THE ART AND SCIENCE OF PERSUASIVE GRANT WRITING: AN EMPIRICAL FRAMEWORK FOR WRITING WINNING GRANTS

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Mara Irene Stringfield

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The Undersigned Faculty Committee Approves the

Thesis of Mara Irene Stringfield:

The Art and Science of Persuasive Grant Writing: An Empirical Framework for

Writing Winning Grants

Linn Bekins, Chair
Department of Rhetoric and Writing Studies

Steve Merriam
Department of Rhetoric and Writing Studies

Steve Barbone
Department of Philosophy

July 3rd 2013
Approval Date

DEDICATION

This thesis is dedicated to Dr. Mary Thomson – my mom, my mentor, my friend.

ABSTRACT OF THE THESIS

The Art and Science of Persuasive Grant Writing: An Empirical Framework for Writing Winning Grants
by
Mara Irene Stringfield
Master of Arts in Rhetoric and Writing Studies
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Non-profit organizations rely heavily on grant funding to sustain operations and services. Grant writers and fundraising professionals must tailor each grant proposal so that it is compelling to a funder. Although there are many “experts” who have written material on how the grant writer can write successful grants, there is a paucity of empirical evidence to substantiate the recommendations.

This study explores the role of each element of a grant proposal (mission statement, statement of the problem, need statement, etc.) as well as the role that Aristotle’s modes of persuasion, pathos, logos, and ethos, play in a grant proposal and the extent to which these various elements influence the funder’s decision to award a grant. This study also assesses whether a particular type of funding organization (e.g., a private foundation, a community foundation, or a government funder) values one section or type of response over another and whether one rhetorical element is more persuasive than another.

Using a standard interview format, with a Likert 5-point scale for each interview item, funders were asked to value the relative importance of each grant section in making their funding decision. The results were aggregated by question, by organization type, and by rhetorical mode to illustrate the value funders place on the modes of argument and the various sections of a grant proposal.

The results of the interviews conducted for this study provide measureable guidance for grant writers and organizations as they proceed to seek funding. In general, the results indicate that funders in San Diego valued empirical data, including outcome information, and credible leadership as the major influences in funding decision-making. They also look for service-population data, output data, including depth of program effectiveness and the breadth of individuals touched by the organization, and measured improvement (statistical significance).

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I am very grateful to the men and women who agreed to be interviewed for this project. After I explained the purpose of my interview, they were excited to participate and their excitement infused my work. I'd also like to acknowledge all of my friends, family, and colleagues who supported me during my graduate classes and during the writing of this thesis including: Dr. Mary Thomson, Rana Sampson, Hannah Berger, Mariah Archer, Diana Landis, Kathleen Sliter, Sarah Loveless, Vanessa Oshiro, my thesis chairs, and Dr. Glen McClish. Of course, special thanks to the amazing David, who I promised on our first date that I would finish my thesis; true to my word, here it is.

CHAPTER 1

INTRODUCTION

Non-profit organizations rely on grant funding to support operations and services. In a national survey of non-profits conducted by the Urban Institute, nearly 33,000 human service non-profit organizations reported having government contracts and grants in 2009, which provided the largest single source of revenue for 62 percent of them (Boris n.p.).[1] Non-profits tend to rely less heavily on revenue from private and community foundations to sustain operations and programs. While funding from foundations may be more limited,[2] their targeted impact, specifically in supporting new programs, cannot be overlooked. The grant proposal is the most important step in securing funding through both government and private foundation funding sources. A grant proposal is an argument for funding. Grant writers and fundraising professionals must tailor each grant proposal so that it is most compelling to a funder. It is a competition. It is up to a grant writer's discretion as to what might be the most compelling presentation of information to a specific funder.

In addition to the practical revenue-building activities that make grant funds vital to many non-profits' sustainability, grant applications also serve another important function. They formalize language used to describe and discuss many important details of a non-profit organization, from the mission, to the programs, to how success is measured, to the overall governance. Thus, the narrative from grant applications promotes an organization's overall culture and spirit to the community at large. Grant applications are an integral part of an organization's overall revenue-building strategy, but they also serve to promote public

[1] Arts organizations tend to rely less on government sources for revenue. A study from the Grantmakers in the Arts reported that government funding accounts for roughly one-tenth of revenue for arts organizations, with a larger emphasis on private donations and foundation grants, accounting for 33% of private contributions (Renz n.p.).

[2] According to Joyce, "Charities that accept funding from foundations can't take too much from a single source without endangering their tax status, which would limit the ability of a foundation to essentially control a community through strategic giving." (n.p.)

awareness about the important work in the community that a non-profit organization is trying to achieve.

From a revenue standpoint, non-profit organizations rely on various sources of revenue for sustainability. These revenue sources include: individual donations and contributions, planned gifts such as bequests, equity or property, government contracts and reimbursement programs (such as public entitlement programs), membership revenue, admission or sales revenue, endowment revenue, event proceeds, and grants from private foundations and governments. The composition of revenue sources varies from organization-to-organization; however, in general, many organizations rely on grant funding to support ongoing operations and programs, to fund new projects, and to realize capital campaign or endowment goals. Since grant funding is very competitive, grant writers are consistently looking for tools to refine their narratives so that they may be even more persuasive to funders' sensitivities and philanthropic interests.

Each section of a grant application focuses on different types of information, which vary depending on the requirements of the application and the funder's specific needs. A general discussion of the sections within a grant proposal follows. While grant applications may have additional sections not addressed in the following discussion, for the purposes of this paper, the sections of a grant application have been simplified into the most commonly found categories.

The Mission, Vision or History section(s) explain the purpose of the organization and its general goals. In a typical grant application, the Mission section is a short section on its own; however, in many applications the non-profit organization is asked to address the Mission and/or Vision statement as part of the discussion of the history of the organization.

The Program Description section is generally devoted to factual information describing and listing the activities or services that the organization provides as well as the number and type of people who are assisted by the organization and other demographic metrics. This section tends to be one of the longest sections of a narrative.

The Need Statement explains that the community has a need for particular services provided by the organization. Many grant writers employ facts and data in this section, while others tend to provide specific stories about how the community and/or an individual life was impacted as a result of the non-profit's intervention.

The Outcomes section is often focused on what contribution the organization has made to a specific community and the community at-large. Sometimes these outcomes are based on actual data that showcase the success of the program. Other times organizations provide output data or anecdotal data. This section also often contains a sub-question about what objectives the organization is striving for in the coming year or grant term. While the outcomes and objectives are also often broken up into two sections, for the purposes of this study, they have been combined into a single section, because responses typically found in an objective section are based on data from actual outcomes.

The Budget section provides information related to all aspects of the financial health and expenditures of the organization. Typically, a grant application will require a budget that also details the expenditures of the specific project for which an applicant is seeking funding. Often, more sophisticated applications will require a budget narrative or budget justification in which each expenditure is detailed in narrative form. Grants applications also usually require information about what other funders have already funded the organization, who leads the organization, and the names and business affiliations of members of the Board of Directors.

In all of these sections, grant writers must make specific decisions about how to craft responses. These decisions are based on: information the grant writer may have about the particular funder; a grant writer's personal writing style; the organizational emphasis from executive level management that is placed on various kinds of presentation of information (for example, some organizations may prefer the use of individual stories of client successes to paint a picture of the organization's impact, while other organizations may prefer speaking in terms of data to discuss measurable change); or other factors that may influence the way a grant writer crafts a narrative. However decisions regarding the tone or strategy of an application are made, a grant application is a persuasive document that employs techniques of rhetoric, whether tacit or intentional on the part of the writer, to make arguments that can significantly impact non-profit organizations.

Aristotle, who many scholars credit to have helped define rhetoric as a field of study, provided a structure to the art of argument and persuasive discourse in his work, *Rhetoric* (written around 367 BCE), and notes that the elements of ethos, pathos, and logos are the basic elements of a persuasive argument. My hypothesis is that information required in a grant application fits logically into the Aristotelian modes of argument as the issues of the credibility of the organization (ethos), a description of the serious needs of the recipients of services (pathos), and why this organization is the best one to meet these needs and therefore is deserving of funding (logos). Although it is assumed that all Aristotelian modes must be present in an argument (Garver, “Aristotle and the Kinds of Rhetoric” 1-18; Corbett 37), it would be helpful to know if one element is more persuasive than another within the context of a grant application.

In addition to constructing an argument for the grant application itself, grant writers must be keenly aware of their audience (in this case, the various types of grant funder agencies) as they craft their narratives. For the purposes of this study, I have simplified these types of funding agencies into community foundations, private foundations, and government foundations. If grant writers in the non-profit sector understand the rhetorical modes that are most successful in making the case for funding to a particular type of funding organization, they may be able to speak more directly to a funder’s priorities and therefore better influence a funder’s decision-making.

This research is multi-model and multi-disciplinary in its intent. One of the goals of this research is to provide insight into what funders from the three types of funding agencies find important in a grant proposal. The second and equally weighted goal is to examine what kind of responses are most persuasive, and then make a conclusion about which of Aristotle’s three modes of persuasion—ethos, logos or pathos—is of relative importance in persuading funders.

This paper will be useful to grant writers who will be able to glean information from the empirical data to have a more nuanced sense of funders’ preferences overall, thus serving as a tool to inform their decision-making when crafting a grant application. This paper will also be useful to rhetoricians as it seeks to illuminate which modes of persuasion appeal to funders in each funding category most favorably based on an evaluative analysis of collected data.

Statement of the Problem and Purpose of the Study

This study will explore the role that each element of a grant application plays in the persuasiveness of a grant proposal; it will also address Aristotle’s modes of persuasion—

pathos, logos, and ethos—and the extent to which these various tools of persuasion influence the funder's decision to award a grant. The study will also assess whether a particular type of grant funding organization values one Aristotelian mode over another and whether there is a difference in the value that each type of organization places on these modes.

Grant proposals are grant writers' presentations of various types of information in an effort to persuade funders to give money to their organizations. Many books and articles have been written on successful grant writing; however, no articles found by this researcher address the following issues:

Understand the relative effectiveness of each of Aristotle's modes in influencing a funder's decision

Present the point of view of the *funder* in a systematized way relative to what is most likely to be important in making a funding decision

Provide data related to the value that funders place on the modes of argument in the importance of various sections of a grant proposal

As a response to these issues, this study will explore the following questions:

Question 1: How important do funders think the various sections within a grant are in making their funding decision?

