes and impact the community
What the previous experience of your organisation is	WHY your organisation will successfully meet their expectations and objectives
What the cost of the proposal is	WHY it is value for money

Convincing applications **always**:

- Make a strong entrance
- Stress one important message
- Write from the funder's perspective
- Appeal to the interests of the funder
- Highlight the strengths of your organisation
- Emphasise the benefits of your proposal
- Are concise, easy to follow, and jargon free.

What Is Your Message?

It is easy to get caught up in the process of writing and forget to clearly articulate your key message.

Plan what you will say. Ask yourself six questions before you start to write your funding application:

1. What am I trying to achieve?
2. Who am I writing to and what do I know about them?
3. What do I want to say?
4. How much space do I have?
5. How will my application demonstrate knowledge and competence?
6. How much time do I have to complete my section of the application?

Develop an outline and list the:

- Most important points you want to make
- Information you want to get across
- Facts you want to write about.

Checkpoint: If you start to think "where am I going with this", go back and have a look at what you planned to say.

The Funder's Perspective

You must show that you care about the funding body's reputation and objectives:

- Read, address, and comply with the funding body's application guidelines
- Tailor the application, even if the proposal is for a continuation of services, to the items specified in the funding guidelines
- Highlight how your organisation's and application's objectives correspond with the funding body's objectives
- Demonstrate that your organisation will address the identified need in an evidence-based and financially responsible manner.

Remember: The person assessing your application may have read similar proposals:

- **Capture their attention**
- **Tell them something new and interesting**
- **Present your message creatively**
  - Ask "how can I describe this in a way that people will remember?"
  - A story or case study can be more vivid and memorable than facts alone
- **Know your target audience**
  - Assess their knowledge about the topic
  - Understanding their needs and expectations will help you decide what to include in your application.

No-one is born a good writer. Learning to write well is a skill. It takes lots of practice and requires constructive, critical feedback.

Use the exercises provided to develop and/or hone your writing skills.

References & Resources

- Cioffi, F. (2005). The Imaginative Argument: A Practical Manifesto for Writers. Princeton: Princeton UP
- Frederick, P. (2012). Persuasive Writing: How to Harness the Power of Words. UK: Pearson
- Gitlin, L. N. & Lyons, K.J. (2008). Successful Grant Writing: Strategies for Health and Human Service Professionals (3rd ed). New York: Springer
- Stringfield, M.I. (2013). The Art and Science of Persuasive Grant Writing: An Empirical Framework for Writing Winning Grants. San Diego State University. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- The ReadWriteThink Website: Persuasive Writing Strategy Guide - http://www.readwritethink.org/professional-development/strategy-guides/persuasive-writing-30142.html
- University of Surrey, Writing Skills Resource - http://libweb.surrey.ac.uk/library/skills/writing%20Skills%20Leicester/page_51.htm
- Ward, D. (2006). Writing Grant Proposals That Win. 3rd ed. Sudbury: Jones and Bartlett
- Wason, S. D. (2004). Webster's New World Grantwriting Handbook. Hoboken: Wiley
- Westphal, L. (1999). How to write to sell a service. Direct Marketing, 62(2)

Websites with Writing Exercises

- Online Writing Lab, Purdue University - https://owl.english.purdue.edu/exercises/
- Quicken DocStoc Website - Passive and Active Voice: http://www.docstoc.com/docs/26040045/Passive-and-Active-Voice
- Writing Concise Sentences - Shorten the sentences on the webpage: http://grammar.ccc.commnet.edu/grammar/quizzes/wordy_quiz.htm

You Tube Videos

- Influenceatwork. (2012). Science Of Persuasion. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- TED-Ed. (2013). What Aristotle and Joshua Bell can teach us about persuasion. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 8.1 Activities

Activity 8.1.1 Preparing to Write the Funding Application Checklist

Before you begin writing your funding application, complete the checklist below. If you answer NO to any of these questions, refer back to previous sections in this resource to address them.

	YES	NO
Are you clear about why and for whom you are writing the proposal?		
Do you understand what the funding body for whom you are preparing the application wants?		
Do you know your organisational identity, capacity, strengths and weaknesses?		
Are you able to present a credible track record in relation to financial management, evaluation, technical competence and general management ability?		
Have you comprehensively planned your proposal?		
Can you confidently and succinctly describe:		
› Why your proposal is necessary?		
› What activities you will undertake?		
› What human and material resources are needed?		
› What the outputs and outcomes will be?		
› How you will measure the outputs and outcomes?		
› How much your proposal will cost to deliver?		

Activity 8.1.2 Analyse Your Audience

Read the CIVICUS toolkit 'Writing Effectively and Powerfully,' available from http://www.civicus.org/index.php/en/media-centre-129/toolkits, and complete an audience analysis and answer the questions below.

What does the funding body know about my community's need, proposed solution, and organisation's expertise?

What do they not know?

What do I know about my community's need, proposed solution, and organisation's expertise that they do not know?

Do I need to do any further research? If yes, go back and look at previous sections of this resource.

☐ YES ☐ NO

What are the funding body's attitudes, values and beliefs about my community's need, proposed solution, and organisation's expertise?

What does the funding body expect and need from my application?

