

GRANTS 101:

Becoming a Grant-Ready Institution

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April 22, 2014

Outline

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- Know Yourself
 - Institutional Self-Assessment
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- Know Your Project
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- Conclusion

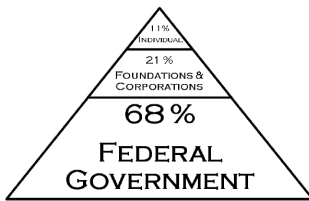
Introductions

- Please introduce yourself using the chat box.
- We'd like to know:
 - Your institution & location
 - Whether your institution has applied for any grants in the past year
 - Whether you consider your institution to be successful at grantwriting
 - What challenges you have in working with your institution to get grants

Know Your Funders

- Federal and State Agencies
 - NHPRC/NEH/IMLS
 - State Libraries (LSTA), State Humanities Councils, Historical/Heritage Commissions
- Private & Community Foundations
- Corporate Giving
- Private donors (family/individual)
- Crowdsourcing
 - Kickstarter
 - Indiegogo

\$363 BILLION AWARDED IN 2012



An estimated 363 billion dollars was awarded in 2012. Eleven percent of the total was awarded by individuals, about \$40 billion. Twenty-one percent of the total was awarded by Foundations and Corporations, around \$76 billion. By far, the largest donor was the Federal Government. With sixty-eight percent of the total, the Federal Government awarded \$247 billion to grantees.

Source:
Grants Training
Center, 2013

Information about Funders

- Grantsmanship Center
 - <https://www.tgci.com/funding-sources>
- The Foundation Center
 - Foundation Center Directory
 - <https://fdo.foundationcenter.org/>
 - 990 Finder
 - <http://foundationcenter.org/findfunders/990finder/>
 - GrantSpace
 - <http://grantspace.org/>
 - Funding Information Network
 - <http://foundationcenter.org/fin/>

Funding Information Network

FOUNDATION CENTER
FUNDING INFORMATION NETWORK

Home Profile Search Site Map Ask Us
About Us Locations Newsletters Press Room FND

Get Started Find Funders Gain Knowledge View Events

GET STARTED

- Welcome
- New Visits
- Non-Profit Grants/awards
- Non-Profit Collections/awards
- Organizations
- International Topics
- People With Disabilities
- Children and Youth
- Support/Needs

Get Answers

- Blog
- Webinar Guides
- Special Resource Lists

Learn About

- Foundations and Grantmaking
- Proposal Writing
- Research/Development
- Tools and Resources

Training/Conven

- Online Training
- Conferences/Networking

Support/Needs Center

Funding Information Network

The Funding Information Network is a network of diverse, community foundations, and other nonprofit resource centers that can help across the U.S. and around the world. Network partners provide a core collection of Foundation Center publications and a variety of supplemental materials and services in areas useful to grantseekers.

A key objective of the Foundation Center is to reach under-resourced and underserved populations throughout the United States and in other locations around the globe, who are in need of useful information and training to become successful grantseekers. One of the ways we accomplish this goal is by organizing the Funding Information Network, awarded in regions that have the ability to serve the nonprofit communities most in need of Foundation Center resources.

We are seeking proposals from qualified institutions (e.g., public, academic or special libraries, nonprofit resource centers, community foundations, United Ways, etc.) that can help us carry out the important mission.

Learn more about establishing a Funding Information Network location in your area

[Find a Location Near You](#)

<http://foundationcenter.org/fin/>

Find Us

The Foundation Center provides free funding information through more than 475 Funding Information Network locations (formerly called Cooperating Collections) — libraries, community foundations, and other nonprofit resource centers located across the U.S. and several countries. Use this map to find a network location near you. [About the Funding Information Network](#)

Search by: ZIP code OR City, State Reverse by: State or Country Map

Map of the Foundation Center's Funding Information Network

Click a spot on the map to see areas for Funding Information Network.

