PROPOSAL WRITING

5 EDITION

Effective Grantsmanship for Funding

Soraya M. Coley
Cynthia A. Scheinberg

PROPOSAL WRITING 5 EDITION

"Clear, concise, and carefully focused, **Proposal Writing, Fifth Edition** *is an excellent choice for students and entry-level professionals who need to learn the elements of developing, writing, and budgeting for effective proposals."*

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"This new edition is an excellent value-added practical guide for novice as well as experienced grant writers and students who aspire to be program designers."

—**Richard J. Mushi**, Mississippi Valley State University

The updated **Fifth Edition** of the best-selling **Proposal Writing: Effective Grantsmanship for Funding** offers a fresh, robust presentation of the basics of program design and proposal writing for community services funding. Authors Soraya M. Coley and Cynthia A. Scheinberg help readers develop the knowledge they need to understand community agencies, identify and describe community needs, identify funding sources, develop a viable program evaluation, prepare a simple line-item budget, and write a compelling need statement. The jargon-free, step-by-step presentation makes the book as useful to students in the university classroom as to first-time grant writers in the nonprofit setting.

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- **New and expanded information** covers the how-to of locating and applying for funding in corporate, local government, state government, and federal government arenas.
- **A new chapter, "The Proposal Overview,"** makes it easier to see the big picture of an application packet.
- **A new mini crash course in program evaluation** details the impact an evaluation has on program design, as well as the benefits of measuring outcomes.
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EDITION

To Ron Coley, my husband, who supported me in all stages of this book; and who had faith when I faltered, praise and inspiration when I doubted, and love and friendship always. —S. C.

To my granddaughter, Maya, and grandson, Kai, who inspire great hope for a beautiful future. —C. S.

Preface

We are pleased to offer this fifth edition of *Proposal Writing* that substantially updates the materials while broadening the appeal of the book to health, education, social services, and human services providers. We have increased the size of the book by two chapters and two additional appendices (40 pages total). As before, we have kept the book jargon-free.

The first four chapters of the book orient the reader to the field of grant writing: the history of philanthropy, nonprofit organizations and their purposes, sources of funding and application processes, and an overview of the contents of a proposal. This structure will allow the user (or teacher) the flexibility of viewing these foundational materials separately and as needed.

Chapter 5 is a transitional chapter that orients the reader to the task of writing the proposal and addresses the unique writing challenges when a proposal is developed within an established organization (that has a history and proven track record of providing successful services) versus writing for a new organization. This chapter also addresses the unique demands of writing a joint, collaborative proposal.

Chapters 6–11 take the reader through the rigorous process of grant writing. Starting with program development through a step-by-step process that includes looking at demographic and research data to determine the need for the program. Addressing community readiness and barriers to services as well as program sustainability is discussed.

The reader is taken from program design into a very comprehensive crash course on program evaluation. Readers will learn why it is important to measure program outcomes, how to measure them, and how to plan an evaluation design early in the planning process. After this, the reader will learn how to refine program ideas into objectives and implementation activities and write them in a format demanded by various funders.

In most applications, the program description or need statement is the heart of the proposal. The book provides the reader with a template upon

which to develop and sketch out a compelling narrative to accurately represent and *sell* the project idea to the funder. The last two chapters address budgeting and budget justifications, subcontracting, and contract negotiations. More sample proposal sections are included in the final chapter and a sample memorandum of understanding.

We are grateful for the book's success and indebted to many people who have had a hand in improving this edition. The book reflects the input of faculty, students, and community agency members who have used the book in the teaching and writing of grants. We have created a book that integrates their recommendations with our own experiences resulting in an effective guide to grant writing.

We thank our new editor at SAGE, Nathan Davidson, and previous editor Kassie Graves, along with Carrie Montoya, formerly Senior Editorial Assistant for Human Services. We are indebted to outside readers who provided us with their thoughtful feedback including: Joyce Weil, University of Northern Colorado, Gerontology Department; Rebecca L. Thomas, University of Connecticut, School of Social Work; Richard Hoefer, University of Texas at Arlington, Social Work; Adrian S. Petrescu, Bellevue University, MPA Program; Brian Nerney, Metropolitan State University; Christine Hempowicz, University of Bridgeport; James Wolff, Boston University, School of Public Health; Richard Mushi, PhD, Mississippi Valley State University; and Sandra Pavelka, Florida Gulf Coast University. We also thank Lietta Wood for reading and editing early versions of this manuscript. Finally, we invite you, our reader, to contact us with any thoughts or suggestions you have to improve this book at proposalwriting5thed@gmail.com.

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1

An Orientation to Proposal Writing

Chapter Topics

1. A Book for the Beginning Grant Writer
2. A Brief History of Giving and Philanthropy
3. Differences Between Grants and Contracts
4. Request for Proposals (RFP)

A Book for the Beginning Grant Writer

There is nothing more exciting or gratifying than to participate in designing a program, writing a proposal that gets funded, and, ultimately, seeing that program come to life in the community! This book is written to help you, the beginning grant writer, understand the basics of grant writing and develop the necessary skills to write an acceptable, and hopefully successful, grant application. We avoid the use of technical jargon as much as possible and provide a step-by-step process to help you write a proposal for a nonprofit organization (including schools) seeking public funding through governmental or private funders. (For those of you writing research proposals, we recommend: *The Nuts and Bolts of Grant Writing* by Cynthia E. Carr [2015] and *Writing Successful Grant Proposals* by Robert J. Sternberg [2014].)

