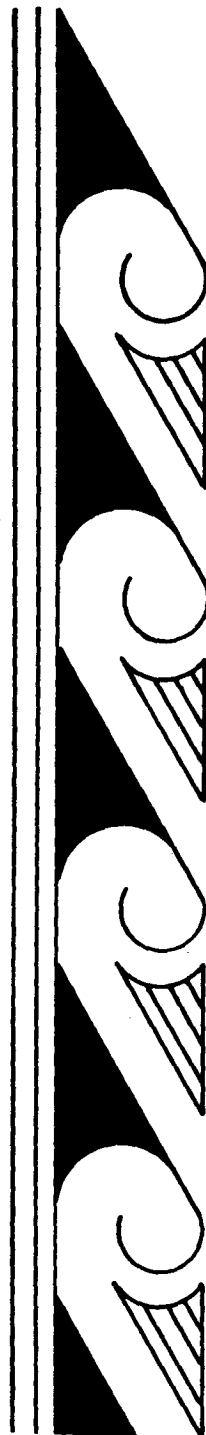


Elisabeth Tooker, *The Indians of the Northeast*, 1978.  
William E. Unrau, *The Emigrant Indians of Kansas*, 1979.  
C. A. Weslager, *The Delawares*, 1978.



## Chapter 9

# RESEARCH PROPOSALS AND REPORTS

*Proposal preparation is a valuable process for planning out the details of a project. The first section of this chapter outlines the basic parts to a proposal and gives examples of useful items to include. You will find sample budgets and timetables. Although funding agencies are discussed, the primary purpose of a proposal is regarded as a work plan that staff can use to coordinate their efforts. Checklists and a funding documentation form are provided for your organization to copy and use. The section on research reports describes content for both progress and final reports. Reporting program results is an important aspect of sharing information.*

**PART I RESEARCH PROPOSALS**

A proposal is a plan. It reflects your idea, or statement of the problem, the steps necessary to carry out the idea, and the expected results. Although a proposal is generally written to gain funding for a project, the well written proposal will serve you well as a plan for your organization to carry out the project once the funding is located. In other words, any new staff member should be able to pick up the proposal, read it, and use it as a guide for the flow of tasks on the project. This approach to proposal preparation maximizes the work you put into the proposal, and brings it back to the organization.

The first step in planning for a new project begins within the organization or community. If there is general agreement that a project is needed, and the project fits within the long-range plan of the community, then the steps to develop a proposal can begin. Otherwise, a great deal of energy can go into the development of a project idea and the plan may not go further than the paperwork if the community does not back the concept. Coordination with the community can be accomplished through a needs assessment, cooperation with the tribal or community planning office, or planning meetings. All of the groups who will participate in, or be affected by, the project should be in agreement as to the general goals. For example, in the case of the research and demonstration project, both the community group and the researchers should come together at this initial stage to define realistic goals for both program components. Unity and planning can save a great deal of time later on.

The next step involves the funding agency or organization. Guidelines vary from agency to agency, and the informed project developer obtains proposal guidelines before writing. These guidelines can be obtained by writing, calling, or visiting the funding agency in person. Information regarding several funding agencies is presented in *Appendix A*. In contacting the funding agency, it is sometimes necessary to give a description of the proposed project in order that the funding agency can make specific recommendations on the appropriate funding program. Many agencies are large and may have several programs within a general category. And one major key to having a project funded is to apply to the correct program. A short presentation of the project, sometimes in the form of a letter of intent, is often necessary to receive the most effective assistance.

Understanding the position of the funding agency is useful in communicating with agency personnel. Agencies or funding organizations are responsible for large sums of money and desire to assist in the development of successful projects. Any unsuccessful projects harm an agency's chances of gaining funds for its next fiscal year. The agency personnel is aware that a successful project requires careful planning, leadership, financial expertise, and a dedicated project staff. These elements, combined with

an explanation of the determined need for the project, are very persuasive; whereas, the desire to gain funds without a well planned project is a very non-persuasive approach.

The majority of funding agencies are willing to participate with you to some degree in the development of a project plan. The extent of this participation varies from discussion of the project over the phone, to the willingness to review the proposal and comment prior to the deadline, and in some instances (particularly with private funding sources) the agency personnel is willing to make an on-site visit to assist with the application. Establishing a contact within the funding agency is very valuable for the contact person can give advice about the agency's priorities, can review the proposal, and can serve as an advocate during the review process. and can serve as an advocate during the review process.

**OUTLINING THE PROJECT**

Once the funding guidelines are in hand, a useful way to begin the work that lies ahead is by developing an outline. This is not always required by the funding agency, but may be indirectly required in the form of a pre-application. It is suggested, even if not required, as a method of organizing the work ahead. The outline can be used to create assignments for support staff, or to set intermediate deadlines for sections of the proposal. This prior planning and pacing avoids the last minute "frazzle" that most organizations experience with proposal deadlines.

The outline presented below contains the essential parts of the proposal:

- I. Introduction
  - II. Problem Definition
  - III. Significance and Expected Results
  - IV. Review of Related Literature
  - V. Methodology
  - VI. Evaluation
  - VII. Personnel
  - VIII. Publication or Distribution of Results
  - IX. Budget
  - X. Bibliography
- Appendices

As mentioned previously, the funding agency guidelines vary. The outline suggested here contains the basics, even though they may be organized into different categories for different guidelines. One technique for organizing the proposal work flow is to label a file folder for each proposal section. Then, information can be placed under the appropriate section, as gathered. This method also enables all staff to have access to the sec-

tions as they come together. The calendar in Figure 9.1 presents an example assignment sheet for organizing a staff effort.

