

Module 16

Sustaining the Work or Initiative

“The friends of our friends
are our friends.”

—*Congolese Proverb*

Promoting Community Health and Development
The Community Tool Box (CTB™) Curriculum
Module 16 Participant Guide

Work Group for Community Health and Development
The University of Kansas
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Introduction

Those of us working to promote community health and development understand that, in most cases, the results we hope to achieve will occur a long way down the road. There will be short-term successes and outcomes, to be sure, but real results, actual improvement in community outcomes is something we have to work for and wait for. Staying with the work requires faith, patience and persistence. Our work continues through the generations of women and men who devote their energies, day in and day out, to the dream of a better community.

But even the most committed individuals usually move on. Even the best efforts see funding waiver, or changes that require intentional recommitment to the work. So what keeps the work going? Who serves after we are gone? What organizations and partners help over the long haul? How does financial support continue, and who provides it?

No one can answer these questions for certain. But we know that sustaining the work is one of the core competencies in promoting community health and development. Planning and acting for the future help ensure that human and financial resources are available long enough to make a difference.

In this Curriculum Module, we will learn some of the things it takes to keep the effort going over time. Lesson One provides the elements and processes necessary for a sustainability plan, and gives you the opportunity to begin to frame your own plan. Lesson Two offers a review of the twelve tactics for financial sustainability and how you and your organization might choose among them based on your needs and opportunities. In Lesson Three, we address how to develop business and marketing plans. This module should provide the core components necessary for you to begin preparing for the long-term health of your initiative, much in the same way that we advocate for conditions that assure the health of our communities.

To make the most of this learning module, consider the following:

PRIOR EXPERIENCE AND UNDERSTANDING

Module 16 participants will have greater ability to understand and apply these principles and skills if they have been engaged in the other planning processes for their organization or initiative. An understanding or experience with business practices, at least for some team members, is certainly helpful. Understanding of the community, and the group's goals, accomplishments, strengths, and weaknesses, will be invaluable in planning. Business relationships, and skill in nurturing connections with people or organizations having influence or resources, can also be an asset in efforts to assure long-term support.

RECOMMENDED READINGS

We recommend the following readings from the Community Tool Box (CTB™):

1. Chapter 42: Getting Grants and Financial Resources
Section 1: Developing a Plan for Financial Sustainability

*Nothing that is worth doing can be
achieved in our lifetime,
therefore we must be saved by hope.*

*Nothing that is true or beautiful or
good makes complete sense in any
immediate context of history,
therefore we must be saved by faith.*

*Nothing we do, however virtuous,
can be accomplished alone,
therefore we must be saved by love.*

—Reinhold Niebuhr

- Section 2: Creating a Business Plan
- 2. Chapter 46: Planning for Long-Term Institutionalization
 - Section 1: Strategies for the Long-Term Institutionalization
 - Section 2: Strategies for Support for Specific Programs
 - Section 4: Attracting Support for Specific Programs
 - Section 5: Marketing the Initiative to Secure Funding Support
 - Section 12: Designing and Implementing a Fundraiser

All located at the Community Tool Box (CTB™): <http://ctb.ku.edu>

KEYWORDS AND CONCEPTS TO LISTEN FOR

Business Plan, Fee-For-Service, Financial Sustainability, Institutionalization, Line Item, Marketing Plan, Strategies for Sustainability.

At the conclusion of this learning module, you may expect to have the following:

KNOWLEDGE

- Working knowledge of issues of sustainability including:
 - human resources planning
 - marketing efforts
 - business planning
 - financial planning
- Key principles necessary for creating a sustainability plan for your work
- Enhanced understanding of where your organization or initiative has been and its possibilities for the future
- Twelve tactics for financial sustainability
- How to create business, marketing and financial sustainability plans

SKILLS AND COMPETENCIES

- Evaluate the nature, purposes and accomplishments of the effort to make an informed decision as to whether and how to continue the work
- Work with others to determine the best publicity, structure, governance, staffing and financial direction for the effort
- Recognize and consider in long-range plans any current or potential obstacles to the health of the effort
- Estimate the needs for your organization over the long term
- Apply specific tactics in a sustainability plan for your effort

CORE PRODUCT

A Sustainability Plan: the document that results from your efforts in the Lesson 16.3 activity, that can be further refined by members and participants in the effort before finalizing the plan in Lesson 16.4.

Content Overview

Lesson 16.1 Developing a Plan for Sustaining Your Program or Initiative

Why You Should Plan for Sustaining the Work

How to Plan for Sustaining the Work

Lesson 16.2 Using the Twelve Tactics for Sustainability

Twelve Tactics for Sustainability

Choosing Among Approaches for Maximum Effectiveness

Lesson 16.3 Developing Business and Marketing Plans

Create a Business Plan

Develop a Marketing Plan

Set Goals and Identify Approaches to Achieve Financial Sustainability

Outline an Action Plan

Lesson Activities and Worksheets

16.1 Laying the Groundwork for a Sustainability Plan

16.2 Applying Tactics for Sustainability to Your Group's Situation

16.3 Our Preliminary Sustainability Plan

Lesson 16.4 Putting It All Together

Workshop Agenda

Orientation for Module 16 (if needed)	15–20 minutes
Welcome and Introductions: Icebreaker	
Expectations / Ground Rules	
Review of Curriculum, Module, Background and Learning Objectives	
Lesson 16.1 Developing a Plan for Sustaining Your Program or Initiative	80 minutes
Why You Should Plan for Sustaining the Work	
How to Plan for Sustaining the Work	
<i>Activity 16.1: Laying the Groundwork for a Sustainability Plan</i>	
Lesson 16.2 Using the Twelve Tactics for Sustainability	80 minutes
Twelve Tactics for Financial Sustainability	
Choosing Among Approaches for Maximum Effectiveness	
<i>Activity 16.2: Applying Tactics for Sustainability to Your Group's Situation</i>	
BREAK	10 minutes
Lesson 16.3 Developing Business and Marketing Plans	110 minutes
Create a Business Plan	
Develop a Marketing Plan	
Set Goals and Identify Strategies to Achieve Financial Sustainability	
Outline an Action Plan	
<i>Activity 16.3: Our Preliminary Sustainability Plan</i>	
Lesson 16.4 Putting It All Together	Homework

