

**School of Public and Environmental Affairs
Indiana University-Purdue University Indianapolis**

V558 – Fund Development For Nonprofits

Spring 2007

(Monday/Wednesday) 4.30 – 5.45pm

Meeting Room (2006)

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Overview

The course is structured to provide participants with a thorough grounding in the principles and practice of fundraising. The course is structured to mirror the process of fundraising management and by the end of the program participants will have developed a fundraising plan for their own, or a case study organization. We consider planning frameworks and a variety of conceptual tools before moving on to consider donor behavior (the underlying psychology and sociology) and each major form of fundraising in turn. The course will then conclude with an examination of the critical managerial and sectoral issues impacting on the fundraising function, such as campaign integration, benchmarking of performance and public trust and confidence.

The course will be led by Adrian Sargeant, currently the world's only specialist Chair in Fundraising and a number of guest speakers with expertise to offer in specific areas of the syllabus. The aim is to provide a high quality learning experience that will enable all participants that wish to, to develop their career in fundraising.

Tutor Bio

Professor Sargeant gained an MBA from Heriot-Watt University in 1993 and a PhD from the University of Exeter in 1996. He joined IU as the Robert F Hartsook Professor of Fundraising in 2006. He is currently a visiting Professor of Nonprofit Marketing at Bristol Business School and Henley Management College in the United Kingdom. He is also Adjunct Professor of Philanthropy at the Centre of Philanthropy and Nonprofit Studies at Queensland University of Technology, where he won a Myer Fellowship in the Summer of 2005.

Professor Sargeant is the Managing Editor of the International Journal of Nonprofit and Voluntary Sector Marketing and a member of the Editorial Boards of the Journal of Nonprofit and Public Sector Marketing and Nonprofit and Voluntary Sector Quarterly. He has acted as a guest editor for New Directions in Philanthropic Fundraising and the leading Journal of

Business Research. He has published 58 peer reviewed academic articles, 7 books and made over 100 conference appearances in the past 10 years. The majority of this output has focussed on the topic of nonprofit marketing and within that, fundraising management.

Professor Sargeant has a high profile within the fundraising profession across the world and was recently voted by readers of Professional Fundraising Magazine as the 7th most influential person in fundraising. His text 'Building Donor Loyalty' has been listed as the book of the month by the Association of Fundraising Professionals in the United States and by the Fundraising Institute of Australia. He has acted as a consultant to the Giving Campaign latterly authoring their 'Future of Giving' report, a blueprint for doubling giving by 2015. He has also acted as an advisor to the Home Office on the stimulation of individual giving.

In 2004 Professor Sargeant pioneered the public information website www.charityfacts.org which will shortly be developed to provide a similar service to the public in both the United States and Australia. The site is underpinned by an ongoing and ground breaking study tracking the fundraising performance of a cross section of charities. This work is funded by the fundraising professional bodies and a number of large national charities.

Learning Outcomes

This course aims to enable participants to understand and critically evaluate how the voluntary sector solicits funds from individual, corporate and foundation donors.

Subject Specific Skills

Upon completion of the course a participant will typically be able to:

- a) Apply a wide range of tools, models and frameworks to solve practical fundraising problems
- b) Analyse and evaluate the fundraising strategy adopted by particular nonprofit organizations and suggest improvements to individual, corporate and foundation fundraising practice
- c) Synthesise and apply the latest research and thinking in fundraising to inform and improve professional practice
- d) Write a fundraising plan for a charity or other nonprofit organization
- e) Analyse and evaluate the legal and ethical implications of various forms of professional practice
- f) Understand and implement the Institute of Fundraising/AFP Codes of Professional Conduct
- g) Manage and develop fundraising teams
- h) Analyse, reflect upon and develop their individual professional practice

Knowledge and Understanding

Upon completion of the course a participant will typically have a comprehensive and critical knowledge and understanding of:

- a) Current research based knowledge at the forefront of the fundraising discipline.
- b) The role of both the marketing philosophy and function in facilitating the solicitation of funds from a wide range of potential funders
- c) The nature and process of fundraising strategy development, both in relation to the solicitation of new donors and the retention and development of existing donors
- d) The nature and impact that external and internal factors have on the design and implementation of fundraising strategy
- e) Fundraising Codes of Professional Practice

Cognitive and Intellectual Skills

Upon completion of the course a participant will typically be able to:

