Grants and Grant-Proposal Writing: Third Edition

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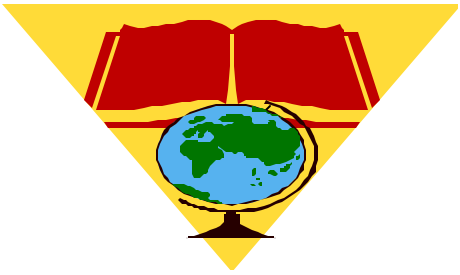

GRANTS AND GRANT PROPOSAL-WRITING

3rd Edition

A brief guidebook on seeking external resources for research projects based upon a compilation of original and existing information on funding opportunities, potential sources, and crafting a grant proposal.

Second revision. 2001,
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Author's note:

In order to maintain the utility of this guidebook (15,000 'downloads'/year on *eWeb* alone), the 2001 revised edition of the award-*winning Grants and Grant Proposal - Writing* guide has been restructured, and material edited as needed to improve the overall 'read-ability'. Additional relevant web sites have been included, while web sites/URLs that no longer function, have been removed. The guidebook has been enhanced through the addition of new material such as a copy of a proposal rating sheet to assist the applicant in better preparing a proposal by looking at the proposal through the eyes of the proposal reviewer. The value of prior 'research' on the grant making process is stressed as is focusing grant proposal writing efforts on the grant makers more pertinent to the study be conducted. Already existing sections have been reviewed and updated as warranted. Some of the original content remains in tact, as certain principles remain of benefit. To accommodate this, the 2001 edition is more than double the size of the original copy.

As encouraged in previous editions, the reader should employ all means possible to identify potential sources of support. Use of the Web for information may be convenient and inviting (indeed this guidebook contains a list of web sites which may be beneficial). However, sites/content may change, often without notice, therefore use of more traditional resources, such as libraries and organizations is strongly recommended, to learn as much as possible about the grant process and the individual grant making organizations. Through the use of a variety of sources, it is possible to obtain a good deal of material and "pointers" on the grant application process as well as benefit from many perspectives on the process. Ultimately, this should assist in the creation of a document that both describes the proposed project and appropriately addresses the concerns of the grant making organization. As will be stated later, the grant applicant should seek out the advice of institutional support offices, if available, as well as the input of previously successful grant applicants.

It remains important that grant seeker has a very good understanding of seeking and views grant seeking/grant making as a process. One that is not begun a few days before the submission deadline, but something that should last over time. Knowing and responding to the needs/ mission of the grant making organization is, arguably, as important as understanding the research/project being proposed.

Best Wishes and Success!

Feedback and suggestions for further development of this document are welcomed.
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Preface

Projected audience:

1. the doctoral student in the later stages of his/her academic program
2. faculty members
3. although this document is targeted at members of academia, the principles included also apply to non-academic grant seekers. A recommendation would be to review the portions of this document which would appear to be appropriate and make use of your local library and other resources to assist you in the grant proposal process.

Goals:

1) increased awareness of financial support beyond the boundaries of the higher educational institution.

2) an understanding of conventional components of a grant application/proposal.

3) effective proposal submission

Scope:

A rudimentary understanding of funding opportunities available, potential grant proposal writing resources, and the grant application procedures.

Introduction

Budgets, “across-the-board” are being “re-examined”, “re-structured”, and “re-directed” (reduced). Funding for research and scholarly activity has, in many cases, fallen victim to “cut backs” and fiscal “re-alignment.” It is increasingly common, and necessary, to seek resources beyond the confines of the educational institution. Financial assistance may be obtained from a variety of public and private sources, as well as governmental agencies.

Change is occurring in the manner of grant proposal submission. For instance, a number of grant making organizations, such as the National Science Foundation (NSF) no longer allow proposals in ‘paper’ form, rather, proposals must be submitted on-line (see NSF’s web site http://www.fastlane.nsf.gov for more information.) Whether ‘paper’ or ‘on-line’ the material contained in this guide will be of service to the grant seeker as a proposal , in some form, is still needed. Also, even the material required for submission varies now with some grant making organizations requiring a 2-3 page ’letter’ versus a lengthy and involved compilation of information. (Should a letter be the appropriate document sent, the concepts in this guide still apply, with the stipulation that a very concise document be the result.)

Faculty, of all ranks, may find that their research efforts are constrained by diminished funds for research available from the department, school or university, even though there is the great need to produce publishable research. Faculty members who have recently completed graduate training may not be as aware of external sources of funding or the procedure to secure such support as more senior faculty members.

Research is often limited by resources available. Particularly, graduate students' research is often limited by a lack of personal resources. Being knowledgeable of funding opportunities and proposal development may serve to facilitate the production of more plentiful and elaborate research by graduate students and faculty in general.

Financial support from an agency or foundation typically does not require the recipient to repay the monies made available in the funding package. However, a grant is not a source of funding which may be relied upon indefinitely. Most funding packages have time and financial boundaries -- grants are sometimes referred to as "soft money" for this reason, as opposed to "hard money" such as a dedicated budgetary line from a university or college. Nor are grants guaranteed sources of support. Simply writing a grant proposal and submitting it before the deadline does not mean that the grant applicant will be awarded any or all of the monies requested. Similarly, it should not be presumed that securing a grant is ‘automatic’ since the grant seeker meets the basic requirements of the grant making organization. Often obtaining a grant is a highly competitive process, one that may have having grant seekers from across a nation or even from several nations. Competition for funding/ support is increasing as many institutions of higher education have cut back on funding for research and many individuals (and teams of individuals) are contacting various grant-making sources in the hopes of securing support for projects/ research.

This document offers a brief overview of external sources of budgetary assistance which may provide support for research projects/programs. This information is the combination of original and existing material on where and how to obtain finances to defray the costs involved in conducting research, and the author's years of experience of serving on grant review panels and successfully pursuing funding from grant-making institutions.

The material in this guidebook is not definitive. Requirements are likely to vary from one grant-making agency to the next. More detailed information is available from the sources listed in this handbook and from books on this topic which may be found in your university's library and sources on the World Wide Web (WWW). It is strongly suggested that the prospective grant applicant invest time in reviewing more expansive information on the grant process prior to submitting a grant proposal.