Lesson 16.1

Developing a Plan for Sustaining Your Project or Initiative

INTRODUCTION

Typically, to make a difference, we need our work to continue over a significant amount of time. In these situations, it is important that we plan for its sustainability or institutionalization. How can our efforts become such an important part of the community that people would be willing to assure its continued existence?

If you have created something of value, you want it to continue. In this lesson, we will explore the elements of a solid plan for extending the life of an initiative or organization. It will be an overview; more specific issues relative to the “business” pieces of the plan will be included in Lesson 16.3.

KEY LEARNING

What is *institutionalization*?

Institutionalization is the active process of establishing your organization or effort as part of the regular operations of the community. This involves developing relationships that help assure that its necessary features continue.

What does it mean to *sustain* something?

To sustain means to give support to something, to keep it up. When we aim to sustain our work, we try to assure that it will be supported and kept up long enough to meet the community’s goals.

WHY YOU SHOULD PLAN FOR SUSTAINING THE WORK

As with other preparations, planning for how to maintain the effort involves outlining where you hope to be and how you will get there. Likewise, your plan for sustainability won’t be set in stone; it will change as you overcome obstacles and respond to opportunities. But, it will help you to move in a positive direction. Planning for sustaining the effort gives you:

1. The time you need to solve the problem or achieve the goal
2. A way to map out your path from Point A (an effort or organization with an uncertain future) to Point B (an institutionalized effort with structure and legitimacy)
3. A more cost-effective way to keep the current or modified effort alive, rather than beginning anew

*You cannot plant an acorn
in the morning
and expect that afternoon to sit in
the shade of the oak.*

HOW TO PLAN FOR SUSTAINING THE WORK

When you are ready to begin planning, it is important to ask yourself, your partners and members important questions about your efforts,

— Antoine de Saint-Exupery

and to reflect on your future. Before you embark on the steps listed below, make sure you can answer these questions:

- What is the nature of our initiative or organization?
- What are our goals?
- What has our group done or accomplished?
- What publicity has our effort received?
- How is our organization structured and governed?
- Does our effort have sufficient staffing (including its volunteers?)
- Is our budget sufficient to cover expected costs, now and in the future?
- What are some obstacles we may encounter? How do we get around them?

If you are able to answer those questions, you are ready to begin the planning process.

1. Decide whether the organization or effort needs to be sustained, and for how long.

Sometimes we try hard, but the effort was ineffective. Or, we do great community work, but the effort only needs to last for a short time. Other work must span generations to be truly effective. Even when it must be sustained over time, the span of time may vary from one year to indefinitely.

The first step, therefore, is to make decisions about your group's desired longevity. To do so:

- a. Estimate how long the organization or effort should be in place to accomplish its goals
- b. Specify whether the organization or effort should end or be ongoing
- c. Assess whether there is sufficient support in the community to maintain the organization (or likely will be)
- d. If your responses indicate that the effort can and should be in place for a substantial time, develop a plan for sustainability

2. Clarify the goals and context for sustaining the effort.

- a. Indicate whether those who formed the group planned to be involved indefinitely, and whether the purpose is broad enough to appeal to multiple funding sources.

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- b. Indicate whether the goals of the group are open to expansion or change.
- whether new goals will be created as old goals are met
 - – what you expect to continue
 - what you expect to change
- c. Describe what the group has accomplished in terms of reaching its goals.
- identify what changes and improvements have resulted
 - determine which successes should be built upon
 - identify what obstacles or struggles have been faced and how they've been overcome
 - determine any changes that need to be made for improved or continued success

- d. Describe the current structure and organization of the initiative.

The degree of structure present is closely related to the ease of institutionalization; better structure simplifies institutionalization. Determine whether your effort has:

- clearly defined policies regarding membership, elections, committees, laws and spending
- regular meeting times and places
- clear policies about how meetings and the effort are conducted
- whether the organization is an independent entity, or a part of a partnership among several groups with different funding bases working together

- e. Describe the current membership, leadership, staff, and volunteers.

- Does the workload need to be more evenly distributed among members?
- Are more members and partners needed to do the work?
- Does the organization need resources to support permanent personnel?
- Has leadership capacity been fostered such that change will not disrupt the group's functioning?

- f. Describe the current foundation or basis of funding and resources.

Many community groups are started with a small grant or otherwise time-limited support until other sources can be obtained. Other efforts have partners that have made longer-term commitments or have independent means to support the work. Sustainability is highly dependent on financial resources, so this issue is explored in more depth in the next lesson.

*Complacency is
a far more
dangerous attitude
than outrage.*

—Naomi Littlebear

- Was the initiative started with a grant or other funding support?
 - How long will current funding remain?
 - Has the group been dependent on yearly fundraising to maintain its efforts?
 - Are new sustainability tactics needed?
- g. Indicate probable or potential obstacles to sustainability. This issue requires a projection as to future realities for the effort. Although difficult to ask yourselves:
- How could the future political or economic situation affect availability of resources?
 - Will the need for financial resources get larger or smaller over time?
 - Are the goals of the effort seen as important to the community at large?
 - Will the problem or goal we are addressing remain a crucial one?
- h. Describe the public's awareness of your group, and the publicity it has received.
- How well known is our group and its work? By whom?
 - How public do you wish to be?
 - Will being better known help your membership? Finances? Success with your goals?
 - What kinds of promotion and marketing must be done for the future? What messages? To what audiences?

