



MONOGRAPH:

A SERIES OF PAPERS

ON THE TOPIC OF

PROFESSIONALIZATION

IN THE GRANT FIELD

2006



Mission

The American Association of Grant Professionals (AAGP), a nonprofit membership association, builds and supports an international community of grant professionals committed to serving the greater public good by practicing the highest ethical and professional standards.

The American Association of Grant Professionals (AAGP) serves as a leading authority and resource for the practice of grantsmanship in all sectors of the field. It is dedicated to advancing the field by promoting professional growth and development, enhancing the public image and recognition of the profession within the greater philanthropic, public, and private funding communities, and promoting positive relationships between grant professionals and their stakeholders.

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Edited by
AAGP Research and Authority Committee

Monograph
A Series of Papers on the Topic of Professionalization in the Grant Field

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Preface

The American Association of Grant Professionals (AAGP) is proud to present its first Monograph: *A Series of Papers on the Topic of Professionalism in the Grants Field*. Currently, the grants field is experiencing a paradigm shift in the way society perceives the role and stature of grant professional in the workplace and within society. Given the speed in which the shift is occurring, AAGP felt it both timely and appropriate to devote this first publication to the “state of the field” and the progress it is making toward full professionalization.

A Series of Papers on the Topic of Professionalism in the Grants Field provides a historic perspective of the current move toward credentialization in the field. The progress in the grant field toward professionalization changes how we do things. This progress fundamentally shifts how we approach and think about what we do. *A Series of Papers on the Topic of Professionalism in the Grants Field* attempts to chronicle this paradigm shift.

The year 2006 is a pivotal year for the field of grantsmanship with the best single word to describe it being “accountability.” Government regulation is prevalent, competencies and skills have been validated by the field, professional standards and certification are just around the corner, and the cornerstone of our profession, the Code of Ethics has been revamped, published and adopted by the field. In *A Series of Papers on the Topic of Professionalism in the Grants Field* the reader will find articles that address each and everyone one of these topics.

It is hoped that that the reader will to use this resource for learning, teaching and advancing the field. It is anticipated that the content contained within the Monograph will spur dialogue that leads to expression of philosophical ideas and new and bold approaches to grantsmanship. This information will enable the reader to become engaged and eager to shape the future and the growth of the profession.

MONOGRAPH

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**PROFESSIONALIZATION OF THE GRANTS FIELD:
A SOCIOLOGICAL LOOK AT THE FIELD'S MOVEMENT
TOWARD FULL PROFESSIONALIZATION**

Pauline Annarino

**PROFESSIONALIZATION OF THE GRANTS FIELD:
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TOWARD FULL PROFESSIONALIZATION**

This paper explores the degree to which the grants field has achieved "professionalization" as defined by social scientists for more than a century. The field has most recently noted a paradigm shift in the way its practitioners perceive the role and stature of grantsmanship in the workplace and within society. According to social scientists, this shift represents healthy movement along a continuum toward professionalization. Utilizing a number of sociological models, this paper takes an in-depth look at grantsmanship's current journey from occupation to profession and offers a "blueprint" for moving the field toward full professionalization

In the 19th century, teaching was at first no more than a high-level domestic service, with the teacher often taking over some of the child-rearing responsibilities of the family. As society recognized the need for literacy in a quickly industrializing society, new systems of public education developed and, along with it, the National Union of Teachers. Within time, this occupation once viewed as “most-suited to spinsterhood,” emerged as a profession.

While the grants field can trace its roots to ancient times, it was not until the early 1970s before a noun was “assigned” to it when the introduction of the term “grantsmanship” by The Grantsmanship Center (TGCI). Despite major strides in the identification and legitimization made by TGCI and other educators, the field continues to seek its place as a profession, unsure of its terminology, its framework and its impact. Is the word “grant” a familiar term? Is the term “grantsmanship” a term at all? If one was to ask when and where did the term originate, one might hear any of the following comments. “Huh,” followed by a blank stare. “Oh, a grant writer. I always thought that would be a nice ‘skill’ to acquire.” “So you work on commission.”

Despite its misunderstood quality, grantsmanship is a billion dollar industry. More than 850,000 charities, 500,000 churches, 725,000 nonprofit organizations and 23,000 educational institutions exist in the United States today (GPCI, 2002). And growth continues exponentially. According to the Internal Revenue Service, between 1992 and 2002, the number of public charities grew 76% from 516,554 to 909,574. In tandem, the foundation community has grown in number by 255% in the past twenty years (Wells, 2005, p.6). It is estimated that more than 100,000 individuals serve as “brokers” between grant seekers and grant funders in this billion-

dollar industry. These individuals are most commonly referred to as grant writers. They impact change, impact lives and impact societal perspective on a very large scale.

The statements above beg the question: “If these facts are true, is grantsmanship only a skill-set within a broad-based profession or is it a profession recognized for the role it plays and the power it holds in the advancement of philanthropy and the public good?” As with teaching, dentistry and other occupations that have evolved into recognized professions, has the grants field obtained the recognition and status equivalent to its mandatory knowledge and skills? According to a number of social scientists, these questions are answered by the way the occupation defines itself and by its aspirations and achievements. How well the field defines itself determines the extent to which it has achieved or moved toward “professionalization.”

Definition of Terms

Before a discussion of professionalization can occur, the following terms should be defined. According to the American Heritage Dictionary (2000):

Profession: **a.** An occupation or career: **b.** An occupation, such as law, medicine, or engineering that requires considerable training and specialized study. **c.** The body of qualified persons in an occupation or field.

Professional: **a.** A person following a profession, especially a learned profession. **b.** One who earns a living in a given or implied occupation: **c.** A skilled practitioner; an expert.

Occupation: **a.** An activity that serves as one's regular source of livelihood; a vocation. **b.** An activity engaged in especially as a means of passing time; an avocation.

Professionalization: **a.** To make professional. **b.** The social process whereby people come to engage in an activity for pay or as a means of livelihood; "the professionalization of American sports." **c.** A process involved in the formation of groups of persons.

Grantsmanship: **a.** The art of obtaining grants-in-aid.

Grant Professional: No definition found in widely recognized dictionaries. For purposes of this paper: **a.** A person who engages in the art of obtaining grants-in-aid.

Most social scientists often define *profession* and *professionalization* in somewhat similar terms, however distinctions exist between them. According to Reynolds and O’Morrow, a *profession* is born out a societal need to have available certain services that require specialized knowledge and skills (1985, p.6). A *profession* distinguishes itself from other kinds of occupations by the degree of expertise and complexity entailed in the work. *Professionalization*

is the process whereby occupations seek to upgrade their status by adopting organizational and occupational attributes and traits attributed to professions (National Center for Educational Statistics, 1997).

Professionalization

Professionalization, or the process by which an occupation evolves into a profession, is framed by several theories dating back to the early 20th century. Despite a large number of theories and approaches, certain basic assumptions exist for all. They include the following.

- Professionalization is not acquired but rather a dynamic social process in a continual state of flux (Burbules & Densmore, 1991, p.41), and therefore considered as a continuum with well-recognized and undisputed professions and at the other end, the least skilled and least attractive occupations.” Between these two poles are the “emerging” or “marginal” professions. (Greenwood, 1966, pp. 10-11).
- There are specific criteria or indicators that move an occupation from one end of the spectrum to the other.
- Most often, though, the shift is caused by “market disorder,” or concern on the part of the public (Tseng, 1992, pp.44-45).
- Instead of asking “whether or not any particular group is “really a profession” or not...it is much more fruitful to ask “how professionalized,” or more specifically “how professionalized in certain identifiable respects” a given occupation may be” (Vollmer and Mills, 1966, p.v).
- Not everyone agrees that professionalization is a goal to be sought. Critics often see it as shift from the notions of altruism and service to the pursuit of power and prestige (Witter-Merithew, 2005, p. 40).

History and Theory of Professionalization

A M. Carr-Saunders is considered one of the first social scientists to systematically analyze the transition of occupations to professions. As early as 1928, Carr-Saunders defined professionalism in terms of “specialized skill and training, minimum fees or salaries, formation of professional associations, and codes of ethics governing professional practice,” He noticed that true professional associations are distinguished “by the degree to which they seek to establish minimum qualifications for entrance into professional practice, enforce appropriate rules and norms of conduct among members of the profession and raise the status of the professional group in the larger society” (Vollmer, Mills, 1996).

Theodore Caplow believed that the steps in professionalization are “quite definite, and even the sequence is explicit...” He defines the first step as the *establishment of a professional association*, with definite membership criteria to keep the out the unqualified. Step two involves

a *change of name of the profession*, which serves to reduce identification with the previous occupational status and provides a title which can be monopolized. The third step dictates the development and promulgation of a code of ethics, which asserts “social utility of the occupation and sets up a public welfare rationale, further eliminating the unqualified and unscrupulous.” His last step is described as “prolonged political agitation, whose object it is to obtain the support of public power to create barriers for the previous occupation (Caplow, 1954 pp.139-140.)

H. Wilensky 1964) is credited with defining the five primary structural attributes that define a profession. Similar to those of his colleagues, they include the following:

1. *Creation of a full time occupation.* "This involves performance of functions that may have been performed previously, as well as new functions, and can be viewed as a reaction to the needs in the social structure" (p. 92).
2. *Establishment of a training school.* This stage reflects both the knowledge and the efforts of early leaders to improve the occupation. Wilensky notes that in the more established professions university affiliation occurs before national professional associations.
3. *Formation of a professional association.* Associations serve to develop professional definition and tasks. Along with this, the association may change the occupational title as a way to reduce identification with the previous, less professional occupation.
4. *Support of law.* The profession will lobby for legal recognition of title and/or work activities.
5. *Formation of a code of ethics.* Ethical code concerned with both internal and external relationships.

From the early studies of professionalization, two contemporary theories have emerged: the *trait theory* and the *theory of control* (Mikkelson, 1996). The *trait theory* utilizes most, if not all, of the traits associated with the structural approach attributed to such pioneers as Carr-Saunders, Caplow, Wilensky, Vollmer, and Mills. This theory is most often illustrated by checklists of attributes to determine how far a given occupation has progressed over a continuum.

The *theory of control* expands upon the framework of the trait theory by relating the occupation to its place in the labor market and within society. In the view of these social scientists, the more control practitioners have over their work and the market in which they operate, the more professionalized they are (Tseng, 1992). Tseng further postulates that a profession is defined by the amount of power it wields. “Powerful professions are characterized by powerful associations.” Powerful professions establish alliances with the state. Powerful

professions are ones that are perceived as providing a public benefit service. The more powerful the profession the less regulation exerted upon it” (Tseng, 1992, p.20).

Tseng Model

Joseph Tseng is credited with the development of the *theory of control* model (Mikkelsen, 1996). Tseng uses two descriptive tools: 1) the movement of an occupation through five very explicit phases; and 2) a set of sociological and occupational traits, to illustrate his model.

Phase 1 – Market Disorder:

Market disorder is a concept used in the field of economics to describe those periods of increased uncertainty about the safety and liquidity of the economy arising from a wide range of market variables (Witter-Merithew, 2005, p. 20, Phillips, 1997). During these periods of market disorder, participants look to government regulators to establish public policies and regulatory structures to mitigate the disorder. Market disorder also describes the difficulties a business or profession has in securing and maintaining control over the variables that impact its operations and delivery of goods or services (Witter-Merithew, 2005, p. 20). Practitioners can not keep others from entering the field; they themselves may have started out as “outsiders.” Service recipients have little understanding of what the practitioner does. It is very likely that the public simply does not care about the quality of the service. What matters more in the absence of quality control is price. Those that demand quality services are troubled by the fact that they do not know where to get qualified practitioners (Tseng, 1992, pp. 44-46).

Phase 2 and 3: Consensus Regarding Professional Aspirations and Formation of Professional Association

Phase 2 occurs when a body of individuals recognize the need to consolidate the field and move away from the a prevailing practice of defining an occupation as a “pot” of scatted job tasks that meet the immediate needs of a particular employer. During Phase 2, individuals come together to share concerns and ideas, identify patterns and abuses and “develop” a consensus of professional aspirations. According to Tseng, and the great majority of his colleagues, the formation of a professional association is a key factor in process of professionalization.

Phase 4 and 5: Formulation of Ethical Standards and Control of Admission to the Profession

Proponents of professionalization believe strongly that the development and enforcement of a code of ethics is crucial because, as Tseng notes,” it functions externally as one of the

bargaining chips to earn public trust and internally as an indispensable tool for internal control” (Tseng, 1992, p.49). According to Mikkelson (1996), “As professional associations become more influential, their codes of ethics become more sophisticated and are more strictly enforced; but if the enforcement is weak, the associations cannot be powerful and function properly.”


Professionalization Applied to the Field of Grantsmanship

To answer the question, “is grantsmanship only a skill-set or a bone-a-fide profession,” the author synthesized the professionalization characteristics identified by the social scientists into a slate of twelve primary “traits,” listed in Table 1. Each trait represents an action needing to occur be done by the field in order to move the occupation closer to a profession. Recognizing that the move toward professionalization is fluid, the author sought to determine how far grantsmanship had already progressed along the professionalization continuum. To this end, the author conducted two informal focus groups representing approximately 35 grant professionals. The first group was comprised of the attendees at a workshop presentation at the Sixth Annual AAGP Conference in Scottsdale, Arizona (2005). The second group included the 2006 AAGP Board of Directors at a presentation in Las Vegas, Nevada (2006).

TABLE 1: Traits

Trait	Definition
Creation of Full time Occupation	Move toward discreet profession
Systematic Theory	Abstract Concepts
Establishment of Training School	Formal procedures to transmit knowledge
Formation of Association	Including name change
Code of Ethics	Public statement of duty
Credentials	Academic/professional recognition
Induction	Transitioning new professionals
Compensation	Range of salary and benefits
Continuing Professional Development	Ongoing availability
Authority	Influence in policy making
Community Sanction	Public recognition of standards
Culture	Collective identity via networks

Each participant was exposed to the continuum concept illustrated in Table 2. At the end of the exercise, respondents were guided back to this continuum and asked to place “grantsmanship” somewhere on the continuum, based upon the number of traits it had successfully completed.

Table 2: Continuum Concept		
Marginalized	Emerging	Fully
Occupations	Profession	Professionalized
		
0-4 traits	4-8 traits	9 plus traits

With an understanding of the continuum, the group was then exposed to each trait and asked to compare it against a “litmus test” of questions designed to determine how successfully the trait had been achieved. The group was then asked to come to consensus and speak as “one voice” as to where each trait fell on an individual trait continuum. The results of this exercise are described below. The responses described below for each trait represents the combined groups.

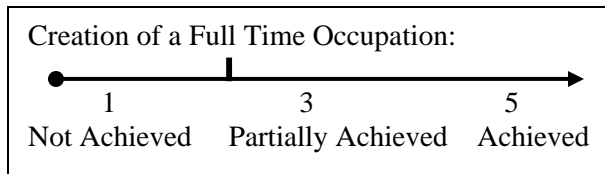
Trait 1: Creation of a Full Time Occupation

This trait involves activities defined in Tseng’s *Phase 2*. According to Tseng, professionalization occurs when the field moves away from the prevailing practice of defining an occupation as a “pot” of scatted job tasks that meet the immediate needs of a particular employer.

Litmus Test 1: Which one of these statements is true?

- Most grants professionals perform grant-related functions on a full time basis.
- Most grants professionals perform more than 50% of the duties on grant-related functions.
- Most grant professionals spend less than 50% of their duties on grant-related functions.
- There is no grant professional, only skills in grant writing.

Without solid psychometric data, respondents could only provide experiential responses, which resulted in little or no consensus. Forced to speak in one voice they agreed that most grant professionals perform more that 50% but less than 100% of their duties on grant-related functions. However, there was consensus that this trend was changing and that full time grant work was more prevalent in government and education.



Trait 2: Recognition of Systematic Body of Knowledge Exclusive to the Profession

A *systematic body of knowledge* refers a set of abstract concepts that describe the professional service. All fully developed professions have an established body of knowledge that is learned by the profession’s students, passed along through formal processes and expanded upon in scholarly publications (Witter-Merithew, et al, 2004, p. 24). Without an approved or recognized set of competencies and skills, it is impossible to identify the body of knowledge needed to impart to both students and general public.