Creating A Successful Proposal: Important Fundamentals

(increasing the odds in your favor)

The competition for grants/ external funding has increased significantly as institutions withdraw/ limit the support which may have been provided for research/ projects in the past. This being the case, it is important that the proposal writer/ submitter take the time to increase the likelihood that her/ his grant will be favorably reviewed and accepted. This may involve 'leg work' (whether physical or mental, or both), taking steps which should make the task of writing the proposal, and submitting it, less arduous.

What follows are some recommendations for grant proposal writer/ submitter which should be taken prior to (and during) the creation of the grant proposal.

Research before writing the grant proposal

Research done prior to writing the proposal will assist the grant seeker in appropriately preparing the submission. Specifically, this will be of service as the grant seeker responds to questions (discussed in the Grant Proposal section of this guidebook,) and highlights specific issues that need attention. This is important as the grant seeker is best served by 'tailoring' the proposal to address the needs/issues of each grant making organization.

✓ Be aware that there are a number of grant-making organizations, private, public and governmental. Realize that these also may change, in number, in terms of approved projects, in terms of organizational emphasis.

✓ Determine which grant-making organizations exist, and which may be most appropriate for (likely to support) your project/ research.

✓ Make use of 'directories' or 'catalogs' of grant-making organizations, often, these are available, not only in book form, but also on CD-ROM and 'on-line'.

✓ Utilize the services of your institution's 'Office of Sponsored Programs" or 'Office of Grants and Research' (or some similar title.)

✓ Obtain, and use, the 'guide' books or application procedure publications (often referred to as the application materials) of the grant making agency. This is VERY important.

✓ Identify the requirements of the grant-making agency, and be certain that you/ your project fulfills them.

✓ Make certain that the resources you seek can be obtained from the grant-making organization that you contact. For example, some grant-making organizations will not provide funds to cover "institutional overhead" (or some similar term.)

✓ Understand what is expected of you from the grant-making agency in exchange for the support they may deliver. Some grant-making resources have specific requirements, expectations, and/ or limitations that may be placed upon the grant recipient.

Research before writing the grant proposal (continued)

✓ "IRS 990-PF" forms are documents that the Internal Revenue Service requires private foundations to submit. This document indicates the foundations assets and identifies how many grants had been awarded the previous year. The 990-PF also provides some examples of grants which had been approved by the organization. This is useful information to the potential grant applicant and may help to refine the list of funding agencies considered as well as further defining the grant proposal itself.

"Goodness of Fit"

This reflects the degree of similarity or consistency between the research/project which support is sought for, and the mission or objectives of the grant making organization support is sought from. It cannot be over emphasized that this "goodness" or "degree of fit" is a critical feature in approval of the proposal.

Ways of identifying the organization's mission or objectives include the following (but is not limited to just these):

1) Reading the organization's stated mission or objectives as may be found on their web site or in their literature. Some organizations clearly state what they do and do not fund.
2) Identify the areas of interest of the organization.
3) Review the initiatives or groups previously funded by the organization.
4) Identify what proposals have been approved in the past. This will give a sense of what has been deemed 'appropriate ' or 'fundable.'

The procedure for writing a grant application/ proposal, one that is likely to be successful, begins with research. When you begin to create your proposal for obtaining a grant, it is very important that you make certain that your proposed project/ research is in accordance with the 'mission' of the grant-making organization.

Research before writing the grant proposal (continued)

There are several sources which can be used to help identify which grant-making institutions which may be more appropriate for your specific project/ research proposal. Take the time to thoroughly search for institutions that support projects/ research similar to that you are proposing. Targeting your proposal to the particular grant making organization shows attention to detail and gives evidence of a thoughtful proposal versus a 'shotgun' approach of sending the same proposal to a number of different grant making organizations. This will save a great deal time and keep you from writing numerous, time consuming, grant proposals that have little likelihood of success.

Awareness of overall clarity

As is said in other places in this document, avoid the use of 'jargon', especially "discipline-specific" jargon/ terms. Regard the reviewers as intelligent individuals, but do not presume absolute knowledge of all aspects of your research/ project as many grant-making institutions have grant review panels composed of experts from a number of different fields representing varying specialties. Clearly (and in some cases, concisely) respond to the key items of: "Who"; "What"; "Where"; "When" and "Why"; as appropriate and germane to your proposed research/ project.

The Grant Proposal

Depending upon the grant making organization, the grant making process may be begun by sending a brief (1-2 page) letter of inquiry to the grant making organization. If interested, the grant making organization may then request a more elaborate grant proposal (although in some cases, the 'letter' may be all that is desired for grant approval.)

To secure the assistance of a sponsoring organization it is usually necessary to develop a written description of the project you wish to have supported. This written description is usually referred to as a grant proposal. Generally speaking, among other items, the grant proposal includes information about the grant applicant, information about the project itself, and detailed information about the budget for the project. However, proposals can range from brief sketches, a page or two in length, to exacting documents consisting of several sections of many pages each, and appendices. Suffice it to say, the proposal can (and does) vary in desired length, the items required in the proposal, the level of detail/ description of the project (all this and more depend on the individual grant making institution.) BE CERTAIN TO VERIFY WHAT THE INSTITUTION REQUIRES IN THE SUBMISSIONS. Also, the phrase "one size fits all…"does not apply in the grant seeking/ grant making process. The applicant will be best served by taking the time to 'target' or 'tailor' each proposal made to each individual grant making organization. Rather than solely focusing on the grant seeker's needs, the proposal should also reflect how the research/project under review will meet the needs/goals of the grant making organization.

To those familiar with entrepreneurship, the grant proposal may appear similar in some respects to a business plan. This may be especially apparent in that the grant proposal (should) clearly identifies (among other items):

- ✓ the "product or service" to be "provided";
- ✓ the "management team" (principal investigator(s) and collaborators) - and their background/ qualifications for taking part in the project;
- ✓ the tools/ items available to assist in completion of the project;
- ✓ the funds necessary to complete the project, as well as stipulating how the funds will be utilized.