Activity 8.1.3 Brainstorm and Develop an Outline

You need to persuade the funding body that your:

- Need is real and urgent
- Proposal will help meet the funding body's goals
- Proposal is methodologically sound and has achievable objectives
- Team and organisation has the necessary skills and experience to successfully implement the proposal and deliver results
- Costs are appropriate.

Activity 8.1.3 continued over page

Activity 8.1.3 Brainstorm and Develop an Outline (cont.)

Where possible, brainstorm with other members of your application writing team and complete the Persuasion Map developed by ReadWriteThink. This resource is also available online at http://www.readwritethink.org/files/resources/interactives/persuasion_map/.

Develop an outline and write what you want to say very briefly:

My topic is…

My target audience is…

My secondary audience is…

My objective is…

My main message is...

I will substantiate it by using these three points...

I will make my introduction interesting by starting off with...

I will lead from my introduction into...

Section 8.2
An Executive Summary and Cover Letter

Executive Summary

An executive summary should be included in all funding applications (unless otherwise stipulated). It is a fundamental part of your application that summarises your application's key information and can help persuade the assessor that your application has merit.

Develop your executive summary after you have finished writing your application. Your executive summary is your “sales pitch”. Assessors will start to form an opinion about your application after reading the first page.

Capture the reviewer's attention and tell them:

- What you want to do
- Why it is important
- Why you will succeed
- How much it will cost.

Your executive summary should:

- Be clear, easy to read, and understand
- Accurately depict the rationale, outcomes, and impacts of your application.

Cover Letter

Include a cover letter on your organisation's letterhead. It should be signed by either the Chair of your Board, the CEO, Executive Director or Executive Officer.

A cover letter lets the funder know:

- The name of your organisation and who to contact about your application
- How much you are applying for
- What your application will deliver.

It needs to be clear and succinct.

Executive summaries and cover letters may not be required for applications submitted via the web or an electronic proforma. Check the funder's guidelines.

References & Resources

- University of Wollongong UniLearning Website contains examples of both well written and poor executive summaries. Visit http://unilearning.uow.edu.au/report/3bii1.html

YouTube Videos

- Michelle J. (2013). Write a Winning Executive Summary. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- McLeod, S. (2012). How to Write a Summary. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 8.2 Activities

Activity 8.2.1 Prepare an Overview of Your Application

Develop an executive summary for your application. Write your summary here. Remember to keep it brief (i.e., less than two pages).

Tell the funding body:

What you want to do

Why it is important

Why you will succeed

How much it will cost.

Activity 8.2.2 Develop a Cover Letter Template

Writing a cover letter is your last task. Organisations can develop proformas to assist in this process. A cover letter should not be more than one page.

Tell the funding body:

The name of your organisation

Who to contact about your application

Activity 8.2.2 continued over page

Activity 8.2.2 Develop a Cover Letter Template (cont.)

How much you are applying for

What your application will deliver

Consider:

Who will sign your cover letter? Write their name here.

Do you have an electronic signature for your organisation's signatory?

☐ YES ☐ NO

If you do not have an electronic signature for your organisation's CEO etc, get one and save it in an accessible location. Write where you have saved the electronic signature here.

Section 8.3 Setting The Scene

When you start to write your funding application it is important to first set the scene. All funding applications should contain a background statement which:

- Introduces the need and emphasises its detrimental impact
- Describes how your proposal will address the need and provide sustainable benefits
- Aligns your proposal's aims and objectives with the funder's priorities.

A good background statement convinces the reader that you know:

- What is going on in your local area (i.e., you understand the needs and issues)
- How to address it
- What the funder wants.

Remember: Keep your background statement brief (unless otherwise indicated). You are demonstrating your knowledge; not writing a review of the area. In most instances, 2 to 8 pages should be sufficient.

Describing the Need

Your description of need does not have to be long and involved. Short, concise information captures the reader's attention.

Clearly explain the:

- Public health issue affecting your community or other need which exists (e.g., professional development)
- Gap between what exists now and what could or should be
- Benefits to result from your proposal.

Use the evidence collected in Identifying Needs (p11). Present both objective information and personal stories to inform the funder about your community's situation. If your topic is complex, consider including an informative article or background reading in your appendices.

Answer the following questions:

- What is the need?
- Why should it be addressed now?
- What will happen if the need is not addressed now?

- Who did you talk to or what research did you do to find out about the problem?
- What other strategies are in place to address the need?
- What will be the community benefit if your proposal is funded?

Review your need statement to be sure that it does not contain or present a solution. Your solution will come later. Start with the problem, not the solution.

How Will Your Proposal Address the Need?

Your proposal should be appropriate to the size of the problem being addressed.

Dedicate some content in the background section of your application to reiterating what the funding body is asking for and detail how your assessment of the perceived priorities of the funding body align with the needs of the community, and your organisation's philosophy, mission, and direction.

Answer the "So What" question by detailing the significance of the application and explain why it is important to address the need and identify the scope of the proposal.

If the funding guidelines outline the funder's objectives, make sure you reiterate or refer specifically to them in your funding application.

