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ABSTRACT
        This publication deals with various issues and
problems confronting college administrators--specifically,
development officers, presidents, planners, and executives. It is
especially concerned with institutions whose resources are limited,
whose experiences have been constricted by historical and political
circumstances, but who are nevertheless being called upon to exert
themselves in new and different tasks, both in broadening educational
opportunities throughout the country and in giving such opportunities
new dimensions. The document presents 7 papers, most of which were
presented at a Cooperative College Development Program conference in
1970. They include topics such as: (1) problems facing American
society, the necessity for higher education to adapt to the present
and future, and education's role in meeting social needs; (2)
proposal development in the academic setting; (3) the various sources
of private financial support and how to locate and cultivate them;
(4) how to consider fund-raising goals and prospective donors
realistically, with special reference to black colleges; (5) how to
get federal financial aid; (6) operating a development office to
enlarge opportunities and improve chances for successful government
applications; and (7) what to include in writing successful proposals
for federal money. (HS)

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PROPOSAL PLANNING
AND
DEVELOPMENT

Papers from a Seminar
for Fund-Raisers and Administrators
in Higher Education

Sponsored by
COOPERATIVE COLLEGE DEVELOPMENT PROGRAM

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Text edited by Jean Rudd of the CCDP staff and Rudolf B. Schmerl, a consultant to CCDP.

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PREFACE

This publication is the first of what we hope will become a continuing series dealing with various issues and problems confronting college administrators — specifically, development officers, presidents, planners, and executives. We are especially concerned with institutions whose resources are limited, whose experiences have been constricted by historical and political circumstances, but who are nevertheless being called on to exert themselves in new and difficult tasks, both in broadening educational opportunities throughout our country and in giving such opportunities new dimensions. Our traditional diversity of universities and colleges is becoming more and more difficult to maintain in the face of spiralling costs. Yet that diversity has never been more clearly needed. A nation as complex as ours, still very much struggling to achieve nationhood, cannot rigidify either educational structures or educational purposes into a single mold; otherwise it will deny the legitimate and invaluable differences between its citizens who have found, have asserted, and are still searching for different expressions of being an American. Like Henry David Thoreau, many of us hear different drummers.

Yet there are some common themes at all institutions, because there are some common problems. Chief among these, surely, is the incessant need for money. One of the major purposes of the Phelps-Stokes Fund's Cooperative College Development Program (CCDP) is to acquaint key personnel at its member institutions (including traditionally black institutions and other developing colleges) with perspectives and techniques they can apply in the day-to-day tasks facing them. Our aim is practical as well as theoretical. We hope that the discussions presented herein meet that purpose. However, with some notable exceptions, the discussions are relatively general, leaving the reader to adapt to his particular circumstances whatever he finds pertinent.

The broad range of subject matter presented here should lay to rest the fallacious belief that a well written proposal distributed to every prospective source is the answer to securing financial support. It is essential that any program of resource development take into consideration the opportunities and challenges of society and community, the uniqueness and potential of the academic setting, the motives of benefactors, the need for human interaction and involvement, and ultimately all the mechanics and thoughtfulness which should precede a request for support.

If this volume succeeds in assisting college administrators to benefit

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from some proven techniques and in provoking considerations leading to administrative improvements, we shall be more than satisfied.

Most of the papers contained herein were originally presented at a CCDP conference in New York in October, 1970. They have been slightly revised for publication here. We have included some reference materials that seem appropriate, assuming that readers will want to update such material periodically. Our contributors are briefly identified in the last section.

Herbert A. Wilson
Executive Director,
CCDP

CHALLENGE TO CHANGE

Sonja Marchand

Change. Change is the only commodity 1 can think of which does not change. How does an individual, a group, an institution, an organization, and a society and its government cope with change? Looking at the contemporary American scene, one can conclude only that the answer to this question is: "Not very well at all." Many people and groups in the United States are trying to cope with change as an increasingly large number of social needs continue to emerge. The private philanthropic segment of our society is also facing the dilemma of change to meet growing social needs. Historically, private philanthropy viewed its social role as supporting efforts and social programs which were not within the purview of the government. Although almost everything conceivable is now within the purview of the government to either a greater or lesser degree, there are still more jobs to be done in meeting social needs than there are people, agencies, or organizations to perform these tasks. Private philanthropy need have no fears that there are no jobs left for it to do. Quite the contrary; greater and more diversified participation is required from the private philanthropic sector.

One need only to be alive in America to realize that social problems when left unsolved and unresolved pose the greatest danger of all to this unique and historic experiment in self-government. One can quickly tick off the great needs in the areas of environmental quality and control, poverty and racism, unemployment, health care, social justice, law enforcement and penal correction systems, and education, both lower and higher, to name a few. Private philanthropy, although under a dark cloud in the minds of some, has a significant role to play by using its resources to support the myriad efforts underway and projected to meet these needs through innovative problem-solving.

Just as surely as these social crises have implications for private philanthropy, they have awesome implications for education as well. However, it is a mistake to believe that education is a panacea for solving all these problems. Certainly, education does have a role to play in meeting social needs. But educational institutions themselves must undertake a critical self-analysis to determine those areas in which they can make a genuine contribution as opposed to those in which additional, frenetic efforts are counterproductive. There is great diversity among our educational institutions with respect to their capabilities and areas of concentration. Such diversity is in itself a strength and should be so appreciated. Unfortunately, when education loses sight of its historic mission of teaching, research, and public service, and tries to alter its mission drastically to meet every social need, then chaos, confusion and hostility result. My deep concern is that education is being made a scapegoat for all the social ills of the country, both domestic and foreign. This must not happen. We as a nation must strive for excellence in education in all its facets — teaching, research, and public service. Today, this seems a tall order, indeed, but President John F. Kennedy said, "The journey of a thousand miles begins with a single step." How do we begin to restructure and to revitalize our American system of education so that it will breed respect for learning, light the fires of scholarly curiosity, open up the free and unfettered marketplace

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for the pursuit of knowledge and the exchange of ideas, and at the same time make appropriate contributions in solving the burning social problems? I am sure there are no easy answers. However, each educational institution with its important intellectual resources must weigh its strengths and weaknesses and then honestly identify for itself those areas of social concern to which it can make a meaningful contribution.

The overwhelming social needs in this country pose new opportunities for education generally. It is important that education reconcile these new opportunities for social service problem-solving with its traditional responsibilities of teaching and research. To assume that the static curricula of the 1940's, 1950's, and 1960's will suffice to meet the traditional mission of teaching is a monumental delusion. Colleges and universities must look at social conditions as they are now, and be bold enough to venture an educated guess as to social conditions of the future. Just from the evidence presently at hand, it is manifestly clear that we must educate students in ways that will equip them not only to hold positions and jobs in the marketplace of the future and to use effectively increasing leisure time, but also to have a humane breadth of knowledge which can be applied to meeting social change effectively and to solving mammoth social problems.

Thus, educational institutions themselves must understand that their job is not only the conveying of conventional bodies of knowledge; it is also the conveying of skills and understandings of new bodies of knowledge needed to correct current and future social ills.

Although the times are troubled and every institution is under attack, we should view this period of abrasive turmoil as an opportunity for and a challenge to educational institutions to make unique contributions to the amelioration of our difficulties. Bearing in mind that education alone cannot supply all the answers to all the problems, nevertheless, it behooves institutions of higher education to seize upon the particular societal problems which may be within a given institution's intellectual problem-solving capacity. Because of our educational diversity, a given school may have the specialized expertise to help find solutions to problems of water pollution and solid waste management, for example. Another institution may be strong in the area of improving health care systems, and yet another may find its long suit to be in the area of prison reform and rehabilitation. Another institution may have a strong program in urban affairs and community development. By capitalizing upon individual institutional strengths, American institutions of higher education can help to attack rapidly deteriorating social conditions and to enhance the causes of social justice, social equality, and real freedom, both individual and collective.

In addition to educating young people and using its intellectual resources to manage social change effectively, an educational institution must play a role in community outreach. It is not enough to educate the leaders and workers of tomorrow and to assist in correcting social injustice, poverty, racism, and the other great social deficiencies. An educational institution must also be concerned with its immediate community — in a practical fashion. Each institution has certain capabilities which can be used to help its own community and the vehicle for this outreach is community service programming. Such programming can help to build a bridge of understanding between the institution and its neighbors. If an

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institution is educating people appropriately for the years ahead and, at the same time, is addressing itself to social problem-solving in the areas in which it has the greatest competence, a solid foundation indeed exists for effective community service programming. For example, a university or college may have important contributions to make to its local public by sponsoring action seminars on understanding the factors underlying backlash and racism. Once citizens become informed about a given issue, they will most probably become concerned about what they can do in correcting the situation in their particular city or town. Action seminars sponsored by institutions can be aimed at any one or more of the myriad social problems we have been talking about. Additionally, an institution may find itself equipped to deal with the problem of functional illiteracy. Thus, such a school might offer night classes in adult basic education, might provide the technical and consultive assistance to local school boards which are wrestling with the problem, and might organize demonstration projects using new, innovative methods. I have not attempted an exhaustive listing of examples of attitudes and actions which can be adopted by colleges and universities both to fulfill their more traditional responsibilities as well as to reach out to meet the community head-on and to maximize the many opportunities afoot for attempting complex solutions of the tough social problems; but I think you have the picture.

Given the conditions of our times, probably more than ever before, we need a new generation of Renaissance men who can serve as the harbingers for a new age of enlightenment.

To mold and to educate these Renaissance men is one of the most formidable challenges awaiting our attention. Certainly, private philanthropy can make a distinguished contribution by lending its resources to that end, assuming its vision is clear enough and broad enough. Be a superior eye doctor and help private philanthropy sharpen and expand its vision. This advice, obviously, can be applied to almost every group, organization, institution, and individual with which you come in contact.

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PROPOSAL DEVELOPMENT IN THE ACADEMIC SETTING

Rudolf B. Schmerl

It is possible and sometimes important to classify proposals by their purpose — for instance:

I. General support, either endowment (soliciting unrestricted funds) or broad purpose (as for an entire unit of the institution);

II. Construction and renovation;

III. Research;

IV. Training (including research training);

V. Service program (to benefit some non-student population).

Such classifications, admittedly incomplete, are important because the type of proposal affects differential indirect cost rates for different types of projects; accounting and auditing; and especially the preparation of the proposal itself. A proposal for a new building involves the collaboration of a large number of different kinds of people, and generally takes very careful and lengthy planning. A proposal for a curriculum innovation or for a specific and clearly defined research project is comparatively simple.

My remarks here, however, are intended only to present some general considerations pertinent, I hope, to the development of any kind of proposal within an academic setting. I will try to blend realism about that setting with a little idealism about it. The realism probably needs no defense. The idealism seems necessary if current realities are to be transmuted into something better.

First of all, how does an institution decide to submit a proposal to a prospective sponsor? Perhaps out of any one or a combination of the following:

I. A specific "felt need," as for a new laboratory to accommodate sharply rising enrollments in a given program;

II. The belief that a certain governmental agency or private foundation might be responsive to an application, even if the "case" has to be manufactured;

III. An opportunity, such as a "Request for Proposal" (RFP), or new information, or a development on campus (e.g., a conversation sparking an idea, or the arrival of a new faculty member whose interests might be blended with the talents of an already existing group);

IV. Desperation;

V. A carefully worked out plan, whose submission to the sponsor will include a demonstration that everything required to carry the plan out is or will be on campus except money, which the sponsor is to supply (and that, of course, is all the sponsor can supply).

