PROPOSAL WRITING
MANUAL

This manual and two others
were created during
UNDER THE PIPAL TREE

It is available for purchase
from the IDF Team

The Pipal Tree

Brussels

PROPOSAL WRITING COURSE

Aug 14 - 16

Rational Objective: Each person will so understand what a good Program Proposal is that they will have written one which is free of ICA or personal jargon and precepts.

Existential Aim: To be released to think "programmatically" from standing inside the shoes of a potential donor - that is, released to a new kind of thinking.

COURSE OUTLINE

Session I	Session II	Session III	Session IV	Session V
Fri Eve - 2 hrs	Sat AM - 3 hrs	Sat Aft - 3 hrs	Sat PM - 2 hrs	Sun AM - 3 hrs
Overview & Proposal Selection	Problem Statement & Program Objectives	Methods, Evaluation, Budget & Future Funding	Introduction	Proposal Summary & Evaluation
.Names & a fundraising success story .Introduction of course & Purpose .Layout Proposal Outline and ground from standpoint of donor, i.e. "What does the donor want to know here?" .Personal Brainstorm of possible proposals - select one .Share with group & create teams	.Refresh outline with explanation of language used in each section & weight given to each section. .Double check teams & proposals Problem Statement .Hand out article by Kiritz .Read Problem Statement section .Discuss .Teams write (30 min) .Share, critique, discuss Break Program Objectives .Read section together .Discuss .Read Guatemala Proposal Problem & Objectivies .Teams write .Share,Critique, Discuss	.Read Methods section .Discuss .Read Guatemala Methods .Teams write (30 min) .Share, critique, discuss Break .Short course on Evaluation, Budget, & Future funding .Hand out DED Budget .Teams work on all three with focus on Budget (45 min) .Share, critique, discuss	.Read article on Introduction .Short course on ICA .Teams have 20 min to write Intro .Each team read, critique Break .Hand out "Proposal Checklist" .Each team grade own proposal .Share scores and discuss where more work is needed	.Read article on Proposal Summary .Look at Checklist .Discuss (20 min) .Each team write & type & copy proposal summary (90 min) .Read each summary carefully & critique (60 min) .Congratulate, Evaluate, Celebrate & Send out

Brussels
13-19 Aug 87

PROPOSAL WRITING PROCEDURES

1st Session: Friday evening - Approx 2 hours

Context: The intent of this workshop is that everyone has a chance to write a real funding proposal. Proposals are generally for raising of money and are presented to corporations, churches, government agencies, individuals etc.

1. Introduction. Each person introduced himself or herself with following:

    Name
    Home Country
    Resident Country or where working now
    Story about one success in raising money or inkind materials.

(This turned out to be the event of the evening as each told of unusual successes or funny successes)

2. Transistion context: We have much experience represented here etc.
   Outlined next four sessions by referring to chart for proposal writing (see chart) and noting that:

    Session 2 would deal with Problem Statement and Project Objectives
    Session 3 with Methods, Evaluation Proces,Other Funding and Budget
    Session 4 with Introduction
    Session 5 with Proposal Summary

3. Put up chart for Proposal writing(see chart)
4. Toiled through an imaginary proposal giving illustrations of various points under each column and asked group "As potential donor what questions would you ask?"
5. Pointed out relationships between columns such as Methods and Evaluation Process relates to Program Objectives.
6. Asked each person to imagine a realistic proposal or one that is facing them. These were listed and some suggested teams(usually two to a team) were designated with proposals of their choosing from the list - usually a choice between their own two). Asked to brood on these overnight.
7. Some further context on language usually found in each section such as:
   Program Objectives have language like: to increase, to decrease, to strengthen, to expan etc.
   Methods section talks about to creat, to develop,to initiate, to set-up, to establish,to visit, to teach,to research etc. Methods section usually lists the steps.

PROPOSAL WRITING CHART

PROPOSAL SUMMARY	INTRODUCTION	PROBLEM STATEMENT	PROGRAM OR PROJECT OBJECTIVES	METHODS	EVALUATION PROCESS	OTHER FUNDING	BUDGET
equest or over letter ne sentence fo ach part of roposal pecific request	Explains who is making the request WHO	Assessment of need WHY	Explains WHAT is going to be done Explains rel to problem or need Anticipated Benefits	HOW to implement the program or how it will work Steps	Did it Work or how will we know it works	Other sources you will be needing or in the future	How much and for what to include income as well as expenses
	15%	20%	20%	20%	5%	5%	15%
	History Purpose Goals Program & Activities Clients & Constitu- ents Accomplish ments Endorse- ments & Quotes Qualifica- tions	Delimit & Narrow Reasonably Statistical Documenta- tion & Quotes from Clients or Experts From Clients' Viewpoint Client Input Who is the Client? Clients = Organiza'n Not the lack of your program	Realistic Ends Product Changes & Differences Anticipated Outcome Declare the Accomplish- ments Who will benefit? Timeframe reasonable Specific & Measurable Anticipated Benefits	Activities Sequence Staff Needs Timeline Chart Means Process Why these steps & not some others Strategies Procedures Disting- uish from what others have done	Product Process Who will do it? Criteria What data will you gather? How gather data? -question- naire -interviews What do with the evaluation How use it What reports & documents		

2nd Session - Saturday Morning (Approx 3 hours)

1.Context: Reminded group of common format as indicated on chart and that focus would be on first three sections(exclusive of Intro). Also from the standpoint of donor emphasis was given to importance donor places on each section:

- 20% on Problem Statement
- 20% on Program Objectives
- 20% on Methods
- 15% on Budget
- 15% on Introduction
- 5% on Other Funding
- 5% on Evaluation

2. Checked on team assignments and proposals they were going to write.
3. Issued paper on Program Planning and Proposal Writing by Norton J.

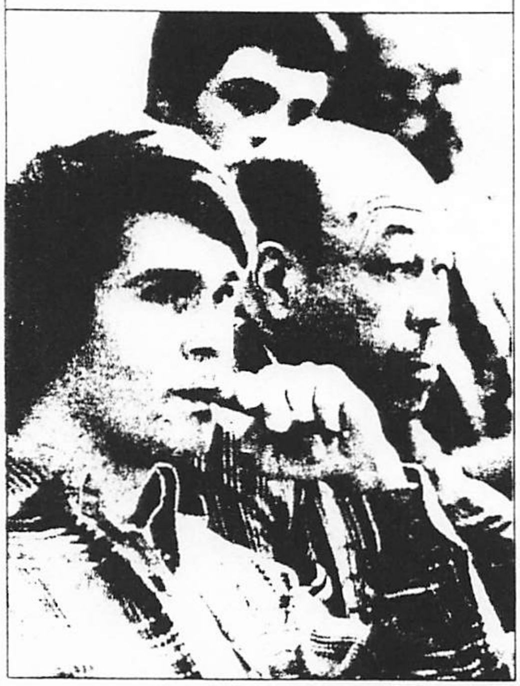
5. Discussion as to what this section is calling for. It is really the Why section. In writing best to narrow the focus of Problem(as opposed to trying to cover the whole waterfront). Use hard data if possible like statistics(but not whole charts),quote community leaders, experts, etc.
6. Teams began to write the Problem statment from perspective of their particular proposal. (Approx 30 Min)
7. After writing came back together. Brief reflection on the writing such as: Was it hard or easy? Where did we experience difficulty? etc.
8. Two three teams were asked to read their statements. Again reflection on the writings with helpful critique questions like: What struck you about the statement? How would you improve the statement? What was unclear?
9 Fifteen minute break
10. After break read Section III in paper concerning Program Objectives (again individuals reading aloud around the table) and some discussion of implications as well as questions.
11. A sample proposal was read (Guatamala proposal) and looked for some of the marks of Program Objectives.
12. Each team returned to the task of writing - this time on Program Objectives (about 30 minutes)
13. Read some of the paragraphs again - If a team had not read Problem Statement before it was read now to set a context for Program Objectives writing.
14. Reflection on writing such as: What struck you? Was connection made between Problem Statement and Program Objectives?

Context: The point was emphasized how the progression of this chart might well cause us to revise previous statements and that this whole writing exercise is a helpful planning process. Also, those of us who have been trained in Workshop planning methods(of ICA) may find some of our ideas turned upside down. We often, in our normal workshop planning, get so enamored with our vision statements or other untested brainstorms. This process of proposal writing begins to put some reality into it.

for Participants

PROGRAM PLANNING & PROPOSAL WRITING

By Norton J. Kiritz
Executive Director
THE GRANTSMANSHIP CENTER®



Proposals written for foundations and those written for federal grants will differ markedly in final form. Foundations usually require a brief letter; federal agencies usually require you to complete an extensive array of forms and possibly attach your own narrative.

We suggest the following format as a basic planning format for all proposals. Thinking through the various sections as we suggest will enable you to draw from the content virtually all that either a private or public funding source will ask from you. Thinking through the various components will also enable you to develop a logical way to approach your plans and programs. And hopefully this planning will make your programs more effective.

The proposal format looks like this:

Proposal Summary
I Introduction
II Problem Statement or Assessment of Need
III Program Objectives
IV Methods
V Evaluation
VI Future Funding
VII Budget

Proposal Summary

The summary is a very important part of a proposal -- not just something you jot down as an afterthought. There may be a box for a summary on the first page of a federal grant application form. In writing to a foundation, the summary may be presented as a cover letter, or the first paragraph of a letter-type proposal. The summary is probably the first thing that a funding source will read. It should be clear, concise and specific. It should describe who you are, the scope of your project, and the projected cost.

Some funding sources may screen proposals as a first step in grant-making. That is, they briefly examine each proposal to see if it is consistent with their priorities, if it is from an agency eligible to apply for their funds, etc. As a further step, the "screeners" may draw up a summary of their own and these proposal summaries may be all that is reviewed in the next step of the process. It is much better to spend the time to draw up a summary of your own that the funding source can use than to hope that the reviewer sees the importance of your program in his brief initial look at your proposal. So do a good job!

e Grantsmanship Center is a response to the critical need of nonprofit and public agencies for low-cost training in program planning and resource development. The Center conducts workshops, employs a research staff, maintains a library and publishes a magazine.

I Introduction

This is the section of a proposal where you tell who you are. Many proposals tell little or nothing about the applicant organization and speak only about the project or program to be conducted. More often than not proposals are funded on the basis of the reputation or "connections" of the applicant organization or its key personnel rather than on the basis of the program's content alone. The Introduction is the section in which you build your credibility as an organization which should be supported.

Credibility

What gives an organization credibility in the eyes of a funding source? Well, first of all, it depends on the funding source. A traditional, rather conservative funding source will be more responsive to persons of prominence on your Board of Directors, how long you have been in existence, how many other funding sources have been supporting you, and other similar characteristics of your organization. An "avant garde" funding source might be more interested in a Board of "community persons" rather than of prominent citizens and in organizations that are new rather than established, etc.

Potential funding sources should be selected because of their possible interest in your type of organization or your type of program. You can use the introduction to reinforce the connection you see between your interests and those of the funding source.

What are some of the things you can say about your organization in an introductory section?

- How you got started.
- How long you have been around.
- Anything unique about the way you got started, or the fact that you were the first thus-and-so organization in the country, etc.
- Some of your most significant accomplishments as an organization or, if you are a new organization, some of the significant accomplishments of your Board or staff in their previous roles.
- Your organizational goals — why you were started.
- What support you have received from other organizations and prominent individuals (accompanied by some letters of endorsement which can be in an appendix).

We strongly suggest that you start a "credibility file" which you can use as a basis for the introductory section of future proposals you write. In this file you can keep copies of newspaper articles about your organization, letters of support you receive from other agencies and from your clients. Include statements made by key figures in your field or in the political arena that endorse your kind of program even if they do not mention your agency.

For example, by including a presidential commission's statement that the type of program which you are proposing has the most potential of solving the problems with which you deal, you can borrow credibility from those who made the statement (if they have any).

Remember, the credibility you establish in your introduction may be more important than the rest of your proposal. Build it! But here, as in all of your proposal, be as brief and specific as you can. Avoid jargon and keep it simple.

II Problem Statement or Assessment of Need

In the introduction you have told who you are. From the introduction we should now know your areas of interest — the field in which you are working. Now you will zero in on the specific problem or problems that you want to solve through the program you are proposing.

Pitfalls

There are some common pitfalls which agencies face when they try to define problems.

Sometimes an organization will paint a broad picture of all the ills plaguing people in a part of the community. Proposal writers do not narrow down to a specific problem or problems that are solvable, and they leave the funding source feeling that it will take a hundred times the requested budget even to begin to deal with the problems identified. This is overkill. It often comes from the conviction of the applicant that it must draw a picture of a needy community in all its dimensions in order to convince the funding source that there are really problems there. All that this does is to leave the funding source asking: "How can this agency possibly hope to deal with all of those problems." Don't overkill.

Narrow down your definition of the problem you want to deal with to something you can hope to accomplish within a reasonable amount of time and with reasonable additional resources.

Document the Problem

Document the problem. How do you know that a problem really exists? Don't just assume that "everybody knows this is a problem. . . ." That may be true, but it doesn't give a funding source any assurance about your capabilities if you fail to demonstrate your knowledge of the problem. You should use some key statistics here. Don't fill your proposal with tables, charts and graphs. They will probably turn off the reader. If you must use extensive statistics, save them for an appendix, but pull out the key figures for your problem statement. And know what the statistics say.

We saw one proposal where an agency presented demographic (population statistics) pictures of two communities, one in which the program was to be conducted and another nearby community where there would not be a program. Every statistic (percentage unemployment, ethnic breakdown, number of youth, number of juvenile arrests, etc.) pointed to a vastly greater problem in Community B than Community A yet Community A was the proposed site of the new program. Any reviewer would seriously question the program based on those accompanying statistics.

To summarize, you need to do the following:

- Make a logical connection between your organization's background and the problems and needs with which you propose to work.
- Support the existence of the problem by evidence. Statistics, as mentioned above, are but one type of support. You may also get advice from groups in your community concerned about the problem, from prospective clients, and from other organizations working in your community and professionals in the field.
- Define clearly the problems with which you intend to work. Make sure that what you want to do is workable – that it can be done within a reasonable time, by you, and with a reasonable amount of money.

III Program Objectives

One of your concerns throughout your proposal should be to develop a logical flow from one section to another. Whereas you can use your introduction to set the context for your problem statement, you can likewise use the problem statement to prepare the funding source for your objectives.

An objective is a specific, measurable outcome of your program.

Clearly if you have defined a problem, then your objectives should offer some relief of the problem. If the problem which you identify is a high incidence of drug abuse by youth in your community (substantiated, of course), then an objective of your program should be the reduction of the incidence of drug abuse among youth in your community. If the problem is unemployment, then an objective is the reduction of unemployment.

Distinguish between Methods and Objectives

One common problem in many proposals is a failure to distinguish between means and ends – a failure to distinguish between methods and objectives.

For example, many proposals read like this:

> The purpose of this proposal is to establish a peer-group tutoring program for potential drop-outs in the ____ area of Los Angeles, or
>
> "The objective of this program is to provide counseling and guidance services for delinquent youth in ____."

What's wrong with these objectives? They don't speak about outcome! If I support your project for a year, or for two years, and come back at that time and say, "I want to see what you have done—what you have accomplished," what can you tell me? The fact that you have established a service, or conducted some activities, doesn't tell me whether you have helped to solve the problem which you defined. I want to know what you have accomplished. I want to know the outcome of your activities. I want to know whether you have, through your tutoring program, reduced the number of drop-outs with whom you have worked, or whether the delinquent youth with whom you worked got into less trouble over the past year. Knowing that you worked at it is not enough!

Some organizations, trying to be as specific as they can, pick a number out of the air as their measurable objective. For example, an agency might say that their objective is to "decrease unemployment among adults in the XYZ community by 10 percent." The question I ask is where did they get that figure? Usually it is made up because it sounds good. It sounds like a real achievement. But it should be made of something more substantial than that. Perhaps no program has ever achieved that high a percentage. Perhaps similar programs have resulted in a range of achievement of from 2 to 6 percent decrease in unemployment. In that case, 5 percent would be very good, and 6 percent would be as good as ever has been done. Ten percent is just plain unrealistic. And it leads me to expect that you don't really know the field very well.

If you are having difficulty in defining your objectives, try projecting your agency a year or two into the future. What differences would you hope to see between then and now? What changes would have occurred? These changed dimensions may be the objectives of your program.

In addition, I want to examine your objectives in a little more detail. Maybe some programs create jobs for people that are very temporary in nature, and they reduce the unemployment problem in the short term, but after a year or two the problem will be back with us, as bad, or worse, than ever. This gets into the question of evaluation, which clearly relates to the setting of measurable objectives, for a good set of well-drawn and realistic objectives becomes a set of criteria for the evaluation of the program and thus serves another purpose.

IV Methods

By now you have told me who you are, the problem(s) you want to work with, and your objectives (which promise a solution to or reduction of the problems), and now you are going to tell me how you will bring about these results. You will describe the methods you will use — the activities you will conduct to accomplish your objectives.

Research

The informed reviewer wants to know why you have selected these methods. Why do you think they will work? This requires you to know a good deal about other programs of a similar nature. Who is working on the problem in your community and elsewhere? What methods have been tried in the past and are being tried now and with what results? In other words, can you substantiate your choice of methods?

One agency recently brought a proposal into class that dealt with the provision of counseling services to delinquent youth by professional social workers with MSW degrees. Each of these two professional staff members was to receive a salary in excess of $15,000 per year. The agency was concerned about the limited number of MSW's they could hire within their budget limitations.

A number of questions were raised about this program. One key question was this — why did you decide that professional social workers with MSW degrees and $15,000 salaries were necessary to the success of your program? Do you have any evidence that similar programs have been effective elsewhere? What other models exist that you could work with? Is it possible that para-professionals (non-degreed workers, even ex-offenders themselves) could do the job as well as or perhaps better than the trained professionals you want to hire? Do you know of programs using para-professionals in this capacity and have you assessed the results of such programs? How can you complain of lack of sufficient money to employ more than these two highly-trained staff when you don't know if there is a less expensive, and perhaps more successful, model to follow.