References & Resources

- Cancer Council NSW (2013). Crafting Your Public Narrative. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Centers for Disease Control and Prevention (2007). Impact and Value: Telling your Program's Story. Atlanta, Georgia: Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Division of Oral Health. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Civicus. Writing a Funding Proposal Toolkit. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Minnesota Council on Foundations. (2005). Writing a Grant Proposal. Downloaded from http://www.mcf.org/system/article_resources/0000/0325/writingagrantproposal.pdf
- University of Western Sydney. Guide to Writing a Project Description. Downloaded from http://www.uws.edu.au/research/researchers/preparing_a_grant_application/guide_to_writing_a_project_description
- Open UW Canvas. Introduction to Project Management. Lesson 3 - Writing the Project Overview Statement. Downloaded from https://uw.instructure.com/courses/203870/wiki/lesson-3-the-project-overview-statement?module_item_id=1891219

Section 8.3 Activities

Activity 8.3.1 Write Your Background Statement

Good background statements convince the funding body:

- There is an urgent need which should be addressed
- You know how to address the problem
- The community will benefit from your proposal
- The benefits to the community align with the funding body's priorities.

Describe the Need

Use the quantitative and/or qualitative evidence collected in Identifying Needs (p11) to answer the following questions

What is the need?

Why should it be addressed now?

What will happen if the need is not addressed now?

Who did you talk to or what research did you do to find out about the problem?

Summarise your Proposal

Briefly outline how you will address the need. Emphasise your evidence base, aims, and objectives. Inform the funding body whether there are other strategies in place to address the need and how your proposal will complement these strategies.

What are you doing?

Why have you chosen this method?

Activity 8.3.1 continued over page

Activity 8.3.1 Write Your Background Statement (cont.)

Align Objectives

Describe how your aims and objectives:

- Reflect the funder's priorities
- Will benefit the community.

What are your expected outcomes?

How will your outcomes benefit the community?

How does this match the funding body's priorities?

Review your Background Statement

Present your description of need to someone who does not have a good understanding of the problem. Ask them if they understand what the problem is and why it should be addressed.

Did your colleague understand your description of need?

☐ YES ☐ NO

Did their understanding match yours?

☐ YES ☐ NO

If their understanding reflects yours, you are on the right track. If it doesn't, clarify any differences and rewrite your description.

Section 8.4 Describing Your Proposal

Your proposal description should demonstrate that you have an acceptable, credible, and feasible strategy to address the identified needs and funder's priorities. If done well, it should:

- Establish organisational credibility
- Demonstrate good management skills
- Specify all the key components of the proposal including when and how they will be achieved
- Indicate who the team will be.

You must:

- Clearly define your proposal's aims and objectives
- Outline your activities and describe how they will be implemented
- Provide an evaluation strategy
- Outline the skill set required to deliver your proposal
- Describe the anticipated long-term impact of your proposal.

Your description has to convince the funding body that your organisation:

- Has the expert knowledge and technical skills to design and deliver a proposal that will meet the identified need
- Will deliver the proposal in accordance with the funding body's expectations
- Has identified appropriate outcomes and systems to measure performance
- Is able to complete the proposal in a timely manner and within budget
- Has recognised, evaluated, and taken steps to reduce any risks associated with the proposal.

In developing a thorough description of your proposal, identify any risks which may eventuate (e.g., if the program/service is poorly scoped or the objectives are not clearly defined) (see Identifying Risk (p154)).

Poorly written, unclear or incomplete project descriptions are not likely to receive funding.

What Should be in Your Description?

Your proposal description serves as a roadmap for the entire project. It provides:

- Guidance on the prioritisation and sequencing of activities
- The scope of work
- The processes, policies, and quality standards it will adhere to
- An indication of who your stakeholders are and communication strategies
- An overview of the broad strategy involved in managing costs and personnel
- How performance and benefits will be measured.

Due to the variety of elements and complexity involved in writing your proposal, structure and label your document with clear headings in a consistent, logical order. This will allow readers to navigate the document and easily see important details.

The main areas to include in your proposal description are:

- Scope (i.e., target population, geographic location, service features)
- Human and material resources required
- Activities and implementation timeline
- Deliverables and outputs
- Constraints (if any)
- Risk management
- Budget and amount requested (see Your Budget (p175))
- Communication and governance strategy
- Evaluation plan.

Deliverables and Outputs

The deliverables are the intended end-result of your proposed program of work or service.

Use the objectives identified by the funding body and develop a list of activities that will achieve them. Describe in detail what activities will be involved in achieving the funding body's objectives.

Include a statement of when and how these will be achieved.

Sometimes funding bodies will specify the deliverables they expect when they fund a particular program/service.

Double-check the funding application guidelines to ascertain whether:

1. **The funding body has specified a set of deliverables and objectives**
2. **You have addressed these deliverables and objectives in your application.**

Schedule

A well-thought out schedule should indicate the due dates for your activities and deliverables.

A schedule usually takes the form of a timeline or Gantt chart depicting tasks mapped on a timeline. The schedule outlines the sequence of activities and events which must occur for the successful execution of your proposal.

If your proposal has many different components, you can develop several schedules and attach them to your application. Such schedules may include:

- An overall timeline
- Recruitment and other start up activities
- A piloting schedule
- An implementation schedule
- Resource allocation schedule.

Sometimes funding bodies will specify deadlines for deliverables. Double-check the funding application guidelines to see if deadlines have been imposed for any deliverables and make sure that you have addressed these in your funding application.