Obviously these factors can be and often are interrelated. Two of them, the belief — more often a hope — that a sponsor might be receptive to a proposal, and what I called, perhaps too bluntly, desperation, represent the worst possible situation. Aware that red ink has been flowing freely in his ledgers, and officially convinced, as part of his job, that somebody with money would recognize his institution's meritoriousness if only that somebody could be approached in just the right way, a college administrator — perhaps the president himself — looks

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around his campus for something to sell. Far too often, he comes up only with some rhetoric about service, opportunity and challenge, familiar "buzz words" whose appeal has long since worn thin. Impatient with the rigorous requirements of federal agencies, such a president may have a "foundation fixation" — usually, and unfortunately, it is a Ford Foundation fixation. He spends much of his time and that of his immediate staff trying to come up with that magical combination of telephone calls, visits to New York, and generalities neatly bound between impressive covers that is to result in sudden solvency. He is aware, of course that such efforts cost money — a good deal of money — but he does not dare to do a simple cost-benefit analysis to see just how he is doing. He is like a gambler at the roulette table, convinced that sooner or later his luck will turn, and then all his losses — whatever their horrendous total might already be — will be more than recompensed. That is what I mean by desperation. And if the image is an exaggeration, the atmosphere of desperation is nevertheless discernible on too many of our college campuses.

Let's go from the worst to the best possible situation, a "felt need" — say that new laboratory I suggested as an example — might be combined with a new opportunity (that new young faculty member) and result in a careful plan. Presented to the appropriate sponsor as determined by a review of pertinent agencies *and* foundations, the proposal demonstrates that enrollments in the program in question have indeed been rising in the last few years; that the program's graduates are much in demand; that existing facilities are inadequate in various respects; that the new faculty member's research interests can be combined with certain curriculum revisions to strengthen the entire department or division; and that every dollar requested is clearly and validly related to the purposes specified. All this sounds like a lot of hard work. It is. But it is no more difficult, and a great deal more fruitful, than trying to concoct a proposal out of rhetorical flourishes and to appeal only to good will.

Ultimately, good proposals rest on good ideas, carefully substantiated. That seems a safe enough truism. The question is how an institution is to go about creating an atmosphere in which ideas resulting in proposals are most likely to flourish. I am sure only that there is no single answer, but let me suggest a possible set of answers:

I. The institution is *dissatisfied* with itself: with its performance in general, its use of its resources, the quantity and quality of those resources, with its traditions, with its services to its students, with its research activities, with its contributions to society.

II. The institution *knows its record*: what the enrollment patterns are (by program and class levels!), what the projections are, what its faculty has done, is doing, is likely to do, where its graduates go and how successful they are, how and why it spends its money as it does, what its needs are in specific terms (more space, staff, higher salaries, more equipment, more books, more scholarship support, etc.), what its relationship is and is likely to be to the society it serves and is supported by. The institution, because it knows its record, is capable of taking an unsentimental look at its probable future if such and such a course is followed.

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III. The institution has *a system of internal communication* and *record-keeping* familiar to the faculty, which participates in it: a newsletter devoted to academic, institutional matters, public faculty meetings, faculty seminars. The institution insists on public discussion of public matters, e.g., teaching, research, service, and the administrative arrangements forming the framework within which those activities are conducted.

IV. The institution's *reward structure* is public, rational, understood, and accepted by the faculty. It is consistent with the requirements of activities (teaching, research, and service), not with some rigid equation.

V. The institution is *constantly aware* of federal legislation, foundations' interests, agency policies, and keeps in touch with (and its faculty informed about) developments in Washington, New York, and on other campuses. The institution understands local, state, and national politics.

VI. The institution knows that *it takes money to get money*. It has invested as much as it can afford in supporting services; it has a "seed money" account; it understands the importance of personal contacts.

VII. Most importantly of all, the institution knows that *it can be no better than its faculty*, and acts accordingly.

You see what I mean by a little idealism.

But let's say that an institution has all the attributes I just listed; the fact remains that institutions don't turn ideas into proposals, people do. Somewhere on the president's staff there's someone who has the responsibility for proposals — if not for writing them, then for seeing to it that they get written, that they are good. that their budgets add up and make sense (that's not always the same thing), and that they get to the right sponsor's desk on the day they're supposed to be there. Such a person is, ideally, energetic, curious, enterprising, and, above all, imaginative. He or she has to be interested in the business of the institution, business as such — getting and spending money, keeping records, being accountable. I take for granted that the person is also fascinated by the institution's history, traditions, accomplishments, and potential, and is utterly loyal to it — not necessarily as it is but as it might be. Such a person knows how to synthesize what's going on with what *should* be going on, how to recognize and build on strengths, and how to recognize and overcome weaknesses.

Let's say, further, that this person has familiarized himself with what the faculty is doing (and not doing); with the student body and how it is changing, especially in academic choices; with the dynamics of the institution (i.e., why things happen as they do); with the way information is (and is not) collected, recorded, and published; and with what the government and other sponsors are currently funding. Suppose further that he has a rough idea for a new training program, organized perhaps out of existing programs, or for a new research program, or an opportunity to render a certain service more adequately   an existing building could be renovated. How does he start? *By getting the idea on paper.* And in a quite specific way:

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I. Objectives	IV. Evaluation
II. Justification	V. Personnel
III. Procedures	VI. Budget

Depending on the idea, more details may or may not be required: space needs, student involvement, time period, etc. But the point is to get something down for discussion. The next step is to submit this "prospectus" to the appropriate people with a request to bring their reactions to a meeting. They should obviously have a chance to think about it, perhaps make a few calls or check some figures, before such a meeting. If the basic idea is judged sound and worthy of pursuit — and no significant sources of opposition or obstacles are identified — the following should be agreed on at this meeting:

I. Is more information needed about the idea on *campus*? If so, who will get it, and when?
II. Is information needed from the *prospective sponsor*? Who will get it, and when?
III. Are there any *implications*, any potential *conflicts*, which should be explored? By whom, how, and when?
IV. If it is agreed that a formal application is to be developed, *who* is to do *what* and *by what time*?

The meeting should conclude with assignments to various people to begin producing specific components of the proposal.

The more technical a proposal, the greater the need to assign the central role to the person most expert in the field. A proposal is a *persuasive* document; it is not enough to describe something in general terms, not even in specific terms, for description and persuasion are not the same thing. Someone who doesn't really know what he is talking about will be discovered by his spons r's readers, who, more often than not, are knowledgeable and sophisticated people. The person responsible for the work to be done, or for the facility to be built, should do most of the initial writing of the body of the proposal. The person most familiar with the relationship between the proposed work and the institution's general objectives should be responsible for explaining it. The business office should analyze the realism of the proposed budget. Someone who is a good writer — perhaps, if the institution does not have an editor on its staff, it can appoint someone from its English Department to such a position on a part-time basis — should edit the proposal for readability, clarity, force, logic, structure, persuasiveness. The proposal should be attractive but not ostentatious, and someone who can design covers, illustrations, format, etc., should be given the responsibility for its physical appearance.

There is no formula for writing successful proposals, any more than there is for clear thinking or careful work. But there are some basic guidelines. If I had to suggest some key phrases, in summary of or in addition to what I've already said, I'd choose these:

I. Analyze everything;
II. Get the facts;
III. Put them in order: a proposal *must persuade*;
IV. Above all: *be specific!*

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EXPLORING SOURCES AND PROSPECTS: TWO VIEWS

I.

THE NEED FOR DIVERSE SOURCES
(OR HOW TO HARVEST THE MONEY TREE)

Sonja Marchand

INTRODUCTION

Financing higher education is becoming an increasingly difficult task, and thus it behooves all those individuals who are charged with institutional fund-raising, financial operation, and management to consider carefully all potential sources of support. Most assuredly, the role of the federal government in financing education is paramount. However, an overdependency on the federal dollar can have adverse effects for colleges and universities. Federal programming will be covered in detail elsewhere in this publication. Here I want to consider financing from the private sector, which can loosely be divided into three major categories: corporations, foundations, and individuals. Private funds can often be the critical margin of difference. For example, if a federal education program requires non-federal matching funds, it is important to plan for this situation and act in ways to maximize the acquisition of the matching funds. Private philanthropy can often be used to meet this need. Of course, there are myriad other uses for private funds — to cite a few examples, scholarships and fellowships, general operating funds, endowment funds, faculty research funds, teaching and program money, equipment and materials funds, capital needs, and the like. Perhaps we should now look at the three areas of private philanthropy I mentioned before.

CORPORATIONS

Corporate support of higher education comes from a growing realization that to operate only as a corporation or a business is not enough — being a good corporate citizen is also a paramount responsibility. Philanthropy is one of the ingredients of good corporate citizenship. It makes good business sense to support institutions which educate and train prospective employees. It is also good sense for a company not only to be *in* the community, but *of* the community.

There are several avenues to pursue when seeking funds from business. One is to consider as prospects large corporations which are usually headquartered in New York or some other major financial or trade center. A helpful starter guide to identifying such corporations is the publication entitled *Aid-to-Education Programs of Some Leading Business Concerns.* This is an in-house publication of the Council for Financial Aid to Education. It attempts to outline broadly the various giving policies and programs of a number of large firms, together with the name of the individual who handles corporate support to education.

A second category of potential corporate support can be viewed as a regional one — that is to say, a company may be headquartered far from your campus but may have a branch plant in your geographic region. Consider the regional or local branch plant as a prospect. The company is in your community and the same corporate citizenship perspective prevails.

A third avenue is the small-to-medium-sized businesses and industries located

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in your city, town, and region. Often, and more than likely, the individuals connected with these types of businesses are not accustomed to conceiving of themselves as business citizens in the community. This may result from naivete, but more probably it results from lack of communication among businesses, organizations, and educational institutions. Let us now focus our attention on each of these three categories of corporate prospecting by considering the kinds of things you might want to do to reach these three different types of business organizations.

With respect to the small-to-medium-sized business level, get to know your local and regional businessmen. There are a number of ways in which to do this. You might want to consider a series of "get-togethers" whereby the owners, operators, presidents, proprietors or what-have-you would be invited to the campus to meet certain members of the faculty and administration and some students. In contemporary jargon, you might call this a "beginning rap session." Once the business people know the education people, then you can begin talking, and this is a vital first ep to establishing and keeping open the lines of communication. Tell the businessmen what you are doing for the community — you are educating students who may be potential employees; you are contributing to the economic health of the community because of the goods and services which you buy from the local businessmen; your payroll and the purchasing power it represents add to the economic vitality of the community. Your institution represents a valuable educational and cultural asset to the community at large, generally and in particular; your institution is an asset to the extent that it offers library facilities which may be available to the public, adult educational opportunities, and other kinds of public service programming. To communicate in this way is to tell a businessman that he does indeed have an important stake in the over-all health and vitality of the institution. Once he gets this point, the next logical progression is to cultivate him as a partner in your educational venture. Tell your local business leaders about your instructional program, the research going on at your place, and most importantly, convey your needs, particularly the financial ones. Communicate to the point where you (institutionally speaking) can invite him to participate with you in the educational experience by way of financial support. For example, you can ask his participation in relation to his financial ability. It may be small, say $250, $500, or $1,000, but these sums add up, and more importantly, you are creating good will which will operate as a multiplier for you — he will tell others, thereby helping to broaden your business constituency base.

Don't stop with an introductory meeting — try to make your get-togethers either quarterly or semi-annual "happenings," or an annual event at least. Take the opportunity to bring the businessmen up to date on new programs, research results, and student activities. Get the students to participate to the degree appropriate for your institution. Start your corporate prospecting at the local level and then turn your sights outward and upward toward the bigger potential. But whatever you do, keep your community communications program alive and well.