The consideration of alternatives is an important aspect of describing your methodology. Showing that you are familiar enough about your field to be aware of different models for solving the problems, and showing your reasons for selecting the model that you have, gives a funding source a feeling of security that you know what you are doing, and adds greatly to your credibility.

One planning technique which you might want to use is this. Take a sheet of paper and divide it into columns. The first column is the "problem" column, the second is headed "objectives," the third "methods" and the fourth "evaluation." If you list all your objectives separately in the second column, you can then identify the problem that it relates to, the specific methods in your program that deal with the objective, and the criteria of success in reaching the objective as well as the method of evaluation.

This helps you to see whether you are truly dealing with all of the problems you talked about, whether your objectives relate to the problem(s), whether you have a method of reaching each objective, and whether you have set up an evaluation mechanism to deal with your entire program. This leads us into the next proposal component — evaluation.

V Evaluation

Evaluation of your program can serve two purposes for your organization. Your program can be evaluated in order to determine how effective it is in reaching the objectives you have established — in solving the problems you are dealing with. This concept of evaluation is geared towards the results of your program.

Evaluation can also be used as a tool to provide information necessary to make appropriate changes and adjustments in your program as it proceeds.

As we have stated, measurable objectives set the stage for an effective evaluation. If you have difficulty in determining what criteria to use in evaluating your program, better take another look at your objectives. They probably aren't very specific.

Subjective and Objective Evaluations

Also, be sure you understand the difference between subjective and objective evaluations.

Subjective evaluations of programs are rarely evaluations at all. They may tell you about how people feel about a program, but seldom deal with the concrete results of a program. For example, we saw an example of an evaluation of an educational program that surveyed opinions about program success held by students, parents, teachers and administrators of the program. This is a pretty "soft" evaluation, and doesn't really give much evidence to support the tangible results of such a program.

In addition, this particular evaluation solicited comments from students when they completed the program, failing to deal with over 50 percent of the students who started but did not complete the program. Clearly, those students who finished the program are going to react differently, as a group, from those who didn't complete the program. And we might, as an agency, learn a great deal from those who didn't finish. From the nature of this evaluation, one might suppose that the educational institution involved was committed to producing what they thought would look like a good evaluation, but it wouldn't pass muster with a critical reviewer.

Subjectivity — introducing our own biases into an evaluation — will often come in when we evaluate our own programs. Particularly if we feel that continued funding depends on producing what looks like a good evaluation.

One way of obtaining a more objective evaluation, and sometimes a more professionally prepared evaluation, is to look to an outside organization to conduct an evaluation for you. You might go to other non-profit agencies, colleges and universities in your community which will work with you in developing an evaluation for your program. Sometimes it is possible to get an outside organization to develop an evaluation design and proposal for evaluation that can be submitted to a funding source, complete with its own budget, along with your proposal. This not only can guarantee a more objective evaluation, but can also add to the credibility of your total application, since you have borrowed the credibility of the evaluating institution.

It is essential to build your evaluation into your proposal and to be prepared to implement your evaluation at the same time that you start your program, or before. If you want to determine change along some dimension, then you have got to show where your clients have come from. It is very difficult to start an evaluation at or near the conclusion of a program, for you usually don't know the characteristics of the people you are working with as they existed prior to being in your program.

An Excellent Program Evaluation

I'd like to give you an example of what I think was a very fine program evaluation. It took a lot of time and resources to conduct, and it may look like a pretty big project in and of itself. That is true. The agency that conducted this evaluation had the resources to do it. But evaluations of this nature may have enough value in and of themselves to be able to be funded quite separately and distinctly from the programs to which they are attached.

Some years ago the Los Angeles County Probation Department operated what was called the Group Guidance Program. Group Guidance was a program that employed "streetwise" Probation Officers as gang workers, with the goal of orienting gangs away from criminal behavior and into more productive activities. Some agencies questioned the effectiveness of the program and an evaluation design was created. (This is not a particularly good practice in setting up evaluations, in that evaluations set up to justify the continued existence of a program, and conducted by the agency itself, tend to be biased in favor of the agency.)

What is interesting is the evaluation design itself. It was an attempt to gather information about the presumed reduction in delinquent behavior among gang members involved in the project, and to put this data into an economic context which would justify the cost of the program. This is the basic evaluation design.

Gangs were identified which had reputations of being violent, moderate and quiet. It was proposed that the violent gangs got into far more trouble than the other two, and that this would be reflected in their court records — they would be arrested more often, would be in jail and juvenile hall more often and for longer periods of time, would spend more time at correctional facilities, etc. The Probation Department, with access to court records, examined the records of all members of these varied gangs. They identified all contacts that a youth could have with one institution or another and then went to each institution, conferred with their business department, and came away with a cost figure, in dollars and cents, that could be attached to a particular entry on a court record. In other words, it cost X dollars for a youth to spend the night in Juvenile Hall and Y dollars for 24 hours in a Probation Camp. Each gang member's record had a dollar value attached to it.

The result of this was the finding that the three kinds of gangs in question did cost the community a varying amount of money, with much higher costs being attributed to the violent gang.

The agency had done a number of things in designing this evaluation. It had established a measurable "index of delinquency" and it had created a "dollar and cents" measure which could demonstrate to the funding source, the Board of Supervisors of the County of Los Angeles, a possible saving which could be realized were the records to show that the decrease in cost for the gangs worked with in the program was greater than the cost of conducting the program itself. Pretty ingenious!

The project proceeded with the involvement of the Group Guidance worker with the most violent gang, the provision of some form of peripheral services to the moderate gang by another agency and no "treatment" at all for the quiet gang.

The evaluation was a log of further contacts by gang members with social agencies, a determination of their cost, and an examination of whether the cost of the gang worker was paid for by the reduction in recorded offenses on the part of gang members with whom he worked.

VI Future Funding

This is the last section of your proposal, but by no means the least important. Increasingly, funding sources want to know how you will continue your program when their grant runs out. This is irrelevant for one-time only grant applications such as requests for vehicles, equipment, etc. But if you are requesting program money, if you are adding to your projects through this proposal, then how will you keep it going next year?

A promise to continue looking for alternate sources of support is not sufficient. You must present a plan that will assure the funding source, to the greatest extent possible, that you will be able to maintain this new program after their grant has been completed. They don't want to adopt you — they don't want you continually on their back for additional funds. Moreover, if you are having problems keeping your current operations supported, you will probably have much more difficulty in maintaining a level of operation which includes additional programs. The funding source may be doing you no favor by supporting a new project and putting you in the position of having to raise even more money next year than you do now.

What is a good method to guarantee continued support for a project? One good way is to get a local institution or governmental agency to agree to continue to support your program, should it demonstrate the desired results. But get such a commitment in writing. A plan to generate funds through the project itself — such as fees for services that will build up over a year or two, subscriptions to publications, etc.—is an excellent plan. The best plan for future funding is the plan that does not require outside grant support.

Evaluation/ Impact

VII
Budget

As with proposals themselves, funding source requirements for budgets differ, with foundations requiring less extensive budgets than federal agencies. The following budget design will satisfy most funding sources that allow you to design your own budget and, with minor changes that the sources will tell you about, can be adapted to fit most federal agency requirements. Our recommended budget contains two components — the first is Personnel and the second is Non-Personnel. You can expect that in most social service and related programs, approximately 80 percent of the budget will fall into the three components of the Personnel section.

I. PERSONNEL

A. Wages & Salaries

In this section you list all full and part-time staff in the proposed program. We suggest the following layout:

(No of persons in each position)	(Title)	(Monthly salary)	(% time on project)	(No of mos. employed in grant period)	Total Requested	Total Donated

How does this look on a completed budget? Well, if you are employing an Executive Director at a salary of $1.000 a month, working full-time (100 percent) for the entire grant period (12 months) and you are asking the funding source to provide his salary, then it looks like this:

	Requested	Donated
(1) Executive Director at $1.000 per mo. (100% time) x 12 mos.	$12,000	

You can list all of your staff this same way. If any of your staff are being paid out of another source of funds (for example, a staff person assigned to your project by a County agency) then you total up their salary and put it in the "donated" column. This column might also be called "non-federal" share in the case of federal programs, or also "matching" or "in-kind" contribution. Like this.

	Requested	Donated
(2) Counselors at $700 per mo. (50% time) x 6 mos.		$4 200

This means that you will have two half-time counselors on your staff for six months and their salaries are being paid by somebody other than the funding source you are applying to. You still put their full-time salary in the budget ($700 per month), take half of it (they are only working 50 percent time), multiply the $350 by the six months they will be working on this project (giving you $2,100), and multiply by 2 (the number of people employed in this capacity). This gives you a total of $4,200 of donated counselor services in this project.

What does the $1,000 per month figure for the salary of the Executive Director represent?

It may represent his or her actual salary for each month of the year. However, particularly in a new program, it may not. Our suggestion is that all organizations develop a five-step salary schedule for each job in the organization. The salary range for an Executive Director in the above agency may look like this:

Step A	Step B	Step C	Step D	Step E
$900/mo.	$950/mo.	$1,000/mo.	$1,050/mo.	$1,100/mo.

If you have developed this kind of salary schedule for each position, then you can place in the monthly salary column of your budget the middle step of the salary range for each position, place an asterisk next to each quoted salary, and a note at the bottom of the salary section telling the reader that all salaries are listed at the middle step of the salary range for that position. Then you can attach your salary schedule to the budget. This method allows for a good deal of flexibility in fixing salaries for individuals that are hired.

For example you may have somebody in mind for the Executive Director's job who is presently earning $825 per month, and who would be delighted to come to work for you at the first step of the salary range for Executive Director ($900 per month). On the other hand, there may be an outstanding candidate for the job who is presently earning $1,000 per month, and who wouldn't come to work for you for less than $1,050 per month. Using salary range in this manner allows you to employ either person, at the appropriate salary, with the assumption being that all persons' salaries will average out towards the middle of the salary range.

How do you determine what the salary range for an Executive Director for your agency ought to be?

The federal government requires that all of your salaries are comparable to the prevailing practices in similar agencies in your community. To justify the salaries you build into your budget you must obtain information from other local agencies regarding the salaries of persons with job descriptions, qualifications and responsibilities similar to those of the jobs in your agency. You might go to the local city and/or county government, the school district, the United Way or United Fund, etc. By comparing the jobs in your agency with the jobs at other local agencies, you plan a salary for each position, and you keep the "comparability data" on hand, should you be asked by the funding source to justify your staff salaries.

B. Fringe Benefits

In this section you list all the fringe benefits your employees will be receiving, and the dollar cost of these benefits. Some fringe benefits are mandatory — but these vary from state to state, so you will have to determine what they are for your agency in your state. Mandatory fringe benefits may include State Disability Insurance, Unemployment Compensation, Retirement Contributions, etc. Most nonprofit agencies may vote, when they are started, not to participate in Social Security. These fringe benefits are all based on a percentage of salaries. For example, FICA, which is going up, has been based on 5.85 percent of the first $10,000 of each person's salary. Therefore, an entry for FICA on your budget might look like this:

	Requested	Donated
FICA at 5.85% x $87,000	$5,090	

$87,000 is the total of all your salaries, up to $10,800 for any one person.

Some fringe benefits may be paid not on a percentage of salary, but with an absolute dollar amount for each employee. For example:

	Requested	Donated
Health Insurance : $10 per mo. x 8 employees x 12 mos.	$960	

How do you determine what fringe benefits to provide to employees in your agency?

If you already operate a variety of programs your answer is simple. Employees in a new project receive the same fringe benefits as those you already employ in some other activity. The federal government requires this parity, and it is a good practice. If you are starting a new agency, or haven't formulated a fringe benefit policy yet, then you go to the same kinds of figures as you did when establishing your salary schedule – you provide in fringe benefits what is comparable to the prevailing practice in similar agencies in your community.

C. Consultants & Contract Services

This is the third and final part of the Personnel section of your budget. In this section you include paid and unpaid consultants, volunteers and services for which you contract. For example, your project may not be large enough to warrant hiring a full-time bookkeeper, and you may want to use a bookkeeping service to keep up your books. An entry in your budget will look like this:

	Requested	Donated
Bookkeeping Service at $75 per mo. x 12 mos.		

You should be running your two totals columns – requested and donated – through your entire proposal, so you have a choice of where you put the total for this service. If you are going to pay for it, it goes in the "requested" column:

	Requested	Donated
Bookkeeping Service at 75 per mo. x 12 mos.	$900	

If the services are being provided free by a friend of the project then it goes in the "donated" column:

	Requested	Donated
Bookkeeping Service at $75 per mo. x 12 mos.		$900

It is important to develop as much donated services and equipment as possible. No funding source likes to feel it is being asked to carry the entire burden of a project. If the project really means something to you and to your community, then you should have been able to develop a substantial "matching" contribution in your budget. Other kinds of contract services that might be included would be for auditing, public relations, etc.

In this section you can include all of your volunteer assistance. How do you value a volunteer's time for budgetary purposes? Well, federal agencies maintain lists of various types of jobs, and assign a value to each hour of volunteer time for each position. For example, the time of a professional Social Worker may be valued at $7.50 per hour, and would look like this in your budget:

	Requested	Donated
(1) Volunteer Social Worker at $7.50 per hr. x 4 hrs. per wk. x 40 wks.		$1,200

The figure which you get from a federal agency volunteer valuation list may be less than the actual current hourly salary of the volunteer. In that case, you may use the actual hourly salary, but be prepared to substantiate that figure. Or, the volunteer may have worked as a paid consultant for $10 per hour. You can use that figure if you can document it.

With all of your volunteers you are required to deliver the promised volunteer services, just as if the funding source was actually paying their salary, and you will be asked to document the work performed by volunteers and keep records of their volunteer time which may be audited in the case of a federal grant.

II. NON-PERSONNEL

A. Space Costs

In this section you list all of the facilities you will be using, both those on which you pay rent and those which are being donated for your use. Rent you pay, or the valuation of donated facilities, must be comparable to prevailing rents in the geographic area in which you are located. In addition to the actual rent, you should also include the cost of utilities, maintenance services and renovations, if they are absolutely essential to your program.

B. Rental, Lease or Purchase of Equipment

Here you list all of the equipment, donated or to be purchased, that will be used in the proposed program. This includes office equipment, typewriters, Xerox machines, etc. Let discretion be your guide in this section. Try to obtain as much donated equipment as you can. It not only lowers the cost of the program, but it shows the funding source that other people are involved in trying to make the program happen.

C. Consumable Supplies

This means supplies such as paper clips, paper, pens, pencils, etc. A reasonable figure to use is $75 per year for each of your staff. If you have any unusual needs for supplies – perhaps you are making a workroom available for community persons – then put in a separate figure for that. For example:

	Requested	Donated
18 staff x $75 per year	$600	
Supplies for community work-room x $30 per mo. x 12 mos.	$360	

D. Travel

Divide the section up into local and out-of-town travel. Don't put in any big lump sums which will require interpretation or raise a question at the funding source. Remember, on local mileage all of your staff won't be driving on the job, and not all who do will drive the same amount. For example:

	Requested	Donated
Out-of-town travel		
(1) Community Organizer to NACD training program in Detroit, July 5-8, $242 round-trip airfare plus 4 days per diem at $25 per day	$342	

	Requested	Donated
Local travel		
Exec. Director at 100 mi. per x 12 mos. x 10¢ per mi.	$120	
(2) Community Organizers at 500 mi. per mo. x 12 mos. x 10¢ per mi.	$1,200	

Out-of-town travel is a very vulnerable section of your budget. Plan and justify as completely as you can.

E. Telephones

Remember installation costs! Put in the number of instruments you will need times the expected monthly cost per instrument. Justify any extensive out-of-town calling that you will have to do.

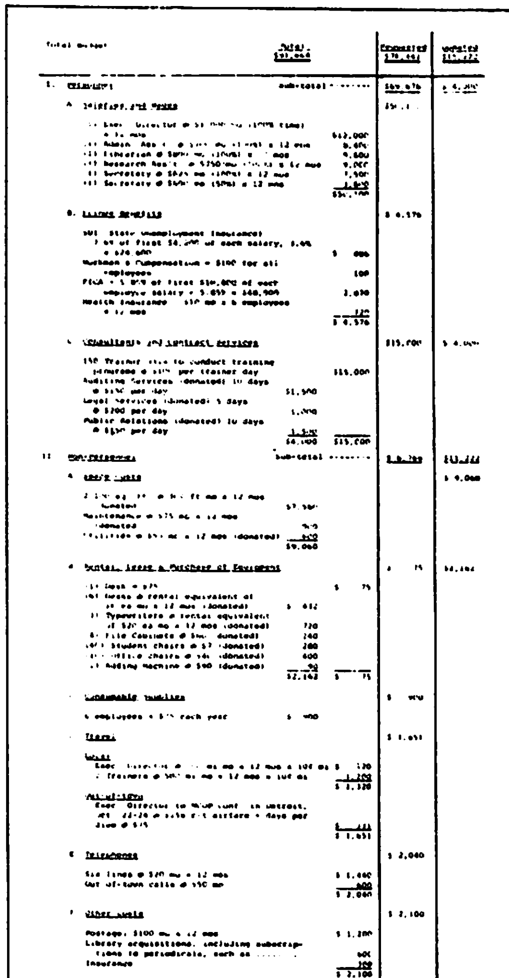
F. Other Costs

This catch-all category can include the following:

1. Postage
2. Fire, theft and liability insurance
3. Dues in professional associations paid by the agency
4. Subscriptions
5. Publications, the cost of which may be broken up into:
   a. printing
   b. typesetting
   c. addressing, if done by a service
   d. mailing (separate and distinct from office postage above)
6. Any other items that don't logically fit elsewhere

A NOTE about Indirect Costs

Some programs, particularly those conducted within a large institution, such as a college or university, also include an indirect cost figure. Indirect costs are paid to the host institution in return for its rendering certain services to the project. The host may manage the bookkeeping and payroll, assume some responsibility for overseeing the project, take care of maintenance and utility costs, etc. The first time an institution conducts a federally funded program it projects what these indirect costs will be. Subsequently there is an audit by the federal government, and an indirect cost figure is fixed which will hold for the institution for all subsequent federal grants until the time of the next audit.