### THE PARTS TO A COMPLETE PROPOSAL

The Introduction to a proposal can serve to capture the interest of the reviewer and is therefore an important starting place. Persuasive yet objective language sets the tone for the sections that follow. For example, "This proposal documents a gap in service delivery to the community, and presents a methodology to conduct a needs assessment which will provide the starting place in bridging this gap." Some items that may be discussed in the introduction include the following:

- \* Brief statement of the goals, or purpose of the project
- \* Description of the target population
- \* Brief statement of the background of the problem (groups addressing the problem, social issues, planning)
- \* Expected applications or uses for the project results
- \* Questions to be answered
- \* Limitations of the proposed project
- \* Coordination with other components, for research and demonstration projects
- \* Outline of the sections that follow

The Problem Definition section more clearly describes the specific problem under investigation, by defining a hypothesis, or an expectation about events and their relationship to each other. For example: "Less structured instructional techniques will stimulate greater achievement among traditional Native American students, while more structured approaches will stimulate greater achievement in more acculturated students." Items usually discussed in the problem definition section include the following:

- \* Background of the problem, in more detail
- \* Statistics that help define the problem
- \* Hypothesis or statement of the problem
- \* Goals (description of long-term or abstract expected outcomes)
- \* Objectives or steps needed to reach those goals
- \* Assumptions
- \* Comparisons considered
- \* Definition of terms
- \* Scope and limitations of the project in more detail

A discussion of the Significance and Expected Results is particularly important for applied research, or for research and demonstration projects.

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
				1 Tom, Research Introduction	2 Director Description	3
4	5 Review of Linda Director Project	6 Significance and Results Tom, Research Assessment	7 Methodology Tom, Research Project	8 Research Tom, Research Background	9 Evaluation Tom, Research Director	10
11	12 Linda Project Director Review of Appendix	13 Appendix Tom, Research Assessment	14 Appendix Tom, Research Project	15 Appendix Tom, Research Project	16 Appendix Tom, Research Project	17 Appendix Tom, Research Project
18	19 Appendix Tom, Research Project	20	21 Appendix Tom, Research Project	22	23 Appendix Tom, Research Project	24
25	26	27	28	29	30	

Figure 9.1 Sample Proposal Assignment Sheet

In other words, once the research is conducted, what is the expected impact on the community or population under consideration? This concern ties in closely with the evaluation section of the project. A discussion of the Significance and/or Expected Results usually includes:

- \* Importance of the study (in addressing needs and expected applied value)
- \* Expected results of the project
- \* Possible applications of the study results toward program development
- \* Long-range goals in more detail
- \* Expected contributions to knowledge or documentation

The purpose of the **Review of Related Literature** is to establish the need for the project and to familiarize the reviewer with studies conducted previously on the defined topic or related topics. This information summarizes the progress or other results researchers have obtained in working on related topics and describes their approaches as to research methodology, instruments devised, and analysis. The lack of previous research, or similar approaches tried, is equally important to document, for this demonstrates the uniqueness or innovation of the proposal at hand. Conducting the literature review is an informative process for the researcher, since methods for research are often discovered when reading of the successes and failures of other researchers.

Sources for a literature review can be obtained from library searches, through the topical listing in card catalogs, and through computerized library searches. Already existing reviews of the literature are a very valuable source. Information on obtaining searches and unpublished materials is further explained in Chapter 8. The discussion of the literature located can include the following:

- \* A brief discussion of the literatures examined and reason for inclusion (e. g. history, psychology, education)
- \* Citing of the source (this should be carried to the bibliography section in more detail)
- \* Summary of the problem considered, hypotheses stated, innovative methodology, findings or other results
- \* Comparison of the research studies
- \* Summary of conducted research, information gained, and application to the project under consideration

The **Methodology** section of the proposal is one of the strongest means of conveying a plan. Good ideas are seen frequently by funding agencies; however, the methodology section communicates the applicant's ability to

carry out the idea. The lack of specific information in the methodology section is the most frequent reason for refusal to fund a project. The methodology describes the specific procedures and steps necessary to carry out the proposed project. Some examples of items that describe these procedures include the following:

- \* Restatement of the problem (optional)
- \* Explanation of the research approach (survey, evaluative, descriptive, etc.)
- \* Definition of variables
- \* Results of applicant's pilot studies (e.g. preliminary needs assessment, testing of the interview with a small sample)
- \* Selection of participants (criteria, methods to locate)
- \* Description of sample
- \* Procedures for protection of human subjects (or privacy) and protection of data
- \* Sample instruments to collect data (questionnaires, interview forms, format to record observation)
- \* Methods of data collection
- \* Data analysis (statistical analysis, correlations, data processing)
- \* Assumptions and expected limitations (for example, sample may represent only a segment of the population and generalizations will be limited)
- \* Timetable for the completion of steps
- \* Coordination with other program components (for research and demonstration or model programs)
- \* Plans for application of research results (applied projects)

Although a plan for the project's **Evaluation** is not always requested by the funding agency, the inclusion of such information serves as an assurance that the project will be monitored. In other words, the funding agency is assured that a group of responsible persons will oversee the progress according to pre-defined objectives and deadlines, as well as monitor budgetary expenditures. Items frequently included in a discussion of project evaluation include:

- \* Organizational chart (showing supervisory personnel, other research projects or activities of the organization, personnel responsible for budgetary monitoring)
- \* Brief history of the sponsoring organization
- \* Reporting requirements of the organization
- \* Provisions for budgetary monitoring
- \* Coordination of components (particularly for research and demonstration or model programs)

- \* Criteria for evaluation of the completed project
- \* Success or accomplishments in terms of research goals
- \* Measurement of project (sometimes optional)
- \* Coordination of components (particularly for research and demonstration or model programs)
- \* Summary of information available for the funding agency, if requested

An effective evaluation plan reflects recognition of the organization's responsibility in regards to the project. In some cases, the project work is completed yet the funding agency may not receive documents that reflect this success. Establishing a good track record with an agency is important to the future of the organization's funding efforts.