The proposal often can be used as a management tool once the project has begun much in the same way the business plan may be used as a guide to assist in the success of the new venture's operation.

The Grant Proposal (continued)

"Preliminaries"

- ✓ the principal investigator/ researcher should possess the credentials sought by the funding source.
- ✓ do you have access to the items/ colleagues necessary to complete the project. (See "networking" in the "considerations" section of this guidebook.)

Elements of the Grant Proposal

(in general -- certain grant-making organizations may require different/ additional information. Order of inclusion may vary, some items may not be required):

- ✓ Curriculum Vitae
- ✓ Statement of need
- ✓ Objectives
- ✓ Procedures
- ✓ Time Frame
- ✓ Evaluation
- ✓ Budget
- ✓ Narrative
- ✓ Future funding

The following issues are addressed by these elements:

***Curriculum Vitae* - Who?** Identify who the applicant is and establish the applicant's credibility. If more than one individual will be a principal member of the research team, some grants may require such information on each member of the research team. It is possible that a certain 'legitimacy' may be given to the proposed research/ project if a well-known/ regarded individual is listed as a member of the research/ project team. You must demonstrate your expertise/ ability to carry out the proposed research.

The Grant Proposal (continued)

***Need* - Why?** You identify a problem or a gap in the knowledge base. Discuss why the need/ or problem is being investigated (not everyone will see the urgency of the matter you are concerned with). Take the time to clearly and respectfully illustrate the importance of the issue being investigated and the value of your study.
Address the matter of why you need a grant to accomplish this task. Convince the funding organization of the value/need of your proposed activity. Do not presume that the reviewers share your knowledge of, or level of involvement with, the proposed project. This bears repeating, do not focus solely on 'your' needs, but also illustrate how the research/project will meet the grant maker's needs.

***Objectives* - What?** In this section you describe, in greater detail, what you plan to achieve (responding to the need). These objectives should be achievable within the parameters of the grant proposal.

***Procedures* - How and When?** Report the plan and methods you will employ in your attempt to respond to the need (what actions will be taken to realize the objectives).

***Time Frame* - When?** Describe when the study or project or program is expected to be initiated and completed. Make certain that these dates will allow you to achieve your objectives. Be certain of funding deadlines. To insure that the research/project will be completed in the time available.

Evaluation - This sets the criteria by which you and the grant-making institution may judge the performance of the research effort.

***Budget* - How much?** This section describes the amount of financial support required for completion of the project. It includes how and when funds will be spent in order to accomplish the objectives. If a narrative of description of the project is called for, be certain that items requested are identified in the narrative and that their importance to the project is indicated.

Narrative/ Description – An account of the research/project proposed. Show a stream of reasoning, a logical progression from previous research and/ or events presented in the literature. The actual length of this section may vary depending upon the individual grant making organization. Make efforts to make this section clear and easily understood (particularly if the grant making organization employs a multidisciplinary grant proposal review panel.)

Future funding - What will happen to you and your idea once the grant money runs out? This section predicts the eventual outcome of the grant if awarded.

PRESENTATION

Depending upon the grant making organization, a presentation by the grant seeker may be requested or required. Generally, these a brief verbal reviews of the research/ project proposed. This may also give the grant making organization the opportunity to interview the grant seeker. The grant seeker may use this time to stress the value or contribution of the research/project and demonstrate the connection between/ alignment of the research/ project's objectives and those of the grant making organization. Such presentation are usually formal in nature and it is recommended that the grant seeker be knowledgeable of both the research/project proposed and the grant making organization.

Adapted from: Margolin, Judith, The Individual's Guide to Grants, Plenum Press, 1983.

O'del, John N., Seeking External Support for Research by Graduate Students in Management: A Perspective from the Mark Diamond Research Fund, Presentation at the Grant-Writing Workshop for Graduate Students, University at Buffalo (SUNYAB), 1990.
Grant-Writing Workshop for Graduate Students, Mark Diamond Research Fund, SUNYAB, 1990.

Considerations

Constructing a grant proposal requires more effort than simply expressing your ideas in written form. The likelihood of writing a grant proposal, which will be favorably reviewed, will increase if you are aware of certain issues, which may determine if the grant-making agency/ foundation is appropriate to you and your project. (The following are in no particular order of significance.)

✓ Contact the various potential funding sources (agencies/ organizations/ foundations) as soon as possible to have time to receive and read, the complete package of information which may accompany the grant proposal application.

✓ "Networking" is a valuable mechanism for the applicant in increasing the range of skills/ collaborators/ material, which may be required to complete the project.

Contacts established professional meetings (such as the Academy of Management meeting or United States Association for Small Business and Entrepreneurship -USASBE- or the International Council for Small Business -ICSB-) may prove useful. As well as contacts made through

Considerations (continued)

colleagues, research advisors, senior faculty, professional associates, may provide the opportunity to discuss your project/ research with other parties who may be able to add their assistance. Make use of various electronic media (such as EntrepL -for those interested in entrepreneurship) to expand your network.

✓ Does your project fall within the scope/objectives of the grant-making agency?

✓ Are you able to show how this research effort will contribute to the grant-making agency's mission?

In response to the above two items, often the “mission statement” of the funding source will assist the grant applicant in determining the appropriateness of the her/ his project for (with) the funding source. In addition, other features of importance (regarding whether or not the grant proposal is successfully reviewed) can include the funds available and the projected time of completion of the project.

✓ Has the grant-making agency supported programs/projects of a similar nature in the past?

✓ Examine past records of grants provided by the grant-making institution. Make use of IRS 990 PF (Private Foundation) forms to assist you in gathering this information.

✓ Do you meet the eligibility requirements of the grant-making agency to be considered for a grant?

✓ Does your project meet the basic criteria of the grant-making agency (if there are any) to have your grant proposal reviewed? For example: time constraints; geographic limitations.