- a) Apply a disciplined approach to the analysis of various complex fundraising problems and their resolution through the selective and appropriate use of tools for analysis and strategy formulation
- b) Make selective and critical use of academic material for the examination of complex marketing issues
- c) Use a range of theoretical models and frameworks to critically evaluate both strategic and tactical options

Other Transferable Skills

Upon completion of the course participants will typically be able to:

- a) Communicate ideas and arguments in a clear and logical manner to an academic or professional audience
- b) Undertake independent and self directed study
- c) Draw from and make selective use of published material with minimum guidance
- d) Manage and develop teams

Teaching and Learning Methods:

A range of teaching and learning methods will be employed including lectures, case studies and group discussions. The sessions will include a number of exercises designed to allow participants to apply the frameworks/models introduced in the course to specific case study examples. Participants will also be encouraged to find creative solutions to current fundraising issues and concerns and to develop fundraising strategies/tactics for a wide range of different organisations.

Required Reading

The Fund Raising School – Principles and Techniques of Fundraising (2006 Edition)

Those students preferring an international perspective on the topic may wish to consider purchasing an alternative to the Fund Raising School text, namely:

Sargeant A., and Jay E (2004) Fundraising Management, Routledge, London

There is no need to purchase both

Highly Recommended Reading

Aaker D.A., Kumar V and Day C.S. (2000) Marketing Research, Wiley.

Burnett K (2002) Relationship Fundraising, Jossey Bass, San Francisco.

Grønberg, Understanding Nonprofit Funding: Managing Revenues in Social Service and Community Development Organizations. Jossey Bass, 1993. Available online at <http://indiamond.ulib.iupui.edu/PRO/promonograph.html>

Hogan C (2004) Prospect Research: A Primer For Growing Nonprofits. Jones and Bartlett, Sudbury MA

The Foundation Center, The Foundation Center's Guide to Proposal Writing (3rd Edition). The Foundation Center. 2001. ISBN: 0-87954-958-0. \$34.95 (available at the bookstore).

Tempel, Eugene R. (ed.), Hank Rosso's Achieving Excellence in Fund Raising, 2nd Edition. San Francisco: Jossey-Bass, Inc., 2003. \$40.00 ISBN: 0-7879-6256-2 (similar to TFRS manual, use as supplement)

Smith G (1996) Asking Properly: The Art of Creative Fundraising, White Lion Press.

Warwick M (2001) Fundraising on the Internet: The E-philanthropy Foundation Organization's Guide To Success Online, Jossey Bass.

Warwick M (2004) Revolution in the Mailbox, Jossey Bass, San Francisco

Recommended Reading

Greenfield, James M. The Nonprofit Handbook: Fund Raising, 3rd Edition John Wiley, 2001

Hopkins, Bruce R. The First Legal Answer Book for Fund-Raisers. John Wiley. 2000. ISBN: 0-471-35619-0. \$55.00 (available at the bookstore).

Hopkins, Bruce. Starting and Managing a Nonprofit Organization: A Legal Guide. (3rd Ed.). New York: John Wiley & Sons, Inc. 2001 (available at the bookstore).

Sargeant A (2004) Marketing Management for Nonprofit Organisations (2nd Edition), Oxford University Press, Oxford.

Smith, Bradford, et al. Philanthropy in Communities of Color. Indiana University Press. 1999. ISBN: 0-253-33493-4. \$29.95 (available at the bookstore). You can obtain a 20% discount by ordering from IU Press website (iupress.indiana.edu) - use code stdt when you check out).

Trade Press/Key Academic Journals

Fundraising Management

Nonprofit Times

Chronicle of Philanthropy

International Journal of Nonprofit and Voluntary Sector Marketing

Journal of Nonprofit and Public Sector Marketing

Nonprofit and Voluntary Sector Quarterly

Nonprofit Management and Leadership

Voluntas

Key Websites

The finest list of nonprofit resources on the net, together with brief descriptions in respect of content can be found at:

<http://www.bus.qut.edu.au/research/cpns/links.jsp#external>

There are also the excellent (!):

www.charityfundraising.org

www.charityfacts.org

Statement on Plagiarism

Plagiarism is the use of the work of others without properly crediting the actual source of the ideas, words, sentences, paragraphs, entire articles, music or pictures. Using the work of other students, with or without their permission, is also plagiarism if there is no clear indication of the source of the original work. Plagiarism, a form of cheating, is a serious offense and will be severely punished. When plagiarism is suspected, the instructor will inform the student of the charge; the student has the right to respond to the allegations. If a student is charged with plagiarism, procedures outlined in the IU "Student Rights and Responsibilities" statement will be followed. Students have the right to appeal any charge to the Academic Affairs Committee.