A description of the Personnel needed follows closely the tasks outlined in the methodology. In other words, the qualifications and work load are suited to the work as defined in the project description. Consideration can be given to the following types of information:

- \* Position title
- \* Percentage of time working on the project
- \* Qualifications (degrees, training, experience, ethnic preference, language capabilities)
- \* Responsibilities (project tasks, supervision, coordination with other project components, preparation of progress reports)
- \* Supervisory channels or routes
- \* Staff training

A projection of the Publication or Distribution of Results is particularly important for those projects expected to impact a community group. Often in the past, those persons who participated in the research never saw, or benefited from the results. Community-based research may result in a publication that is distributed widely, the results may be distributed to just a few persons in the form of a final report, or the final results may be protected and then a general report submitted to the funding agency. A plan for the distribution of results assures those reviewing the proposal that adequate funds have been allocated for copying, publication, and distribution costs. Some useful items that reflect distribution planning include:

- \* Report form (published manuscript, copied final report, visual materials such as film, photographs, audio or video tapes)
- \* Number of copies to be reproduced
- \* Distribution plan (expected recipients, advertising, archive copies)
- \* Expected impact or value of the project results

The funds needed for non-profit distribution would be reflected in the project budget. If profit is expected in the distribution plan, this is usually discussed with the funding agency to determine policies regarding publication. In some cases, only the actual costs to the project are allowed.

A carefully planned and accurate Budget reflects the way an organization looks after its financial records. This is one part of a proposal that the funding agency examines very carefully. In fact, many agencies turn to the budget first and check to see that the figures are correct. Again, imagine that you are the funding agency. If you were responsible for the funds, would you award a grant to an organization submitting an unrealistic or inaccurate budget?

In creating a budget to fit the project, an important consideration is that every item in the budget relates back to the methodology. In other words, an explanation of the personnel, supplies, travel and other expenses for the project justifies the request for funds. Some funding sources set maximum levels on such items as salaries, mileage, and per diem rates. Special inquiry is usually necessary to learn about these rates. Agencies sometimes have maximum limits on grants and this knowledge is necessary in designing a realistic project plan. Learning about a particular agency's general level of funding can help in projecting a realistic budget. For example, if a small foundation generally grants to projects with a budget of \$10,000, then a proposal for \$75,000 may have a very small chance of being funded. If the \$75,000 budget is actually needed to complete the project, searching for another funding source may be advisable. To create a realistic budget, careful thought must be given to include all needs of the project, while maintaining a reasonable request.

Obtaining the budget guidelines from the funding source is the first step in budget preparation. These guidelines may vary from an informal outline for private foundations to a detailed form required by some federal agencies. Although the format for budgets will vary somewhat, the outline presented below includes the categories generally advised for budgets.

#### A. Personnel

Salaried positions for employees should match the amount of work described in the methodology, the qualifications and responsibilities in the job description, and any limitations specified by the funding agency. Employee benefits (insurance, workman's compensation, etc.) are usually pre-determined rates with large organizations or may be negotiated if not previously set. Employee benefits may be included as part of a line item, as illustrated in the example below, or they may be included as a separate category.

Figure 9.2 SAMPLE "PERSONNEL" BUDGET SECTION

<u>1. Personnel</u>	<u>% of time</u>	<u>amount</u>	<u>employee benefits</u>	<u>total</u>
Project Director	40%	\$4,500	\$810 (18%)	\$5,310
Secretary (final report preparation, 50 hours @ \$5.24 hour)				262
			sub total	\$5,572

Expected increases in salaries (cost-of-living or regular merit increases) and employee benefits need to be included in the budget, so that the funds will be there when these costs occur during the time period of the project.

**B. Supplies**

The kind of items requested under supplies can include office supplies, magnetic tapes, film supplies, and minor equipment. Generally, minor equipment is considered to be under \$100 in value. Funds for duplication and postage are often included under this category. Full estimates for monthly rates are helpful in illustrating the planning for the proposal and are also useful guides for monitoring expenses after the funds are obtained.

Figure 9.3 SAMPLE "SUPPLY" BUDGET SECTION

**2. Supplies**

Office supplies (12 months @ \$25 per month)	\$300
Audio tape (3 cases Scotch 208, 7" reels)	150
Copying (12 months @ \$15 per month)	180
Postage (12 months @ \$10 per month)	120
subtotal	\$750

Unusually large amounts of copying, postage, tapes, or film supplies would be explained in the methodology section.

**C. Equipment Rental**

Equipment rentals such as typewriter, tape recorder, and camera equipment are usually allowable costs. Examples of equipment often needed for large projects are such items as copy machines and vehicles. Outright purchase of items is usually not allowed on federal funds, but may be allowed by private foundations. A project officer at the funding

agency can advise on the preferred procedure, either leasing or purchase. Research and demonstration projects involving residential programs may include such items as furniture and kitchen equipment. Companies will generally be glad to provide you with estimates and expected cost increases.

Figure 9.4 SAMPLE "EQUIPMENT RENTAL" BUDGET SECTION

**3. Equipment rental**

Typewriter rental (12 months @ \$60 per month)	\$720
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**D. Travel**

Travel is an important item that you should explain fully in the narrative of the proposal. In other words, the reviewer of the proposal will be asking the question, "Why is this trip necessary?" The answer should be made clear in the proposal. Field work to conduct interviews and visits to special library collections of materials are examples of justifiable travel. For survey work, a great deal of local travel may be required to conduct interviews. In projecting travel rates, check with airlines and other carriers to determine expected increases. These transportation personnel often have knowledge of rate increases months in advance.