Question 2: How important do funders think that grant responses relating to *pathos* are in influencing their decision-making?

Question 3: How important do funders think that grant responses relating to *ethos* are in influencing their decision-making?

Question 4: How important do funders think that grant responses relating to *logos* are in influencing their decision-making?

If grant writers understand what elements of the grant "argument" are valued most highly by funders, they can tailor their argument to maximize funding potential. This study attempts to quantify the beliefs of funders regarding what they find most persuasive in a grant application through interviews that follow a structured interview format, using numeric values to rate grant items. The data is provided in various tables, aggregated and summarized. Finally, analysis is conducted, which may assist a grant writer in prioritizing efforts in developing the grant application.

LIMITATIONS OF THE STUDY

The results of this study do not provide specific guidelines for "writing successful grants"; rather the object is to provide data that a grant writer can use as the proposal is being written to understand how funders value the various sections of proposals and the types of rhetorical elements that these particular types of funders find most important in making a funding decision. The limited number and specific locale of interviews conducted limit statistical significance. Moreover, the results show aggregate trends but not causal or correlational relationships. Some interviewees declined to answer some of the questions, so the results reflect the total and average values of the responses of the interviewees who did answer the question. Only one government funder was interviewed, so that person may not be representative of other government funders.

This study provides a replicable model for additional studies employing quantitative data in assessing funders' values in grant making and philanthropy. Additional studies that would be helpful would provide a larger sample size of all funders, and would also include funders involved in corporate philanthropy (when for-profit corporations makes a contribution to a not-for-profit corporation), which is not included in this study.

METHODOLOGY

This project is descriptive research in that it seeks to gain information from the funding community to add to the existing knowledge about writing successful grants, with a specific focus to San Diego funders' needs and interests. The interviewees selected for this project are a convenience sample and were chosen as eligible to participate due to their involvement with grant making organizations in San Diego, California, and due to personal introductions to the grant makers by my colleagues in the community.

My underlying hypothesis, as stated in the Introduction, is that grant funders are more likely to fund proposals that employ Aristotelian modes of persuasion, either deliberately or tacitly. I also sought to explore whether any one of the three Aristotelian modes has a higher reported value to funders when assessing a grant and awarding a grantee.

Interviewees were selected by making telephone calls to and emailing funding organizations that I had previously identified as part of my work as a development professional in San Diego. In the initial phone/email correspondence, I described my project and asked if they would be willing to put aside an hour of time to meet with me and respond to my interview questions. I also explained to each potential interviewee that the responses would be confidential and that respondents would be referenced using job title categories and broad categories of foundation designation (i.e., private foundation, community foundation, government funder). The scripts used for the phone call introduction and email introduction are included in Appendix A.

The interviews were conducted either at the funders' places of business or via telephone. I received consent to use an audio recorder to record conversations of my interviews so that I could reference them later in my research. All respondents were amenable to this request. Once the interview had been completed, I transcribed the interviews to a text document for ease of analysis.

RESEARCHER'S ROLE

To reduce bias in interviewing and therefore improving response validity, I structured the interview so that respondents were not influenced by any outside source in their responses. To minimize researcher or respondent bias, a Standard/Fixed-Response Interview was conducted with the researcher acting as a neutral questioner using a standardized questionnaire with numeric ratings for each answer.

Characteristics of a Standardized/Fixed-Response Interview are:

Questions and answers are predetermined before the interview

Responses are generally fixed response choices to choose from

Respondent chooses from among these fixed responses

Strengths:

Data analysis is simple

Responses can be directly compared and easily aggregated

Many questions can be asked in a short time

Weaknesses:

- Respondents must fit their experiences and feelings into the answer categories
- Interview may be perceived as impersonal and mechanistic
- Can distort what respondents really mean or have experienced

To help address the weaknesses of the fixed response interview tool, audiotaped comments and "field notes" were also collected. The audio tapes were transcribed and used to include quotations that seemed to be important reflections that the interviewee added to relate his/her experiences with the subject and which added emphasis to the numeric response. The field notes recorded interviewer impressions and observations and documented events, impressions, and observations that did not appear in the numeric ratings or the audio tapes including: impression of interviews, frustrations of dealing with an ever-expanding timeline of research to be completed before drafting of the chapters/article could begin, participant profiles, and other emerging event issues. These transcribed audiotapes and field notes were used in analysis to help the researcher understand and begin to conceptualize ideas, keep details fresh over the course of time, and to augment explanations that might contribute to the understanding of the funder's thought processes about the weighting of particular numeric responses.

In developing the interview tool, the questions were divided into the sections that are usually included in a grant application (to focus the questions to receive feedback very specifically). Sections that are part of the grant application were defined as contributing to the persuasive argument structure by being assigned to one of the persuasive modes: ethos, pathos, logos; however, these modes were not discussed with the interviewees. The appropriate assignment of the modes of persuasion with the particular questions was vetted by a small focus group of business and philosophy specialists to substantiate the researcher's assignment of these items. The researcher had no preconceived notions about which questions would be most aligned with each mode. For the purposes of the statistical analysis of this study being within a short timeline, only one mode was assigned to each question. Further study in the field may necessitate that multiple modes be assigned to certain questions.

The structured interview questions were read to each interviewee. The interview questionnaire is included as Appendix B.

Description of Settings

Seven interviews were held in person. Four interviews were conducted telephonically.

Description of Participants

The interview subjects consisted of eleven individuals representing funders in San Diego that making funding awards to organizations primarily in the San Diego area. Participants were funders in San Diego who were employees or trustees who participate in decision-making regarding their funding bodies' grant making procedures including, but not limited to: grant funding announcements, bidders conferences, grant scoring and assessment, decision- making, and post-award stewardship activities.

Some funding bodies have multiple levels of decision makers; therefore, in some instances, I interviewed both levels of decision-makers at a particular foundation. In these cases, interviewees made independent decisions regarding their responses to the interview questions and thus were scored independently.

Of the interviewees, four of the interviewees were representatives from community foundations, six from private foundations, and one from a government funder.

Demographic description of interview participants:

Titles of these funders were:

Executive Director/President

Trustee/Board of Directors/Funder Panelist

Foundation Management Staff

The interviewees had a range of years in the business from 5 years to 26 years.

Interviewees represented organizations with net assets of:

less than $25 million (6)

$25 million - $50 million (2)

$50 million - $100 million (none)

$100 million+ (3)

Value of grants funded last year had the following distribution ranges:

$100k - $500k (3)

$500k - $1 million (none)

$1 million - $5 million (2)

$5 million - $10 million (3)

$10 million - $20 million (none), $20 million - $50 million (2)

$50 million+ (1)

Aggregation Methodology

The interviewees were asked to rate information common to grants application on a Likert scale where five (5) was “most important/favorable” and one (1) was “least important/unfavorable.” Three (3) on the scale was considered neutral. Therefore, when aggregated, four and five (4 and 5) were considered as “favorable” and one and two (1 and 2) were considered “unfavorable.”

CHAPTER 2

REVIEW OF THE LITERATURE

The following review of literature explores the role of ethos, logos, and pathos in making an argument, as well as how a grant proposal is uniquely rhetorical.

THE RHETORICAL ELEMENTS OF PERSUASION

Aristotle's views on rhetoric were so comprehensive and fundamental that James Golden regards *Rhetoric* as the most important single work of persuasion ever written (65). In *Rhetoric,* Aristotle states that a persuasive argument consists of three things: the speaker, the subject that is treated in the speech, and the listener to whom the speech is addressed (1358 a 37ff). It seems that this is why only three technical modes of persuasion are possible: Technical modes of persuasion are either (a) in the character of the speaker (ethos), or (b) in the emotional state of the hearer (pathos), or (c) in the argument (logos) itself. Aristotle defined these technical modes of argument, noting:

> Of the *pisteis* (modes of persuasion) provided by speech, there are three species. For some are in the character (ethos) of the speaker; and some are disposing the listeners in some way (pathos) putting the audience into a certain frame of mind; the third, logos, on the proof, or apparent proof, provided by the words of the speech itself. (1356 a 1)

Aristotle believed that one of the most important elements of persuasion was the rhetor's credibility, and he expanded on this idea in *Rhetoric*. In discussing all the modes of persuasion, he wrote:

> We believe good men more fully and more readily than others: this is true generally whatever the question is, and absolutely true where exact certainty is impossible and opinions are divided. This kind of persuasion, like the others, should be achieved by what the speaker says, not by what people think of his character before he begins to speak. It is not true, as some writers assume in their treatises on rhetoric, that the personal goodness revealed by the speaker contributes nothing to his power of persuasion; on the contrary, his character may almost be called the most effective means of persuasion he possesses. Secondly, persuasion may come through the hearers, when the speech stirs their emotions. Our judgments when we are pleased and friendly are not the same as when we are pained and hostile. It is towards producing these effects, as we maintain, that

> present-day writers on rhetoric direct the whole of their efforts [..].Thirdly, persuasion is effected through the speech itself when we have proved a truth or an apparent truth by means of the persuasive arguments suitable to the case in question. (1356 a.4-12)

This summary of ethos, pathos, and logos exemplifies the careful categorization and expository analysis that Aristotle completed on artful persuasion.

Looking specifically at ethos, John Edlund applies a contemporary lens to Aristotle's definition by saying, "today we might add [to Aristotle's definition of ethos] that a speaker should also appear to have the appropriate expertise or authority to speak knowledgeably about the subject matter. Ethos is often the first thing we notice, so it creates the first impression that influences how we perceive the rest" (N.p.). Edlund uses examples to contextualize ethos, but his focus is on student academic writing rather than grant writing.

