Proposal Writing I:
What do I want to do, and how am I going to get there?
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What we'll cover today
- Logistics
- Lingo – handout
- RFP – govt or private
- The process at Pacific
- Pro-active vs Re-active Proposal Writing
- Finding/Researching Funders
- Preparing to Write
- Letters of Intent/Inquiry

Common Terms
See handout
- RFP – Request for proposals.
  Also called RFA – request for applications; call for proposals, funding opportunity
- PI –
  Principal investigator, project director, project manager
Your homework

- Find one government or private RFP
- OR
  - Have an idea for a project

The Process at Pacific

Who to Talk To
Office of Sponsored Programs (OSP)
- Carol Brodie
  - Assistant Dean, Research & Grad Studies
- Leah Vargas
  - Grants & Research Specialist

COP Office of the Dean
- Joanna Albala
  - Director of Research Initiatives & Strategic Partnership

Pacific Logistics

- Pre-approval form
- Routing form

- OSP website
- Survey of funding interests
  - [http://web.pacific.edu/x19467.xml](http://web.pacific.edu/x19467.xml)
Types of applicants at Pacific

- NEW to the process
  - New ideas – how to get funding, how to write, etc.

- Some experience
  - Rough ideas–where to take these

- Experienced
  - Ready to go–know where to submit

Life Cycle of a Grant

![Grant Life Cycle Diagram]

Proposal Writing Styles

**Proactive**
Write your proposal first; THEN find someone to fund it
- Also called "Asset-Based"

**Reactive**
Have a need, see an RFP, write the proposal
- Often done to fill gaps in budgets and programs
Declined Proposals – Common Reasons

- Didn’t follow instructions – #1
- Poorly written
- Proposal objectives ≠ Funder objectives
- Budget unreasonable or not within guidelines
- Objectives too ambitious in scope
- No evidence of sustainability
- Inadequate evaluation procedures

Which funder is right for your project?

- Type of project
- Audience, beneficiaries
- Local, national, beyond?
- Your experience level
- Pacific’s strength in the discipline
- Amount of money needed
  - Don’t forget our internal sources of funding
  - FRC, CAPD, Pacific Fund, Innovation Fund
  - [http://web.pacific.edu/s29852.xml](http://web.pacific.edu/s29852.xml)

Searching for Funding

- Understand the types of funders:
  - Government
  - Foundations
  - Corporations
  - Associations
  - Individuals
Government

Federal, state, county, local
Pacific has had good success with:
- NSF and NIH
- U.S. Dept of Education
- Dept of Energy
- EPA
- USAID
- California Dept of Education
- Local agencies

Types of Foundations

- Private/Independent/Family
- Community
  
- Corporate

Foundation Giving

<table>
<thead>
<tr>
<th>Subject</th>
<th>Dollar Amount</th>
<th>%</th>
<th>No. of Grants</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arts and Culture</td>
<td>81,193,900</td>
<td>12.5</td>
<td>22,902</td>
<td>13.1</td>
</tr>
<tr>
<td>Education</td>
<td>1,500,652</td>
<td>0.6</td>
<td>22,002</td>
<td>13.1</td>
</tr>
<tr>
<td>Environment and Animals</td>
<td>2,173,101</td>
<td>8.6</td>
<td>10,785</td>
<td>6.4</td>
</tr>
<tr>
<td>Health</td>
<td>5,778,632</td>
<td>22.9</td>
<td>22,185</td>
<td>13.1</td>
</tr>
<tr>
<td>Human Services</td>
<td>3,149,448</td>
<td>11.5</td>
<td>43,503</td>
<td>26.1</td>
</tr>
<tr>
<td>International Affairs, Development, and Peace</td>
<td>1,449,307</td>
<td>0.7</td>
<td>4,422</td>
<td>2.7</td>
</tr>
<tr>
<td>Public Affairs, Society, Benefit</td>
<td>2,514,533</td>
<td>10.0</td>
<td>18,379</td>
<td>11.2</td>
</tr>
<tr>
<td>Religion</td>
<td>567,518</td>
<td>2.2</td>
<td>5,811</td>
<td>3.5</td>
</tr>
<tr>
<td>Science and Technology</td>
<td>665,429</td>
<td>2.6</td>
<td>3,926</td>
<td>2.4</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>202,021</td>
<td>1.2</td>
<td>1,689</td>
<td>0.9</td>
</tr>
<tr>
<td>Other</td>
<td>11,641</td>
<td>0.1</td>
<td>124</td>
<td>0.1</td>
</tr>
<tr>
<td>Total</td>
<td>$125,390,887</td>
<td>100.0</td>
<td>124,202</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Foundation Giving Trends, 2008. Based on all grants of $10,000 or more awarded by a 4,900 large foundations representing approximately 95 percent of giving by all U.S. foundations. Dollar figures in thousands; due to rounding, figures may not add up.
### Top Giving Foundations in CA

