Introduction to Grants (Grants Boot Camp!)

Introduction
At colleges like Dickinson, official responsibilities for faculty are teaching and advising, research and writing. In contemporary academe, however, an unofficial yet increasingly critical faculty responsibility is effectively searching for and securing grants.

Grantsmanship – the process of researching funding sources, writing proposals, and managing grant monies – is frequently essential when making a particularly important professional move. For many faculty members, it has become a way of life.

Grantsmanship serves many purposes. First and foremost, it provides money. Grants can buy you time, materials, equipment, and other professional necessities which may not be obtainable within a regular faculty salary or department budget. Such funds provide a financial “boost” which lead to significant long-term professional gains as well as benefits for the students at large. Second, grants provide access to people, places, and resources not otherwise available. Third, receiving a grant is an honor and brings you the interest and respect of the colleagues and potential future funders. A grant also increases your professional visibility. And finally, the very issues addressed when writing a proposal can help you to reflect upon your current professional priorities as well as your long-term career goals. Thus, grantsmanship can be an excellent form of professional self-analysis.

The Grant Guide for Dickinson Faculty is designed to assist you in realizing these benefits of the grants process. Procedures and suggestions for each step of the grants cycle–from locating funds to spending them – are outlined. The Guide is a compendium of the standard sources on this subject but with a valuable addition: it is designed specifically for Dickinson faculty and academic professionals; only opportunities appropriate for faculty at an undergraduate, liberal arts college are included.

The Dickinson Grants Office staff hopes that this guide will help you in your efforts to succeed in a competitive business. Good luck!

Opportunities and Vocabulary

Types of Opportunities
Just what do you want to accomplish?

- Consider your professional characteristics and goals
- Decide your long-range study and research interests

Certain projects that you begin early in your career will help support or augment future efforts. They should grow from and build upon each other. This means that it is wise to keep long-term objectives in mind as you begin to research each specific project. So–what do you want to accomplish? Consider these:

- What do you want to do – write a book, conduct a research expedition or experiment?
- Where will your project take place? In the lab, in the surrounding region, overseas, etc.?
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- How – will you need equipment, expensive or otherwise, assistants, etc.?
- Who – with colleagues as a team effort or alone?
- Why – how does this project fit into your professional development?

Grants Terminology

As in all professions and disciplines, the world of grants has its own language. Becoming familiar with grants terminology will speed the research process and help you target the best prospective source of funds for your project.

Major Grant Domains

- Humanities: According to the National Endowment for the Humanities website (http://www.neh.gov), “The humanities include the study of literature, history, philosophy, religion, art history, and archaeology,” as well as those social sciences that employ historical or philosophical approaches.

- Social Sciences: The social sciences deal with a particular phase or aspect of human society. Social scientists seek to describe, analyze, and interpret the ways in which people interact within the societies they have created. Included are American studies, anthropology, economics, political science, psychology, education, and, of course, sociology.

- Natural Sciences: As defined by the National Science Foundation, the natural sciences include, “but are not limited to: astronomy, atmospheric sciences, biology, behavioral sciences, chemistry, computer, earth, engineering, and informational sciences, materials research, mathematics, oceanography, physics, and social sciences. However, the National Science foundation will not normally support projects pertaining to clinical research, physical or mental disease, or abnormality in humans, development or testing of drugs, technical assistance, or development of commercial products or inventions.”

Types of Grants

- Individual Grant: support for an individual for research, study, travel, etc; usually individuals may apply directly to the sponsor, and when awarded the funds go directly to the proposer.
  - Research Project Grant: support for an individual project; it usually covers clearly defined costs including Facilities and Administrative costs (F&A); the sponsor may expect results from the project within a specified time frame. These are often institutional grants (see below) which are administered by the institution.
  - Seminar or Conference Grant:
  - Travel Grant: grants for travel to research or teaching site, either in one’s own field or a related field; the destination may be either at the recipients discretion or to a location predetermined by the sponsor.
  - Fellowship: a fellowship often implies being a member or “fellow” of a community, whether at a specific location, or through a general affiliation; it frequently requires other responsibilities in addition to research, such as teaching.
    - Pre-doctoral fellowship: support for scholars at various stages of earning their Ph.D.; may include funds for graduate study, instruction, and cost related to completion of the dissertation.
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- dissertation fellowship: support for actual dissertation research.
- postdoctoral fellowship: support for scholars who have received their Ph.D. or equivalent academic credentials; preference is often given to applicants who have recently received their Ph.D.
- senior postdoctoral fellowship: support generally for tenured faculty or for faculty who have taught for a specified number of years since completing their Ph.D.