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Sample Proposal

WOMEN'S OPPORTUNITY GIVING FUND PROPOSAL FORM

1. Project Title Women and Children's Educational Project- Conacaste

2. Project Address ICA 13 Calle 15-68, Zona 1 Guatemala Phone 29792 -

3. Synod/overseas church or council of churches to which project is related (See Criterion #10).

4. Brief description of needs to be met, basic project objectives, and evaluation process. (Please limit description to this space.)

atemalan village women have traditionally borne the daily weight of hard ork in the homes and fields, raise the children, treated as second class tizens to the man ("machismo") and are generally illiterate and lacking in leable skills. Village children do not attend school until seven years of ge with no pre-school training in the most formative years. Most villages ave only one primary school and one teacher for three grades. There are no ooks. Conacaste is rare because it has a pre-school and two trained teachers.

e objectives of this project are: 1) to train 10 preschool teachers from nacaste; 2) to expand the preschool from the present 50 children to 200 om two to five years of age; 3) to train 50 village women in employeable ills of sewing, tailoring, cooking, nutrition, accounting, literacy and mily gardens; 4) to create a curriculum using the latest work in the ven intelligences, left-right brain research and pyscho-physical involvent.

ese objectives will be met by a one week training in new methods for prehool teachers and two months of week-end training; taking a census of all e-school aged children and deciding with the parents about the administraon and rules of the preschool program; renting available village houses r pre-school expansion and office space and buying all necessary equipment d supplies; organizing 50 women into skills groups and hiring appropriate ills trainers; employing two ICA staff to coordinate the project and sign the curriculums; and to hire a part-time accountant to oversee the okkeeping for the project.

the end of every three months, a full scale evaluation of the project ll be held with the teachers, trainers and ICA staff to evaluate the proess of the project. These evaluations will be written up to be pulled gether at the end of the year for a document of learnings. This will most useful in replicating this project in other marginal villages Central America.

5. Date project will begin April 1, 1987 end March 31, 1988

6. Funding questions:

A. Enclose a copy of the project budget.

B. Total cost of the project is $32,768.00 Amount requested from WOGF $10,0

-OVER-

6. [illegible] below other sources of funding for this project. If amounts requested are still pending action by funding body, please indicate when you expect to receive final word from each group.

Funding Body:	Amount requested	Amount assured to date	Date of final word
Canadian Embassy	$5,000.00	All proposals to	be submitted
Rotary Club	[illegible]		
UNICEF	[illegible]		
ASINDES (USAID)	[illegible]5,000.00		

7. State why you think the Presbyterian Church (U.S.A.), through Women's Opportunity Giving, should fund this project.

Mr. Eric Porrin, the UNDP representative in Guatemala, told us that because many Guatemalan women have little or no employable skills they are unable to obtain jobs. The young women, in their economic despair, leave thousands of abandoned children to roam the streets causing a major social problem in Guatemala. This project will train village women in needed employable skills within the village to offset the necessity to migrate to the city and will teach the younger women how to train and care for children and their important future in Guat.

7a. How do you plan to provide for future funding and support? Check the appropriate items: Community organizations x individual contributions ____ foundation grants x self-sustaining x incorporate into regular budget ____ Presbyterian Church x other denominations ____ Other (Explain) ____

8. To what extent have women in the synod been involved in planning for or participation in the work of this project:

Name Srta. Griselda Vazquez c/o ICA Date ____
(type or print)

Address 13 Calle 15-68, Zona 1, Guatemala, Guatemala Phone 29792

Relationship to Project Director of Concaste Preschool

Signature ____

Please send 10 copies of this form to: Charlotte Hostetter
Interim Associate for Mission Participation
Presbyterian Church (U.S.A.)
475 Riverside Drive, Room 1151
New York, New York 10115

Send one additional copy to Synod.

3rd Session - Saturday Afternoon (Approx 3 hours)

1. Using paper read from Methods Section(around table) and some discussion and commentary. For example, by Methods we also men "steps" or strategy, or activities, or procedures, or Process, or the Means. This paragraph needs to point out why the method chosen is better than perhaps some alternative methods(if there are such and there usually are). Procedurely, one way of writing this section is to brainstorm all the things to be done and then order them in sequemnce.
Methods section usually also includes a time line and what staff needed. At this point continued reading from Sample Proposal (Guatamala).
2. Teams began writing again on Methods for each particular proposal (30 Minutes)
3. After coming together a general reflection on Process such as was this section harder than others or less difficult? Why? Suggested also that this section often prompts revision of other sections and perhaps the best way of writing a proposal apart from a teaching situation like this is to make seven columns and brainstorm under each heading and then begin to see relationships before writing.
4. Sharing of writings on Methods and reflection as well as helpful critique.
5. 15 Minute Break.
6. Came back after break and referred to paper again but little direct reading. A rather general quick walk thru noting key points.
Commentary was: Under Evaluation process generally only objective data is acceptable to a donor. Subjective data not much value because based on feeling or emotion. In evaluation may also need to evaluate the process.The goals might have been all right but how to get there faulty. May also be necessary to state who is doing the evaluation and in what

In Other and Future Funding note was made that most donors will not fund an entire project but want to if other funding is secure enough to insure the project really happening.
Walked though a sample budget and its major sections as well as necessary statement of income. Noted that Budget relates closely to

Methods section. Just as evaluation helps clarify the objectives so Methods take on reality when we try to put a cost figure on the activity.
7. Went back into teams to write at least one or two sentences on sections on Evaluation Process and Other Funding and spend most of our time on building a budget(again about 30 minutes but took more like 45)
8. Upon regrouping brief reflection on our experience in these sections especially the budget and whether hard or easy etc and why.
9. Each team put up their budget figure with little comment or evaluation as it was time to end afternoon session.
10. Reminded that tonights session would deal with Introduction where we try to describe why the proposing organization is worthy of funding.

Sample Budget

**LOCAL CAPACITY BUILDING
THROUGH STRATEGIC PLANNING
AND LEADERSHIP TRAINING**

A Program of the Institute of Cultural Affairs

BUDGET: 1987

EXPENSES	
PERSONNEL SERVICES	
Salaries	$ 69,075
Fringe Benefits	5,200
Sub-Total	$ 74,275
OPERATIONS	
Postage	$ 2,055
Auditing	685
Legal	685
Publications	3,424
Space Costs	10,273
Equipment Rental	3,025
Equipment Repair/Main	342
Property Repair/Main	913
Subscriptions/Dues	1,141
Training Meeting Costs	3,424
Insurance	913
Utilities	4,109
Telephone	6,164
Automobile Allowance	8,218
Local Transportation	5,593
Materials & Supplies	4,337
Stationery/Office Supplies	3,424
Sub-Total	$ 58,725
	========
GRAND TOTAL	$133,000
INCOME	
City of Chicago:DED	$ 50,000
Program Revenue	33,000
Contributions	50,000
TOTAL	$133,000

Fourth Session - Saturday evening (2 Hours)

1.Context: This session is about writing the Introduction. There are various approaches. Some write the Introduction first-even the Summary sheet first and then one sentence for each of the other sections. Others find writing the various sections first helpful -as we did in this workshop and then write the Introduction and then finally the Summary.

The Introduction introduces the organization applying for the grant - not the proposal itself. The introduction to the proposal is in the Proposal Summary.

In introducing the organization that is applying for the grant what is said depends on who is receiving the application. As an ICA we are many things and we do many things. Not all things, even our successful projects, are helpful or germaine to the current proposal or of interest to the possible donor. Some things are not relevant.

Introduction section of paper then read (aloud) by workshop leader. After reading paper further discussion as to other things would be helpful in the Introduction like eg. appeal (discreetly) to self-interest of donor. Then a Summary list of what is needed put on board:

- Introduce who is doing proposal
- History
- Programmes and goals of the organization making request.
- Programmes and activities of requesting agency.
- Cite pertinent accomplishments
- Endorsements - perhaps one line quote and fuller statement or letters in appendix.
- qualifications

IMPORTANT: INTRODUCTION IS NOT MERELY A "CUT AND PASTE" JOB FROM ANNUAL REPORTS OF THE ORGANIZATION. IT IS A TAILORED STATEMENT THAT WILL CREATE REAL INTEREST OF THE DONOR AND CONSISTENT WITH THE PROPOSAL.

2. Each team spent 20 minutes in writing an Introduction for their proposal.

3. After writing, each team read the first draft of their Introduction followed by general comments and helful critique.

4. Gave out check list to evaluate the proposal.

5. Each team/individual evaluated own proposal according to checklist.

7. Some discussion about best way to proceed tomorrow. Bottom line is to write the Proposal Summary. If time available might re-write whole proposal. Also, would like the Proposal Summary typed and distributed by closing time tomorrow. Time expected to be available - 3 1/2 hours.

For Session 4

Checklist adopted with permission from the Grantsmanship Center.

Summary: Clearly and concisely summarize the request.	Yes	No	0-5	Comments
1. Identifies the grant applicant				
2. Includes at least one sentence on credibility				
3. Includes at least one sentence on problem				
4. Includes at least one sentence on objectives				
5. Includes at least one sentence on methods				
6. Includes total cost, funds already obtained and amount requested in this proposal				
7. Is brief				

I. Introduction: Describe the applicant agency and its qualifications for funding (credibility). WEIGHTED AVERAGE 15%	Yes	No	0-5	Comments
1. Clearly establishes who is applying for funds				
2. Describes applicant agency purposes and goals				
3. Describes applicant's programs and activities				
4. Describes applicant's clients or constituents				
5. Provides evidence of the applicant's accomplishments				
6. Offers statistics in support of accomplishments				
7. Offers quotes/endorsements in support of accomplishments				
8. Supports qualifications in area of activity in which funds are sought (e.g., research, training)				
9. Leads logically to the problem statement				
10. Is as brief as possible				
11. Is free of jargon				

II. Problem Statement or Needs Assessment WEIGHTED AVERAGE 20%	Yes	No	0-5	Comments
1. Relates to purposes and goals of applicant agency				
2. Is of reasonable dimensions—not trying to solve all the problems of the world				
3. Is supported by statistical evidence				
4. Is supported by statements from authorities				
5. Is stated in terms of clients' needs and problems—not the applicant's				
6. Is developed with input from clients and beneficiaries				
7. Makes no unsupported assumptions				
8. Is free of jargon				
9. Is as brief as possible				

III. Program Objectives: Describe the outcomes of the grant in measurable terms. WEIGHTED AVERAGE 20%	Yes	No	0-5	Comments
1. At least one objective for each problem or need committed to in problem statement				
2. Objectives are outcomes				
3. Objectives are not methods				
4. Describes the population that will benefit				
5. States the time by which objectives will be accomplished				
6. Objectives are measurable, if at all possible				

IV. Methods: Describe the activities to be conducted to achieve the desired objectives. WEIGHTED AVERAGE 20%	Yes	No	0-5	Comments
1. Flows naturally from problems and objectives				
2. Clearly describes program activities				
3. States reasons for the selection of activities				
4. Describes sequence of activities				
5. Describes staffing of program				
6. Describes clients and client selection				
7. Presents a reasonable scope of activities that can be conducted within the time and resources of the program				

V. Evaluation: Present a plan for determining the degree to which objectives are met and methods are followed. WEIGHTED AVERAGE 5%	Yes	No	0-5	**Comments**
1. Presents a plan for evaluating accomplishment of objectives				
2. Presents a plan for evaluating and modifying methods over the course of the program				
3. Tells who will be doing the evaluation and how they were chosen				
4. Clearly states criteria of success				
5. Describes how data will be gathered				
6. Explains any test instruments or questionnaires to be used				
7. Describes the process of data analysis				
8. Describes any evaluation reports to be produced				

VI. Future Funding: Describe a plan for continuation beyond the grant and/or the availability of other resources necessary to implement the grant. WEIGHTED AVERAGE 5%	Yes	No	0-5	**Comments**
1. Presents a specific plan to obtain future funding if program is to be continued				
2. Describes how maintenance and future program costs will be obtained				
3. Describes how other funds will be obtained, if necessary to implement the grant				
4. Has minimal reliance on future grant support				
5. Is accompanied by letters of commitment, if necessary				

VII. Budget: Clearly delineate costs to be met by the California Community Foundation and those provided by other funding sources. WEIGHTED AVERAGE 15%	Yes	No	0-5	Comments
1. Tells the same story as the proposal narrative				
2. Is detailed in all aspects				
3. Project costs that will be incurred at the time of the program, if different from the time of proposal writing				
3. Contains no unexplained amounts for miscellaneous or contingency				
4. Includes all items asked of the foundation				
5. Includes all items paid for by other sources				
6. Includes all volunteers				
7. Details fringe benefits, separate from salaries				
8. Includes all consultants				
9. Separately details all non-personnel costs				
10. Is sufficient to perform the tasks described in the narrative				

VIII. Attachments: Are all there, are complete and are legible.	Yes	No	Comments
1. List of board members			
2. Financial statements			
3. Finances are audited by a Certified Public Accountant			
4. Complete agency budget for the current year			
5. Complete agency budget for the immediately preceding year			
6. A current annual report			

Reviewed by: ______________________________ Date: ______________

For Instructor Short Courses

This article is part of The Grantsmanship Center
Reprint Series on Program Planning & Proposal Writing

Program Planning & Proposal Writing

Expanded Version

By Norton J. Kiritz

In language, clarity is everything.
—Confucius

Program Planning & Proposal Writing (PP&PW) is designed to assist both grantmaking agencies and applicants for funding. Its proposal format has been adopted by many governmental agencies and private foundations. Applicants have used PP&PW where the funding source provides no specific guidelines for proposal content. They have also used it as a guide to an examination of their agencies' overall planning.

A proposal should reflect the thoughtful planning of an applicant seeking funds from a grantmaking agency with which to increase or improve its services to its constituency. Too often, though, this is not the case. Why? Perhaps because the funding source does not know what questions to ask of the agency. Perhaps because there is little time allowed or taken for the process. Or perhaps because the agency does not know how to plan for the most effective use of its resources.

As a proposal format, PP&PW will help you meet the requirements of most funding sources. As an organizational planning instrument, it will help you to identify deficiencies in your agency's planning. Organizations that provide sufficient time and support to the program planning and proposal writing process can derive many benefits beyond the funds awarded. These can include:

- improved record-keeping systems
- enhanced credibility
- clarity of goals
- the development of tangible objectives
- increased knowledge in the program area
- better program evaluations
- better financial management

Norton J. Kiritz is the president of The Grantsmanship Center.

The components of PP&PW are:

	Summary	clearly and concisely summarizes the request
I.	**Introduction**	describes the agency's qualifications or "credibility"
II.	**Problem Statement or Needs Assessment**	documents the needs to be met or problems to be solved by the proposed funding
III.	**Objectives**	establishes the benefits of the funding in measurable terms
IV.	**Methods**	describes the activities to be employed to achieve the desired results
V.	**Evaluation**	presents a plan for determining the degree to which objectives are met and methods are followed
VI.	**Future or Other Necessary Funding**	describes a plan for continuation beyond the grant period and/or the availability of other resources necessary to implement the grant
VII.	**Budget**	clearly delineates costs to be met by the funding source and those to be provided by the applicant or other parties

Who Should Write A Proposal?

There are not quite as many answers as there are applicants for funding, but far too many to list here. There are a few full-time "grantspersons" around, some "directors of development," some "planning directors," "federal aid specialists" and the like, but most proposals are developed by staff who wear another hat (or two or three). The relationship of proposal writing to planning argues strongly for the access of the proposal writer to organizational decision-makers. Proposal writing should not be done off in a corner, remote from management. Nor should it be removed from the perspective of the intended beneficiaries of the grant. Whether an individual or a team effort, the developers of a proposal should act as facilitators, bringing together the needs of beneficiaries, applicant organization and funding source in one coherent and logical plan. To perform this task well requires an organizational commitment that can be a first step to using grantsmanship for maximum benefit.

Proposals and Funding

The most obvious use of proposals is to secure outside funding. But it is necessary to understand the funding source with which you are dealing to determine the importance of the proposal in a given situation. Usually the less sophisticated the funding source, the less important is the proposal. Smaller, unstaffed foundations rarely fund on the basis of unsolicited proposals received in the mail; with them, personal contact and organizational credibility are essential. Even with more sophisticated foundations and corporations, most grants are also made to organizations with which there has been prior contact—some meeting, or referral. Even here, unsolicited proposals are bucking the odds.

Though funding sources of lesser sophistication may gamble on your credibility, the sophisticated, no matter how you get their attention, fund only after seeing a coherent plan. It is then that the quality of your proposal becomes an important consideration.

With many governmental funding sources, there is little opportunity for discussion or negotiation prior to submitting a proposal. Here a powerful proposal becomes even more critical to funding. To sum up: don't assume that an outstanding proposal is the key to funding. Its importance depends on the funding source. But, no matter to whom you're talking, it's always best to have a solid plan on which to base any discussion of funding.

Using This Format

PP&PW is not the answer to all of your problems. It is not a magic formula. It is just an orderly way of organizing your thinking in regard to a program or activity that you plan. Use the format to develop your plans. Then draw from the plan what is needed for any specific grant application.

For Foundations:

When applying to a foundation or corporation, you will almost always be asked for a brief letter telling who you are, describing your plan, and specifying the amount of funding you seek. Use this format to structure that letter. *The letter is a proposal.* Limit your self to about three pages of narrative (delete the component headings). Be sure that the letter addresses any *specific* questions asked by the foundation. This letter would usually be signed by the chief executive officer, executive director or president of your organization and would be accompanied by a "cover letter" signed by the chairperson of your organization's board of directors. In addition, the foundation will

usually request: a copy of your total annual budget for the past year or two; an audited financial statement; your IRS Letter of Determination (if you are a nonprofit agency); perhaps a few letters of support; and an annual (or comparable) report, if you have one.

For Government Funding Sources:

While few foundations or corporations have grant application forms, government agencies have them in ample supply. *Follow their instructions.* Although the PP&PW format is consistent with those of most government agencies, it should not be substituted for those instructions that such an agency provides. If you don't understand the instructions, ask for clarification. At the same time ask the agency if it uses a score sheet and, if it does, request a copy. Many government agencies use score sheets and attach points on a weighted basis to different components of a proposal. Having their score sheet in front of you can put a different perspective on the development of your proposal.