Robert Connors expands on the discussion of ethos. Connors, positing that when employing ethos (or as he defines it the way in which the rhetor is perceived by the audience) the writer and the speaker are faced with different sets of conditions. He says, "Assuming at the outset that each is unknown to the prospective audience, the speaker is surrounded by a far richer context for establishing the intelligence, character, and good will which make up classical ethical appeal" (285). He goes on to explain that the writer, on the other hand, is severely limited in the ethical appeals he or she can use because his/her personality can be seen only through the product. One of the few ways a writer can assert an ethical appeal, Connors says, is in the arguments the writer chooses to use. This is also true in a grant proposal, in that the funder is often not acquainted with the organization seeking funding, and the grant writer must make an argument, often in only a few short pages, that the applicant organization is reputable, financially solvent, has a strong organizational structure, solid programs, and suitable data tracking methods.

Other scholars emphasize some of the other modes of persuasion. Matthew Parfitt asserts that, at least in academic writing, logos is the most important of the three modes of persuasion (115), and Wayne Thompson simplifies Aristotelian invention further by integrating his modes of persuasion by saying, "know the facts, know lines of argument, use your mind creatively" (17). Thompson's statement seems to omit the need for ethos in a persuasive argument altogether, and he would likely agree with Parfitt (and Aristotle) that logos is paramount in constructing a persuasive argument.

In his definition of pathos, Aristotle wrote, “The emotions [pathe] are those things through which, by undergoing change, people come to differ in their judgments and which are accompanied by pain and pleasure, for example, anger, pity, fear and other such things and their opposites” (1378 a.8). Or, in other words, pathos can play an important role in how an audience is persuaded by a person or a text, and the emotional disposition of the audience (whether they are celebrating something, grieving something, angered by someone of something, etc.) can greatly affect the audience’s decision-making. As Eugene Garver and Jean Deitz Moss point out, Aristotle’s treatment of pathos is contradictory in Book 1 and Book II of *Rhetoric*. Moss writes, “The first chapter of *The Rhetoric* excoriates those who use it in judicial argument, but book two devotes eleven chapters to its use” (637). Garver suggests that this is due to the specific context in which pathos is practiced (*Aristotle’s Rhetoric* 12). Edward Corbett asserted that all three modes of persuasion should be used in an argument for maximum effectiveness (37). Eugene Garver agrees, stating, “Without these kinds of rhetoric […] we can certainly go on persuading, but our arguments will be strictly speaking insubstantial. Our reasoning itself will not be demonstrative and convincing” (*Aristotle’s Rhetoric* 1-18). Garver endorsed the deployment of these three modes of persuasion in successful argumentation.

Two scholars who seem to agree with Corbett and Garver that all three modes should be utilized are William A. Covino and David Jollife in *Rhetoric: Concepts, Definitions and Boundaries.* The authors explain:

> Aristotle held that artful persuasion must consider three essential and related rhetorical approaches, if it is to prove convincing: ethos, pathos, and logos. Through ethos, speakers seek to persuade by establishing their credibility, gaining confidence of the audience. Through pathos, means of persuasion is through emotions or feelings of the audience. Logos is an appeal to reason primarily through the arguments that are framed. In effect, logos, coupled with ethos and pathos, mobilizes the powers of reasoning, which in turn leads to changes in beliefs, understanding, and behaviors. (337–363)

Covino’s and Jollife’s succinct summary underscores the value and importance of Aristotle’s views on strategic persuasion using ethos, logos, and pathos. Their assertion that these modes “mobilize the powers of reasoning” articulates a need for all three modes of persuasion in play at once. Covino, Jollife, and the other authors, however, are speaking generally about an argument, and further research is needed on whether mobilization of these modes is successful for practitioners' uses in various fields, including non-profit fundraising.

Understandably, none of the established academic literature on rhetoric offers suggestions for how to deploy rhetorical modes within the context of grant writing. Some authors do provide suggestions for using rhetorical appeals, specifically Aristotelian modes, for job seeking. Alan Axelrod's book, *Getting Your Way Every Day*, discusses why ethos, logos, and pathos can be helpful for a jobseeker. He writes, "It is critical that you create the unmistakable impression of logic throughout your entire presentation" (121). While this speaks to logos and ethos (without specifically naming them as such), Axelrod doesn't distinguish between the two modes. He states that the two most important elements of logic for a jobseeker are clarity and relevance. He also asserts that an emotional appeal can't stand alone in a job-application situation (122). Axelrod's book may be useful to jobseekers, but to those who are looking for data about grant writing, this book would not provide sufficient information. Further, Axelrod's suggestions to job seekers are not based on objective evidence but rather his experience as a business person, though his qualifications are not discussed in the book.

When thinking about what makes texts persuasive, authors have suggested other methods for persuasive writing. Frank Cioffi's book, *The Imaginative Argument*, discusses persuasion, though not directly related to Aristotle and in an academic rather than in a practitioners setting. Cioffi's presents what he believes is paramount for a successful argument, understanding the audience. He says:

> When most people sit down to write, all too rarely do they deeply, self-consciously consider the variety of audiences, the interests and proclivities of the people who read their writing, the things the audience will respond to (and what they might incorrectly respond to), or what the audience genuinely wants from the writing [. . .]. I want to suggest that these considerations are of enormous importance, especially in the writing of arguments. (12)

Cioffi's point is very relevant to grant writers, as the more a grant writer knows about his/her audience (the funder), the more likely the grant application will be successful. This articulates that the need for empirical information about what modes of persuasion are valued most highly by funders is critical within the field of grant writing.

The Grant Application As a Unique Voice of Persuasion

Grants can be conceptualized as the kind of speech that Aristotle was discussing as he describes discourse in *Rhetoric*. It is speech that attempts to persuade. Sara Wason tells the grant writer the importance of "finding your voice" (165) when writing a grant. She explains that writing a grant proposal is using your unique voice to make a "strong case for support to a funding source" (165). Laura Gitlin and Kevin Lyons articulated the formidable task a grant writer must achieve: "You need to convince the foundation that your project is important, that you are the most qualified person to carry it out, and that it fits with the interests of the agency" (62). Patrick Miller notes that "Grant competitions are rigorous" (1) and that "most winning grant applications [. . .] have presented a comprehensive, coherent and persuasive essay" (126). Howard Hillman and Kevin Abarbanel also underscored what was persuasive stating, "Use persuasive facts, expert opinions, the names of authorities and community leaders who can be contacted and any other convincing documentation you can muster" (63). These authors stressed the need for "a persuasive essay" and other "persuasive facts," thus exemplifying that a grant application is highly rhetorical and that more empirical data about what funders find persuasive is needed in the field.

So, if grant writing is an exercise in persuasion, it is important to link the elements required in a grant application to the modes of persuasion and determine what is effective in persuading a funder to select your organization.

What Parts of a Grant Are Most Persuasive?

In reviewing current literature and professional grant writing resources, this researcher concluded that there was little evidence of any systematic analysis of data related to grant writing success. Most writing guides do agree that writing grants that persuade a funder to choose one organization over another is not easy and they all gave suggestions for how to increase the likelihood that a grant proposal would be successful. Conducting a systematic analysis of data may not have been the intended purpose of these books. Instead, the purpose of these books is to share information that the authors believe have helped make their grant proposals successful based on their years of professional experience in the field.

A review of grant writing literature reveals that many authors understand the underlying issues behind grant proposal writing; however, empirical research could have strengthened their recommendations and made their assessments stronger. that they know the underlying facts about grants and that they are providing indisputable information; however, none of the many grant sources reviewed has any quantitative research to support their observations. For example, some resources like *The Insider's Guide to Grantwriting* and *How to Say It— Grantwriting* give no frame of reference for how they developed their grant writing suggestions. In these cases, the authors may have been simply trying to share best practices rather than collect data and interpret it. This does not mean their books are not helpful tools for grant writers to consider; it just means they are a different kind of tool, one that is based on their professional experience rather than a systematized study of data.

Other writers do present their methodologies to show how they developed their recommendations but do not provide any data related to the methodology or results. Some popular resources cited have interviewed grant makers and provide direct quotes; however, there seems to be no consensus in these anecdotal comments among sources, so it is difficult to draw a general conclusion. Some use terms like "most funders say" (Karsh and Fox 80) without any context of who are the funders or how many said what. The research presented in this thesis is important as it provides a defensible and measureable summary of trends related to grant funders' thoughts on defined grant issues that will strengthen the information available to grant writers so they can better understand what persuades a grant funder.

In this section, I will document the methodologies that the authors state they use to validate their suggestions for successful grant writing. This summary will support the need for empirical research in this area.

Grant funding is a difficult process, and a review of the literature supports this statement. Hillman and Abrarbanel say in their preface: "Over 95 out of every 100 grant applications are turned down" (9). Joel Orosz notes that the foundation will receive many more proposals that fit the criteria than it can possibly fund: "Meeting the criteria in itself, therefore will not guarantee funding" (55). Hillman and Abrarbanel go on to state: "Many of these rejections would not have occurred if the grant-seekers had known the basic principles learned by previous grant seekers through trial and error […].This book outlines those principles"(9). They also explain that the methodology they used to determine these principles was by seeking a consensus of professionals in the field. However, they do not provide any descriptive information about what role these professionals played in grant writing and funding or what these professionals said, nor do they provide quantitative data to support their conclusions.

Mim Carlson's *Step by Step Winning Grants* workbook articulates the value of data-driven arguments, specifically within the need statements. She says, "State the need using hard-core statistics, not assumptions or undocumented assertions parading as facts" (10). Carlson also states that the one of the keys for success in writing a successful proposal is to research funders thoroughly and target proposals carefully. This is sound advice for the grant seeker, but Carlson is not discussing specifically how to target proposals based on what funders find most compelling, just that it is important to understand what funders want. This thesis provides a replicable model for surveying particular types of funders within a given geographic area so that grant seekers can understand more specifically how to target proposals carefully based on data that indicates "what funders want."

Deborah Koch notes that her book, *How to Say It — Grantwriting: Write Proposals That Grantmakers Want to Fund* is focused on "understanding the supply side of the granting equation — the grantmaker" (2). She states that the methodology she uses as the underpinning of her suggestions for successful grant writing was to provide samples of proposals that led to winning a grant. She goes on to say, "If you don't present the idea in an accessible way to the right people, in the right manner, it will not get the attention it deserves" (19). While this is a very important point, and she shows examples of sections of grants that were funded, ultimately there was no aggregation of data to show trends to demonstrate that her examples were anything other than anecdotal.