- The William and Flora Hewlett Foundation: $427,657,803
- The David and Lucile Packard Foundation: $307,935,012
- California Community Foundation: $194,665,949
- The California Endowment: $146,621,142
- The Eli and Edythe Broad Foundation: $122,813,984
- Tides Foundation: $92,460,341
- The Lincy Foundation: $91,066,952
- The James Irvine Foundation: $84,883,316
- The San Francisco Foundation: $81,596,944
- W. M. Keck Foundation: $67,889,763
- The California Wellness Foundation: $54,251,652

Source: The Grantsmanship Center, [http://www.toci.com](http://www.toci.com)

### Corporations

- **Contracts**

### Corporate Foundations

- **Top Corporate Foundation Grantmakers:**
  - Wal-Mart Foundation
  - Aventis Pharmaceutical Foundation
  - Bank of America Foundation
  - Ford Motor Company Fund
  - The Wells Fargo Foundation
**Associations**

- Disease/disorder-specific
  - E.g., American Heart Assn, American Cancer Society
- Professional

**Finding $**

- Area-specific guides
- Foundation Center
- 990s
  - GuideStar.org (Basic) or Foundation Center
- Nonprofit Resource Center
- The Grantsmanship Center
- InfoEd’s SPIN
- Grants.gov

**Foundation Center**

- Resource center currently in Callison Hall, contact Jerry Hildebrand or Spencer Ton
- Search Foundation Center database
- Texts, guides
Foundation Center

At your computer – online, free
http://foundationcenter.org/
- Proposal writing tutorial
- Online training ($)
- Foundation 990s
- Weekly e-mail subscription

990s

- All nonprofits
- Identifies leaders in organization, and what they have given to in past year

Nonprofit Resource Center

1331 Garden Highway; Sacramento; 916-285-1840
http://www.nprcenter.org/
- Local funding opportunities
- Library
- Workshops (finding funders, budgeting, writing proposals)
The Grantsmanship Center

- [http://www.tgci.com](http://www.tgci.com)
- Library of successful grant proposals ($)
- Training

InfoEd’s SPIN

- Username: univpacific_spin
- Password: univpacific123

Good for Government and Private sources.

Grants.gov

26 Federal Agencies

Search by agency, keyword, eligibility

E-mail subscriptions
Preparing to Write

- Considerations
  - What if you actually receive the grant??
  - Administration
  - The nature of grant support (i.e., “soft” money)

Grant Application Notice (RFP, RFA)

- Can serve as outline for proposal
- Read Thoroughly
- Application workshops?
- Call the program officer and discuss
- Note dollar limit, matching requirements, page limits, deadlines, electronic/paper, availability of forms

Timeline for Writing

- Assess the time available
- Recipe: 2/3 planning, 1/3 writing
- Outline!
- Assemble a writing team, if necessary
- If needed, electronic registrations should be done asap
- Don’t wait until the last minute!
Sample Timeline

<table>
<thead>
<tr>
<th>Date</th>
<th>Task Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/24/2005</td>
<td>Download RFP, application</td>
</tr>
<tr>
<td></td>
<td>Fill out basic info, p. 5.</td>
</tr>
<tr>
<td>1/31/2005</td>
<td>Fill out organizational info, p. 5 (UOP).</td>
</tr>
<tr>
<td></td>
<td>Write organizational overview by January 28.</td>
</tr>
<tr>
<td>2/7/2005</td>
<td>Fill out basic info, p. 5 (except budget).</td>
</tr>
<tr>
<td></td>
<td>Write project section by February 4.</td>
</tr>
<tr>
<td>2/14/2005</td>
<td>Fill out financial information section.</td>
</tr>
<tr>
<td></td>
<td>Write project section by February 4.</td>
</tr>
<tr>
<td>2/21/2005</td>
<td>Complete budget part of basic info.</td>
</tr>
<tr>
<td></td>
<td>Work with Carol, dean (others?) to determine budget for project by February 4.</td>
</tr>
<tr>
<td></td>
<td>Complete organizational/project profile info.</td>
</tr>
</tbody>
</table>

Letter of Intent

- Primarily for government grants
- Formulaic
- Who, how much, length of project, abstract