Some Basic Principles of Proposal Writing

1. The Proposal should be Neat, Clean and Easy to Read!

There should be no typographical errors in your final copy. Send an original, with copies only if the funding source requests them. Don't send more than one copy unless you're asked. Break up the copy; nobody wants to look at a proposal that starts at the top of one page and goes on interminably, unbroken by paragraphs or some other breathing space.

Don't use extravagant proposal packaging. Spiral bindings were made to be cut apart, and expensive covers suggest that you waste money. If you employ a very unusual format, perhaps to attract attention, you risk focusing too much attention on the form of your proposal, instead of its content. If you depart from the norm, you had better do it well. One applicant sent out 1,000 proposals, printed in question-and-answer format with questions in blue and answers in red, and received not a single response. Most recipients probably thought that the letter was intended for the Bicentennial Commission.

2. Write Your Proposal in English

Proposal writing is not an opportunity to demonstrate your mastery of bureaucratese. Even when your funding source employs jargon in its guidelines, use it only if you feel you must, and define your terms. Each of five panelists reviewing applications in "career education" may have his or her own understanding of what it is; tell them what *you* think it is.

To test the clarity of your writing, have friends or family read your proposal. Some of your best comments will come from people unfamiliar with your field, not operating on the same assumptions as you, and unfamiliar with your jargon. Merely passing a proposal around your agency has limitations. Staff may think they know what you mean, or may be less than critical because of your role (or theirs).

3. Make It Brief

What is the proper length for a proposal? Just long enough for you to clearly communicate your message, but not long enough to produce a stupor. A ten-page proposal can leave readers hungering for more; a two-page proposal can still put them to sleep.

4. Be Positive

Get yourself "up" for the proposal-writing experience. Remember that you are offering the funding source an opportunity to participate in an important, useful activity. Writing for grant support is not like writing home from college for money. You don't have to apologize. You're an applicant, not a supplicant! Don't beg! Remember that the funding source gets its credibility from funding winners, not losers. Few grant-making agencies want to provide you with your last grant on the road to oblivion.

Don't call attention to your mistakes. The funding source will learn about them soon enough, hopefully in discussion where you can give more information. Don't say something like:

> We are sure that you are aware of the sudden departure of our fiscal officer some three years ago, and the subsequent investigations of this agency by the General Accounting Office. We have made great strides since that time, have replaced several members of our board of directors, and have employed a former top GSA official to oversee our fiscal matters.

5. Avoid Unsupported Assumptions

The astute reader finds any number of unsupported assumptions in most grant applications. These fall into a variety of categories:

- The funding source is told nothing about the applicant agency because the grant seeker is sure that the funding source knows all about them.
- The national scope of a problem is described, but there is no documentation of its existence in the community served by the grant seeker.
- A causal relationship between events is presumed, but no evidence of cause and effect is presented.

The assumptions that find their way into proposals are limitless. Sometimes the applicant leads into an assumption by saying "we believe." Supporting "beliefs" with evidence and documentation is a check on logic, produces a more coherent proposal, and demonstrates your expertise to the funding source. Present enough evidence to support your position, and no more. Don't overkill! Pages of tables, charts and graphs will probably not be read, and too often fail to support the thesis of the proposal writer. Cite sources of data in the body of the proposal and avoid footnotes. Don't develop a doctoral dissertation.

The Cover Letter

Proposals to foundations and corporations are usually accompanied by a cover letter. This is a letter signed by the chairperson of the board of directors of a nonprofit agency, or individual in high authority in a governmental applicant agency. Its purpose is primarily to assure the funding source that the proposal is endorsed by the board, which is the only authority that can bind the applicant. The board of directors may have given this authority to the executive director of the agency, but it is still a good idea to have the cover letter come from the desk of the board chairperson, on the letterhead of the applicant agency.

The cover letter should *briefly describe* the content of the proposal; it should not be used in place of the proposal summary. This is because the cover letter may be detached from the proposal, which would then be reviewed unaccompanied by a summary. This can have unfortunate consequences.

The cover letter is also the place to commit to following up on the proposal, e.g.:

> "We would welcome the opportunity to meet with you and to provide further information on . . . " or "I and Ms. Blank of our staff will be in New York City during the early part of next month and would like to meet with you at your convenience."

A cover letter may seem like a simple proposition, but there are a few things to look out for:

- Don't boldly proclaim your sophisticated funding source research, such as "knowing of your interest in the problems of the elderly." This could be seen as a patronizing, intimidating or "show-off" approach. If the funding source is interested in a particular program area, the fact that your proposal has focused on that area speaks for itself.
- Don't tell the readers that they *should* fund your proposal, such as: "We know that you will find this proposal to be of the greatest significance," or "surely it is obvious to you that . . . ."
- Conversely, don't get on your knees, and sign off the cover letter "with a wing and a prayer" or "supplicatingly yours."
- Address your letter to a specific person at the funding source. Make sure you know who the right person is, get the spelling of his/her name right, make sure he/she is still alive, and never send the proposal "To whom it may concern" or "Gentlepersons."

A good cover letter can be as simple as this:

June 24, 1979

Mr. Covert Grantmaker
The Beneficent Foundation
141 Obscurity Avenue
Eleemosynary, New York 11111

Dear Mr. Grantmaker:

Following my visit with you last week, I am forwarding this formal request from the Aggressive Agency for a grant of $100,000 from The Beneficent Foundation toward the renovation of space in the Aggressive Agency for an art gallery.

The Trustees and Board of Advisors of the Aggressive Agency sincerely hope that your Foundation will act favorably upon the request for this much-needed addition to a national historic landmark.

Sincerely,

Sharleen Shareperson

Sharleen Shareperson
Chairperson,
Board of Trustees

The Proposal Summary

The summary appears at the beginning of the proposal, but don't prepare it until you have *completed* the proposal. In foundation proposals, the summary should be the first paragraph in the proposal—not in the cover letter. In government formats, there is often a space on the cover sheet where you are asked to place a summary or abstract. A clear, concise summary should include the following:

- identification of the applicant and a phrase or two about the applicant's credibility
- the reason for the grant request: issue, problem or need to be met
- the objectives to be achieved through this funding
- the kinds of activities to be conducted to accomplish these objectives
- the total cost of the project, funds already committed, and amount asked for in this proposal.

The Importance of The Summary

1. It may be required by the funding source, and we know we are supposed to *follow instructions*.

2. It may be all that is read when applications are screened at the funding source door. An initial decision on agreement with funding source priorities may be made through a perfunctory proposal review. A clear, concise summary is a great help to the reviewer who might otherwise have to plow through your proposal to find out what it is that you are after.

3. It will probably be the first thing read and, as such, is an opportunity to interest the reader in what is to follow. For this reason, it is as important to devote your writing skill to the summary as to any other component of your proposal.

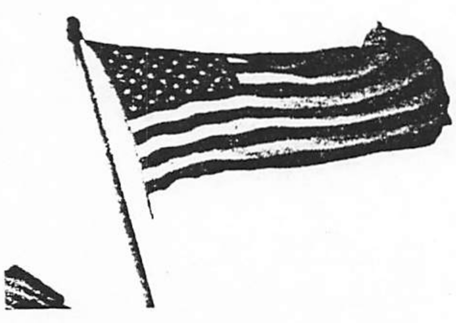
4. It should frame your proposal, putting what follows into a context. It is difficult to review a proposal when one is wondering what the point is. A good summary provides this context in a paragraph or two, making the review process a less laborious task.

5. It's good practice in expressing your ideas with clarity and brevity—a skill that is useful in all your proposal writing as well as in developing fund-raising letters, brochures and reports.

A Not-So-Good Example:

Summary:
The long-range goal of this proposed program is to help students develop into adults who think creatively and independently, learn by observation, work together in inquiring teams, develop judgement and decision-making abilities and, most importantly, adults who can conceive of more satisfactory alternatives to social problems than passive acceptance or militant violence. In short, this program's aim is to help students to grow into adults who actively practice and participate in democratic citizenship.

Not only does this summary leave out just about all of the basics, it is also an exericse in the use of rhetoric. I'm not sure I know what they're really going to do, but I think I want to salute it.



A Good Example:

Summary:
I The City Association for Retarded Children (CARC) currently operates 22 programs for 300 retarded children in This City, in addition to programs for 200 adolescents and adults. Over the past year these services have been extended to the Other City area, with the financial assistance of the State Department of Health. More than 75 NA additional severely retarded children from the This City area have been identified by Qualified Agency as needing the intensive rehabilitation training and therapy offered by CARC. Appropriate treatment can increase the level of functioning for many of PO these youngsters to the point that they can attend normal Department of Education classes and develop to their maximum potential. The alternative is abandonment to expensive care in custodial institutions. Both the State Departments of Health and of Education have recognized that rehabilitative services are most effective at an early age.

This proposal would expand the services of CARC to more fully meet the needs of retarded children in This City.

The total cost of this program is $110,000. Of this, $45,000 has already been committed by local corporations and foundations. This request is for the balance needed of $65,000.

This isn't a bad summary. All the elements are included.

Another Good Example:

Summary:

I Brown Memorial Hospital, located in the barrio section of Coast City, has planned a community health education and screening program to be brought directly to residents of the area as a means PO of reducing the rate of communicable and chronic diseases. Programs will be conducted at local parish halls, schools, Head Start centers, and other community facilities, in close cooperation with more than 25 local community organizations.

Two bi-lingual outreach workers with community involvement experience will work with individuals and organizations to promote participation by the Spanish-speaking residents of the area. These community-based workers will also resolve obstacles to attendance, such as the need for child care. They will conduct follow-up by contacting the participants to determine whether the information gained through the program is being applied to their daily lives.

B The program is budgeted at $141,435 for a 12-month period. Of this total, $63,380 is requested and $78,055 will be donated by the medical center.

This summary pretty much puts it all together.

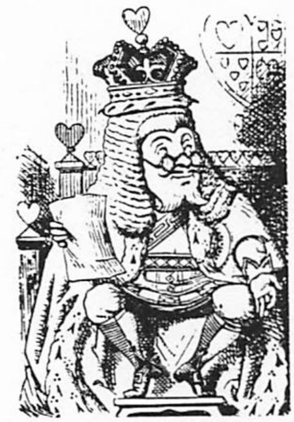
A final word of caution: don't say too much. If your summary approaches the size of a modest proposal, the reader may read no more. Limit your summary to several paragraphs, half a page at most.

Checklist for Proposal Summary

- ☐ Belongs at the beginning of the proposal
- ☐ Identifies the grant applicant
- ☐ Includes at least one sentence on credibility
- ☐ Includes at least one sentence on problem
- ☐ Includes at least one sentence on objectives
- ☐ Includes at least one sentence on methods
- ☐ Includes total cost, funds already obtained, amount requested in this proposal
- ☐ Should be brief
- ☐ Should be clear
- ☐ Should be interesting

"Where shall I begin?" he asked.
"Begin at the beginning," the King said,
"and stop when you get to the end."

Lewis Carroll, Alice in Wonderland



I. The Introduction

The proposal introduction is the section in which you describe your agency's qualifications as an applicant for funding. In a proposal for private funding, to a foundation or corporation, the introduction should be extensive—perhaps even half the length of your proposal. That is because your qualifications, or "credibility," may have more to do with your being funded than anything else. In a government proposal, you will seldom be asked for an "introduction." Instead, you may be asked for a "description of the applicant" or "background of the applicant." This is the same as our proposal introduction.

What's in a Name; or, Credibility and the Eye of the Beholder

The credibility of many organizations is carried, for better or worse, by the name of the organization alone. Almost everybody has an image of the Red Cross, the "Y," "The Boys' Club." Some may see the organization in a very positive light; others may not. To one reviewer, the organization is fiscally secure, well-managed and performing needed community services, while another reviewer's perception is of antiquated programs failing to meet contemporary community needs.

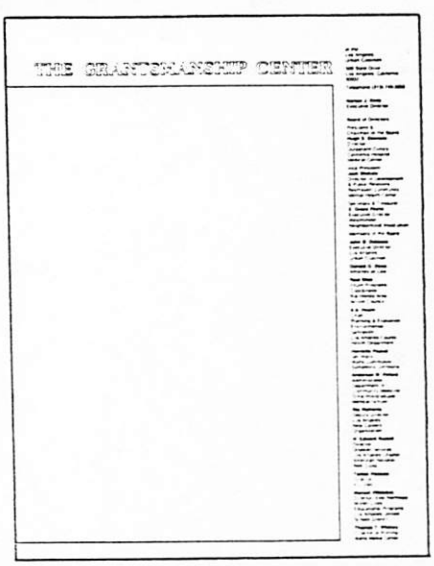
A first step towards developing credibility is understanding whether you already have an image (or images), determining what that image may be in the eyes of any specific funding source, and reinforcing a positive image or defusing a negative one in your proposal.

If the name of your organization isn't particularly well known, that may be an asset or a liability. The agency calling itself the "Blank Handicapped Club" wondered why it was frequently thought of as a drinking group. A change of name to the "Blank Handicapped Center" more accurately communicated the serious nature of the agency. Does "The Foundation for the Study of Man and His Relationship to the Universe" sound overly grandiose to you, or merely sexist? This is not an argument for conformity—only a caution that you understand the image that is projected by your organization or name and work with it.

Credibility on Your Letterhead?

Nonprofit organizations often feel that good paper and handsome letterheads and brochures are frills, diverting funds that should be used for service to people. Embossed stationery and spiral-bound four-color annual reports may fall in that category, but well prepared stationery and brochures do not.

Listing the members of your board of directors (with their organizational affiliations) on your letterhead may help to establish your credibility. The people who are associated with you tell something about who you are. For example, The Grantsmanship Center was virtually unknown when it was incorporated in June of 1972. Participants in the first training program volunteered to become the founding board of directors. Diverse agencies were represented, to provide input to the Center from the various kinds of organizations that might take part in the Grantsmanship Training Program. All board members along with their titles and agencies were listed on our letterhead.


THE GRANTSMANSHIP CENTER

While that letterhead was not used to solicit grant support, it did solicit participation in the Grantsmanship Training Program. Letters frequently resulted in inquiries about the training program being directed to board members, to their organizations and to affiliated organizations. Participants often stated that the identification of board members was a factor in their decision to enroll in the training program.

All of your board members may be relatively unknown, and their affiliations may not add substantially to your credibility. This is particularly true with community organizations committed to community or client control of policy. If that is the case with your agency, consider expanding your board to include representatives from other agencies, business, the law, accounting, etc. This would strengthen the potential impact of the board, develop more credibility required by grantors, and still allow for community control.

What to Put in Your Introduction

To stimulate your thinking, rather than present a rigid formula, here are some of the items that might be included within an introduction:

- when, how and why the organization was started
- a statement of purpose, goals, and philosophy
- significant events in your history
- prior and current activities
- accomplishments and impact
- size and characteristics of your constituency or clientele
- assistance asked of you and given to other organizations
- referring agencies (if you provide direct services)
- your funding sources and their positive comments on your work
- the results of internal or external evaluations of your programs
- quotes from letters of support from clients, other agencies, experts in the field, public figures
- invitations you've received to provide testimony on legislation
- important agency publications
- and more that you will think of

How to Gather this Information

One suggestion: take a sheet of paper and put at the top a definition of credibility and a statement of its importance in obtaining funding for your agency. Distribute a copy to each person on your staff (present and past), to board members, advisory committee members, clients close to the agency and funding sources with whom you have had a good relationship. Ask each person to fill in the most important (or interesting) accomplishments and events in the agency's history. From this raw material, build your initial credibility statement.

How to Keep Current

Another suggestion: call a staff meeting. Discuss the issue of credibility and attempt to identify the people in your agency who receive credibility-related information in the course of their work. For example, The Grantsmanship Center receives many orders for copies of reprints of articles. Notes are often jotted down by the buyer on an order form—notes that would be filed away with the orders were we not conscious of the need to collect credibility statements. An order for a single reprint said:

> "I'm from a small town in New Hampshire, working for the mayor. Last week City Hall burned to the ground and, what's worse, my only copy of PP&PW went with it. Please send another copy immediately—I can't manage without it."

During the same week, we received an order for 2,000 copies of PP&PW from the Women's Bureau, U.S. Department of Labor. By keeping a separate list of all orders of over 25 copies of a reprint, we can show the diversity, in size and area of interest, of our audience, and can produce a credibility statement that is enjoyable to read. Developing credibility depends in part on your agency's ability to keep good records.

The Concept of Balance

Balance is an important concept to the proposal writer. The quote from the New Hampshire grantsperson had some human interest, while statistics like the order for 2,000 copies show a large government agency's respect for the publication and adds credibility on a grander scale. Balance can mean balancing statistics and quotes in your proposal. Statistics alone are dry, and quotes alone may not suggest the broader scope of your activities. Balance can also mean showing the support of clients as well as of noted experts in the field. Being attuned to this concept can make your proposal better-documented and more enjoyable to read.

Making the Introduction Readable

The introduction begins your proposal. It's your chance to turn the reader on—or off. A typical turn-off begins with the inception of the organization and drones on through years of organizational history, laboriously bringing us up to the present time. Avoid that. Find a good opening line. Maybe a strong quote from a recent evaluation. Perhaps a powerful supportive statement from a client. Something to entice the reader.

Some other suggestions:

- Don't enmesh the reader in the intricacies of your organizational structure. He or she may never find a way out.
- Don't dwell interminably on your philosophy, lest you be seen as all thought and no action.
- Don't list every grant you've ever received; the funding source may think you're more interested in getting grants than in helping people.
- Don't forget to put in some data.
- Don't forget to put in some quotes.

Focus on Your Credibility for This Funding

As you develop any specific proposal introduction, make sure that you focus on your credibility in the area in which you seek support. If you are a multi-purpose drug abuse agency seeking funds to train the staff of other agencies, provide evidence of your capacity to train. If you wish to conduct research, give some reason for the reviewer to believe you are capable of conducting a research activity. If you are asking for support for a specific purpose rather than for operating support, keep that in mind as you develop your introduction, and build a case for your ability to accomplish your intended purpose.