In the introduction to *Writing Grant Proposals That Win,* Deborah Ward takes issue with another writer, Phale Hale, who asserts that writing grant proposals is an art and not a science. If grant writing was an art, as Hale asserts, then it would be useless to try to quantify the process. However, Ward says that grant writing it is both an art and a science. She says: "I believe that everyone can learn the 'science' of proposal writing […]. My hope is that this book will provide you with the tools that you need to make the 'science' part of the grant process easier" (xi). Science is generally defined as a branch of knowledge or study dealing with a body of facts or truths showing the operation of general laws or as a body of systematic knowledge of the physical or material world gained through observation and experimentation ("Science"). Rhetoric assumes that persuasion is both art and science. Ward understands this, but his work doesn't expand on the science of grant writing by showing testable explanations that might lead the reader to think of her presentation as a "scientific" body of knowledge.

Gitlins and Lyons, in their book *Successful Grant Writing*, do not document any methodology to support the strategies they present. They rely on their reputation rather than provide information as to how they validated their theory of grant writing. They note that their book is "the gold standard guide to grant writing for health and human service professionals in both academic and practice settings" (back cover). However, while the content of the book is interesting based on their anecdotes and experience in the field, stating that the book is the "gold standard" may not be persuasive to readers who want more proof that they are presenting valid and reliable information to guide their grant writing efforts.

David Bauer's *The 'How To' Grants Manual* opens with the advice that "the trick to grant seeking, if there is one, is to make every experience a learning opportunity" (xiii). He supports the validity of the system he proposes by noting that, "Several colleges who use the system […] report success rates of 75%" (xvii). He does not say what parts of his system were successful or not successful, which would help the reader have specifics to understand the pros and cons of the process he is proposing.

Karsh and Fox seem to have a more deliberate methodology to support the information they present in *The Only Grant-Writing Book You'll Even Need*. They state that "proposal writers […] can turn into opinionated know-it-alls about how to do it" (xiv). They say that because of their extensive experience, they felt sure they knew what funders wanted; however, they realized they didn't actually know what funders think, so they decided to conduct funders' roundtables to solicit funder input. (These roundtables actually were individual interviews that they then compiled.) "The Only Grant-Writing Book You'll Even Need" isn't designed to provide data to give an aggregate perspective, but the work does offer summary comments like "most of the funders suggested" (80) or "their responses were scattered" (246). In addition, it does not appear that they used a structured interview format.

The foreword to *Demystifying Grant Seeking*, by Brown and Brown, indicates that the book "makes a special contribution to an often misunderstood field"; that it "sets aside the myth that grants result from […] designing programs that meet funders' desires" and that instead grant writers should focus on "their own common sense and heart"(xii). The chapters tell the readers how to organize themselves, set up their office and research about their own organization and the community. The information and exhibits provide helpful exercises but do not focus on funder input into what makes a grant successful.

The methodology noted by Wason in *Webster's New World Grant Writing Handbook* is purportedly "real experiences of grant seekers," and she says that trial and error led to the conclusions presented. In addition, the writer notes that she consulted corporate and foundation friends to contribute to her content (1). She provides interesting information and a historical perspective about corporate giving; she notes, for example, that philanthropists historically give to causes that engage them. She does not explain what leads the funders to this engagement, nor does she provide further information about the results of her corporate and foundation consultations.

Conflicting with Clarke's emphasis on the individual story, in *The Grant Seekers,* by Hal Golden, the author provides interesting quotes to illustrate his premises. He notes the Carnegie Corporation's information about how it makes decisions to provide funds to an organization. It appears that Carnegie relies first on the element of ethos: "The most ancient and useful rule of the foundation field is to find the good men and back them. A good man can turn in an impressive performance even though the plan he submits is faulty; but the best plan in the world cannot insure success if the man involved is incompetent" (Golden, *The Grant Seekers* 17). The Carnegie information goes on to say that next in importance is the consideration of the project itself; whether planning has been done and will the organization be able to execute the plan (logos). Hal Golden goes on to quote Herbert West from the New York Community Trust, who decries the use of pathos, saying, "Larger foundations who take giving seriously dismiss the emotional appeal, so don't send pictures of babies crying" (20). While it may very well be that funders do not prefer emotional appeals, without a base of evidence, this statement is just one person's experience.

Another resource that supports the emphasis on ethos, the credibility of the grant seeking organization, is noted in Armand Lauffer's *Grantsmanship.* He notes a funder saying: "It's not so much what a proposal says as the reputation of the proposal writer and the project director" (10). This statement seems to maintain that the proposal writer herself, in addition to the project director, has some kind of intrinsic ethos that helps an application to be funded, which suggests that grant writers should be using their own name in the application to build ethos. Without any solid evidence that the ethos of the proposal writer impacts funding panels, this advice is hearsay.

Lorenz discusses the value of the various rhetorical elements. He focuses on the value of logos when he notes that “grant proposals are no longer acceptable without clear adherence to […] clearly stated behavioral objectives, methods and procedures (client processes), and measurable (client) outcomes” (146). He also cites ethos when he states, “An agency or organization with an established and sound reputation for providing quality services will have a better chance at continued funding than an agency or organization with no, or a poor, reputation” (249). It seems feasible that there could be an instance when an organization with “no reputation” applies for a grant and is funded, perhaps because a person at the organization knows individuals on the funding panel and that relationship impacts the funding decision. Without data to support these kinds of claims, the kinds of sentiments that Lorenz discusses cannot be corroborated.

There is little consensus among writers in the literature review about what “wins” in grant writing; this is likely because proposals are funded for a wide variety of reasons, including some that are outside a proposal writer’s control. While these reference books may provide useful recommendations based on professional experience, none provides strong support for their different grant writing strategies based on systematic empirical data. Additionally, none of the references uses either a deliberate or implied strategy of persuasion--using rhetorical appeals--in a formal assessment of funders’ valuation of standard proposal elements. Although proposal writing is an attempt to persuade the reader to fund a grant, none of these references uses the rhetorical elements of persuasion as a focus of analysis.

In the review of literature, this researcher found that although grant writing manuals contain a wealth of useful advice concerning many important elements of the profession based on practical experience, there is a paucity of research utilizing systemized data collection methods and empirical analysis to show the variety of funders’ responses, which might lead to supportable conclusions for how to be most persuasive in grant writing. This research study attempts to contribute to the knowledge of the subject in the next chapter by presenting data and analysis from funders’ responses to fixed questions about the standard elements in a grant from a perspective of rhetorical structure. While this study is not exhaustive, it can provide a replicable model for expanded research in the area.

CHAPTER 3

QUANTITATIVE AND QUALITATIVE RESULTS

The results of the interviews conducted for this study provide measureable guidance for grant writers and organizations as they proceed to seek funding. In general, the results indicate that funders in San Diego valued empirical data, including outcome information, and credible leadership as the major influences in funding decision-making. They also look for service-population data, output data, including depth of program effectiveness and the breadth of individuals touched by the organization, and measured improvement (statistical significance).

Figure 1 provides a summary of the average response value relative to Aristotelian mode for each question and which questions scored the highest among funders on average. Overall, it is clear that the questions that are related to logos score highest among funders, while questions related to pathos score lowest. This will be examined in greater depth throughout the chapter, as each question is examined and qualitative and quantitative trends are discussed in the analysis following each figure.

The figures that follow Figure 1 will break out each question individually so that we can take a closer look at how each question scored and how each type of funder valued various parts of a grant proposal and, thus, various modes of persuasion. Items that do not display a chart had no numeric rating by the interviewees. Note that the number respondent types queried were four community foundations, six private foundation, and one government funder.

This summary graph (Figure 1) displays the average ranking of each question and the rhetorical appeal tied to each question.

On balance, none of the questions tied to a pathos appeal were answered favorably by the respondents. Favorable questions are defined as questions in which a respondent scored the questions a 4 or 5. This is a significant finding. Although one interviewee noted: “Of course we like to be pulled by the heart-strings,” this respondent still rated a “1 or 2” for each question related to pathos when discussing how important this was in the funding decision.

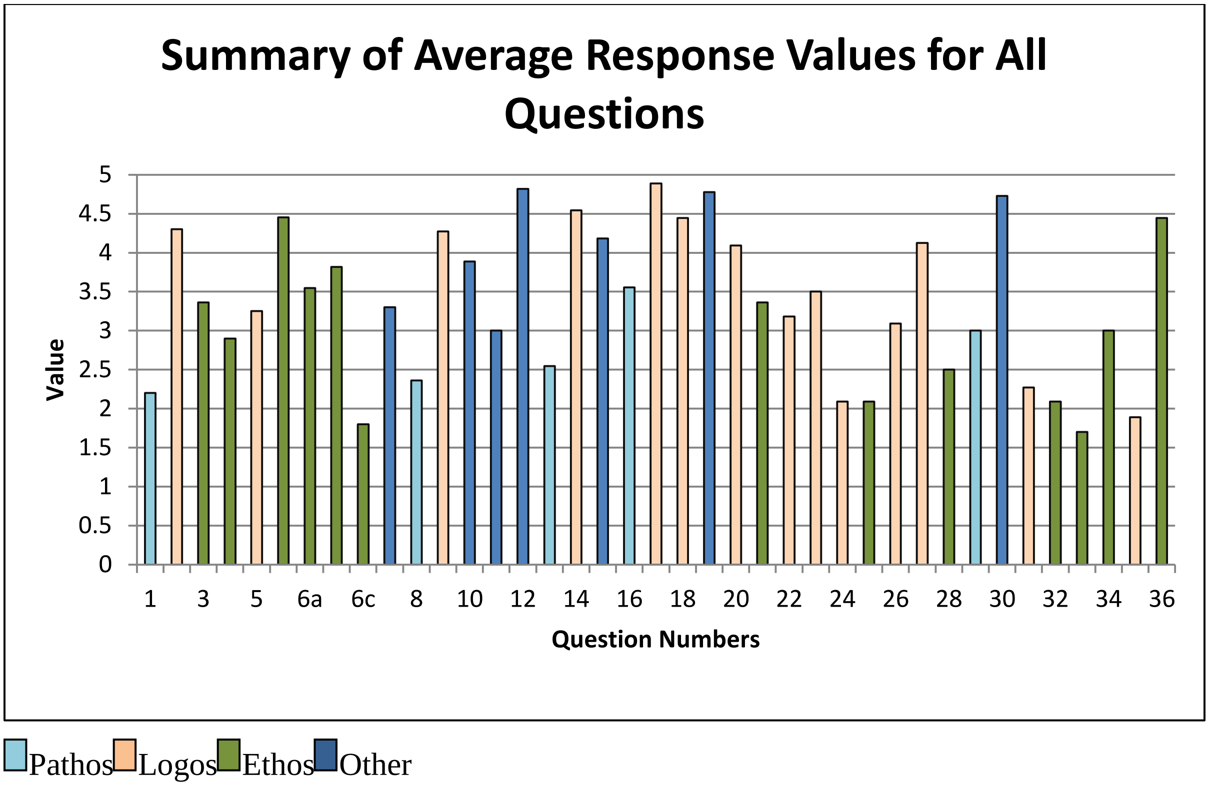

Figure 1. Interview results and value funders placed on rhetorical appeals.