If you think that a deliverable deadline imposed by a funding body is not realistic either:

- Refine your proposed activities and associated estimates so that they are better aligned with the funder's expectations
- Contact the funding body to discuss your concerns about due dates for deliverable(s) and seek to negotiate a revised date.

Other Common Components in Proposal Plans

A range of other items may be included in your proposal description. These items have been described elsewhere in this resource. Your proposal description may also want to:

- Nominate the members of the project team and specify their roles (see Demonstrating Your Organisation's Strengths (p214))
- Describe how communications will be conducted (see Identifying Risk (p154))
- Identify any difficulties you predict might happen and describe strategies to address them (see Identifying Risk (p154)).

TIPS: Describing Your Proposal

- Err on the side of caution. Do not make bold unsubstantiated claims or include overly optimistic outcomes. Only include achievable activities and outcomes.
- Be specific. Tell the funding body exactly what you will be providing. For example, if you are asking for funds to deliver prevention programs in schools then tell them how many schools you will be targeting.
- Tell them what schools you will be approaching and why you have chosen those schools.

References & Resources

- The Project Smart Website - http://www.projectsmart.co.uk/project-planning-step-by-step.html

Section 8.4 Activity

Activity 8.4.1 Draft Your Proposal Description

Your proposal description details your strategy to meet the identified need and funding body's priorities. It needs to be acceptable, credible, and feasible.

The questions below will help you draft a proposal description based on the Results Based Accountability Framework (see Section 2 About Your Organisation (p23)).

Your Proposal's Objectives

What are your proposal's objectives? If the funder has told you what they want the funding to achieve, make sure your proposal's objectives are aligned with the funder's objectives.

What You Will Do

What activities or services will you undertake or provide to achieve the objectives? Clearly state:

- What you will provide. Be specific (e.g., do not say we will provide workshops. Say we will provide 8 workshops).
- Why you have chosen these activities and/or services. Demonstrate the appropriateness and effectiveness of your proposal for your target population.

Resources and Materials

What resources and materials will be required to achieve your objectives? Tell the funder what:

- Services will be offered
- When they will be offered
- Number of staff required
- Skill set required.

Activity 8.4.1 continued over page

Activity 8.4.1 Draft Your Proposal Description (cont.)

The Milestones

How will you implement the activities and/or services? Tell the funder:

- When each activity will start and finish
- How you will know when each activity has been completed
- Who will be responsible for achieving each milestone.

Reporting Progress

Tell the funder:

- How you will measure outputs and outcomes
- What indicators you have determined to measure if the services and activities are meeting their targeted outcomes
- How you will report on your progress and the outcomes
- How you will manage risk.

Section 8.5 Demonstrating Your Organisation's Strengths

Your application must document your organisation's:

- Capacity
- Resources
- Expertise
- Experience in delivering similar proposals
- Ability to achieve positive outcomes.

Tell the funder:

- About the key personnel involved
- Who you are
- What you do
- The ways in which your organisation is different or unique.

Although the evaluation criteria used by funding bodies to determine the awarding of funding may vary, generally it will specifically require you to demonstrate the:

- Capability of the key personnel
- Extent to which your organisation's resources can support the proposed program/service.

Provide all essential information so the funder is able to make an informed decision about your organisation's capacity to fulfil the proposal requirements.

Select the most relevant information from the service and staff information developed and saved in Your Organisation's Track Record (p40) and Your Board, Staff and Volunteers (p57).

The detail you can provide about your organisation may be constrained by the space allocated in the funding application. If so, select the most relevant detail applicable to this proposal. Tell the funding body relevant details about your organisation and staff in the body of the proposal. Include additional information in the appendices.

To provide further information about your agency, attach a brochure or other prepared statements (e.g., annual report, strategic plan) as a web link.

Alternatively, inform the funding body where the information can be found on your website or that it can be provided to them on request.

You may also include some of the information below as appendices:

- Governance structure
- Risk management policies and procedures
- Financial statements.

Why would a funder give your organisation money?

Having a great idea or providing a great service is not enough. This does not answer what the funding body is looking for. A funding body may invest in your organisation if they are convinced that your:

- Proposal is acceptable, feasible and credible
- Organisation is able to deliver the proposal on time, on budget, and with quality outcomes better than your competitors.

The Unique Qualities of Your Organisation

Tell the funding body about the unique qualities of your organisation by providing a detailed outline of:

- Who you are
- What you do
- What makes you different or unique from other organisations.

It's easy to make the assumption that funders already know who you are and what you do, especially if you have been in receipt of regular funding from a given body. However, this can be a fatal error.

It is essential to provide the funder with an overview of your organisation or service. You will need to:

- Provide brief details about the establishment of your organisation and its mission
- Demonstrate how the proposal fits within or extends the organisation's mission
- Describe the organisation's:
  - Governance structure
  - Staffing and employment levels
  - Programs
  - Leadership
  - Special skills/features

- Reiterate your organisation's expertise, especially as it relates to the subject of your proposal and the specifics of the deliverables you have identified and/or the service model you propose to use

- Inform the funder about your consumers, including:
  - Any special or unusual needs they may have
  - Why they rely on your organisation
  - Details (e.g., statistics) about the number of people who are or will be reached through your programs

- Provide all essential information to give the reader a clear picture of what your organisation does and what it currently offers that is unique, acceptable, credible, and feasible.

