Searching for Grant Funding 101

OTD772 - Summer 2016

Northern Arizona University
Phoenix Biomedical Campus
Agenda & Objectives

❖ Intro to grants
❖ Activity 1
❖ Grant planning
❖ BREAK
❖ Concept papers
❖ Searching for grants
❖ BREAK
❖ Activity 2
❖ Activity 3
❖ Wrap-up

❖ Define basic grant terminology and understand the application process.
❖ Identify methods and resources necessary to plan a project that requires grant funding.
❖ Utilize search strategies to efficiently find grant opportunities and ascertain their suitability for the project.
❖ Recognize when and how to use grant databases to inform project planning and find funding.
What are grants?

Funding mechanisms used for a specific, agreed upon purpose

Examples:

<table>
<thead>
<tr>
<th>Program</th>
<th>Sender</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Innovation in Care Integration for Children and Youth with Autism Spectrum Disorders and Other Developmental Disabilities Program</td>
<td>Health Resources and Services Administration (HRSA.gov)</td>
<td>$2,500,000</td>
</tr>
<tr>
<td>Cystic Fibrosis Foundation cash grant</td>
<td>Arthur J. Gallagher Foundation</td>
<td>$5,901</td>
</tr>
<tr>
<td>Analyzing Relationships between Disability, Rehabilitation, and Work: A Small Grant Program</td>
<td>Social Security Administration</td>
<td>$300,000</td>
</tr>
<tr>
<td>For Muscular Dystrophy Association through state giving program</td>
<td>Wal-Mart Foundation, Inc.</td>
<td>$50,000</td>
</tr>
</tbody>
</table>
What are grants used for?

Grants can fund a variety of projects:

- Experimental research
- Program development
- Conference presentations
- Dissertation research
- Training and career development
- Outreach initiatives
- Resources
- Small business development
- Scholarly works
How are grants used?

Grants can provide many types of support:

- Capacity-building and technical assistance
- Capital and infrastructure
- Continuing support
- Financial sustainability
- General support
- Individual development
- Leadership and professional development
- Network-building and collaboration
- Outreach
- Policy, advocacy and systems reform
- Presentations and productions
- Product and service development
- Program development
- Regranting
- Research and evaluation

From the Philanthropy Classification System (PCS):
www.taxonomy.foundationcenter.org

which is based on the National Taxonomy of Exempt Entities (NTEE):
nccs.urban.org/classification/nTEE.cfm
Who issues grants?

- Businesses
- Charitable gift funds
- Corporate giving programs
- Fiscally-sponsored organizations and programs
- Foundations - community, corporate, and family
- Governments and agencies - federal, state, and local
- Individuals
- Intergovernmental organizations
- Multipurpose centers
- Non-governmental organizations
- Religious institutions
- Schools

From the Philanthropy Classification System (PCS):
www.taxonomy.foundationcenter.org

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nccs.urban.org/classification/ntee.cfm
What types of grants are available for OT program development?

- Research grants, e.g., community based participatory research
- Educational grants, e.g., a health fair where participants receive a health report card
- Training grants
- Planning grants, though not common
- Demonstration grants fund programs that have demonstrated success or use evidence-based approaches

From Program Development and Grant Writing in OT, Doll, 2010.
How do grants fit into OT program development?

❖ Most community programs need a financial jumpstart.
❖ Grants are one of several options, including finding investors and applying for loans.
❖ They can provide the initial startup money for a program.
❖ Program development based on community needs drives grant funding, not vice versa.
Grant fundamentals

- Grants are not really free, but they pay for all kinds of things, and come in all shapes and sizes
- Grants are temporary, competitive, require collaboration, and vary widely
- Grant writing is an art and a science, and an exercise in persuasion
- Keys to acquiring funding: an innovative idea, a well-written proposal, and a well-matched idea and funder

From Program Development and Grant Writing for OT, Doll, 2010
Scope of the Arizona Nonprofit Sector

From ASU’s Lodestar Center for Philanthropy and Nonprofit Innovation:

★ AZ Nonprofit Sector Profile
★ AZ Grantmaking Report
Activity 1
Activity 1: Defining Terms & Relationships

There is an extensive vocabulary surrounding grants. Let’s get to know the terms by crowdsourcing a glossary and mapping their relationships.