- Institutional Grant: support used by an institution for programs; monies or services awarded are administered by the institution through a project director, or principal investigator.
  - Challenge Grant: a funder will support a project through the development of an endowment. The Funder will provide a certain amount, if the grantee also raises a specified amount. Challenge ratios can be 1:1 on up to 1:5 (they give us one dollar if we raise five)
  - Planning Grant: support to develop a larger project concept.
  - Project Grant: support for a project; it usually covers clearly defined costs including Facilities and Administrative costs (F&A); the sponsor will expect results from the project within a specified time frame.

General Terms

- Abstract: A document which appears at the beginning of a proposal and serves as a summary of the entire proposal.
- Cost Sharing/ Cost Matching: Project support from sources other than the potential funding agency that the applicant guarantees to provide. “Hard monies” are actual dollar matches. “Soft monies” can be in-kind support such as equipment, volunteer support, or staff time.
- Cover Letter: A letter signed by a senior administration official - the Dean or the President (in the case of an institutional proposal) - the presence of which signifies the institution's commitment to back the proposed project. This letter would be signed by a proposer if it were for an individual research grant or fellowship submitted to a private or government funder which would provide funds directly to the proposer. The cover letter carries the basic information regarding the grant (when, how much, project title and who will implement) but can also remark on various phases of the project, personal contacts between president and program officer(s), and any other information which may be highlighted to a program officer which might lend itself towards a proposal's successful review.
- Form 990: An information return which private foundations are required to file each year with the Internal Revenue Service; such forms provide information on foundation managers, assets, income and expenses, grants paid and/or committed for future payment, capital gains or losses, and other financial data. IRS 990 PF forms are now on-line and can be viewed in PDF format! Check out the Foundation Center Foundation Finder.
- In-Kind Grants: Nonmonetary support, such as office space, secretarial or research support, housing facilities, or donated equipment.
- Letter of Transmittal: A letter of transmittal is signed by a senior administration official - the Dean or the President (in the case of an institutional proposal) - the presence of
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which signifies the institution's commitment to back the proposed project. The letter of transmittal carries only the basic information regarding the grant (when, how much, project title and who will implement).

- **Letter of Inquiry**: This is really a mini-proposal, a brief description of a proposed project. It contains enough information to grab a program officer's interest - a substantive abstract of a project, plus preliminary budget - but is not a full proposal. It comprises 1) a single page cover letter, 2) a two page abstract of the project, and 3) preliminary budget. The two page abstract is often titled as a "Letter of Inquiry", but in fact the whole package (items 1-3 above) is usually referred to as a letter of Inquiry.

- **Prizes**: Awards in recognition or support of creative or exceptional work; usually the recipient must be nominated by colleagues or by his or her institution.

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**Researching Opportunities**

**What You Need To Know**

Before you begin researching potential sources of funds, you may find it helpful to review the basic questions that your research into the grant should answer:

- What are the agencies’ funding priorities? What are their patterns of giving?
- How many awards were made in the most recent two to three years?
- What is the range of award amounts?
- When are the deadlines?
- How long is the review process?
- Will the grant be awarded through the institution or directly to the individual?
- What is the duration of the grant and are renewals or extensions possible?
- What is the name and address of the contact person?
- Are visits or interviews required?