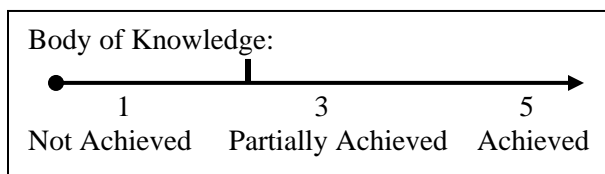
Litmus Test 1: Which one of these statements is true?

- There is a universally recognized name for the grants field.
- There is ambiguity over the terms used to describe a person who works in the grants field.

Litmus Test 2: The field has a scholarly publication.

- Yes
- No

Respondents recognized the work of the Grantsmanship Center and other bone-a-fide training programs as providing the field with a set of abstract concepts. They further identified the AAGP Journal as providing the field with its scholarly publication, as well as the standards currently being validated as further establishing a body of knowledge. However, alarming was the lack of consensus regarding the name of the field that represents grants and the term used to describe the individual who prepares grants. The term “grantsmanship” was discussed but not universally accepted. The terms “grant writer,” “grant developer,” and “grant planner” were identified but not agreed upon. Consequently, it was unanimously agreed that there is ambiguity over the terms used to describe a person who works in the grants field.



Trait 3: Establishment of a Training School

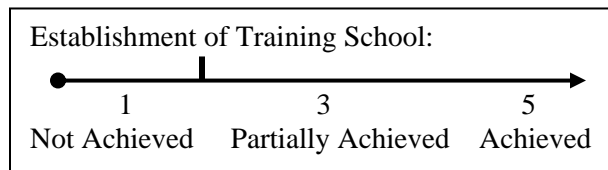
An emerging profession will promote formal procedures to transmit the essential body of knowledge to all recognized practitioners before and during their career (e.g., academic coursework, etc.). Wilensky notes that in the more established professions, university affiliation occurs before establishment of national professional associations (Wilinski, 1964).

- Litmus test 1: Which one of these statements is true?
- There are established training schools in grantsmanship that affiliate with universities or colleges.
 - There are established long-term training (more than two-weeks) programs in grantsmanship not affiliated with universities or colleges.
 - There are established short-term workshop venues available in grantsmanship.
 - There is no training available for grants professionals.

- Litmus Test 2: Most grants professionals obtain their training:
- Through formal training of any kind.
 - On the job training or school of hard knocks.

The literature reveals a plethora of short-term training programs, dating back to the early 1970's with the establishment of the Grantsmanship Center in Los Angeles. A quick "google" search today yields hundreds of short-term training opportunities generating from independent consultants, training centers, academic institutions and politicians. A survey of existing degree-based grant education programs in the United States, conducted by P. Renninger in 2004, further reveals a noticeable absence of any degree-based program specific to the grant field.

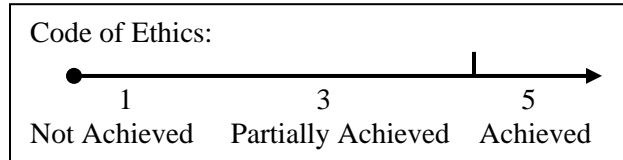
Given this data, it is not surprising that the respondents believed that: 1) there are established short-term workshop venues available in grantsmanship; 2) most grants professionals obtain training on the job; and 3) the current method of training is inadequate. However, respondents felt that this trend was changing.



Trait 4: Formation of a Professional Association

A professional association: 1) seeks to establish minimum qualifications for entrance into professional practice; 2) enforces appropriate rules and norms of conduct among members; and 3) raises the status of the professional group within society. It is the first step in the process of

AAGP' public commitment to a Code of Ethics clearly allowed all respondents to unanimously agree that the field did have formalized code of ethics. The group also agreed that in 2006 the profession's code of conduct was not yet enforceable and therefore still emerging.



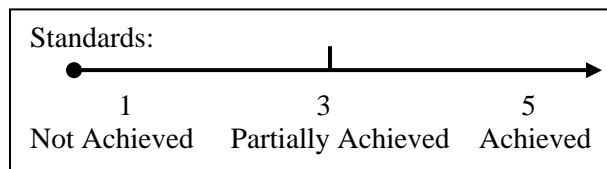
Trait 6: Acquisition of Academic and Professional Recognition to Satisfy Established Standards

According to Witter-Merithew, professionals require credentials. She notes that there are two ways in which a professional can and should demonstrate their mastery of “systematic theory of knowledge” and the standards set by the profession and the professional association. They include: 1) academic coursework; and 2) satisfying the criteria of a psychometrically-sound professional credential. She believes that “the absence of an agreed-upon academic and credentialing standard has significant implications for further professionalization...” (Witter-Merithew, 2004, p. 28). Levine (1998) and Darling Hammond (1987) further postulate that the existence of agreed-upon standards of professional practice, which are shaped by practitioners, is an essential element in the professionalization of an occupation.

Litmus test 1: Grantsmanship has a recognized professional credential.

- Yes
- No

In 2000, AAGP began the arduous task of developing the field's first psychometrically sound professional credential. Designed in accordance with the standards set for psychometric testing by the National Commission for Certifying Agencies, AAGP established the Grants Professional Certification Institute (GPCI) to develop and administer a certification program that reflects an individual's ability to provide quality grant-related services within an ethical framework. Due to AAGP' public support of credentialing, all respondents were aware of the efforts of GPCI but also recognized that the testing tool had not yet been launched. Consequently, respondents agreed that an academic or professional credential was not currently available but was on the way to achievement and, as such, gave it a rating of “3.”



Trait 7: Authority

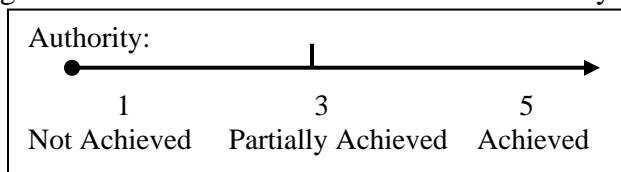
Authority is the extent of influence practitioners have over policy making and practice. The greater the degree of influence over policy-making, the greater the degree of individual autonomy afforded the practitioner. Professionals with a high degree of authority establish strong alliances with government and are able to exert authority and expertise to define public policy. According to Wilding (1982), the stronger the profession the more likely it will be self-regulated.

Authority evolves only when a body of systematic knowledge has been adopted by the profession, academic and professional credentials are recognized and the profession has created a high degree of specialization that distinguishes it from the uninitiated. (Witter-Merithew, 2005).

Litmus test 1: There is a mechanism or body in place for practitioners to affect public policy and policy making at the organizational level.

- Yes
- No

With recognition that standards are only now being put in place, both groups agreed that there is no mechanism or body in place for practitioners to affect public policy. Until grantsmanship has agreed-upon standards to define competency, it wields only limited impact on policymaking and slows down forward progress toward full professionalization. Again, all respondents recognized that efforts to this end were on their way to completion.



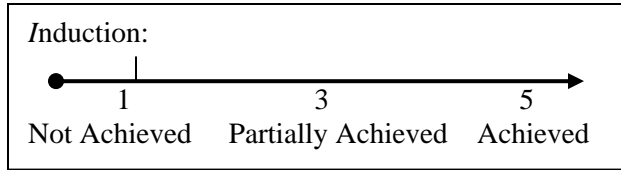
Trait 8: Induction

Induction is process of transitioning new practitioners into the profession through mentorship, supervision and direct guidance. In order to become a self-governing profession, an occupation must have a structured induction experience (Levine, 1998). Witter-Merithew notes that the “lack of direct supervision and an induction process devalues the complexities and importance of the work being performed...and potentially marginalizes the field (Witter-Merithew, 2005, p. 32).

Litmus test 1: Grantsmanship has mechanisms in place to transition new practitioners into the profession.

- Yes
- No

It was widely agreed upon by all respondents that the field of grantsmanship did not have an induction process for its new practitioners. One explanation for this gap was the field's lack of academic credential and the internship or practicum practice often associated with it.



Trait 9: Compensation

Compensation refers to the range of salary and benefit that enables practitioners to maintain gainful employment.

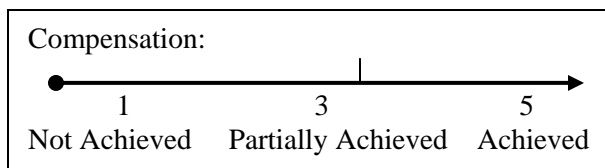
Litmus test 1: The current range of salary and benefits is consistent with other professionals of similar systematic theory, authority and credential.

- Yes
- No

Litmus test 2: Grantsmanship has a profession-wide agreed upon system for compensation.

- Yes
- No

Despite recognition that the field of grantsmanship is still emerging, and without standards, authority and a credential, the respondents were nevertheless unanimous in their belief that most grant professionals receive a salary and benefits consistent with other professionals with similar systematic theory, authority and credential. Consensus was unanimous that there was no profession-wide agreed upon system for compensation.



Trait 10: Continuing Professional Development

According to Witter-Merithew, *continuing professional development* refers to the “availability and extent of participation in learning events that promote acquisition of contemporary knowledge, application of current best practices and availability of sponsorship for qualified applicants” (Witter-Merithew, 2005, p.34).

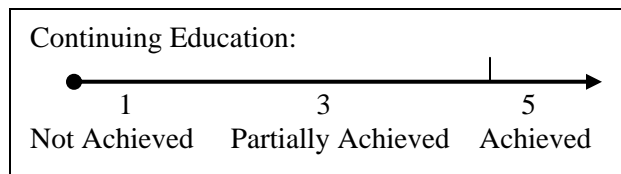
Litmus test 1: Grantsmanship has continuing professional development opportunities available to it.

- Yes
- No

Litmus test 2: Grantsmanship has a mechanism for maintaining continuing education maintenance records.

- Yes
- No

With the inception of AAGP and the plethora of short-term training opportunities, there was unanimous agreement that the field has clearly met the criteria for this trait. However, the field lacks a recognized mechanism for promoting and maintaining continuing education maintenance records specific to the grants field. This gap was not surprising as the granting of a “CEU” is often tied to a professional credential.



Trait 11: Community Sanction

Community sanction refers to the public acknowledgement of the professional standards, most often recognized through accreditation of educational programs and by the community’s (e.g., employers, government) utilization of the standards (e.g., credentialing).

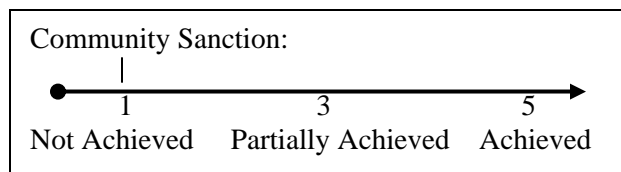
Litmus test 1: Grantsmanship has public/community recognition of professional standards.

- Yes
- No

Litmus test 2: Grantsmanship has sanctions as it relates to accreditation of training programs.

- Yes
- No

Given the fact that there are no degree programs in grantsmanship, or a credentialing program in place to allow recognition and sanctions, respondents agreed the criteria for this trait was not met.

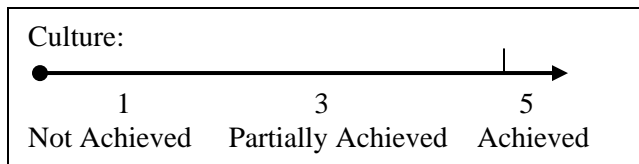


Trait 12: Culture

Culture looks at the nature of community within the profession, as evidenced by formal and informal networks of practitioners (e.g., associations, chapters, etc.). These networks are essential to the professionalization process, creating a platform or community in which the emerging professionals can gather, whether face-to-face or virtually, to promote those activities that move the field toward greater professionalization.

Litmus test 1: Grantsmanship has developed a systematic network and associations.
 Yes
 No

Despite weakness in other areas, the respondents unanimously agreed that the field of grantsmanship has strong established local and statewide networks and association chapters under the auspices of AAGP.



Summary Data

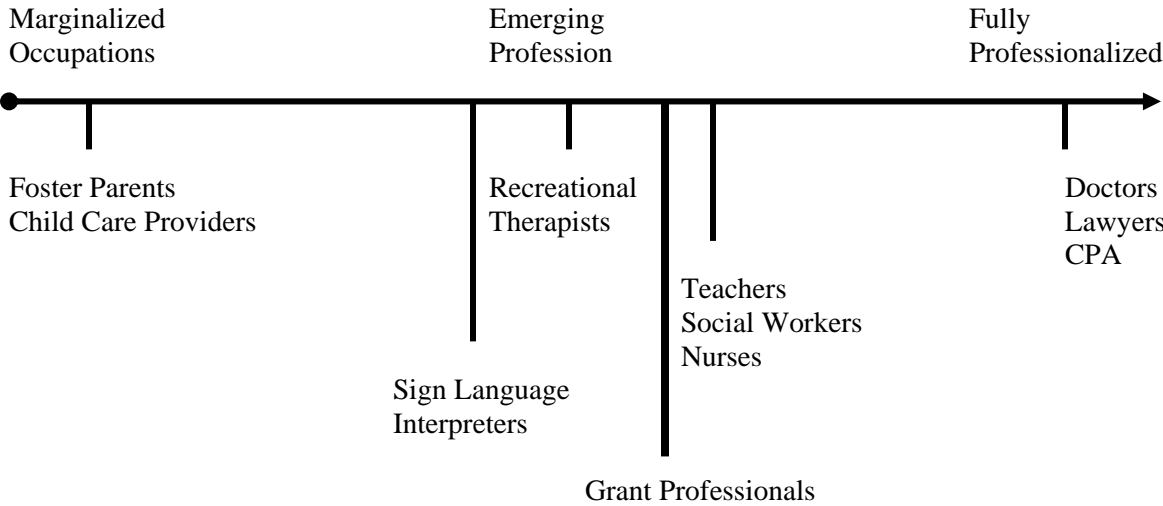
As noted above, both focus groups were in close agreement. Upon completion of the exercise that looked at each trait individually, each group was then asked to assign a number from “1” to “5,” with “1” representing no action by the field, “3” representing emerging or actively in process, and “5” representing an action fully completed, to each trait. The combined results of both groups are noted in Table 3.

Trait	“1” to “5” Scale
Creation of Full time Occupation	3
Systematic Theory	3
Establishment of Training School	2
Formation of Association	5
Code of Ethics	4
Credentials	3
Induction	1

Trait	“1” to “5” Scale
Compensation	3
Continuing Professional Development	4
Authority	2
Community Sanction	1
Culture	5

Based upon the opinions of 35 grants professionals, the grants field is clearly emerging as a profession. It is no longer viewed as simply as a set of skills associated within an occupation. However, it has yet to achieve full professionalization. Table 4 illustrates how grantsmanship may compare to other professions.

Table 4: Grant Filed Compared to Other Professions



The field’s practitioners agree that grantsmanship is emerging as a profession. But how quickly can it move along the continuum? Tseng’s *theory of control* phases may provide one answer to this question. Tseng postulates that an occupation must successfully complete five phases in order to move toward professionalization. With this tenet understood, how successfully has the field navigated each of Tseng’s five phases?

Phase 1: Market Disorder – Has the field experienced Market Disorder?

Is the grants field suffering from market disorder? Market disorder emerges when negative reactions to prevailing practices, perceptions and attitudes on the part of the public and the practitioner become evident. There is currently a public perception of shrinking philanthropic dollars and greater competition for those shrinking dollars. With perceived high demand and low supply follows an increase in unethical practices as individuals, both unscrupulous and/or naively ignorant, come forward to serve this market segment of funding seekers.

Without an authoritative body to assure grant seekers and funders of performance and ethical practices, nonprofits are at the mercy of any individual proclaiming to be a grant developer. As a result, midnight infomercials espousing that anyone can “get free money,” grant training programs advertising the opportunity to find a new profession and become a “certified” grant writer in a week, and “hired-gun” grant writers proclaiming convoluted 95% to 100% success rates are more prevalent than ever. With community-based organizations spending millions of dollars unsuccessfully seeking funds and funders receiving proposals with no merit, it is not surprising that these practices have caught the eye of government and a move toward government regulation. A real sign of market disorder in the grants field: in the past five years, more than half of the states in the Union have adopted some form of licensure or regulation (Renninger & Stinson, 2006).

Most importantly, though, recognition by the field’s practitioners that market disorder exists is the best indicator that the field has begun the process of professionalization and ready to enter Tseng’s next phase of professionalization.