The details and depth of Steps 3, 4, and 5 below are explored further in Lesson 16.3. They are presented here as an introduction so they can be included in concept in the preliminary plan you develop in Lesson 16.3.

3. Create a business plan to anticipate what resources will be necessary to sustain the organization or effort.

This will include describing your services or product so that there is a clear understanding of what you have to offer and how it can be promoted to others. This will include identifying the potential market or audiences and how they will be reached, generating an annual budget, and then reflecting on that budget to identify where new resources will be needed.

4. Develop a marketing plan for reaching out to the community and funders.

This will primarily entail letting everyone in the identified community know that your group exists, and what it does. This

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can help funders and other audiences to appreciate your group and its purpose, and convince them to support it.

5. Set specific goals for generating financial resources and identify strategies for sustaining the effort financially.

This involves identifying possible strategies such as sharing resources, becoming part of another organization's budget, applying for grants, soliciting in-kind support, developing fundraisers, pursuing third party funding, developing fees-for-service, or establishing membership fees and dues. Lesson 16.2 has more on strategies for sustainability.

6. Outline an action plan for implementing the specific tactics to sustain the organization or effort.

Like any action plan, this will include your describing what will be done, who will carry it out, by when it will be done, and the resources and communications that will be required to do so.

Lesson 16.2
*Using the Twelve
Tactics for
Sustainability*

INTRODUCTION

Now that we have decided that the effort needs to be sustained and have clarified our goals for sustainability, the next step is to decide how we want to make that happen. There are multiple strategies to consider – your organization may choose one of them or (more likely) a group of them that gives you maximum flexibility and comfort.

Honestly, few of us are very interested in raising funds or finding the money to pay the bills. We want to be out there accomplishing our goals or solving problems. But financial sustainability allows us to “stay in the game” long enough to reach our objectives, which is ultimately what we want. Woe to the organization that spends significant time and resources planning and taking action only to find their resources run out before seeing their vision fulfilled!

Regardless of the other strategies that you choose, you will want to consider how to better “market” - get the word out about - your organization. Be able to describe your “product”: how your organization’s work or programs add value to your community. Marketing also involves making it easier and more rewarding to give to your organization (e.g., non-profit status; appreciation; sense of making a difference). Good “social marketing” involves raising financial resources. It also includes developing resources through relationships, shared activities, membership recruitment, education, and increased visibility in your community. For more information on marketing, see CTB Curriculum Module 13 “Implementing a Social Marketing Campaign” and related sections in the Community Tool Box.

KEY LEARNING

What are *tactics for sustainability*? There are distinct approaches for assuring the continuance of a program of effort. In this lesson, we outline twelve such tactics (e.g., share positions and resources, become a line item in an existing budget).

TWELVE TACTICS FOR SUSTAINABILITY

So what can your organization do to ensure you will have the resources needed for a long enough time to reach your goals? The following twelve tactics can help. They all have pros and cons to them. Deciding on and implementing different strategies will take some time and energy. But, in the long run, their effective use can permit you to concentrate on getting the work done. We recommend these twelve tactics for sustainability:

1. Share positions and resources
You may decide that your organization could collaborate with another like-minded organization and share such things as space, equipment, or staff – even writing grants together. This is a great option if you already have a collaborative relationship with another organization. Before entering into such an agreement, however, your organization should ask itself about its true needs and whether sharing positions or resources is the best way to meet those needs.
2. Become a line item in an existing budget
Your organization or some of its operating costs or programs eventually could be picked up as a line item in another organization's budget. A line item is a part of a budget where money is dedicated to one thing. A part-time coordinator might be shared with a local health department or human services department, and a local government might pick up the costs. Similarly, an organization with similar goals or clients might designate resources for one of your programs that overlap with their efforts in their yearly budget, such as a local school paying for the costs associated with your after-school program.
3. Incorporate activities or services in organizations with a similar mission
Your organization may start a program or service with the goal of it being taken on by another community organization after a certain amount of time. Or alternatively, the group may plan the activity with another community group that will immediately become responsible for it. For example, a community group may begin a home visiting program and plan for the church to take over within three years, or an organization may develop a substance abuse program that the local school will immediately begin to operate.
4. Apply for grants
Another source of ongoing resources is grant funding — from public sources or from local, state, or national foundations. When looking at federal sources or national foundations, your group may anticipate significant dollars and a lot of competition. Community foundations and local trusts may have more limited funds, but less competition within the community. This can be where the connections and trust you have built in your community can literally pay off. For more information on grant writing, see CTB™ Curriculum Module 14 “Writing a Grant Application for Funding” and related sections in the Community Tool Box.
5. Tap into personnel resources
Personnel resources, those people and positions that exist in other organizations and can be shared for reduced cost, can be a

very good way to extend your resources. Many different arrangements are possible, such as time-sharing within a paid position, drawing from common volunteer lists, tapping into college work-study positions, or getting in-kind donations of time from professionals.

6. Solicit in-kind support

In-kind support is a resource other than money that you would have had to pay for with dollars if it wasn't donated or pledged from a person or organization. This includes tangible supplies (e.g., paper and office supplies, paint), services (e.g., accounting or computer assistance), or just free help. Needs such as physical space for offices or meeting rooms and basic office and mailing costs might be picked up by an organization with extra space or other resources, like a church or a community center. In-kind support can come from within those who are already involved in your organization or from the broader community, including local businesses and service agencies. The success of your sustainability plan hinges on seeking in-kind support: staying in the game will depend on being able to draw on multiple kinds of resources.