If Another Organization is to be Involved

If some of the work you propose is to be conducted by an organization other than your own, provide evidence of the credibility of that organization. Obviously, you should be wary of linking up with anyone whose credibility falls far short of your own. In some cases, the credibility of a reputable subcontractor may enhance your own credibility. When you involve another organization in your plan, make sure that you attach a letter from the organization guaranteeing its role in the program.

Letters of Support and Endorsement

Supporting letters can enhance the credibility of your proposal. Limit the number you attach, and make sure they are truly supportive. The best letters reflect a knowledge of the work of the applicant, an appreciation of the program being endorsed, and a commitment to be of some assistance should the proposal be funded.

Support letters should not be an obvious response to a solicitation for a support letter, should be written to your agency director and not "to whom it may concern," and should be positive and supportive. Too often such letters beat around the bush so much that they raise questions about your credibility, rather than supporting it.

Powerful quotes should be drawn from such endorsements and introduced into the body of the proposal. Don't simply say, "This program has received wide support from community leaders, see attached." Put in a good quote and then say "see attached." Make sure you select those support letters that are most appropriate.

Here is an interesting letter we found attached to a proposal. You decide on its value.

State of Frustration
County of Concern

March 2, 1976
To Whom It May Concern
Re: Children's Project, District 9, Frustration

The Concern County Commissioners are approving this application for funding with concern and reservation. Too many of these projects turn out to be nothing more than a handful of liberals using the misfortunes of a few disadvantaged in our society to create a job for themselves with little resultant good to the deserving citizen. The salaries being proposed immediately remove the project from any charitable category.

However, since we are not that well acquainted with the people who have initiated this proposal, we do not want to prejudge them. Their stated qualifications do indicate that they are capable of carrying out a successful program.

As local elected officials, vitally interested in the expenditure of all public funds in our area, we will expect to be kept informed of the activities carried out under this project, and we will definitely be making our own assessment of its value.

Respectfully submitted,

Board of County Commissioners

Some Examples:

Here is an example of an introduction that is long on philosophy (and otherwise short):

> **Introduction:**
> South Hometown Love 'Em Up (SHLEP) is a nonprofit delinquency prevention and diversion program which addresses itself to the problem of pre-delinquent children between the ages of 7-14. The core component of our program is a one-to-one matched volunteer advocate who acts as a warm, supportive friend to the child over the nine-month to one-year period. In this relationship the child finds help in identifying, facing and dealing with personal problems and fulfilling a basic human need for positive feelings of self-worth. The child is also provided with supportive services and community advisory agencies as may be needed.
> SHLEP responds to youth as people rather than as problems, believing that, though troubled at the moment, they are healthy growing individuals who, if given a positive environment, will find their best interests coinciding with the best interests of society.

This introduction omits all of the essential ingredients and provides only a well-meaning agency perspective and an idea about what is done.

Here is an introduction long on rhetoric (and otherwise long):

> **Introduction:**
> In spite of a decade of educational innovations, little headway has been made in creating a significant alternative to the traditional system of public education—a system which we believe to be ineffective in an era of rapid social change, one that is groaning under the weight of heavy social burdens while lamenting its own inertia for making integrated efforts towards systematic self-renewal.

That sentence, the first of a seven-page introduction, is typical not only of the introduction, but of the entire proposal. Brevity is a virtue; extensive rhetoric does little more than support the paper industry. "We believes" are inappropriate. Provide sufficient evidence so that the *reader* will believe.

Here is a good example:

> **Introduction:**
> Symphony News, the bimonthly publication of the American Symphony Orchestra League, calls the Mellifluous Symphony "the fastest growing symphony in the country." Strong evidence of this is a 600 percent increase in season subscribers from 120 to 723 over the past 18 months. Over its 45 years of community service, the symphony has grown from a community orchestra to a regional symphony of high critical acclaim. Geoffrey Goodwill of the Los Angeles Times recently described Mellifluous as "a virtuoso orchestra."
> The commitment to excellence of the Symphony Association is evidenced by such featured artists as Andre Watts, Marilyn Horne, Seiji Ozawa, Eugene Ormandy and Van Cliburn.
> Fourteen consecutive "sold out" performances, spanning two seasons, is one example of the strong community support for the symphony, and the ability of the symphony to create programs of broad interest. Financial support has also grown, from both public and private donors, including the County Music Commission, Blank Oil Company, The Zap Corporation and the Goodthoughts Foundation. These financial commitments have enabled the symphony, the most active cultural organization in the region, to expand its performance series to include classical, pop and children's concerts, opera and ballet.

Here is another:

Introduction:

The Call-Med program, a public health library accessible by telephone, has disseminated over 100,000 health messages to a grateful public during its first 11 months of operation. The goal of Call-Med is to increase the capacity of the patient to care for himself, and to enhance effective and appropriate use of physicians and other health care professionals.

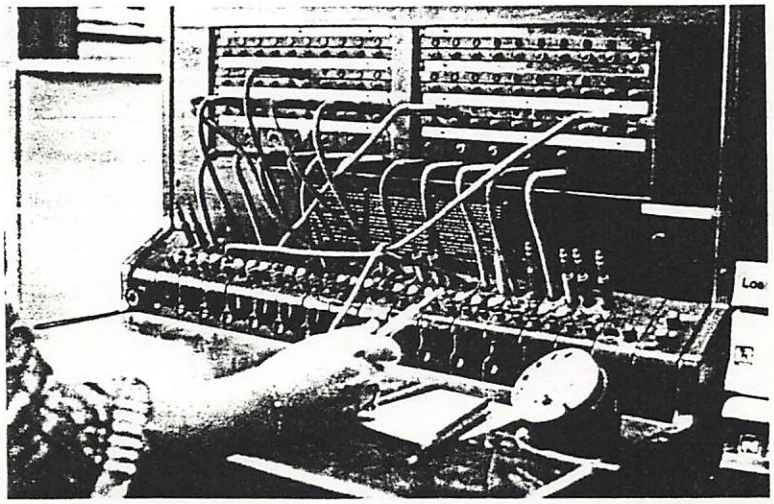
With initial funding from the San Sebastian County Medical Society, The State Regional Medical Program and the State Medical Association, this program has been transplanted to two major urban areas, is pending adoption in several other areas, and will provide between three and five million health messages to the American public during 1973.

The Call-Med program addresses a weakness in the system of American health education. The average American often lacks the ability to cope with minor medical problems without medical assistance, lacks the knowledge of how to live with a chronic illness or how to react in an emergency situation. This places an undue burden upon all elements of the health care delivery system, and particularly on the physician. Dr. No, Medical Society Chairman, said recently, "Call-Med is the greatest idea to come along since Blue Cross."

Call-Med is a library of tape recorded health information accessible to anyone through the public telephone system. Its use is as simple as dialing a number for information or weather or the correct time of day. The young person concerned about venereal disease, the mother concerned about an infestation of body lice in her family, the middle-aged person concerned about cancer or diabetes, the person who finds himself in immediate need of first-aid information—each can obtain relevant health information easily, instantly, anonymously and at no cost.

On April 1, 1972, this program was made available to the residents of the Santana-Sunnyside-Mountain City greater metropolitan area—a population of 400,000. During the first eight months of operation, a total of 35,785 health messages were requested and played. In November of 1972, brochures describing the program were placed in the waiting rooms of approximately 25 percent of the doctors' offices in the area. During the 100-day period following the distribution of brochures, over 57,000 messages were requested and played. During this same 100-day period, over 400 letters were received in the Call-Med office expressing gratitude for the new service. Twenty-one of these were from physicians in the area.

The strong response to the Call-Med program has resulted in its adoption by the Santana State Medical Association, the Oak Hills Health Center and the entire State University system. The program is presently being considered for adoption in Canon Beach, El Grande, Meadow County and Los Amigos, California. With large populations of Spanish-speaking persons in these areas, Call-Med has been receiving more and more requests for Call-Med tapes in Spanish.



Perhaps a bit lengthy, this introduction is well written and interesting. The strong support of the medical community and the response from the public lend credibility to the program.

Transition

A well-prepared proposal moves logically from one thought to the next, from one section to the next. You have made the case for your credibility in the introduction, narrowing to a focus on your credibility for the task at hand. Now you are ready to move into the specific situation, problem, need or concern with which your proposal deals. In the Call-Med introduction, the last sentence leads into a proposal for funds to translate content and prepare tapes in Spanish.

Annual Reports

Periodic reports on your agency, produced each year or every few years, are a valuable adjunct to your proposal introduction. The proposal should be brief. A periodic report can go into greater detail. Enclosed with your proposal, it can add to your credibility.

Checklist for Proposal Introduction

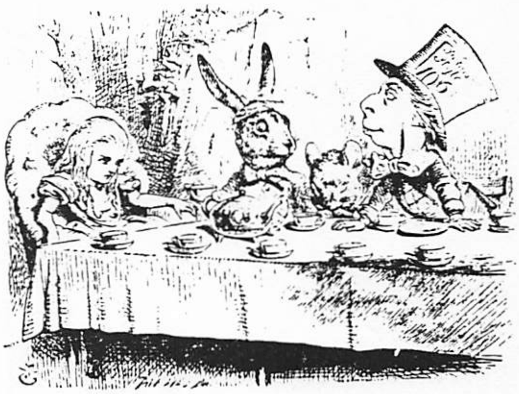
- ☐ Clearly establishes who is applying for funds
- ☐ Describes applicant agency purpose and goals
- ☐ Describes agency programs
- ☐ Describes clients or constituents
- ☐ Provides evidence of accomplishment
- ☐ Offers statistics to support credibility
- ☐ Offers statements and/or endorsements to support credibility
- ☐ Supports credibility in program area in which funds are sought
- ☐ Leads logically to problem statement
- ☐ Is interesting
- ☐ Is free of jargon
- ☐ Is brief

"You should say what you mean," the March Hare went on.

"I do," Alice hastily replied; "at least—at least I mean what I say—that's the same thing, you know."

"Not the same thing a bit!" said the Hatter. "Why, you might just as well say that 'I see what I eat' is the same thing as 'I eat what I see!'"

Lewis Carroll, Alice in Wonderland



II. The Problem Statement or Needs Assessment

The problem statement, or needs assessment, is the most critical part of your plan. It represents the reason behind the proposal. A "needs assessment" generally focuses on the conditions in the lives of your clients or constituents that you wish to change. A "problem statement" looks at that particular situation, relates it to similar situations that exist in other communities, and shows the broader implications of your program. Whether your orientation is to the needs of specific clients, to broader social implications, or both, this section of your proposal has certain basic requirements:

1. It should be clearly related to the purposes and goals of your organization.
2. It should be supported by evidence drawn from your experience, from statistics provided by authoritative sources and/or from the testimony of persons and organizations known to be knowledgeable about the situation.
3. It should be of reasonable dimensions—a concern that you can realistically do something about over the course of a grant.
4. It should be stated in terms of clients or constituents, rather than the needs or problems of your organization.

Needs Assessments and Problem Statements

Proposals that focus on "needs" usually describe those of a particular group of individuals or organizations at a particular time in a particular place. This is fine, but it does limit your funding options to those who are either concerned with those needs as they exist in that place, care about the community in general, or like your agency specifically.

Another approach presents your situation as but one instance of a "problem" that is found in other places, and presents your program as potentially beneficial to people beyond the bounds of your own community. Adopting this model widens your potential funding to more sources, as it implies a greater social benefit. This approach requires more research on your part, more rigorous proposal development, and is not always an option. Let's look at a situation where the options exist.

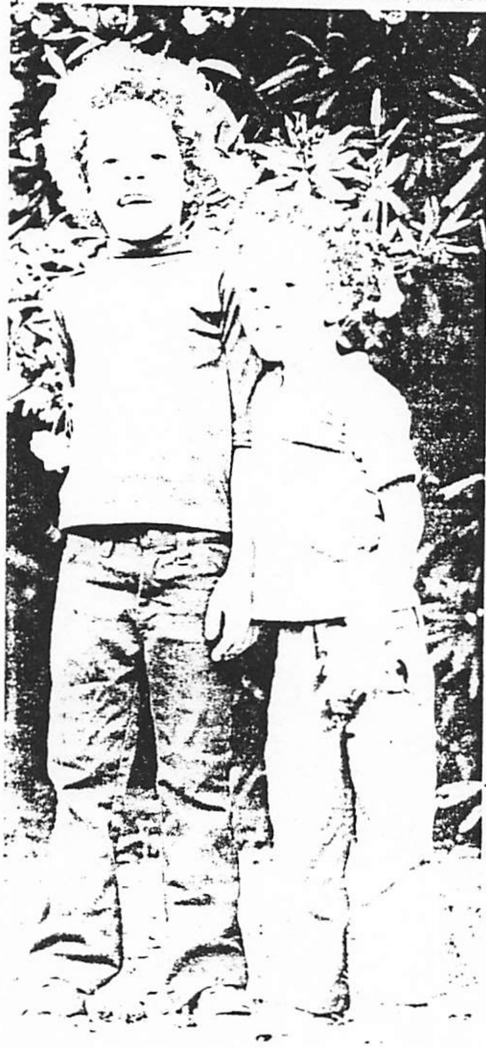
Example:

Agency A has studied the problem of dyslexia in children. Dyslexia is a learning disability that causes children to reverse words and letters as they learn to read. This leads to poor school performance, emotional trauma, and even the mistaken classification of such children as mentally retarded. Some of these children are placed in special classrooms for the mentally retarded, causing an array of other complications.

The agency has worked with these children for some years. They have developed an effective "one-to-one" tutoring program which has virtually eliminated the dyslexia and greatly reduced the accompanying problems. Remedial programs offered elsewhere are conducted by highly-trained professionals who provide their services at a sizeable fee. Agency A, on the other hand, has trained a large number of elderly volunteers in its specialized techniques. This has produced great satisfaction for the volunteers and has also enabled the agency to work with children from a wide range of economic backgrounds. Most of their clients could not afford the fees usually charged for professional tutoring.

Now Agency A wishes to expand its services, for it receives far more requests for tutoring than it can handle. Many of these requests come from families of limited means who have heard about the program's success. At this point, the agency must take into consideration the following:

1. A **needs approach**, while providing some background on the problem of dyslexia, would focus on the additional dyslexic children from low- and moderate-income families in the community served by the agency. Documentation would be sought (remember that the problem/needs statement should be documented) on the prevalence of dyslexia in the community. The agency could present information about its waiting list, its sources of referral, the problems that acompany dyslexia, including the failure to diagnose and treat the problem. Since the agency has a well-documented track record, the issue is the extension of its approach to a larger group of clients. The objectives in the proposal would be the elimination of symptoms, improved school performance and reduced emotional problems in this larger group of clients. Grant support might come from those funding local educational programs, those who see the mental health benefits, grantors who have an interest in the community itself and those who have heard of the agency's reputation.



2. **A problem approach** would look more closely at dyslexia as a learning disability problem that extends beyond the bounds of the community. The techniques of the agency would be examined for their implications on a scale broader than their value to children in the local community. These are some of the issues the agency could examine and the questions that might be asked:

A. Are there other programs like ours elsewhere—programs that have demonstrated success with dyslexic children and that are low in cost?

B. Who besides ourselves has expressed concern with this problem, which we believe affects and goes untreated in a very large number of schoolchildren?

C. Who besides our clients might benefit by what we have learned? Other educators? Other mental health professionals? Other remedial programs?

D. Might our program's use of trained elderly volunteers as staff be of interest to agencies serving the elderly?

E. Would our use of the elderly be of more value if they could receive some salary from their work—if they became not volunteers, but paraprofessionals?

F. Do we have the capability to move in the direction of the broader implications of our program? Do we want to? Could our skills or our interests stretch this far?

Answering these questions leads Agency A to a point of decision. Moving in the direction of meeting the needs of a greater number of children in the community leads to a service program. Moving in the direction of problem-solving, with implications that go beyond these children, leads toward research and demonstration. The two can be combined, but only if the agency has the desire and capability to do so. The problem approach requires more rigor, more research, more data, and will cost more. It has the potential of being of greater benefit and of appealing to a broader array of funding sources.

Circular Reasoning

Ordinarily you should avoid saying that the problem is the lack of the method you are suggesting. For example:

"The problem in this community is that it has no youth center."

or:

"The need in this community is for a youth center."

These frequently submitted problem or needs statements lead to rather circular proposals:

1. The need is for a youth center
2. The objective is to create (or construct) a youth center
3. The method is a plan for building a youth center
4. The evaluation question is "is there now a youth center or is there not?"

Nowhere in this discussion are youth mentioned. We don't even know if there are any youth in the community, or which of their needs might be met by a youth center, which is only a means to an end. Only if we can show that our "means," "method" or "approach" is close to infallible are we justified in saying that the problem is the "lack of our method." In some cases this is possible. Here is an example:

> A hospital is noted for its treatment of cancer patients. It utilizes the three primary modes of treatment: surgery, chemotherapy and radiation therapy. Radiation therapy is a very time-consuming process, for the linear accelerator that is used for treatment must be programmed so that the cancerous tissue is very accurately pin-pointed. Programming takes more time than treatment, requires the use of highly paid staff, and must be done on the treatment equipment, utilizing a great deal of time that could otherwise be devoted to therapy. This backs up the patients and greatly increases the hours of overtime in the hospital. Is there a way to reduce costs, reduce non-treatment time on the equipment, and thus enhance the therapeutic value of the hospital?
>
> Yes! There is a new piece of equipment being marketed that is a simulation device. Programming can be accomplished on this machine, and the linear accelerator used in treatment can be freed for treatment alone. The simulator does not require a physicist, as does the accelerator, so the operator cost is reduced. We conclude that we need a simulator!

Here you can build in the problem/need and the solution. The simulator works every time you use it. It will reduce costs, reduce staff overtime and increase the number of patients who can be treated per unit of time. Remember, *only* when you have a proven method can you say, "Our problem is the lack of this method."