Another person noted: "I think people have to connect from the heart, but it's definitely not the most important" and gave one of the highest scores, a "3," though still not favorable. One interviewee stated that "warm and fuzzy" responses are "totally a waste of time."

Figure 2 depicts favorable ethos questions by respondent type. Favorable questions are those questions rated with a 4 or 5. Community foundations and the government funder responded favorably to a nearly equal percentage of ethos questions, approximately 40%. In contrast, private funders seemed to rate ethos questions less favorably, with not even 20% of the questions rated with a favorable response. This may have been due in part to the fact that many of the private foundations ranked very low on the questions regarding whether an organization that has been funded in the past has a better chance of being funded; the organizational compensation of the senior executive; whether an organization has name-recognized board members; and whether 100% of board members contribute financially to the organization. (The community and government respondents responded favorably to many of these questions.)

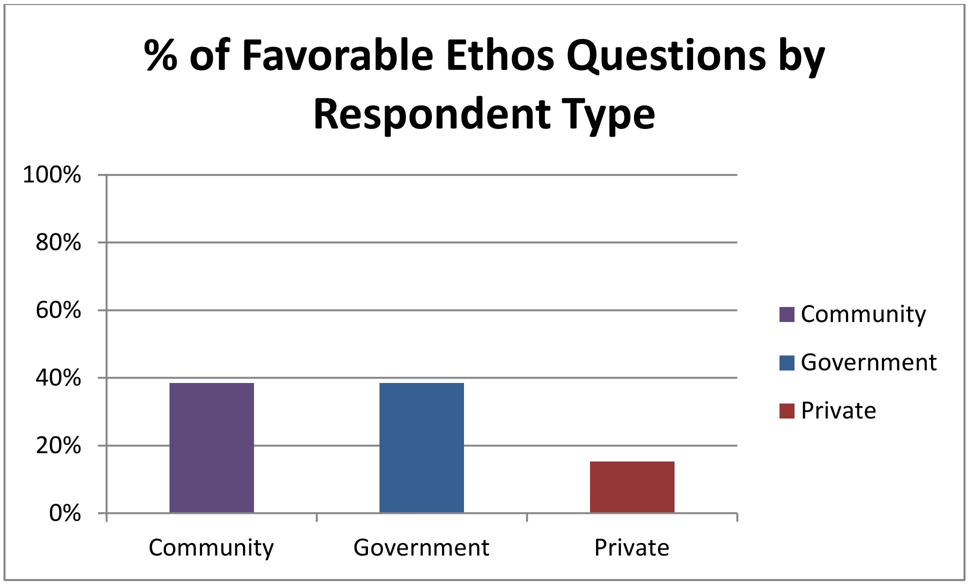

Figure 2. Percentage of favorable ethos questions by respondent type.

Since private foundations tended not to rate the aforementioned questions favorably, the chart below shows a disparity. However, it may suggest that private foundations are most flexible when it comes to deciding the indicators for what makes an organization credible in the community. This bodes well for organizations applying for grants from private funders if the organization's board members do not, or are not able to, make monetary investments in the organization or are not name-recognized community leaders.

Of all ethos questions, nearly 40% were ranked favorably by community and government funders. Private funders ranked less ethos questions favorable.

Figure 3 represents the percentage of favorable logos questions by respondent type. Favorable responses were those questions ranked a 4 or a 5.

Figure 4 indicates that respondents from community foundations and private foundations answered half or more than half of all the logos questions favorably, scoring them a 4 or a 5. The government funder also responded favorably to a large majority of all logos questions. In general, respondents replied most favorably to questions based on logos (as also indicated in the summary chart in Figure 4). This finding supports the review of literature in which many scholars asserted that logos was the most important of the three modes of persuasion when making a successful argument.

Community and private funders rated approximately 50% of all logos questions favorably. The government funder rated over 60% of all questions related to logos favorably.

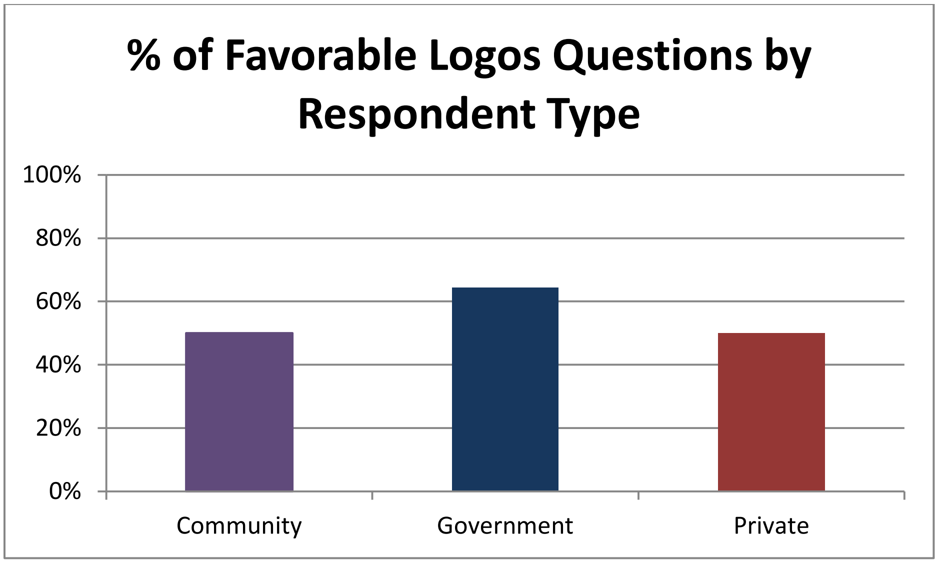

Figure 3. Percentage of favorable logos questions by respondent type.

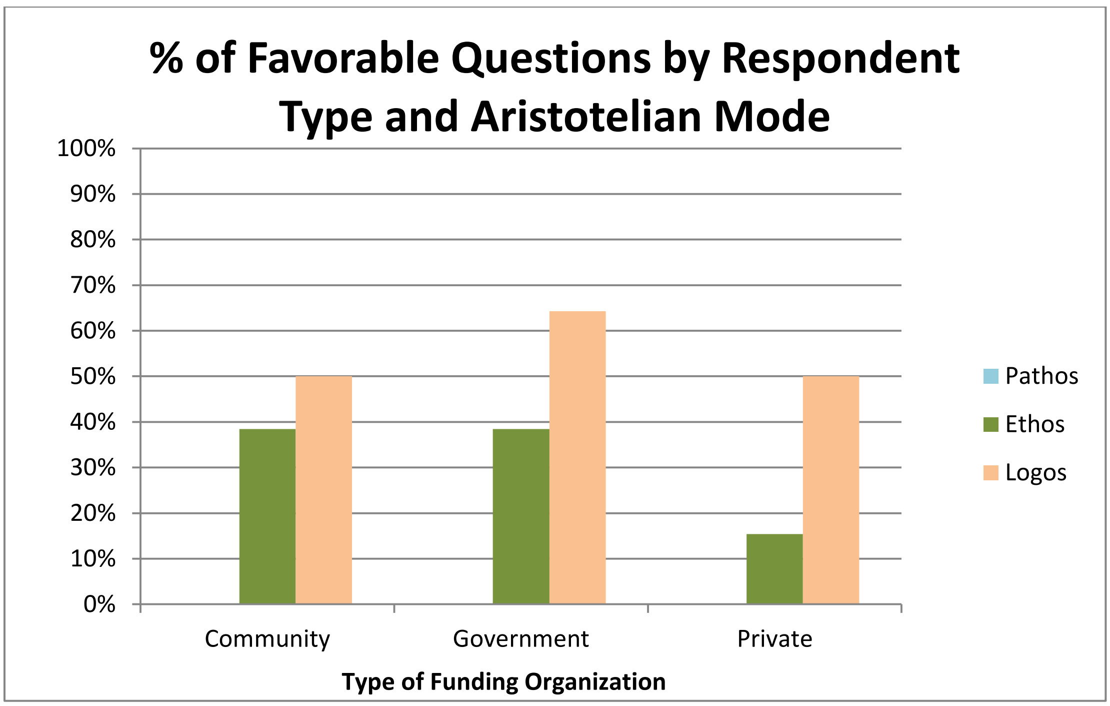

Figure 4. Percentage favorable questions by respondent type and Aristotelian mode.

Figure 4 represents the percentage of favorable questions by respondent type and Aristotelian Mode in a side-by-side summary comparison. Of all favorable responses, that is, questions rated a 4 or a 5, the overwhelming majority of favorable responses corresponded to an appeal using logos. None of the respondents responded favorably to questions using a pathos appeal. All organization types seemed to value a logos appeal, though the government funder responded most favorably to logos questions. This may be because government funding streams require a higher-level of scrutiny upon post grant award, and research also indicates that government funders are becoming increasingly focused on quantitative outcomes.

While ethos questions scored favorably with community foundations and the government funder, private foundations seemed less concerned about ethos and more concerned with logos. Many private funders also responded in a neutral way toward pathos, and were more likely to score pathos question as neutral than the community foundation or government funders, who largely scored pathos unfavorably.