7. Develop and implement fundraisers

We are all familiar with different types of fundraisers, ranging from bake sales to multi-million dollar events. Generally, fundraisers raise cash through an organization providing a product (e.g., candy or gift wrap), services (e.g., car washes or house cleaning), or events (e.g., carnivals or dances). Your organization will need to decide the level and focus of your fund-raiser (e.g., whether the funds raised will be used for a specific project with defined costs or whether they will be used for ongoing planning and investment into future endeavors).

8. Pursue third-party funding

Third-party funding occurs when a person or organization such as an insurer, that is not involved in the effort and does not directly benefit from it, provides resources so that two other parties (e.g., client and service organization) can interact. In seeking out those who might be able to provide third-party funding, look for businesses or organizations that have an interest in the result or outcome of the interactions. For example, a business that is concerned with the impact of the homeless on the community might provide third-party funding for a social service agency to identify and work with local people to find employment, housing, and health services.

9. Develop a fee-for-service structure

Your organization may require that clients pay for any services provided, such as counseling sessions or workshops. If your

organization is concerned that fees will limit the number of people who can benefit, develop a sliding-fee scale based on the individual's or family's income. Although, this may limit the amount of money your organization can raise using this strategy, it may also prevent you from turning away those in need.

10. Acquire public funding

Work with local elected officials or state legislators to obtain public money or resources for your group on an annual or regular basis. If your work is worthy of public support, seek out appropriations from sources that support organizations serving your community. Remember that such appropriations may be reviewed annually and disbursement of funding may follow the city or state's calendar year – which may differ from yours. Accepting public support may limit what your organization can do.

11. Secure endowments and planned giving arrangements

Endowments and planned giving arrangements can be the results of a grant, bequest or cash contribution that is generated from many sources such as wills, trusts, gifts, services, annuities and real estate. They most obviously differ in how they generate resources for your organization. An endowment is a financial sum given to an organization that is invested in such a way that the interest creates an annual income for the organization. The principal is to remain untouched to continue to create further interest payments for the organization in the future. By contrast, planned giving arrangements are usually set up to be used immediately. However, some planned giving arrangements may be deferred – where a donor sets aside funds for an organization's future use. When the funds become available is often up to the donor. Some may be available in the donor's lifetime or all may not become so until after the death of the donor.

12. Establish membership fees and dues

Another possibility is to establish some form of membership fees or dues. These are relatively easy funds to generate, indicate commitment from members, and increase the organization's self-reliance. However, fees and dues have significant drawbacks, especially if your organization is drawing from a membership of persons for whom a fee would be a burden. In general, fees from members yield less money than outside resources. If not enough members can afford paying for dues, collecting them may not be worth your while. Since, dues makes money (financial resources) a condition of membership, they may be against your organization's principles. They may limit participation from those who contribute significantly, but with their time and relationships, not their money.

CHOOSING AMONG APPROACHES FOR MAXIMUM EFFECTIVENESS

How will you or your organization choose the best strategies to sustain your effort? With so many to choose from, the most important thing to remember is that no strategy is likely to be sufficient. Different ones can be implemented over time as barriers and opportunities present themselves. For now though, how will you best evaluate which strategies meet your needs and make sense for your organization?

1. Decide who will make these decisions
If you have already created a financial sustainability committee, they will be the most likely ones to decide among different strategies. Otherwise, your organization may want to form such a committee, or at least a temporary working group, to evaluate potential strategies. Obvious candidates are board members who are connected with multiple sectors of the community and/or have experience with securing resources. Shared leadership and decision-making will allow your organization to draw from many different experiences and connections across groups.
2. Have your vision, mission and objectives in mind as you begin this work
Keep these agreed upon elements of your organization in mind when planning which strategies to implement. This will guide your discussions and help you determine which ones are the best for your effort.
3. Brainstorm possible approaches for your organization
Consider the context of your current sources of funding, including when those resources will run out, your current or emerging relationships with potential supporters, and your anticipated needs for funding in the future. Starting from the earlier list of twelve possible tactics, brainstorm how you might adapt their use to fit your unique context and community. You may easily identify ones that won't work for you and others that with modifications might be very successful. Also, ask members if there are other possible approaches that might be a good fit with your organization.
4. Gather input from key people such as current funders, staff, volunteers, and clients
Ask for feedback from others who may have different perspectives and unique experiences in generating resources. This can expand your list of possible approaches or offer insight into how they can be adapted for your organization.

5. Choose the approaches that make the most sense for your organization

Make your decisions knowing that you may decide to try other approaches later on or decide to modify current ones as barriers and opportunities emerge. Choosing to implement more than one tactic, such as applying for a grant and tapping into personnel resources, is always a good idea. It protects against financial trouble if your one approach doesn't work out.

Cautionary Note: Although all of this planning is crucial to your effort's success, don't spend so much of your time and energy securing future resources that you don't have time to accomplish your goals! You do not want to become a professional fund raising organization – be sure to balance planning for your financial future with doing the work to bring about your vision.

Finally, identify and use the resources and experiences of those already involved in your organization. If someone in your organization is very good at writing grants, use their knowledge and skills to your advantage. Similarly, if someone in your organization already has strong alliances within local businesses or state government, rely on them to connect and assist you in securing resources from those sectors. Be sure to identify and use the strengths you already have—it will leave you with more time to do the work you hope to sustain.