Turning our attention to prospecting in the vineyard where the branch plants grow, the essential cultivation techniques which apply to the small-to-medium-

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sized businesses car be applied here, but with some amplification and modification. In addition to the important tasks of getting to know your businessmen and opening the channels of communication, take a look at your board of trustees and whether or not it has a Finance or Development Committee. If such a committee exists at your institution, some internal education may be in order, depending upon the sophistication of the trustees with respect to fund-raising. It goes without saying that there is a certain modicum of prestige associated with being a trustee. This phenomenon is sometimes described as clout. If the trustees haven't gotten the message that fund-raising is an integral part of their role, convey it to them in a diplomatic fashion. When trustees have personal contacts with officers and directors of businesses and corporations, they should use their prestige as trustees and their personal contacts for cultivation and subsequent solicitation. If handled properly, it is a relatively easy matter to lay regional and local branch plant prospects before your trustees to ascertain where possible contacts lie. In addition to using trustees with clout, you can expand the cultivation efforts by tapping administration, faculty, and students, as appropriate, in explaining the institution's regional and community contributions, in describing your programs of teaching and research, and in articulating your needs. Invite the branch plant manager and his associates to your campus — and you begin communicating with yet another type of prospect. Some regional operations have their own philanthropic budgets to assist institutions in their regions; others operate with philanthropy centralized in the home office. Thus, in those instances where corporate giving is centralized, you need to bring the branch manager into your corner so that he, in turn, will place or assist in placing your request for support in the proper hands at the home office.

As I said earlier, the very large corporation, which is headquartered in New York or in some other major city, may be the least attractive type of corporate prospect if a particular institution has done little, if anything, with respect to the local and regional business communities. It is not my intention to discourage you, but rather to give you some perspective about the three tiers of corporate prospects. Having said that, let us move on to the major corporate prospect.

The large corporate prospect will most generally have a somewhat structured system of corporate giving, and aid to education is one component in a large company's giving program. In such companies, there are usually two mechanisms, the company contributions committee or the company foundation. These two devices have been adapted by corporations to facilitate their corporate giving. The important thing to look at is the corporation itself, its officers and directors, its products and/or services, its relative size with respect to sales, earnings, and assets. A first step in your cultivation or approach to a national corporate prospect is getting to know the corporate giving officer. This is the individual who has the responsibility for bringing to the contributions committee's attention the requests for support received from institutions and organizations, including educational institutions. The corporate giving officer may be a vice-president or manager for public relations, a vice-president for finance and administration, the secretary or treasurer of the company, or a vice-president or manager for industrial and/or educational relations. All this is to say that the responsibilities of a corporate giving officer are vested in a variety of different types of executive positions.

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Using the booklet to which I referred earlier, the CFAE publication on corporate aid-to-education programs, you can get an indication of the various types of financial assistance programs operating in various companies. A beginning step can be taken by writing to a given corporation asking for a description of their corporate giving program, should you find existing information incomplete or inadequate for your purposes. Additionally, if you have sufficient institutional resources for travel, you might find it helpful to schedule an exploratory visit to several large corporations to meet and talk with the responsible corporate giving officer. An alternative to travel is to telephone the appropriate person ard get as much information as you can. Once you have completed this i itial task, you will probably want to put together all the pertinent data regarding the specific company and discuss these data with your trustees, faculty, and administration to ascertain whether or not you have any personal contact.

Also, you must determine which of the institution's needs best fit the corporate giving program pattern. There are a couple of ways in which to convey your needs to the company. One is the use of the personal contact to articulate the needs and to "sell" the institution to the company, with submission of a proposal being the next logical step. Second is the use of the staff development officer to communicate the institution's needs and to "sell" the institution to the corporate giving officer, with the submission of a formal proposal following.

Inter-institutional communication systems or methods serve as basic adjuncts to cultivation and solicitation of the various types of corporate prospects. Since these apply equally well to approaching foundations and individuals, we will consider this topic after we have discussed generally foundations and individuals.

FOUNDATIONS

Private foundations are yet another type of prospect for educational institutions. All too often, the word "foundation" is perceived to mean Ford, Rockefeller, Kellogg, and the like. We all know about the giant private philanthropic foundations, and these large foundations are indeed excellent prospects for institutions. But we must keep in mind that there are a host of smaller and medium-sized private foundations, and certain of these are referred to as family foundations — a family of moderate means has created a foundation, usually with special interests in mind, that is, the family may be concerned only with philanthropy as it relates to health, medicine, education, religion, culture, and so forth. Let's take a look at the smaller, more obscure private or family foundation. By using the *Foundation Directory*, you can get an overview of the types of foundations in your state and in your neighboring geographical region. As you know, the *Foundation Directory* is prepared by the Foundation Center in New York. (The publisher of the 1971 edition is Columbia University Press.) The center also maintains files on all foundations as well as annual report collections. The Center's holdings and a list of the regional depository libraries are noted in the appendix section "Researching Foundations."

If your geographic location permits, it is profitable to utilize these prospecting resources as you can locate many more foundations in your state or region. Once you know that a goodly number of small-to-medium-sized private and family foundations exist in your area, you can then begin to review your needs with an

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eye to the foundations' areas of interest. As with corporations, where you have personal contact with a foundation officer or director, use it. Many of these small foundations give to institutions and causes within their immediate geographic area. Your goal should be to view these foundations as yet another one of your publics, and the same message of community and regional contributions of your school should be conveyed to this public. You can build good relationships with your local and regional foundations by using many of the same techniques that apply to corporations. Give them the chance to get to know you.

The large, nationally known foundations prepare annual reports and these should of course be obtained as they serve as excellent guides to the programs and policies of the foundations. In addition, you may inquire either by letter or telephone to ascertain whether or not a foundation has guidelines for proposal preparation. If such information is available, obtain it. If, after review of all the prospect information, your needs seem to fall within their areas of interest, both in terms of program and geography, you may find it advisable to make an exploratory trip to meet the foundation staff (usually the large foundations have full-time professional staffs). An exploratory visit provides you with the opportunity to meet the staff, to discuss in greater detail the foundation's programs, areas of interest, financial resources, and review times, and to tell the foundation staff about your institution, its unique strengths, its role and place in the regional educational scene, its teaching and research programs, and its particular needs as they may appropriately relate to the foundation. A word of caution about these "biggies" with full-time staff. Often a foundation staffer will get up-tight if your institution has an individual who has personal contact with a foundation trustee because the use of such a contact is viewed by the professional foundation person as an attempt to "end run" him. Do your best to cultivate the professional staff and to "sell" your institution to him. If you use the personal contact, do it judiciously and perhaps this could take the form of, for example, a polite phone call from your man (probably a trustee or senior member of the faculty or administration) to his friend on the board advising him that your college has a request for support pending at the foundation.

INDIVIDUALS

Individuals play a very important role in private philanthropy, and often this type of prospect is overlooked or inadequately considered. One of the obvious places to identify individuals who may have sufficient resources to contribute to your institution is your roster of alumni. If your institution has a strong program for the care and feeding of its alumni, you are indeed fortunate. Alumni relations are an altogether different bag, but should be considered for development potential. Again, it is a question of keeping people informed about your institution, its current and projected programs, and its needs. Begin cultivating your incumbent students who will be alumni shortly by such devices as giving them membership in the alumni club, upon admission as an undergraduate. It goes without saying that keeping track of your alumni on a current basis is vitally important because you have a better opportunity to inform them and involve them. A device which may be helpful to your institution with respect to using your alumni in fund-raising capacities is the creation of alumni committees, the members of which will serve

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as volunteer fund-raisers for you in their own geographic areas. You can bring the committee people together on an annual basis for an update. Use this opportunity to rekindle enthusiasm, weed out the deadwood, and add new members. Essentially, this boils down to keeping your institution in a prominent place in the lives of your alumni. These committee activities should supplement, of course, your other alumni efforts such as an annual fund drive aimed at the alumni, telephone campaigns, and the other alumni activities of your school, which are not oriented to fund-raising. Use your alumni publications to tell of the opportunities for deferred giving if you have such an operation at your institution. Deferred giving is a quite specialized segment of institutional fund-raising, and it is not in my area of competence. Suffice it to say that if your school does not have a deferred giving program, it should investigate this opportunity by all means. Deferred giving is a gift which a donor stipulates now, but which comes to the institution at a later point in time. Life income plans, charitable remainder gifts in trust, annuity trusts, and unitrusts are illustrative of the mechanisms of deferred giving. And of course, the Tax Reform Act of 1969 contains many new provisions with respect to this kind of giving.

Non-alumni individuals of wealth should also be within your total scheme of development. Wealthy individuals are usually considered within the sphere of the president and the trustees for cultivation and solicitation. You can help by identifying and researching wealthy individuals and by bringing as much information as possible to the attention of your cultivators and solicitors. To obtain a gift from an individual is for the most part a long and intricate process. You must find a person or persons at your institution who can make contact with the prospect. Personal and close contact with the prospect by the president and the trustees is essential. They must undertake the task of "selling" the institution, and all that implies. Sometimes you may wish to consider various devices through which you can get wealthy individuals involved with the institution. The ultimate involvement is to make the person a trustee, and obviously not every wealthy person whom you can interest in your school can be made a trustee. But other devices are at your disposal. For example, you might want to establish advisory councils such as a business advisory council, a library advisory council, or a professional advisory council. Assuming you have the prospect's interest, invite him to council membership. It's not only a matter of involvement, it's also a matter of ego. Make the person feel he has a say in the affairs of the school. Other devices can be used, and you can explore these with sister institutions and with your own folks back home.

Now I would like to take a moment to discuss a couple of points on methodology as it relates to corporations, foundations, and individuals.

From my remarks to this point you can gather that a certain amount of prospect research is required. You need to find out as much about your prospect as you can and this means research. Some reference materials are provided in this publication, and other contributors will mention additional ones. You should become familiar with periodic publications dealing with fund-raising such as *Philanthropic Digest* and *Foundation News* and other reference texts and booklets. The periodicals are a handy tool in reviewing recent corporate and foundation giving. How you organize the job of research will depend upon your

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individual institutional personnel structure and capabilities. Since such research tasks can be carried out through various ways, I shall not attempt to suggest any specific systems to you.

Once you have completed your research, it is usually advantageous to have a method of "clearing the prospect." This is a tool of internal communication whereby you and others in the institution are aware that a particular prospect is being considered for approach with respect to a specific need. You may not have the problem now, but it is conceivable that situations may arise whereby two or more different groups within your institution may be considering the same prospect for different programs. To avoid any inadvertent confusion regarding the prospect, you can devise a system to inform your colleagues of current fund-raising activities. At some institutions this process is known as prospect review. A simple and effective method is suggested by the "Checklist for the Preparation of a Proposal," presented later in this volume. This is essentially an internal approval form, proper handling of which should prevent conflicting submissions.

A note about the mechanics of cultivation and solicitation. A development officer can render the valuable service of prospect identification and research, can be the catalyst in the internal communications process, can assist in cogently identifying institutional needs, and can assist in proposal preparation. But keep in mind that your faculty members who are principal investigators and program directors are generally the best-equipped individuals to talk with prospects. Use these resources whenever you can. Their special competence often gives them a great edge in presenting a particular need.

Once you get a gift, two vitally important steps remain. Thank the donor immediately — usually this is a letter prepared for the president's or the dean's signature. Note the date the gift is received and set up a tickle file which will serve to remind you approximately ten months from the date of receipt of the gift that the anniversary of the gift is coming up. Use the time between the tenth month and the anniversary date of the gift to prepare a report and re-solicitation letter. This is a letter for the signature of the dean, the president, or the principal investigator, and it reports to the donor how his gift was used. This letter also again thanks the donor for the gift and asks for support for the coming year. Remember: your best prospects are your donors.