Examples of Problem/Needs Statements

> **Problem Statement/Needs Assessment:**
>
> The National Institute of Mental Health, using the latest census data, has provided information for the Bi-County Mental Health Board which states that over 3,000 elderly in our area are at risk with the vast majority of these individuals living alone and on fixed incomes.
>
> Statistics currently available from our outpatient clinic indicate that less than one percent of the elderly population is utilizing our services. However, a letter from Dr. Random Sample, County Commissioner of Health and Chief of Staff of County Hospital, states that there are many elderly who are living a lonely, depressing existence and who would benefit from contact with the mental health system. He states, "Many of these people visit their family doctors merely for social interaction." He further adds that many times he has been forced to recommend either hospitalization or placement in a nursing home for these individuals because they are no longer able to function alone.
>
> Dr. Sample's observations coincide with recent scientific research (Einstein, 1977) which states:
>
> *It has been documented through mental health literature that groups in our society who are devalued or who lack control over their lives are particularly prone to depression and other emotional problems.*
>
> Priscilla Pontiac, Executive Director of Meals on Wheels, states:
>
> *Many elderly sit and rock or lie in bed day after day, with the highlight of their existence a hot meal delivered to them to eat alone.* (See appendix B)
>
> Fred Footsore, a rural mail carrier, described his findings from occasional meetings with older adults at their mail boxes. Senior citizens shared with him that they seldom receive phone calls, visits or, ironically, letters.

Let's critique this alleged problem statement in a systematic way, asking some specific questions:

1. Who are the people or agencies with whom the applicant is concerned?

That's not clear at all. Three thousand elderly are mentioned as being "at risk," but no definition of "at risk" is given. It is said that "less than one percent of the elderly population is utilizing our services." If there are 300,000 elderly in the area, then the agency could theoretically be serving every so-called "at risk" senior. The statistics are inadequate in defining the population. With what segment of the elderly population is the applicant concerned?

2. What is the problem or need that the agency will focus on?

This also is not clear. Perhaps it is seniors who are "living a lonely, depressing existence," or maybe those who have been recommended for institutionalization because they "are no longer able to function alone." Is it the undefined "at risk" elderly?

3. Is the problem of reasonable dimensions? Something that can be changed for the better over the period of a grant?
There is not enough data to know.

4. In what direction does the problem statement seem to lead?
One implication is that the applicant believes that too few of the elderly visit the out-patient clinic, and that more should do so. But is it merely for "social interaction" as they are alleged to be doing with family physicians? We don't know. We have no clear statement of their mental health problems, and we assume that it is such problems that would require mental health services. We don't know why more of the elderly are not visiting the mental health clinic, if indeed there is any reason for them to do so. Is it too far for them to go, or is transportation unavailable or too costly? Perhaps the clinic has a poor reputation among the elderly. Also, what percentage of the non-elderly population utilizes the clinic? Perhaps one percent is the clinic's penetration into the entire community. Is that good or bad? What is the percentage of service to different age groups in other mental health clinics?

This is where we are stuck. We don't understand the point of the problem statement. If we were to guess what is coming next, as we should be able to do from a well-prepared statement, we might assume an objective such as: *"to reduce the loneliness and depression of a number of the elderly in Bi-County,"* or *"to reduce their riskiness."*

5. Does this statement appear to be concerned with the needs of clients or with the needs of the applicant?
This is an important question. Too often, proposals appear to describe a problem or need in a community or client population, when in fact they are really concerned with issues internal to the applicant organization. A well-prepared statement requires input from those who will benefit. Otherwise, the problem/need statement is at best the perception of the outsider. At worst, it may be presumptuous and self-serving. In this instance, it is possible that the mental health agency was told that it didn't serve enough of the elderly—perhaps by some outside funding source, perhaps by some group of advocates for the elderly who wished to change the policies and/or programs of the clinic. There is no evidence that the elderly or agencies dealing with the elderly (other than Ms. Pontiac's) were involved in the development of the proposal.

It is essential to begin your planning process by defining and understanding the problem you wish to address. Problem definition sets your proposal train on its track. If you wish to end up in Chicago, it would be most uncomfortable to end up in Seattle. Here is an example of how important it is to understand the problem.

A drug rehabilitation facility is doing a good job in treating addicts in its residential treatment center. Over the past five years it has gathered follow-up data which strongly indicates that those graduates employed shortly after discharge, in jobs with reasonable salaries, stayed free of drugs for longer periods of time than those who remained unemployed.

At the same time, the drug center staff considered this: Each of two aircraft manufacturing companies, both located within fifty miles of the facility, had a training program for aircraft mechanics as well as job opportunities, at good salaries, for trained mechanics. Over the past five years a number of drug center graduates had applied for training or employment at these two companies, but none had been accepted. Since training and jobs were available at these companies, the drug center went a step further and surveyed its residents to see just how interested they were in the aircraft mechanic's trade. They found high interest on the part of their residents.

Based on this information, the drug center developed a proposal for an introductory aircraft-mechanics training program to be conducted at the drug treatment facility. The training program would be established in a large building at the center, and would be complete with jet engines, scaffolds, tools, equipment and instructors. They spent a great deal of time planning every detail of the training program. There was just one catch. They assumed that the pre-trained drug center graduates would more easily gain entry to the two aircraft manufacturing companies. They had no logical basis for this assumption. They had not gathered enough information to really understand the nature of the problem with which they were dealing. "What if," as one critic asked, "the attitudes of these employers were totally opposed to the hiring of ex-addicts? All your training would be wasted if the attitudes of the prospective employers were unchanged."

"Why haven't you talked to the employers?" asked another. "If they could be convinced to accept a few of your graduates on an experimental basis, and it worked out, then you wouldn't need a training program at all."

This may seem obvious, but it was not to the drug program staff. What had happened? Often an organization gets so involved in its proposed program, its approach, its methodology, that it fails to logically think through the problem that it is trying to solve. Creating the project becomes all-important. The means becomes the end.

This agency was prepared to leap right into a training program because it saw potential jobs for its graduates. It assumed that if its graduates had some background appropriate to the jobs, or trainee positions, they would be hired more readily.

However: past applicants from the drug facility were never accepted for employment or training at these two companies. Why? Was it lack of skill? Employer attitude? Other factors? The answers to these questions could determine the direction of the project. If lack of skills was the reason applicants were turned down, then perhaps skills training was the answer. But if the employers' attitudes were the issue, then skills training was not the answer. An effort directed at changing attitudes might increase the chances for employment and training *without* the necessity for an expensive training program. Too often an applicant's thinking focuses on an approach, an innovative program, a set of activities, and the resulting proposal is merely an attempt to justify the methodology. *Only out of an adequate investigation of the pı oblem can you develop a program and an agency that accomplishes objectives as contrasted with one that just conducts activities.*

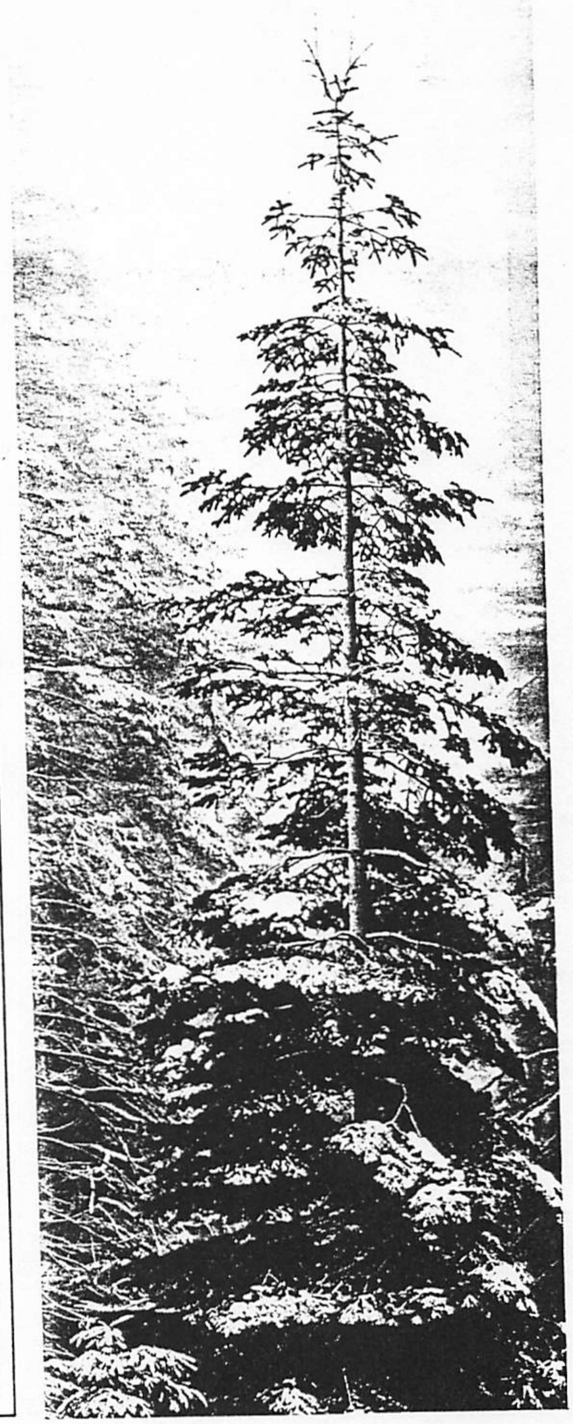
Here is a problem statement which is on the right track:

Problem Statement/Needs Assessment:

According to the statistics of the U.S. Forest Service, the number of people using wilderness areas has increased by 10 percent each year since 1968. The impact of this dramatic rise can be seen in almost every backcountry region of the U.S. In the Wind River Range of central Wyoming, the 800 students that the Outdoor School annually takes into the range used to make up 40 percent of the total man-hours of usage in the range. Today, the same number of students accounts for less than one percent of the total usage. The scars of campfires, latrines, broken branches used for firewood, and refuse are common sights in this once pristine area. To eliminate impact is impossible, but to minimize this damage and shorten the regeneration time of damaged wilderness is a goal that can be accomplished.

A 1972 doctoral dissertation by Ed Cology, currently professor of environmental studies at the University of Colorado, Boulder, pointed out that "the techniques which The Outdoor School developed have reduced the impact of individual campers on the wilderness by 40 to 60 percent." Over a three-year period, Dr. Cology studied the initial impact and gradual regeneration of over 100 temporary campsites (one to three days of impact) of Outdoor School expeditions. Dr. Cology concluded that the techniques which are continually being developed by the Outdoor School can be a valuable resource for today's wilderness user.

Another statistic which tragically substantiates the rise in wilderness use, and the lack of skill in coping with the wilderness, is the increase in backcountry deaths over the past five years. The Bureau of Land Management reports that accidents resulting in death have risen by 250 percent, from 710 to 1780, during that time. Many of these deaths, the Bureau reported, could have been prevented by an awareness of basic safety



precautions.

Existing educational institutions have attempted a solution by expanding course offerings to include wilderness training. But their curriculae are less than adequate. Over 50 colleges, adult education centers and youth groups have contacted The Outdoor School over the past six months seeking assistance in the development and implementation of a wilderness curriculum. Typical of their requests is this from Dr. John Quandry, Headmaster of The Perplexed School:

> *We are about to start a wilderness skills unit within the context of our environmental awareness curriculum. I was dismayed by the lack of curriculum materials available from traditional sources. I hope that you will be able to help us to adapt the materials and information which you use so effectively in your own program.*

Similarly, a public school teacher in Tulsa, Oklahoma, who is a graduate of the school's Outdoor Educator's Course, wrote:

> *They really don't have a set curriculum package for the program and are relying on me to use the skills I learned with you to provide the day-to-day subject matter. I was wondering, in this regard, whether you have developed any teaching aids.*

The 50 institutions requesting assistance from The Outdoor School are spread across a four-state area of heavy wilderness use. Dr. Forbush, the regional director of the Environmental Protection Agency, states: "Of all the wilderness areas in the country, this area suffers from the heaviest degradation. Accidental loss of life is six times the national average for such areas."

By assisting the 50 cooperating institutions to develop wilderness training skills similar to its own, The Outdoor School seeks to reduce this impact on the environment and to reduce the loss of life caused by campers' lack of skills.

The last statement summarizes the proposal objectives, which would be spelled out more explicitly in a following section on program objectives. This is an *interesting* and logical problem statement from which the objectives directly flow. It is easy to read, not filled with jargon, delineates two clear problems, mixes statistics and authorities in presenting its data and, in addition, supports the credibility of the applicant by presenting requests for the applicant's expertise. All in all, a good job.

Documenting the Problem Statement

It is important to differentiate between a situation of national scope and the situation as it exists in your community. That drug abuse is a national problem can be supported with statistics and expert testimony. To locate this documentation, contact those federal agencies that deal with drug abuse. Reports and publications are usually available in abundance. A little-used source of good documentation is the published record of hearings before congressional committees that are held to gather evidence in support or in opposition to proposed legislation. It would be valuable for you to have copies of all hearings published for proposed and enacted legislation in your field of activity over the past several years.

National statistics may not necessarily apply to your community, but this information may provide some parameters, useful for comparison. It can also suggest certain constant aspects of the problem to look at. For example, if your agency's concern is teenage pregnancy, a review of the literature might suggest these considerations: higher mortality rate among teenage mothers and among their infants; higher incidence of birth defects; high incidence of pregnant teenagers dropping out of school, having no skills, going on welfare, etc.

The incidence of educational, health and other problems varies widely from community to community, and you must present evidence that a problem does indeed *exist* in your own community (rather than saying "based on national statistics, we estimate that the degree of problem x in our community is . . ."). This requires you to look for local sources of documentation. You may be unable to locate statistics to support your contention. In the absence of, or in addition to local statistics, you might try a simple local survey:

Example:

Your neighborhood organization is quite concerned about the increase in drug abuse in the local high school. Nobody keeps statistics on this problem. You might begin your documentation by identifying those agencies and persons likely to know about this problem in the school and surrounding neighborhood. This list might include the principal, vice-principal, school nurse, PTA, student government, local health clinic, local police station, a neighborhood parents' group, and other social service agencies serving the neighborhood. You could then prepare a brief letter, describing who you are and telling of your concern about the problem and your desire to take action. You might conclude with an invitation to attend a meeting set for the near future. Then you could add a brief questionnaire, asking:

1. Is there agreement that a problem or need exists?
2. Does the respondent have any evidence of the extent of the problem?
3. Does the respondent know of any other local organizations concerned about the situation or planning any action to deal with it?

Just a few questions will suffice. Information can be gathered, meetings can be held, relationships established, and the process can be discussed in the problem statement. This is an effective way of documenting a local situation.

Checklist for Problem Statement

☐ Relates to purposes and goals of organization
☐ Is of reasonable dimensions
☐ Is supported by statistical evidence
☐ Is supported by statements from authorities
☐ Is stated in terms of clients or beneficiaries
☐ Is developed with input from clients and beneficiaries
☐ Is not the "lack of a method" (unless the method is infallible)
☐ Doesn't make assumptions
☐ Doesn't use jargon
☐ Is interesting to read

In every enterprise consider where you would come out.

Publius Syrus

III. Program Objectives

Program objectives are "outcomes" of your activities, not to be confused with the activities themselves. The difference between methods and objectives is the difference between means and ends.

Too often, grant seekers confuse *means* and *ends*. Distinguishing between them is of critical importance in planning programs and writing proposals. The means are your methods. The ends are your objectives. Objectives are *problem-related outcomes of your program.*

If you begin your statements with words like these, you are sure to be talking about *methods*, and not objectives:

To provide . . .
To establish . . .
To create . . .

If you use words like these, you are more likely talking about *objectives*:

To increase . . .
To decrease . . .
To reduce . . .

Program objectives that are measurable become the criteria by which you judge the effectiveness of your program. To be really useful, program objectives should:

1. Tell *who*,
2. Is going to be doing *what*
3. *When*
4. How much
5. How we will measure it.

Here is an example of an objective that is well-defined:

> At the conclusion of the five-day workshop, at least 20 to 25 participants will demonstrate a pre/post test gain of at least 25 percent on the Evaluator's Competency Test, covering the areas of (1) introductory statistical terminology, (2) measurable objectives, and (3) educational program evaluation concepts.

That objective (for an educational program) tells us that the applicant is committed to communicating certain information to a group of learners, and that the learners will have acquired new information over the course of the five-day workshop. Note that there is no mention of how this information will be used. This would require a separate objective, which might be the following:

> By the end of the first program year, at least 15 of the 25 participants, each representing a different local educational agency, will increase their district's commitment to evaluation in the following ways: in at least 15 of these districts the average number of specially-funded programs that are evaluated will be increased by 25 percent, from an average of four programs in 10 to an average of five programs in 10. In addition, the average financial support for evaluation will be increased from $500 per program to $1,500 per program over the same period.

Contrast the above with the following educational objectives drawn from proposals:

"To prepare children to develop a positive self-concept."

"To teach each individual the importance of self-expression."

"To prepare children to enter any type of classroom situation."

"To expose children to their own culture."

"To teach the meaning of respect for people, places and things."

"To teach children the ability to make their own decisions."

Do these meet the criteria for objectives? No, they do not. These statements are vague descriptions of methodology, mixed with "goals" statements. *Goals* are long-range benefits that you may be seeking; there you have some freedom to use imprecise and flowery terms. Such terms have no place in your objectives, however.

How would you ever determine whether you had accomplished them?

Since objectives and problem statements are so closely related, we will examine both in the following examples.

Example:

Problem Statement/Needs Assessment:

Twenty-five percent (40,825) of the area's 160,000 population is estimated to be below the poverty level. Families in the area suffer from lack of adequate nutritional meals, due to limited income from which to purchase food.

There are many complex and interrelated reasons for nutritional problems. Inadequate income is a major cause of poor nutritional status. Other factors include lack of knowledge; complications of disease; sedentary life styles; mental and emotional factors; social isolation; lack of food preparation and storage facilities; consumer confusion and misinformation; overabundance of foods of low nutritional value and high cost.

Adequate food and sound nutrition are essential to good health. Not only are they crucial for human survival and key factors in the prevention and recovery from illness, but they are prerequisites for improving the quality of life of the low-income citizen.

Objectives:

The objective of this program is to improve the opportunities of low-income persons to gain access to participation in federal and non-federal food and nutrition programs by employing a nutritionist and staff who will conduct training sessions for outreach staff and monitor federal food and nutrition programs in the area.