Phases 2 and 3: Practitioners’ Aspirations and the Formation of Professional Association

Phase 2 for the grants field began in late 1997, when Randall Givens, Director of Grants and Program Development at York College in Nebraska began asking “relevant questions” and others responded-in-kind. The professionalization pioneers at that time were VC League (CA), Iris Coffin (IA), Mike Brock (MI), Phyllis Renninger (FL), Rachel Sherard (SD) and Bradley Knudson (SD). In 1998, the first organizational meeting was held to discuss the development of a professional association and, while unknown to them at the time, begin *Phase 3*, the formation of AAGP as a professional association (Givens, 2003, p. 30). AAGP would become the cornerstone of the professionalization of the grants field.

Was the field of grantsmanship, fueled only by perceived market disorder and the aspirations of a very small group of individuals, ready and postured for a professional association? One need only look to AAGP' history -- AAGP began in 1997 with six volunteers; today, more than 1,500 individuals have joined AAGP. In 1998, seven participants attended the first annual conference; today, more than 500 attend the annual event. Clearly, the field was not only postured to enter this phase, it passed through it rapidly. And while it did rename terms in the field, definitive recognition of those terms though, has not yet occurred.

Phase 4 and 5: Formulation of Ethical Standards and Control of Admission to the Profession

AAGP moved swiftly through *Phase 4* because its founders inherently understood the importance of ethics to professionalization. By October 1998, only six months from the first conference call, the AAGP founders arranged for its first face-to-face professional development event at Drake University. Two presentations were given: "The Credibility of Ethics" and "The Role of Ethics in the Grant Process." By April 1999, the group had already readied its first draft of the Code of Ethics for membership approval. In keeping with the process of professionalization, the AAGP Board of Directors expanded, strengthened, and renamed the original code to the *Code of Professional Practice in 2005*, and laid down stringent ethical standards to be upheld by the Board of Directors. In 2006, the arduous task of developing enforcement-related policies and procedures is being tackled by the organization. So, while *Phase 4* was embraced with the passion and speed as each phase before it, until enforcement is a public reality, *Phase 4* remains slightly unfinished.

Phase 5, or *control of admission to the field*, unfortunately, has been more elusive to the field. Wilensky (1984) suggests that although many occupations have sought professional status, few have attained all of the described attributes and accompanying recognition ascribed to highly regarded professionals. Most occupations function on the fringe. What is missing most often is systematic theory, authority, credentialing and social/community sanction, or those traits associated with *Phase 5, control of admission to the field*. It is in these areas that the grants field must now focus its efforts.

What Is Still Needed?

Carbone, in a survey of fundraisers, concluded that one obstacle to professionalization is the "sharing of expertise with amateurs, which considerably weakens the occupation's power to define its work and establish jurisdictional control and legitimacy" (Carbone, 1998, p 105). As

long as individuals can enter the field without professional education or governance control, the field is powerless to affect change.

Academic and professional credentials protect the interests of the public, or in the case of grantsmanship, protect society's philanthropic interests. It assures the field's beneficiaries that the grant professional has demonstrated knowledge and skills at a level that has been agreed upon by the profession as a whole. Before a credential or academic program can be developed, the field's standards must be identified and adopted through a systematic and valid approach. Shortly, AAGP will publish a psychometrically validated slate of competencies and skills for use by academic institutions and the credentialing initiative. From these "comps" and skills, the grant field will have their professional standards.

Ultimately, a credential serves the purpose of establishing control over who can enter the field and creates a valid and reliable standard for the philanthropic community to use as it carries out its own mission. With this tenet recognized, the field must promote and embrace a credentialing program in order to move the field along the continuum.

AAGP actively seeks remedy to the field's lack of a credential. In 2000, the membership mandated that the organization develop a psychometrically sound professional credential. At the time of this publication, a bone-a-fide, psychometrically sound credentialing program, developed by AAGP's affiliate, GPCI, is expected to launch in late 2007.

However, a recognized curricula and advanced degree requirement continue to elude the field. Until the time when entrance into the field demands an academic degree and a professional credential, grantsmanship will never achieve full professionalization. The community of grants professionals has invested a significant amount of time, money and energy to professionalize the field. With desire, aspirations and momentum behind it, it is very likely that this trait will be addressed in the near future. What is important, though, is that the field satisfies this trait by promulgating only the highest standards as its minimum requirements. Simple training programs should not take the place of advanced degrees. Minimum degree levels should clearly correspond to the skills needed to do all aspects of the job.

Lastly, the field has yet to address continuing education. As mentioned earlier, without a regulatory body mandating continuing education, there is little motivation to seek these units. However, with the implementation of a credentialing program, continuing education will have

“its turn” to move grantsmanship along the continuum. In fact, AAGP has begun the process of discovery as it pertains to continuing education.

What still needs to be done? As a field, we need to reconcile the difference in standards set by the profession and those set by the marketplace. Today, practitioners can and do work without a credential or academic degree and the definition of who is qualified to perform the task is subject to a wide range of views and standards. The marketplace defines our name and our boundaries.

In keeping with the social science of professionalization, we must turn our efforts to greater stakeholder education to employers, government officials, educators and funders about the role grant professionals play in the accomplishment of their own missions. We must promulgate the now-validated competencies and skills, future academic degrees and the credentialing initiative. We must be prepared to develop a continuing education maintenance program, and complete the policies and procedures that will enforce of the field’s professional code of conduct. These tasks are not daunting but simply evolutionary. With these actions completed, the final traits of *authority* and *social/community sanction* will fall into place and, along with it, professionalization.

In 1994, Roda Roberts, in her work with foreign language interpreters, challenged the field of interpretation to adopt a body of knowledge that: “1) clarifies terminology (e.g., agreeing on a clear definition and universally recognized name for the occupation; 2) agrees upon minimum academic qualifications; 3) agrees upon academic standards and corresponding curricula; and 4) recognizes accreditation standards (Roberts, 1994, pp. 133-136). It appears that this same challenge faces the field of grantsmanship. This author believes the field will meet these challenges and move swiftly along the continuum towards full professionalization.

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**AN EMERGING VOCATION:
THE GRANT PROFESSION**

Phyl Renninger
and
Karen Stinson, Ed.D.

AN EMERGING VOCATION: THE GRANT PROFESSION

One would imagine that an emerging profession would be new, high tech, or a scientific breakthrough. It would carry a name like nanotechnologist, geospatial specialist, or laser technologist. How could an emerging field be about “grants” or a “grant professional?” Hasn’t that field been around for years? Why is it “emerging” now? What happened to bring it to the forefront of our attention?

More than 850,000 charities and nonprofits¹, 500,000 churches², 725,000 nonprofit organizations³ and 23,485 educational institutions⁴ exist in the United States today. Estimated charitable giving reached nearly \$250 billion in the nation (Giving USA, 2005). Furthermore, since 1972, the Los Angeles-based Grantsmanship Center alone has taught over 100,000 people from nonprofit organizations and public agencies around the country in the art of writing grant proposals. Those individuals are joined by other staff who work with grants and who may have attended other classes/workshops or who have not received any training or education at all.

Individuals outside the grant profession often think of grant writing as a technical skill that can be self-taught or acquired with training. The grant professional truly understands the interactions that occur between the grant writer, the proposal design team, and the funding organization. They understand that securing resources for a nonprofit is really a well-defined process with accountability and compliance requirements that follow specific regulations.

The work of the grant professional is complex and inter-related. Grant professionals use their knowledge to ensure a match between the applying organization’s goals and the funding agencies’ mission. Grant professionals conduct research, identify organizational or project needs, carry out gap analysis, employ strategic planning, calculate and justify budgets, explain a proposed project in precise technical writing, design evaluation components, and help design teams delivery a proposal on time. All of these activities occur under a high standard of ethical practice.

The grant professional faces many issues that arise in a field without regulations or certification. Some individuals and agencies “guarantee results” and claim “100% success rates.” Some of these groups promote “free money,” “professional certification by taking a course or sending in a check,” or “percentage-pay based on a grant award.” Some of these groups have

¹ Source: GuideStar

² Source: U.S. Information Agency

³ Source: Brody, 2004.

⁴ Source: U.S. Department of Education, National Center for Education Statistics. 2005

been known to come into a new town and take money upfront to “shotgun” applications to numerous agencies. All too often, local foundations note the “template” approach and/or the lack of match between the request and the mission of the foundation. Clearly, few if any of these “template” proposals are awarded funds, the nonprofit is left with money spent from their operating budgets, and the agency has no additional promised resources. The unethical behavior of the few unscrupulous individuals or organizations, if left unchecked, could ruin the reputation of many honorable grant professionals.

The American Association of Grant Professionals

From the 1970-1990, there were not many formalized training organizations for the grant professional. The Grantsmanship Center Inc (TGCI) offered training and established a forum/listserv for anyone who attended their training. The forum had open discussions on many grant topics. During the mid 1990s, many voices were sharing the following concerns: “The grant professional is always the last hired, first fired when it comes to organizational budgets.” “If we had extra funds, we would hire a grant professional.” “Can you put the funds [to hire you] into the application and we will pay you if we get funded.” “What are the qualification to be a grant professional.” and so on. In 1997, as the conversations continued, a small group of people emerged and pursued the idea to form an organization for grant professionals who could address these, as well as other, issues. On April 2, 1998, a conference call occurred. The participants were Iris Coffin (Iowa), Phyl Renninger (Florida), Rachel Sherard (South Dakota), Mike Brock (Michigan), Randy Givens (Nebraska), Brad Knudson (South Dakota), and VC League (California). Over the next six month, the group researched other organizations to find out what was currently offered for the grant professional, and examined the feasibility of establishing an association. Mike Brock provided the administrative information needed to form an association.

A face-to-face meeting was set up at Drake University in Des Moines, Iowa on October 24, 1998. A lecturer from Drake University, Dr. Jennifer McCrackerd, presented on “The Credibility of Ethics.” This was followed by a presentation by VC League on “The Role of Ethics in the Grant Process.” Two local proposal writers attended, starting our treasury with the first \$50 (\$25 registration). The meeting was attended by Iris Coffin, Phyl Renninger, Mike Brock, Randy Givens, and VC League ... and thus The American Association of Grant Professionals (AAGP) was started.

Professionalization

Professionalization - *the social process whereby people come to engage in an activity for pay or as a means of livelihood; "the professionalization of American sports"; "the professionalization of warfare"*⁵

In the goal to achieving personal and professional excellence, the grant professional must examine many of the components upheld in other professional fields: ethical principles, expertise, standards of accountability and quality, and maintaining important attributes of our chosen field. Normally a profession is simply defined as an occupation that requires extensive education or specialized training similar to dentistry, accounting, architecture, or medicine. So if the “grant professional” receives on-the-job training, attends conferences and workshops, and has studied or received training in some form of education, is that enough for it to be considered a profession? While there are many college degrees in writing, communication and ethics, there are none that specifically are listed as a degree in grant professional. How then is one to become an identified professional if there is no educational degree as the starting point? There does not appear to be an “easy to follow check list,” but more of the notion that an occupation can be professionalized by the way it compares its characteristics to those of occupations considered professions.

In her 2005 AAGP conference session "The Professionalization of Grantsmanship: Are We There Yet?" Pauline Annarino, current president of AAGP, facilitated an analysis of grant relative professionalization in terms of a 9-part continuum.

1. Does the profession have an established knowledge base?
2. Does the profession influence public policy?
3. Does the profession have a recognized credential?
4. Do new participants enter the profession in a systematic, recognized way?
5. Does the profession have a code of ethics?
6. Is there a recognized range of salary and benefits for the professional?
7. Is there ongoing professional development?
8. Do all stakeholders acknowledge our high standards and code of ethics?
9. Does the profession have a collective identity through various networks?

If this is indeed a valid criterion, then we are almost there. Through AAGP, the profession has a code of ethics and standards of practice, grant position job descriptions exist and are often shared among the organizations on grant forums, and ongoing professional development is available through workshops, training, conferences, CharityChannel University,

⁵ The American Heritage Dictionary, 2003.

and a professional journal. The grant professional certification should be launched in 2007 and we have evidence of recognition, including the grant registration issue discussed next.

Grant Writer Registration⁶

Some states require grant writers to register and even pay a fee when operating in that state. Other states do not require either. When a state requires that the grant writer register, and an organization is not eligible to compete for funds if they use a grant professional, is that discrimination? What are the implications for our profession and where do we go next with this information?

A question on *CharityChannel* sparked an unexpected research project. A client of one of the grant writers of the American Association of Grant Professionals (AAGP) received a letter stating the following:

“Thank you for submitting a grant proposal to the ___Foundation. The Foundation does not consider applications from organizations which utilize professional grant-writers or fund raisers.”

The grant writer made the following comments:

“It appears as if certain foundations have formed an anti-grant writer coalition. They communicate with each other and reject any 501(c)(3) which uses a grant writer. The letter (with excerpt quoted above) is representative of about a half dozen I’ve received this year. It’s ironic that my being a grant writer disqualifies my clients from receiving grants.”

This issue on the AAGP forum led to a lengthy discussion on how a funding agency or organization would know whether a grant writer was involved and whether groups need to indicate that they have used the professional services of a grant writer.

Through the research, it was discovered that registration, costs, and requirements for registration of grant writers varies significantly from state to state. Through e-mails, faxes, mail, and phone calls to state offices to request information about grant writer registration, information was gathered from 23 states (Attachment 1).

- In states such as Iowa, where grant writers are not registered, there is no known discrimination against the use of grant writers to receive proposals.
- It was discovered that some states require only out-of-state grant writers to register while others require all 501(c)(3) organizations to indicate annually whether they use grant writers and to register if they do.
- Some states require grant writers to pay a registration fee while other states require that the 501(c)(3) registers and pays the fees. Florida requires a

⁶ *Grant Writer Discrimination and Registration.* “Take it for Granted,” AAGP Newsletter article.

registration fee of \$300 payable each March 31st, to the Florida Department of Agriculture and Consumer Services.

- Other states that have some kind of grant writer registration, and or fees, are California, Minnesota, New York, North Carolina, North Dakota, and Pennsylvania.
- For the states who charge a fee, the process and the office that handles registration is also not at all consistent in each of the states.
- Fifteen states reported that they did not charge any fee: Alabama, Alaska, Arizona, Georgia, Iowa, Louisiana, Maine, Mississippi, Oklahoma, Oregon, Tennessee, Texas, Vermont, and Wyoming.

This information is provided as a starting point, however, because almost every response indicated that registration and fee structures changed frequently. The agency or organization that was listed as the contact also varied considerably in each state. Contacts for grant writer registration were found at the: Secretary of State, State Attorney General's Office, Governor's Office, Soil and Water Commission, Business Services, State House of Representatives, Department of State- Bureau of Charities or Business and Public Filings. The response received most often was like the one from the State of Louisiana, Secretary of State:

“We have no information regarding requirements for grant writers in Louisiana. You may wish to search Louisiana statutes. You may visit the web site www.lwgis.state.la.us and then click on Louisiana laws.”

A check of the statutes and a check with other offices in Louisiana led to the belief that they do not require grant registration at this time. In almost all cases, even with the states that required grant writer registration, the answer was not simple. A call or fax to the Secretary of State would lead to a referral to a series of other staff and offices to determine if grant writer registration was handled by them.

Those states that did require grant writer registration had not only fees, but many also had penalties for not registering for operating within the state as a grant writer. There were some distinctions made between grant writers and professional fund raisers (particularly those who directly handled money). An inquiry was not made about professional fund raising or direct marketing but was specifically asked about someone who would be writing a grant for a 501(c)(3).

In Florida, where an annual fee was charged, staff members who work for non-profit organizations and non-paid volunteers did not have to register. Other personnel, who may be exempt depending on the circumstances, were consultants or staff members who write for

government, churches and educational facilities. The recommendation was to contact the Florida Department of Agriculture and Consumer Services to determine whether or not the grant writer is exempt. In Florida, there are penalties that were \$1000 per violation. There was also a requirement to submit all contracts (between grant writer and agency) at least five days prior to starting to work on the grant. Standard contract language was required with specific phrasing mandated by the state.