Your Previous Programs and Services

Emphasise your success in delivering services and programs and achieving outcomes. Document how current services are delivered, demonstrate the potential for a different approach, or highlight why your service will meet the funder's requirements and expectations better than other applicants. Include brief details of:

- Past funding received

- The activities undertaken and processes involved to meet identified community needs

- The outcomes achieved or lessons learned

- The evaluation methods employed

- The long-term benefits to the community

- Collaborations with other organisations or community groups

- How the previous example relates to the current funding application.

If your organisation is new or starting up, consider adding details about any organisations you may have collaborated with to-date.

Your Proposal Team

The funding body will want evidence that the key personnel involved in the proposal have the relevant qualifications and experience.

Provide:

- Details about who will take the project leadership role

- Short biographies for each proposed team member, noting their experience and expertise

- Details of team members' roles and responsibilities, including how much time they will contribute.

This information helps the funder to understand that the proposed project staff are competent and have the capacity to successfully undertake the project. They also want to be assured that the duties of the proposed staff are clearly defined.

Do not include a long detailed description. When compiling short biographies, focus on the work experience of participants that is most relevant to your proposal. If necessary, longer resumes may be included in the Appendices.

Demonstrate that your organisation is "ready to go" and has the skills and resources to successfully complete the project.

If you need to recruit new staff or train existing staff to deliver aspects of the proposal, make sure that this is:

- Clearly indicated with appropriate recruitment/trainign time allocated
- Recorded as a risk in the risk management section of your proposal (see Identifying Risk (p154))
- Detailed in the budget section of your application (see Your Budget (p175)).

If you are recruiting new staff or training existing staff, explain how this is necessary to deliver the expected outcomes.

Referees

Many applications require you to submit referee details. When selecting your referees, ensure that they understand your organisational capacity and what is expected from the funder so they can advocate on your behalf.

The selection of referees may vary with different projects and proposals. Ensure that your nominated referees are the best choice to support a particular proposal. Think about your options and select them carefully.

Prior to submitting your proposal, contact and check your nominated referee's availability, and inform them about:

- Your project's aims and objectives
- The funder's priorities.

Letters of support and media articles can also document your success and your partnerships with other organisations. Include these as examples of your organisational capacity.

TIPS: Demonstrating Your Organisation's Strengths

- Assume that the reviewer of your funding application knows nothing about your organisation.
- Provide sufficient detail about who you are and what you do to ensure that the reader gets a clear picture of your organisation and its unique roles and functions.
- Provide brief details about the establishment of your organisation and its mission. Demonstrate how the proposal fits within or extends your organisation's mission.
- Describe your organisation's governance structure, staffing and employment levels, programs, leadership, and special skills and expertise.

References & Resources

- The Grant Gopher Blog contains information about demonstrating your organisation's strengths - https://www.grantgopher.com/News/articleType/ArticleView/articleId/721/How-to-Communicate-Your-Organization-Qualifications-in-a-Grant-Proposal.aspx
- The Australian Government Skills Connect Website: The Workforce Planning & Development Resource contains templates which may assist you when developing an organisational template for your funding applications. Downloaded from http://skillsconnect.gov.au/files/2012/09/Workforce-Planning-and-Development-Resource.pdf
- Markin, K.M. (2006). How to Write an Outreach Grant Proposal. Chronicle of Higher Education (September). Downloaded from https://chronicle.com/article/How-to-Write-an-Outreach-Grant/46879/

Section 8.5 Activities

Activity 8.5.1 Sell Your Organisation

The funding body is "buying'"what your organisation is providing. Convince the funder that your organisation has the experience, capacity, and ability to deliver results. Tell the funder about:

- The unique qualities of your organisation
- The successes and benefits produced by previous programs and services
- The qualifications and expertise of the team involved in delivering your proposal.

Pick referees who are able to substantiate your claims and speak positively about their previous experience collaborating and/or working with your organisation.

Your Organisation's Uniqueness

Why should the funding body give your organisation their money? When answering the question, include a brief overview of your organisation, it's expertise in relation to the subject and objectives of your proposal, and your consumers and community. Write your response here.

Previous Successes

From the database developed in Your Organisation's Track Record (p40), select previous projects, programs, and/or services which demonstrate your ability to deliver your current proposal. You do not need to have been the lead agency in each proposal and this list does not need to be exhaustive. However, either the outcomes and/or the activities involved should be relevant to your current proposal.

Record the name, duration, funding body, activities and/or collaborations involved, and successful outcomes in the table below or develop your own table.

Program Name	Start/ End	Funder	Activities/ Collaborations	Outcomes

Activity 8.5.1 continued over page

Activity 8.5.1 Sell Your Organisation (cont.)

Your Proposal Team

Adapt the short biographies developed in Your Board, Staff and Volunteers (p57) to highlight the qualifications, expertise, skills, and roles and responsibilities of key personnel involved in implementing your proposal. Identify team leaders and contact people.

Use the table below or create your own to record the names, expertise, short description, and roles and responsibilities of those involved in implementing your proposal.

Staff Member Name	Qualifications & Expertise	Short Description	Role in Current Proposal

Select Your Referees

Write the names of 3 potential referees here. Outline your previous relationship and why the nominated person is best placed to provide your organisation with a reference for this proposal.

Make sure you contact the referee to discuss your application and ascertain their availability and willingness to provide a reference prior to submitting your application.