II

A CANDID REVIEW OF OPPORTUNITIES

Earle Winderman

I would like to begin by noting the following study, conducted by the American Association of Fund Raising Council a few years ago as a means of determining varied philanthropic sources to college campaigns.

Profile of a College Campaign
for Capital Purposes

Thirty-seven recent college campaigns, with goals from $1 million to $7 million, directed by member firms of AAFRC, provided the following data: Total raised $49,618,276.

THE MEDIAN OF CONTRI— BUTIONS FROM:	AS PERCENT OF TOTAL
Trustees	26.7
Alumni	31.8
Foundations	11.0
Corporations	8.2
Parents	4.5
Individuals other than above	11.4
Community	14.5
Gifts $1,000 and over	84.3
TOTAL COST OF CAMPAIGN	4.5
NUMBER OF CAMPAIGNS REACHING GOAL	34

SCHEDULE

Preliminary work .... 34 weeks

Active campaign ..... 45 weeks

PEOPLE

2 staff in preliminary period; 2.3 in active period

Prospective donors were 2-3 times the donors

Volunteers for $6 million campaign 3,125

The AAFRC publication has served as an invaluable diagnostic instrument. It can function as a basic guide with regard to the size and scope of a particular fund-raising effort. The cardinal rule of fund raising, from the viewpoint of development officers, is: "Never attack a fund raising objective that is not tenable." For one thing, a failure to meet an announced fund-raising goal is

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demoralizing, if not disastrous, for a given institution — I am sure we all know of abortive campaigns that have set back institutions for years. It takes a college a long, long time to recover from failure, and from a psychological viewpoint, donors who have made truly generous contributions and volunteers who have done a dedicated job end up feeling like damned fools. It takes time for these feelings to dissipate before you can go back to them for a second gift or a second piece of work. Secondly, a campaign that goes bust invariably results in angry recriminations and the most frequently available scapegoats are either the development officers, or the college president, or both.

The board of trustees, in the face of a campaign failure, immediately cloaks itself in an impenetrable veil of omnipotence and to protect their own sacred egos, blame the failure on their hired hands — the D.O. and the Prexy. So, in the interest of self-preservation — never — I repeat never — allow yourself to get cajoled, threatened, or stampeded into taking on a fund-raising effort with an objective that you don't honestly believe can be reached.

Therefore, in attempting to arrive at a realistic campaign objective, I take into consideration what I honestly believe all sources of funds will produce — total up this amount, and then cut it by 25%. Hedging this way and then running an effective campaign you can, in all likelihood, exceed your goal and come out smelling like a rose, get a substantial raise, a mink coat for your wife, or a free trip to Europe from a grateful and appreciative board of trustees — this has been my experience as well as many of my colleagues. If I sound cynical, I don't mean to be. I am simply attempting to be realistic, even though, at times, I find it quite painful when I become thoroughly familiar with the true and documentable needs of a specific institution.

For example, among the 100-odd black colleges, in terms of the quality of education offered, Lincoln University is poorer than some and better than many. However, if we were to try to raise the quality of education at Lincoln to a level that would be thoroughly competitive with, say, the 100 top-rated white schools, we would conservatively need a cool $20 to $30,000,000 — and that is a realistic figure that is easily defensible. We also know that a figure of that magnitude is not in the wood — at least not during this generation. So in the past half dozen years, we have run off a pair of campaigns — both successful — one for $3,950,000 and the other for $3,000,000, and are now gearing up for a third go-around. These sums of money do not meet our needs, but they do take us a step closer. I can assure you that our as-yet undetermined goal for our next campaign will not be based on need, but rather on anticipated availability of funds.

This goal will be established by the judicious application of what has come to be known in the business community as the SWAG system. In the beginning I will sit down with a few knowledgeable trustees and, with their assistance, determine the maximum gift that could be obtained from the collective board under optimum conditions. My basic rule of thumb — referring back to the profile — would be to add 75% above what they can contribute as an attainable goal. In other words, I would anticipate a quarter of a million dollars from my board of trustees for every million dollars raised. If I don't have this type of wealth on my board of trustees, then it becomes incumbent to build up a board of trustees that *can* produce this kind of money. And when I talk about board money, I mean

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their own money — not that of their sisters, cousins, and aunts. As true as day melts into night, every successful fund-raising campaign demands a big chunk of the total from the board. I would say that this is particularly true for black institutions because the alumni simply cannot come up with the 30-odd percent of the total raised in the profile, despite the fact that a number of foundations choose to believe that every second black college graduate has a million dollars stuffed in his mattress. They further believe that the comparatively poor financial condition of our institutions is largely due to the lack of generosity on the part of our graduates.

This just isn't so. *Fortune Magazine*, a few years ago, estimated that there are approximately 100,000 Americans with a net worth of $1,000,000 or more. A year later, *Ebony* claimed there were 50 black millionaires. I question the *Ebony* list because I personally know that one of the alleged millionaires has difficulty making the house payments on his New Jersey home. I have also found out, through two intensive campaigns, that black alumni have produced 15% on one campaign and 10% on another campaign, of the total goals — a far cry from the $300,000 per million that evolves from alumni of white schools.

In trying to determine my goal, I then move on to corporations. Despite the pontifications of the corporately-supported Council for Financial Aid to Education, companies are generally nickel-and-dime contributors to higher education. The schools that make it big with companies are those with graduates in key management and decision-making levels and believe me, that leaves us out.

A few weeks ago, *The Wall Street Journal* reported on a survey of this nation's fifty largest corporations. This study indicated that of approximately 300 chief executives and directors of these corporations, there were three black men — all recent appointments and all educators. And, having some familiarity with the way corporations handle their philanthropy, I suspect that these three gentlemen have precious little influence on the way the give-away dollar pie is sliced at their companies — so, still following the SWAG method of determining a realistic goal — incidentally, SWAG means Scientific Wild Ass Guess — and because I'm in the backyard of the highly industrialized city of Philadelphia, I am delighted to pick up $50,000 to $100,000 per million from corporations.

As I have ticked off these diverse sources of funds, I am sure you are wondering where the money is supposed to come from for our institutions. Certainly, the parents of our students cannot ante up 4.5% of any goal much over $1,000. We are grateful if they can pay 50% of our students' tuition — which they both cannot and do not. If I were raising money for Rust College in Holly Springs, Mississippi, I would not expect to be overwhelmed by benefactions from the community any more so than I am at Lincoln from nearby Oxford, Pennsylvania. This, then, leaves foundations and individuals. I think it necessary to break foundations into two categories — national, with a staff of paid executives and several suites of offices (if not their own buildings), such as Ford, Rockefeller, and Carnegie; then there are the regional or family-type foundations, often with a small, nondescript cracker box office and a little old lady in tennis shoes to answer the phone.

My experience at Lincoln indicates that this latter foundation is by far the most fruitful source of funds for things we feel are necessary. The national

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foundations, though generous, seem to have rather fixed ideas about how we should spend their money and, as a consequence, generally limit gifts to our institution to specific programs or projects. Now mind you, we are most grateful for this kind of money — seek it aggressively, constantly research and reorder your priorities in the interest of opportunism — but we have found that the family or local foundation, and I'll add the affluent individual to this category, has been our single best source of unrestricted or special-purpose funds — our *own* purposes, not theirs. And, in all candor, I am the first to admit that even the infallible SWAG system fails when it comes to crystal-balling expected funds from these sources.

Now, I'd like you to forget the Profile of Sources for a moment and think about "Big Casino" in the fund-raising lexicon for black institutions. This is the federal government. Granted that as a source of funds it is not as productive or as good as it was a few years and one or two administrations ago; still — much like sex — even when it's bad, it's still pretty good. So, in preparing a list of potential sources of funds, the feds must place high on your list. And, like foundations and affluent individuals, establishing a goal for government money is also blue sky.

In summation, as development officers, we must follow Fagin's advice to Oliver Twist: if you expect to be successful, you must pick as many pockets as possible — one pocket won't do the job. It is essential to try to realize optimum sums from all sources — trustees, alumni, corporations, foundations, individuals, and government.

A young chorus girl once asked Mae West how she could get a mink coat. Miss West is said to have replied: "It's easy — find one man with a thousand dollars, or five hundred with two." The choice is up to you. Always keep in mind the need to concentrate the major portion of your time, energy, and efforts on those sources of funds offering the greatest potential, and, within these sources it is equally important constantly to expand and extend the number of prospects.

There will be a time, I hope, when our institutions can expect funds in the degree and amount being received by the predominantly white colleges and universities of our country; when our graduates will become as affluent as their graduates; and when our trustees, alumni, and parents of students will hold positions of power and influence with big corporations, banks and foundations. But at the moment, in raising funds from these sources, we are pioneering. In effect, we are laying the groundwork for our successors, a decade or two in the future, and the impact of our efforts will not be felt in these areas until then.

APPLICATIONS TO THE FEDERAL GOVERNMENT: TWO VIEWS

I

PICKING UNCLE SAM'S POCKET

Earle Winderman

With federal applications, we have perhaps the best chance for our institutions to apply the Mae West principle mentioned earlier. This source of funds is "Big Casino" for all of us. Time and energy spent in watering at the governmental trough can be the most productive and, as a consequence, demands the highest priority.

Every single aspect of college costs can be underwritten by federal funds. Medical schools have learned how to carry this to the ultimate. I've directed fund-raising capers for the Stritch School of Medicine at Loyola, University of Chicago, the University of Utah Medical School, and done a bit of consulting for Stanford's and New York University's Medical Schools. Through a multiple series of federal grants, these institutions are able to build in as much as 75% of their total payroll, a like percentage of their hardware expenses, including microscopes, electronic gear and instrumentation, as well as a major piece of all their buildings.

With colleges such as ours, we cannot hope to maintain the same percentages but we can build in programs that will underwrite a substantial amount of our educational and general expenses as well as healthy chunks of capital expenditures and equipment costs. To do this, I would suggest the initial establishment of an inventory of basic needs. Many of these are common to all our institutions — things like scholarships and student aid, faculty salaries, library books, equipment, curriculum development and other special programs, as well as buildings and hardware. Once this list is completed, a determination of the possible sources of funds must be made. By this I mean making a breakdown of whether to seek funds to meet your inventory needs from the government or private sector. I firmly believe that if you can conceivably shoe-horn a need into a federal program, do so, because the money you need can often be obtained from this source quicker and cleaner than from any other.

To do this requires a thorough-going knowledge of the whole panorama of federal aid programs. The Department of Health, Education, and Welfare has several publications — one as thick as the Manhattan Telephone Directory — that can be had for the asking. A form letter to the various HEW sub-agencies — the U.S. Office of Education, the National Institutes of Health, and certain others — can produce more specific information. Other federal departments also have programs and projects of use to our institutions, such as Labor, Commerce, State, Housing and Urban Development, and Defense, though I would personally avoid the latter because of the manifestations of campus protest which projects sponsored by Defense seem to attract.

Once all this information is accumulated, it's much like going through a Sears Roebuck catalog. If you happen to be in the market for student financial aid, you will want to buy some Economic Opportunity Grants, some Work-Study Pro-

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grams, and develop the mechanism to process National Defense Loans. If you want to upgrade the teaching of science, you will probably tap the National Science Foundation people under COSIP — College Science Improvement Program — which will provide both salaries and equipment. Title III of the Higher Education Act can be hit to upgrade faculty in the sciences or improve curriculum and, of course, there is a full panorama of research project people in the sciences who can underwrite salaries, buy equipment, and pay some overhead.