To be able to respond to the above two items, obtain a copy of the application materials/ requirement package from the grant-making agency. Be certain to read the complete package carefully to determine whether or not you, you project and your grant proposal meets all the criteria set forth by the grant-making agency. A word of caution, different grant-making

Considerations (continued)

institutions may (and often do) have different stipulations/ requirements, just because you meet the criteria of one institution does not necessarily guarantee that the same will suffice for other institutions.

✓ What is the amount of money the grant-making agency has to support projects/programs.

✓ What is the "usual" amount the grant-making agency disperses to a successful grant applicant.

The IRS 990 PF forms may be of use here. Information of this nature may be obtained from organizations which assist grant seekers in the grant proposal writing process (for example, the Foundation Center may be of great value.)

✓ Does the grant-making authority place any "constraints" upon those who are given grants (for example; concerning publication of findings)?

This information may be contained within the application materials available from the grant-making institution.

✓ Will the grant-making authority, or its personnel, become involved in the management and execution of the funded project/program?

Ask previous grant recipients and/ or obtain the assistance of sponsored programs specialists from your institution.

✓ Does the grant-making authority consider applications only from individuals, or only from organizations, or both?

This information may be found in “directories” which give a brief synopsis of the grant-making institution, also organizations which assist grant seekers may be able to supply information of this nature.

Considerations (continued)

✓ Does the grant-making authority require the submission of documents indicating that the project falls within certain of ethical, legal, or environmental standards?

Information of this nature should be contained in the application materials supplied by the grant-making institution. Make certain that you are aware of, and clearly understand, any ethical, legal, environmental provisions stipulated by the grant-making institution prior to accepting support/ establishing a 'contract'.

✓ What is the deadline of the grant-making agency for the receipt of a grant proposal?
***Pay strict attention to this item*.**

This information should be contained in the package of application materials from the grant-making institution. Be aware that some grant programs may have 'special' deadlines which may be different from other deadlines published in the application materials from the grant-making institution. **Verify, at least twice, that the deadline you are operating under is the appropriate deadline for your particular project/ grant.**

Sample Grant Proposal Rating form

Each grant is subject to evaluation by a grant proposal review committee. These committee may vary in composition. Some consist of staff of the grant making organization, some are peer evaluation teams, other teams may have representatives from a governmental agency(s). These review teams may be individuals from a variety of backgrounds (multidisciplinary) or composed of "experts" in the specific field of the grant applicant. If multidisciplinary, a grant proposal review team may choose to have a "expert" not on the review team read the proposal to obtain an opinion on the proposal merit and contribution to the field.

To assist the prospective grant proposal writer in creating a document likely to be favorably reviewed, a copy of a proposal rating sheet currently used by a higher education/ grant making institution follows. This will give the grant seeker some idea of the items under the scrutiny of the grant review panel. It is possible that the grant seeker may be able to obtain such a 'Grant Proposal Rating form" from each grant making organization applied to. If this is not possible, secure the assistance/ advice of the research / external support office of your institution as well as the comments of other successful grant seekers (especially those whose proposals to the particular grant making organization were successful.)

In addition to the questions listed on this review form, please look at the bottom, in the section marked "For Committee use only". This suggests that the review panel is tabulating the projected expenses for the grant proposal under different categories. The grant seeker needs to be aware of the fact that grant making organizations do not generally have unlimited amounts of funds and there may be specific stipulations (limitations) on the amount of funds available for certain expenditures. For instance, there may be a cap to the amount of money that may be made available to pay for travel or personnel. This may mean that although the grant proposal may be approved by the review committee, the total amount of funds granted may not be what was requested. Avoid the strategy of asking for more than is needed in the hopes of receiving a lesser, but still sufficient amount. Grant review panels tend to examine budget requests very carefully and have been known to request confirmation that makes certain that the figures listed are accurate (or the review panel may verify the amounts independently).

It is also common that grant review panels give 'weights' or 'scores' to various components of the grant proposal so that a total quantified value of each proposal may be determined. This is frequently seen when grants proposals are reviewed on a competitive basis with grant seekers competing against each other to 'win' a grant.

Proposal Rating Sheet

1. Does the proposal meet the Committee's requirements as set out in the Application Procedures and Rules supplied to applicants?

   Contains all items in checklist (p.8) yes _____ no _____

   Meets criteria for intended use of organization's funds (p.9)
   yes _____ no _____
   (if no, do not continue review)

Comments:

Evaluation of the proposal according to the following scale:

1	2	3	4	5
Not acceptable		**Fund**	**Highest**	**Priority**

2. Review of vita focusing on ability of the applicant to carry out the proposed research and communicate results of research

Comments:

3. Is the proposal clearly written for a multidisciplinary review?

Comments:

4. What is the level of significance of the research within the discipline?

Comments:

5. Are objectives clearly stated?

Comments:

6. Is the methodology appropriate for the aims of the proposal?

Comments:

7. Does the proposal include a plan for communicating results?

Comments:

8. Are the budget requests appropriate?

Comments:

For Committee Use Only

Travel _____Operating _____Capital _____ Personnel _____TOTAL _____

Types of funding/ support

There are a variety of funding opportunities which may be of interest to the researcher whether student or faculty.

- ✓ "Project Grant": supports a specific "project or program of an individual or organization."
- ✓ "Operating grant": furnishes operating expenses for a specific program or project of an individual or organization.
- ✓ "Restricted grant": supports a particular portion of the project/ program.
- ✓ "General purpose grant": "broad-based" support usually given to organizations.
- ✓ "Start-up funds or seed-money": provides underwriting for an individual or organization to establish a new project/ program.
- ✓ "Challenge grant": (similar to a "matching grant"): Resources are supplied to an individual or organization if the grant applicant is successful in securing funds to "match" the amount in question (for example: a foundation will award $5,000.00 to an individual if that individual is able to obtain $5,000.00 from another source, thus the total amount is $10,000.00).
- ✓ "In-kind donation or service", also referred to as a "non-cash grant": A grant given to an individual or organization which consists of material, equipment or services which may be useful to the program/ project.
- ✓ "Technical assistance": non-cash support; may be skills development services, or some sort of service(s) given to the grant recipient. More commonly given to organizations than individuals.