Figure 9.5 SAMPLE "TRAVEL" BUDGET SECTION

**4. Travel**

Airfare (round trip between Los Angeles and Chicago)	\$350
Lodging (2 nights @ \$30 per night)	60
Per Diem (2 days @ \$15 per day)	30
Local Travel (1000 miles @ \$.17 per mile)	170
sub total	\$610

Lodging is sometimes included as a part of the Per Diem rate, along with the costs of meals; however, this policy also varies from agency to agency or organization.

### E. Computer

Rates for computer use vary from one computing center to another. Generally consultants are available (free of charge) at a computer facility to assist you with estimates. Also, copies of rates can be obtained and attached as an appendix to the proposal. Items to consider besides computer time are disk storage and printing, punch cards, keypunch services, magnetic tapes, terminal rental, and consultant or programming services.

Figure 9.6 SAMPLE "COMPUTER" BUDGET SECTION

#### 5. Computer

Computer time (CPU time, disk storage, printing)	\$500
Punch cards (6 boxes @ \$4 per box)	24
Keypunch services (30 hours @ \$6 per hour)	<u>180</u>
sub total	\$704

This sample budget concerns a small project, therefore a terminal is not a realistic expense. Rentals are about \$60 a month for hardcopy machines, with an annual estimate of about \$720 (in 1981). To estimate keypunch services, calculate 200-300 cards an hour for experienced operators. It is wise to order about double the amount of cards needed for data, to allow for the correction of error cards and cards used to keypunch programs or package setups. For more information on computer-related services, see the discussion in our chapter on COMPUTERS.

### F. Telephone

Telephone costs are generally included only if your research requires communication with other programs, consultants, libraries, or participants. In other words, you should show the need for telephone costs in the proposal narrative. For large projects, it is expected that telephone costs are a necessary expenditure in managing an office. In the case of large projects, the monthly service charge would be included as well as the funds needed to cover long distance calls. Since the sample budget that we are developing reflects the costs for a small project, only the long distance rates are included.

Figure 9.7 SAMPLE "TELEPHONE" BUDGET SECTION

#### 6. Telephone

Long Distance calls (12 months @ \$10 per month)	\$120
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### G. Publication

Information, particularly on a community-based or applied project, is often useful only if it is shared. Not all information gathered on the project would necessarily be shared, as certain types of cultural knowledge are often protected (see discussion under CULTURAL ARTS). The distribution of the final results can vary from copies of the final report given to community members to a formal publication distributed publicly. Materials such as lesson plans, tapes, or visual aids are also examples of results that may be distributed. If a student is cooperating with a community, the completed thesis project is often distributed in the community.

Figure 9.8 SAMPLE "PUBLICATION" BUDGET SECTION

#### 7. Publication

Copying and Binding (100 copies, 200 pages @ \$11 per copy)	\$1,100
Postage (100 copies @ \$.50 per copy)	<u>50</u>
sub total	\$1,150

By mentioning a carefully thought-out distribution plan in the proposal narrative, you can demonstrate to the funding agency that the project results are likely to have a practical application in meeting some determined need.

### H. Indirect Costs

It is generally recognized that expenses are required for housing a larger project. Space costs usually apply to larger projects and are rarely requested for a small project. If you are going to apply for overhead costs, keep in mind that expenses for office space, utilities, or general overhead expenses are included under "Indirect Costs" or "Space Costs." Both categories would not be included. Under the space costs option, the individual expenses would be itemized; whereas, the indirect costs option would list an estimate of those expenses in the form of a percentage of the total bud-





Figure 9.10 SAMPLE RESEARCH BUDGET WITH IN-KIND CONTRIBUTION

BUDGET				Total Project Costs	Grant Request	In-Kind Contribution
1. Personnel	% of time	amount	employee benefits			
Project Director	40%	\$4,500	\$810 (18%)	\$5,310	\$5,310	
Secretary (final report preparation, 50 hours @ \$5.24 per hour)				262	262	
<u>2. Supplies</u>						
Office supplies (12 months \$25 per month)				\$300		300
Audio tape (3 cases Scotch 208, 7" reels)				150	150	
Copying (12 months @ \$15 per month)				180	180	
Postage (12 months @ \$10 per month)				120	60	60
<u>3. Equipment rental</u>						
Typewriter rental (12 months @ \$60 per month)				720		720
<u>4. Travel</u>						
Airfare (roundtrip between Los Angeles and Chicago)				350	350	
Lodging (2 nights @ \$30 per night)				60	60	
Per Diem (2 days @ \$15 per day)				30	30	
Local Travel (1000 miles @ \$.17 per mile)				170	170	
<u>5. Computer</u>						
Computer time (CPU time, disk storage, printing)				500		500
Punch cards (6 boxes @ \$4 per box)				24		24
Keypunch services (30 hours @ \$6 per hour)				180	180	
<u>6. Telephone</u>						
Long Distance calls (12 months @ \$10 per month)				120	120	
<u>7. Publication</u>						
Copying and Binding (100 copies, 200 pages @ \$11 per copy)				1,100	1,100	
Postage (100 copies @ \$.50 per copy)				50	50	
DIRECT COSTS				\$ 9,626	\$8,022	\$1,604
INDIRECT COSTS (31%)				2,984	2,487	497
				\$12,610	\$10,509	\$2,101
TOTAL PROJECT COSTS				\$12,610		
IN KIND CONTRIBUTION				2,101		
GRANT REQUEST				\$10,509		

the supplies for a quality job, and yet isn't overly "padded" with items that aren't really needed. Remember that you are seeking to develop a trust relationship with the funding source, and a realistic plan that reflects your wisdom of the needed project is the best approach.