A Word About Funders

- Funders want:
 - To help innovative institutions innovate
 - To help successful programs succeed
 - To help strong programs make a difference
 - To help institutions in their area of interest
 - Geographic area
 - Topical area
- **Funding is very rarely need-based**



- Funder Relationships**
- Get to know them online
 - Grant directions, instruct
 - Review Grants
 - Often can self-nominate as a reviewer
 - Meet funders at conferences & events
 - Ask them what they'd like to see
 - Research previously funded projects
 - Similar organizations, projects, etc. are a good sign
 - If the funder allows grant reviews, take advantage

Foundation Example – Summerlee
<http://www.summerlee.org/TexasHistoryProgram.htm>

Texas History Grant Guidelines
LETTER OF INQUIRY

- Letters of inquiry may be submitted at any time. Contact the Program Officer for further information. The letter of inquiry should
 - be sent to the Texas History Program Director
 - be no more than 2 to 3 pages
 - summarize the project and its estimated cost
 - highlight the key personnel executing the program
 - include a specific requested amount
 - state the term of the project
- In other words, the letter of inquiry is a summary of the basic facts of the project.
- Once received, the letter of inquiry is reviewed by a Grants Committee comprised of members of the Board of Directors. If selected for further review, the grantseeker will be invited to submit a formal proposal for consideration by the Board of Directors.

Foundation Example – Summerlee

Formal Proposal Requirements for Texas History Grants

- A formal proposal should be submitted once the grantseeker has been invited to submit a proposal. The following elements are required for the application process:
 - Fact sheet
 - your cover letter signed by the chief executive officer
 - most recent copy of the IRS determination letter which grants the organization 501(c)(3) status
 - the most recent financial statements (audited, if any)
 - the most recent copy of the 990 IRS information return, if any
 - brief history of organization seeking support
 - statement of organizational goals and purposes
 - vitae of key personnel
 - list of board of trustees and officers of the organization
 - detailed description of the project with dollar amount requested
 - budget forecast
 - plan of work to complete the project
 - amount of time needed to complete the project.
- If the funding request is not for the entire amount needed for the project, a plan should be included to describe how the project will be completed.

Know Thyself

- Do you know who you are?
 - Does your library/archives have a parent organization?
 - E.g., government, non-profit organization, institution of higher education
 - Does your library/archives have a fully segregated and itemized operating budget?
 - Who at your organization is authorized to sign contracts on behalf of the organization?
- Things to keep on hand:
 - Historical information about the organization
 - Description of core programs and collecting areas (library/archives)

Institutional Self-Assessment

- Is your institution a **smart** investment?
 - Is your mission statement clear? Does it inform the funder about the difference you make?
 - Does your governing body have a clear purpose and clear and appropriate roles?
 - Do you have qualified staff, board, volunteers, consultants, collaborators, and advisors?
- Things to keep on hand:
 - Up-to-date copy of organizational mission statement
 - Up-to-date copy of organizational code of ethics
 - Up-to-date strategic plan for organization
 - Up-to-date list of members of governing body
 - Up-to-date organizational chart
 - Resumes for key staff, volunteers, consultants

Institutional Self-Assessment

- Does your institution **demonstrate** best practices?
 - Do you have appropriate organizational and professional policies and plans on hand?
 - Is the institution accredited and the staff qualified in appropriate ways? (Or are you working towards those goals in any way?)
- Things to keep on hand:
 - Collection development policy
 - Collection management plan
 - Preservation & collections care
 - Disaster/Emergency response
 - Business continuity plan

Institutional Accreditation

- Institutions of Higher Education
 - SACS, Commission on Colleges
<http://www.sacscoc.org/>
 - NCASC, Higher Learning Commission
<http://www.ncahlc.org/>
- Public Libraries
 - Established by State Libraries
 - Louisiana
<http://www.laonline.org/fp/files/pubs/pl/publicstandards2010.pdf>
 - Texas
 - [Minimum Standards for Accreditation of Public Libraries](#)
 - [Texas Public Library Standards](#)
 - CIPA (Children's Internet Protection Act)
<https://www.tsl.texas.gov/ld/consulting/tech/cipa.html>

Accreditation Options

- AASLH StEPs Program
Standards and Excellence Program for History Organizations
 - <http://tools.aaslh.org/steps/>
- American Alliance of Museums
 - Core Documents Verification
<http://www.aam-us.org/resources/assessment-programs/core-documents>
 - Pledge of Excellence
<http://www.aam-us.org/resources/assessment-programs/pledge-of-excellence>
 - Museum Assessment Program (MAP)
<http://www.aam-us.org/resources/assessment-programs/MAP>
 - Accreditation
<http://www.aam-us.org/resources/assessment-programs/accreditation>

Institutional Self-Assessment

- Is your financial management appropriate?
 - Are financial conditions **reasonable** and well-understood?
 - Do you undergo an annual audit?
 - Do you have guidelines for sponsorships, gifts, and grants?
- Things to keep on hand:
 - Up-to-date organizational and program budgets
 - Most recent three years financial audits
 - Non-profits: IRS 990 tax filings, 501(c)(3) determination letter
 - Guidelines for sponsorships and gifts
 - Employer Identification Number (EIN)
 - Dun & Bradstreet Number (DUNS)