Grants research, as in academic research, involves the use of both primary and secondary resources. Primary resources include annual reports, applications guidelines, IRS form 990s - some of which may be available online, depending upon the organization or foundation (see Links to Grant Search elsewhere on this site). All provide insight into the sponsor’s values, capabilities, priorities, and actual funding patterns.

Secondary sources such as directories and databases available on-line, on CD, and in hardcopy are helpful in sifting through the myriad grant opportunities For searchable databases and links to foundation, and government websites see Search for Funding!

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**Proposal Writing**

This section of the handbook is designed to guide the grant seeker step by step through the preparation, writing, and follow-up of proposals.

**Key Components of Proposals**

- Proposal Cover Sheet
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- Table of Contents
- Project Summary
- Introduction
- Problem Statement
- Project Objectives
- Methodology
- Evaluation
- Future Activities and Funding
- Conclusion and Request for Support
- Budget

Proposal Cover Sheet
The Proposal Cover sheet is the finishing touch to a proposal which gives it a professional as well as institutional "look". It need not be elaborate - but usually contains the title of the project, the funding agent, from whom it is submitted and the date.

Sample Cover Sheet #1

Table of Contents
As with the Cover Sheet, this is another indicator that a great deal of care has been done in preparing the proposal. With a short proposal (2-3 pages) its not really necessary, but it is essential when you have prepared a long or otherwise very comprehensive proposal with lots of appendices and attachments. In the latter case, it lets the reviewer know that of 150 pages of "stuff" only 10 pages are proposal text

Sample Table of Contents #1

Project Summary / Executive Summary / Abstract
The project summary can take a variety of forms, whether as a separate coversheet or as part of a cover letter. Regardless, the project summary is the last section written but the first section read. It is therefore important because it identifies yourself and frames the remaining elements of the proposal.

The project summary is:

- enticing to the reader
- short and interesting - one or two very short paragraphs; four to five well-constructed sentences, maximum.
- written so well that if the rest of the proposal were lost in the mail, the sponsor would want to fund it.

Introduction
The introduction puts your proposal in context. It shows your experience and expertise in the area in which support is being sought. As such, it establishes your credibility, and ideally will make the person reading your proposal think your project will be a good opportunity for a wise, well-managed investment. The introduction includes:

- a description of the applicant
- a list of purposes and goals
- the status of research or activities in the field to date
- the evolution of the project under consideration
- the applicant’s participation in related research projects and funding
- the "set-up" for the situation or problem–a transition into the problem statement.

Problem Statement

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Sample Cover Sheet #1 Blank Cover Sheet

Sample Table of Contents #1
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In the problem statement, you should discuss the set of conditions which your project will address and how they relate to the project’s goals. If necessary, the problem statement should be supported with statistics or examples and should help the evaluator understand its importance. The way the problem is stated predicts the project’s objectives. A problem statement avoids:

- unsupported assumptions
- traps, such as “there has never been any research . . .”
- global statements
- factoids, such as "XYZ is arguably the most/best/least/smarter/dumbest ...

**Project Description and Objectives**

In this section, you must state clearly what will be accomplished. Discuss measurable changes and effects, and define who or what will be changed, in what direction, by how much, and when. The problem solution should be attainable within the designated time frame. Objectives must not be confused with methods. Objectives describe “to what end.” Methodology is discussed in the next section. Project objectives include:

- a projected time frame
- an expected outcome or product, i.e. a cure for a disease, a book, an article, a conference presentation, etc.

**Methodology**

In this section, your task is to describe how the project’s objectives will be realized. Your proposed activity should be clearly outlined; you may also include a timetable. The methods of the project flow naturally from the problem statement and objectives. The methodology section describes:

- who will conduct the project
- what the applicant will have to do with the project
- how the project will be executed
- where the project will be conducted
- when the project will happen
- why the particular activity was selected.

**Evaluation**

It is very important to explain how the project will meet its stated objectives. Methods of evaluation vary according to the discipline and the prospective format, but the evaluation procedures can aid in clarifying objectives and defining accountability. The evaluation has implications for grant renewal and future funding. Remember:

- evaluate the process and the project
- take the audience–program officers, foundation trustees, colleagues–into consideration
- make the evaluation feasible.