If your school calendar is like ours, you are faced with a dormant campus and a revenue-eating summer because administrative, secretarial, and plant maintenance salaries go on and no money comes in. As a consequence, your institution's books are generally bathed in red ink as a result of the summer. This can be offset by hustling up a variety of summer programs to fill your dormitories, help pay salaries, and offset ongoing overhead. Federal programs that can be milked for this purpose include various National Science Foundation and Office of Education projects to train school teachers. Community-related projects like Upward Bound are naturals for our campuses. Peace Corps Training Projects are dandy summer operations and are currently up for grabs on a bid basis as are National Science Foundation projects to encourage students to enter the sciences.

All these programs provide for indirect costs components as well as one important dividend. These summer programs offer premium pay to participating faculty. Though the salary scale of our institutions is generally below the published national averages, it is possible to attract, retain, and reward top faculty members through the availability of summer hustles. We have worked out projects that have enabled faculty to add 25% to their income by participating in five-to-six-week summer programs. Believe me, there is nothing that does more to maintain a high degree of faculty morale than a fat paycheck during the lean summer months.

After you have decided on the federal programs you believe will dovetail with your institution's needs, it becomes necessary to set up a pecking order based on federal deadlines. I usually make up a small calendar indicating which project is ready to pop. Then I get the information to the appropriate faculty member or committee, well in advance of the deadline. At our shop, the job of writing the proposal and drawing up the budget falls on me — more by default than by design. I have found that faculty often adopt the unfortunate attitude that the administration is infringing upon their academic freedom by demanding that they write up proposals to meet deadlines. So, rather than get into a hassle, it is much easier to pick their brains for the technical aspects required of a proposal and draw up the document — then let them read it, prior to submission.

There are, of course, academic hustlers — a faculty guy who has all kinds of ideas and projects and has developed government and foundation contacts vulnerable to funding. Though I recognize that greed, more than dedication to his institution or discipline, is his basic motivation, these men are beautiful to have around. They save you a lot of work. Unfortunately, black campuses do not attract academic hustlers — so, the D.O. usually has the responsibility to get programs off the ground.

As an aside, we did have one man on our campus who drew up a number of proposals in which he payrolled a procession of girl friends as consultants,

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part-time secretaries, instructors, student counsellors, what have you. From my viewpoint I encouraged him. This was great — all I had to do was check out his budget and sell his proposal to the feds. But he was only one man and has since moved on to another institution to direct a program where he had the authority to name his own assistant director. Needless to say, it was a young lady he had built into a program at Lincoln.

Before I proceed, I would like to point out that all federal proposals are, in effect, solicited proposals. You have a clearly identified funding source that must distribute money for specific purposes and, believe me, this is half the battle. When dealing with the private sector, a proposal is generally of minimal importance. The real problems revolve around cultivating a foundation or individual to the point when you feel he will entertain a proposal. This often involves many contacts at different levels and frequently, over a period of years. It also involves considerable research as to areas of interest as well as making a determination of what would be a realistic amount of money to ask for. Also, a line-item budget is seldom necessary when seeking private funds.

With the feds, there is often a ceiling as indicated in the guidelines as to the amount of money you can expect. There is also a strong competitive factor since most federal agencies receive far more requests for funds than they have the money to underwrite. Taking this as absolute fact, the basic problem is that of seeing that *your* proposal or institution, in competition with often hundreds of others, receives favorable consideration.

To me, this is the challenging part of doing business with the government. This is where it becomes imperative to Win Friends and Influence People. And this is also why any number of colleges and universities maintain fully staffed offices in Washington.

The procedure we follow at Lincoln goes something like this. First, we decide what governmental programs we are interested in. Then, we phone the person in charge of the program and ask a few questions concerning the guidelines. We conclude this phone call by requesting that some information be mailed to us — whether it be an application or another set of guidelines — it makes no difference. If the government official puts something in the mail, he'll write a covering letter which serves to imprint your name and the name of your institution in his mind. Your phone call also serves notice that, in all likelihood, you will be submitting an application for funding. This latter step is important because I have long suspected that civil servants get glory points for the number of applications they receive. This is part of the bureaucratic game. All civil servants must create the impression that they have more work than they can possibly do. At budget time this can mean getting an extra secretary, a bigger office, a merit pay increase, compensatory time to pad their vacation, and, if they hold temporary appointments as do so many HEW types, employment for the following year.

Following receipt of the covering letter, I generally do a little homework and develop a basic concept of the proposal, if not the proposal itself. Then, I again call Washington, mention that I will be in town for a few days to visit some alumni, and ask if I could not drop by the official's office because of a few problems I have run into with the application. Here again, I find the program people most receptive to this approach and many of them will pick the lunch hour for

our appointment. I might add that, more often than not, they stick me with the check. This meeting gives me a chance to sell my institution — in a sense, to separate it from the herd of other applicants in the mind of a man who will have a great deal to do with whether it is funded or scratched and at what level it will be supported. At this meeting I will ask for a lot of advice, air out any problems I am having, and request an informal, preliminary review of my proposal, or prospectus, which is always granted.

I might add that I have often completed the proposal or prospectus before I meet the government official. But when I return to the campus, I mail it out with a covering letter, mentioning that I will be calling on the phone for comments within a week. I will also leave one glaring error in the proposal or prospectus, either in concept or budget, for him to pick up. This is important — it serves to involve a government official directly in your proposal.

Man's ego is such that he always looks favorably on something he has done. In this case, he either made an addition or deletion to a proposal that he eventually will have to review and judge. Because of his personal involvement, he will be more inclined to react favorably. It is an old gimmick that P.R. men use when writing speeches for their bosses — always toss in a few examples of atrocious grammar or fuzzy thinking which the boss will seize upon immediately and correct and leave the balance of the speech intact, so that you won't have to write the whole damn thing over again.

Believe me, this ploy works.

The next step I follow is that of candidly asking the government official whether or not it will help my proposal if I sought support from The Hill. In Washingtoneze, this means running to your Senator or Congressman, and getting him to write a letter requesting support of your proposal to the appropriate government agency. This is also an essential part of the bureaucratic game. The mechanics work like this. All government agencies have one or more highly paid individual who is responsible for maintaining favorable legislative relationships — mostly because the legislature holds the purse strings to their particular agency. Consequently, letters and phone calls from assorted Congressmen receive instantaneous responses.

If, for example, the bureaucrats must decide between half a dozen equally good proposals, the nod will invariably go to the one carrying a little note indicating the Congressman or Senator X expressed a particular interest in this institution and is waiting to know what the decision will be. To do this may sound fairly complex but it is not. Most legislators have administrative assistants charged with taking care of the folks back home. These administrative assistants are only too glad to have something to do. There are also federal regulations that all government grants are held up until "Congressional Notification." In effect, virtually all of Lincoln's grants first hit the press with a brief announcement as to the purpose and amount from the office of our local Congressman, in a manner that conveys the impression that this was another piece of pork barreling he performed for his constituents. This is also part of the game. I have found that the federal official, based on his knowledge of the competition your proposal will be facing, is usually pretty frank about whether you ought to run to your Congressman. If, in his judgment, your proposal is a winner, assuming of course that he has

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given preliminary review to several others, a call to your friendly, neighborhood Congressman is unnecessary.

I make it a rule never to apply Congressional pressure unless, in my judgment, I feel it imperative. After the proposal has been mailed to Washington, I generally wait a discreet period of time and then call up to find out how we are doing. At this stage, I invoke the necessity of committing staff early, or nailing down space, or getting sufficient lead time to mount the project successfully. This follow-up phone call produces information as to the acceptability of your proposal, strictly off the record of course, and indic ates whether any further lobbying is necessary.

Now one thing I have learned in dealing with the government: always — I repeat *always* — ask for more money than you will need in anticipation of a cut and always, again this bears repetition, in the covering letter signed by your president, add a brief disclaimer to the effect that if your program is not fully funded you would like to reserve the right to establish your own priorities, predicated on your institution's needs. The reason for this is that too often the people in Washington think they know what's best for your campus and will fund your project accordingly. As a consequence, you want to keep all your options open to negotiation based on your own desires.

One further word of advice. If you get a government grant, particularly an annual grant, spend the money even if you have to blow it on dubious purposes. To return so much as five cents embarrasses the funding agency and mitigates against your chances of scoring the following year. Strange as it seems, millions of unspent dollars are returned to the feds annually.

In summation, government grants offer a wide and virtually untapped source of funds for our institutions. These funds have great flexibility in meeting diverse numbers of needs. That we as black institutions are not getting our fair share was clearly indicated in a recent HEW report. Not the least of these reasons is that we have not sought these funds too aggressively in the past. It is my considered judgment that government money will become an increasingly important source of revenues to all institutions of higher education. It is therefore incumbent upon all of us to learn to play the grantsmanship game and play it well. If I sound like an alarmist, it is because I believe it. Our improvement as institutions of higher education serving our constituencies, if not our very survival itself, depends on our ability to secure more federal grants in greater amounts than ever before. Today at Lincoln we are getting more federal money than our total budget was ten years ago. It may be possible, within the next decade, to pick up an amount equal to our current annual budget on an annual basis from the feds. The planning to accomplish this has already begun.

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A SYSTEMATIC APPROACH TO FEDERAL DOLLARS

Herbert A. Wilson

Perhaps the biggest contribution a development officer seeking government grants can make is to flatly refuse to become the super government liaison and proposal writer.

The numerous agencies of the federal government simply are too big for one man to cover. Even a man of exceptional ability cannot keep in mind all the many-faceted programs, let alone keep up with their myriad and frequent changes. Many of these agencies provide considerable opportunities for support of higher education, although some may be obscured. Some descriptions of these programs can be crystal clear; others only obscure the possibilities that exist, and it takes an aggressive, sophisticated effort to take full advantage of most of them. The large, affluent schools do exceedingly well; the small, less affluent or developing institutions could do a great deal more with systematic organization and teamwork.

There are several publications and services which will facilitate your efforts to delineate the scope of these opportunities for funding and interpret their applicability to your needs. You can consult the publications listed in the bibliography in the appendix. Consider especially:

I. Publications of the federal government which attempt to cover the entire spectrum of support to higher education, and special interest pamphlets and brochures emanating from specific agencies;

II. Newsletters from various educational associations;

III. Consultation with appropriate persons in the federal government who have a between-the-lines understanding and interpretation of qualifications for support.

Each school should have at least one basic source of information and supplement this with professional association newsletters and other free information.

In addition, a good development officer should develop a master file to locate possible funding by subject matter — entries should include sources for any possible fund raising need at his school. This master locator file should include cards referring to opportunities spelled out in the basic information sources, and also sources of private and business support by subject matter. It is helpful to have one person solely responsible for establishing and maintaining an up-to-date locator file.

PERSPECTIVE

To avoid dissipating personnel energies over a wide spectrum of prospects, many of which have very limited provisions for supporting higher education, an institution should:

I. Match its financial needs with the proper agency possibilities, no matter how many needs there are or how small — that is, from a single course or activity to a major academic unit which includes many curricula.

II.   Identify each item of need including programs, equipment, and buildings, that stand a reasonable chance of being funded through a federal program.

III. Project any other general needs and opportunities for your schools which cannot be specifically identified at present.

IV.   Designate, in the development office or other appropriate place, personnel capable of providing specialized assistance in proposal writing and project development — editorial assistance, physical specifications, demographic data, and cost analyses.

V.   Establish a liaison with federal agencies with the broadest possible base at your institution. Avoid from the outset any attempts to designate a single individual for the awesome responsibility of trying to know everything about each agency and to cultivate personally key personnel in each.

VI.   Establish a broad base of institutional representation, including key representatives from each department or area likely to apply for support. These representatives should be those who are most likely to act as catalysts in their own departments.