For information about SPEA's academic policies relating to academic dishonesty, civility, withdrawing from courses, incompletes, students called to active duty, and final exams, please see <http://www.indiana.edu/~speagrad/policies.html>

Access and Equal Opportunities

It is our view that places of learning should be welcoming to all individuals regardless of race, religion, gender, sexual orientation or disability. Racist, sexist and other discriminatory behaviour is not acceptable and positive action to combat such behaviour will be taken. Offenders may be barred from attending future classes.

Course Schedule

Overview

Introduction

Introduction to the nonprofit sector / fundraising
Fundraising Research and Planning
The Fundraising Audit
Fundraising and the law
Fundraising Ethics

Individual Giving

Annual Fund / Capital Campaigns
Donor Behavior
Donor Recruitment
Donor Development
Donor Lifetime Value
Major Gift Fundraising
Planned Giving
New Electronic Channels

Corporate / Foundations

Fundraising Management

Budgeting
Benchmarking and Metrics
Public Trust and Confidence

Week By Week Breakdown

<p>Session 1 Week Commencing Jan 8th</p> <p>Read</p> <ol style="list-style-type: none">1. PTFR Part 1 Introduction <p>Or</p> <ol style="list-style-type: none">2. Sargeant and Jay (Chapter 1) <p>Recommended Reading</p> <p>Rosen M.J. (2005) 'Doing Well By Doing Right: A Fundraiser's Guide To Ethical Decision-Making'. International Journal of Nonprofit & Voluntary Sector Marketing, Vol. 10 Issue 3, p175-181</p> <p>Wider Reading</p> <p>Anderson A (1996) Ethics For Fundraisers, Indiana University Press</p>	<p>Introduction – Course Review Definition of philanthropy – 501 (c) (3) status Fundraising Cycle – Annual Fund – Capital Campaign Roles of Fundraising Executives Current State of Giving Fundraising Ethics</p> <p>Assignment</p> <ul style="list-style-type: none">• Collect Direct Mail for next 4 weeks
<p>Session 2 Week Commencing Jan15th (No Monday Class – Martin Luther King Jr Day)</p> <p>Read</p> <ol style="list-style-type: none">1. PTFR – Part 2 <p>Or</p> <ol style="list-style-type: none">2. Sargeant and Jay – Chapters 2 and 3 <p>Recommended Reading:</p> <p>Ireland D and Hitt M.A. (1992) 'Mission Statements: Importance, Challenge and Recommendations for Development' Business Horizons, Vol. 35 Issue 3, p34-42.</p>	<p>Researching The Environment Introduction To Planning</p> <p>Mission The Fundraising Audit PEST Factors Secondary Sources Primary Data Collection Methods</p> <p>Portfolio Assignment #1:</p> <ul style="list-style-type: none">• Complete a fundraising audit for your selected nonprofit.

Keirouz, Grimm & Steinberg: (1999) "The Philanthropic Giving Index: A New Indicator of the Climate for Raising Funds." Nonprofit and Voluntary Sector Quarterly, 28 (4), p491-99. For the most recent report, see <http://www.philanthropy.iupui.edu/research.html>

Wider Reading:

Aaker D.A., Kumar V and Day C.S. (2000) Marketing Research, Wiley.

Session 3

Week Commencing Jan 22nd

Read (due January 3):

1. PTFR – Part 3
- Or
2. Sargeant and Jay – Chapter 4

Recommended Reading

Benefit Segmentation for Fund Raisers. By: Harvey, James W.. Journal of the Academy of Marketing Science, Winter90, Vol. 18 Issue 1, p77, 10p

van Slyke D.M. and Brooks A.C. "Why Do People Give? New Evidence and Strategies for Nonprofit Managers. American Review of Public Administration, Vol. 35 Issue 3, p199-222.

Hibbert S.A. (1995) 'The Market Positioning of British Medical Charities.' European Journal of Marketing, Vol. 29 Issue 10, p6-27.