Letter of Inquiry

- Generally for foundations, associations
- One page
- Briefly describe program
- Why applying to them?
- Rationale/Purpose for program
- Request guidelines, if you don't have them
- Avoid reference to budget unless they specifically ask for it
Next workshop

- Reviews of letters of inquiry
- Have an RFP that you are ready to start working on

Questions?
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Boilerplate</strong></td>
<td>Pre-written blocks of generic material which, with slight modification, can be used in a variety of proposals. Boilerplate materials often include such items as an institution's description, a community profile and the qualifications of staff that will be working on the grant.</td>
</tr>
<tr>
<td><strong>Challenge Grant</strong></td>
<td>As the name implies, challenge grants, such as those offered by the National Endowment for the Humanities, &quot;challenge&quot; the recipient institution to raise matching funds from other sources. Challenge grants always require a cash match of additional funds that the recipient institution must raise from another source.</td>
</tr>
<tr>
<td><strong>Cost Share</strong></td>
<td>Cost share is the portion of a project's total cost that is paid by the institution receiving the award. The term encompasses both matching funds and in-kind contributions. Often, granting agencies will require a specified percentage of cost share, i.e., 20% of the request. For example, if you requested $200,000, then at 20% required cost share the institution would have to provide $40,000 worth of cost share and the total project cost would be $240,000. Budget items that may count as cost share are salaries of the individuals involved as well as in-kind contributions such as supplies or computer time/space.</td>
</tr>
<tr>
<td><strong>Curriculum Vitae (CV); Résumé</strong></td>
<td>A CV is a full account of your academic credentials and accomplishments. A résumé is a brief account of your experience and skills tailored to a specific job or award for which you are applying. Granting agencies sometimes require a &quot;shortened CV&quot; that lists only selected pieces of your scholarly history. The resulting document, which is often limited to two pages or less, is more like a résumé in form and appearance.</td>
</tr>
<tr>
<td><strong>Deadline</strong></td>
<td>Deadlines take two forms, postmark deadline and receipt deadline. In the first case, the deadline date given is the date by which the application packet must be mailed. The postmark or the date on the express mail air bill establishes the date. In the second case, the application packet must be in the hands of the granting agency by the given date. Most agencies state clearly whether the date given is a postmark or a receipt deadline. In both cases, we strongly recommend the use of an express mail service, which clearly establishes the date by which the application was sent, offers the ability to track a package if it is not received at the agency by the deadline and offers positive proof that you took measures to ensure your application would arrive on time.</td>
</tr>
<tr>
<td><strong>Direct Costs</strong></td>
<td>Direct costs refer to the cost of carrying out the project for which grant funding is requested. Examples of such costs include salaries for principle investigators and research assistants, project-related travel, equipment and supplies, photocopying, and fees for computer use and other research costs.</td>
</tr>
</tbody>
</table>
| **Facilities and Administrative (F&A) Costs** | Facilities and Administrative (F&A) costs are the same as those referred to by the older terms "indirect" or "overhead" costs. All three terms refer to the fee charged to a funding agency on an institutional grant or
| **Indirect Costs** | Contract by a university or its research management organization to help cover its cost of doing business. Most simply, F&A funds generated by external grants and contracts are used to pay for lighting, equipment, janitorial services and day-to-day administration and maintenance operations. |
| **Overhead** | |
| **Grantee** | The agency, institution or individual to whom a grant is formally awarded. Grants are generally made to universities, school districts or other non-profit organizations, and only rarely to individuals. |
| **Grant vs. Contract** | A grant is an actual award of funds given by an agency. (Applicants do not write grants, they write grant applications.) When a competitive grant program is announced, the funding agency will almost always outline the general purpose and direction it has in mind, leaving the specifics to the imagination or expertise of the applicant. A contract is a formal agreement offered by an agency for the delivery of specific products or services. Under a contract award, an agency agrees to pay the PI or the institution a specified amount for a specific task or set of tasks it has need to have performed. Both are legally binding, but a grant gives the recipient more leeway in the choice of work performed for the money. |
| **In-Kind Contributions** | These are contributions of equipment, supplies, office space and staff time as distinguished from cash (or "real money") contributions. |
| **Matching Funds** | Matching funds are funds a granting agency requires a grantee to raise from third-parties in order to receive the total mount of funding they have requested. When matching funds are required, a granting agency agrees to provide a set amount of funding if the grantee can raise a set percentage of that amount from another source. Although most agencies require matching funds to be in the form of third-party cash contributions, some will allow in-kind or a combination of direct cash match and in-kind contributions from third parties. |
| **Principal Investigator (PI)** | The PI, or Principal Investigator, is the individual named in the application as the party who is primarily responsible for conducting the research or carrying out the project for which the grant is being requested. Collaborative work may result in co-principal investigators submitting a joint application. |
| **Preliminary Proposal** | A short version of a proposal sent to a funding agency for internal review. Some agencies, such as the Howard Foundation, require a preliminary proposal (sometimes called a concept statement) as a qualifier prior to inviting applications from a select number of applicants. |
| **Private Foundation** | A private foundation is a tax-exempt (501(c)3) entity set up to give away or otherwise spend charitable purposes. |
| **Program Officer; Contract Officer; Project Officer** | The Program Officer is the member of the funding agency staff assigned to monitor the programmatic (not fiscal) aspects of your project. You should contact this individual with questions about the proposal development process. The Contract Officer, sometimes called the Project |
Officer, is a staff member of the funding agency assigned to monitor the fiscal (not programmatic) aspects of your project. Note that US Department of Education Program Officers are responsible for the financial, as well as the programmatic, aspects of grant awards.