VII. Form a Government Grants Committee of these individuals — including faculty and administrators — who represent each area of need or opportunity on campus. The chairman of that committee should be someone who enjoys great prestige with his committee members. It could be the president, chief academic officer, provost, or a faculty member. Have the committee periodically review opportunities as well as progress toward meeting upcoming deadlines. The development officer should prepare an agenda for committee meetings including the specific situations which are timely for consideration.

MOTIVATION-STIMULATION

There are various means to motivate and stimulate people to assist your efforts. I have found the following successful:

I.   In regular institutional publications or in a special newsletter, report opportunities for federal support, current campus effort, and successful results of recent applications, giving department and project director.

II. Reward successes by paying increases. (Such an incentive is a controversial method.)

III. Do not hesitate to have the chairman of the Government Grants Committee assert himself in applying the "rusty needle," should more subtle types of leadership fail. It may be necessary at times to use the biggest gun available — the president.

IV. Technical assistance in proposal development should be provided by the chief academic officer.

CONTROL

Some time ago, an institution received a call from a federal agency to which the school had sent a proposal. The agency was impressed with the proposal but wanted important revisions made immediately so that the proposal could be given

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final consideration. Unfortunately, nobody was able to tell the agency the name of the department or the individual who submitted it. As a result, the proposal was not given full consideration. At another institution, the president's office received a post card from a foundation which said, "This is to acknowledge receipt of your proposal. We shall contact you again as soon as our Board has met and made a decision in your case." The card was signed by a foundation official. The last I heard about this situation, no one yet knew who had sent that proposal to the foundation or what the proposal was about. Still another institution received a check for $5,000, and there was a long delay in processing the gift because the originator of the proposal was unknown. I mention these examples to underscore the importance of development officers controlling and coordinating *all* applications and proposals. Actually, it is relatively easy to coordinate and control the submission of proposals, especially in small and average-sized institutions. But few schools do have effective controlling devices in practice. Let us take a look at a simple system which can be implemented by taking the following steps:

I.   Establish a policy requiring all applicants to file the following information with a single office, preferably the development office:
   — Project title
   — Amount requested
   — Source to which it is directed
   — Author and originating department
   — Signature of person making the request

All these items can be easily recorded on a very simple form. (See the Checklist in the Appendix for a very complete form.)

II. Devise a numbering system, including digits designating year, month, and department, as well as the basic serial digits. and require that a number be assigned to each application or proposal.

III. Secure the cooperation of the president or institutional officer who approves submission of all federal or other applications. He should withhold approval unless established recording procedures have been observed — especially if no control number has been assigned. Of course any such system must have flexibility or otherwise it defeats its own purpose. For example, more often than not schools submit proposals to federal agencies just "under the wire" — just before the post office closes on the day of the deadline. Reasonable flexibility allows assigning the control number via telephone at which time the basic information should also be secured. When the deadline is extremely close, the standard form calling for basic information can be filled out in the office where the proposal is approved and then forwarded to the development office immediately. A copy of this form is duplicated and sent to the business office.

When the school receives a grant, the business office records on this copy (a) an account number, and (b) the amount of the grant, and returns the copy to the development office. This is one sure way to notify the development office that a grant has been received, should the federal agency not send such communications directly to the development office. In the final analysis this system permits immediate and accurate reporting.

ADMINISTRATION OF GRANTS

I believe strongly that development officers should not become bogged down in administering grant projects. Perhaps such a suggestion is unnecessary here, but the development officer's job is primarily to secure support. He simply dissipates important energy by getting involved in the administration of grants. However, it *is* important from a development officer's point of view to insist that accountability and reporting of grants be assured the donor, even though this responsibility lies with the fiscal department. It is equally important that the fiscal office devise a system to assure appropriate utilization of the funds.

GENERAL CULTIVATION

While each member of the Government Grants Committee is largely responsible for encouraging proposal development on campus, he should continue to cultivate the agencies through excellent performance, reporting, and occasional visits to agencies. Some opportunities for agency representatives to visit the campus should also be planned.

The development officer in this instance has over-all responsibility for cultivating agency relationships and best assumes it in the following ways:
I.   Periodic visits to selected agencies to make the institution's relationship a more personal one. People in Washington are human beings too — believe it or not.
II. Preparation of attractive, easily understood annual reports which are sent to all agencies. The report should include a list of support from all sources (this presumes good support from other than federal sources). The report should also review briefly the institution's case for development with appropriate visual aids.

PROPOSALS AND APPLICATIONS

It is not good practice to generalize about proposals submitted to the federal government because of the varying requirements in different agencies. Yet it can be said that any proposal which is persuasive, specific, documented, realistic, and which identifies qualified personnel to carry out its aims stands some chance of positive consideration. It might be helpful to remember the following:
I.   Follow application guidelines assiduously.
II.   Document your case exceedingly well with facts and figures.
III. State adequately the qualifications of personnel involved.
IV.   Make the most persuasive narrative statement possible.
V.   Do not overstate your case if a site visit will not support it.
VI.   Make sure the case is written flawlessly.
VII. Take the prospectus route, that is, visit the appropriate agency, taking along your narrative describing the program and budget for a preliminary review. Based upon the counsel you receive, prepare a final document to submit by the deadline date.
VIII. While at the agency or when the first contact is made, ask for a "ball park" financial estimate so that you will not grossly overshoot or undershoot the funds available. Do not hesitate to go beyond this ball park figure if you feel that you can justify it.

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IX. Try to get somebody on the staff of the agency especially interested in your particular proposal or project.
X. Check and double check to discover every opportunity for assistance and plan ahead to meet application deadlines.

HOW TO: A GUIDE TO WRITING SUCCESSFUL PROPOSALS

Sally J. Oleon

On this subject, like any other "how-to-do-it," it is far easier for me to give you advice on how to write a proposal than to sit down and write one myself. But let me assure you that it is an exhilarating experience to read your ideas clearly expressed on paper, then to describe and sell your project to someone with available funds, and finally to be successful and see your dreams in action.

Some of you are the proposal writers on your campus, some of you are editors, or perhaps a combination of both. However, the first and maybe the second and third draft of any proposal application should be written by the person who will carry out the project, the principal investigator. Only he can write the heart and soul of the proposal.

It is the job of the development officer/grant coordinator to edit the proposals, to take a hard look at the budget, and to exercise control over submission. You should be consulted for technical items such as the college's rates for fringe benefits, indirect costs, and cost sharing. You will assist the principal investigator to check out college policies on space, equipment, and travel. Finally, you will secure the appropriate college "approval" signatures that are required by the sponsoring agencies.

In a time of tight money with more competition, proposals must be better than ever.

Writing a proposal for a grant or contract is the discipline of expressing an idea, or method to do something, or to accomplish a goal in a way that is clear, logical, and sensible so that another person can understand what you mean. It is easy to sit around in a college office or in an office of a sponsoring agency and toss ideas about. It is a bit harder to write a 2-3 page letter generally describing your project with a "ballpark" budget. But a proposal that spells out exactly what is to be done and how takes time and thought.

A proposal should be written in a way so that anyone who reads it can understand it completely without recourse to other persons, books, or data. All facts and figures should be accurate. No questions or issues should be raised that are not answered. Your proposal will be reviewed critically and any decision will be based on your presentation.

THE PROPOSAL

Some funding agencies, such as the federal government, prescribe detailed proposal application forms which must be used. It seems easier to use these forms since all you have to do is fill in the blank spaces. However, the lack of flexibility on these forms is often a handicap. Other funding agencies, such as private philanthropic foundations, prescribe no form whatever, thus permitting complete flexibility. In these cases, though, you are never quite sure whether you have included everything that may be required or relevant.

In every case, whether or not prescribed, the following information should be included in some way.

I. Title Page(s) or Face Sheet

This page, usually prescribed by government agencies, seems obvious, but many project writers forget to include one. The following items should be included:

A. Brief title of the proposed research project.
B. Name, title, department of the principal investigator.
C. Name and address of the submitting institution.
D. Time period for the proposed project: starting date.
E. Proposed amount of money required.
F. Endorsing signatures. These signatures are required by all funding agencies and are necessary to the college so it knows what is being committed.
   1. Principal investigator
   2. Department head
   3. Official authorized for institution
   4. Fiscal officer receiving payments

II. Abstract

An abstract is useful when the application is long. It should be 200 words or less, giving a clear statement of the nature and scope of the project, including anticipated results and their significance.

III. Description of Proposed Project

This section is the heart of the proposal. It should not be an essay of an interesting or useful activity or theory, but rather, it should be a description of an action project about to be undertaken. Many proposals stop before they tell what particular thing the project director wants to do. Sometimes they even forget to ask for money. This part of the proposal is similar to a "research design" written for a thesis.

This section of the application should include:
A. Background: how proposed research fits into the field; review of relevant literature.
B. Detailed statement of work to be undertaken:
   1. Objectives: what will be done and why.
   2. Expected significance: why this project is necessary.
   3. If continuation of ongoing project, a progress report should be made.
   4. Description of experiments to be undertaken, and/or procedures to be used.
   5. Discussion of any unique or novel approaches.
   6. If questionnaires are to be used, how developed.
   7. If archives are to be searched, where and why.
   8. How the research will enrich the college, the professors, the students, the public.

IV. Time Schedule

The total length of time the project will take, from beginning to completion, should be stated. If it is in phases, then the length of each phase should also be outlined. The desired starting date should be at least six months after the submission of the proposal to allow for evaluation and processing. Some funding agencies prescribe deadlines for submissions, announcement of awards, and starting dates.

Funds should never be committed or spent in anticipation of grants or contracts unless there are alternate sources of payment available. Many agencies will not allow reimbursement of funds spent in advance of the award's starting date.

V. Facilities

A general statement of currently available facilities and any major items of equipment now on campus especially adapted to the proposed project should be mentioned. This emphasizes to the sponsoring agency the support by the college. If the proposed budget includes a request for new equipment, then special detailed justification should be made.

You should also be sure to find out if the use of these facilities, or installation of the new equipment, requires specific approval from the college.

VI. Personnel

Key project personnel should be listed by name, position, title, experience, their responsibilities within the project, and percentage of time committed to the activity. If a key staff member cannot be identified by name when the proposal is submitted, a brief job description and competencies necessary for the position should be provided. A complete resume of the principal investigator should be included as an appendix. His qualifications and competence are often a key factor in whether or not the project is funded.

Consultants who have agreed to participate in the project should be similarly identified, or the application should describe the type of consultative assistance required.

If an advisory committee is contemplated, its function should be described, as well as the type of persons who will be asked to serve.

VII. Budget

The budget is a vital part of the proposal. It tells the story in figures. It is often the section of the proposal that is reviewed first. The budget should be viable for the project: it should neither be padded nor understated. A budget that is too large or too small for the scope of the research indicates that the writer has not thought out his needs carefully. A budget should be developed realistically with enough flexibility to permit some negotiation.

When a project requires more funding than is being requested from one sponsor, this should be indicated. Other agencies being asked to support the project should be listed.

If the sponsoring agency requests a specific format, the budget must be

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organized accordingly. In other cases, the following outline can be used. The justification for all direct cost items should be found in the proposal narrative and should include sufficient coverage of their purpose and content so they are consistent with the amount of money requested for them.

Some items may take additional brief explanations. These should be included in a section called "Budget Explanations" immediately following the budget.

A. *Salaries and wages:* the scale to be u d depends upon the college salary schedule and the marketplace.
   1. List name and/or title for each professional and non-professional employee.
   2. Indicate rate of salary: per month, per task, per year, % of time and effort in the project.
   3. Multiple-year budgets should have salary increments.
   4. Released-time salaries for a faculty or staff member depend upon college and funding agency rules.