Types of funding/ support (continued)

✓ "Fellowships": most often these are educationally oriented grants. Commonly at the "graduate or post-graduate level". Given to individuals.

✓ "Awards and Prizes" - "grants given on a competitive basis", usually rewarding "accomplishments or achievements." These are presented by the awarding organization and are not applied for by the individual. In some instances there is a nomination period during which an individual may "be able to ask an appropriate" individual to nominate him/her.

Adapted from: *The Complete Guide to Getting A Grant: How to Turn your ideas into Dollars*, Laurie Blum, Poseidon Press, pgs. 93-94, 1993.

Sources of Assistance

The majority of grant-making agencies/authorities fall into these categories: Foundations; Governmental organizations or Departments; Corporate donors/ Private donors. Be aware though, that some grant making organizations may be 'smaller' in size and/or only may fund projects that take place in/benefit a given region or area. If your project falls within their parameters, consider making a proposal to these institutions.

Foundations:

"A private foundation is a nongovernmental, nonprofit institution created for the purpose of contributing to the common good" (Blum, 1993, pg 162-163). These may be large entities such as the Rockefeller foundation or the Mellon foundation, or they may be smaller in size and scope (do not dismiss the smaller foundations 'out-of-hand', these may be potential supporters of your research/ project.) Large foundations, with large financial resources, are approached by many grant applicants. Such foundations often have a dedicated staff which concerns itself only with grant proposals submitted. Often such foundations have sophisticated procedures for the review of a grant proposal, though each foundation may have its own and unique procedure/requirements. While there are foundations which support a wide variety of projects/programs, some have more specific orientations. Therefore, it is necessary that the grant applicant thoroughly research the foundation(s) to which a grant proposal is to be submitted. Some foundations may provide support to grant seekers world-wide while other foundations may restrict their support, choosing only to assist projects in certain regions/ locales.

The grant applicant will find it useful to communicate with the foundation's 'contact person' to learn if the foundation is an appropriate choice for his/her grant proposal. A set of guidelines for the grant proposal should be requested from the foundation. These will indicate what information and documentation the foundation considers necessary in order to review the grant proposal. Guidelines for grant proposals may vary from foundation to foundation, it is not a case of 'one-size-fits-all.' Be certain to provide all requested materials.

Underwriting educational projects/ programs is a common practice of many foundations. Funding from foundations may range from an endowed chair at a university or college, to independent research, to supporting doctoral dissertations. However, the grant seeker should determine through conducting 'research' prior to submitting a grant proposal if the grant-making foundation provides support to individuals (many do not.)

Should the proposal be successful,, the grant recipient should determine was are the requirements for acknowledging the support of the grant making foundation. Even if not required, it is a polite and civil gesture to do so.

Entrepreneurship/ small business sector focused foundations

Grant-making institutions with a more targeted agenda often are more supportive of initiatives which are 'in-line' with the goals/ objectives of the institution. Several foundations are more focused on entrepreneurship and small business related subjects. The grant seeker proposing research/ a project in entrepreneurship/ small business, may find these grant-making institutions to be particularly advantageous as these institutions have boards who are familiar with entrepreneurship/ small business. Also, these foundations usually have grant review teams composed of individuals who are familiar with the 'field' of entrepreneurship and research efforts.

It may be beneficial to work with others ('collaborators') to assist in conveying to the grant-making institution that the proposed research/ project will have the necessary personnel (with the appropriate expertise) to insure that it is feasible and will be completed in a timely fashion. This may be of significance when the principal investigator (primary researcher) has not yet established a successful 'track record.'

Also, the doctoral candidate writing a dissertation on/ in entrepreneurship/ small business may find that it is possible to secure support from a foundation having such a program. In the past the Ewing Marion Kauffman foundation has assisted some doctoral candidates.

As is noted in other areas of this document, the grant seeker must carefully examine the potential source of support to identify whether or not the grant-making institution welcomes (or even accepts) unsolicited proposals.

The following are three prominent examples of such foundations: (the)
- in alphabetical order-

✓ Coleman Foundation
http://www.198.37.18.201.coleman/

✓ Ewing Marion Kauffman Foundation
http: www.kauffmanfoundation.org/

✓ Edward Lowe Foundation
http://www.lowe.org/

For further information on this subject please examine the article by Gatewood, Miranda, & Hoy, (1990) - the complete citation is listed in the resource section of this document.

Governmental Organizations or Departments:

Federal, State, and sometimes local governmental agencies often have funds designated to support grants. Consider contacting small business development offices or chambers of commerce in your area to identify if assistance for your research/ project exists and is available. Organizations such as the United Nations and the European Union should be considered by researchers examining issues with an international focus. If the project will be operating in a specific nation, or groups of nations, the grant applicant should investigate the possibility of the target nation(s) providing support.

The U.S. federal government supports a very large number of grant programs and, consequently, receives a good number of grant proposals. Be cognizant of the fact that a large bureaucracy will, most likely, be encountered when dealing with a governmental office, bureau, and/or department which administers grant-making programs.

The submission of a grant proposal may be unsolicited or submitted in response to a *Request For Proposals (RFPs)* publicized by a governmental grant-making agency(s). These are notices distributed by a governmental agency which describe a project/ service the agency desires. When an RFP is advertised, prospective applicants, who choose to do so, may submit a proposal to the agency.

The prospective grant applicant should contact the various governmental agencies to find when RFPs are solicited. A list of several documents which may be of assistance in identifying the appropriate governmental grant-making agency(s) may be found in the reference section of this document.

Rather than awarding a grant, the agency may offer a contract to the applicant. The contract is a document in which the need is specified as are the outcomes. The cost range for the project/service and the expected time of completion are defined in the contract.

Note: If accepting funding/ resources from a governmental agency (federal/ state/ local) be aware of the legalities involved. It is possible that the grant recipient will need to adhere to legal requirements of various Acts or Statutes (for example, Equal Opportunity Employment or Affirmative Action, Human Subjects Review.)