Get started by going to this case-sensitive URL: bit.ly/21XtRYv
Grant Process

1. Planning your application
2. Writing your application
3. Submitting your application
4. Receipt and referral
5. Peer review process
6. Award management
7. Post-award management

From National Institutes of Health:
NIH Grant Process
Grant Process

1. Planning your application
   - Brainstorm project ideas
   - Conduct community needs assessment
   - Define project goals and objectives
   - Consider project funding needs
   - Search for grants

2. Writing your application
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Project planning: Brainstorm

Sources of inspiration for projects:

- Research evidence
  - AHRQ's Horizon Scans and emerging practices
  - Use MeSH subheading /trends in PubMed literature search
- Knowledge gaps
- Experiential data
- Exploring existing programs
- Consulting experts
- Asking the community
- Conversations with colleagues
- Personal connections

From NAU Health Research Workshops presentations and Program Development and Grant Writing in OT, Doll, 2010
Project planning: Identify the need

- What is the dominant community need?
- Why should the need be addressed?
- Does the community identify the proposed need as important?
- Is the community ready to address the need?
- What resources are required to address the need?
- Who will help address the need?
- What factors will impede meeting the need?

From Program Development and Grant Writing in OT, Doll, 2010.
## Project planning: Identify the need

Conduct a SWOT analysis to identify facets of the community that are in need of improvement and gaps in your planning.

**From Centers for Disease Control and Prevention**

<table>
<thead>
<tr>
<th>Potential criteria</th>
<th>Factors to Maintain</th>
<th>Factors to Address</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Internal</strong></td>
<td><strong>Strengths</strong></td>
<td><strong>Weaknesses</strong></td>
</tr>
<tr>
<td>• Collective capabilities</td>
<td>• Performance metrics</td>
<td>• Inadequate resources</td>
</tr>
<tr>
<td>• Morale, commitment, leadership</td>
<td>• Pandemic needs</td>
<td>• Financial constraints</td>
</tr>
<tr>
<td>• Governance, participation norms, and defined roles</td>
<td>• Community needs</td>
<td>• Technical limitations</td>
</tr>
<tr>
<td>• Resources, funding, assets, people</td>
<td>• Evidence-based policies</td>
<td>• Organizational structure</td>
</tr>
<tr>
<td>• Experience, knowledge, data</td>
<td>• Innovative aspects</td>
<td>• Policy environment</td>
</tr>
<tr>
<td>• Innovative aspects</td>
<td>• Collaboration tools</td>
<td>• Legal and regulatory issues</td>
</tr>
<tr>
<td>• Accreditation, certification, requirements, mandates</td>
<td>• Process, systems, IT, and communications</td>
<td>• External context</td>
</tr>
<tr>
<td>• Process, systems, IT, and communications</td>
<td>• Cultural, and social, behavioral norms</td>
<td>• Internal context</td>
</tr>
<tr>
<td>• Cultural, and social, behavioral norms</td>
<td><strong>Opportunities</strong></td>
<td><strong>Threats</strong></td>
</tr>
<tr>
<td><strong>External</strong></td>
<td>• Political, legislative, and financial environment</td>
<td>• Internal context</td>
</tr>
<tr>
<td>• Stakeholder involvement</td>
<td>• Technology development and innovation</td>
<td>• External context</td>
</tr>
<tr>
<td>• Technology development and innovation</td>
<td>• Quality of partnerships</td>
<td>• Trends in disease surveillance</td>
</tr>
<tr>
<td>• Quality of partnerships</td>
<td>• Development of knowledge</td>
<td>• Changes in healthcare policies</td>
</tr>
<tr>
<td>• Development of knowledge</td>
<td>• Uptake of disseminated knowledge or best practices</td>
<td>• Changes in public health</td>
</tr>
<tr>
<td>• Uptake of disseminated knowledge or best practices</td>
<td>• Competing or synergistic efforts</td>
<td>• Economic downturns and financial constraints</td>
</tr>
<tr>
<td>• Competing or synergistic efforts</td>
<td>• Trends in public health</td>
<td>• Natural disasters and climate change</td>
</tr>
<tr>
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<td><strong>Threats</strong></td>
<td><strong>Opportunities</strong></td>
</tr>
<tr>
<td><strong>Opportunities</strong></td>
<td>• Economic growth</td>
<td>• Opportunities for collaboration</td>
</tr>
<tr>
<td>• Opportunities for collaboration</td>
<td><strong>Threats</strong></td>
<td>• Internal context</td>
</tr>
<tr>
<td>• Internal context</td>
<td>• External context</td>
<td>• External context</td>
</tr>
</tbody>
</table>