B. *Fringe benefits:* if omitted, they will be taken out of grant funds.
   1. Included are F.I.C.A., health benefits, retirement benefits, etc.
   2. The college should establish a standard rate.
   3. They will vary for professional, non-professional and student employees.

C. *Consultant fees:* the sky is not the limit.
   1. Fringe benefits are not paid to consultants.
   2. Per diem allowances are usually extra.

D. *Computer time:*
   1. College may provide some free time.
   2. Cost of coders, etc., should be included in salaries and wages.
   3. Give hourly rate charged at facility you plan to use.

E. *Equipment:*
   1. Estimates should be as accurate as possible and should relate to delivery date and starting time. Use vendors' catalogues whenever possible.
   2. If several pieces are requested, itemize them.
   3. Final ownership at conclusion of project may vary, i.e., funding agency may claim it or pass title to the college.

F. *Consumable supplies and communication:* telephone, postage, duplication, stationery, special reference books, special services.
   1. These may be sorted and grouped in different ways.
   2. Do not underestimate these costs.
   3. The grouping of items should be inclusive to maintain flexibility.

G. *Travel:*
   1. Estimates should be based on economy class air fare.
   2. Some agencies use a per diem allowance; others, exact costs.
   3. Junkets are ill-advised.
   4. Travel should be directly related to the proposed project.
   5. Some agencies permit attendance at professional meetings.
   6. Foreign travel must have prior authorization.

H. *Publication and report costs:* they come at the end of the project so principal investigators tend to forget about them in the application.
1. To report results of project to grantor: writing, preparation of charts, duplication, etc.
2. Distribution of report: postage, printing, etc.
I. *Indirect costs (overhead):*
Every sponsored project has both direct and indirect costs. The direct costs are those readily identified with the specific activity, such as salaries and fringe benefits, supplies, and travel. The indirect or overhead costs are those incurred by the institution in providing supportive services shared by other activities as well, including building maintenance and operation, utilities, library facilities, payroll, accounting, purchasing, personnel support, and general administration. Theoretically, the overhead attributable to each project could be measured but the process is prohibitively expensive. Instead, a portion of the total cost of o erhead services is normally attributed to each project by use of some mathematical formula.

Because the largest share of all project support on university campuses comes from federal agencies, they have devoted intensive study to the development of a reasonable mathematical formula, or *indirect cost rate,* for use in sponsored projects. Each college should consult Circular A-21 of the U.S. Office of Management and Budget and its "cognizant" U.S. government agency to establish its own indirect cost rate, if it does not already have one.
K. *Institutional cost-sharing:*
1. Amount varies with sponsor and type of project.
2. College can have special arrangement with certain agencies.
3. This item may require review by the college president.
L. *Miscellaneous, contingency, etc.:*
1. DO NOT USE this category.
2. Instead, calculate all costs, accurately.

CONCLUSION

There are several policy areas not included in the proposal outline for which the deve opment office/grant coordinator must assist the college in developing a policy. One such area is the use of human subjects in research. The Department of Health, Education, and Welfare has established standards that must be used as a guide. A related area is the use of animal subjects. Policies set by the Department of Agriculture should be consulted. Every college should establish a patent and a copyright policy. It is a complicated and a "touchy" issue but colleges and principal investigators may not be permitted to keep royalties from inventions or copyrights resulting from sponsored research if a college does not have such policies.

In conclusion, I am going to anticipate one or two of your questions. First, how long should an application be? Like the oft told tale abou. Lincoln's legs, an application should be long enough to touch the ground. Or, as one foundation executive has said after reading many hundreds of proposals each year, some more

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long-winded than others, he sympathizes with Voltaire's excuse to Madame de Stael, "I'm sorry to send this to you in two volumes. I didn't have time to write one."

Second, what type of questions will the funding agencies ask? They ask easy ones such as: What will happen to the world if you don't get your money? What will happen to the world if you do get your money?

Finally, it all really boils down to — and I quote an esteemed former foundation colleague:

> What do you want to do?
> Why do you want to do it?
> How are you going to do it?
> Who is going to do it?
> Where are you going to do it?
> How long will it take?
> How much will it cost?

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APPENDIX I

CHECKLIST FOR PREPARING PROPOSALS

The following Checklist for Preparing Proposals is designed to help faculty members as they develop proposals. It can also assist administrators, deans, and department chairmen in evaluating the administrative and budgetary aspects of these proposals. The checklist has been adapted from instruments currently in use in American universities.

We suggest that a form similar to the one below accompany every proposal to assure appropriate review and to secure necessary internal approvals before the proposal is submitted to a sponsor. The checklist calls for data which, if overlooked while the proposal is being prepared, can cause annoying problems later.

OFFICE OF DEVELOPMENT (OR SPECIAL PROJECTS)

CHECKLIST FOR PREPARING PROPOSALS

Date _____ Proposal No. _____

1. Project Title _____

_____

_____

2. Type of Application

☐ Grant ☐ New ☐ Renewal

☐ Contract ☐ Revision ☐ Supplement

3. Sponsoring Agency _____

4. Contracting Office: Office of Grants Administration (or Special Projects) (address)

5. Corporate Name of University: The Trustees of the University of . . . . (a non-profit corporation) (state)

6. Name, Title, and Address of Official to whom checks should be mailed:

7. School or Unit _____ Department _____

8. Principal Investigator _____

Position _____

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9. Brief non-technical description _____

_____

Educational implication of proposed project (one or more)

☐ Student research experience

☐ Initiates research in new field

☐ Will contribute to course material

☐ Basis for thesis

☐ Masters

☐ Doctors

10. Reports on Project

Monthly ☐   Quarterly ☐   Annual ☐   Final ☐

Distributed to _____

11. Publication in technical journals expected?

Yes ☐   No ☐   Not applicable ☐

12. Will other University professional personnel participate in the project?

Yes ☐   No ☐

If yes, list by name and academic title, describe participation, and percentage of effort each will devote to project, if available.

Name	Title	% Participation

13. Will students participate in project?

Yes ☐   No ☐

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If yes, list by name, if available; give total number by indicated category.

Undergraduate   How participate

_____   _____

_____   _____

Graduate   How participate

_____   _____

_____   _____

Postdoctoral   How participate

_____   _____

_____   _____

14. Will other University employees (e.g., technicians, secretaries) be required to devote time to the project?

   Yes ☐   No ☐

   If yes, list by name and title, describe participation, and percentage of effort each will devote to project.

   Name   Title   % Participation

   _____   _____   _____

   _____   _____   _____

15. Facilities

   Is space available?   Yes ☐   No ☐

   If yes, Building _____ Room _____

   Approved by Building Administrator: Initials _____

   Is this adequate (size, utilities, ventilation, etc.) for the period of this proposal?

   Yes ☐   No ☐

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Is this space adequate for future requirements of this program as you understand it?

Yes ☐   No ☐

If space is not available, how much new space will be required?

_____ square feet. Is it to be acquired by:

Rental ☐   Renovation of existing space ☐

Estimated cost $_____ Source of funds_____

_____ Approved by_____
                                        (Name and Title)
If University source is involved, account number _____

Will acquisition of major equipment items require installation and building modification as a cost to the University or Project?

University   Yes ☐   No ☐

Project   Yes ☐   No ☐

If yes, your estimate of cost $_____

16. Research Equipment

A. Does project require acquisition of equipment?

Yes ☐   No ☐

If yes, are funds included in budget of proposal?

Yes ☐   No ☐

If not, indicate cost $_____ Source of funds_____

_____ Approved by_____
                                        (Name and Title)
If University source is involved, account number_____

B. Will sole source be recommended for procurement of equipment?

Yes ☐   No ☐

If yes, reason _____

_____

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C. Itemize (show estimated cost of each item)

_____

_____

_____

17. Office Equipment

A. Is additional office equipment required for this project?

      Yes ☐   No ☐

If yes, are funds included in budget of proposal?

      Yes ☐   No ☐

If not included in proposal and if to be University-provided, show

$_____ Source of funds _____

_____ Approved _____
                                         (Name and Title)

B. Itemize (show estimated cost of each item)

_____

_____

_____

18. Computer Service

Will computer service be required?

      Yes ☐   No ☐

If yes, is cost included in budget?

      Yes ☐   No ☐

If no, explain_____

_____

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Is special data-processing or computing equipment required?

Yes ☐   No ☐   Type of ADPE _____

                                         No. of Hours _____

                                         Rate per hour _____

If yes, describe how it is to be acquired _____

_____

If University funds are to be provided, $ _____

Source of Funds _____

Approved by _____ Account No. _____
            (Name and Title)

19. Human Subjects

Does the project involve human subjects?

    Yes ☐   No ☐

Date of approval of Human Subjects Review Committee _____

Initials _____

20. Subcontractors (Discuss with Office of Grants Administration prior to con-
    tacting proposed subcontractors.)

Will any portion of the research effort be subcontracted?

    Yes ☐   No ☐

If yes, Amount _____

Reason for subcontracting _____

_____

Recommended subcontractor(s) _____

_____

Type of subcontract: Fixed Price ☐   Cost Reimbursement ☐

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21. Consultants (Discuss with Office of Grants Administration prior to contacting proposed consultants.)

Will project require outside consultants?

Yes ☐   No ☐

If yes, Amount_____

Consultants recommended_____

Reason recommended _____

_____

22. Public Interest

All research projects conducted at the University are of interest to the news media. Describe any aspect of the proposed project that will be of particular interest.

_____

_____

23. Is it anticipated that the research effort under the proposed project may result in developing a patentable item?

Yes ☐   No ☐

24. Is any part of the work to be performed off campus (exclusive of trips)?

Yes ☐   No ☐

If yes, where_____ % of effort_____

25. Duration and Estimated Cost

A. Duration from_____ to_____

B. Estimated Cost

1st year $_____

2nd year $_____

3rd year $_____

Total $_____

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26. Proposed Budget for this period (Usually 1st year) (See also alternate budget format.)

	Sponsor	Univ.	Other	Total
A. Professional salaries & wages				
B. Non-technical salaries, e.g., secretary, electronic technician, shop personnel, etc.				
C. Consultant services				
(1) rate_____ x days_____				
(2) transportation and per diem				
D. Subcontracting				
E. Research supplies				
F. Office supplies				
G. Travel				
Domestic				
Foreign				
H. Computer service				
I. Communications				
J. Repairs to equipment				
K. Publication				
L. Alteration & renovation				
M. Shop				
N. Stockroom				
O. Report center				
P. Employee benefits				
Q. All other expenses (itemize under notes)				
Total Direct Costs				
R. Indirect Costs				
Total Project Costs				

Notes_____

Details of "other" budget items _____

_____

_____

27. Approvals

    A. Prior to receipt by OGA

        Department Chairman and/or Dean or Director   _____
                                                            Chairman

                                                            _____
                                                            Dean

                                                            _____
                                                            OGA

    B. After review by OGA
                                                            _____
        Vice Provost and appropriate Vice President   Vice-Provost

        If over $100,000 for first year, President   _____
                                                            Vice-President

                                                            _____
                                                            President

An alternate budget form is provided on the next two pages.

This is an alternate budget format — use the one most compatible with your project.

BUDGET

For Period From _____ To _____

	Man Months				Total Project	Sponsor	University
	Sponsor		University				
	Acad.	Sum.	Acad.	Sum.			