Have you contacted the nominated referees?

☐ YES ☐ NO

Activity 8.5.2 Develop an Organisational Template

Organisational templates save time when writing funding applications and create a corporate memory that can be passed on.

Does your organisation have organisational and/or staff templates?

☐ YES ☐ NO

If yes, use your template to develop your team descriptions. If no, complete the activities available on the Australian Government Business.Gov website - http://www.business.gov.au/about-businessgovau/Pages/tools-and-resources.aspx..

Section 8.6 Contract Compliance

Many funding bodies provide copies of the contracts they require organisations to enter into if their funding application is successful.

These contracts are provided in advance of your application so you know what the funding body expects prior to developing your proposal, writing your application, and entering into a contract.

A contract often details:

- The parties to the contract
- Background to the agreement
- An agreement
- Defined terms (these are noted in the definition section and are capitalised throughout the contract)
- Standard clauses (also known as boilerplate clauses)
- Intellectual Property Rights to ownership of any products that are produced as a result of the program/service
- A schedule.

Read through the contract and note down any clauses:

- Which you are uncertain about or which appear ambiguous
- You partially agree with
- You disagree with.

When reading through the contract, consider the list of organisational needs that you developed in Building Relationships (p123) and note any deficiencies. Write down potential remedies for each deficiency you identify.

Removing Uncertainty

If you are unsure about the meaning of any of the contract's clauses or if they appear ambiguous, contact the funding body to seek clarification and/or get legal advice.

Do not attempt to negotiate the clause with the funding body at this stage. Simply, listen and learn about what the clause means and why it's included. If you partially agree or disagree with the clause, note this in your contract compliance table.

Varying the Contract Terms

Check the funding guidelines with the funding body to see whether you may vary the contract clauses.

If contract clauses are able to be varied, construct a contract compliance table indicating the clauses with which you:

- Partially agree
- Agree
- Disagree.

If you partially agree to some of the clauses, indicate exactly what changes you require.

Only seek to vary the clauses which would result in an unfair situation or onerous burden being placed on your organisation. For example, you may want to make sure that you are able to submit activity reports and financial statements at the same time thereby reducing the amount of time that you spend preparing and submitting reports.

If your application is successful, your contract compliance table will form the basis of your contract negotiations with the funding body. You may not be able to introduce new variations at the negotiation stage other than the ones flagged in your application. So make sure you raise all potential issues at the submission stage (see After Submission (p237) for more information about negotiating the contract terms).

Risk Analysis

If the funding body does not permit applicant organisations to make any changes to the contract clauses, consider the contract carefully and make a note of any clauses which may result in an onerous burden being placed upon your organisation. Determine whether you wish to enter into a contract with the funding body by considering:

- Your relationship with the funder
- The potential benefits of the funding
- The likelihood of the burden arising
- Potential outcomes of the burden.

In the risk management section of your proposal, identify the risks in contract clauses, and the likelihood and potential outcomes of the risks eventuating. Inform the funding body about how you will prevent such risks from eventuating (e.g., highlight the communication and/or project management strategy that you plan to implement to counteract such risk).

TIPS: Contract Compliance

- Always speak with the funding body to clarify any ambiguous contract clauses or areas of concern and determine what contract clauses can be varied or deleted.
- Ensure that you inform the funding body of the contract terms you want varied or deleted in your funding application. It may be too late to do this after your application is accepted.
- Consider whether you can incorporate an amount in your budget for contract management services. This may be included as a stand alone consulting cost or as part of an infrastructure cost. Speak with a lawyer or project management firm to find out the costs for such services. Alternatively, liaise with a local government department to see if they can provide such a service or explore other pro bono options.

References & Resources

The websites and resources below may also be useful in explaining common contract terms and matters.

- Australian Contract Law Website - http://www.australiancontractlaw.com/law/scope-terms.html
- Australian National Audit Office (2007). Developing and Managing Contracts: Getting the Right Outcome, Paying the Right Price. Canberra: Department of Finance and Administration. Downloaded from http://www.anao.gov.au/html/Files/BPG%20HTML/Developing%20and%20Managing%20Contracts/app_2_1.html
- For a consideration of ambiguous terms, read http://contractman.blogspot.com.au/2010/04/ambiguity.html
- Reid, T. (2004). How to Construct a Contract Compliance Matrix. *Contract Management*. (January), 40-44. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au
- Western Australian Department of Finance. (2013). Community Services Contract Management Practice Guide. Government of Western Australia. Available from the FundAssist website - http://www.FundAssist.flinders.edu.au

Section 8.6 Activity

Activity 8.6.1 Develop a Contract Compliance Matrix

Create a word document and insert a table with three columns (see example below).

1. Name column one: **Section or Clause #.**
2. Name column two: **Clause Description.**
3. Name column three: **PAD (partial agreement, agreement, disagreement).**

Go through each section and clause of the contract and make a note in the PAD column about whether you partially agree, agree, or do not agree with each clause.

If you partially agree with a clause - make a note of the change that you would like to see included.

The attached document provides you with a template for a contract compliance matrix which you can adapt to suit your needs.

Contract Compliance Matrix

Section/Clause	Clause Description	PAD

Section 8.7 Checking the Application

Once you have completed your funding application, carefully check it, or better still have someone else check it for you to make sure that it meets the funder's requirements and answers all of their questions.