INTRODUCTION

In planning for your organization or effort to continue, there are several business, marketing, and planning considerations that must be addressed. These were introduced briefly in Lesson 16.1; they include the tasks of creating a business plan, developing a marketing plan, and setting goals and action plans for financial sustainability. This lesson will address each of these items. At its conclusion, you will have the tools necessary for finalizing your plan for sustaining the work.

KEY LEARNING

What is a *business plan*? A business plan refers to the approach used to generate financial resources for the group's work.

What is a *marketing plan*? A marketing plan outlines how the organization will become known by important audiences and how it will secure resources for its efforts from funding sources.

CREATE A BUSINESS PLAN

A good business plan anticipates and answers questions that others will have about what your group is doing for whom, and at what costs. It analyzes what you have and what you need, and where you believe you will end up at the conclusion of your work. To develop such a plan, we find it useful to take the following steps:

1. Describe the services(s) or products(s) to be offered
 - a. Specify the services or products you provide. They may include:
 - education and training (e.g., teaching people to read)
 - modifying access and opportunities (e.g., providing access to clean water)
 - providing specific services and supports (e.g., providing childhood immunizations)
 - advocacy for policies (e.g., advocating for policies to acquire health care for all)
 - b. Need for the service or product
 - its benefits to individuals, to sub-groups of people (e.g., parents), to the whole community
 - the value added (beyond what is already available)
 - c. Competition
 - who else is in a position to offer the service or product
 - the unique aspects of your service or product, and why they are of greater benefit
 - d. Qualifications and reputation of the organization providing the service or product
 - your experience and history of success
 - your reputation and relationships in the community

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2. Describe the potential market or audience and how they will be reached.
 - a. Audience or market for the service or product (e.g., Who can benefit? Who can pay?)
 - b. Promotion (i.e., How will they be reached? e.g., personal contact, mailings, radio)
 - c. Quality control (e.g., how will the quality and satisfaction of the service or product be assessed? How will feedback be obtained and used to continuously improve the service or product?)
3. Generate an annual budget.
 - a. All projected expenses (e.g., salaries, office expenses, rent, utilities, phone and computer expenses, equipment, travel).
 - b. All projected income - based on current sources of funding, incorporating known changes
 - c. The interaction of expenses and income (e.g., how certain forms of funding are tied to specific activities)
4. Use the anticipated budget to:
 - a. Estimate the financial resources needed to sustain the programs and services of the initiative
 - b. Identify ways to generate resources other than money (e.g., time, materials) to meet some of the anticipated expenses
 - c. Set priorities for which programs and services to maintain (e.g., those most important and/or cost-effective)
5. Set specific goals for financial resources to be generated by the program or effort.
 - a. How much of what by when (e.g., By 2015, to have an annual budget of \$2,000,000 with cash reserves equal to 25% of the budget)
 - b. Indicate your organization's financial goals: Immediate, longer term

DEVELOP A MARKETING PLAN

As noted in the CTB Curriculum Module 13 on "Implementing a Social Marketing Campaign," marketing is one of the more powerful tools available. The Amherst H. Wilder Foundation described marketing as "a process that helps you exchange something of value for something you need." Such exchanges are a part of the daily functioning of any community effort. Make the exchanges intentional so that the program can continue to give and get what is needed.

When you market, you may be doing one or more of the following things:

- Building the image of your organization
- Developing friends and supporters
- Recruiting members

- Community relations
- Political activities
- Citizen education
- Fund raising

You do so by letting everyone in your community know what your group does, and its successes and contributions; helping convince others to support your group. There are several steps that are important to this process:

1. Identify who will be involved in developing the marketing plan

In most cases, this will be a core group that has the time and energy to work on the plan. This team will be more successful if it includes diverse perspectives, and people with experience in marketing and relationships with key audiences (e.g., staff, clients, outside experts).

2. Affirm and use your organization's mission statement in communications

As appropriate, develop, affirm, or refine your organization's mission statement; a sentence that explains what your organization does, and why. Make sure you use the statement broadly and often (e.g., on letterhead, in presentations).

3. Set goals for your marketing plan

You must know exactly what you want to accomplish with your marketing, both in terms of promoting general awareness and attaining specific financial goals.

- a. Write out long-term goals for community awareness of the organization or effort (e.g., 75% of community members will report knowing about this effort)
- b. Write out long-term financial goals (e.g., By 2010, the organization will have an annual operating budget of \$1,000,000 with at least 50% from public funds.)
- c. Break both down into more manageable short-term goal statements. (e.g., By 2006, the organization will have an annual operating budget of \$300,000; by 2010, of \$500,000)
- d. Do a marketing audit to understand where you are (e.g., level of community awareness; financial resources) and how much work must be done to reach success as you've defined it

4. Identify priority sources for support

- a. Since support comes in many forms, brainstorm broadly. You might make one list of collaborators who can provide

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volunteers, expertise, other forms of in-kind support, or access to those with resources.

- b. Make a list of the promising sources or types of donors that can provide financial support, and then expand from the categories to specific organizations or people. Common categories of organizations, specific people, and their specific potential contributions include:

- Government agencies:

- Foundations and local funders:

- Corporations and businesses:

- Faith communities:

- Community organizations:

- Individuals:

- Users / clients / customers:

- Members (through fees and dues):

- Others:

5. Specify what donors want

Write down what your research suggests that each group or category may want from you in return for their funding, donation, or contribution. Ask those who know about their priorities, their likes, and their dislikes. Ask pointed questions like:

- What do you want from our organization? (e.g., appreciation; indication that the contribution made a difference)
- What is your opinion of our group? How do you see us?
- Why do you (don't you) donate to our organization or use our services?
- What groups do you give to? Why do you contribute to them?
- What would persuade or convince you to donate (or give more time or money) to our organization?