All 50 states have been contacted and follow-up inquiries are continuing on the 27 states who have not responded. The states who have not yet responded include Colorado, Connecticut, Delaware, DC, Hawaii, Idaho, Illinois, Indiana, Kansas, Kentucky, Massachusetts, Michigan, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, Ohio, Rhode Island, S. Carolina, S. Dakota, Utah, Virginia, Washington, West Virginia, and Wisconsin. Locating information on grant writer registration is difficult because no consistent state office is responsible and the statutes change frequently. So again, a caveat that one must check with the specific state and start with the Secretary of State office to determine if there is grant writer registration. It is also recommended that one maintain all written correspondence (email) to insure that if there is grant writer registration, that one can prove that he or she has expended every effort to try to locate the pertinent regulations.

Implications for the Grant Professional

Although all the information has not been gathered on every state, and although a research study has not been conducted on the repercussions of this issue, there is definitely enough information to raise provocative questions for our organization and the grant profession. AAGP was formed to examine issues relevant to our profession, to set standards for the grant professional, and to speak as one voice across the country on behalf of grant professionals. One of the primary standards for grant professionals is professional ethics. The section below discusses professional ethics of grant professionals.

Ethics

Ethics refer to the rules or standards governing the conduct of a person or members of a profession⁷. Ethical conduct remains a concern for all professionals in every field. In a recent article in *The Chronicle of Higher Education* (Langlais, 2006), a survey was conducted on ethical

⁷ As defined in the American Heritage Dictionary.

behavior. It was found that 39 percent of the respondents⁸ in one survey pool said that, “as graduate students or postdoctoral fellows, they had observed or had personal knowledge of ethical violations.” That is a sad commentary and just one example of a major concern in all professions. The respondents to the survey found that unethical conduct included such gross misconduct as plagiarism, data falsification, attributing credit to inappropriate authors in publications, and failing to name appropriate ones.

In a profession in which data gathering and writing are a way of life, plagiarism and data falsification are frightening thoughts for the grant professional. For this reason, one of the very first tasks of the AAGP board was to develop a *Code of Ethics*. Along with the code, the board and ethics committee recently added the *Standards of Professional Practice*, outlining acceptable practices in the Grant profession (AAGP, 2006). It is the role of professional associations to play a key role in articulating ethical standards for the professional members in the field. As part of ongoing research in professional ethics of grant professionals, additional research will be conducted regarding the view of AAGP members toward the definition of ethics. The continued exploration of ethics will lead to a clearer understanding and delineation of the ethical conduct that the grant professional realistically uses in the profession. It is clear that unless grant professionals create a clear standard of ethics, others will feel compelled to do so through legislation or law.

Credentialing

At the present time, there is no authoritative body to assure grant seekers and funding organizations of performance and ethical practices, leaving nonprofits at the mercy of any individual proclaiming to be a grant writer. The Grant Professional Certification Institute (GPCI) is dedicated to the public good and so believes that it is imperative that as the field emerges, it does so with the consumer situated front and center. It believes that it is essential for the nonprofit community, government agencies, and the community-at-large to understand the role grant professionals play in the overall health of each organization, and the power it has over the outcomes of its fund seeking⁹.

The American Association of Grant Professionals established a 501(c)(3) affiliate called the Grant Professional Certification Institute (GPCI). GPCI was established to develop a professional grant credential, implemented in tandem with stakeholder education. Its mission is recognition of and access to grant professionals who possess skill and integrity that provides

⁸ American Physical Society junior members (those receiving their Ph.D. within the previous three years)

⁹ Grant Professionals Certification Institute, website: http://www.grantprofessionals.org/credentialing/cred_gpci.php

community-based organizations, government agencies, and others one set of tools needed for quality and ethical professional conduct.

With the credentialing process well underway, it is clear that there is a tremendous potential impact concerning the issue of registration and fees. It appears that each individual state, as an “authoritative body,” may begin to “regulate” the grant writer by requiring registration. This can be a very important statement for the grant field, impacting the entire process of being a grant professional. Additional fees for grant registration could impact the costs of providing services to nonprofits. With the Internet and other distance communication capabilities, grant professionals can currently work with nonprofits almost anywhere in the United States. Required registration for each state could severely limit the grant professional’s opportunities to work with others and increase fees for registration in each state. In addition, most of the grant writer registration required the grant professional to send a copy of the contract with the nonprofit prior to beginning work on any projects. If the grant professional has a long-term relationship with a client and the RFP (Request for Proposals) comes out within a reasonable timeline, this is quite feasible. New clients or RFP’s with short timelines, however, make this procedure extremely difficult.

“Requiring the grant professional to register” may fit in with the efforts of AAGP and its affiliate, GPCI, to provide credentialing. It is possible that GPCI can be of service to the grant professional by offering voluntary certification that could be used to demonstrate to states that the grant professional abides by the highest standard of professional and ethical practice.

In 1997, when the American Association of Grant Professionals was established, it recognized the importance of a professional certification as a means of advancing the field. At that time, a small number of dedicated professionals undertook the initial steps toward the development of a professional certification. As GPCI closes in on the final phases of implementing the credentialing process, the issue of state registration may be a challenge for the grant professional to examine the implications. Does the grant profession support registration in all states? Should representatives of the grant field contact those agencies that require registration and get them on our stakeholder groups for credentialing? Or do we need to argue against registering because of the implications are more in line with discrimination than professional support?

Our Future

Can AAGP take this issue and further examine the implications to our professional as a whole? Once examined, what is our platform on state registration? Is there indeed a discrimination issue if organizations are being denied application to grant funds because a grant writer is involved? How do we best help unite our profession and decide what is the best approach to this issue?

With professional efforts underway by the American Association of Grant Professionals as well as the Grant Professional Certification Institute, there are outcomes that will in turn strengthen our profession. These outcomes include the following:

- The general public will have the knowledge and tools to better assess an individual's knowledge-base, performance abilities, integrity, and ethical standards as they relate to the grant development process.
- The funding community will be better assured that the goals and programming put forth by grant seekers are indeed in alignment with the funding organization's goals, attainable and responsive to the needs of the program beneficiaries and that the relationship between funding organizations, grant seekers, and grant developers strengthened.
- Grant writers and developers will have a better understanding of the role they play within an organization or entity and the programmatic skills and ethical standards required to be a grant professional.
- The field of grant development and management will have a nationally recognized credential attesting to experience and qualification, affording it with the same benefits that other professional's credential affords their profession.
- Grant professionals will have ongoing professional development that includes professional journals, national conferences, CharityUniversity e-classes, state and chapter workshops, and many other networking and educational opportunities. The grant professional will also have a collective identity through the professional efforts of their organization.

It is not clear at this point what the future will hold for grant writer registration but it is clear that as a profession we will need to continue to be in the forefront to help shape the professionalization of our field. The need for qualified grant professionals continues to grow, so the issues facing our field will continue to be of great importance to our field, as well as to the nonprofits we serve.

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Attachment A: Grant Writer Registration Information Table

State	Contact	Registration	Comments/Notes
Alabama		None	Zo Devine, Humboldt County was contacted
Alaska	E-mail	None	“Anyone who provides a product or service for compensation in Alaska needs a business license so if a grant writer is self-employed they need a license. There is no registration or licensing permit for grant writers. The department of commerce and economic development, occupational licensing, issues Alaska business licenses. The link to the website is http://www.deed.state.ak.us/occ/home.htm ” 907-269-0263 Loren Lemar office of Lt. Governor
Arizona	E-mail	No	Email back Jan Brewer, 602-542-4285
Arkansas	E-mail	Other Contact	Need to contact soil and water at 501-682-1611 no other information available at secretary of state office 501-682-3409
California		Yes	“It costs \$200 to register as "fundraising counsel" with the State Attorney General's office. That's the category into which grant writers fall.If you solicit funds, then you have to register as "commercial fundraiser" and pay a different fee. This is a new law (California Nonprofit Integrity Act) as of 1-1-05. Fundraisers must send a copy of all contracts with nonprofits to the State and wait 10 days after submitting before beginning any work.” Victoria Emmons, MPA, CFRE
Colorado	Fax		Donetta Davidson= 303-869-4864- 30 Trinity St. Hartford CT 06106 Susan Bysiewicz
Connecticut	Letter		Mailed letter because no email or fax was give.
Delaware	E-mail		Emailed business services
District of Columbia	Fax		207-727-2525
Florida		Yes	Florida requires Grant Writers to register as Professional Fundraising Consultants under the Solicitation of Contributions Act (Chapter 496, Florida Statutes). Register with the Division of Consumer Services through the Florida Dept. of Agriculture & Consumer Services. The registration fee is \$300, payable each March 31st. Staff who write grant proposals for the nonprofit organizations that employ them and non-paid volunteers do not have to register. Others, who are exempt, from my understanding, are consultants or staff members who write grant proposals for the government, churches and educational facilities. Here is a quote from this year's registration renewal reminder: "PLEASE BE ADVISED that if it is determined you are operating as a professional fundraising consultant in violation of Chapter 496, Florida Statutes, the Dept. will seek its available legal remedies against you. Failure to comply with this law will subject you to a “cease and desist” order and monetary fines up to \$1,000 per violation. If you have any questions, please contact this office at (800) 435-7352 or (850) 488-2221 if calling from outside Florida." In addition to the registration fee, grant writing consultants and other fundraisers must submit to the state all contracts five days prior to work commencing and there is specific information that must be stated within contracts. When the number was called, Marion stated that there was no registration requirement. A considerable amount of time was spent checking the website also. There is additional discussion with legislators, etc on this topic. One AAGP member thought that grant writers who for under a fee for services

State	Contact	Registration	Comments/Notes
			structure where they merely perform the writing for the nonprofit are not part of that requirement as long as they do not get any funding from the grant for those services. Recommendation is to contact the state with your specific questions and get a response back in writing.
Georgia	E-mail	None	Kathy Cox sent an e-mail message with a listing of grant programs administered through various state agencies in Georgia can be found on the Rules and Regulations of the State of Georgia which are accessible via our agencies website at http://www.sos.state.ga.us/rules_regs.htm .
Hawaii	Fax		808-586-1922 fax
Idaho	E-mail		Ben Ysursa sent email
Illinois	E-mail		Emailed
Indiana	E-mail		Emailed
Iowa	E-mail	None	Emailed just in case
Kansas	E-mail		Grant writers normally would fall in the category of fundraisers and/or solicitors. http://www.kssos.org/business/business_charitable.html : charitable organizations must register prior to soliciting, and fund raisers and solicitors working for charitable organization must also register. Forms are available in a package at http://www.kssos.org/forms/business_services/PFP.pdf : Professional Fund Raiser Annual Report (no fee). Professional Fund Raiser Operating Statement (no fee). Professional Solicitor Application (no fee). Professional Fund Raiser Application (\$25)
Kentucky	E-mail		Trey Grayson
Louisiana	Letter		Letter
Maine	E-mail	Not Sure	Emailed: "Thank you for contacting us. Although our department is not involved we will look for info for you." Contact governors office at governor@Maine.gov or the Maine Department of Education at http://www.state.me.us/education/homepage.html
Maryland	E-mail		Letter: State House Annapolis MD
Massachusetts	E-mail		
Michigan	E-mail		Emailed
Minnesota	E-mail	Yes	In 2003, Minnesota passed legislation that requires professional fundraisers to register with the state attorney general, pay a \$200 fee, and fill out a mound of paperwork each year. Freelance grant writers are considered "Professional Fundraisers" in Minnesota. A bona fide salaried officer, employee, or volunteer of a charitable organization is not a professional fundraiser. The statute is on the website.
Mississippi	E-mail	None	"The answer is no to all your questions" Eric Clark emailed
Missouri	E-mail		Robin Carnahan emailed. MISSOURI from Cynthia A. Robinson, Grant Specialist http://www.ago.mo.gov/checkacharity/charityregistration.htm : most charitable organizations and professional fundraisers must register. Forms available: Charitable Organization Initial Registration Statement (\$15). Charitable Organization Annual Report Forms (\$15). Professional Fundraiser Initial Registration Statement (\$50). Professional Fundraiser Renewal Application (\$50). Solicitor Registration Statement (no fee)
Montana	E-mail		Emailed
Nebraska	E-mail		Emailed
Nevada	E-mail		Fax 775-684-5708 Dean Heller

State	Contact	Registration	Comments/Notes
New Hampshire	Fax		Email
New Jersey	E-mail		Email
New Mexico	Fax	505-827-3634	No known requirements were reported by AAGP members but no response came from the state department. Contact Rebecca Vigil-Giran
New York	\$800	Yes Annually	Independent contractor requirements- not for those employed by an organization as a grant writer. Submission of contracts you engage in with the charities you write for There are no qualifications or testing requirements in NYS, though you do have to record the contracts you enter into with clients with the state attorney general's office. They charge \$800 per year to register - state's fundraising efforts. .http://www.oag.state.ny.us/charities/forms/charindex.html#gen_reg
North Carolina		\$200	
North Dakota	E-mail	\$100	On website www.sate.nd.ud/sec/businesss/serv/profundraiser - business services
Ohio	E-mail		Emailed
Oklahoma	Fax	No	405-521-6457 Fax from Tamra Oller Business Filing Examiner, Oklahoma Secretary of State, 405-521-3912, FAX 405-521-3771.
Oregon	Fax	No?	503-373-7414- Registration for fund raisers was limited to those actually handling cash for a non-profit agency. Janice Pelster Secretary of state information www.sos.state.or.us/executive/who/bill.htm
Pennsylvania	E-mail	Yes	\$250 a year to register as a Professional Fundraising Counsel (the designation an independent grant writer would fall under) in Pennsylvania with Department of State, Bureau of Charities. Send them any contracts you have with charitable organizations at least 10 business days before the start of the contract, for them to review. There are certain provisions that must be included in each contract in order to gain their approval-- found on their website
Rhode Island	Fax		Matthew Brown 401-222-1356
South Carolina	E-mail		803-734-1661
South Dakota	E-mail		Emailed
Tennessee	E-mail	No	Angie Tatum, Division of Business Services, "Cannot help in this instance – not qualified to provide legal advice, contact an attorney.
Texas	E-mail	None	No info from director business and public filings, governors office does have a data base= www.ited.state.tx.us/guide or Texas LEGISLATURE at www.capitol.state.tx.us/statutes/statutes/htm ; Texas does not have a state certification process for grant writers. However, Texas offers the Texas Review and Comments System (TRACS) to determine what applications are submitted. They are our single point of contact on all grants we submit. Gayla Rawlinson, Director of Resource Development Harris County Department of Education, Houston, Texas 77022-5618
Utah	E-mail		Gary Herbert, 801-538-1000, elections.utah.gov/lt.governo.html
Vermont	E-mail	None	Debora Markowitz emailed sec.state.vt.us ** web link
Virginia	E-mail		Emailed
Washington	letter		Wash sec of State, Sam reed. Legislative Building, PO Box 40220 Olympia WA 98504-0220 Letter
West Virginia	E-mail		Emailed Governor
Wisconsin	Fax		608-266-3159
Wyoming	Fax	No	Faxed 307-777-6217



**SETTING THE STANDARDS FOR THE GRANTS PROFESSION:
IDENTIFICATION AND VALIDATION OF THE COMPETENCIES AND SKILLS**

Pauline Annarino
and
Harriet Blymiller

SETTING THE STANDARDS FOR THE GRANTS PROFESSION: IDENTIFICATION AND VALIDATION OF THE COMPETENCIES AND SKILLS

Between 2000 and 2006, the American Association of Grant Professionals (AAGP), its affiliate the Grant Professionals Certification Institute (GPCI) and the University of South Florida, Institute for Instructional Research and Practice (Institute) undertook a series of activities designed to identify and validate a slate of professional competencies and skills for the field of grantsmanship. The validated competencies and skills will serve as content for a grants-related professional certification test and establish professional standards for the field. This paper chronicles the activities conducted to date by the three entities to identify and validate this slate of competencies and skills for the Grant Professionals Certification Examination.

The development of a professional certification for the grants field can be traced to the establishment of AAGP in 1997. In that year, its founders identified two inter-related issues facing the field: 1) the need for ethical practices and 2) a need for a mechanism to promote and uphold those ethical practices. The mechanism would come to be defined as “certification.” From its inception, AAGP recognized the enormity of the task. It stood firm in its belief that certification should reflect only the highest testing standards and be devoid of any potential conflicts of interest. AAGP committed its efforts and resources to the assurance that all aspects of the certification process would be conducted within the psychometric parameters established by the National Organization for Competency Assurance’s affiliate, the National Commission for Certifying Agencies (NCCA). To ensure this standard, a three-way partnership of the following entities was established to develop the field’s first professional certification examination, the Grant Professionals Certification Examination.