Fundraising Planning

Derivation of Objectives
Fundraising Strategy
Fundraising Tactics
Planning Models and Frameworks

Portfolio Assignment #2:

Annual Fund Plan

Session 4

Week Commencing Jan 29th
Guest Speaker – Jen Shang

Read

1. Sargeant and Jay: Chapter 5

And

Sargeant A and Woodliffe L (2005) Understanding Giving, Working Paper, Bristol Business School

Recommended Reading

Burnett J.J. and Wood V.R. (1998) 'A Proposed Model of the Donation Process', Research in Consumer Behavior, 3: 1-47.

Giving Behavior

Donor Characteristics
Donor Motivation
Campaign Stimuli

Carson E.D. (2000) 'The New Rules for Engaging Donors of Color: Giving in the Twenty-First Century. New Directions for Philanthropic Fundraising, Vol. 2000 Issue 29, p69-80.

Schervish P.G. (2000) 'The Material Horizons of Philanthropy: New Directions for Money and Motives. New Directions for Philanthropic Fundraising, Vol. 2000 Issue 29, p5-16.

Schervish P.G. (2000) 'The Spiritual Horizons of Philanthropy: New Directions for Money and Motives.' New Directions for Philanthropic Fundraising, Vol. 2000 Issue 29, p17-32.

Bendapudi N and Singh S.N. (1996) 'Enhancing Helping behaviour: An integrative Framework for promotion Planning', Journal of Marketing, 60(3), 33-54.

Session 5

Week Commencing Feb 5th

Donor Recruitment

Direct Mail
Telephones and Telemarketing
Special Events
New Electronic Channels
Face To Face

Read:

1. PTFR Section 4 – Chapters 13-16

Or

2. Sargeant and Jay: Chapter 6

Portfolio Assignment #3
Direct Mail Letter

Recommended Reading

Do-it-yourself DRTV: A practical guide to making direct response television advertising work for charities. By: **Aldrich**, Tobin. International Journal of Nonprofit & Voluntary Sector Marketing, May2004, Vol. 9 Issue 2, p135-144

Diamond W.D. and Gooding-Williams S. (2002) 'Using Advertising Constructs and Methods to Understand Direct Mail Fundraising Appeals.' Nonprofit Management & Leadership, Vol. 12 Issue 3, p225-243.

Jay E (2001) 'The Rise and Fall of Face-to-Face Fundraising in the United Kingdom'. New Directions for Philanthropic Fundraising, Vol. 2001 Issue 33, p83-94

Session - 6

Week Commencing Feb 12th

Donor Retention

Determinants of Loyalty
Donor Service Quality
Donor Lifetime Value

Read

1. PTFR – Section 4 Chapter 21

- Or
2. Sargeant and Jay: Chapter 7

Recommended Reading

Sargeant A and Woodliffe L (2005) ‘The Antecedents of Donor Commitment to Voluntary Organizations.’ Nonprofit Management & Leadership, Vol. 16 Issue 1, p61-78.

Sargeant A (2001) ‘Using Donor Lifetime Value to Inform Fundraising Strategy.’ Nonprofit Management & Leadership, Vol. 12 Issue 1, p25-39.

Session 7

Week Commencing Feb 19th

Read

1. PTFR – Section 4 – Chapter 19

Recommended Reading

Kirsh R.P and Shell M.W. (1998) ‘Achieving Leadership Gifts: The Investment Returns of Lasting Relationships.’ New Directions for Philanthropic Fundraising, Vol. 1998 Issue 21, p35-60

Capital Campaigns

Campaign Elements
The test for readiness
Planning and Implementation

Portfolio Assignment #4:

Capital Campaign Test For Readiness – pages 157-159 PTFR

Session 8

Week Commencing Feb 26th

Read

1. PTFR – Section 4 – Chapter 20

Or

2. Sargeant and Jay: Chapter 9

Recommended Reading

Cole K., Dingle R and Bhayani R (2005) ‘Pledger Modelling: Help the Aged Case Study.’ International Journal of Nonprofit & Voluntary Sector Marketing, Vol. 10 Issue 1, p43-52.