6. Develop and nourish contacts with potential supporters and funding sources

You, your organization and your credibility are as important in a decision to support your work as the work itself. Arrange periodic visits and communications. Develop relationships and

*It is not enough to be busy;
so are the ants.*

*The question is, what are we busy
about?*

—Henry David Thoreau

earn trust so that potential supporters will have confidence in your ability to do what you say you will do with the funding.

7. Remember the “4P’s” of Marketing in implementing your plan
 - Product—What is it that you and your group offer? Which important benefits result for individuals and the community?
 - Price—How much does it cost? How can it be sustained?
 - Place—How will you make it easier for people to get access? How will you reach those you should?
 - Promotion—What message (e.g., important benefits, modest costs) will be carried to whom, by whom, through what means?

SET GOALS AND IDENTIFY APPROACHES FOR ACHIEVING FINANCIAL SUSTAINABILITY

1. Set specific goals for generating financial resources

As you identified plans for your marketing efforts, one step was to write down long and short-term goals for support, including monetary support. These are your goals for financial sustainability (e.g., By 2010, to secure sustainable funding for all core staff and programs —\$400,000 per year). Use them to help guide your choice of approaches that are appropriate to those goals. You will then be able to translate, as we did in strategic planning (VMOSA), your goals and the strategies into specific action steps for your sustainability plan(s).

2. Choose specific tactics for sustainability to accomplish those goals. Indicate how you plan to do this including using the twelve tactics for financial sustainability from Lesson 16.2.

OUTLINE AN ACTION PLAN FOR IMPLEMENTATION

Once you have all the information above, put the pieces together in an action plan for sustaining programs and efforts through marketing and financial planning.

1. Develop a separate action plan for each tactic (e.g., for acquiring public funding, for becoming a line item in an existing budget)
2. In each action plan, describe:
 - a. What activities will be done and carried out
 - b. Who will carry it out
 - c. By when the activity will be completed, or for how long it will be maintained
 - d. Resources that will be needed to complete it
 - e. Communication—Who should know what about this

Remember to pretest before implementing your plan. Evaluate and revise your plan as necessary.

Activity 16.1

Laying the Groundwork for a Sustainability Plan

Time: 40 minutes

Goal: This activity will give participants time to reflect on questions that will help frame a plan for sustaining the organization or effort, and then to develop a preliminary plan for sustainability that can be shared with others.

Steps:

1. As a large group, consider the framework on the following pages that parallels the information provided in this lesson. Determine if anyone has questions or is uncertain about the elements and questions related to the plan.
2. In small groups (ideally, of 4-5 people), talk with each other about your responses to each of the issues. As you are describing your own efforts, ask others if what you've said is clear. Are there other things they would need or want to know if they were considering supporting your effort over the long run? Have you been clear, concise and complete?
3. Understand that you will provide more detail regarding the business elements of your plan in the next lesson (i.e., business plan, marketing, financial sustainability and an action plan). For now, provide at least a general framework for your organization or effort's plan for sustainability.
4. Write out particular elements of the sustainability plan on the pages that follow. Share elements of the plans with the larger group if time allows.

Carrying It Forward

Reflect on your organization or effort's sustainability, perhaps beyond your own participation in the group. What aspects of your situation affect the sustainability of the effort? What strategies should help with sustaining the effort? What things concern you for the future of the effort? How will you keep the effort going as long as necessary?

**Activity 16.1 (cont.)
Laying the Groundwork for a
Sustainability Plan**

1. Our organization or effort needs to be sustained:

For this time period:

Because its nature is:

2. We currently have this level of support in the community:

3. The purpose and plans for maintaining the work are:

4. Our goals for the effort are set, or are open to expansion or change in the following ways:

5. Our organization or effort has accomplished the following things in the following ways:

We have brought about the following changes and improvements:

We plan to build on these successes in the following ways:

We have overcome these obstacles and struggles in these ways:

We believe these changes should be made for enhanced or continued success:

Activity 16.1 (cont.)
Laying the Groundwork for a Sustainability Plan

6. We have this current structure and organization:

We have these clearly defined policies regarding membership, elections, committees, by laws and spending; we have these regular meeting times and places; we have these clear policies about how meetings and the effort are conducted:

We are an independent organization ~ OR ~ we are part of a partnership among several groups with different funding bases working together:

7. We have this current membership, leadership, and staff (volunteers):

8. We have this current foundation or basis of funding and resources:

9. We have the following probable or potential obstacles to sustainability:

10. We have had these kinds of publicity:

Our group and its work is known in the community (how well, with whom):

**Activity 16.1 (cont.)
Laying the Groundwork for a
Sustainability Plan**

11. Given the realities listed above, we need to include these things in our preliminary plan for sustaining the effort:

12. The business section of our plan should include:

13. The marketing section of our plan should include:

14. The financial sustainability section of our plan should include these tactics for sustaining the effort (e.g., sharing positions and resources):

In Lesson 16.3, we will create an action plan for the detailed steps of the three-part plan based on your responses to these questions. This lays the groundwork for that process. If there are questions you were unable to answer, please gather that information before working on Lesson 16.3 so that your plan will be more complete.

Activity 16.2

Applying Tactics for Sustainability to Your Group's Situation

Time: 20 minutes

Goal: This activity gives participant an opportunity to plan (or anticipate) how they might use the twelve different tactics to plan for financial sustainability in their situation.