- *American Association of Grant Professionals (AAGP):* As the premier association representing grants professionals throughout the country and abroad, AAGP served as the impetus for the credentialing initiative and as a major stakeholder group within the field of grantsmanship. Established in 1997, AAGP is a 501(c)(6) nonprofit membership associations, dedicated to building and supporting an international community of grant professionals committed to serving the greater public good by practicing the highest ethical and professional standards (www.grantprofessionals.org/about/mission.php).
- *Grant Professionals Certification Institute (GPCI):* Established in 2002, GPCI, an affiliate 501(c)(3) nonprofit organization of AAGP, has complete oversight of the development and implementation of the certification program. GPCI was established, in part, to meet “absence of conflict of interest” criteria and to ensure administrative independence from AAGP as recommended by NCCA.
- *University of South Florida, Institute for Instructional Research and Practice (Institute):* Established by the Florida Legislature as a research entity in 1984, the Institute conducts

independent, valid and reliable research studies and projects addressing specific issues, including various types of certification and licensure. Employing best practices, statisticians (psychometricians) and statistical associates analyze both quantitative and qualitative data to enable experts to integrate theory and reach consensus on high-stakes social, educational, and professional projects. Besides aligning the Grant Professionals Certification Examination project with NCCA standards, the Institute employs guidelines of the American Psychological Association for its psychometric processes. The Institute was selected to serve as the psychometric arm of the project after an extensive nationwide RFP process.

The successful development of a professional examination must demonstrate validity, reliability, and defensibility. A certification examination must be legally defensible against examinee challenge. It must also be free of bias, whether of gender, race, ethnicity, culture, or theory. AAGP, GPCI, and the Institute are conducting their efforts within this framework.

1999-2002: The Early Years and the Work of AAGP:

Determining the Need for Certification

In 1999, at the AAGP First Annual Conference in Chicago, the AAGP Board of Directors established a formal committee to investigate the concept of credentialing. Responding to the charge, the newly established committee brainstormed, investigated and planned for a possible credentialing initiative. Throughout 2000, professional conversations, or “chatter,” dominated the CharityChannel, an Internet-based public discussion forum. An informal e-mail survey was distributed to the AAGP membership to solicit their opinions regarding the need for certification and ongoing dialogue ensued. By the end of the year, the committee had moved certification from an anecdotal concept to a data-driven initiative.

The data compiled in 2000 was shared in two workshops at the Second Annual AAGP National Conference in Berkeley, California. There, participants openly discussed the need for credentialing and at the annual membership meeting passed a resolution mandating continuation of the discovery process. By 2001, the informal surveys and discussions of 1999 and 2000 were replaced by formal surveys, with the inaugural tool being distributed at the Third Annual AAGP National Conference in Orlando. This survey focused on the questions of: “Who are we? What do we do? Is professional certification what we really want?” The survey became the first of several formal mechanisms employed to identify “competencies and skills.” Fifty of the 125 registrants completed and returned the survey. Greater than 90 percent of the respondents indicated a belief in the need for a national credentialing program. The Credentialing Committee

concluded the conference with a second workshop, and the membership affirmed its commitment to credentialing with a resolution to continue the work of certification.

In 2002, the Credentialing Committee turned its efforts to determining if AAGP was in a position to launch a national credentialing program. To this end, the committee drafted a detailed AAGP Credentialing Business Plan (Mandley et al., 2002). The Plan's primary purpose was to determine if a national credentialing program was financially feasible. The Plan also laid the logistic groundwork for program development.

At the Fourth Annual AAGP National Conference in Portland, Oregon, the AAGP Board of Directors voted unanimously to accept the Business Plan and directed the Credentialing Committee to continue its research into the psychometric and financial aspects of the task. The Credentialing Committee also presented an update of its accomplishments to the membership.

With the results from AAGP's initial discovery and due diligence activities between 1999 and 2003 in hand, AAGP adopted the following tenets.

- The field of grantsmanship is rapidly emerging into a profession that has the potential for misuse and government regulation.
- Certification is one benchmark for distinguishing grant development as a profession.
- At this time, no other certification tool addresses the functions and processes associated with grant development, writing and administration.
- There exists a critical mass of certification candidates throughout the country.
- Grant professionals are poised and ready to embrace certification.
- Over time, employers and educational institutions will promulgate the necessity of certification for every individual earning a livelihood as a grant professional.
- The membership and the Board of Directors of AAGP have the expertise and resources to develop, implement and sustain a self-supporting certification program.
- A credential attests that a person has minimum basic competence to practice in the field of grant development, based upon a valid set of standards set by the field, and demonstrated via a valid and reliable examination. Moreover, the certificate will not be tied to any particular course of study or training offered by AAGP or any other professional or training organization.

With belief in these tenets, along with other supporting information, AAGP moved forward to:

- Develop and administer a psychometrically sound testing (certification) tool that demonstrates an individual's ability to provide quality grant-related services within an ethical framework.
- Form an independent nonprofit organization to oversee, administer and revise the Certification tool and program and continually monitor the test's validity and reliability (GPCI).

- Ensure the upholding of ethical practices by its certificate holders by making available a formal grievance procedure.
- Design and maintain the certification program so that it becomes self-supporting after an initial investment.
- Expand the certification program to include activities that generate program revenue, including but not limited to developing educational resources to aid in the preparation for certification, and outreach programs that promulgate the importance of certification to stakeholders (e.g., nonprofit organizations, educational institutions, grant makers, individuals in the grant profession, administrators, etc.).
- Engender positive relations with other grant-oriented organizations and individuals within the philanthropic sector.

Furthermore, AAGP and GPCI recognized that:

- Initial development activities must include early education of all stakeholders in the profession.
- Initial activities must be adequately funded.
- The plan and its activities must be fully endorsed by the Board of Directors and the membership.
- The plan must encourage positive “buy-in” from other ancillary professional organizations, agencies and funding community (AFP, Council on Foundations, Grantmakers for Effective Organizations, Grantsmanship Center, etc.).
- The resultant program must clearly demonstrate administrative independence from AAGP.
- The resultant program must demonstrate its ability to be fully self-supporting.
- The resultant program must demonstrate its efforts to promote constant growth and renewal of professional competencies through a certification maintenance program.

With approval from the AAGP Board of Directors and the membership, the next steps in the certification process, stakeholder education and test development, began in earnest.

2002-2005: The Middle Years – GPCI and the Institute Join Forces with AAGP:

Identifying Competencies and Skills

By 2003, the committee had moved its efforts away from discovery and into program development. The committee formed the Grant Professionals Certification Institute (GPCI), AAGP’ 501(c)(3) affiliate nonprofit, charged with oversight of the certification program. GPCI made its debut at the Fifth Annual AAGP National Conference in Kansas City, with a dedicated booth, brochure, buttons and balloons. For the first time, the Credentialing Committee presented a technical, rather than informational workshop.

In 2004, the Credentialing Committee, working with AAGP' Professional Growth and Development Committee, synthesized the data into a slate of "Commonly Identified Competencies and Skills." After additional information was obtained from an informal survey on AAGP' online forum, the exercise was repeated in early 2005 with a second group of AAGP Professional Growth and Development members. In the summer of 2005, the Credentialing Committee refined the data into a new document entitled "Grant Professional Core Competencies and Skills." The "Finalized Core Competencies" were approved by the Credentialing and Professional Growth and Development Committees for public distribution and placed on the AAGP website for review and comment.

Over the five-year period beginning in 2000, AAGP, GPCI, and the Institute would identify, compile, and informally validate a broad-based slate of competencies and skills to form a foundation for the arduous task of validating the competencies and skills psychometrically. In early 2004, AAGP and GPCI entered into partnership with the Institute for Instructional Research and Practice (the Institute) at the University of South Florida to oversee the examination development process. Table 1 and 2 chronicles these activities.

Table 1: Chronology of the Identification of Competencies and Skills Used by Grant Professionals

- 2000. Documented conversations with approximately ten experts in the field. Informal electronic survey by Credentialing Committee, 2000, responses: 18.
- 2001. Survey of Grant Professionals distributed at 2001 National AAGP Conference in Orlando; 125 attendees, responses: 50. Purpose: determine perceived need and begin the formal process of identifying competencies and skills.
- 2003. In Article entitled "Identifying Professional Competencies" by Deanna Nurnberg published in the Journal of the AAGP, Spring 2003.
- 2003. Slate of competencies and skills derived from previous surveys presented in a workshop of 25 participants, Fifth Annual AAGP National Conference, Kansas City, Kansas.
- 2004. Sixteen content experts convened in Boston to review and identify core competencies in a two-day workshop facilitated by the Institute. Content experts also began determining eligibility criteria needed to sit for the examination.
- 2004. Revised slate of competencies and skills derived from previous surveys and additional presentations presented in a workshop of 15 participants, Sixth Annual AAGP National Conference, Boston.

- 2004. AAGP Professional Growth and Development Committee began an independent two-year review of tasks associated with grantsmanship.
- 2005. Slate of competencies drafted utilizing all previous data obtained via formal and informal surveys, literature reviews, workshop presentations and Professional Growth and Development two-year review.
- 2005. Eligibility criteria presented to GPCI and AAGP Boards of Directors for feedback and initial approval.
- 2006. Under the stewardship of the Institute, standardized validation of the competencies and skills completed. Within strict psychometric parameters, the Institute conducted internal and external validations of the competencies and skills.

Table 2: Chronology of Activities Conducted for the Internal and External Validation of the Competencies and Skills Used by Grant Professionals

2005-2006: The Current Test Development Activities

- Competencies written within psychometric testing parameters in Austin, Texas and presented to the Institute.
- Examinee eligibility criteria and examination parameters presented to the Institute.
- In Tampa, twelve content experts conduct the first list of competencies and skills for testing purposes.
- External validation conducted via an electronic survey sent to 1,300 stakeholders. External validation results reviewed and validated by ten content experts in two meetings.

Test Development Summary

During two decades of wide-ranging projects, Institute staff have refined the following process for test development: 1) assemble numerous and diverse subject matter experts; 2) conduct primary and secondary data analyses and literature reviews; 3) evaluate assessment and screening tools and program effectiveness; 4) develop programs for the field; 5) conduct and analyze external validations of work products; and 6) provide deliverables, both written and multimedia, keyed to a variety of stakeholders, including theorists, legislators, practitioners, consumer/clients, and candidates for certification and licensure. This same process is being employed for the GPCI certification initiative.

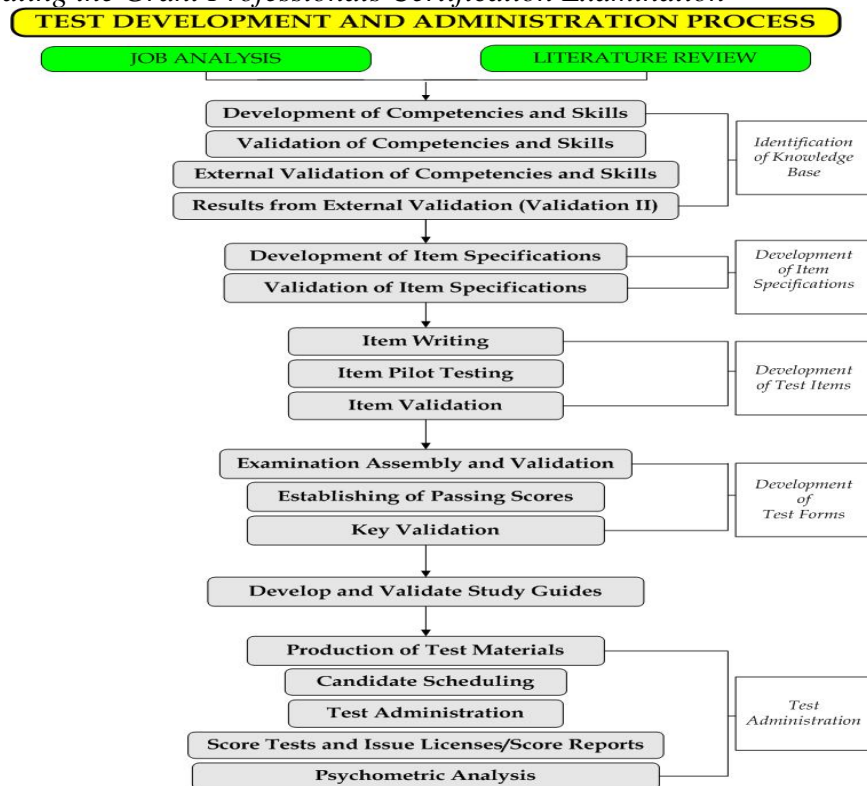
The flow chart in Table 3 outlines a general process used in certification and licensure examinations for standardization. The test development process itself may be described as reiterative—or recursive since it is initially a process of task analysis and written composition. The first step is usually to conduct a task analysis by surveying content experts. After the initial psychometric analysis of the survey results, content experts are trained by Institute staff and then

meet in committees or teams to accomplish the necessary tasks. Before each meeting, content experts preview documents appropriate to their task. A draft or work product is created by one team of content experts. Then, to ensure accuracy of the work product, a second team validates the work product. For continuity between the work product's creation and validation, some members of the initial team also serve as validation team members.

Validation, which requires thorough participant training, review, and revision of documents, may be superficial or profound, depending on the quality of the first draft. During task analysis and external validation of competencies and skills, the opinions of a wide range of content experts are surveyed, statistically analyzed, and the results brought to bear on development teams' work products.

After examination items (questions) are written, psychometric analysis assumes a dominant role: pilot testing, passing-score setting, and post-administration performance analysis require statistical performance analysis. For score setting, the eponymously named Angoff process¹ is used: after taking a test form, content experts rank items according to their difficulty. Then using the Statistical Analysis Program, a psychometrician will analyze the data to assist experts in setting the passing score.

Table 3: Validating the Grant Professionals Certification Examination



¹ Angoff WH. Scales, norms, and equivalent scores. *Educational Measurement*. 2nd ed. Washington, DC:

Examination

Before the Institute could begin test development for the Grant Professionals Certification Examination, certain decisions regarding the examination had to be made. What kind of examination? A certification for entry level or professional excellence? Generalist? Specialist? Who would be an eligible candidate for testing? What criteria would determine eligibility? Approximately fifteen individuals representing a wide array stakeholder groups came together over a number of meetings to determine the examination's parameters and minimum eligibility requirements needed for certification. The group concluded that for purposes of setting examination benchmarks: 1) the test would consist of 150 multiple choice items and a writing sample, administered in two sittings, and 2) eligibility would be generalist in nature and require meeting four primary criteria. Table 4 describes the initial eligibility requirements set for this credentialing initiative.

Table 4 : Minimum Eligibility Requirements for the Grants Professional Credential (GPC)

- The GPC examination is designed as a “generalist” test. A “generalist” is defined in broad terms as a person who is experienced and competent in the fundamentals of grantsmanship. The “generalist” designation represents the minimum standards required to successfully develop, prepare and manage a grant activity. Generalists may (and often do) possess proficiency at the mastery or distinguished level. This examination, though, does not provide data to distinguish a generalist from a master grants professional.
- Successful candidates will require minimum knowledge and skills related to all aspects of grant development and management, including but not limited to such areas as grant pre-production planning, grant construction, public sector funding, private sector funding, ethics, management and grant accountability.
- In order to successfully pass the GPC examination, GPCI believes that the candidate must possess a slate of prerequisite qualifications. These qualifications described as criteria in the chart below, represent four professional areas: 1) Education, 2) Experience, 3) Professional Development and 4) Community Involvement. Test eligibility is based on a point system that reflects these four professional areas.
- The *minimum* number of points needed for eligibility is 120 points: 40 *possible* for education; 70 for experience; 40 for professional development; and 20 for community service. This point system requires a successful candidate to have specific experience or activity in three of the four categories. Only the “experience” category has a minimum required threshold.