Figure 4 shows a summary of the percentage of ethos, logos, and pathos questions rated favorably by each respondent type. The chart is color coded to illuminate which modes were ranked favorable, that is with a 4 or 5 on the Likert scale. Pathos questions were not ranked favorably, so they do not appear on this chart. Logos questions were ranked most favorable by all respondent types. Community and government foundations also ranked ethos questions favorably, with private foundations ranking ethos slightly less favorably.

Figure 5 details the average response value by respondent type and Aristotelian modes. When examining the average response value by respondent type (rather than only the favorable responses), we have a clearer picture of how pathos compared to the other Aristotelian domains. On average, community foundations were neutral on questions using a pathos appeal, private foundations were slightly less favorable, and the government funder was very unfavorable.

When looking at the average response values for logos or ethos (particularly logos), it is not as clear how valuable all three respondent types view logos in making funding decisions. This is why Figures 2-4, which detail favorable responses, provides such an interesting perspective on the data. When simply averaging all data, the range value for logos looks largely neutral or slightly above neutral; however, the tables that speak specifically to whether respondents scored logos 4 or 5 exemplify that the emphasis on logos is very highly valued among all respondent types.

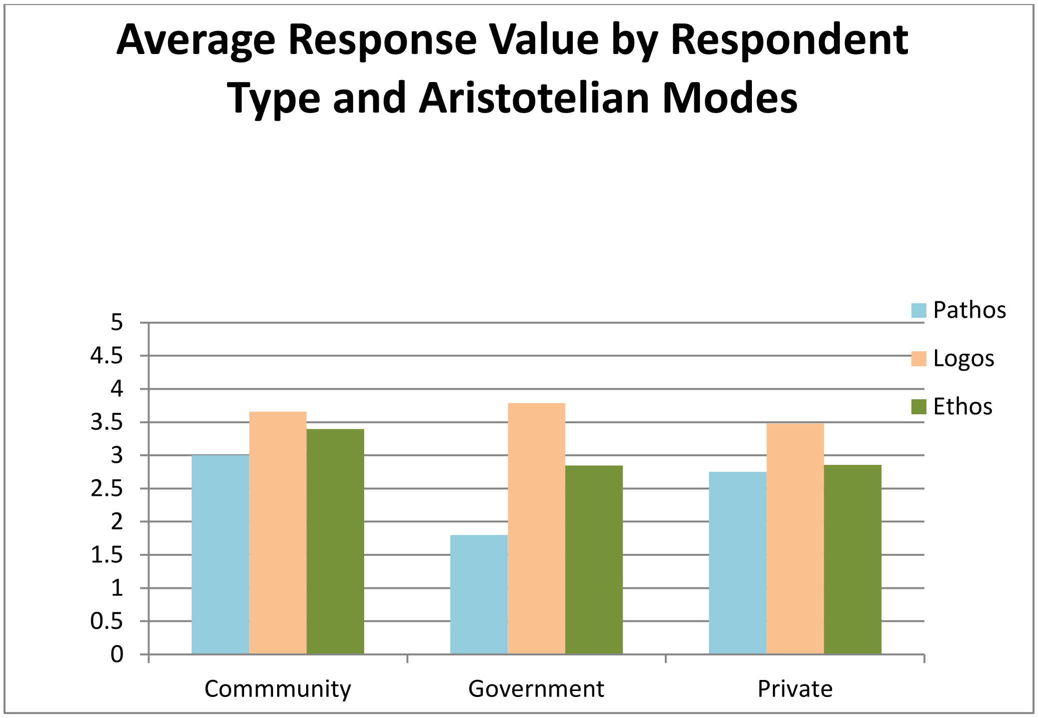

Figure 5. Average response value by respondent type and Aristotelian mode.

Figure 5 displays how respondents, on balance, ranked questions tied to a pathos, logos, or ethos appeal. The Aristotelian modes are color coded and organized by respondent type of community, government, or private funder, and their average scores are represented on the y-axis. On average, as expected from data from previous figures, logos ranked the highest among all funder types, followed by ethos and pathos. It is important to note this is an average and may not be the best way to glean results from the data.

The following sets of Figures (Figures 6-83, p.28-94) represent the average value of each question by type of respondent. Items that do not show any data had no numeric rating by the interviewees. Each question has been paired with an Aristotelian mode (as documented in the methodology), but this does not mean that only the mode paired can be attributed to the reading of this question. For the purposes of this study, only the most prominent mode, as agreed upon by a focus group of practitioners and academics, is used in analysis. Note that number respondent types queried were four community foundations, six private foundations, and one government funder.

Figure 6 displays comparative average response value organized by respondent type for Question #1: How important is the “warm and fuzzy” mission statement? This question

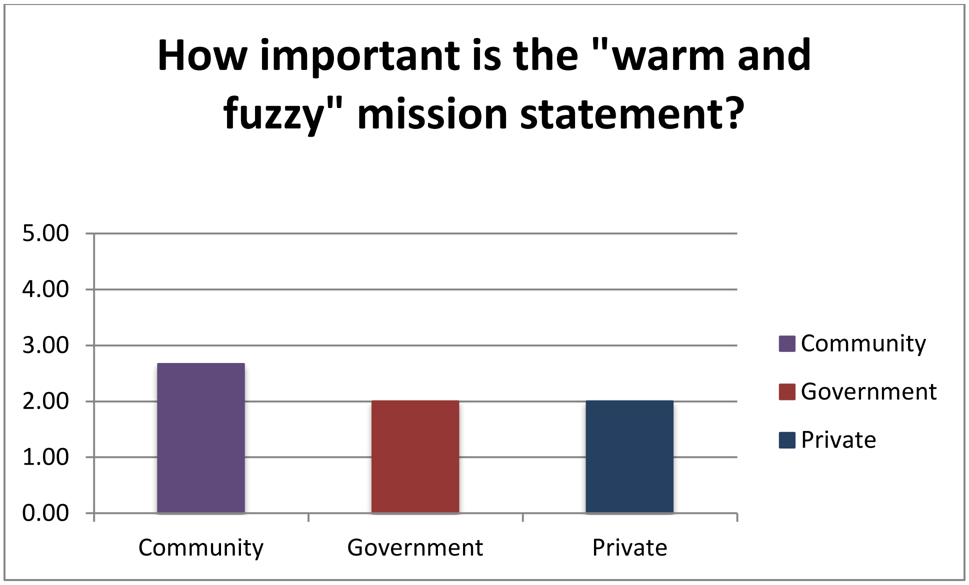

Figure 6. Role of pathos in mission statement scored by funder type.

represents a pathos appeal. The aggregate responses for this question did not fall into the "favorable" level, 4 or 5 on the rating scale. One of the most positive respondents liked the "warm and fuzzy" but did not believe the mission statement itself was important. She initially said she would give the mission statement "3" but ultimately declined to rate the question. She stated: "If this [mission statement] has some bearing, I would say the better bearing for us is warm and fuzzy, because it's more accessible immediately to know whatever we fund will help people."

On average (with one funder declining to answer this question), all respondents ranked this style of mission statement as not very important.

Figure 7 represents the average Likert scale value responses to Question #1: How important is the "warm and fuzzy" mission statement? The majority of respondents replied in neutral or unfavorable ratings towards this question. The one respondent (who was from a community foundation) who responded favorably to this question stated that she rated it 4 but stipulated, "It could be 'warm and fuzzy' but it has to be specific. So it can be all wonderful things but it has to be like *what are you doing?* And, *can you say it succinctly?*" This response seems to articulate a secondary need for logos in the mission statement.

The y-axis displays the 11 total funders interviewed (one funder declined to answer this question), and the x-axis displays scored value on the Likert scale. Responses varied, with a majority of respondents not finding a mission statement tied to pathos very important.

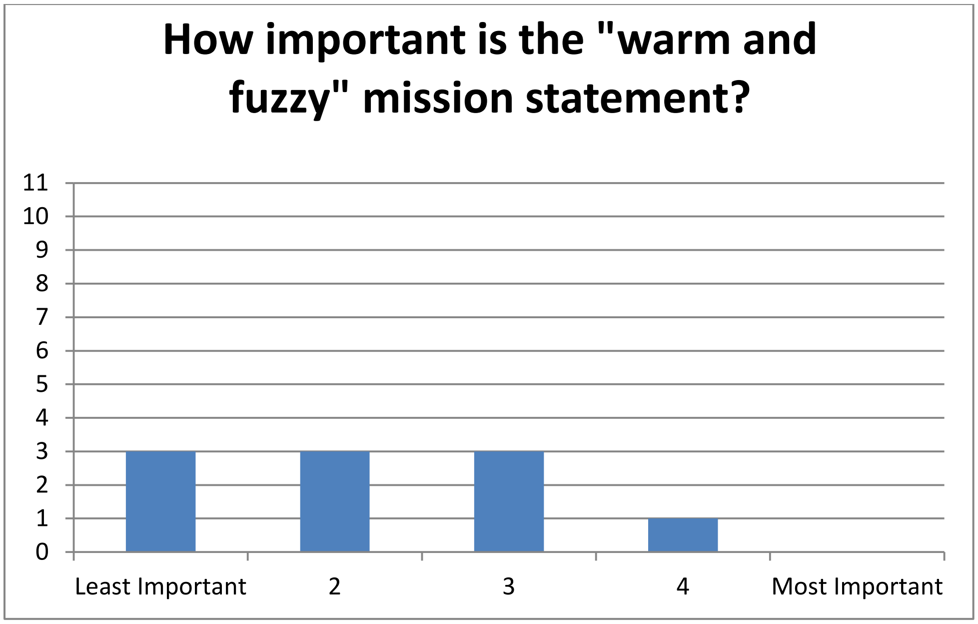

Figure 7. Ranking of importance of pathos in mission statement.