Steps:

1. The facilitator will ask participants (individually or in small groups) to review the list of twelve tactics for sustainability.
2. During a period of three minutes, each participant will rate each tactic for its feasibility/ appropriateness for the group's situation (1= very unfeasible/ very inappropriate; 5= very feasible/ very appropriate).
3. During the next 10 minutes—For those tactics with a moderate or high rating (3,4 or 5), write out, “ Specifically, how this approach could be used to sustain your effort, (or some part of it).”
4. At the designated time, participants (or small groups) are asked to take turns sharing their responses for each approach, saving their questions and commentary until later.
5. The facilitator will allow an additional five minutes for the group to add ideas: perhaps modifying their approaches based on the ideas of others. At the end, the whole group should have a fairly complete list of actual (potential) ways to apply the twelve tactics for financial sustainability.

Carrying It Forward

Reflect on the process of applying the twelve different tactics for financial sustainability. Which approaches were more feasible and appropriate? Which ones were less so? What specific approaches look promising? What further supports are needed to implement them? How will you use this or a similar process in your home organization?

Activity 16.2 (cont.)
Applying Tactics for Sustainability
to Your Group's Situation

Tactics for Sustainability	Specifically, indicate how this approach could be used to sustain your effort (or some part of it)?
1. Share positions and resources	
2. Become a line item in an existing budget	
3. Incorporate activities or services in organizations with a similar mission	
4. Apply for grants	
5. Tap into personnel resources	
6. Solicit in-kind support	
7. Develop and implement fundraisers	
8. Pursue third-party funding	
9. Develop a fee-for-service structure	
10. Acquire public funding	
11. Secure endowments and planned giving arrangements	
12. Establish membership fees and dues	

Activity 16.3

Our Preliminary Sustainability Plan

Time: 75 minutes

Goal: This activity asks participants to commit to specific steps, people, timelines and resources for elements necessary to sustain the program or initiative. The Preliminary Plan can then be carried back to the larger organization for input, adaptations, inclusion of additional people or resources, and implementation.

Steps:

1. In a small group, agree on at least one long-term goal for promoting general awareness about the organization or effort and one long-term goal for assuring financial sustainability.
2. Discuss further at least one short-term goal for each of the areas noted above.
3. Complete all sections of the Action Plan(s) on the following pages for at least one short-term marketing goal or general awareness goal, and one short-term financial goal. Select one or more of the twelve tactics that may be used to accomplish those goals, and identify who will be responsible for accomplishing this potential task, with what resources, by when, and with the knowledge of what other parties.
4. If time allows, continue to add goals and tactics for sustainability to the Action Plan, ideally those that are feasible and important to the effectiveness for the sustainability effort.
5. Understand that this preliminary plan may be adapted by others in the organization. But, at a minimum, it can serve as a jumping off point for reaction and action. Lesson 16.4 provides an opportunity to bring this all together in a more comprehensive plan for sustainability.

Carrying It Forward

Reflect on your preliminary plan for sustainability. What tactics for sustainability look particularly helpful in marketing or promoting awareness of your program or effort? What tactics look helpful for sustaining your effort financially? Who else needs your program to be successful, and how can you partner with them? How will you engage members and partners in implementation of the sustainability plan?

Activity 16.3 (cont.)
Our Preliminary Sustainability Plan

Long-Term Marketing (General Awareness) Goal:

Related Short-Term Goal:

Specific Tactic(s) for Marketing:

Action Step (what will be done)	Person(s) Responsible (by whom)	Date Completed (by when)	Resources Required (at what costs)	Communication/ Collaborators (who else should know about this)
1.				
2.				
Etc.				

Long-Term Financial Sustainability Goal:

Related Short-Term Goal:

Specific Tactic(s) for Financial Sustainability:

Action Step (what will be done)	Person(s) Responsible (by whom)	Date Completed (by when)	Resources Required (at what costs)	Communication/ Collaborators (who else should know about this)
1.				
2.				
Etc.				

Lesson 16.3

Putting it All Together

CREATING A PLAN FOR SUSTAINABILITY

You are now prepared to develop a plan for sustaining the work or effort. Prior lessons and exercises helped identify critical pieces. The following outline helps you to put this all together into a functional plan. (Note: For additional support in completing this outline go to the CTB™ Toolkits for “Sustaining the Work or Initiative” <http://ctb.ku.edu>)

1. Decide whether the organization or effort needs to be sustained and for how long:

- a. Estimate how long the organization or effort should be in place to accomplish its goals (e.g., 1 year, 10 years). How many years? _____
- b. Specify whether the organization or effort should end (e.g., a one-time event) or be ongoing. Will your organization’s work end, or do its goals require that it be ongoing?

- c. Assess whether there is sufficient support in the community to maintain the initiative (or likely will be). What is the level of support? _____
- d. If the responses indicate that the effort can or should be in place for a substantial time, develop a plan for sustainability. Is it necessary to plan for long-term sustainability?

2. Clarify the goals and context for sustaining the effort:

- a. Indicate whether those who formed the group planned to be involved indefinitely, and whether the purpose is broad enough to appeal to multiple funding sources).

- b. Indicate whether the goals for the effort are open to expansion or change. Will new goals be created as old ones are met? What do we expect to continue? To change?

- c. Describe what the group has accomplished in terms of reaching its goals. What changes and improvements have resulted from your efforts?

- d. Describe the current structure and organization of the initiative. Is the organization one independent entity, or a part of a partnership among several groups with different funding bases working together?

- e. Describe the current membership, leadership, staff, and volunteers. Will the organization need resources to support permanent personnel? Has leadership capacity been fostered

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such that change will not disrupt the group's functioning?