Often, the funding agency is willing to review your budget before the proposal is officially submitted. Advice is given at that time on any maximum or recommended limits and the degree to which the budget is realistic for the project. After the budget is completed, all of the arithmetic should be double checked. Accuracy in the project budget reflects the type of bookkeeping you are likely to do later. Some organizations involve their bookkeeper heavily in the preparation of the proposal budget in order to provide that extra expertise in the area of finances. It is recommended that a person other than yourself, or the one completing the budget, do a final checking. We give the following checklist (Figure 9.11) to assist you with your own in-house review. This checklist can be copied and used regularly for the preparation of proposals.

The next section, is the **Bibliography**, where all references mentioned in the text of the proposal are listed. Although formatting or arrangement of bibliographic references may vary, the information contained in a reference generally includes the following:

- \* Author(s)
- \* Title
- \* Place of publication
- \* Publisher
- \* Year of publication

To decide upon arrangement of this information that meets your needs, you can look at several books and general types of publications. Some of the more specific guidelines that are followed for references are discussed in our chapter on **LIBRARY AND INFORMATION SERVICES**. If the proposed project includes bibliographic searches, the bibliography might include references to source material for the searches.

Additional or supplementary information to the proposal is often included in **Appendices** (labelled Appendix A, Appendix B, Appendix C, etc). For continuity, you should always refer to the supplementary material in the body of the proposal; otherwise, the reviewer is likely to not realize that it is there or to not realize the connection of the material to your plan. Items that are often presented in an appendix include:

- \* Resumes (principal investigator or primary person responsible for the project, other available personnel such as research assistants, bookkeepers)

- \* Sample instruments (questionnaires, interview schedules, formats to record observations, format for bibliographic projects)
- \* History of sponsoring organization
- \* Charge schedules (e. g. computer rates, indirect cost negotiations)
- \* Proof of non-profit status
- \* Letters of support (from organizations, researchers, or community groups)
- \* Sample computer setups to process data
- \* List of board of directors (names & addresses)
- \* List of advisory committee members

Material included in the appendices should be supplementary material, rather than material forgotten in the body of the proposal and added at the last minute.

Thoroughness and accuracy in the preparation of the proposal indicates to the funding source the quality of work likely to be performed by you (the applicant organization) in the completion of the grant.

#### ALTERNATIVE WAYS OF PRESENTING INFORMATION

Writing is not easy and does not come naturally, except maybe for a few. For the rest of us, writing is a matter of hard work and patience. Keeping this in mind may help you maintain perspective as the proposal progresses. Difficulty in writing may be due to the lack of skills, previous experience, adequate time, or general frustration at communicating with the structure of another culture. As an alternative to prose, you may find tables, charts, drawings, photographs, audio tapes, and sample films useful in presenting an idea or a project plan. Time tables are a useful way to describe tasks and show projections for completion. Two methods of presenting a timetable are shown in Figures 9.12 and 9.13 on the following pages. A realistic timetable reflects adequate planning for the project.

Lists are another method of presenting proposal information. For example, goals and objectives are sometimes listed, rather than presented in paragraph form. A sample of this approach follows:

Figure 9.11 BUDGET CHECKLIST

- \_\_\_ Are the responsibilities of all personnel described in the narrative?
- \_\_\_ Do any of the salaries exceed the maximum limits of the funding agency?
- \_\_\_ Do the personnel hours requested fit the amount of work in the project?
- \_\_\_ Are the employee benefit rates those set by the organization?
- \_\_\_ Are unusual supply items or higher-than-average rates justified in the methodology?
- \_\_\_ Are the equipment items needed explained in the narrative?
- \_\_\_ Are the rates quoted for equipment rental the lowest available?
- \_\_\_ Are service contracts included in the equipment rental rates?
- \_\_\_ Are airfare rates the most reasonable available?
- \_\_\_ Have travel rate increases been anticipated?
- \_\_\_ Are mileage rates for local travel the standard allowable rates for that agency?
- \_\_\_ Are per diem rates the allowable rates for the funding agency or your organization?
- \_\_\_ Are both lodging and costs for meals covered by the per diem rates?
- \_\_\_ Are computer costs included for any data processing requirements?
- \_\_\_ Are consultant or data entry services (keypunch, teletype) needed to complete the processing of data?
- \_\_\_ Will heavy telephone use require installation and monthly service charges for an additional telephone?
- \_\_\_ Are long distance calls required to complete the project?
- \_\_\_ Will participants expect to be paid for their assistance?
- \_\_\_ Are film, processing, magnetic tape, tape recorder or camera rental necessary items?
- \_\_\_ Are costs to reproduce the final report or project results included?
- \_\_\_ Are costs of distribution of the final results included?
- \_\_\_ Are additional funds needed for office space and utilities and are these costs allowed by the funding agency?
- \_\_\_ Are indirect costs included *if* space costs are not included?
- \_\_\_ Are the indirect cost rates those negotiated by the applicant institution and the funding agency?
- \_\_\_ Are indirect costs included *if* space costs are not included?

- \_\_\_ Are the indirect cost rates those negotiated by the applicant institution and the funding agency?
- \_\_\_ Are funds included for any special library costs, such as inter-library loan?
- \_\_\_ Is all arithmetic double checked and absolutely correct?

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The goals of the proposed project are:

- 1) To conduct a needs assessment of educational approaches desired by the community for culturally traditional students,
- 2) To inform community members of the study results,
- 3) To develop, through coordination with community members, a plan for the implementation of the desired new approaches.

Alternative ways of presenting information have other values in addition to easing the amount of writing to be done. Visual presentations are also valuable in making ideas more interesting, thus capturing the attention of the reviewer.

#### A NOTE ON GRANTSMANSHIP

Proposal writers are all too readily available to develop funding efforts for organizations. A word of caution is needed, for the work of a proposal writer who lacks sensitivity or expertise in working with the people or the topic of the project is readily recognized by the reviewer. You or someone in your organization is the best qualified to develop your own plan or project. An outside proposal writer can be of technical assistance in guiding the preparation of the proposal; however, this type of assistance is usually available at no cost through the funding agency. Community projects often develop problems with a program that is designed by someone who disappears after the funding appears. In other words, the person who will assist in carrying the plan is the best qualified to prepare the proposal.