With the eligibility determined, GPCI and the Institute began the task of identifying subject matter or content experts. It was determined that approximately 75 experts, representing all facets of grantsmanship, would be required and that all participants in the validation process

would be “grandfathered-in.” Experts will be nominated by other professionals in the field and meet most, if not all, of the following eligibility criteria for participation in a validation session:

- Fully supportive of the credentialing process;
- Willing to sign a nondisclosure affidavit before participating in secure test development activities;
- Willing to sign a statement pledging adherence to the AAGP Code of Professional Conduct in daily work;
- Possessing at least five years of “master level” competency in one or more areas of the grants field (e.g., author, teacher, funder, administrator, director, etc.);
- If a grant professional, demonstrating successful experiences in no less than five different funding sources and/or programs;
- Demonstrating leadership: influential among peers; active in efforts to improve the profession through leadership in professional associations or networks, affecting widely used policy, rules or law;
- Possessing the ability to work industriously and cooperatively in a task group;
- Possessing the ability to concede to, or agree to disagree with a task group;
- Attaining a Bachelor’s or graduate degree (recommended);
- Having served as a grant reviewer (compensated or volunteer) for a nonprofit or governmental organization within the past 5 years (recommended); and
- Showing evidence of commitment to the field, such as pro bono work.

Once the project had been framed in this way, examination development could begin. For the Grant Professionals Certification Examination, the Institute accepted the task analyses previously conducted by AAGP. The analyses were aggregated into a single draft document by a pair of seasoned grant professionals, each with different specialties in the grants field, one from California, the other from Florida, but working in Austin. Institute staff then performed a technical edit: the content remained unchanged, but wording was revised to facilitate multiple-choice examination development. For instance, the skill “Serve in a facilitative leadership role” requires on-the-job performance, but “Identify facilitative methods of leadership” may be tested with multiple choice items.

Concurrently, an experienced grants professional, instructor, and author conducted a literature search designed to: 1) summarize the main tenets of the subject area, current and historical; 2) outline current, widely accepted practice in the field; and 3) explore emerging trends (as opposed to passing fads) likely to prevail for the next five years.

The inaugural development team of twelve content experts met for two days in April 2006, at the Institute’s secure facility. For selecting teams, standard practice is to vary demographic composition and specialty area. The inaugural team, who traveled from all over the

United States, included school district grants office directors, consultants, authors, an educational research consultant, president of a family resource center's grants section, and a policy expert on juvenile justice.

After orientation and training, this team reviewed the task analysis drafted in Austin, now edited into a list of competencies and skills. A competency is a broad area of knowledge in a discipline or profession. A skill is the behavior that demonstrates that competency. To illustrate:

- Competency 4 (of 9): Knowledge of how to craft, construct, and submit an effective grant application.
- Skill 1 (of 12): Interpret grant application request for proposal (RFP) guidelines and requirements to ensure high quality responses.

First, the author of the literature review presented a summary of findings. The team then engaged in open discussion. With an understanding of the literature review, the group next broke into "task teams" to revise the draft competencies and skills. Each task team added to, deleted from, and painstakingly worded and reworded a specific series of competencies and their respective skills. Subsequently, each task team's work was reviewed by the larger team; conflicting ideas were resolved, consensus reached, and a second competencies-and-skills draft document approved. In addition, the team decided how to weight the competencies, that is, each competency was assigned a specific percentage of the examination according to its relative importance. This is the "blueprint."

The inaugural team's work was next subjected to external validation by grant professionals. The Institute designed a four-part survey for this task. Part 1 ranked skills on a Likert-type scale according to frequency and criticality. Part 2 assigned blueprint percentages to each competency, ranking them as "too high," "appropriate," or "too low." Part 3 provided an open-ended section for comments and Part 4 solicited demographic information.

The approximately 1,300 grant professionals surveyed included members of AAGP, grant professionals not associated with AAGP, and other stakeholders with knowledge of the field and likely impacted by certification. Appropriate permission to survey these populations was obtained by GPCI. The survey attracted a 40% response rate. And with only two exceptions, in Part 1 the respondents validated the inaugural team's competencies and skills. In Part 2, respondents suggested adjusting the blueprint. Competency 4, stated above, illustrates one example where respondents sought a higher weighting. In Part 3, respondents requested expanding or adding skills in budget preparation, ethical practice, and the use of technology.

In general, respondents found the survey rather long; this was reflected not only in comments but also in the number of respondents who began but did not complete the survey. Even so, the items in Parts 2 and 4 were answered at approximately a 30% rate and above. There were 153 responses to the open-ended Part 3, many of them extensive and detailed, not only commenting on the credentialing process but critiquing the survey itself. A small handful of respondents, who exited the survey Web site and then thought of more to say, emailed further comments to the survey administrator. Sample survey demographics are reported in Table 5.

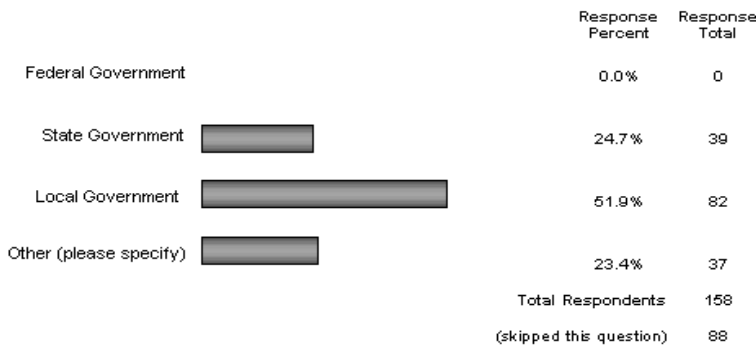
Table 5

1. In which grant sector are you employed?

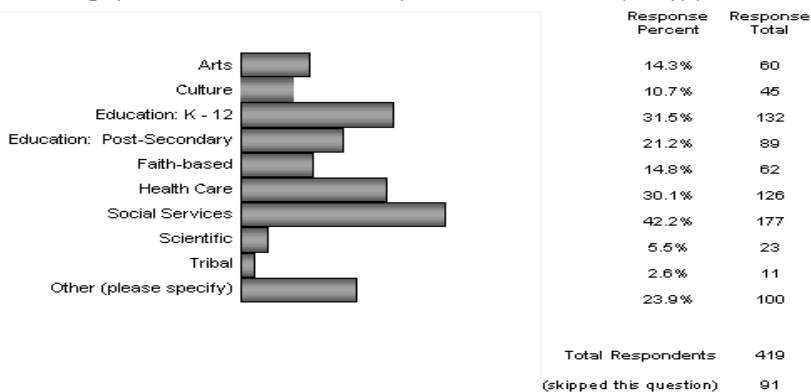


2. If you are employed in the public sector, do you work at the federal, state, or local level?

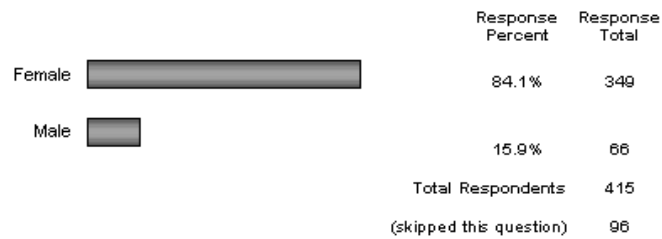
(If you are not employed by a government agency, please skip to the next question.)



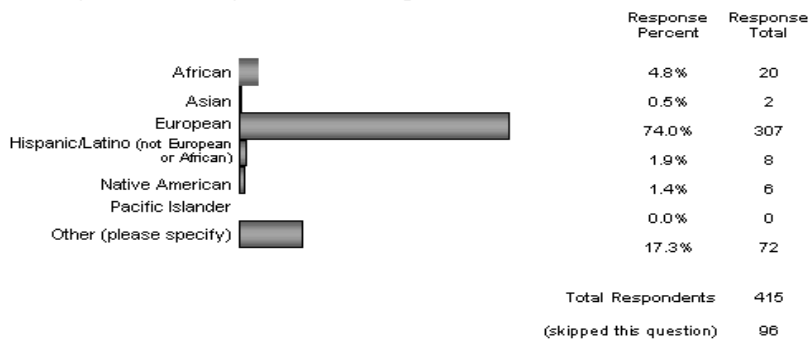
3. Which category best describes the field in which you work? Indicate as many as apply.



7. What is your gender?



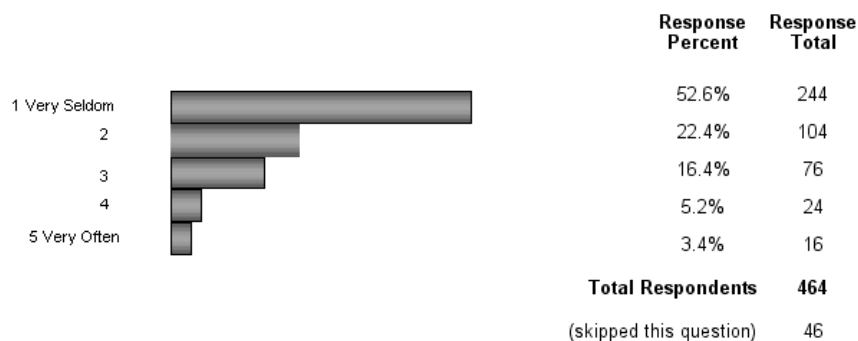
8. What do you consider to be your racial / ethnic origin?



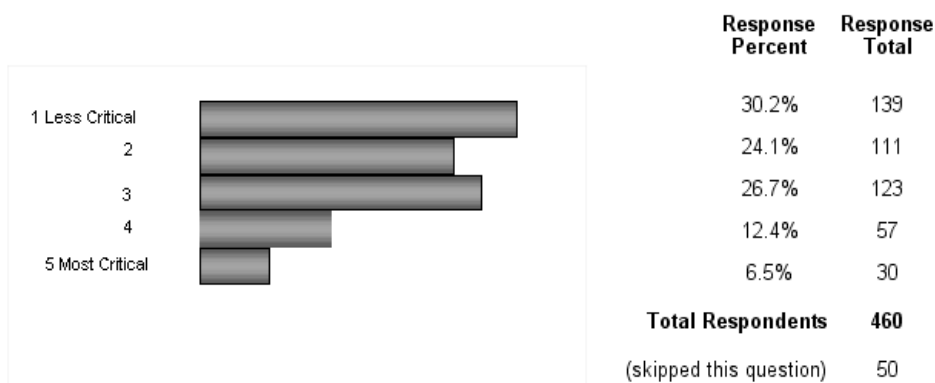
Following the external validation, a team was convened at the Institute’s facilities, with a range of specialists. Four inaugural team members preserved historical perspective, and three new experts contributed significantly to revisions informed by the survey results. The validation team focused their attention on those survey items outside acceptable statistical parameters. One is illustrated in Table 6. Overall the team concurred with the survey respondents and removed two skills.

Table 6

19. How often do you identify major issues in tax exemption as they relate to the grants field?



20. How critical is identifying major issues in tax exemption as they relate to the grants field?

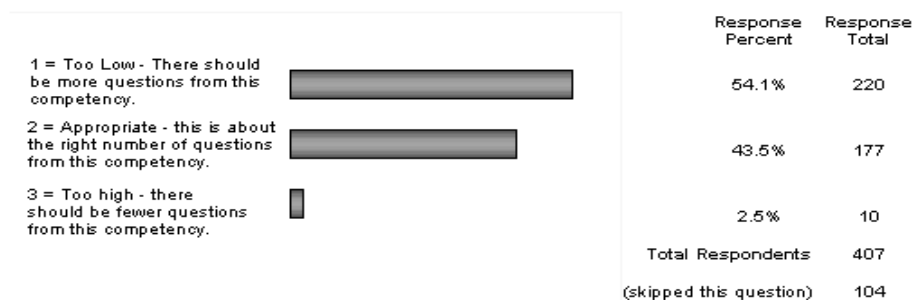


The team further reviewed survey respondents’ open-ended comments, to address significant issues, among them “interpreting data to demonstrate a need,” “covert leadership,” and the effect of the professional’s ethnicity, gender, or other status on the grant process. In budget preparation, respondents frequently called for added skills. In the ethical area, calls for skills were insightful rather than frequent: for example, “Grant writers have the power to censor opportunities while researching grant prospects based on their own judgments and should be knowledgeable enough to recognize when that’s appropriate and when it’s not.” Skills were expanded or created as the team judged appropriate. Although several respondents called for skills on using specific technologies, the team agreed that this area is subject to immediate, constant change and therefore difficult to test without constant (and expensive) updating.

The validation team then considered the draft blueprint compared to survey results and agreed that Competency 4 needed more weight and adjusted the blueprint accordingly. See Table 7.

Table 7

4. Knowledge of how to draft, construct , and submit an effective grant application - 12%



Again, the team reached consensus on the content and wording of the competencies and skills, and on the blueprint. Institute staff again edited the competency-skill-blueprint document, and several issues emerged for discussion. Four team members participated in the conference

call, three inaugural team members and one who attended both the inaugural and validation meetings. Issues resolved during this meeting involved, for example, use of the term *environmental data* and creation of a skill to address a respondent's comment: "the ability to recognize inappropriate expenditures in a proposed budget." After another technical edit, the competencies and skills were finalized for examination development. Table 8 lists the competencies and skills; Table 9 illustrates the blueprint.

Table 8: Validated Competencies and Skills, IIRP, 2006

Specific competency

01. Knowledge of how to research, identify, and match funding resources to meet specific needs
 - Identify major trends in public funding and public policy.
 - Identify major trends in private grant funding.
 - Identify methods of locating funding sources.
 - Identify techniques to learn about specific funders.
 - Identify methods for maintaining, tracking, and updating information on potential funders.
 - Identify effects of applicants' organizational cultures, values, decision-making processes, and norms on the pursuit of grant opportunities.
 - Identify fundable programs and projects for specific organizations.
 - Determine best matches between funders and specific programs.
 - Interpret grant application request for proposal (RFP) guidelines and requirements to accurately assess funder's intent.
02. Knowledge of organizational development as it pertains to grant seeking
 - Identify methods for coordinating organizations' grants development with various available funding streams.
 - Assess organizations' capacity for grant seeking.
 - Assess organizations' readiness to obtain funding for and implement specific projects.
 - Identify methods for assisting organizations to implement practices that advance grant readiness.
 - Identify values, purposes, and goals of fund-seeking entities' overall strategic plans in the grants process.
 - Identify methods of conducting mission-focused planning and needs assessments with applicant organizations.
 - Identify strategies and procedures for obtaining internal institutional support and approval of decision-makers for grant-seeking activities.
 - Identify appropriate methods of working with local, state, and federal agencies and stakeholders to support grant seeking.
 - Identify practices of grant seeking that are outside the boundaries of applicable laws and regulations.
03. Knowledge of strategies for effective program and project design and development

- Identify methods of soliciting and incorporating meaningful substantive input and contributions by stakeholders, including client groups, beginning with the development of a new concept or program.
 - Identify methods of building partnerships and facilitating collaborations among applicants.
 - Identify strategies for educating grant applicants about financial and programmatic accountability to comply with funder's requirements.
 - Identify structures, values, and applications of logic models as they relate to elements of project design.
 - Identify appropriate definitions of and interrelationships among elements of project design (e.g., project goals, objectives, activities, evaluation).
 - Identify design and development decisions that are data-based (e.g., descriptive, qualitative, environmental, statistical).
 - Identify existing community resources that aid in developing programs and projects.
 - Identify effects of accurate and defensible evaluation designs in program and project success and sustainability.
04. Knowledge of how to craft, construct, and submit an effective grant application.
- Interpret grant application request for proposal (RFP) guidelines and requirements (e.g., abstracts and summaries, problem statements and needs assessments, introductions of organizations and capability statements, references and past performance requirements, timelines, narrative formats, budget formats, standard forms and assurances, scoring rubrics) to ensure high quality responses.
 - Identify elements of standard grant proposal applications (e.g., needs assessments and statements, project objectives, project designs and methods, project narratives, activities, action plans, timelines, project evaluations, budgets, dissemination plans, future funding or sustainability statements, appendices, attachments).
 - Identify work strategies for submitting high-quality proposals on time.
 - Identify accurate and appropriate data sources to support proposal narratives.
 - Identify appropriate, sequential, consistent, and logical presentations of grant-narrative elements and ideas among or within proposal components.
 - Identify proposal-writing approaches, styles, tones, and formats appropriate for proposing organizations and various audiences.
 - Identify appropriate and accurate uses of visuals to highlight information.
 - Identify effective practices for developing realistic, accurate line-item and narrative budgets and for expressing the relationship between line-items and project activities in the budget narrative.
 - Identify sources of in-kind matches for project budgets.
 - Identify factors that limit how budgets should be written (e.g., matching requirements, supplanting issues, indirect costs, prevailing rates, performance-based fees, client fees, collective bargaining, allowable versus non-allowable costs).
 - Identify evaluation models and components appropriate to grant applications.
 - Identify methods for submitting proposals electronically.
05. Knowledge of post-award grant management practices sufficient to inform effective grant design and development

- Identify standard elements of regulatory compliance.
 - Identify effective practices for key functions of grant management.
 - Differentiate roles and responsibilities of project and management staff and other key principals affiliated with grant projects.
 - Identify methods of establishing transitions to post-award implementation that fulfill project applications (e.g., document transfer, accuracy in post-award fiscal and activity reporting).
06. Knowledge of nationally recognized standards of ethical practice by grants professionals
- Identify characteristics of business relationships that result in conflicts of interest or give the appearance of conflicts of interest.
 - Identify circumstances that mislead stakeholders, have an appearance of impropriety, profit stakeholders other than the intended beneficiaries, and appear self-serving.
 - Identify effects of choices that foster or suppress cultural diversity and pluralistic values.
 - Distinguish between truthful and untruthful, and accurate and inaccurate representations in grant development, including research and writing.
 - Identify issues, effects, and countermeasures pertinent to grant Professionals' individual heritages, backgrounds, knowledge and experiences as they may affect the grant development process.
 - Identify funding sources that may present conflicts of interest for specific grant seekers and applicants.
 - Identify issues and practices pertinent to communicating information that may be considered privileged, proprietary, and confidential.
 - Identify unethical and illegal expenditures in a budget.
 - Distinguish between ethical and unethical methods of payment for the grant-development process.
 - Distinguish between ethical and unethical commitment, performance, and reporting of activities funded by a grant.
07. Knowledge of practices and services that raise the level of professionalism of Grant Professionals
- Identify advantages of participating in continuing education and various grant review processes.
 - Identify advantages of participating in professional organizations that offer grant Professionals growth opportunities and advance the profession.
 - Identify how grants Professionals' networks (e.g., mailing list servers, community alliances) enhance individuals' professional growth and advance the profession.
 - Identify strategies that grant Professionals use in building social capital to benefit their communities and society at large.
08. Knowledge of methods and strategies that cultivate and maintain relationships between fund-seeking and recipient organizations and funders
- Identify characteristics of mutually beneficial relationships between fund seekers and funders.
 - Identify strategies to determine funder-relation approaches that suit fund-seeking entities' missions, cultures, and values.