Figure 8 displays comparative average response value organized by respondent type for Question #2: How important is a logical, technical with a focused definition of purpose mission statement? This question represents a logos appeal. All respondents preferred this kind of mission statement rather than a mission statement using an emotional appeal. The respondent from a community foundation, who was the sole individual to respond with a 4 to a mission statement using pathos, rated a logical mission statement a 5. Most respondents were strongly in favor of a logic-based appeal for a mission statement, with little commentary to add but an unequivocal “it’s a 5.” However, one private funder said that use of pathos is not entirely unappealing to her in a mission statement. She said, “I would say the clear, logical definition of purpose is a 4. Now, I think it is important to add a little heart in there [pathos] to really get it across, but I think a mission with a very clear logical goal is the best.” While this private funder appreciated “a little heart,” she did not appreciate it enough to rate favorably for that question and still stated that she valued logic more.

This information is very interesting, as non-profits periodically go through strategic changes to update their mission statements to better communicate their goals and activities. In looking at different types of mission statements from across San Diego County, styles of mission statements vary from organization to organization. This study indicates the funders

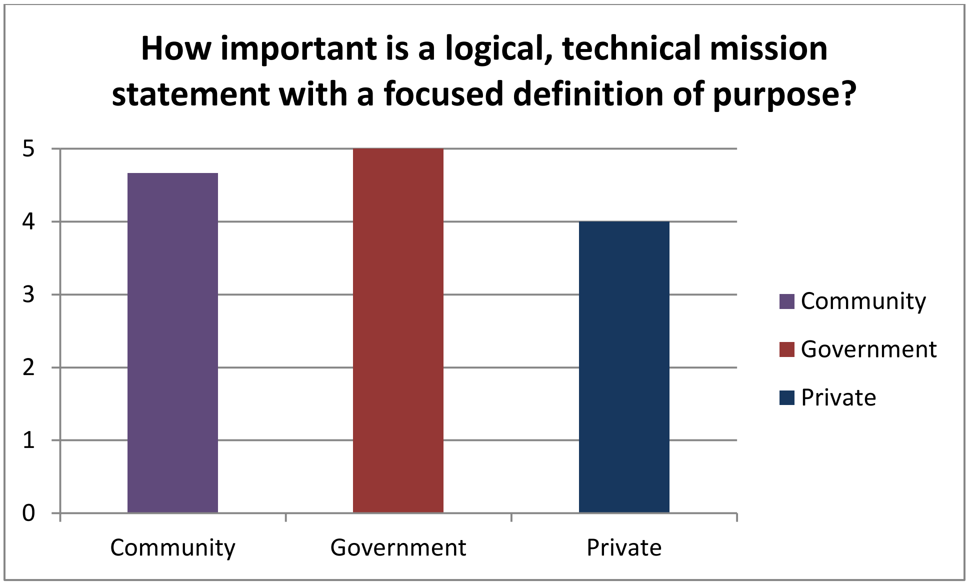

Figure 8. Role of logos in mission statement scored by funder type.

prefer more logic-based appeals in mission statements and do not find mission statements that use an emotional appeal to be effective arguments for support.

On average, all respondents ranked a logos-based mission statement as favorable, with the government funder rating it most important.

Figure 9 represents the average Likert scale value responses to Question #1: How important is a logical, technical with a focused definition of purpose mission statement? This figure exemplifies that most respondents were very clear in the value they placed on mission statements using a logos appeal. One funder from a private foundation did not rank a logos-based mission statement highly (though she also ranked a pathos-appeal just as low) and stated, “I would go away from warm and fuzzy but [a technical mission statement] would be almost the opposite extreme of I what wouldn’t want. I wouldn’t want the warm and fuzzy. But I don’t want the scientific or technical either. There is somewhere in the middle. I don’t want pie in the sky but I also don’t want it so technical that we forget that we are helping people.” Since this funder rated this question a 1, this brings down the overall average value that private foundations place on this question. While this funder ranked this very low, she is a funder who has been in a funding position for approximately 20 years, so her perspective should not be discounted despite the fact that her response is an outlier.

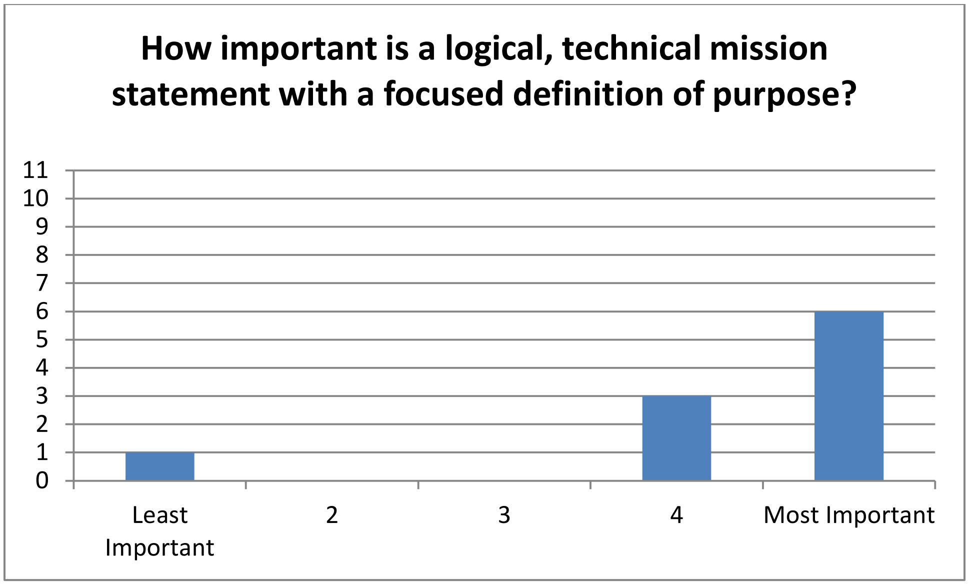

Figure 9. Ranking of importance of logos in mission statement.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Of all respondents, 10/11 rated a logos-based mission statement favorably, with one respondent saying it was least important.

Figure 10 displays comparative average response value organized by respondent type for Question #3: How important is being well-acquainted with the organization beforehand? This question represents an ethos appeal. Community foundations and private foundations responded that knowing the organization beforehand did, in fact, influence their funding decision. While private foundations, on average, responded slightly more favorable than neutral, community organizations were largely favorable, averaging a response value of approximately 4.3. One respondent from a community foundation clarified why she rated this question a 5. She said, “We make a big effort to get to know organizations before we fund them and we fund, we solicit proposals, and accept proposals by invitation only. So we make it our business to know an organization beforehand.” This seemed to be the trend with the community organizations. This may be largely due to the fact that many of grant programs that community foundations conduct are through a donor-advised fund. Through a donor-advised fund, the donor/trustee/fiscal agent may: have more flexibility in granting monies because the donor/trustee does not require as strict granting guidelines; or, the donor/trustee may have explicitly chosen the type of organizations that he/she would like to fund based on current philanthropic interests and relationships (so he/she is probably already acquainted

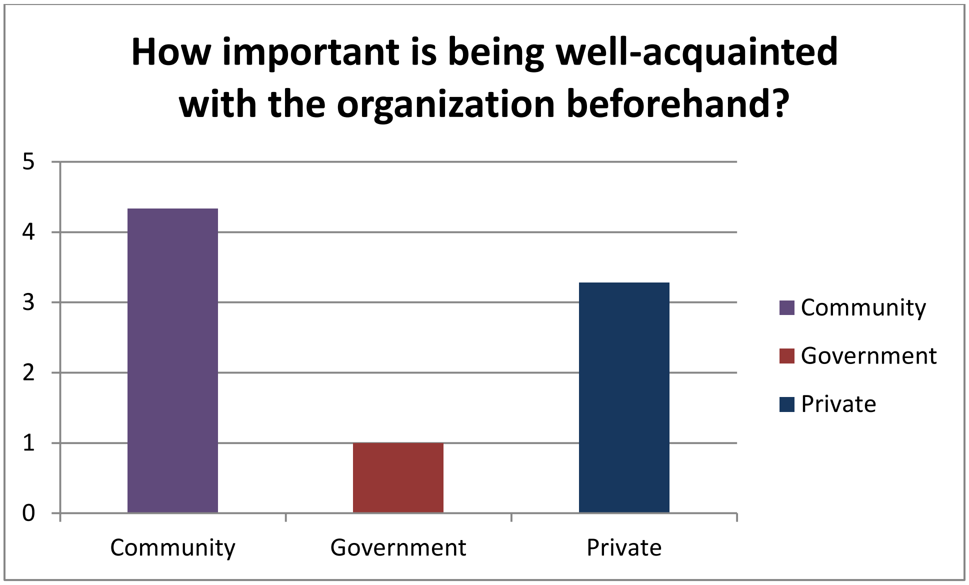

Figure 10. Importance of being well-acquainted with organization beforehand scored by funder type.

with the organizations). Additionally, the community organization staff may perform extra due diligence that private or government funders may not conduct to learn about organizations in advance of the application period to ensure that the community foundation is granting in compliance with the wishes of the donor or trustee.

Understanding this information, non-profit organizations should make extra efforts to connect with the fund managers and staff at community foundations to maximize their opportunities for funding from these types of funders. One community foundation acknowledged that this would be a productive idea for non-profits. She said:

> I definitely want to talk to you. I want to hear from you. I want to be able to tell your story at the table because that is my job here as a staff person, to connect [donors] with prospective grantees. So I need to be well-versed in what you do. I need to know you and I want to know you. I often feel there is this power dynamic between the grantors and the grantees. It is always like, us and them, in some weird and strange way sometimes. I have been on the other side too and I have felt that before…I think it is important to remember that you have allies. There are allies in the community and there are allies within the philanthropic institutions.

On average, community foundations responded that it was very important to most important to be acquainted with an organization beforehand, while private foundations found it relatively important. The government funder did not think previous acquaintance with an organization was important.

Figure 11 represents the average Likert scale value responses to Question #3: How important is being well-acquainted with the organization beforehand? Four of eleven respondents were neutral on this question, meaning that being well-acquainted with the organization beforehand didn't influence their funding decision. Three respondents rated 2 or 1, meaning it was not important at all to their decision making whether they were acquainted to the applicant organization beforehand.