<table>
<thead>
<tr>
<th>Request for Proposals (RFP)</th>
<th>Both of these acronyms are generally used by government agencies, and sometimes private funding agencies, to announce programs and solicit applications.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seed Money</td>
<td>Seed money is funding given to an institution or individual to allow a project to be started and progress far enough to make it more attractive to other funding agencies for larger grants.</td>
</tr>
<tr>
<td>Stipend</td>
<td>A stipend is a periodic payment, especially a scholarship or fellowship allowance. Stipends are intended to be used to pay living expenses.</td>
</tr>
<tr>
<td>Subvention</td>
<td>A subvention is given to an author or directly to a publisher to subsidize the costs of publishing a book.</td>
</tr>
</tbody>
</table>
### OFFICERS

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Years in Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>John</td>
<td>CEO</td>
<td>5</td>
</tr>
<tr>
<td>Jane</td>
<td>CFO</td>
<td>10</td>
</tr>
</tbody>
</table>

### ASSOCIATES

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Years in Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mike</td>
<td>COO</td>
<td>3</td>
</tr>
<tr>
<td>Lucy</td>
<td>CTO</td>
<td>7</td>
</tr>
</tbody>
</table>

### ADDRESS

- **Name**: John Doe
- **Street**: 123 Main St
- **City**: Anytown
- **State**: CA
- **Zip**: 12345

### GAINS

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
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<tbody>
<tr>
<td>Revenue</td>
<td>$123K</td>
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<tr>
<td>Expenses</td>
<td>$98K</td>
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</tbody>
</table>

### OPERATING AND ADMINISTRATIVE EXPENSES

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Salaries</td>
<td>$45K</td>
</tr>
<tr>
<td>2</td>
<td>Utilities</td>
<td>$12K</td>
</tr>
<tr>
<td>3</td>
<td>Rent</td>
<td>$30K</td>
</tr>
</tbody>
</table>

### FORMARS AND REPORTS

- **Form 990-PF**: Filing for Private Foundation
- **Part III**: Information about Officers, Directors, Trustees, Foundation Managers, High-Paid Employees
- **Part VI**: Summary of Receipts and Expenditures

For the year ending 12/31/2023, the organization reported total assets of $1,234,567, with a net income of $234,567.
SAMPLE LETTER OF INTENT

The Foundation Name
Address
City, State Zip

Dear Dr. ____________:

The XYZ organization is a private nonprofit agency that has taken the lead in providing temporary shelter for young "street people" in ABC city. I am writing to see if you would consider a proposal to expand the employment and counseling services available to these youth.

Our organization currently operates four shelters serving 75 young people each night. This is an increase of 30 percent from last year. Our major goal is to convince these young people to seek some form of additional education, to become employed, and, where appropriate, to return home.

We believe our chances of accomplishing this would be improved by a person working among the shelters who could direct our residents to the alternative education, employment, health and mental health counseling services available throughout the city. Your foundation has expressed a special interest in the coordination of services to young people. We hope that you will give our project further consideration.

The other community services involved have pledged their cooperation. They agree that a major problem in reaching these young people is the "in-take" process and that this can best be initiated at our shelters. We estimate the cost of this project the first year at $____, of which $____ will be provided by the cooperating agencies. We would like you to consider a proposal for the remainder. If we can prove that our service is effective, we would qualify next year for a grant from the National Institutes of Health.

I will be calling shortly to discuss this project. In the meantime, would you please mail me your application guidelines and any instructions for preparing a completed request. A copy of our 501(c)3 letter is attached.

Sincerely,

Name of Sender