Future Activities and Funding This section illustrates your commitment to your project. If the project requires activity or funding beyond the proposed grant period, describe plans for continuing research or for obtaining additional funds.

**Conclusion and Request for Support**

In this section, summarize the request and state the amount requested of the foundation and why. Conclude with a statement of the impact this project, with foundation funding, will have. Remember:

- Keep the text short - just a few sentences will do.

**Budget**
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The budget section describes the proposed project in dollar amounts of estimated expenses and income. It should document sources for all budget items. The major categories of budgets are expenses (or costs), income, and in-kind items. In addition, a separate sheet entitled “Budget Explanation” should explain the basis upon which costs which are not self-explanatory have been estimated.

The greatest challenge in writing budgets is estimating the expenses involved. If you have done a similar project in the past, you can refer to your records and adjust these costs for inflation. If you are starting from scratch, you will have to obtain estimates from various sources. Estimates can be provided by on-campus offices, such as the service center or personnel, as well as by outside vendors, such as travel agents, airline companies, and office supply firms. Regardless of the source of the estimates, keep careful records in case you are audited and also to ease future budgeting.

If you are preparing a budget for a multi-year grant that includes funds to offset salaries, remember to increase the salary rate each year after the first year. Call the C&FR Office to verify the current rate of increase (currently 5 percent).

Types of budget expenses:

- **Direct Expenses**: Cost directly applicable to the proposed project, including personnel salaries, fringe benefits, salaries of consultants, travel, subsistence per diem, office supplies, program supplies, and equipment. These costs can be estimated by making comparisons to similar jobs within the organization.
- **Indirect Expenses**: Costs incurred by the larger agency within which the project occurred, some of which are applied to the proposed project, often using a predetermined overhead rate, called an indirect cost rate by Federal agencies. A budget should:
  - be realistic, honest, and conservative without being skimpy
  - be well documented
  - be consistent with the narrative
  - explain assumptions: i.e., the inflation factor, availability of facilities, hotel rates for guest speakers, etc.
  - anticipate unexpected expenses
  - be included on a separate sheet.

Sample Budgets  #1  #2  #3

**Proposal Appearance**

For successful proposals, appearance is as important as content. A proposal should be neat, orderly, and professional. It shouldn’t look expensive or ostentatious, however. Do not spend half your proposed budget on unique stationary, fancy binding, and exotic printing. Program officers are neither impressed nor fooled by excessive or fancy packaging—creativity should be in the proposal’s content, not in its format. With the desktop publishing and duplicating resources available on campus, a quality proposal can be produced easily and at reasonable cost.

**Hints on Writing**

Successful Proposals:

- are neat, clean, and easy to read
- are in English
- define all terms ex: ... the National Science Foundation (NSF) ...
- avoid jargon
- are brief and concise
- use the active rather than passive voice
- are positive (be an applicant, not a supplicant)
- are supported by a sufficient amount of documentation
- are internally and externally consistent
- use plain rather than fancy words
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- use familiar rather than unfamiliar words
- keep ornate adjectives and adverbs to a minimum
- use simple rather than complicated sentences
- use short paragraphs
- eliminate needless words, sentences, and paragraphs—less is more
- are proofread by persons outside the field before submission.

Unsuccessful Proposals:

- are vague
- contain run-on sentences
- use negative statements
- have sentence fragments
- shift points of view
- have contradictions
- contain clichés and buzz words, such as:
  - at this point in time
  - if you will
  - burning questions
  - long-neglected subject
  - for all intents and purposes
  - real challenges
  - I submit
  - virtually unique
- contain fad words, such as:
  - ballpark figure
  - dichotomy
  - meaningful
  - impactful - in general don't use "impact" as any form of verb, unless you're a dentist
  - learning experience
  - broad-based
  - societal
  - orchestrate
  - viability
- use factoids, i.e., "XYZ is arguably the most/least biggest" (supply your own superlative)
- use redundancies, such as:
  - absolutely essential
  - period of time
  - complete absence
  - reason is because
  - general consensus
  - summarize briefly
  - example to illustrate
  - true fact
- are sloppily presented
- are ineligible; fall outside of explicit application guidelines
- omit required supplementary materials
- include unnecessary, irrelevant supplementary materials
- have budgets that are vague or don’t add up
- miss the deadline