Sargeant A and Hilton T (2005) ‘The Final Gift: Targeting the Potential Charity Legator.’ International Journal of Nonprofit & Voluntary Sector Marketing, Vol. 10 Issue 1, p3-16

Planned Giving

Definition of planned giving
Aspects of wills, trusts and other instruments
Developing and implementing a planned giving program

Portfolio Assignment #5:

Evaluate planned giving or design planned giving program

<p>Session 9 Week Commencing March 5th</p> <p>Read</p> <p>Read</p> <ol style="list-style-type: none"> 1. PTFR – Part 4 Chapter 18 & Part 6 – Chapter 25 <p>Or</p> <ol style="list-style-type: none"> 2. Sargeant and Jay: Chapter 8 <p>Recommended Reading A Benefit Segmentation of the Major Donor Market. By: Cermak, Dianne S. P.; File, Karen Maru; Prince, Russ Alan. Journal of Business Research, Feb94, Vol. 29 Issue 2, p121-130</p> <p>Schervish P.G. (2005) 'Major Donors, Major Motives: The People and Purposes Behind Major Gifts.' New Directions for Philanthropic Fundraising, Vol. 2005 Issue 47, p59-87.</p> <p>Kottasz R (2004) 'How Should Charitable Organisations Motivate Young Professionals to Give Philanthropically?' International Journal of Nonprofit & Voluntary Sector Marketing, Vol. 9 Issue 1, p9-27.</p>	<p>Major Gift Fundraising Prospective donor research Donor motivation Donor recognition The solicitation plan</p>
<p>Session – 10 Week Commencing March 19th</p> <p>Read</p> <ol style="list-style-type: none"> 1. PTFR – Part 6 – chapters 26-28 <p>Or</p> <ol style="list-style-type: none"> 2.Sergeant and Jay – Chapters 11 and 12. <p>Recommended Reading Porter M.E and Kramer M.R.(2002) 'The Competitive Advantage of Corporate Philanthropy'. Harvard Business Review, Vol. 80 Issue 12, p56-69.</p>	<p>Corporate and Foundation Fundraising Trends and developments Donor motivation Categories of donor support Workplace giving Approaching Corporations and Foundations</p> <p>Assignment Prepare Corporate/Foundation Presentation</p>

Madden K., Scaife W and Crissman K (2006) 'How and Why Small to Medium Size Enterprises (SMEs) Engage With Their Communities: An Australian Study.' International Journal of Nonprofit & Voluntary Sector Marketing, Vol. 11 Issue 1, p49-60

Moir L and Taffler R.J. (2004) 'Does Corporate Philanthropy Exist?: Business Giving to the Arts in the U.K.' Journal of Business Ethics, Vol. 54 Issue 2, p149-161.

Session 11

Week Commencing March 26th
 Monday – Guest Speaker – Kim Gattle
 Wednesday – No Class – portfolio work

Guest Speaker

Session 12

Week Commencing April 2nd

Presentations of Corporate/Foundation Proposals

Session 13

Week Commencing April 9th

The Organization's Human Resources

Governing Board
 Professional Staff
 Volunteers
 Motivation
 Team Building

Read

1. PTRF – Section 5

Portfolio Assignment 6:

- Complete profile of Board
- Board evaluation
- Fundraising and leadership assessment

Recommended Reading

Starnes B.J. and Wymer W (2001) 'Conceptual Foundations and Practical Guidelines for Recruiting Volunteers to Serve in Local Nonprofit Organizations: Part I.' Journal of Nonprofit & Public Sector Marketing, Vol. 9 Issue 3, p63-96.

Starnes B.J. and Wymer W (2001) "Conceptual Foundations and Practical Guidelines for Retaining Volunteers Who Serve in Local Nonprofit Organizations: Part II.' Journal of Nonprofit & Public Sector Marketing, Vol. 9 Issue 3, p97-118.

Siliciano J.I (1996) 'The Relationship of Board Member Diversity to Organizational Performance'. Journal of Business Ethics, Vol. 15 Issue 12, p1313-1320

Session 14

Week Commencing April 16th

Read

1. PTRF – Section 3

Managing The Development Process

The management matrix for development
Organizational renewal through fundraising
Information Support Systems
Leadership

Session 15

Week Commencing April 23rd

Read

1. PTRF – Section 3

Or

2. Sargeant and Jay: Chapter 14

Recommended Reading

Young D.R. (2003) 'Effective Economic Decision-Making by Nonprofit Organizations' The Foundation Center. – Chapter 5 – Fundraising Costs (Cordes & Rooney)

Bradley B., Jansen P and Silerman L (2003) 'The Nonprofit Sector's \$100 Billion Opportunity', Harvard Business Review, Vol. 81 Issue 5, p94-103,

Sargeant A and Jay E (2003) 'The Fundraising Performance of Charity Websites: A US/UK Comparison', Interactive Marketing, 4(4), pp330-342.