From Centers for Disease Control and Prevention
Project planning: Conduct community needs assessment

Help focus and guide your initial ideas by gathering types of information about your target community such as:

- Demographic: sex, race, socioeconomic status, age...
- Epidemiological: prevalence, incidence, mortality, quality of life
- Ecological: space, personnel, infrastructure, capacity, support
- Behavioral: predisposing, enabling, and reinforcing factors in personal and community health
- Educational: health knowledge and education
- Cultural: family, views on health and medicine, biological considerations, social practices and interactions, history

From Program Development and Grant Writing in OT, Doll, 2010.
Project planning: Conduct community needs assessment

Gather quantitative and qualitative data to ensure your project’s relevance and impact:

Qualitative:
- Surveys
- Interviews
- Case studies
- Focus groups
- Town hall meetings

Quantitative statistics from:
- Centers for Disease Control
- National Center for Health Statistics
- Data.gov
- Office of Minority Health
- Local health departments and nonprofits
- Hospital Community Health Needs Assessments (CHNAs)

Be sure to share what you learn with your target community!

From Program Development and Grant Writing in OT, Doll, 2010.
Project planning: Define goals and objectives

- **Goal**: general statement about a desired future state. Long-term.
- **Objective**: specific statement about how a goal will be met. Short-term, based on a timeline. Usually 2-4 per goal.
  - Should be SMART: specific, measurable, attainable, relevant, and timely
- Similar to a mission statement and PICO outcomes.
- Define goals and objectives in collaboration with your target community to ensure collective interest and identify support.
Project planning: Define goals and objectives example

Goal: to promote health education and empower the residents of North City, a predominantly African American community, to become more aware of their health status.

Objective 1: By the end of year 1 of the program, the program team will provide primary care assessments to a minimum of 40 community members (i.e., hypertension checks and education, diabetes screenings, skin cancer screenings, osteoporosis screenings, drug information, healthy walking approaches, cholesterol checks, calcium and vitamin D counseling, etc.) at a local community health fair.

Objective 2: ...
Project planning: Define goals and objectives

NIH grant application review criteria used to judge your submission:

1. Significance
2. Investigators
3. Innovation
4. Approach
5. Environment
Project planning: Define goals and objectives

Things to consider when forming your goals and objectives:

- project significance (need/impact/originality)
- theoretically grounded approach/methodology/design
- specific objectives/aims
- measurable and scalable outcomes
- backup or alternative plan
- budget and resource needs
- evaluation of success
- sustainability
- passion and commitment
- suitable expertise
- necessary training and experience
- human subjects protection
- support/buy-in from all involved (IRB, community partners, participants, etc.)
- benefits to community
- disseminating/sharing/reporting findings/data
Project planning: Break down the funding needs

1. From your goals and objectives, identify the parts of your project that will require funding.

2. Calculate ballpark, then specific estimates for each part, including direct and indirect costs.

3. Explore your funding options and figure out how you can finance your project.
Project planning: Break down the funding needs