Corporate donors, and Private donors:

It is of value for a grant applicant to cultivate trusting relationships with companies. Doing so may provide access to sites and subjects for ongoing and future research and "... developing relationships of trust with people in companies is key to getting industrial research support for several reasons:

- ✓ Companies only fund projects that meet their needs and interests.
- ✓ The only way to find out about a company's research needs and interests is by talking with company employees. Having this information will enable you to present your proposed project in the strongest possible terms.
- ✓ Companies base decisions to fund university projects on the basis of trust and confidence in the investigators.
- ✓ Corporate funding decisions are made in-house, possibly by your company contact person, or perhaps by that person in concert with a few others." [1]

Be alert to any legal/ contractual obligations which may be involved in securing support from the grant-maker. As corporations increasingly provide support university research initiatives, the grant applicant needs to be aware that the grant-maker may have certain expectations and/ or place certain conditions that the grant applicant must adhere to. This should be clearly understood in order to forgo future difficulties.

In addition, offering some sort of "quid pro quo" (perhaps sharing the findings of your research with the organization) may yield better results than seeking only to receive an outright gift from a company. Showing the company a 'return on its investment' may help to make clear how the project for which you are seeking
assistance is in the company's interest.

[1] Source: Get Funded: A Practical Guide For Scholars Seeking Research Support From Business, Dorin Schumaker, 1992, Sage publications, page 9.

Comments

Within the constraints of the grant application, provide as much detail as possible. Make efforts to be clear and concise when describing your project/ program. Demonstrate a logical flow in your statement of need and in your objectives section. Discuss the benefits of the project in terms of contributions to the literature and/ or databases, in terms of benefit to the population under study, and in terms of benefit to the funding organization (See the "goodness of it" comment earlier in this document). Limit your use of "jargon" or terms, which maybe confuse the reader. As some grant-making authorities employ multi-disciplinary panels to review grant proposals, it may not be to your advantage to assume that the reviewers will understand what you are writing about if you use terms which are embedded in theory or practice found in your particular discipline. When using acronyms define the term in parentheses after the first use of the acronym: for example, (for example, CPR could be either core process reengineering or cardio-pulmonary resuscitation).

When writing the budget section of the grant proposal, make certain that each item you list as being funded by the grant is mentioned in the written description of the project/ proposal, and vice versa. If required by the grant-making authority, provide justification as to why a particular item, and a specific source for that particular item, if discussed, must be utilized in your project. Consider including the price of the item from 2 or 3 different sources (this will assist in convincing the review panel that you have 'done your homework' in terms of the budget section.) Take care when constructing this section of the grant proposal as this section is often closely scrutinized by the grant review panel.

If you are planning to use a specific site and/ or particular sample for your research make certain that you will be able to have access to that site or sample, and that such access will be within the time-frame specified in the grant proposal. If necessary, provide documentation that you will have access to that site and population.

Be certain to indicate that you, or if appropriate, members of the research team, have skills or expertise which will facilitate the completion of the project (for example, language skills, prior experience, prior work or study which has been concentrated in area of proposed research, etc.). (See "networking" in the "considerations" section of this handbook.)

Crafting a well done grant proposal takes time. Successful grant proposals are not commonly written the evening before the submission deadline. Work on the grant proposal as you would on a research paper you will submit for publication. A number of drafts may be necessary. Make use of the reference librarians in your

Comments (continued)

library as they may be of considerable help in locating information and in using your time efficiently. Seek advice and assistance from other faculty members/graduate

students who have successfully written grant proposals. If your university/college has an office of sponsored programs or an individual or group of individuals who routinely deal with and review grant proposals, actively seek out their advice. Follow their recommendations.

Contact the grant-making agency to which you intend to submit a grant proposal. Identify what information you must supply, the level of detail you must deliver and whether or not the grant-making agency requires certain forms be used and/or certain information be supplied. There is no one standard form of a grant proposal. Each grant-making agency may require different information, adding more information in one element of the proposal or subtracting an amount of information supplied in another. For example, some grant –making institutions may require a large amount of material whereas another grant-maker may require only a few pages of information. If the grant-making agency supplies a set of guidelines for the grant proposal, follow them. It may not be to your benefit to write more information than is required or to go into greater detail than the grant-making institution desires. As large numbers of grant proposals may be submitted to any one institution, a grant proposal may not be considered if it violates a grant-making institution's convention regarding submission procedure, such as length allowed.

Be aware that some grant-making institutions require that you disclose which other grant-making institutions, if any, have funded your project, or if you have submitted requests for funding to other grant-making institution. It may be to the grant applicant's advantage to submit the proposal to several institutions as one institution may elect not to completely fund the project. The combination of the contributions from several grant-making institutions may provide sufficient support for the project to be successfully operated. Also, it is possible that obtaining from support from one, rather well known organization may assist the grant seeker in securing support from other grant-making institutions. For instance, the research/ project may be given a sense of 'legitimacy' if it receives assistance from an organization and this, in turn, may prompt other institutions to more carefully consider the grant proposal.

After submission of your grant proposal, be sure to send a brief letter of thanks to grant making organization. Even if your proposal is not successfully reviewed, the grant making organization did have to expend time and resources in the review of your proposal. Should your proposal be successfully reviewed it is a good gesture to send brief updates to the grant maker on the activity/ progress of the funded research/project. At the end of the research/project, be sure to send the grant making organization a notice of completion along with a review of your results (some grant recipients even send a copy of the final (published) report. This is not only 'nice', but may be required by the grant making organization and may be a pre-requisite to approving any additional grants from the same institution to the same grant seeker.

References/Sources of Information

**This is a listing of a variety of organizations/agencies which give grants.

**This is not a complete listing of available grant-making resources. Check with your library or college/university's sponsored programs office.

** The information in the following may vary in significance depending on the grant seeker and/or the research or project proposed.

Directories/ Registers

Annual Register of Grant support: A Directory of Funding Sources, , New Jersey: R. R. Bowker, (annual).

Catalog of Federal Assistance, Washington, D.C.: U.S. Government Printing Office, (annual publication).

Catalog of Federal Domestic Assistance, Executive Office of the President, Office of Management and Budget, General Services Administration, Washington, D.C. (annual).
* look for updates to this catalog*

The Directory of Research Grants, Phoenix, Arizona: Oryx Press, annual publication.