Sargeant A, Jay E and Lee S (2006) 'Benchmarking Charity Performance: Returns From Direct Marketing In Fundraising,' Journal of Nonprofit and Public Sector Marketing, 16 (1/2), p77-94.

Sargeant A and Lee S (2002) 'Individual and Contextual Antecedents of Donor Trust in the Voluntary Sector.' Journal of Marketing Management, Vol. 18 Issue 7/8, p779-802

Financial Management

Budgeting for development
Benchmarking
Fundraising Costs
Transparency/Accountability

Course Assessment

Each class member is required to create a “learning portfolio” relating to a selected real-life nonprofit organization. The portfolio is to contain an assessment of the organization’s fundraising capabilities and two specific plans based on the principles and materials discussed in the class. Weekly activities will guide students in completion of the portfolio.

Your grade for the course will be based on class attendance and participation, the quality of the completed ‘learning portfolio,’ a presentation on one of the readings from the course packet, a simulated corporate/foundation presentation, and the final paper.

	Points
Learning Portfolio	
Fundraising Audit	60
Annual Fund Plan	80
Direct Mail Letter	20
Capital Campaign Test For Readiness	20
Planned Giving	20
Profile of Board	20
Portfolio Assignments Total	220
Corporate / Foundation Presentation	20
Reading Presentation	20
Class Attendance / Participation	20
Final Paper	40
Total Points	340

Grading Scale

A+	=	98-100%
A	=	94- 97%
A-	=	91- 93%
B+	=	88- 90%
B	=	84- 87%
B-	=	81- 83%
C+	=	78- 80%
C	=	74- 77%

Description of Portfolio Assignments

1. Using the framework provided in class as guidance, you are required to generate a fundraising audit for your selected nonprofit. You should consider PEST factors, competitor factors, collaborative factors and an internal analysis. You should summarize your audit with a SWOT analysis and include a brief summary of the key issues/challenges faced by the organization.
2. You are required to produce a plan to develop your selected nonprofit's Annual Fund. Your plan should contain:
 - a) Cover page – to include title, time period addressed in the plan, author, name of organization and, if appropriate, any confidentiality restrictions
 - b) Table of Contents
 - c) Fundraising Audit
 - d) SWOT Analysis
 - e) Assumptions
 - f) Fundraising Objectives
 - g) Fundraising Strategies
 - h) Tactics
 - i) Budget
 - j) Schedule
 - k) Responsibilities (if applicable)
 - l) Monitoring/Control
 - m) Contingencies
 - n) Appendices

Remember that your action plan should develop naturally from the issues and factors you identified previously in your audit. Credit will be given for responding appropriately to the challenges of the environment in which your nonprofit is operating so ***please submit your audit again with your plan.***

3. Write a direct mail letter asking for gifts to your organization. The letter can be for donor acquisition, gift renewal, or gift upgrade.
4. Complete the *Test for Readiness* (PTFR Section IV, pp. 157-159) for a capital campaign ***and*** write a brief narrative of your organization's readiness to begin a capital campaign. If your organization has completed a capital campaign within the past 15 months, write an analysis of the campaign's results based on the elements of the *Test for Readiness*.
5. Evaluate your organization's planned giving program -- how effective is it? How can it be expanded? Improved? ***OR*** if your organization is not currently involved in planned giving, design a start-up planned giving program for the organization.
6. Using the board membership of your organization, complete the form "*Your Board and Fundraising*" on pages 26-27, in Section V of PTFR. Write a brief narrative assessment summarizing the board's strengths and weaknesses.

Syllabus Insert on SPEA and Campus Policies

SPEA 2007 Policies

Syllabus Addendum

Academic Misconduct

Students are responsible for upholding and maintaining academic and professional honesty and integrity (*IUPUI Code of Student Rights, Responsibilities, and Conduct*, available at <http://www.iupui.edu/code/>, Part II Student Responsibilities, G). All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic misconduct promptly and thoroughly. Faculty members also have the responsibility of taking appropriate action when academic misconduct occurs. The penalties for academic misconduct include but are not limited to lowering a grade on an assignment, lowering a course grade, or failing a student for a course. SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic misconduct. If you have not done so, you should read about your responsibilities in the *IUPUI Code of Student Rights, Responsibilities, and Conduct* to ensure that you understand what these terms mean and what penalties can be issued for academic misconduct. Significant violations of the *Code* can result in expulsion from the University. If you have any questions about what constitutes academic misconduct for a course you are taking, be sure to ask the instructor for an explanation.