The objective of "improving the opportunities" is not measurable. It also hedges about whether more individuals will actually participate in these food programs as a result of the planned program. All that follows the "by . . ." is method. Because the problem statement specifically talks of nutritional problems (but fails to provide any evidence of these problems), we would hope to find at least one objective that projected an improved diet for the program's beneficiaries. The applicant has not examined the problem in any detail. Rather, the applicant has a program in mind, and has set down in the problem statement the proposed program activities. You can be sure that "lack of knowledge" (who lacks knowledge about what?) will lead to an educational component; "lack of food and preparation facilities" is setting us up for the providing of such facilities (whatever they are and whatever their purpose). The problem statement is inadequately defined, assuring our inability to state specific objectives and raising serious questions regarding the potential benefit that might come from this program.

Let's take a look at another proposal that works better, from need to objective:

Problem Statement/Needs Assessment:

Washington and Hancock Counties, Maine, lie in the most northeastern corner of the United States. The area has a population of slightly over 70,000, of which more than 85 percent live in rural areas. In almost all categories of employment, health services, and income, the area is disadvantaged compared to state and federal figures. The Maine Department of Manpower has cited unemployment ranging up to 29 percent over the past several years, during which time the national average never exceeded 8 percent.

Incomes in the area are extremely low. One-third of all families have incomes under $5,000 annually. 74 percent have incomes under $10,000. Within the state of Maine, which has the lowest per capita income in the U.S., Washington County has the greatest percentage of families below the poverty level. Of the employed labor force of 32,000, more than 30 percent work in seasonal jobs (e.g. cutting pulp, lobstering or clamming) and are paid the minimum wage.

At this same time, there are several underutilized natural resources in the area, including shellfish, low-grade hardwood and peat moss. Department of Interior surveys in 1977 revealed that there were more than 200 million tons of peat moss in the area. The market price of Maine peat moss is currently $50 per ton. Currently, only 5,000 tons of peat are mined each year in Maine, while the U.S. annually imports as much as one million tons of similar quality at comparable prices (see U.S. Bureau of Mines, 1976 Annual Report).

Peat moss production is an industry involving a number of activities, including mining or harvesting, drying, grading, packaging and shipping. End products include peat pots and filters for septic systems and industrial use. A 1977 U.S. Economic Development Administration Report (see attached) established the strong market potential of peat and peat products. But traditional economic development strategies, such as community industrial parks and plant relocation, have not been successful in stimulating industry to locate in the area. Maine's location in the extreme northeastern section of the U.S., and the anticipated high transportation costs of products and raw materials, are cited as one significant reason (1977 State of Maine Labor Department report). Peat, however, costs less to transport from Maine to major U.S. cities than it does to transport from the maritime provinces of Canada, the source of most imported peat.

Critical to this issue is the unrealized economic value of raw peat moss. At the bog, the value of Maine peat is 2 1/2¢ per pound. A supermarket in Washington, D.C. sells peat as a soil conditioner in three-pound bags for $1.79, or 59¢ per pound. The total cost of harvesting, drying, grading, packaging and shipping raw peat allows not only a substantial profit for the entrepreneur, but promises the employment on a more regular basis of persons with a wide range of skills. The development of the peat moss industry in this area of Maine is the subject of this proposal.

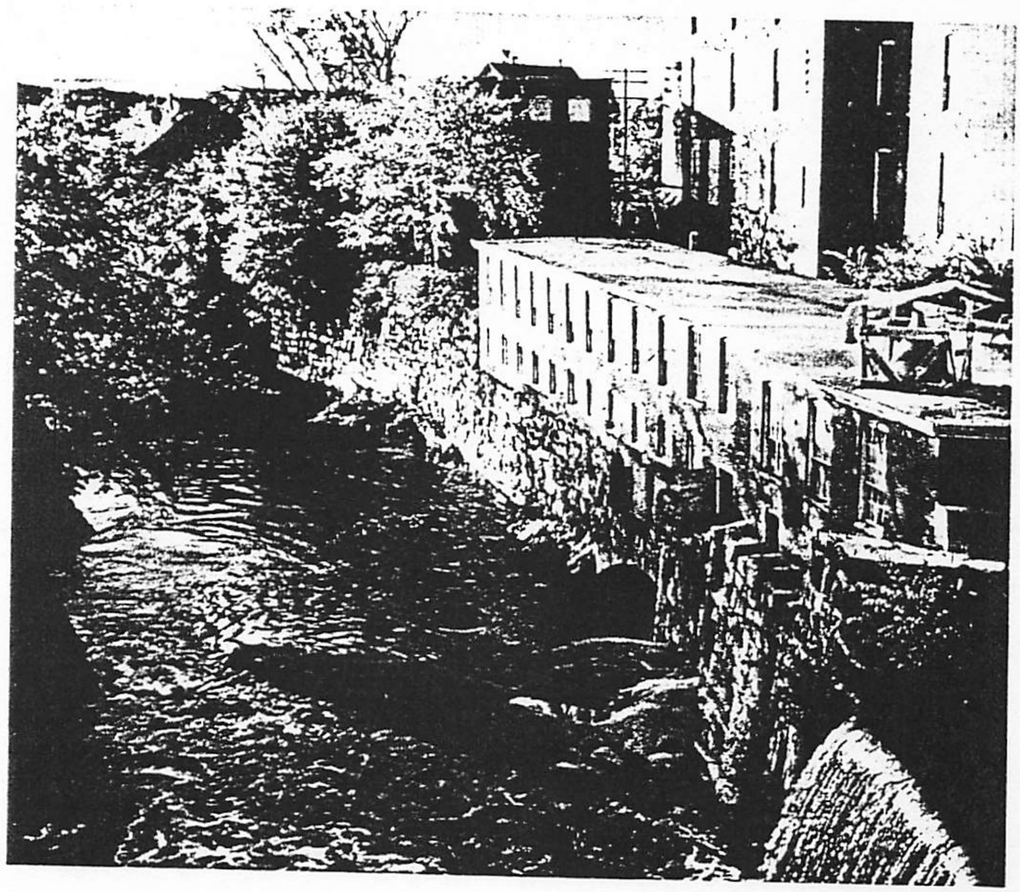
Objectives:

This proposed program has two primary objectives. First, to increase employment in the peat moss industry in Hancock and Washington Counties from the current (1977) 150 workers to 500 workers by October of 1980. This increase will come from local workers who are presently unemployed or seasonally unemployed with annual incomes of under $5,000. Second, to increase the annual peat production in these counties from the current 5,000 tons to 500,000 tons by October 1980, thus generating $25,000,000 in new revenue for the area.

This is an interesting, documented and logical movement from problem statement to measurable objectives.

Process Objectives

Some people call the objectives we have been considering "behavorial objectives"; others call them "performance objectives," "program objectives" or "outcome objectives." Fine lines of distinction may be drawn between the four, but all describe the results of a program. They are quite different from "process objectives," which refer to the completion of tasks you were to accomplish over the course of the program or grant. For example: "to complete the recruitment of 100 eligible participants by the end of the first 60 days of the grant period." That is a process objective. It is useful. We will speak about it some more in the section on methodology. Do not confuse this with an outcome objective. There is no guarantee that the recruitment of your participants will relate to any benefits they may obtain from your services. *Outcome objectives* relate to benefits. "To conduct 24 one-day training sessions, each with 10 trainees, covering the area of blah, blah and blah, over the first six months" is a process objective. "To counsel 300 young people by the end of the 12-month program" is a process objective.



How much change?

A proposal from a drug rehabilitation center claimed that 89 percent of its clients were cured, and that a grant could produce similar results in a comparable population. Reviewers were skeptical of this claim; they viewed it as evidence of the naiveté of the applicant. An examination revealed that the claim was based on a small number of program clients, for all clients who had not completed a full year at the center were dropped from the statistics, and classified as "untreated." A realistic estimate of benefit should be based on the experience of your agency and your knowledge of the success of similar programs. If a specific percentage gain can only be guessed at, you may commit to a "statistically significant" change—that is, one that statistically could not have occurred as a result of chance. Look to a person inside or outside your agency with some statistical background to assist you in determining statistical significance.

Checklist for Objectives

- ☐ Describes problem-related outcomes of your program
- ☐ Does not describe your methods
- ☐ Defines the population served
- ☐ States the time when the objectives will be met
- ☐ Describes the objectives in numerical terms, if at all possible.

Though this be madness,
yet there is method in it.
Shakespeare, Hamlet

IV. Methods

When needs and problems have been described, and objectives stated, the next step is to spell out the methods by which you propose to achieve those objectives. The terms "methods," "methodology," "activities," "procedures" or "strategies" may be used, but this portion of the proposal describes the steps to be taken to achieve the desired results.

Just as objectives should flow naturally from the problem statement, so should methods follow from the objectives. The basic requirements of the methods section are *clarity* and *justification.* The methods should be understandable, and should be accompanied by an explanation of the rationale underlying your choice of them. In other words, why do you think they'll work? Ordinarily, this justification consists of a description of the applicant's past work and/or the presentation of evidence drawn from the work of others in the field.

Length of Methods Section

Proposal writers tend to write at great length about their "innovative" approaches while failing to provide adequate problem statements and objectives. But one really can be too brief:

> **Methods:**
>
> Our program involves touring three productions and workshops to a minimum of 50 schools, community cultural centers and public sites. Our target audience is approximately 20,000 youth.

Here is an example of a more explicit description from a similar proposal:

> **Methods:**
>
> The age group involved in the theater's education program will be from 12 to 18 years—the junior and senior high school level. A cross section of 79 schools in the Gotham City Unified School District will be reached. These schools represent a range of ethnic and economic areas in the city, and will be selected with the assistance of school district personnel (see enclosed letter from the Superintendent's office).
>
> Two plays will be presented to each student body within a five-month period. One of these five months will be used for rehearsal and for final arrangements on booking of the shows. The subject matter of the plays will relate to the literature being studied in English classrooms in these schools. The eight high school English teachers on our Advisory Committee have held three meetings with theater staff to discuss material. Their recommendations to date are contained in the attached report.
>
> As has been discussed with the teacher/advisors, presentations (consisting of a cast of four and one narrator) will focus on high points and important moments in the subject matter, emphasizing main characters and their relationships within the story. Students will then be involved in a discussion of the material, and of the presentation, with the actors.
>
> Programs utilizing a theatrical presentation in the schools have been given to primary and secondary age students in Gotham City by Twelfth Night Repertory Company. Performances dealt with minority culture and origins and also with the problem of drug abuse. While no information was

sought on the impact of these presentations, 90 percent of the schools requested an additional program or wished the same program to be repeated again.

A program similar to the theater's has been presented in England for five years. Initiated in 1974 to augment normal learning techniques, this program has had remarkable success. A 1978 survey conducted by the London Council on Education stated, "students involved in this project increased their grades by an average of 10 to 20 percent" compared to students in similar classes who did not see the performances. In addition, school attendance increased, both for performance days and also for classes to which the performances were related.

The latter description not only provides a clearer picture of what will happen in the program, but also discusses the rationale behind this theatrical experience for school children.

The following is an example of a very extensive proposal, where much description of methodology should be provided (the description is excerpted here, for the sake of brevity).

Methods:

Bayshore's Title I program is designed to improve the reading achievement of educationally disadvantaged children. All components of the program—teacher training, parental involvement, and auxiliary services—aim towards this goal. This proposal is limited to the teacher training component. It introduces the idea of using skills specialists, or specially trained teachers to assist classroom teachers and aides in diagnosing student strengths and weaknesses and in devising supplementary materials. The plan described here covers the areas of staff selection, staff training and participant selection.

Selecting the Staff

Bayshore's Title I program will employ 25 skills specialists, 15 reading specialists, 10 math specialists and 33 instructional aides, in addition to the district's administrative staff. The reading and math specialists must be certified teachers. In addition, they must be knowledgeable about techniques for individualized instruction and be able to organize workshops, establish classroom learning stations, and work easily with teachers, aides and students. The 33 instructional aides must have a basic knowledge of the techniques of individualized instruction and know how to prepare classroom materials, how to work with individuals and small groups of students, and how to assist in reading and math instruction. Most aides will have worked in Bayshore's compensatory education program for 5 years or more.

Training the Staff

To make the reading system a success, Bayshore will first train the skills specialists and aides; they in turn will organize in-service workshops at their respective schools to acquaint classroom teachers with the program, to help them establish learning stations, and to illustrate ways of creating supplementary learning materials that correspond with the program's reading objectives.

The intensive training of the skills specialists and aides will occur throughout the 1972-73 school year. Following is the calendar of activities from August 1972 through June 1973:

August 1972

- Program orientation in-service workshop: Title I principals, skills specialists, and staff
- District Parent Advisory Board meeting
- Inservice for Title I instructional aides conducted by skills specialists and office staff

September 1972

- General session Title I instructional aides: Title I focus for 1972-73 and calendar of monthly in-service
- Title I skills specialists and staff: Title I priorities and program for 1972-73
- Title I Parent Workshop: guidelines, program, and parent involvement for 1972-73
- District Parent Advisory Committee
- Instructional aides: role in implementation of the program and individualization of instruction techniques
- Title I skills specialists: facilitating program implementation and research design

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etc.

In 1973, skills specialists will attend a summer school that offers four different types of learning situations. Group workshops, which the specialists attend together, cover such topics as scheduling students in learning centers, new methods for teaching basic skills, and teaching writing skills. The curriculum consultant will hold one-to-one conferences with each specialist, emphasizing the importance of adapting a classroom management system to a teacher's own style of teaching and needs. In addition, the specialists will teach summer school classes, incorporating the ideas they gather in workshops and conversations with the curriculum consultant. A major part of the summer training will be the development of "treasure kits." The specialists make the materials for their own kits, which will be used in conjunction with the learning stations at their respective schools. The kits contain games, worksheets, and other materials and are color-coded to correspond to program objectives and make filing easier.

The in-service training of skills specialists and aides will continue during the 1973-74 school year. They will visit schools and classrooms, continue in-service training in individualized instruction, develop models of instruction, and continue developing and screening new learning materials for Title I students.

The skills specialists will plan inservice training programs for classroom teachers at their respective schools at least once a month.

Selecting Participants

The schools receiving Title I funds in Bayshore will be selected according to the percentage of children from families receiving Aid to Families with Dependent Children (AFDC). The participating schools will have 16 to 37 percent of their student population from AFDC families; schools with less than 16 percent of AFDC cases will not be eligible for Title I services.

Within the 10 participating schools, Title I students will be selected on the basis of standardized test scores. Any student who scores a year or more below grade level is considered educationally disadvantaged. In 1971-72, the enrollment in each participating school and the number of Title I students were as follows:

School	Total enrollment	No. of eligible Title I students
# 1	343	150
# 2	492	170
# 3	326	210
# 4	522	266
# 5	588	170
# 6	122	35
# 7	323	110
# 8	475	190
# 9	859	326
# 10	269	50

Classroom teachers, assisted by both district and Title I skills specialists, will test and place all students on a reading skills continuum, using existing criterion reference tests. In Title I schools, there will be a skills specialist (either district or Title I salaried) for each grade level; other schools may have one skills specialist for every two or three grades, depending on a school's size. The skills specialists will divide their time among all teachers at their grade level; beginning in 1973-74 each skills specialist will be assigned to one classroom teacher for most of the day. However, they will also work with the other teachers in the creation of learning centers and the development of new materials.

The skills specialists, both district and Title I, will concentrate their attention on the lowest achieving students in each classroom.

Rationale

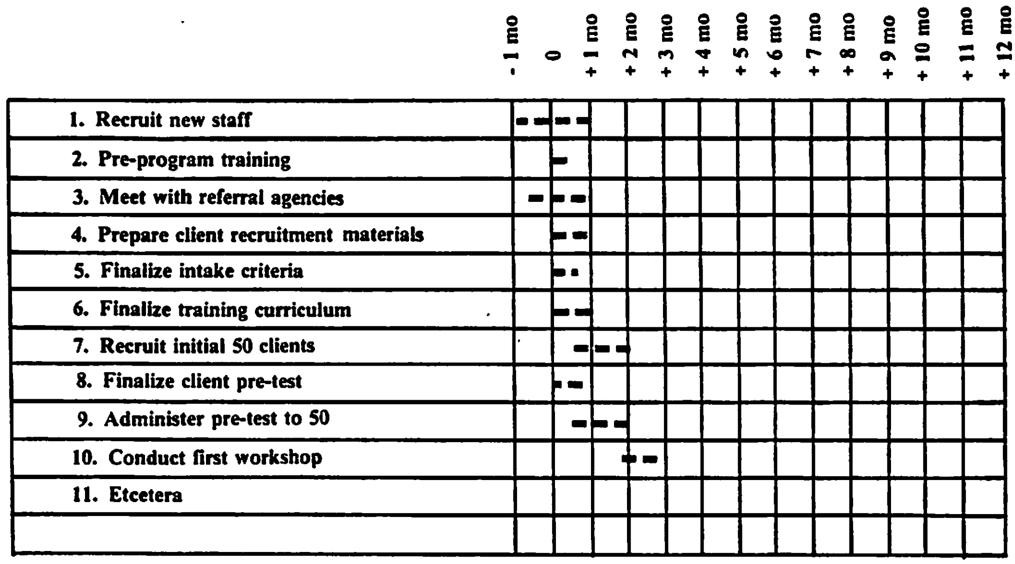
An individualized learning structure has the advantage over more traditional reading programs in that lessons are tailored to each student's fundamental needs. Individualized instruction takes the student at the level of his accomplishment and builds on already known skills to learn new skills. Bayshore's efforts to date have demonstrated the potential of this program. Of 410 students who participated in a pilot program last year, 307, or 75 percent, advanced by more than two grade levels over a period of 9 months.

This methods section is quite thorough. It also addresses key elements that should be included in most methods sections. These are:

1. Selection of staff
2. Staff training
3. Selection of participants

Time Charts

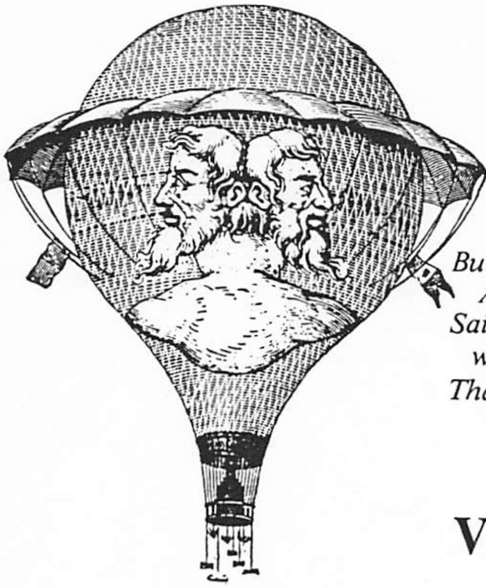
To provide a clear picture of program activities, some applicants include in their proposal a time chart describing program activities in a more organized fashion:



Setting forth tasks or activities in this fashion can be an aid to program planning. Without such a plan, certain necessary steps might be overlooked.