- Identify methods to help fund-seeking organizations create effective collaborations with other organizations appropriate to funders’ missions and goals.
 - Identify methods of relationship cultivation, communication, recognition, and stewardship that might appeal to specific funders.
09. Ability to write a convincing case for funding
- Follow guidelines.
 - Use conventions of standard written English.
 - Organize ideas appropriately.
 - Convey ideas clearly.
 - Make a persuasive argument.

Table 9: Examination Blueprint – Analysis of Weighting, IIRP, 2006

Performance Items account for 20% of the test, and measure the candidate’s ability to write a convincing case for funding from a prompt. The other portion of the test consists of 150 multiple-choice questions that account for 80% of the total score. The scoring of the test is broken down into eight competencies with the following weightings:

Competency	Percent
• Knowledge of how to research, identify, and match funding resources to meet specific needs	15
• Knowledge of organizational development as it pertains to grant seeking	10
• Knowledge of strategies for effective program and project design and development	20
• Knowledge of how to craft, construct, and submit an effective grant application	25
• Knowledge of post-award grant management practices sufficient to inform effective grant design and development	7
• Knowledge of nationally recognized standards of ethical practice by grant professionals	10
• Knowledge of practices and services that raise the level of professionalism of grant professional.	5
• Knowledge of methods and strategies that cultivate and maintain relationships between fund-seeking and recipient organizations and funders	8
Total of Multiple Choice Section only	100%

Summary

In the summer of 2006, the competencies and skills for a grant professional certification were validated using standard psychometric protocols. These “comps and skills” represent the first step toward the development and adoption of industry-wide standards for the grants community. In upcoming months, GPCI and the Institute will conduct the remaining test development activities. It is anticipated that the examination tool will be readily available to the grants community in early 2007.

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**A LITERATURE SEARCH FOR THE PURPOSE OF
THE GRANT PROFESSIONAL CERTIFICATION**

Prepared for
Grant Professionals Certification Institute (GPCI)
and
The Institute for Instructional Research and Practice
University of South Florida

Michael Wells, CFRE.

A LITERATURE SEARCH FOR THE PURPOSE OF THE GRANT PROFESSIONAL CERTIFICATION

This Literature Search was developed as a part of the “identifying skills and competencies” component of the grant professional certification process being developed by the American Association of Grant Professionals (AAGP) and the Grant Professionals Certification Institute (GPCI), with consulting assistance from the Institute for Instructional Research and Practice at the University of South Florida. For this review, the author chose favorite books, searched the Multnomah County Library and the Internet, and got recommendations from other experienced grant professionals. It is not a complete listing of all grants books (Books in Print lists over 70 titles for nonprofit proposal development and there are many more self-published) but it is a comprehensive overview and includes all of the information necessary for the task of identifying skills and competencies.

This review identifies and compiles references pertaining to the competencies and skills that grant professionals consider important. This review also reviews books that can be used to help establish standards for practice at the level of expertise the GPCI examination will test.

Historical and Current Status of Recognizing Grant Development as a Distinct Field and Profession

Fundraising began as a distinct field in the 1960's. At that time, grant development was not considered a separate skill and was not addressed. Books such as *The Raising of Money* (Lord) and *The Grassroots Fundraising Book* (Flanagan) barely mentioned grant preparation. At the same time, books on grants began appearing. They generally discussed the mechanics of developing a grant proposal, which has been the standard approach of most grant writing books to this day. Some like *Program Planning and Proposal Writing* (Kiritz) and *Developing Skills in Proposal Writing* (Hall) have stood the test of time -- the former in its original form, the latter now in its fourth edition as *Getting Funded*. Others such as *The Bread Game* (Allen et. al) and *The Quick Proposal Workbook* (Conrad) have long been out of print.

The progress of fundraising as a profession and of grants as a separate but related field can be traced by looking at the development of the major professional organizations in the United States.

1960 - National Society of Fundraising Executives (NSFRE) founded. NSFRE became the Association of Fundraising Professionals (AFP) in 2001.

- 1981- NSFRE develops the Certified Fund Raising Executive (CFRE) designation.
- 1997 - CFRE International becomes a separate certifying organization.
- 1997 - American Association of Grant Professionals (AAGP) founded.
- 2003 - Grant Professionals Certification Institute (GPCI) established as an AAGP-affiliated certifying organization.

Since 2000, several books on grants have been published that began to go beyond the simple mechanics of proposal development. They began looking at the process of grant seeking or grantsmanship including developing and maintaining relationships with funders, working within grant seeking organizations, researching funding sources and other issues. For example:

- In *Grassroots Grants*, Robinson focuses heavily on working within an organization to develop programs for grant funding, then building peer-to-peer relationships with funders.
- In *Demystifying Grant Seeking*, Brown focuses on the principles behind successful grantseeking, and describes building and operating a year-round grant seeking operation.
- In the *Grantwriting Beyond the Basics* series, Wells takes in depth looks at different areas of knowledge important to grant professionals.

During the same time frame professional publications began focusing on grant related subjects.

- *The American Association of Grant Professionals Journal* contains both academic and practice related material.
- The *Grantsmanship Center Magazine*, established in the 1980's, includes articles on every aspect of grant writing. Back articles are now available on the Grantsmanship Center Website www.tgci.com.
- The online *Grants and Foundation Review* with weekly grant related articles was launched in 2002 by Charity Channel <http://charitychannel.com/enewsletters/gfr/>.

Recognition of the Field

The self-recognition of working with grants as a distinct profession that led to the formation of AAGP and GPCI is also shared by an important stakeholder group -- employers of grant professionals. Nonprofit organizations are hiring grant writers and grant managers, separately from development directors. In many larger social service organizations the grant writer(s) for government grants are entirely separate from the development departments. Local governments including school districts have long hired grant writers to seek state and federal funds, and are starting to seek foundation funding. Research universities have "offices of sponsored research" to assist faculty in seeking research grant funding. A growing number of independent consultants provide grant development services to nonprofits, local governments, school districts, Indian tribes and others.

In addition, colleges and universities are offering graduate and undergraduate classes in grant writing. At Portland State University for example, there are at least seven instructors in four departments teaching grant writing, in addition to the Office of Sponsored Research serving faculty and graduate researchers. However outside the grants field, fundraising organizations such as the Association of Fundraising Professionals (AFP) and CFRE International pay little attention to grant development and consider it a subset of fundraising.

General Content Areas

As an emerging profession, or perhaps a profession with emerging recognition, grant writing does not have established historical textbooks for use in academic settings. The books below are written to be instructive, helping the reader through the process of developing successful grant proposals. While they take different approaches, they cover many of the same subject areas. These are helpful in identifying knowledge the authors consider important for successful grant writing. Following are some of the most covered subjects:

- Planning the project: *Hall, Clarke, Carlson.*
- Assessing and describing the applicant organization: *Hall, Brown, Carlson, Robinson, Wells.*
- Identifying and describing the need for the project: *Hall, Clarke, Carlson, Robinson.*
- Researching and identifying funding sources: *Hall, Brown, Carlson, Robinson.*
- Developing narrative: *Hall, Clarke, Carlson, Barbato.*
- Designing goals and objectives: *Hall, Clarke, Carlson.*
- Developing an evaluation plan: *Hall, Clarke, Carlson, Wells.*
- Writing a letter of intent: *Hall, Carlson.*
- Developing a budget: *Hall, Clarke, Carlson, Wells.*
- Establishing and maintaining relationships with funders: *Clarke, Brown, Robinson.*

General Grant Writing Books

- *Demystifying Grant Seeking* by Larissa and Martin Brown. Jossey Bass (2001)—The Browns don't rehash the basic "how to write grants" book. Rather, they tell us what we need to do to seek and manage grants. Intended for the small shop or one-person office, *Demystifying Grant Seeking* talks about how to set up an office to keep track of deadlines, building and maintaining relationships with funders, and what to do after submitting a proposal.
- *Foundation Center's Guide to Winning Proposals*. Sarah Collins, Editor. The Foundation Center (2003)—With forty examples of successful proposals from a variety of organizations, this guide gives readers a good look beyond theory to see what's actually worked.
- *Getting Funded: The Complete Guide to Writing Grant Proposals* (4th ed.) by Mary Hall & Susan Howlett. Portland State University Continuing Education Press (2003)—A

classic in the field and the one used as a text for many college grant writing classes. Hall and Howlett lead you step by step through each section of a major proposal. The new edition includes a suggested syllabus and assignments for classroom teaching.

- *Grassroots Grants: An Activist's Guide to Grantseeking* (2nd ed.) by Andy Robinson. Jossey Bass/Chardon Press (2004)—As the title suggests, this is oriented for community organizers. However, its straightforward approach explains how the process works, from fundraising planning to talking with foundation staff. It also includes annotated examples of funded grants.
- *Proposal Planning and Writing* by Lynn and Jeremy Miner. Greenwood Press (2003)—This how-to book has a detailed section about using the Catalog of Federal Domestic Assistance, the Federal Register, and government Web pages. It also includes a good discussion on pre-proposal contacts.
- *Proven Strategies Professionals Use to Make Their Proposals Work* by Michael Wells. Portland State University Continuing Education Press (2005) This first book of the *Grantwriting Beyond the Basics* series is intended for experienced grant professionals and provides a strategic approach to grant writing, with several examples in areas such as research, using logic models, matching evaluation to your project, using the budget to tell your story and a simple grant tracking system.
- *Winning Grants Step by Step* by Mim Carlson. Jossey Bass/Support Centers of America (1995)—Carlson takes a workbook approach, with “fill in the blanks” forms for each component of your proposal. Really a planning tool, this book helps organize your work so you're ready to write effectively.

Writing Style

- *The Pocket Proposal Style Manual* by Ross Pipes and Associates. Tekne Press, Chapel Hill, N.C. (1989) This small (3.5” x 6.5”, 66 page) handbook is the most concise treatment of good writing advice I've ever seen, for grants or anything else. (out of print).
- *Storytelling for Grantseekers* by Cheryl A. Clarke. Jossey Bass (2001) Like *Writing for a Good Cause*, this focuses on developing a story narrative rather than on writing style.
- *Writing for a Good Cause* by Joseph Barbato and Danielle S. Furlich. Fireside (2000)—Unlike fiction, grantwriting isn't all about the writing. Nevertheless, good writing is important. These authors give probably the best treatment of how to use language in your proposal, with advice on strategy mixed in.

Specialized Grant Areas

- *Applying for Research Funding: Getting started and getting funded* by Joanne B. Ries and Carl G. Leukefeld (1995) Sage Publications, Thousand Oaks, CA. This book gives a strong overview of research funding and is written for the beginning principal investigator. Research grants differ from the program grants sought by nonprofit organizations and local governments. They are designed to further knowledge in a specific field through posing and answering questions, and are often highly technical. Research grants are generally sought by universities or independent research institutes and focus on the work of individual researchers called principal investigators (PI's). The

principal investigators will usually write the grant proposal, sometimes with help from a university staff person from Office of Sponsored Projects.

- *How to Evaluate and Improve Your Grants Effort (2nd ed.)* by David G. Bauer (2001) American Council on Education and The Oryx Press. This well written and organized book does for university grants offices what the Brown's *Demystifying Grant Seeking* does for small nonprofits -- it describes how to organize and run an effective grants office. However, this book goes further in exploring how to evaluate an existing operation and improve it, with checklists and forms.
- *Program Related Investments: A guide to funders and trends* by Loren Renz, Cynthia W. Massarsky, Riikard R. Treiber and Steven Lawrence (1995) The Foundation Center, New York. Private funders such as foundations and corporations generally fund projects through grants, but some take a different approach of making loans or even equity investments in projects related to their interest areas. These program related investments are done to preserve the capital of the funder, to facilitate major construction such as low income housing, to promote economic development or to assist very low income individuals to become self sufficient.

Federal Grants

- *Applying for Federal Grants and Cooperative Agreements, Management Concepts, Vienna, Virginia (2005)* The course materials for Management Concepts two-day course, this 2" thick workbook is incredibly complete. The approach is straightforward, if a little formal and linear. It covers in detail how to research opportunities on the web, understand legislative history and other background. It has very important sections on assessing opportunities ("Is this a good match?") and evaluating impact ("Is this a good idea?") which many grants books don't cover. The majority of pages are appendixes, giving full texts of legislation, administrative requirements and cost principles.
- *Grant Writing: Strategies for Developing Winning Proposals (2nd Edition)* Patrick Miller. Patrick W. Miller and Associates (2002). This book about developing federal proposals describes the differences between grants, cooperative agreements, and procurement contracts. The book includes guidelines for writing proposals, a glossary of grant terms, and examples for proposal development.
- *Managing Federal Grants and Cooperative Agreements for Recipients, Management Concepts, Vienna, Virginia (2005)* The course materials for Management Concepts three-day course, this is just as complete as the Applying workbook. It provides guidance for agencies which have received federal grants, with an emphasis on nonprofits. Again, it includes an extensive set of full text appendixes. Recommended by the National Grants Management Association.
- *Winning Federal Dollars: The essential skills of federal grantsmanship* by Maryn Boess, GrantsUSA, Glendale, AZ. (2004) This workbook presentation is designed to lead the participant through the federal grants process, including the internal workings of the government and the formal application process.

Funder Research

No literature review of the grants world would be complete without covering the many sources of information about funders. This section will mention the major ones and refer the reader to a local Foundation Center cooperating collection library, a list of which can be found at: <http://fdncenter.org/collections/>

- The Foundation Center is the major publisher of funding directories and publications on the field. In addition to the Directory, the Foundation Center publishes many books by subject area, all of which start with “National Guide To...” (Arts and Culture, Environment, etc.). The Center also publishes annual reports on the foundations, some of which are listed in the Trends section.
- *The Foundation Directory, 2005 Edition* David J. Jacobs, Senior Editor (2005), The Foundation Center, New York. The Directory lists the 10,000 largest U.S. Foundations, arranged alphabetically within each state.
- *The Foundation Directory, Part 2* (2005), The Foundation Center, New York. The Directory lists the next 10,000 largest U.S. Foundations, arranged alphabetically within each state.