Typical budget considerations:

- Salaries, wages, and fringe benefits
- Consultants and professional fees
- Employee training
- Travel/Transportation
- Professional conferences and dues
- Advertising
- Equipment
- Supplies
- Printing/Copying
- Telephone/Fax
- Postage/Delivery
- Rent/Utilities
- Insurance/Taxes
- Depreciation
Break Time
Grant Process

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From National Institutes of Health: NIH Grant Process
What is a concept paper?
a.k.a., a prospectus, preliminary proposal, or pre-proposal

- an outline of your project that provides a framework to guide discussions with potential partners, your Grant and Research Office, and funding agency program officers

- a brief (2- to 4-page) document that uses succinct, definite language

- describes the idea, the need for the project, how it is to be implemented, and a budget

- helps clarify and organize ideas in a written form and provides the basis for a funding search
Why is a concept paper useful?

- From the concept paper, an individual is able to develop any number of grant applications for the same idea, submit it to any number of funding agencies, and vary the format or content to fit the requirements of those agencies.

- Saves time and effort for both the agency personnel and the individual grant writer.

- Organizes your thoughts and helps identify project shortcomings.

From Western Carolina University and University of Wisconsin-Superior
What is a concept paper NOT?

A concept paper is NOT:

- A cover letter
- A letter of inquiry
- A letter proposal
- A proposal
- A budget
What’s in a concept paper?

- Needs/Problem/Background Statement
- General Purpose Statement
- Significance
- Question and hypotheses
- Goal(s) and Objectives
- Methodology/design and evaluation/analysis
- Team expertise and participants
- Anticipated benefits
- Itemized budget

From Western Carolina University and University of Wisconsin-Superior
Concept paper content details

● Needs/Problem/Background Statement
  ○ Describe the question, problem, or need that will be addressed. Briefly note any evidence of this need (such as a statistic).
  ○ Identify how the project will address this need.
  ○ Identify how the project fits the mission/priorities of the funding agency.

● General Purpose Statement
  ○ What activities will take place?
  ○ Who will benefit?

● Significance
  ○ How is your approach unique, inventive, and/or transformative?
Concept paper content details

● Question and hypotheses
● Goal(s) and Objectives
  ○ What do you hope to achieve?
  ○ Objectives should be SMART – specific, measurable, achievable, realistic, and time-bound.
● Methodology/design and evaluation/analysis
  ○ How will the project be carried out?
  ○ What inventive techniques, processes, or methods will be employed?
  ○ What is the anticipated timeline (in general terms)? How many months or years will the project span?
Concept paper content details

- **Team expertise and participants**
  - List the significant key personnel and their previous relevant experience.
  - Explain your access to the target population and how you’ve ensured their buy-in or commitment to the project.

- **Anticipated benefits**
  - Consider the project’s effects upon all parties involved, both immediate and future. The broader impacts should appeal to your sponsoring agency’s goals and funding priorities.

- **Itemized budget**
  - Consider project activities and specific costs, e.g., mailing surveys or purchasing supplies. Only major category totals need to be listed.
  - Cost-sharing contributions, if any, and indirect costs should be itemized.

From Western Carolina University and University of Wisconsin-Superior
Sample concept papers

Example 1
Grant Process

1. Planning your application
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From National Institutes of Health: NIH Grant Process
Searching for grants

- Networking: list-servs, word of mouth, community connections, local corporations, academic grant offices
- Internal grants offered to individuals or groups within an institution
- Professional associations: ArizOTA, AOTF
- Federal organizations: AHRQ, PCORI, Grants.gov, NIH - National Institutes of Health
- Local organizations: state, county, city, corporate, community, private, family
- Grant directories and databases
  - PIVOT, Foundation Directory Online, GrantForward
Searching for grants

Why focus on local grantmaking agencies?