A. **Salaries & Wages**

1. Faculty
   a. Principal Investigator
   b. Other
2. Other Professional & Technical
   a. Research Associate (Postdoc.)
   b. Non-Faculty Professional
   c. Grad. Students
   d. Undergrad. Students
   e. Technical
   f. Other

   Sub-Total 1 & 2 .... $ .... $ .... $

3. Administrative & Secretarial
   a.
   b.

   Total Salaries & Wages ...... $ .... $ .... $

B. Employee Benefits @ _____ % of S & W

C. Permanent Equipment
   1. _____ $ _____
   2. _____ $ _____
      Total Equipment

D. Supplies
   1. _____ $ _____
   2. _____ $ _____
      Total Supplies

E. Travel
   1. Domestic _____ $ _____
   2. Foreign _____ $ _____
      Total Travel

F. Publication Costs _____ $ _____

G. Other Costs
   1. _____ $ _____
   2. _____ $ _____
   3. _____ $ _____
      Total Other Costs

H. Total Direct Cost (A through G)

I. Indirect Cost
   1. On Campus _____ % of (S&W) (TDC)
   2. Off Campus _____ % of (S&W) (TDC)

J. Total Cost (H/I)

	Total Project	Sponsor	University
	$	$	$
	$	$	$
	$	$	$
	$	$	$
	$	$	$
	$	$	$
	$	$	$
	$	$	$
	$	$	$

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APPENDIX II

APPLYING TO FOUNDATIONS

Like individual prospects, foundation prospects should be carefully researched to discover which foundations, among some 20,000 in this country, are able and willing to make grants to the geographical area and the particular project which needs funding.

Researching foundations is easier than researching people in some ways, for the equivalent of their income tax returns are available for public inspection. The Foundation Center and its regional depository libraries around the country provide researchers with files of the IRS returns, called Forms 990. The Centers in New York City and Washington contain files for all U.S. foundations while the regional libraries keep returns for states in their locale. Their addresses and collections are:

The Foundation Center
444 Madison Avenue
New York, New York 10022   All states

The Foundation Center
1C01 Connecticut Avenue, N.W.
Washington, D.C. 20036   All states

Graduate Social Science Library
Stephens Hall
University of California   California, Idaho, Nevada,
Berkeley, California 94720   Oregon, Washington

Foundation Collection
Reference Department
University Research Library
University of California
Los Angeles, California 90024   California, Arizona

Foundation Library Collection
Atlanta Public Library   Alabama, Florida, Georgia,
126 Carnegie Way, N.W.   North Carolina, South Carolina,
Atlanta, Georgia 30303   Tennessee, Mississippi

The Newberry Library
60 West Walton Street
Chicago, Illinois 60610   Illinois

Associated Foundation of Greater Boston
One Boston Place   Maine, Massachusetts, New
Boston, Mass. 02109   Hampshire, Rhode Island, Vermont

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The Danforth Foundation Library
222 South Central Avenue
St. Louis, Missouri 63105   Kansas, Missouri

Cleveland Foundation Library
700 National City Bank Building
Cleveland, Ohio 44114   Ohio

Regional Foundation Library
The Hogg Foundation for Mental Health
The University of Texas   Arkansas, Louisiana, New
Austin, Texas 78712   Mexico, Oklahoma, Texas

The Center in New York collects all foundation annual reports and maintains a grants index showing foundation grants of $10,000 and over, categorized in a number of different fields, so that researchers can see which foundations are giving to which type of project in which locations.

Foundations are now required by law to issue annual reports or fill out an annual report form, 990AR. They must make these reports available for public inspection in their offices for a limited time after they are issued each year. Classified ads in a local newspaper must state that the report is available.

Form 990 and annual reports list foundation trustees and executives. You may want to check to see if members of your institution — faculty, trustees, administrators, involved alumni — are acquainted with any of these foundation managers.

Foundations vary in the formality and extent of information they demand in proposals. By studying a foundation's annual report or writing for correct application procedures, you can be assured of including all the necessary data.

The following statement from a major foundation suggests the type of application some foundations request.

"First, application for grants should be made only after the applicant is certain his project is within the area of the Foundation's interest — children, interracial and intercultural relations.

"Application should be made by letter, preferably first in an exploratory letter addressed to the Executive Director of the Foundation. The response to such an exploratory letter will indicate whether the applicant's appraisal that his project is in the Foundation's current area of interest is well founded and also whether funds presently may be available for such projects.

"In instances where the project appears to fall within the scope of the Foundation, the Executive Director will invite a formal application.

"There are no application forms but, in general, each application should give the following information:

   "1. Name and address of tax exempt organization which will be the recipient if a grant is made.
   "2. Relationship of individual signing the application to the applicant organization.
   "3. Amount asked and specific purpose.

"4. Significance — that is, what the grant is expected to accomplish.
"5. The need or problem, including the background.
"6. The proposed solution and method of approach to the problem. (In the case of scientific research, the hypothesis.)
"7. Use to which the findings will be put, including plans to publish or publicize results.
"8. Relationship of this proposal to the Foundation's program as discernible in its recent published reports.
"9. Endorsement of request by qualified individuals.
"10. A detailed budget showing how the requested grant would be spent.
"11. Length of time for which the Foundation's aid will be needed. Include a schedule indicating most desirable time to start and terminate grant.
"12. If staff is to be increased to carry out this project, what qualifications will be required and what evidence is there such staff is available.
"13. Concise presentation of the essential facts. Usually a two- or three-page summary is adequate. A long memorandum and exhibits may accompany the summary if the applicant thinks these will strengthen his case. (A concise and forceful statement of the facts has more persuasive value than the format of the presentation.)
"14. A copy of the ruling from the U.S. Treasury granting Federal tax exemption.
"15. If applicant organization has been active for a period of years, it would be well to provide a supplemental memorandum indicating in brief the organization's accomplishments to date, the nature and extent of current and earlier support as well as the record of balances or deficits of past years."

APPENDIX III

FUND RAISING BIBLIOGRAPHY

GENERAL

Curti, Merle, and Nash, Roderick. *Philanthropy in the Shaping of Higher Education.* Rutgers University Press.

Seymour, Harold J. *Designs for Fund Raising.* McGraw-Hill Book Company.

Tickton, Sidney G. *Needed: A Ten Year College Budget.* Fund for Advancement of Education, Ford Foundation.

Giving, U.S.A. American Association of Fund Raising Counsel, 500 5th Avenue, N.Y., N.Y. 10036.

Chronicle of Higher Education (periodical)
1717 Massachusetts Ave., N.W., Washington, D.C. 20036

Non-Profit Report (periodical)
345 E. 62nd Street
New York, N.Y. 10021

Fund Raising Management (periodical)
224 7th Street
Garden City, N.Y. 11530

INDIVIDUALS

Who's Who in America
  Marquis — Who's Who, Incorporated
  210 East Ohio Street
  Chicago, Illinois 60611

Regional *Who's Who* (e.g., *Who's Who in the South*)

Specialized *Who's Who* (by field)

Social Register
  Social Register Association
  381 Park Avenue
  New York, New York 10016

City directories

News clippings (keep in binder)
From news, social, and business pages.

CORPORATIONS

Poor's Register of Corporations, Directors and Executives
  Standard & Poor's Corporation
  345 Hudson Street
  New York, New York 10014

Dun's Reference Book of Corporate Management
  Dun & Bradstreet, Incorporated
  99 Church Street
  New York, New York, 10007

25,000 Leading U.S. Corporations (1971 Edition)
  News Front
  Year Inc.
  20 W. 43rd Street
  New York, New York 10036

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Company-Sponsored Foundations: Programs and Policies
Company Contributions Primer
Corporate Contributions Policy
Industry Aid to Education
    The Conference Board, Inc.
    845 Third Avenue
    New York, New York 10022

Aid-to-Education Programs of Some Leading Business Concerns
    Council for Financial Aid to Education, Inc.
    6 East 45th Street
    New York, New York 10017

Matching Gift Details
    American Alumni Council
    1701 N Street N.W.
    Washington, D.C. 20036

A Sustained Commitment: Corporate Support of Higher Education
    Council for Financial Aid to Education, Inc.
    6 East 45th Street
    New York, New York 10017

Official Summary of Security Transactions and Holdings
    U.S. Security Exchange Commission
    Superintendent of Documents
    Government Printing Office
    Washington, D.C. 20402

Fortune Magazine

Business Week Magazine

Corporate annual reports

State and local business organization directories, lists, reports

FOUNDATIONS

The Foundation Directory (4th Edition)
Columbia University Press
136 South Broadway
Irvington-on-Hudson, New York 10533

Foundation News (periodical)
The Foundation Center
444 Madison Avenue
New York, New York 10022

Philanthropic Digest (periodical)
John Price Jones
6 E. 43rd Street
New York, New York 10017

Grant Registry
Academic Media, Inc.
10835 Santa Monica Boulevard
Los Angeles, California 90025

GOVERNMENT

The Guide to Federal Assistance for Education (monthly)
Appleton-Century-Crofts
440 Park Avenue South
New York, New York 10016

Catalog of Federal Domestic Assistance
Superintendent of Documents
Government Printing Office
Washington, D.C. 20402

Topical Law Reports
Commerce Clearing House, Inc.
420 Lexington Avenue
New York, New York 10017

Publications and newsletters from various education associations and departments and agencies of the federal government.

NOTES ON CONTRIBUTORS

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Herbert A. Wilson is Vice President of the Phelps-Stokes Fund and Director of the Cooperative College Development Program. For ten years he was Director of Institutional Development at Tuskegee Institute. He was also Academic Dean and Associate Professor of Education and Director of Public Relations at Alcorn A & M College, and a high school and elementary school principal. Dr. Wilson was educated at Jackson State College, Indiana University, Boston University, and Columbia University where he received his Ed.D. degree. He has published several articles on fund-raising, management, and current social issues.

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Cooperative College Development Program

Cooperative College Development Program (CCDP) is a program of training and service in the fields of development and management. Foundation and federal government support have permitted the Phelps-Stokes Fund to extend its program of educational assistance which is specially designed for developing colleges, universities, and junior colleges.

CCDP fund-raising and management experts provide college administrators with seminars and on-campus consultation on such subjects as basic development theory, annual funds, training clerical staff for development work, publications and public relations, administrative management systems, records and research systems, admissions and recruitment, fund raising through college foundations, and, as this publication records, proposal planning and development.

CCDP grew out of a recognition that educational institutions are being called upon to provide expanded programs to increasing numbers of students while, at the same time, financial support grows more limited. Many institutions have not been able to take advantage of existing opportunities for financial support because they have not kept up with modern, competitive development and management methods. We are attempting to serve smaller institutions of higher education by helping them meet the challenge and responsibility of educating future generations of students.

CCDP is supported primarily by federal funding. Programs operating in 1971 are:

Forty College Consortium, funded under Title III of the Higher Education Act, 1965. Coordinating institutions are Maryville College and Tennessee State University.

Technical Assistance Consortium to Improve College Services, supported by Title III of the Higher Education Act, 1965. Coordinating institution is Morgan State College.

Administrative Team Training for Private Junior Colleges, funded by Title V-E of Education Professions Development Act, 1967. The grantee institutions are Mount Olive College and Wesley College.

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THE PHELPS-STOKES FUND
Franklin H. Williams, President

The Phelps-Stokes Fund, founded in 1911, is a non-profit agency which operates programs under four major divisions.

Domestic Affairs is concerned with improving American educational programs and facilities and with advancing educational opportunities, especially for black Americans and American Indians. The Cooperative College Development Program is a program of Domestic Affairs. The Fund has also followed a charter commitment to work to improve housing for the poor in New York City.

Research and Publications staff trains researchers, pursues and publishes studies in the areas of interest of the Fund, and especially attempts to promote valid research into the history and condition of black America.

African Affairs programs encourage communication and understanding between Africans and Americans. Through the decades the Fund has assisted a number of African educational institutions.

Scholarships and Exchange Division assists African students studying in this country and administers Aggrey Fellowships which provide opportunities for advanced studies in American universities for outstanding African leaders and scholars.

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