- f. Describe the current foundation or basis of funding and resources. Was the initiative started with a small grant or other time-limited funding support, and how much longer will that funding remain? What tactics has the group been dependent on (e.g. yearly fundraising) to maintain its efforts?
-
- g. Indicate probable or potential obstacles to sustainability. How could future political or economic situations affect resources? Will the need for financial resources grow or diminish over time? Are the goals of the effort seen as important to the community at large?
-
- h. Describe the public's awareness of your group, and the publicity it has received. How well known is the effort? By whom?
-

3. Create a business plan to anticipate what resources will be necessary to sustain the organization or effort:

- a. Describe the service(s) or product(s) to be offered, including:
- 1) Specify the services or products you provide (e.g., training, advocacy, specific needed services and supports). What will your organization or effort offer?

 - 2) Need for the service or product. What benefits will result? What is the value added beyond what is already available?

 - 3) Competition. Who is positioned to offer the same or similar service or product? Why is yours better?

 - 4) Qualifications and reputation of the organization providing the service or product. What is your organization's experience and history of success? What is its reputation in the community?

- b. Describe the potential market or audience and how they will be reached:
- 1) Audience or market for the service or product. Who can benefit? Who can pay?

2) Promotion. How will they be reached (e.g., personal contacts, mailings, radio and/or TV)? _____

3) Quality control. How will the quality and satisfaction with the service or product be assessed? How will feedback be obtained and used to continuously improve the service or product? _____

c. Generate an annual budget, including:

1) All projected expenses (e.g., salaries, office expenses, rent, utilities, phone and computer expenses, equipment, travel).

Salary _____

Office Expenses _____

Rent _____

Utilities _____

Equipment _____

Travel _____

Total _____

2) All projected income - based on current sources of funding and incorporating known changes. _____

3) The interaction of expenses and income (e.g., How are certain forms of funding tied to specific activities?). What activities are tied to funding? What percentage of your current budget cannot be allocated to new projects?

d. Use the anticipated budget to:

1) Evaluate the financial resources needed to sustain the programs and services of the initiative.

2) Identify ways to generate resources other than money (e.g., time, materials) to meet some of the anticipated expenses.

3) Set priorities for which programs and services to maintain (e.g., those most important and/or cost-effective).

e. Set specific goals for financial resources to be generated for the organization or effort (i.e., how much of what kind of resources by when, like "By 2015, to have an annual operating budget of \$2,000,000 with cash reserves equal to 25% of the budget"). What is your organization's immediate financial goal? Longer-term goal?

4. Develop a marketing plan for reaching out to the community and its funders:

- a. Identify who will be involved in developing the marketing plan (e.g., staff, clients, outside experts)
- b. Affirm and use your organization's mission statement in communications
- c. Set goals for your marketing plan (e.g., for community awareness, for financial resources)
- d. Identify priority sources for support (e.g., government agencies, foundations, business)
- e. Specify what donors want (e.g., appreciation, indications that the contribution made a difference)
- f. Develop and nourish contacts with potential supporters and funding sources (e.g., periodic visits and communications)
- g. Use the "4Ps" of marketing in implementing your plan:
 - (1) Product (e.g., what your group offers, and its benefits)
 - (2) Price (e.g., costs, value added)
 - (3) Place (e.g., how you will make it easier for people to get access)
 - (4) Promotion (e.g., what message will be carried to whom, by whom, through what means)

5. Identify specific strategies and tactics to be used to sustain the effort. Twelve possible tactics for financial sustainability include:

- a. Share positions and resources-Collaborate with other with similar goals and needed resources. Indicate how you share staff positions, space, equipment, or other resources.
- b. Become a line item in an existing budget of another organization - Convince another organization to pick up part of the expenses of running the initiative (e.g., the city provides funding for a school health program).
- c. Incorporate the initiative's activities or services into another organization with a similar mission - Plan for incorporation after being established (e.g., an after-school program that the local church sponsors after several years).
- d. Apply for grants - Consider time and resources that will be necessary for success, and the need for reapplication.
- e. Tap into available personnel resources - Recruit people or positions in other organizations that can be shared at low or no cost (e.g., clerical staff). Take advantage of volunteers, internships, college work-study programs, and other options.
- f. Solicit in-kind support - Seek goods and services the organization would otherwise have to purchase (e.g., donations of paint or office supplies from a local business).

- g. Develop and implement a fundraiser - Identify products, services or events that will inspire others to contribute money to the organization, and determine the scope of the fundraiser (e.g., one-time vs. annual event).
- h. Pursue third party funding - Solicit third parties not actually involved with the effort, and not directly benefiting from it, to provide resources for two other parties to interact. Choose organizations or businesses that have an interest in the outcome of the interaction (e.g., businesses providing funding for job training for youths to create a better prepared workforce).
- i. Develop a fee-for-service structure - Require clients who receive services to pay for them. Sliding-fee scales could help those with little money who need the services and those organizations that are philosophically opposed to refusing those in need (e.g., clients pay for health services based on their ability to pay).
- j. Acquire public funding (e.g., from state legislature or city council). Successful relationship building with legislators could result in regular or annual financial support if the organization's goals are seen to align with their interests.
- k. Secure endowments or planned giving arrangements - Use interest from funds as annual income.
- l. Establish membership fees and dues - Although this may allow the organization to initially forecast expected income, it makes dues a condition of membership and will probably yield less financial resources than outside sources.

What are the primary tactics your organization will use to sustain its efforts?

- 1) _____
- 2) _____
- 3) _____
- 4) _____

6. Outline an action plan for implementing the specific tactics chosen to sustain the organization:

- a. For each goal tactic (e.g., obtain grant funding), develop a separate action plan.
- b. Describe:
 - 1) What activities will be carried out
 - 2) Who will do it
 - 3) By when the activity will be completed, or for how long it will be maintained
 - 4) Resources that will be needed to complete it
 - 5) Communication - Who should know what about this