★ Less competition
★ Simpler requirements
★ More flexible
★ Familiar with local communities and needs
★ Overall more accessible for novice grant writers

Local grant databases:

1. Arizona Guide to Grants Online (full access available through public library) - foundation and corporate grants compiled by Alliance of Arizona Nonprofits
3. Foundation Directory Online
Search strategies: Keyword generation

- Break down your idea into a PICO-like format
- Think of broader and narrower terms
- Use mind mapping to create subtopics
- What general topics does your idea fall under?
- Twitter users: how would you hashtag your idea?
- Browse the Philanthropy Classification System
- Experiment! Search, modify, search, modify...
Search strategies: Filters

★ Funding location
★ Type of grantmaker
★ Award amount
★ Open applications
Search strategies: Scanning RFPs

Check out these areas of the RFP first to quickly determine whether the grant opportunity will meet your funding need:

★ Funding limitations
★ Unique requirements
★ Award amount
★ Application deadlines
Foundation Directory Online

- A subscription-based database of grantmakers, grantees, and grants updated weekly
- Available on campus through University of Arizona using UA Public Wi-Fi:
  - ahsl.arizona.edu/databases > F > Foundation Directory Online
- Free full access through Burton Barr Public Library in Downtown Phoenix (just North of I-10 on Central)
- Free limited access online
Foundation Directory Online demo

ahsl.arizona.edu/databases > F > Foundation Directory Online

- Browse
- Keyword search
- Inspect a grant opportunity
- Special features
- How this will be useful
Break Time
Activity 2
Activity 2: Practice searching

Using a local grant database, find 3 grant opportunities that could potentially fund your emerging practice project idea.

Track your findings using this worksheet: bit.ly/23WrmoT
Other grant databases

- **Grants.gov** - Free federal grant database
- **Grants.nih.gov** - Free federal grant database from National Institutes of Health
- **PCORI.org** - Grants from Patient-Centered Outcomes Research Institute, independent nonprofit, nongovernmental organization
- **PIVOT (NAU) and GrantForward (UA)** - Subscription-based grant databases typically for researchers from academic institutions
In a nutshell...

Searching for grant funding becomes a lot easier after you put some thought and research into your project idea.

A concept paper will help you organize your thoughts and identify any gaps in your project that you might have missed.

For novice grantseekers, local grantors are the best option for obtaining grant funding.

Use strategies such as keyword generation, filters, and RFP scanning to make searching more efficient.

There are a variety of grant resources available; some will suit your needs better than others at times.
Grant searching recap

Let’s assess what you’ve learned today. Can you and your classmates answer at least 80% of the questions correctly?

Go to socrative.com, click Student Login, and enter this room number:

DDLDJ9PO
Resources

**Arizona Common Grant Application** - a single grant application template accepted by many Arizona grantmakers

**GrantSpace.org/tools** - Features collection of winning proposals and other successful documents shared by Foundation Center community members

**Nonprofit startup resources** for Arizona from Foundation Center online

**Tools and Resources for Assessing Social Impact** (TRASI) - a database of assessment tools including surveys for social programs and investments

**Philanthropy Classification System** (PCS): describes the work of grantmakers, recipient organizations and the philanthropic transactions between those entities

**Scope of the Arizona Nonprofit Sector**: interactive report from ASU’s Lodestar Center for Philanthropy and Nonprofit Innovation
Resources

Considerations for Writing a Successful Proposal - Slides from NAU Health Research Workshops presentation by Robert Trotter (VP of NAU Health Research Initiatives)

Aligning Research Priorities with Funding Opportunities - how to generate project ideas for grant funding by Sonya Shin, MD MPH


Proposal Development Process - The Concept Paper, from Western Carolina University

How to Develop a Concept Paper, from University of Wisconsin-Superior

National Taxonomy of Exempt Entities (NTEE): used by the IRS and NCCS to classify non-profit organizations
Questions & feedback from you

What questions do you still have about searching for grants?

Any comments?