Some Rules of Thumb
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- Use section headings whenever possible
  - These natural breaks help move the reader along your text to the next section.
  - They often allow you to focus your thoughts on the point of any particular section and what is its function in the proposal
- Always argue from the positive position. No funding agency wants to throw money at what looks like a failed project, but they will be ready to fund a project that looks like it has tremendous potential. When you argue from the negative position, you look like a whiner and a failure. Remember the old adage: "Success has a thousand fathers, but failure is an orphan". Adopt the attitude and language that "there are no such things as weaknesses, only opportunities to enhance existing programs." *Its "spin" that WORKS.*

For example, note the following proposal text, remarking on an external evaluation of a curricular program:

"...They identified "excellent faculty," curricular breadth, and the commitment to study abroad as assets to the college. The evaluators also, however noted points of serious weakness. They noted the lack of a full-time specialist in Mongolian history; the lack of depth and breadth in staffing in the social sciences; poor arrangements for study in Mongolia, and the lack of staff to address existing language sequences. ...."

Rewrite as:
"...They identified "excellent faculty," curricular breadth, and the commitment to study abroad as special areas of programmatic strength. The evaluators also noted points where the program could be productively enhanced. They suggested engaging a full-time specialist in Mongolian history; improving the overall strength in staffing in the social sciences; more comprehensive development of arrangements for study in Mongolia, and the hiring of additional staff for existing language sequences. Since 1994, Dickinson has worked to implement these suggested improvements. Courses in Mongolian history are now taught by......"

Submission Procedures & General Guidelines

The Process

Obtaining Application Guidelines and Forms

When you are seeking information and guidelines for proposals, first check to see if our office has the necessary application forms. Doing so will save you valuable time. Note that some funding bodies will send information to only one office—usually the Dean's Office or "Grants Office"—at a particular institution. If we don't have the forms you need, then send a brief and simple letter to the funding agency requesting the information.

- Do not provide information about your project unless required or requested. Some foundations use this as a reason to reject the project right away. If they do ask for basic information (as the American Council of Learned Societies does, for example), comply and treat the letter as a condensed proposal or project summary.

Contact with Funding Agencies

- Before calling, make sure that the information you need isn’t already contained in the application guidelines.
- Call with questions about proposal submissions well in advance of deadlines.
- Be well prepared for your call; have questions written out ahead of time.
- Don’t expect a phone call to the foundation to hurry a decision on your application; call only if you have not received word by the notification date.
- If you feel the need for an interview, call to see if interviews are possible; never drop in unannounced.
- To ensure delivery of your application, send it by registered mail.

The Letter of Inquiry

This is really a mini-proposal, a brief description of a proposed project. It contains enough information to grab a program officer's interest - a substantive abstract of a project, plus preliminary budget - but is not a full proposal. It
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comprises 1) a single page cover letter, 2) a two page abstract of the project, and 3) preliminary budget. The two page abstract is often titled as a "Letter of Inquiry", but in fact the whole package (items 1-3 above) is usually referred to as a letter of Inquiry.

The format of the Letter of Inquiry is flexible, but better to follow a proposal format if possible:

- Summary
- Background
- Project Description
- Conclusion/Request for support

Keep your entire Letter of Inquiry (cover letter plus text) down to 4 pages - absolute maximum. Three pages is even better.

Why send a letter of inquiry??