The elements of proposal preparation go far beyond academic learning. Experience in working with the community, expertise in planning, supervisory ability, and persistent determination all contribute to a successful proposal. Since community-based research is often applied or action research, the ability to listen to people is very important. The degree to which these factors can be put together and communicated in a proposal determines how persuasive your proposal will be.

Grantsmanship is sometimes equated with fund raising. The object of program development is not just to locate funds, but rather to carry out a plan. If that plan is to have a positive community impact, it must reflect sensitivity to needs, knowledge of prior research or reports, and community participation in the realization of goals. This type of rapport requires constant sensitivity to, and interaction with, community opinions and dif-



**AFTER THE WRITING**

Once a draft or copy of the proposal is completed, the review process begins. The first review starts with your assessment of the quality of the proposal. In reviewing the draft, step back and vividly imagine yourself as the funding agency. Assuming nothing about the organization or the proposed ideas, is the information presented in a clear and logical way? Is the plan for the completion of tasks realistic? Is the budget appropriate for the work proposed? The proposal checklist presented in Figure 9.14 may be useful for self-evaluation of the completed proposal.

Having others in your organization review the proposal can also provide useful feedback or information to guide revisions. Valuable suggestions can be gained from those persons unfamiliar with the topic, with the tribe or community discussed. Differing types of comments are valuable in assessing how clearly the plan is presented. Another essential type of review, when available, is through the funding agency personnel. Certain agencies definitely encourage a review before the proposal is submitted formally and the comments gained from such a review are invaluable. Reviews require time and last minute applications often lose the benefit of useful suggestions.

Reviews within one's organization are often part of the funding requirements. Allowing time for adequate reviews helps ensure the gaining of required approvals and signatures before the proposal is submitted. This type of review also provides coordination with the planning committees that set long range goals for the organization. How grim a situation would result in the development of a project that the community doesn't want!

Delivering or mailing the proposal to the funding agency is an important step in the application process and one that is sometimes treated without care. The majority of agencies are very exact about deadlines, to the extent of immediately disqualifying late applications. Check to see whether the application deadline is a receipt or a mailing date. The requirements do vary from agency to agency. Imagine the disappointment of someone who waits until the deadline date to postmark a proposal and then discovers that the deadline is the day that the proposal was to be received by the funding agency (this does happen!). Such a small error can make the difference between a project being funded or rejected. A receipt showing proof of the mailing date is part of the proposal documentation that should be kept on record. This can be accomplished through

Figure 9.14 PROPOSAL CHECKLIST

- \_\_\_ Is the proposal persuasive to your point of view?
- \_\_\_ Does the proposal reflect the importance of the project?
- \_\_\_ Do the different sections of the proposal show continuity in the plan?
- \_\_\_ Is the problem defined?
- \_\_\_ Are the goals and objectives stated?
- \_\_\_ Is the methodology presented in detail?
- \_\_\_ Are the expected results described?
- \_\_\_ Are the responsibilities of the staff members clearly explained?
- \_\_\_ Are each of the items in the guidelines addressed fully?
- \_\_\_ Is the proposed work realistic for the organization to accomplish?
- \_\_\_ Is the budget realistic to accomplish the proposed work?
- \_\_\_ Has the budget been double checked for accuracy?
- \_\_\_ Are all the necessary signatures present (board chairman, tribal chairman, financial officer)?
- \_\_\_ Has all of the supportive material been added (e.g. non-profit status, letters of support, bibliography, appendices, resumes)?
- \_\_\_ Are all forms required by the funding agency completed and attached?
- \_\_\_ Were the most up-to-date application guidelines used to prepare the proposal?
- \_\_\_ Does the typing and layout reflect the high quality of work expected for the project?
- \_\_\_ Are the pages numbered and in correct sequence?
- \_\_\_ Are the required number of copies forwarded to the funding agency?
- \_\_\_ Is the proposal addressed to the current address of the funding agency?
- \_\_\_ Is the proposal mailed according to postmark or receipt deadlines?
- \_\_\_ Are receipts on file to document the mailing date?
- \_\_\_ Is documentation completed on the application?

certifying mail or by other special mailing procedures that provide receipts. For, if the proposal is lost in the mail, some funding agencies will allow you to submit another copy providing the receipts that document a postmark before or on the deadline date are in hand.

Documenting efforts to gain funding is an important part of the application process, for it guides future applicants on your organization's past experiences with particular funding agencies. One effective documentation system consists of file folders numbered for each proposal or funding application. In using this system, you would then enter the original and/or copies, correspondence, and other supportive documentation into the numbered file. As a final step, you can create a master file of proposal documentation to assist future applicants in locating the numbered examples. This file consists of a documentation sheet for every numbered proposal and contains the basic information on funding source contacts, and the status of the application (whether funded, not funded, or pending). A format for this master file documentation that we have found to be very useful is suggested in Figure 9.15. Master file documentation can also be of use to your organization, for the sheets can be used directly in reports to reflect progress on program and funding development.

Once the proposal is reviewed by the funding agency and a decision is reached regarding comments, many agencies will forward these comments, to you (but a few will not). This type of feedback is very valuable, both for any revisions that may be needed on the current project and to guide your future applications. Filing comments along with the proposal can also assist other researchers working on applications in the future.