Checklist for Methods

- ☐ Flows naturally from problems and objectives
- ☐ Clearly describes program activities
- ☐ States reasons for selection of activities
- ☐ Describes sequence of activities
- ☐ Describes staffing of program
- ☐ Describes clients and client selection
- ☐ Presents a reasonable scope of activities that can be accomplished within the time allotted for program and within the resources of the applicant



But the principal failing occurred in the sailing,
And the Bellman, perplexed and distressed,
Said he had hoped, at least,
when the wind blew due East,
That the ship would not travel due West!

Lewis Carroll, Hunting of the Snark

V. Evaluation

Most funding sources will require that your proposal contain an evaluation section. Think of the evaluation as having two components. One evaluates the *results* of your program. This is a "product evaluation" (sometimes called "outcome evaluation," "program evaluation," "impact evaluation" or "summative evaluation"). A successful product evaluation uses procedures that determine:

1. The extent to which the program has achieved its stated objectives.

2. The extent to which the accomplishment of objectives can be attributed to the program.

The second component examines the *conduct* of the program. This is a *process evaluation.* Process evaluation utilizes procedures that determine:

1. Whether the program has been conducted in a manner consistent with the plan.

2. The relationship of different program activities to the effectiveness of the program.

Why Evaluation is Important

Some of the many reasons for including an evaluation design in your proposal, other than the obvious reason of its being required by the funding source, are:

1. The funding source's acceptance of your evaluation plan reduces the chance of its conducting its own evaluation of your program in ways for which you are not prepared.

2. Designing a product evaluation forces you to examine the clarity of your objectives, the ease with which they can be measured, and the possibility of their being achieved. For this reason, you need to consider the concept of program evaluation at the beginning of and throughout the program planning process.

3. Process evaluation may allow you to achieve economies in the conduct of your programs, as you examine the costs and benefits of its different aspects.

4. Process evaluation allows for the redirection of your efforts, as you determine which elements of your methodology have or do not have the desired results.

5. Evaluation can provide administrators with data on which to base program decisions.

6. Evaluation can provide staff with data to reinforce their efforts or to recommend new directions in which to move.

7. Evaluation can be used by policy makers as a tool in directing the agency into productive channels.

8. Evaluation, when it shows evidence of the strengths of your programs, can provide motivation to clients and potential clients of the organization.

9. Evidence of the evaluation of prior efforts reassures current and future funding sources of the diligence and sincerity of the applicant.

10. Evaluative data is a powerful instrument for an agency's public relations program.

11. Evaluations can help others in your field to anticipate problems in implementing similar programs and provide yardsticks against which they may measure their success.

Who Should Conduct the Evaluation

Should the evaluation be performed by staff, or should it be conducted by some outside firm or individual consultant? Involving an objective "outsider" with no vested interest in your program's success may improve both the planning and the evaluation of your program. It can also add to the credibility of your application. One danger is that the evaluator may be compromised by trying to please the client in hopes of obtaining future contracts. Evaluation by an insider, who may know more about the real issues in the program, may suffer from an awareness of the potential effect of an evaluation on the performance of staff, and the reputation of the agency.

These are some considerations you might take into account if you have the freedom to choose between an evaluation done within the organization or by outside evaluators:

If done outside

1. What will it cost?

2. Will the evaluator agree to forego a fee if the project is not funded?

3. Will the evaluator assist in the design of the program? An experienced evaluator might avoid a program already set in concrete.

4. Does the evaluator have a reputation that will enhance the credibility of the application?

5. Will the evaluator be likely to align himself or herself, for better or worse, with the management who is paying the bill or with the staff whose work is being assessed?

If done inside

1. What will it cost?

2. Is anyone on staff competent in the area of evaluation?

3. Will their responsibilities for evaluation detract from staff's ability to perform other required duties?

4. Will the evaluation threaten staff and reduce the accuracy of the evaluation?

Your decision will depend on your resources and your philosophy. Whichever way you choose to go, the critical issue is the development of valid information that can benefit the organization and its clients.

Cautions:

Proposal writers frequently ignore the evaluation section or dismiss it offhandedly, such as:

1. Some nebulous process is mentioned:
"Evaluation will be afforded by (1) weekly conference of the multidisciplinary team; (2) maintenance of comprehensive records and explicit documentation."

2. Some expert will take care of it all:
"To assure the success of this project, Dr. Jones of the University of Croatia will be employed to design an evaluation of the program."

3. Brevity is carried to an absurd degree:
"The evaluation consists of the ongoing review of the data derived from the survey and examination obtained at the initial interview so that both client and program needs can be determined."

Evaluation is Logical

If the purpose of your program is well defined, if its objectives have been stated with clarity, then certain questions must be asked in its evaluation. If the purpose of your program is to train the unemployed and place them in jobs, you would need to ask such questions as these in your evaluation:

1. What percentage of the trainees were placed in unsubsidized employment after the completion of training?

2. How many of the employees who were placed in jobs retained those jobs for a specified time period after placement?

3. What was the range and average of earnings of those placed in jobs?

4. To what extent did the program, as implemented, resemble the program as planned?

5. Were there aspects of the program that were more related to program success than others?

Similarly, if the objective of a program is an improvement in the reading level of certain school-children, you will need to gather data to establish any change in reading level that occurs during and after the program. The gathering of information prior to the program is an important reason for the development of an evaluation plan as part of a proposal. If change is to occur, you must know where the client is at the onset of the program so that you have a base of comparison with client performance at the conclusion of the program.

Designing the Evaluation

This is a sequence of useful steps you may wish to consider in developing the evaluation component of a proposal:

1. Clarify program objectives
Product evaluation requires objectives that are clear and measurable. If an evaluation expert is to be involved in the process, use this person to re-examine the objectives stated in your proposal, and consider the rewriting of objectives to insure that a product evaluation can be performed.

2. Determine the potential audience for the evaluation
People inside and outside your agency may have a variety of different questions that they want answered. For example, your agency may be questioned about its services to low-income clients. Several board members, a local politician, and a funding source might feel that your program does not serve the poor as well as it does the middle class. In such a situation, you would have to pay special attention to gathering data that describes the demography of your clientele, and to examining services and benefits to clients with different income levels. Specific evaluation questions can thus come from a consideration of who will be looking at your evaluation.

3. Will you conduct a process evaluation, a product evaluation, or both?
The funding source for any particular grant application may specify product or process evaluation as a requirement, or may use other terminology. *Be sure you are clear as to what is wanted.* It is a good idea to include both types of evaluation in your proposal. Distinguish beteen the two and show how they relate, one to the other.

4. Who will conduct the evaluation?
The basic consideration here is that of "in-house" or "out-of-house" evaluation. Financial constraints may limit your ability to employ outside persons. There are other considerations. To what extent will the funding source evaluate the program? Will you be able to utilize the funding source evaluations to your benefit, or

should your evaluation view the funding source efforts as likely to require more depth on your part? Will program staff participate as evaluators? This may be very effective. On the other hand, it may consume more time than can be allowed program staff, may call for different expertise than they have, or may produce bias in reporting due to inherent self-interest. Staff of the agency other than those involved in the program may be used, as could outside consultants working independently or with agency staff.

5. Should the evaluation include an analysis of cost-benefit or cost-effectiveness?

Cost benefit analysis is an attempt to relate the costs of a program with its social benefits. *Cost effectiveness* assumes that of two programs which have approximately the same social benefits, the one that costs less is more cost-effective. With increasing concern about the dollars spent for social programs, an analysis of costs and benefits, where possible, would be appropriate. For example, a community alternative to imprisonment for youthful offenders was initially denied funding. A rewritten proposal focused on the fact that while the agency's recidivism rate was comparable to that of a state institution, the cost per offender was one-fourth what the state institution was spending. The project was funded and the funding source reviewer commented that the cost comparisons were a primary factor in the project's having been approved.

6. How will evaluation data be collected?

Your selection of a data collection mechanism will depend on the nature of your program, the state of the art of evaluation in your field, the degree of rigor you wish to achieve, and your resources. Some of the many ways of gathering your evaluation data are: pre- and post-testing on standardized instruments that are accepted in your field; interview procedures; client, staff and evaluator observations; and examination of statistics describing your population (drawn from agencies who regularly gather such statistics).

7. How will the evaluation data be analyzed?

If data is to be analyzed statistically, the techniques to be applied must be considered in planning the evaluation. Different statistical techniques require different methods of data collection. A simple questionnaire can be so poorly designed as to make the transfer of information a laborious, if not impossible, task. Open-ended interviews, to be encoded for purposes of comparison, may require months of analysis merely to establish the criteria for coding. If the appropriate data is not collected in the appropriate way, analysis may be useless.

8. How will the evaluative information be reported?

What does the funding source ask for? How and when will evaluation information be fed back to staff in order to allow for program change and improvement? Should the actual report be prepared in more than one version, for presentation to the several audiences that may be interested?

Example:

Evaluation:

A local fire department plans to expand its fire prevention program. The objective is to "reduce losses to persons and property by reducing the number of fires in the community." More specifically, the department wishes to reduce the number of preventable fires by increasing the frequency of fire department inspections of residences and businesses. In the past, there has been no satisfactory method of separating the impact of some major fire prevention programs, such as pre-fire inspections, from the effects of other factors. It has been hard to determine whether increased resources devoted to inspection would indeed reduce the rate of fires. The procedure that will be introduced in this program is the collection of data on the percentage and rate of fires deemed relatively preventable by inspection.

As the department plans its evaluation process, it considers "the number of fires that are relatively preventable by inspection, per 1,000 occupancies, or 1,000 residences." Changes in this rate, over time, may indicate the impact of their inspections: a decrease would presumably demonstrate their value. The program's benefits might also be demonstrated by the number of fires deemed preventable by inspection and a reduction in the number of fires in homes and businesses that have been inspected, compared to those that were not inspected.

The department is also concerned about process. For example, the ability to identify "relatively preventable fires" depends on the fire-cause categories used and the reliability of inspectors in identifying and recording those causes. Identifying "preventable" fires would be easier if fire-cause categories were defined with that purpose in mind. For example, rather than reporting only that a mechanical defect caused a fire, as is typically done, it would be useful to know whether the defect was one that could be seen or otherwise easily detected during an inspection.

In this way, the department fashions both its product and process evaluation. The department then produces a chart listing the aspects of the problem to be examined, the specific measures to be employed, and the means to be used in gathering data:

Objective	Data to be Gathered	Specific Measure	Data Collection Procedure
Reducing the number of fires	Reported fire incidence rate	Number of reported fires per 1,000 population, total and by type of residential occupancy	Evaluator obtains data generally available from department records
	Reported building fire incidence rate	Number of building fires per 1,000 occupancy types (e.g., single-family dwellings, duplexes, apartments, mobile homes, small stores) and by fire size	Number of occupancies by type may be estimated from planning department data (for residences) or from pre-fire inspection records for commercial/industrial occupancies; fire size estimated by fire officer at scene
	Reported plus unreported building fire incidence rate	Number of unreported plus reported building fires per 1,000 households (or businesses), by type of occupancy	Evaluator surveys a representative sample of citizens and fire incident reports; reasons for underreporting would also be solicited
	Preventability of fires	Percentage and rate of fires that are relatively preventable by inspection or education	Intended for internal fire department analysis based on judgements as to the relative preventability of various types of fires
	Pre-fire inspection effectiveness	Rate of fires in inspected vs. uninspected (or frequently inspected vs. infrequently inspected) occupancies, by type of occupancy and risk class	Data obtained by linking fire incident reports to fire inspection files

Goal Attainment Scaling

One evaluation approach that has gained favor with a large number of organizations is called Goal Attainment Scaling. The process was originated by Dr. Thomas J. Kiresuk at the Hennipin County Mental Health Service in Minneapolis. Over a period of four years, Kiresuk sought a measurement device that would determine the effectiveness of the center and that would meet these qualifications:

1. Satisfy standards of psychological measurement
2. Be relevant to therapists
3. Be useful in research
4. Meet administrative needs
5. Be capable of numerical manipulation
6. Be comprehensible to patients and consumer representatives

Finding that he could not identify or devise fixed standards of mental health to apply to all patients and therapists, Kirusek turned to staff and patients and in effect said:

> You tell us what you are trying to do and we will help you measure progress towards that event or entity, whatever it is. Use anyone's standards or tests, make up new ones if you like. Pick outcome events so that they will be indicators of the essential quality you are after, even if you can't state exactly what the quality is. Tailor these dimensions and outcomes for each program or individual. If they are truly unique to that patient, you may never use them again. If common dimensions and outcomes start to occur for particular kinds of patients or settings, group them. You can combine commonly used scales or dimensions with used-only-once scales. If you think you know best, and have the power to enforce your judgement, just write down your standards, as indicated above, and you will find out how well these standards have been met.†

† Thomas J. Kiresuk, "Goal Attainment Scaling at a County Mental Health Service" (*Evaluation*, Monograph 1, 1973, pp. 12-18).

Initiated in this clinical setting, Goal Attainment Scaling was transferred to other types of programs. Its illustration here is not a recommendation for its universal adoption, but rather to show one of many evaluation techniques that could be used by the program evaluator sincerely committed to ferreting out the benefits of programs too often thought to be beyond the pale of evaluation.

The GAS process resulted in:

1. A set of dimensions devised for or by the individual
2. A system to assign weight among the dimensions
3. A set of expected outcomes
4. A follow-up scoring of these outcomes
5. A score summarizing the outcome across all the dimensions

The chart illustrates a sample FAS follow-up guide. Five scale headings were chosen as important concerns. The titles were chosen to help the follow-up worker understand the nature of the dimensions on which the patient was being assessed. Outcome levels were then selected for some scales with the patient's involvement; others were selected by the clinician alone. The expected level with treatment on the first scale was tailor-made for this patient, and indicated that some practical steps would be taken by the patient, but that they would be taken with some ambivalence. The range of outcomes on either side of this expected outcome were also tailor-made, and within the capability of this patient. The reasoning behind the outcome selection went as follows: given this patient's background, environment, abilities and liabilities and hopes for the future—and given the capabilities of our treatment staff to treat such cases, as well as the current state of knowledge—what can we expect her to be doing, to be like, at the time of followup?

Because the scales were weighted relative to one another, any set of values could be used. The check marks indicated the clinician's estimate of the level at intake. The asterisks indicated the scoring by the follow-up worker. Using a statistical formula derived by one of the developers of GAS produced a score which summarized the outcome for this patient. Comparing the intake with the follow-up score provided a difference score, or estimate of change during treatment.

Checklist for Evaluation

☐ Covers product and process

☐ Tells who will be performing evaluation and how evaluators will be selected

☐ Defines evaluation criteria

☐ Describes data gathering methods

☐ Explains any test instruments or questionnaires to be used

☐ Describes the process of data analysis

☐ Shows how evaluation will be used for program improvements

☐ Describes evaluation reports to be produced

Level at Intake: ✪
Level at Follow-up: *

Level at Intake: 29.4
Goal Attainment Score (Level at Follow-up): 62.2
Goal Attainment Change Score: +32.8

Sample Clinical Guide: Crisis Intervention Center
PROGRAM EVALUATION PROJECT

GOAL ATTAINMENT FOLLOW-UP GUIDE†

Check whether or not the scale has been mutually negotiated between patient and CIC interviewer.	SCALE HEADINGS AND SCALE WEIGHTS				
	Yes X No ___	Yes ___ No X	Yes ___ No X	Yes X No ___	Yes X No ___
SCALE ATTAINMENT LEVELS	SCALE 1: Education (w1=20)	SCALE 2: Suicide (w2=30)	SCALE 3: Manipulation (w3=25)	SCALE 4: Drug Abuse (w4=30)	SCALE 5: Dependency on CIC (w5=10)
a. most unfavorable treatment outcome thought likely (-2)	Patient has made no attempt to enroll in high school. ✪	Patient has committed suicide.	Patient makes rounds of community service agencies demanding medication, and refuses other forms of treatment. ✪	Patient reports addiction to "hard narcotics" (heroin, morphine).	Patient has contacted CIC by telephone or in person at least seven times since his first visit.
b. less than expected success with treatment (-1)	Patient has enrolled in high school, but at time of follow-up has dropped out.	Patient has acted on at least one suicidal impulse since her first contact with the CIC, but has not succeeded. ✪	Patient no longer visits CIC with demands for medication but continues with other community agencies and still refuses other forms of treatment.	Patient has used "hard narcotics," but is not addicted, and/or uses hallucinogens (LSD, Pot) more than four times a month. ✪	Patient has contacted CIC 5-6 times since intake. ✪
c. expected level of treatment success (0)	Patient has enrolled, and is in school at follow-up, but is atending class sporadically (misses an average of more than a third of her classes during a week)	Patient reports she has had at least four suicidal impulses since her first contact with the CIC but has not acted on any of them.	Patient no longer attempts to manipulate for drugs at community service agencies, but will not accept another form of treatment.	Patient has not used "hard narcotics" during follow-up period, and uses hallucinogens between 1-4 times a month. *	Patient has contacted CIC 3-4 times since intake.
d. more than expected success with treatment (+1)	Patient has enrolled, is in school at follow-up, and is attending classes consistently, but has no vocational goals. *	*	Patient accepts non-medication treatment at some community agency. *	Patient uses hallucinogens less than once a month.	
e. best anticipated success with treatment (+2)	Patient has enrolled, is in school at follow-up, is attending classes consistently, and has some vocational goal.	Patient reports she has had no suicidal impulses since her first contact with the CIC.	Patient accepts non-medication treatment, and by own report shows signs of improvement.	At time of follow-up patient is not using any illegal drugs.	Patient has not contacted CIC since intake. *

† Ibid.