- Some foundations won't give you a telephone number so you can't speak directly to a program officer.
- Some foundations programs are "by invitation only" and program officers won't speak to you. They might, however, look over a well-written letter of inquiry and decide that you and your project are worthy of an invitation. Yes, it does happen!
- Sometimes a project is just too complex to accurately describe, too esoteric to convey the gist, or simply needs to have graphic materials included with the inquiry.
- Sometimes the project officer is, quite frankly, difficult to deal with. If its clear you cannot manage them on the phone, send them a letter.
- Perhaps you feel your phone skills aren't up to describing the work. Send them a letter instead!
- You can prepare a number of letters of inquiry with a relatively short investment of time - remember this is just a "proposalette" and you can send copies of it to other foundations!!
- You can get feedback from a number of sources - feedback that can be valuable in preparing a proposal.
- If your project is truly non-fundable - you will not have spent all that time preparing a full proposal in vain.

What happens next? One of three things:

- Your letter will be returned.
- You will get no response. If you have no response to a letter of inquiry within three weeks or so, call the foundation and ask to speak to the program officer to whom you submitted the letter of inquiry. Usually they'll tell you right up front the response of the foundation; sometimes they will have lost your inquiry. Don't despair! Send another one!
- You'll get a written response from the foundation.
- You'll be invited to prepare a proposal!!
- You'll be politely turned down, sometimes with reasons, sometimes not.
- The Foundation will take one look at your letter of inquiry - love the project - and deciding you have given them enough information, will decide to fund your project on the spot! The check is enclosed. YES! This does happen!!!
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Whether for individual research, for teaching, or for curriculum development purposes, it is a formal requirement that any academic grant have the dean’s signature. In addition, the dean is always available to discuss your plans, to comment on proposal drafts and on the College’s support for your project, and, if appropriate, to discuss the feasibility of the College providing matching funds.

The Corporate and Foundation Relations Office

The Corporate and Foundation Relations office can provide assistance in researching potential funding sources and in proposal writing. In addition, many sponsors, particularly government agencies, require the signature of the director of grants or development. In some cases, the funding agency may contact the grants office to clarify items in your proposal. Always inform this office of proposals that you plan to or have submitted and, if possible, send a copy of the proposal to the grants office.

The Treasurer’s Office

The treasurer’s office may be contacted when you are developing your proposal budget. In addition to approving budget items which have institutional ramifications, this office can provide you with overhead rates, cost estimates, and other helpful facts.

The Grant Clearance Form  go to this link

The Cover Letter

A cover letter or letter of transmittal should accompany most proposals. This letter provides direct contact with the program officer handling the proposal(s), as well as an expression of your/the college’s appreciation of the reader’s consideration of your proposal.

The letter should include a brief description of the project, the amount of support you are requesting, and the project time-frame. It may refer to past meetings or conversations and may extend thanks to the officer for any help he or she may have already provided. It also may include late-breaking information that the foundation may want to hear - or - in the case of a letter of inquiry, address essential points which "don't seem to fit" in the inquiry. Offer to answer any questions that may arise and include your name and various addresses so that you can be easily contacted.

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Type of Letter Needed</th>
<th>Submitted to:</th>
<th>Prepared by</th>
<th>Signed by</th>
</tr>
</thead>
<tbody>
<tr>
<td>State/Federal</td>
<td>Letter of Transmittal</td>
<td>Program Officer</td>
<td>Proposer/C&amp;FR Office</td>
<td>Dean</td>
</tr>
<tr>
<td>Foundation</td>
<td>Cover Letter</td>
<td>CEO</td>
<td>Proposer/C&amp;FR Office</td>
<td>President</td>
</tr>
<tr>
<td>Private Donor</td>
<td>Cover Letter</td>
<td>CEO</td>
<td>Proposer/C&amp;FR Office</td>
<td>President</td>
</tr>
</tbody>
</table>

Cover letter for proposals to foundations and government agencies which address institutional priorities or initiate institutional projects are ALWAYS signed by the president, regardless of who initiated the project, who formulated the proposal, or who will implement the project. This is more than mere formality: it puts the stamp of approval on the project; lets the potential funder know the college is serious, and that the college will back the project and see it to successful conclusion. A cover letter from the president is an asset to any proposal's successful review - C&FR's position is to take and use any asset available to get the grant funded.