Directory of Women's Funds, New York: Women and Foundations/Corporate Philanthropy, (most recent edition).

Financial Resources for International Study: A Definitive Guide to Organizations Offering Awards for Overseas Study, Princeton, New Jersey: Peterson's Guides, (most recent edition).

Foundation Grants to Individuals, (most recent) edition, New York: The Foundation Center,

The Foundation Directory, New York: The Foundation Center, (most recent edition).

References/Sources of Information (continued)

Fulbright and Other Grants for Graduate Study Abroad (most recent edition), New York: Institute of International Education.

Fulbright Scholar Program: Grants for US Faculty and Professionals (most recent edition), US Information Agency.

The Grants Register, New York: St. Martin's Press, biannual publication.

National Guide to Funding for Women and Girls, New York: Foundation Center, (most recent edition).

Peterson's Grants For Post-Doctoral Study: The Premier National Directory of Grants and Fellowships for Post-Doctoral Study, Princeton, N.J.: Peterson's Guides.

* Publications which may be found in the collections of the Foundation Center (an independent center set up by foundations to assist in the dissemination of information on private philanthropy.) (among others):

Corporate Foundation Profiles
The Foundation Directory (all parts and supplements)
Foundation Fundamentals
Foundation Grants to Individuals
Foundation Grants Index
Foundation Grants to Individuals
National Data Book of Foundations
National Directory of Corporate Giving
-as well as several ‘subject specific’ publications to assist the grant seeker.

Corporate

Corporate 500: The Directory of Corporate Philanthropy, San Francisco: Public Management Institute, (latest edition).

Corporate Giving Directory, Rockville, Maryland: The Taft Group, (latest edition).

References/Sources of Information (continued)

Corporate (continued)

Canadian Key Business Directory, Toronto, Ontario, Canada,: Dun & Bradstreet Canada.

Directory of American Research and Technology, New York: R. R. Bowker.

Dun's Asia/Pacific Key Business Enterprises, Dun & Bradstreet Australia.

Dun's Europa, London: Dun & Bradstreet International.

Japan Company Handbook, Tokyo: Toyo Keizai.

National Directory of Corporate Giving, New York: The Foundation Center, (latest edition).

Standard & Poor's Register of Corporations, Directors and Executives, New York: Standard & Poor's.

Periodicals:

- *Federal Register*
- *Commerce Business Daily*
  A source of RFPs and announcements (from government agencies) inviting proposals.
- *Chronicle of Philanthropy*
- *The Grants Advisor*
- *Federal Grants and Contracts Weekly*
- *Fulbright Scholar Program, (for each academic year): Awards in Economics and Business Administration for Faculty and Professionals*

*Gatewood, E. J., Miranda, S. & Hoy, F. (1990), "The Involvement of Private Foundations in Entrepreneurial Research", *Journal of Small Business Management*, 30, (2: April), 20-29.

References/Sources of Information (continued)

Guidebooks/ material of value

Bauer, David G, *The "How To" Grants Manual: Successful Grantseeking Techniques for Obtaining Public and Private Grants*,"4th edition, Phoenix, AZ:The American Council on Education and the Oryx Press, 1999.

Blum, Laurie. *The Complete Guide to Getting a Grant: How to Turn Your Ideas Into Dollars,* New York: Poseidon Press, 1993.

Browning, Beverly. *Successful Grant Writing Tips: The Manual.* Burton, Michigan: Grantsline, Inc. 1991.

Burk, Deborah, (Ed.). *Encyclopedia of Associations, Volume 1:National Organizations of the United States,* Detroit: Gale Research Co., annual publication

Erzoll, Susan, MacCallum, Tara, Henry, Yvette, Schoenthaler, Arnold, Grader, Shiela, (Eds.). The Proposal Writer's Swap File III: 15 Professionally written grant proposals ... prototypes of approaches, styles, and structures. Washington, D.C.: Taft Corporation 1981.

Frey, Robert S.. *Successful Proposal Strategies for Small Business: Winning government, private sector, and international contracts*. Boston: Artech House, Inc. 1997.

Frost, Gordon Jay (ed), *Winning Grant Proposals: Eleven successful appeals by American nonprofits to corporations, foundations, individuals, and government agencies.* Rockville, Mayland: Fund Raising Institute/The Taft Group, 1993

Geever, Jane C. and McNeill, Patricia, *The Foundation Center's Guide to Proposal Writing*. Revised Edition, New York: The Foundation Center, 1997.

Geever, Jane C. The Foundation Center's Guide to Proposal Writing, 3rd edition, New York: The Foundation Center, 2001.

Gilpatrick, Eleanor*, Grants for Nonprofit Organizations: A guide to funding and grant writing*, New York: Preager, 1989.

Gooch, Judith M., *Writing Winning Proposals*, Washington, DC: Council for Advancement and Support of Education, 1987.

Hall, Mary S., *Getting Funded: A Complete Guide to Proposal Writing* 3rd Edition, Portland, Oregon: Portland State University, 1988.

References/Sources of Information (continued)

Honig, Kenneth Lee. *Guide to Research Support* 3rd edition. Washington, D.C.: American Psychological Association.

Kirby, Debra M. (Ed.), (most recent edition of): *Scholarships, Fellowships and Loans*, Detroit: Gale Research Co, (most recent edition)

Krathwohl, David R., *How To Prepare a Research Proposal: Guidelines for Funding and Dissertations in the Social and Behavioral Sciences*, 3rd edition, Syracuse, New York: Syracuse University Press, 1988.

Lauffer, Armand, *Grantsmanship and Fund Raising*, Beverly Hills, Sage, 1984.

Lefferts, Robert., *Getting a Grant in the 1990's: How to write successful grant proposals*. New York: Fireside - Simon and Schuster, 1990.

Meador, Roy. *Guidelines for Preparing Proposals. 2nd edition*. Chelsea, Michigan: Lewis Publishers, 1991.