Assume there will be errors or omissions and look for them.

Checklists

Checklists are an invaluable way to ensure that all required elements of the application have been completed, and are presented in the form and structure required by the funding body.

If applications:

- Contain checklists, use these prior to submission
- Do not contain checklists, develop your own. Ensure your checklist notes any deadlines, eligibility criteria, essential questions and requirements, evaluation criteria, and formatting and layout details.

Section 8.7 Activity

Activity 8.7.1 Your Submission Checklist

Either review the checklist you created in Activity 6.1.1 Develop a Checklist (p135) or develop a checklist now to make certain you have not omitted any key information or documents from your application.

Add a column to your checklist, and record which pages of your application contain this information.

Section 9
Submitting the Application

Section 9 Submitting the Application

Writing funding applications take time and resources. Often the application has to be written in a short period of time, putting pressure on everyone involved.

Things can go wrong and often do.

Some circumstances you can plan for, others you cannot.

Things that you need to be aware of prior to submitting your completed application include:

- Never leave it to the last minute
- Check if the application can be submitted on-line. Always leave sufficient time for this as electronic 'glitches' can easily occur
- If hard copies are required, check:
  - The number of copies needed
  - Whether they have to be stapled or clipped
  - Whether they have to be marked as 'master' and 'duplicates'
- Regularly save your documents and do periodic back ups
- Make sure the application has been signed:
  - Have an electronic signature for the CEO readily accessible
- Make sure that you have included all attachments and that they are presented in a logical order and numbered if appropriate.

Table 9.1 provides a non-exhaustive list of things which may go wrong prior to submitting your application. You may want to use some of these suggestions when completing Activity 9.1.

Table 9.1 What Can Go Wrong

Item	Event
Photocopier/ Printer	The photocopier will: • break down • run out of paper and/or ink • jam.
	Someone has started a large copy run.
	There is no photocopier.

Table 9.1 continued over page

Table 9.1 What Can Go Wrong (cont.)

Item	Event
Computer & Network	Computer crashes. It keeps on crashing.
	The network is slow. Getting slower.
	The network is down. Will be up in an hour.
	Water, coffee or tea is spilt on the computer. Oops.
	Word keeps on crashing. Is the file corrupted?
Electricity	Black out.
Document Control/ Management	You submit the wrong version.
	American spelling.
	Formatting.
	Who has access? Who does not have access?
	The document must be less than Xmb. Your submission is 1 gigabyte.
Deadlines	Deadlines are made to be met, not broken.
Signatures	A key person was here. Now they are nowhere to be found.
	A person was to sign off. They are away.
	Solution: Password protected signature?
Communication	Mobile goes flat. No landline.
	Mobile gets dropped.

Table 9.1 continued over page

Table 9.1 What Can Go Wrong (cont.)

Item	Event
	No money on mobile. No landline.
The website crashes	Password is required to access the funding site
	What is the correct time\time zone\ date\postal date/tender box?
	Stamps, envelopes, courier?
	Are you dropping off the tender? Do you know where to go? Is there petrol in your car?
	Solution: Submit one hour earlier than required
	Copy/print the submission receipt
The website crashes	Password is required to access the funding site.
	What is the correct time\time zone\date\postal date\tender box?
Other potential disasters….	If attachments need to be uploaded, ensure that all items have been attached.
	You run out of stamps and envelopes.
	The courier is late.
	You try to personally drop the tender off but you do not know where to go.
	The funding body lost your application.

Section 9 Activities

Activity 9.1 Complete a Risk Assessment & Management Plan

Develop a plan to reduce the chances of any event occurring which may impact the successful submission of your funding application.

Make a list of all the things that could go wrong prior to submitting a funding application.

Consider the likelihood and consequences of the event occurring.

Plan how you can either prevent the risk from eventuating and/or develop strategies to reduce the impact of the risk if it does occur.

Assign responsibility to a staff member to ensure the risk is monitored and managed.

Complete the table below.

Risky Event	Consequences	Who Will be Impacted?	Probability of Risk Occurring			Level of Control			Risk Management Plan	Risk Mitigation Plan	Responsible Person
List all Possible Events	List all Possible Consequences		High	Med	Low	High	Med	Low	How do you prevent the risk from occurring?	How do you reduce the consequences of the risk?	

Section 10
After Submission

Section 10 After Submission

Congratulations! Your funding application is completed AND submitted on time.

Debrief with the team involved.

Record Keeping

- Tidy up the e-folder with your application drafts
- Clearly name and keep a copy of your final submitted application in the electronic and hard copy files
- Keep a copy of the receipt of submission (if any)
- Add the details of the funding application (e.g., funder's name, date of submission, program name) to your organisation's activities list and include in annual reports, Board meetings, and other communication tools.

Follow Up Your Submission

Submitting your application is not the end of the funding process.

If you did not receive a submission confirmation, check with the funding body to ensure your application was delivered and accepted.

Assessment procedures and processes vary widely. Some funding bodies clearly outline their assessment procedures. If you are unclear about the assessment process, contact the funding body and seek clarification before submitting your application.

Be patient: the decision-making process can take anywhere from a few weeks to six months or more.