When funding is located for a project, close coordination is maintained with the project officer within the funding agency. It is the responsibility of this person to obtain reports on project progress, to monitor or oversee budget expenditures, and to provide technical assistance as needed. Close communication with the project officer can prevent misunderstandings and build rapport for future projects from your organization. Once your project is funded, review the original plan to see if your work is progressing according to the objectives and the timetable originally stated. Sometimes, the original plan needs to be changed. If good reasons for changes are presented to the funding source early in the project, these changes are usually accepted. But if the time runs out with the project not finished, or the finished project is quite different from the original plan, a communication gap may develop between you and the funding agency. Remember the applicants coming along behind you. The future of your organization rests with your work. Once your project is funded, you need to take special care in accounting for the receipts and documentation of expenses that will be needed for reports and audits. The next section suggests an outline for progress and final reports.

Figure 9.15 PROPOSAL DOCUMENTATION FORMAT  
(Your Organization)  
FUNDING DOCUMENTATION

PROPOSAL NUMBER \_\_\_\_\_

PROPOSAL TITLE: \_\_\_\_\_  
\_\_\_\_\_

DATE SUBMITTED: to Contract and Grants \_\_\_\_\_  
to Funding Source \_\_\_\_\_

FUNDING SOURCE: \_\_\_\_\_  
\_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_  
Contact Person(s): \_\_\_\_\_  
Assigned Proposal Number: \_\_\_\_\_

SUBMITTED BY: \_\_\_\_\_  
\_\_\_\_\_

PREPARED BY: \_\_\_\_\_  
\_\_\_\_\_

REVIEWED BY: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

FINAL APPROVAL BY: \_\_\_\_\_

ADDITIONAL MATERIALS INCLUDED WITH APPLICATION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

MAILING OR DELIVERY: \_\_\_\_\_

STATUS UPDATES: 1) \_\_\_\_\_  
2) \_\_\_\_\_  
3) \_\_\_\_\_  
4) \_\_\_\_\_  
5) \_\_\_\_\_

Attach a copy of the proposed budget. Mailing receipts for insurance and certified or registered mail should be attached to each numbered proposal file.

DATE PROJECT TO BEGIN: \_\_\_\_\_

BUDGET REQUEST: \_\_\_\_\_

**PART II RESEARCH REPORTS**

A clear and well written report can affect the usefulness of your project results. Other researchers and community members may be using your report later on for community development. Reports are usually required by both your sponsoring organization and by the funding source. The well written report can serve both. Two types of reports are sometimes requested, a progress report and a final report. Progress reports are usually intended for persons who are familiar with the original proposal, such as a project officer or your Board of Directors; therefore, not as much detail is needed as was included in the original proposal plan. Final reports are often read by persons who have not had access to the original proposal, so you need to include the details of the research design.

**PROGRESS REPORTS**

To prepare a progress report, review the original research proposal and previous progress reports to assess the original plan. It is easy to get sidetracked with interesting ideas once a project begins, and progress reports can provide a useful way of self-evaluating. Some of the procedures that might be included are:

- \* Summarize briefly the research problem, methodology and objectives as originally stated in the proposal or research design
- \* Report progress accomplished on the objectives
- \* Describe the modifications or changes, if any, to the original objectives and give the rationale for such modifications
- \* Provide a timeframe and a strategy for achieving the remaining objectives
- \* Project completion dates for the research analysis or result
- \* Present an accounting of budget expenditures
- \* Indicate any planning for publications or distribution of results

Progress reports may not be required by the funding source for small projects, but often your organization will require some intermediate reporting. One positive way of looking at the progress report is that it increases communication between the researcher, the funding agency, and the sponsoring organization. This helps eliminate surprises as your project progresses.

**FINAL REPORTS**

Reporting research results can vary in format from a published manuscript, a short article, or an informal report. The following guidelines are suggested for a well organized report. Although many of the items are

similar to those that you included in the original proposal, changes will have occurred during the course of the project.

**Title**

- \* Brief, yet descriptive of topic and population
- \* Key words arranged for interest
- \* Clarity for indexing purposes

**Abstract (optional, but useful)**

- \* Statement of the problem, in brief
- \* Population description
- \* Methods
- \* Findings

**Problem Statement**

- \* Background of the problem (reason for selection, pilot studies, cooperative efforts)
- \* Narrowing of the topic (focus, reason, and implications)
- \* Statement of the problem (hypothesis, variables)
- \* Goals and objectives of the study
- \* Assumptions and limitations

**Review of Related Literature**

- \* Discussion of the literature or topics examined and reason for including
- \* Comparison of research studies
- \* Summary of the problems considered, hypotheses stated, innovative methodology, findings or other results
- \* Theoretical and methodological contributions to the study under discussion
- \* Interdisciplinary contributions

**Methodology**

- \* Explanation of the research approach
- \* Definition of variables
- \* Assumptions
- \* Research design (variables, relationships examined)
- \* Sample (number, criteria for selection of the participants)
- \* Description of instruments used to collect data
- \* Methods used to collect data
- \* Changes in original goals, objectives, methods

- \* Staff training or other humanistic contributions
- \* Summary of methods
- \* Coordination of project components (especially for applied projects)

### Analysis

- \* Procedures used to analyze data (e. g. statistical, comparative)
- \* Findings in relation to research questions asked
- \* Data presented to support statement of findings
- \* Bias (cultural, disciplinary)
- \* Redirection or difficulties stated
- \* Objective conclusions vs. interpretations
- \* Limitations of study discussed
- \* Procedures taken to protect data (if necessary)

### Summary

- \* Brief statement of analysis and conclusions
- \* Availability of data & findings (archives, major libraries, publications)
- \* Supplementary materials (e. g. films, tapes, records)
- \* Major difficulties
- \* Application of research results (thus far, and suggested future uses)
- \* Community involvement in the project
- \* Evaluation criteria
- \* Suggested problems to carry research findings further

### Bibliography

Additional detail on these topics can be found earlier in the chapter.

One important reason for completing the project report involves the others that follow. A funding agency will not fund another project to a particular organization, if that organization did not submit a good final report on a previous project. The organization's track record is considered very carefully during the review process.