Grant writing is often the primary means by which a nonprofit funds its programs and services. Whether you are a person in a club or association, an employee in an agency asked to step up and write a grant, or a student taking a grant writing course, you will be challenged to enter into an open-minded, critical thinking process that will lead to a completed proposal. In this process you will be asked to

- identify and state issues clearly and succinctly,
- understand and apply research findings to program design,
- design effective program evaluation to measure the impact of the program,
- create and justify a budget for the project, and
- fit this within a predetermined number of pages and format.

Once you have learned how to write a state or federal proposal as outlined in this book you will be able to tackle just about any proposal that comes your way. Plus, you will find that these skills will help make you a more desirable employee in the nonprofit sector or lead to a career as a freelance grant writer taking on projects for a variety of agencies. (For more information on a career in grant writing, you might want to consult with national organizations including the Association of Fundraising Professionals [AFP], the Grant Writers' Association, the Grant Professionals Association, or the American Grant Writers' Association. These associations help establish professional ethics and resources for grant writers, provide training and certification, and, in some cases, help individuals find quality jobs.) In all, there are many things you can do with these skills, and, we believe they are well worth learning.

We begin this journey with background information on the history of philanthropy and on nonprofit agencies, and then move directly into the business of writing grant applications and identifying funding for your program.

A Brief History of Giving and Philanthropy

The Latin word *philanthropy* is defined roughly as "love for mankind" (Dictionary.com, 2012). If you are working in the nonprofit sector, you are probably already aware that "love for mankind" can take many forms. Today, U.S. political orientations are on a continuum. One perspective encourages individuals to "pull themselves up by their own bootstraps" while the other seeks to provide a "hand up." Throughout U.S. history you

will see the flow of giving surge and retreat based on the political party in power and their beliefs.

The history of giving in the United States has its roots in 16th-century Elizabethan Poor Laws of England that "were administered through parish overseers, who provided relief for the aged, sick, and infant poor, as well as work for the able-bodied in workhouses" ("Poor Law," 2012). Under the Poor Laws, persons who were needy through no fault of their own—such as the elderly, the sick, widows with children, and orphans—were cared for, while those who were needy but viewed to have caused their need, or perceived as being able to address their need without assistance, were fairly ignored. The ignored population included older children/young adults, pregnant single mothers, and criminals.

The Puritans followed the Elizabethan Poor Law model in caring for needy members in the community and took up collections in the parishes to meet those needs. Throughout much of U.S. history, benevolent associations were created as a kind of community-based insurance plan where individuals joined the association and paid dues that were used to help a family with illness or the costs of burial. These associations were established along the lines of ethnicity, employment, or religious affiliation.

The first grants made by the U.S. government were land grants providing the opportunity for citizens to obtain property upon which to build a home and put down roots. Bounty Land Warrants were provided to soldiers in the Revolutionary War in lieu of financial compensation. The Morrill Act of 1862 provided 30,000 acres of land for each congressional district that resulted in the creation of 69 colleges such as Cornell University and Massachusetts Institute of Technology.

The late 1800s and early 1900s marked a period of explosive growth in strategies to meet community needs. In 1889, Jane Addams founded Hull House, a settlement house that accepted needy men, women, and children, and provided a range of services on site and advocacy for improved schools and services. Jane Addams and Hull House mark the beginning of social work as a profession in the United States. The following quote illustrates the struggle that even well-established nonprofit agencies can have in obtaining consistent funding. In 2012, Hull House is forced to close:

> Jane Addams Hull House Association will be out of business Friday, leaving employees and clients scrambling to fill a void the 122-year-old organization will leave. Despite announcing last week plans to close in March, board Chairman Stephen Saunders said Wednesday that the organization will fold this

> week because it can no longer afford to stay open. He also said Hull House plans to file Friday for bankruptcy. (Thayer, 2012)

In the early 1900s, the first foundations came into being: The Carnegie Foundation was founded in 1905 to promote education and is the foundation that developed and manages grants for higher education known as Pell Grants. Shortly thereafter, in response to a desire to do something good with his money, John D. Rockefeller, Sr., established the Rockefeller Foundation in 1913 with a mission to promote the well-being of humanity around the world. Just as these foundations were created out of the wealth of individuals, so it is today with individual, family, and corporate foundations created to give back to the community per the desire and specifications of the creator.

In 1913, the United States government began collecting income taxes and grants were made by the federal government to address critical needs and disasters. The country was well into the Great Depression in 1933 under Republican President Herbert Hoover. Hoover believed that the depression would eventually be resolved through legislation that supported businesses and, ultimately, when business was good, employees would receive the benefit in increased wages (this is called "trickle-down" economics). In March 1933, a Democratic president, Franklin Delano Roosevelt (FDR) was elected to office. FDR believed that the country needed more direct governmental intervention directed to the individual to end the Depression. Through two terms in office, he created a New Deal with numerous programs including the Social Security Administration (SSA), the Works Progress Administration (WPA), the Federal Deposit Insurance Corporation, the Securities and Exchange Commission, and the National Labor Relations Board. These social programs provided jobs for the unemployed, put food on the family table, and spurred the development of a robust infrastructure of roads, bridges, dams, and other public works.

The next burst of social programs came in the 1960s under Democratic President Lyndon B. Johnson's "Great Society" when there was a flurry of social programs, including those to address racial injustice and the "War on Poverty." The most recent surge in social programs was the American Recovery and Reinvestment Act (ARRA) signed by President Barack Obama to provide financial stimulus to the states hit hardest by the Great Recession. ARRA's primary purpose is to support social programs and to create jobs with $831 billion committed between 2009 and 2019.

As you can see, particular social issues come in and out of style and face reductions or increases in funding based on the politics of the day. There is true variability in the world of giving. The types of programs

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