Sample Cover Letter  #1  #2  Sample Letter of Transmittal #1

The Curriculum Vita (if required by the application)

Proposal guidelines rarely specify a length or format for the curriculum vita (or résumé); you must use your own judgment. The vita may be one or two pages for short proposals, longer for other proposals. In any case, make sure to check the proposal guidelines for specific formats and instructions.

While the standard vita may include a list of all work experiences, the proposal-oriented vita should highlight those experiences which establish your credibility for conducting the project in question.
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Suggestions for Vitae

- Be consistent chronologically. List degrees starting with the most recently received, then precede on to the first; list employment, honors, and publications in the same order.
- Divide information into functions: education, employment, publications, honors, travel, projects, etc.
- Be certain to state clearly at the top of the vita where and what your current position is, for example:

  Assistant Professor of Biology
  Dickinson College
  Carlisle, Pennsylvania

- Make clean copies that look sharp and new.

References

As soon as you decide to submit an application, line up your references. Adhere carefully to application guidelines when selecting references. Then provide these references with the necessary lead time and sufficient information for them to write a good recommendation for you.

In choosing your references, do everything possible to ensure that they are knowledgeable about your project and your field and that they will not be unduly vague. If necessary, favor those with the most clout, but ideally you will select references with both a “name” and knowledge about your research.

Many sponsors will require at least one reference to be unaffiliated with Dickinson. Even if this is not required, try to select at least one external person; this will convince the potential sponsor that your project has value beyond the Dickinson community.

Other Supplementary Materials

- Check the guidelines to see what supplementary materials are permissible.
- Appendices can be useful, particularly for longer proposals; make sure to list them in the table of contents.
- For exceptionally lengthy supplements, check with the foundation staff to see if abstracts or summaries may be substituted.
- Where relevant, include “letters of support.” These may include a preliminary agreement from a publisher, a journal review of your most recent work, or an invitation to speak at a conference. These help assure that funder that your plans are feasible.

General Hints

- While researching sources of funds, be alert to trends in funding. Review several years’ worth of the Source Book Profiles, for example, to get a good idea of the types of programs and projects a sponsor might fund in the coming years and the trends in size or number of grants. Watch the professional literature—note who or what in your discipline gets funded.
- Watch your writing style. Proposals require a special writing style. Unlike an article or a Ph.D. thesis, this type of exposition is a combination of legal brief and college admissions application. As proposal reviewers are often generalists rather than specialists, clarity in presenting even the most complex project is essential.
- Avoid the “continuing doctorate” syndrome. When you plan your project(s), try to go beyond a continuation of your dissertation thesis. Explore new ideas and topics.
- Do an accurate, thorough search to support statements concerning the uniqueness of your idea. Be alert to similar projects and be wary of presuming that your idea or project is unique—know the state of the art of your field.
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- Never submit an original of anything that you want back. With the exception of the cover letter, send only copies, particularly of photographs, documents, and other supplements. Foundations are not in the business of returning materials.

Checklist for Submission of Proposals

- All information requested is provided
- A table of contents is at the beginning
- Dates, dollar amounts, names of project directors, etc., are consistent throughout
- Pages are correctly numbered
- Appendices are numbered, in order, and correctly referred to in the body of the proposal
- The budget adds up
- Your signature is included
- The signatures of the appropriate institutional officer(s), if required, have been collected.
- A telephone, fax, and/or e-mail as well as mail address where program officers can contact you is easily visible
- Your name, institution, and other identifying information is at the top of each page
- A clean printed copy (or multiple copies, if requested) is included

Follow-Up; Post Award Processes

Once the proposal is submitted, it is time to play the waiting game. Be as patient as you can. Although this is a difficult time, follow the sage advice of John Corbally, president of the MacArthur Foundation: “Do not call us; we will call you.”