The Taft Group publishes a series of competing directories, although since being acquired by Thomson/Gale they seem to have cut back to two major books.

- *Corporate Giving Directory: Comprehensive Profiles of America's Major Corporate Foundations & Corporate Giving Programs* Taft Group, Farmington Hills, MI. Gives more detail than the Foundation Center Corporate Directory on the nation's 1,000 largest corporate giving programs.
- *The Foundation Reporter: Comprehensive Profiles & Giving Analysis of America's Major Private Foundations*, Taft Group, Farmington Hills, MI. Gives more detail than the Foundation Directory, including biographical details of trustees of the nation's 1,000 largest foundations.
- *Annual Register of Grant Support* (2004) Information Today, Medford, NJ. Several subject areas, including grants for graduate fellowships.
- *Catalog of Federal Domestic Assistance*. A complete listing of all federal grants programs, listed by agency number, then program. It's also available online (see below under non-book resources).
- *Directory of Research Grants* (2005) Onyx Press, Westport, Connecticut. Private sources of funding for research.

For Capital Campaigns

- *Capital Campaigns: Strategies that Work* by Andrea Kihlstedt and Catherine Schwartz. Aspen Publishers (1997)—Although this book doesn't say much about grants, it will give you a good idea of what you're getting into and the questions you need to be thinking about if you're contemplating grants for a capital campaign.

Finances

- *Essentials of Accounting for Governmental and Not-for-Profit Organizations* by John H. Engstrom and Paul A. Copley. McGraw-Hill/Irwin, New York (2004) -- A good basic introduction to government accounting, written as a textbook. Despite the title, it is weak on nonprofits.
- *Financial and Accounting Guide for Non-For-Profit Organizations* by Malvern Gross, John McCarthy, and Nancy Shelmon. John Wiley & Sons, Hoboken, New Jersey (2005) - - This is *the* textbook for nonprofit accounting. A little detailed and dry, but it includes everything.
- *Fiscal Sponsorship: 6 Ways To Do It Right* by Gregory Colvin. Study Center Press, San Francisco (2000) -- Fiscal Sponsorship is easy to do wrong, with hurt feelings and potential IRS problems for everyone involved. This book points the way to do it right.
- *Understanding Nonprofit Finances* by Michael Wells. Portland State University Continuing Education Press (2006 - in press) -- The second book of the *Grantwriting Beyond the Basics* series discusses and explains what a grant professional needs to know about financial statements, budgeting, tax exemption and related subjects.
- *Streetsmart Financial Basics for Nonprofit Managers* by Thomas A. McLaughlin. John Wiley & Sons, New York (2002) -- Nitty gritty, hands-on finances. A good resource for the grant professional because it explains how things work in the real world, not just the theory.

Evaluation

- *Benchmarking for Nonprofits: How to Measure, Manage and Improve Performance* by Jason Saul. Fieldstone Alliance (2004)
- *Grantseeker's Guide to Project Evaluation (Second Edition)*, Jacqueline Ferguson, Editor Aspen Publishers (1999). This is a basic introduction to program evaluation, with a heavy education emphasis and a beginner's guide to statistics. Includes a listing of funders for evaluation.
- *Grant Winner's Toolkit: Project Management and Evaluation*, James A. Quick and Cheryl C. New, John Wiley & Sons, New York (2000)—A good how-to overview, with lots of charts and forms for data collection.
- *Handbook of Practical Program Evaluation* (2nd ed.) editors Joseph S. Wholey, Harry P. Hatry and Kathryn E. Newcomer. John Wiley & Sons (2004)
- *Logic Model Development Guide*. W.K. Kellogg Foundation (2001)—A complete treatment of the theory and use of logic models. This guide is available from <http://www.wkkf.org>.
- *Manager's Guide to Program Evaluation: Planning, Contracting and Managing for Useful Results*. by Paul W. Mattessich, Ph.D.. Fieldstone Alliance (2003)
- *Outcomes for Success!* by Judith Clegg, MSW, and Jane Reissman, Ph.D. The Evaluation Forum/Organizational Research Services, Inc., Seattle, Washington (1995, 2000). —This book explains how to develop your own outcome-based program evaluation, including

use of a logic model. I like the 1995 edition for its logic model formats, but the 2005 edition has more in-depth discussion of evaluation.

- *Practical Grant Writing & Program Evaluation*, by Francis K.O. Yuen and Kenneth L. Terao. Brooks/Cole (2003). A more comprehensive grantwriter's guide to evaluation. It is a little academic and features some of the authors favorite models like "empowerment evaluation", but probably the best grants-oriented book available today.
- *Real World Evaluation*. Michael Bamberger, Jim Rugh and Linda Mabry. Sage Publications, Thousand Oaks, CA (2006) The subtitle "Working under budget, time, data and political constraints" is the premise of this book. The authors developed the principles working in third world countries, but they apply to many US nonprofits.
- *W.K. Kellogg Evaluation Handbook* at <http://www.wkkf.org/> —Available free for downloading as an Adobe Acrobat file or for ordering as a paper copy, this 117-page volume from one of America's largest and most evaluation-oriented foundations discusses both the theory and practice of evaluation.

Non-Book Resources

- American Evaluation Association (AEA) at <http://www.eval.org> —This national trade group of professional evaluators is a good place to start looking for an outside evaluator. Its Web page includes links for state and local affiliate organizations and for evaluation firms and individuals.
- *The Chronicle of Philanthropy* at <http://philanthropy.com/> —This periodical is the *New York Times* and *Wall Street Journal* of the nonprofit world. It contains lots of good information on trends and what the big national nonprofits and foundations are doing. *Form 990: A Detailed Examination* by Peter Swords. Nonprofit Coordinating Committee of New York, New York (2003) Available for download as a Word document at www.npccny.org
- *Foundation News & Commentary* at <http://www.foundationnews.org/> —Looking at the grants world from the foundation funder's point of view. *Grantsmanship Center Magazine* at <http://www.tgci.com> —The Grantsmanship Center publishes this quarterly newspaper and sends it for free to anyone working in a nonprofit. About half of it is devoted to selling their trainings, but it always has three or four excellent articles. You can look at several years' past articles at www.tgci.com/magazine/archives.asp
- *Grassroots Fundraising Journal* at <http://www.grassrootsfundraising.org/>—At the opposite end of the spectrum from the *Chronicle*, the *Journal* says they provide "practical tips and tools to help you raise money for your organization." An excellent how-to resource for the small agency or beginning fundraiser.
- *The Journal of the American Association of Grant Professionals* —This combination research and practice journal is available to AAGP members only. It's the best place to find out what's happening on the ground in the grants world. (<http://www.grantprofessionals.org>).
- National Grants Management Association (NMGA) <http://www.ngma-grants.org/> This nonprofit membership organization includes people who manage federal grants and work for Federal (36%), State (7%) and Local (13%) governments, Non-profits (20%),

Universities (6%) and Accountants, Grants Consultants and Attorneys (16%). Web Center for Social Research Methods at <http://www.socialresearchmethods.net/> This website is for people involved in applied social research and evaluation, with resources and links to other locations on the Web that deal in applied social research methods.

Online Resources For Foundation Research

- The Foundation Center at <http://fdncenter.org/> —In addition to the list of cooperating collections, The Foundation Center provides lots of background information on private foundations, a search engine for the IRS Form 990PFs for all U.S. foundations, and a very basic search engine for foundation Web sites. You can also pay to subscribe to their Foundation Directory Online.
- Another online resource is GuideStar at <http://www.guidestar.org/> —GuideStar has a free search engine for the IRS Form 990PFs of all U.S. foundations and the Form 990s of all nonprofit organizations.

Online Resources for Government Research

- Catalog of Federal Domestic Assistance at <http://12.46.245.173/cfda/cfda.html> —The Catalog contains all federal grants programs, listed by agency number, then program. It's a little obscure, but if you find a federal program that doesn't have a current RFP, this is the place to look. The printed volume is about six inches thick and probably available at your library (the GPO recently announced that the paper version will be discontinued and the Catalog will only be online).
- Dun & Bradstreet (DUNS) Number at <http://www.dnb.com/ccr/register.html> —Federal agencies are now requiring every organization applying for federal grants to get a DUNS number and use it on all applications. The number can be applied for free from this site.
- The Federal Register at <http://www.gpoaccess.gov/fr/index.html> —This daily journal publishes the official daily activities of federal agencies, including rules, proposed rules, and notices of agencies and organizations, and RFP's. It is often the first public notice of new grant programs. It is available in print form and at your library two or three days later. Each day's Federal Register grant listings are available on <http://www.tgci.com>.
- Grants.gov at <http://www.grants.gov/> —The central source for federal government grant information. You can locate current RFP's and sign up for e-mail notification.

Older Fundraising Books Mentioned in the Summary:

- *The Grassroots Fundraising Book* by Joan Flanagan. Contemporary Books (1982)
- *The Raising of Money* by James Gregory Lord. Third Sector Press (1983)
- *Survey Course for CFRE Exam*, National Society of Fundraising Executives (1996)

Older Grant Writing Books Mentioned in the Summary

- *The Bread Game: The Realities of Foundation Fundraising* by Allen, Buckdrucker, Fuller, Silverstein and Silk. Glide Publications (1973) Out of print.
- *Developing Skills in Proposal Writing* by Mary Hall. Portland State University Continuing Education Press (1971) The predecessor to *Getting Funded*.
- *Program Planning and Proposal Writing* by Norton Kiritz and Jerry Mundel. The Grantsmanship Center (1980) Still a good study and a classic in the field.
- *The Quick Proposal Workbook* by Daniel Lynn Conrad. Public Management Institute (1980) Out of print.

Author's Biographies

Pauline Annarino

Pauline Annarino has been a member of the grants community for more than twenty-five years, serving as a grant Professionals, program development director, nonprofit administrator and independent consultant. Ms. Annarino has been actively involved in the credentialing initiative since 2000. Previous to her tenure on the Credentialing Committee and the GPCI Board of Directors as Board member and President, she participated in, and in one instance chaired, three credentialing initiatives associated with the field of Sign Language interpreting. Ms. Annarino is currently serving her second term on the AAGP Board of Directors, including roles as Vice President and President. Ms. Annarino is also a certified sign language interpreter and specializes in deafness-related initiatives.

Harriet Blymiller

Harriet Blymiller manages the Grant Professionals Certification Examination project for the Institute for Instructional Research and Practice at the University of South Florida. Involved in development of certification and licensure examinations since 1997, she has done technical editing, facilitated content-expert meetings, and coordinated tasks for five large-scale testing programs. Since 2003, she has been active in grant development, directing the Institute's Grants Office. Previous to her test development experience, Ms. Blymiller taught English composition and literature at the college level.

Phyl Renninger

Phyl Renninger is the Director of Resource Development for Florida Community College at Jacksonville. Phyl has written grants for a variety of topics as well as to countless state and federal funding agencies. Under Phyl's leadership, annual grant revenues in the various positions have ranged from \$59,000/year to \$86,000,000/year. Phyl is an American Association of Grant Professionals (AAGP) founder, executive board member, and past president; an executive board member of the Grant Professionals Certifying Institution (GPCI); and an executive board member The Grant Professionals Foundation (TGPF).

Dr. Karen Stinson

Dr. Karen Stinson is the superintendent of Van Buren Community School District and the Director of Birmingham Early Childhood Center. In the past eight years, she has also written over \$12 million in state and federal grants including Safe Schools/Healthy Students, Drug Free Community and 21st Century). She also serves as field editor for Journal of Balanced Reading and National Middle School Journal. She is currently on the Executive Board of American Association of Grant Professionals.

Michael Wells

Michael Wells is a partner in the consulting firm Grants Northwest and the editor of the CharityChannel online Grants and Foundation Review. He has been working with non-profits for over 30 years and consulting on grants since 1987. He is a Certified Fund Raising Executive (CFRE) and has a Masters degree in humanities. Michael is a past board member of American Association of Grant Professionals (AAGP), current board member of the Grant Professionals Certifying Institution (GPCI), and author of the Grantwriting Beyond the Basics series.

Code of Ethics

The **American Association of Grant Professionals (AAGP)**, a nonprofit membership association, is committed to serving the greater public good by practicing the highest ethical and professional standards. Ethics refer to the rules or standards governing the conduct of a person or members of a profession¹⁰.

Members have joined forces to be the leading authority and resource for the practice of grantsmanship in all sectors of the field. Membership in this association promotes positive relationships between grant professionals and their stakeholders, provides a vehicle for grant professionals to gain professional growth and development, and enhances the public image and recognition of the profession within the greater philanthropic, public, and private funding communities. Members' foundation is stimulated by the rich diversity within the grant profession.

Members, among others, are to:

- Practice their profession with the highest sense of integrity, honesty, and truthfulness to maintain and broaden public confidence
- Adhere to all applicable laws and regulations in all aspects of grantsmanship
- Continually improve their professional knowledge and skills
- Promote positive relationships between grant professionals and their stakeholders
- Value the privacy, freedom, choice and interests of all those affected by their actions
- Ensure that funds are solicited according to program guidelines
- Adhere to acceptable means of compensation for services performed; pro bono work is encouraged
- Foster cultural diversity and pluralistic values and treat all people with dignity and respect
- Become leaders and role models in the field of grantsmanship
- Encourage colleagues to embrace and practice AAGP' Code of Ethics and Standards of Professional Practice.

Standards of Professional Practice

As members respect and honor the above principles and guidelines established by the AAGP Code of Ethics, any infringement or breach of standards outlined in the Code are subject to disciplinary sanctions, including expulsion, to be determined by a committee elected by their peers.

Professional Obligations:

1. Members shall act according to the highest ethical standards of their institution, profession, and conscience.
2. Members shall obey all applicable local, state, provincial, and federal civil and criminal laws and regulations.
3. Members shall avoid the appearance of any criminal offense or professional misconduct.
4. Members shall disclose all relationships that might constitute, or appear to constitute, conflicts of interest.
5. Members shall not be associated directly or indirectly with any service, product, individuals, or organizations in a way that they know is misleading.
6. Members shall not abuse any relationship with a donor, prospect, volunteer or employee to the benefit of the member or the member's organization.

¹⁰ Defined by American Heritage Dictionary

7. Members shall recognize their individual boundaries of competence and are forthcoming and truthful about their professional experience, knowledge and expertise.
8. Members shall continually strive to improve their personal competence.

Solicitation and Use of Funds:

9. Members shall take care to ensure that all solicitation materials are accurate and correctly reflect the organization's mission and use of solicited funds.
10. Members shall take care to ensure that grants are used in accordance with the grant's intent.

If Applicable:

11. Members shall take care to ensure proper use of funds, including timely reports on the use and management of such funds.
12. Members shall obtain explicit consent by the grantor before altering the conditions of grant agreements.

Presentation of Information:

13. Members shall not disclose privileged information to unauthorized parties. Information acquired from consumers is confidential. This includes verbal and written disclosures, records, and video or audio recording of an activity or presentation without appropriate releases.
14. Members are responsible for knowing the confidentiality regulations within their jurisdiction.
15. Members shall use accurate and consistent accounting methods that conform to the appropriate guidelines adopted by the American Institute of Certified Public Accountants (AICPA) for the type of organization involved. (In countries outside of the United States, comparable authority should be utilized).

Compensation:

16. Members shall work for a salary or fee.
17. Members may accept performance-based compensation, such as bonuses, provided such bonuses are in accordance with prevailing practices within the members' own organizations and are not based on a percentage of grant monies.
18. Members shall not accept or pay a finder's fee¹¹, commission¹², or percentage compensation based on grants and shall take care to discourage their organizations from making such payments.
19. Compensation should not be written into grants unless allowed by the funder.



¹¹ Finder's fee - payment made for introducing a nonprofit to a funder and/or contingent upon the nonprofit receiving a grant from that funder.

¹² Commission - flat-rate fee or percentage paid for services rendered when a grant is awarded.



American Association of Grant Professionals

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The AAGP Monograph on Professionalization in the Grant Field is a completed project upon development. Future Monographs will be based on different topics relevant to the grant profession. The AAGP Journal is published annually. The Journal includes best practices and point papers from grant practitioners.

Subscription Rates:

Information regarding the annual subscription rate may be secured from the AAGP website at <http://www.grantprofessionals.org/>.