The funding agency uses the research report along with the original proposal for the purposes of evaluating project success. It is therefore important to document thoroughly the successes, problems, and redirections resulting from the project. Many projects change course in a sound manner, if the reasons for change are justified in theory and method. For example, changes either in problem restatement or in method *must* occur before data collection is affected. Change, rather than being regarded as failure, can then emerge as a product of feedback and redirection based upon gained knowledge. A restatement of the evaluative criteria origin-

ally proposed can assist the evaluator in assessing success and contributions.

In applied efforts, community participation may change due to changes in leadership. The documentation of difficulties and success can be of great value to future researchers working with the same or similar communities. Developing new techniques for encouraging cooperation with research efforts without interference with program or community functioning is an important focus for community-based research.

### ADDITIONAL RESOURCES

"Basic Grantsmanship Library," (Los Angeles: The Grantsmanship Center, 1979).

This short reprint has been updated to reflect current resources for locating both private and federal funding sources and for proposal preparation. Order from *The Grantsmanship Center News*, 1015 W. Olympic Blvd., Los Angeles, CA. 90015).

*Catalog of Federal Domestic Assistance* (Washington, DC: U. S. Government Printing Office, annual).

The catalog is one of the best tools for locating federal funding. The detailed information on nearly a thousand federal domestic assistance programs includes addresses, how to apply, deadlines, and who is eligible. Most large libraries have the computerized version, the Federal Assistance Program Retrieval System (FAPRS) available for a small fee based on the extent of the search. Order from the Superintendent of Documents, U. S. Government Printing Office, Washington, D. C. 20402.

*D. C. Directory of Native American Federal and Private Programs* (Washington, DC: Phelps-Stokes Fund, 1980).

This is a helpful directory designed to assist the newcomer to Washington. Entries include contacts helpful to Native American communities located in the White House, Congress Government Agencies, Independent Agencies, Organizations (Indian), Indian-Interest Organizations, Information Sources, Publications, Arts and Crafts Organizations, Indian Gathering Sports, Restaurants, Hotels, Airlines, and other general information. Order from American Indian Program, Phelps-Stokes Fund, 1029 Vermont Avenue, N. W., Suite 1100, Washington, DC 20005.

*Federal Register* (Washington, DC: U. S. Government Printing Office).

Published every weekday, the *Federal Register* is a current guide of the changes in regulations of federal agencies, presidential proclamations, and other new documents. In addition to the latest information on funding, it contains announcements of proposed federal regulations that affect communities. Comments are often solicited before changes in regulations are finalized. Order from the Superintendent of Documents, U. S. Government Printing Office, Washington, D. C. 20402.



Flanagan, Joan, *The Grass Roots Fundraising Book* (Chicago: The Swallow Press, Inc., 1977).

A community-oriented guide to fundraising, this book covers such topics as benefits for beginners, auctions, publishing cookbooks, organizing dances, concerts, movie premiers, direct mail fundraising, creating a newsletter, handling publicity, and how to do the accounting involved with fundraising. The emphasis here is on leadership development as well as fundraising, and a list of training schools for organizers and leaders is included.

Fojtik, Kathleen M, *The Bucks Start Here*, (Ann Arbor, MI: Domestic Violence Project, 1978).

This is a comprehensive guide that includes such topics as turning a volunteer project into a social service agency, the application and proposal process, government sources, and private funding. Useful bibliographies include state foundation directories, guides to writing grant proposals, and an annotated bibliography for funding and grantsmanship. Order from the Domestic Violence Project, Inc., 1917 Washtenaw Avenue, Ann Arbor, Michigan 48104.

*Foundation Directory* (Irvington, NY: Columbia University Press, 1979).

A comprehensive listing of private foundations, the directory is arranged by state and provides such information on entries such as address, phone number, funding sources, and some grant application details.

*Foundation News* (New York: Council on Foundations).

This magazine contains discussions of the issues that concern foundations. It is very valuable for determining the current trends in grant-making and articles on persuasive proposal writing. Each issue contains an index of recent grants over \$5,000 with a brief description of the grant and date made. Order subscriptions from the *Foundation News*, 828 L. St., N. W., Washington, D. C. 20036.

*Grantsmanship Center News* (Los Angeles: The Grantsmanship Center).

The orientation of this magazine is toward the needs of the grant seeker. Topics covered include proposal writing techniques, bibliographies, formats for proposals, and reviews of publications on the grant seeking process. Order subscriptions from *The Grantsmanship Center News*, 1015 W. Olympic Blvd., Los Angeles, CA 90015.

Isaac, Stephen and William Michael, *Handbook in Research and Evaluation* (San Diego, CA: Edits Publishers, 1971).

A most valuable handbook for planning research projects, preparing proposals, evaluating research projects, and preparing research reports, this text describes different types of research designs, methods, instrumentation, statistical techniques, and analysis of data. The text level is intermediate to advanced; however, the writing is clear and many valuable checklists are included.

Krathwohl, David R., *How to Prepare a Research Proposal*, 1977.

This short guide offers an overview to the preparation of proposals, as well as specific suggestions for the parts of a proposal (problem statement, related research, objectives, procedures, personnel, facilities, budget, etc.). Particularly valuable are sections on different research approaches and comments on why proposals fail. Order from the Syracuse University Bookstore, 303 University Place, Syracuse, NY 13210.

*The Exchange* (Washington, DC: Phelps-Stokes Fund).

A quarterly journal directed toward Indian issues such as legislation, funding sources, grants to Indian organizations, this publication is a very valuable resource for Indian organizations. A companion publication, *The Roundup* is a newsletter describing legislative and federal agency news, calendars of events, current funding information, and other development news. And a third publication, *Bulletins* is offered. Order separately or as a package from Native American Philanthropic News Service, 1029 Vermont Avenue, N. W., Washington, D. C. 20005.