Institutional Information

- National Center for Educational Statistics
 - Academic Library Peer Comparison Tool
<https://nces.ed.gov/surveys/libraries/compare/Default.aspx>
 - Integrated Postsecondary Education Data System (IPEDS) Data Center
<http://nces.ed.gov/ipeds/datacenter/>
- Public Libraries
 - IMLS Public Libraries Survey (PLS)
http://www.imls.gov/research/public_libraries_in_the_united_states_survey.aspx
- Non-Profit Organizations
 - Charity Navigator
<http://www.charitynavigator.org/>
 - GuideStar
<http://www.guidestar.org/>

You Don't Do Grants Alone (especially at a university!)

Leave sufficient time to get the information and assistance you will need from others.

Know Your Partners

- Grant and Contract Services (Office of Sponsored Projects)
- Human Resources
- Content Providers/Stakeholders
- Institutional Review Board
- Readers
- Program Officer
- Previous Successful Applicants

Grant Partners

- Grant and Contract Services (Office of Sponsored Projects)
 - must review proposal budget
 - ensure completion of forms required by the university
 - usually perform formal submission of proposal
 - have info such as:
 - DUN #
 - Federal Tax ID
 - audit information

Grant Partners

- Human Resources
 - salary amounts
 - % fringe benefits
 - account numbers/budget-lines for salaries

Grant Partners

- Content Providers/Stakeholders
 - departmental mission statements
 - personnel (who needs to be involved? And how?)
 - workflows
 - standards
 - procedures
 - costs
 - equipment and specifications

Grant Partners

- Institutional Review Board (IRB)
 - Anytime anything is to do with human subjects
 - Yes, surveys!
 - assess improvement in skills
 - evaluate claims of improved ease of use

Know Your Project

- Project Goals
 - What do you want to accomplish?
- Project Budget
 - How much will it cost?
- Project Assessment & Evaluation
 - How will you know if you've succeeded?

Defining Projects

- **Why** you are undertaking the project
- **What** you want the project to achieve
- **For whom** you are undertaking the project
- **When** you will achieve it
- **How** you will achieve it

• Institute of Museum and Library Services.
"NLG Project Planning: A Tutorial."

Project Goals

- What are we trying to accomplish?
 - How does this relate to our organizational mission?
 - What strategic goals will this project support?
- What have we already accomplished?
 - What activities of the organization can be redirected towards the project?

Project Budgets

- Use the form provided by the funder.
 - If none, provide a basic budget with rows detailing categories and detail of expenses, and columns showing breakdown by funder and award recipient. Provide totals.
- Create a spreadsheet to perform calculations and to document how figures were reached.
- The budget should include not only the project costs to be charged to grant funds, but also those that will be supported by cost sharing.
 - Anything you match is part of the cost of the project and should be included in the grand total.
- Some funders require a Budget Summary giving textual explanation of expenses.

Budgets - Definitions

- **In-Kind Contributions:** Goods, commodities, or services (rather than money) that help support a project.
- Examples are the value of staff time, donated volunteer time, and donated consultant time that support project activities, and equipment donated to the project.
- In-kind contributions must be necessary to accomplish project objectives, allowable according to funder guidelines, auditable, and incurred during the grant period.
- Cost-share by the applicant in a request for funding usually takes the form of in-kind contributions. (adapted from IMLS)

Budgets - Definitions

- **Direct Costs:** Direct costs include faculty, technical and student salary, travel, scientific supplies, equipment, tuition, human subject incentives, animal costs, consultant pay, [etc.](#) Direct costs can be assigned to a specific project with a high degree of accuracy. (Source = ASU)

Budgets - Definitions

- **Indirect Costs:** an organization's costs that cannot readily be isolated or identified with just one project or activity. Indirect costs are often referred to as "overhead" or "administrative costs." Examples are charges for utilities, general insurance, use of office space and equipment that you own, telephone service, postage, and the salaries of the management and administrative personnel of the organization. (Source = IMLS)
- *Watch for wording by funders that they disallow IDC. If instructions are unclear or do allow IDC, ask the granting agency for a statement that it is not allowed.*
- **F&A:** Facilities & Administrative costs, formerly known as indirect costs or overhead.

Budgets - Definitions

- **Federally Negotiated Rate:** rate determined by negotiated agreements between federal agencies and non-profit organizations establishing the percentage that can be recovered by the organization receiving an award to reimburse indirect costs.