Responding to Assessment Panels

When assessing your application, the assessment panel may:

- Provide feedback or make comments on your application
- Seek further information, detail, clarification or corrections
- Indicate an interest in your proposal but seek modifications to it before it undergoes final assessment.

Applicants will usually be required to respond by a specified date. When responding, follow the same processes used when developing and writing the application (e.g., develop a response team and provide clear timelines, provide well researched information, ensure any modifications are acceptable and feasible).

Submit your response on time!

Successful Funding Applications

If your application is successful, you will need to:

- Clarify your responsibilities at the outset, particularly financial reporting. This will prevent misunderstandings and more serious problems later
- Find out whether the funder has specific forms, procedures, and deadlines for reporting on the progress of your proposal
- Send a copy of your application to your finance and/or contract management team (where applicable)
- Negotiate and execute the contract.

Contract Negotiation

Contract clauses may need to be negotiated if you:

- Submitted a contract compliance matrix with your application
- Did not receive a copy of the contract prior to submission.

You may be asked to complete or review a Schedule. The Schedule sets out the:

- Activities, objectives, and deliverables
- Reporting requirements
- Total amount to be paid and payment instalments.

Check the Schedule to make sure it is consistent with your funding proposal.

When negotiating with the funding body:

- Only seek to vary parts of the contract which would result in an unfair or onerous burden on your organisation or negatively impact on your ability to provide the services detailed in the Schedule
- Be prepared to provide a rationale for each term you want to add or modify
- Do not take an all or nothing approach. If you are not making progress:
  - Break the negotiations into sections and work towards a solution by reaching an agreement on each separate part

- Ask the funding body why they will not vary or delete the contract term. In some instances, the funding body is unable to vary the contract term but may be willing to make a formal undertaking that they will not seek to rely on or enforce the term. In this situation, make sure that there is no clause in the contract which states that the contract represents the whole of the agreement

- Avoid personalising the negotiations by using language such as "I believe" or "I think." Focus on statements of fact (e.g., if we provide you with the intellectual rights to our program, then we will not be able to continue to provide it to the community when the contract terminates)

- Keep negotiations timely
  - Protracted negotiations may negatively impact your organisational reputation and ability to work with the funding body
  - Know when to complete the negotiations. If the funding body accepts your requested changes, the negotiation is finished.

Unsuccessful Funding Applications

If your application was unsuccessful, ask for feedback. Ask if:

- Your application needed more information about:
  - The problem or need
  - Your proposal
  - The evaluation plan
  - The budget
  - Your organisational capacity and service team

- The funder would be interested in reconsidering the full, or a modified version of the proposal at a future date.

Keep a record of your discussions with the funding body. If required, confirm any undertakings in writing.

If the funding body identified any weaknesses in your application - fix them.

Conduct an analysis of services in your region to look for:

- Duplication

- Partnership opportunities.

In some instances, there may be nothing technically wrong with your application. There may simply be other areas of need which were of higher priority or met the funding body's objectives.

Be Flexible, Adaptable, and Persistent

- Review your funding strategy and identify other opportunities
- Develop a media statement emphasising the need for the service in the area and let potential partners approach you
- Continue to cultivate your relationship with the funder as future possibilities may arise. Send copies of annual reports and organisational updates so they can become further acquainted with your organisation.

TIPS: Negotiating Do's and Don'ts

Do

- Maintain communication: Always set a time for the next discussion.
- Prepare and practice your response: Negotiating is stressful and requires attention to detail that comes with practice.
- Keep your word: Integrity is the foundation of all negotiations and agreements.

Don't

- Submit a long list of demands: The funding body may conclude that you are too far apart to come to an agreement.
- Respond only in writing: Instead, conduct your negotiations through personal discussions and explain your thinking, then follow up in writing.
- Say what you won't do: This will send the funding body the message that you are rigid and uncompromising.
- Abdicate the process to your legal department or lawyer: Make sure that you are involved with all discussions to avoid misunderstandings.
- Revisit contract clauses to which you have already agreed: Once you agree, the issue is settled and off the table.

References & Resources

- The Australian National Audit Office Website - http://www.anao.gov.au/html/Files/BPG%20HTML/Developing%20and%20Managing%20Contracts/3_4.html
- Covey, S. (1989). The Seven Habits of Highly Effective People. Free Press, United States

Section 10 Activity

Activity 10.1 Conduct a SWOT Analysis of an Unsuccessful Funding Application

Use the SWOT analysis template in Activity 2.3.5 Conduct a SWOT Analysis (p56). Examine all components of your application to identify what you did well and what could have been done better. Consider your application's:

- Strengths
  - Identify the key strengths of your application.
  - Look at what you did well and build on that next time.
- Weaknesses
  - Was your proposal realistic and achievable within the time frame?
  - Was your budget accurate?
  - Did you clearly identify your targeted population, geographic region, expected outcomes?
- Opportunities
  - What lessons can be learned?
  - Could you improve your preparation, planning, and writing processes?
  - Would you consider partnering with another organisation?
  - What other funding opportunities are available?
  - Which organisations were awarded funding and what are they doing?
- Threats
  - What can you do to make sure that you don't make the same mistakes next time?
  - What happens if key staff involved in writing your funding applications leave?
  - Does the funding pool you are seeking money from have a limited amount it can allocate?
  - Are organisations located nearby providing services similar to your funding application?