If You Receive an Award:

- Celebrate—preferably with those who helped you get the grant!
- Send thank you letters and acknowledgments promptly.
- Write for reviews—find out why you got the grant.
- Reread your proposal to remind yourself of what you plan to accomplish.
- Clarify the terms of the grant, if necessary through a conversation with your program officer. Check, for example, to see if the funder has first rights to any publications or if all project costs can be covered by the grant.
- Keep your program officer informed of your progress, needed alterations, and unexpected problems.
- Do something—write a book, do a presentation, conduct a conference—anything to show that your project is completed and send the results to your program officer.
- Send interim and final reports on time.
- Keep a file on the project’s triumphs and crises that will add spice and interest to the final report.
- Maintain careful records of expenditures and activities, and collect appropriate data and documents for inclusion in progress reports, possible audits, and future proposals.
- If the project fails to realize its objective, convey this frankly and in a positive tone to your program office; explain, if known, the reasons for the failure and show what the experience taught you about the problem, methodology, or other aspect of the project that prevented success.
- Check to see if the funder has an exclusivity provision; if so, you should not accept any other awards or regular salary during the grant period.
- Contact the appropriate offices on campus.

The Grants Office

If the grant monies are paid to the institution rather than to you directly, send a copy of the letter of award to the grants office. The office will issue a receipt and see that the grant is properly acknowledged. This office
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should also be informed of any follow-up reports that must be submitted by the College and any other conditions of the award that have institutional implications.

Even if your award does not have institutional implications, the development office will list it in the College’s Annual Report and in proposals that describe faculty accomplishments. For these reasons, it is helpful to inform the office of your awards as a matter of course.

The Business Office

The business office must be informed of any award in which the grant monies are handled by the College. Once a grant has been awarded and approved, send copies of the following to the business office:

- the grant application/proposal
- the grant award/notification letter
- the grant budget

The business office must also know for each grant:

- the amount of the grant
- the purpose of the grant
- the grant period
- the reporting schedule
- the payment schedule

At this point, the grant recipient should meet with the business office to discuss details of the fiscal policies of the grant—accounting, purchasing, etc. The business office will assign an account number to the grant. Monthly statements detailing expenditures for the month are sent to the grant recipient.

For grants from the National Endowment for the Humanities (NEH) and the National Science Foundation (NSF), and the business office submits a request for “advance of reimbursement” in order to obtain required funds. Normally requests for advance payments are limited to the grant recipient’s immediate cash need and are not to exceed anticipated expenditures for a thirty-day period. For NEH and NSF grants, the business office also submits a Federal Cash Transactions Report within thirty days after the end of each calendar quarter and a Final Financial Status Report within ninety days after the completion of the grant. Copies are sent to the grant recipient. Any unexpended grant funds must be returned, and any monies paid to the individual for research is taxable income for that individual.

The College Relations Office

A grant can serve as a vehicle for publicity for you, your project, and the College. After you have received a grant, contact College Relations by phone, e-mail, or personal visit, or by sending a copy of your proposal and award notification letter. Be sure to check first your sponsor’s policies regarding such items as approval of press releases and first rights to any articles.

The college relations staff can develop a publicity strategy for your grant. They will help you determine if your project has an audience outside the academic realm and if so, to whom it would be of interest. Perhaps your project has current news value and is worthy of an article or television coverage. Regardless, the staff can help you get nonmonetary mileage out of your award, and most funding agencies will appreciate the additional publicity.

If You Do Not Receive a Grant
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• Do not get discouraged—this is a competitive business. Face it, sometimes grant-getting is just a crap-shoot - you just never know what convinces a foundation to award or decline a proposal. Sometimes, the sky was just too blue on the day they were reviewing proposals.

• Do not take it personally. The foundation and/or grants officer and/or reviewers don't know you personally, and even if they DID, they probably would be professional enough not to decline your proposal on that basis.
• Write for reviews and find out why you didn’t get the grant.
• Talk to your program officer—it’s his or her job to listen and provide an explanation.
• Look at who did receive funding.
• Start over and try again.

Regardless of Results

Figure out what to do next. This project should have been part of a logical long-term plan for scholarly and professional growth. If you are truly committed to the project, you will pursue it regardless of the availability of funds, and this will impress future sponsors.