Miner, Lynn E. and Griffith. *Proposal Planning & Writing*, Phoenix, Arizona: The Oryx Press, 1993.

Peterson, Linda (Ed.). *Annual Register of Grant Support: A Directory of Funding Sources*, Wilmetter, Illinois: National Register Publishing Co., (annual publication).

Reis, Joanne B. and Leukefeld, Carl G.. *Applying for Research Funding: Getting started and getting funded*, Thousand Oaks: Sage, 1995.

Schumacher, Dorin, *Get Funded: A Practical Guide for Scholars Seeking Research Support from Business*, Newbury Park, California: Sage Publishing, 1992.

Shellow, Jill, and Stella, Nancy C. (Eds*), Grant Seeker's Guide: National Network of Grant Makers*, 3rd Edition (revised) – or most recent edition -, Mt. Kisco, New York: Meyer Bell Limited, 1989.

Schlachter, Gail Ann, *Directory of Financial Aids for Minorities*, (most recent edition), San Carlos, California: Reference Service Press, (most recent edition).

Schlachter, Gail Ann, and Weber, R. David., *Financial Aids for Women, 1993-1995*, - or most recent edition -, San Carlos, California: Reference Service Press, 1993.

References/Sources of Information (continued)

Schlachter, Gail Ann, and Weber, R. David, *Financial Aid for Research, and Creative Activities Abroad 1992-1994*, - or most recent edition -, San Carlos, California: Reference Service Press, 1992.

Schlachter, Gail Ann, and Weber, R. David, *Financial Aid for study and Training Abroad, 1992-1994*, - or most recent edition -, San Carlos, California: Reference Service Press, 1992.

Siegman, Gita, (Ed.) *Awards, Honors, and Prizes Volume 1: United States and Canada*, Detroit: Gale Research Co., (most recent edition).

White, Virginia, *Grant Proposals That Succeed*, New York: Plenum Press, 1983.

Electronic databases and sources of information

On-line and CD-ROM granting agency databases do exist. Check with your college/university to find out if a connection to such a database is available to you. The individual use of, or connection to, such databases can be costly.

OnDisc Grants Database (CD-ROM) – Knight-Ridder Information, Inc.

FC Search – CD-ROM version of a number of publications of the Foundation Center.

OFP Database – a searchable database from the Office of Federal Programs of the American Association of State, Colleges, and Universities.

SPIN
The Sponsored Programs Information Network, SPIN, is an on-line database of funding opportunities. This facilitates the efforts of faculty, students and staff in seeking external support for research/ educational projects. Usually available through your higher education institutions Office of External Research (or related title).

SMARTS/GENIUS
The SPIN Matching and Research Transmittal System, SMARTS is an electronic matching and funding opportunity notification system.

References/Sources of Information (continued)

WEB sites

There is a large variety of grant "sites" listed on the WWW including sites for dissertation work and faculty development. Several examples are listed below:

****(As the Web increases, addresses and sites may change, be sure to update your list and please send recommended sites to the author of this guidebook. Thank you.)**

Faculty Development
http://www.umich.edu/~crltmich/fdfgrant.html

GradGrants Center at Indiana University
Office assistance for graduate students in grant proposal writing and in gathering information on funding.
http://www.indiana.edu/~gradgrnt

Fellowships, Scholarships, Grants, Awards, & Competitions
Offers access to information on a variety of scholarships, awards, and other funding sources.
http://www.indiana.edu/~caa/fellowships.html

Winona State University Grants Office
http://www.winona.msus.edu/Grants/Home.htm

Philanthropy Journal Online
http://www.pj.org

The Philanthropic Initiative
http:// www.tpi.org

References/Sources of Information (continued)

WEB sites (continued)

The Foundation Center
Contains a wide variety of very useful information on grants and the grant seeking process.
http://fdncenter.org

Small Business Innovation Research (SBIR) Grants
http://www.fie.com.htdoc/fed/nih/ddk/any/prog/any/nihpgamd.htm

Small Business Technology Transfer (STTR) Grants
http://web.fie.com.htdoc/fed/nih/ddk/any/prog/any/nihpgame.htm

NSF – Grants for Improving Doctoral Dissertations
http://www.cornell.edu/Student/GRFN/a0372.html

US Department of Education
http://ocfo.ed.gov/grntinfo.htm

For information about **USIA's Bureau of Educational and Cultural Affairs**, which includes information on grant application procedures and deadlines, contact them at:
http://www.usia.gov/

Social Sciences Research Council
http://www.ssrc.org

Federal Forms for Grant Proposal Submission
Contact: Research Funding Opportunities and Administration (TRAM)
http://tram.east.asu.edu/

Federal Register
(access usually restricted to SPIN accounts)
http://spin.infoed.org/wwwspin/spin_start.html

References/Sources of Information (continued)

WEB sites (continued)

Commerce Business Daily
(access usually restricted to SPIN accounts
http://spin.infoed.org/wwwspin/spin_start.html

Catalog of Federa l Domestic Assistance
http://www.gsa.gov/fdac

For information on the **Fulbright** program contact the, (the following addresses are listed for citizens of the United States, - other addresses may be available):

U S Information Agency (USIA)
Office of Academic Programs
301 4th Street, NW
Washington, DC 20547
http://www.usia.gov/

Or

Council for International Exchange of Scholars
3007 Tilden Street, NW
Suite 5M
Washington, DC 20008-3009
http://www.cies.org

International Studies, Research and Exchange
www.wcu.edu

National Foundation for Teaching Entrepreneurship
http://www.nfte.org

U. S. Department of State, Office of Overseas Schools,
(contains archived information – prior to Jan 2001)
www.state.gov

References/Sources of Information (continued)

WEB sites (continued)

EntreWorld - an 'on-line' set of resources for those interested in entrepreneurship/ small business.
http://www.entreworld.org

Indiana State University List of Private Sponsors
Contains information on many private and corporate grant making organizations.
http://web.indstate.edu/OOR/funding/private.htm

National Council of University Research Administrators (NCURA)
Offers: "List of Research Funding Agencies and Research Administration Groups"
http://www.ncura.edu/resources/agencies.htm