Project Assessment

- What do you want to know, and how will you know it?
 - normally the weakest part of grants
 - we don't understand it
 - we leave it until last
 - getting help
 - colleagues with expertise
 - assessment experts on campus
 - sites recommended by Grants Training Center

Assessment Resources

- W.K. Kellogg Foundation Evaluation Handbook
 - <http://www.wkkf.org/resource-directory/resource/2010/w-k-kellogg-foundation-evaluation-handbook>
 - See "Demonstrating Progress Toward a Change"
- Paloma Foundation Participatory Program Evaluation Guide
 - <http://palomafoundation.ca/initiatives/participatory-program-evaluation/>
 - walks through the whole of collecting and analyzing data, sharing data, and how to do an evaluation
- American Evaluation Association
 - <http://www.eval.org/>
- IMLS Shaping Outcomes
 - <http://www.shapingoutcomes.org/>

Assessment - Definitions

- **Evaluation:** How the project will be measured and the results given to the donor.
- **Quantitative Evaluation:** Hard data, such as: facts, measurements, and statistical analysis.
- **Qualitative Evaluation:** Soft data, such as opinions, individual stories, and surveys.

Source: Grant Training Center, September 2013

Assessment - Definitions

- **Goals:** are written in general terms, are not measurable, are what you are going to get after all of the money has been spent. Goals are the end product.
- Goal statements begin with verbs such as: to enhance, augment, increase, expand, initiate, reduce.
- Goals should be stated in terms of the beneficiary--such as a trained student body, not as more equipment.

Assessment - Definitions

- **Objectives:** are the promise you are making to the donor. Objectives begin with the same verbs as do goals, must be specific, and should be measurable. They should be written in outcome terms.
- **Example**
- **Goal:** Increase opportunities for every UTA student to have meaningful contact with other cultures and environments.
- **Objective:** Increase the number of international students and faculty in the UTA community by 20% or by a total of 54 students and 46 faculty over a two-year period.
- **Activities:** are how objectives will be accomplished

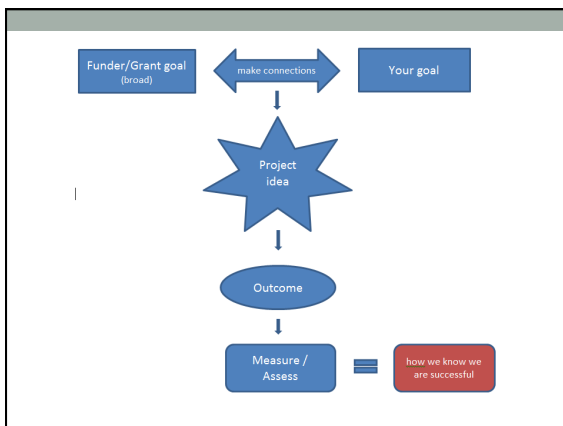
Tips for Successful Proposals

- Make the proposal reviewer's work as easy as possible.
- Write succinctly.
 - Don't put more words in the grant.
 - "Good proposals are about less, worded effectively."
- Write for the grant reviewer.
 - Make it easy for them to see.
 - Don't hide things.
 - If reviewer cannot see it, it is not there.
 - Follow their format.
- Follow funder's directions.
 - Understand the rules.
 - Don't rely entirely on your grants office to find out all of the rules.
 - Understand the criteria used to evaluate proposals!
 - If funder provides a scoring rubric, pay attention to it.
- Have someone else read the proposal before you submit it.
 - Errors happen
 - Does it make sense to people not as deeply involved as you?
 - don't assume reviewers know your topic as well as you do
 - Take advantage of pre-submission review by program officers.

What to Write First?

Always begin with goals.

1. Look for connections between funder's goal/s and your organization's goal/s.
2. Formulate the project idea.
3. Write outcomes.
4. Explain how you will know you are successful.



“Grants are not about money.”

- Don't chase the money--chase the good ideas that need money.
- Begin with the idea. What is the good idea you need to fund?
 - Identify the problem you want to solve.
 - Identify the answer to the problem. How can you solve the problem?
 - Form your strategic plan for solving the problem.
 - What resources do you have?
 - infrastructure
 - knowledge of who you are
 - knowledge of what you want
 - What resources do you need?
 - money
 - expertise
- Make a match with a funder.
- Plan the proposal.

Don't Be Needy

- Remember that grants result from strength, not weakness
 - Successful proposals are based on a good idea that serves a beneficiary, not on your institution's need.
 - Donors want to see a strong applicant who will make it happen.
 - A strategic plan comes out of your own identity and what you have already done well.

Contact Us

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