The *IUPUI Code of Student Rights, Responsibilities, and Conduct* defines four areas of academic misconduct: cheating, fabrication, plagiarism, and interference. The prohibited activities and actions include the following:

1. **Cheating.** A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
 - a. A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
 - b. A student must not use another person as a substitute in the taking of an examination or quiz.
 - c. A student must not steal examinations or other course materials.
 - d. A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted. Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.
 - e. A student must not collaborate with other persons on a particular project and submit a copy of a written report which is represented explicitly or implicitly as the student's individual work.
 - f. A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on field work.
 - g. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor to whom the work is being submitted.
 - h. A student must not alter a grade or score in any way.

2. **Fabrication.** A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.

3. **Plagiarism.** A student must not adopt or reproduce ideas, words, or statements of another person without appropriate acknowledgment. A student must give credit to the originality of others and acknowledge an indebtedness whenever he or she does any of the following:

- a. Quotes another person's actual words, either oral or written;
- b. Paraphrases another person's words, either oral or written;
- c. Uses another person's idea, opinion, or theory; or
- d. Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.

4. **Interference.**

- a. A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.
- b. A student must not give or offer a bribe, promise favors, or make threats with the intention of affecting a grade or the evaluation of academic performance.

Classroom Etiquette and Disorderly Conduct

SPEA, which is a professional school, expects students to conduct themselves in a courteous and civil manner in interactions with professors and fellow students. Examples of discourteous behavior during class include reading the newspaper, working crossword puzzles, listening to headphones, using computers to surf the web or for other non-class activities, talking or laughing with others, arriving late, and so forth. These behaviors are distracting to the instructor and to classmates, and SPEA faculty will address these problems as they arise either in class or on an individual basis.

Disorderly conduct that interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be reported immediately to the Office of the Dean of Students for disposition, which may result in disciplinary action, including possible suspension and/or expulsion from the university. Students should read the *IUPUI Code of Student Rights, Responsibilities, and Conduct*, which can be accessed at <http://life.iupui.edu/help/code.asp> in order to understand your responsibilities as a student.

Communication between Faculty and Students

In order to verify the identity of all parties involved, effective September 1, 2004, all email communication from current SPEA students to SPEA staff must originate from an Indiana University email account. For email communication with SPEA faculty, current SPEA students should refer to course syllabi for instructors' preferences (Oncourse, Webmail, etc.). This policy applies to current students only. Instructions for forwarding your IUPUI email to another account can be found at <http://uits.iu.edu/scripts/ose.cgi?berh.def.help>

Course Withdrawals

Students who stop attending class without properly withdrawing from the class may receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. **Poor performance in a course is not grounds for a late withdrawal.**

Withdrawal forms will not be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar's website at <http://registrar.iupui.edu/withdraw.html> for more

information. To withdraw, obtain a withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

Withdrawal Deadlines	
Course deleted from record, no grade assigned, 100% refund (Advisor signature IS NOT required)	Week 1 (last day)
Withdrawal with automatic grade of W (Advisor signature IS required)	Week 2– Week 7 (regular session) Week 2 – Week 3 (summer session)
Withdrawal with grade of W or F (Advisor and instructor signatures ARE required)	Week 8 – Week 12 (regular session) Week 3 – Week 4 (summer session)

Incompletes

A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. **Poor performance in a course is not grounds for an incomplete.** SPEA follows the campus guidelines, which may be accessed at the Office of the Registrar’s website at <http://registrar.iupui.edu/incomp.html>, in awarding incompletes. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an ‘F’ if the work is not completed within the allotted timeframe established by the instructor.

Grade Changes

Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar’s Office. **In SPEA, a student has 90 days after the conclusion of a course to appeal a grade.** In cases of extenuating circumstances, SPEA may consider petitions filed after this date. SPEA will review the request and make a final decision on a case-by-case basis. The Change of Grade petition form is located at the Office of the Registrar’s website at <http://registrar.iupui.edu/grdfm.html>.

Students Called to Active Duty

SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar’s website at <http://registrar.iupui.edu/activeduty.html>.

Final Exam Schedule

If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. Exams may not be given in the week before the final exam week. If a student is not able to resolve a final exam problem with the instructor, the student may report the

problem to the Director of Undergraduate or Graduate programs. See the Office of the Registrar's website at <http://registrar.iupui.edu/accal.html> for the final exam week schedule.