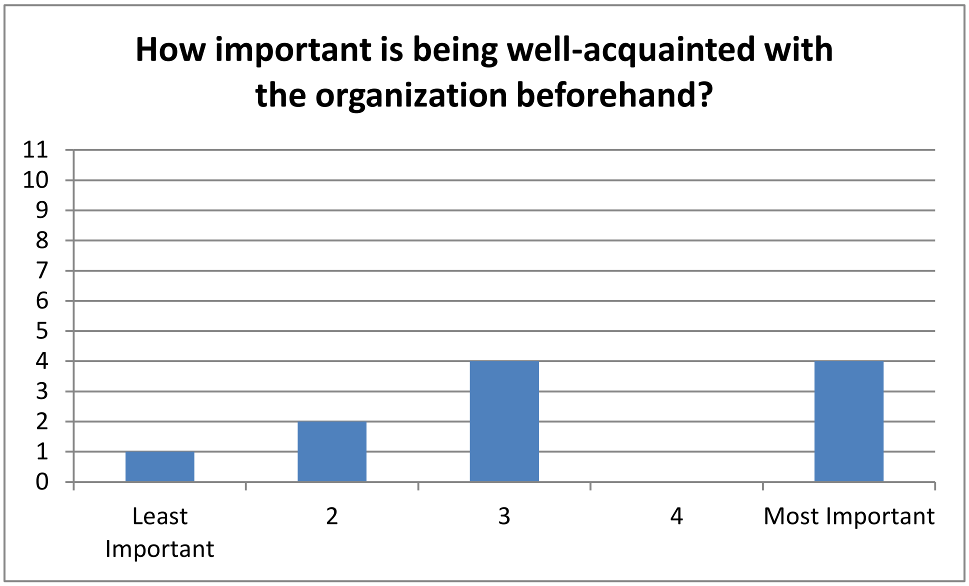

Figure 11. Ranking of importance of being well-acquainted with an organization beforehand.

Also significant was that four organizations rated a 5 for importance of being acquainted with the applicant organization beforehand, suggesting that a reputation in the community is important when applying for funding. One respondent from a private foundation said:

> It is very helpful if I am familiar with the non-profit because I may have had an experience with the executive director. I may have had an experience with a client or somebody that has benefitted from the services. I may have developed a trusting relationship or a point of view of administrative overhead or those kinds of things, so it is very helpful but it is not critical. We are in a relationship business and so the more relationships that we have, the more opportunities, as a non-profit, we have to tell our story and to bring the community along and let them know what is going on. It is very helpful if you are not starting at ground zero where you don't know anybody involved.

The y-axis displays the 11 total funders interviewed and the x-axis displays scored value on the Likert scale. Of 11 respondents, 4 respondents said being acquainted with the organization beforehand was most important, 4 respondents were neutral, and three did not think it was very important.

Figure 12 displays comparative average response value organized by respondent type for Question #4: How important is the length of an organization's existence? This question represents an ethos appeal. Community foundations responded more favorably to the length of an organization's existence, while the government funder was neutral, and private foundations did not place high importance on the length of existence in a funding decision. One community foundation funder responded that she ranked the length of an existence 4 because "although we have funded some young organizations, we prefer to fund organizations that have a history and show viability." Another community foundation respondent said, "The track record is definitely something we look at, something that's important to us, and something that needs time to establish."

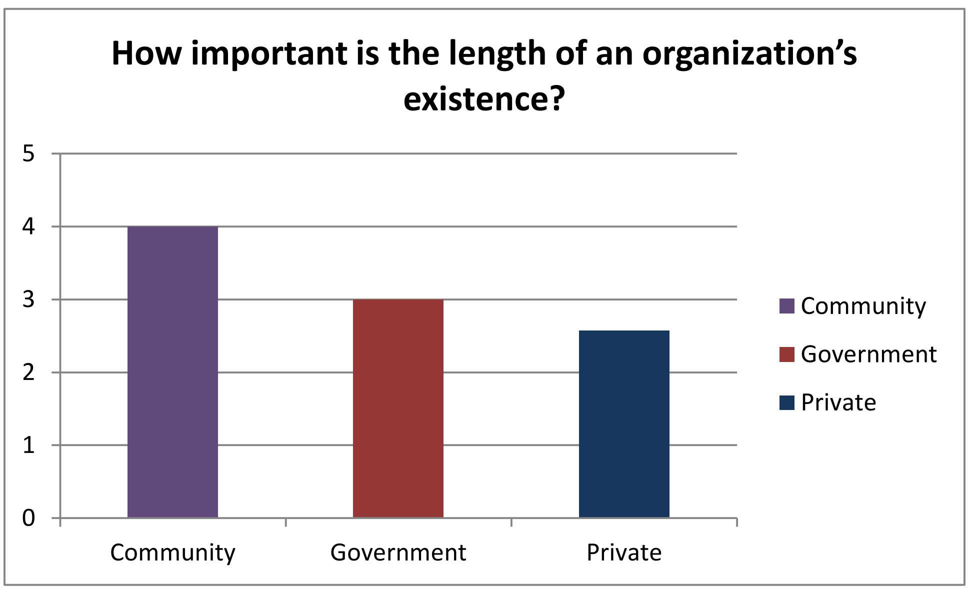

Figure 12. Importance of length of organization's existence scored by funder type.

The length of an organization's existence seems to point to financial sustainability and effective leadership, and it is not surprising that it ranked favorably among some funders. It seems more surprising that of the 6 private foundations interviewed, the average responses were skewed toward neutral or slightly less important. This may be because, as noted in the Introduction, private foundations are more apt to fund newer projects or organizations than community foundations, but more research is needed in this area to prove whether this is in fact a trend.

On average, community foundations ranked the length of an organization's existence as very important, while the government funder was neutral, and the private foundations found it less important.

Figure 13 represents the average Likert scale value responses to Question #4: How important is the length of an organization's existence? One respondent who was neutral on the length of the organization's existence commented, "I would say at least if they have been around a couple of years and have the 501(c)(3) for a couple of years then whether it's 10 or 15 years doesn't really matter. It's just if there's a track record with their funding history and their management." In this response, while the respondent ranked the question a 3, she is defining a younger organization at 10 or 15 years, which in the San Diego community non-profits is still relatively "young" but might not be seen as "young" to everyone. In this case, it seems like her neutral response is actually suggesting that a longer length of existence is beneficial.

Figure 13. Ranking of importance of length of an organization's existence.

The y-axis displays the 11 total funders interviewed and the x-axis displays scored value on the Likert scale. Of the respondents, 5/11 were neutral about whether the length of an organization's existence impacts funding decisions, while three funders found it less important and two funders found it very important.

Figure 14 displays comparative average response value organized by respondent type for Question #5: How important is the number of people helped by an organization each year? This question represents a logos appeal. Government and community funders responded more favorably than neutral about whether the number of individuals helped each year impacts funding decisions. Private foundations responded, on average, in the neutral. One funder from a private foundation who was neutral said:

> I would lean towards it's more important to have more comprehensive services to approach the whole person [. . .]that becomes expensive. I want to have sustainable difference with a nonprofit. I want to make lasting change transforming underserved communities and the issues are so big that they are not quick fixes and feeding a senior may take them off the street for a heartbeat, but that's not the answer. The answer is a huge social issue, whether it's equity for women, or child abuse and neglect. It's expensive [to treat the whole person] and we can treat fewer people. You just need to quantify it and qualify it and not make promises that you can't keep as far as desired outcomes.

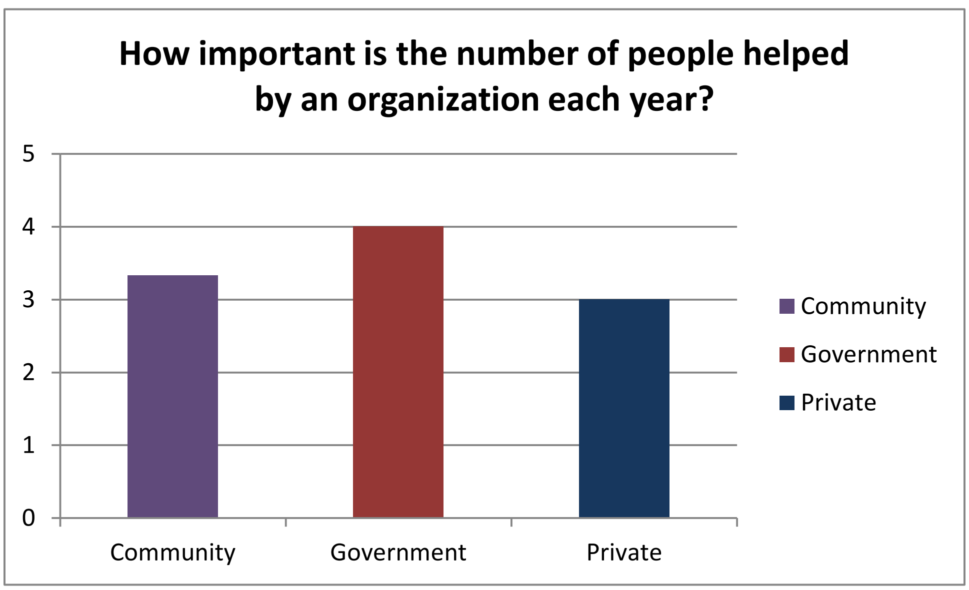

Figure 14. Importance of number of people served by organization scored by funder type.

This interviewee seemed to be saying that she would prefer a more comprehensive treatment of "the whole person" rather than a compulsory treatment of many people, which some other interviewees called "depth over breadth." Despite this qualifier, this funder still rated this question as neutral, despite that her comments indicated a leaning toward helping less people more comprehensively as more important rather than helping more people in less comprehensive ways.

Other respondents did in fact value more individuals served; one respondent said, “I’ll say 4. I like to see our dollars go as far as possible.” Another said, “We base it on the merit of the proposal so it could help ten people incredibly deeply, and that is a success to us, or it could help four thousand people and be equally impactful.”

On average, the community foundations ranked the number of people helped as slightly important, while the private funders were neutral and the government funder ranked the number of people helped as very important.

Figure 15 represents the average Likert scale value responses to Question #5: How important is the number of people helped by an organization each year? In this figure, we see that many respondents stated that the number of people helped each year was important, while a few said this was neutral or not a factor in their funding decision. A few respondents declined to answer this question.

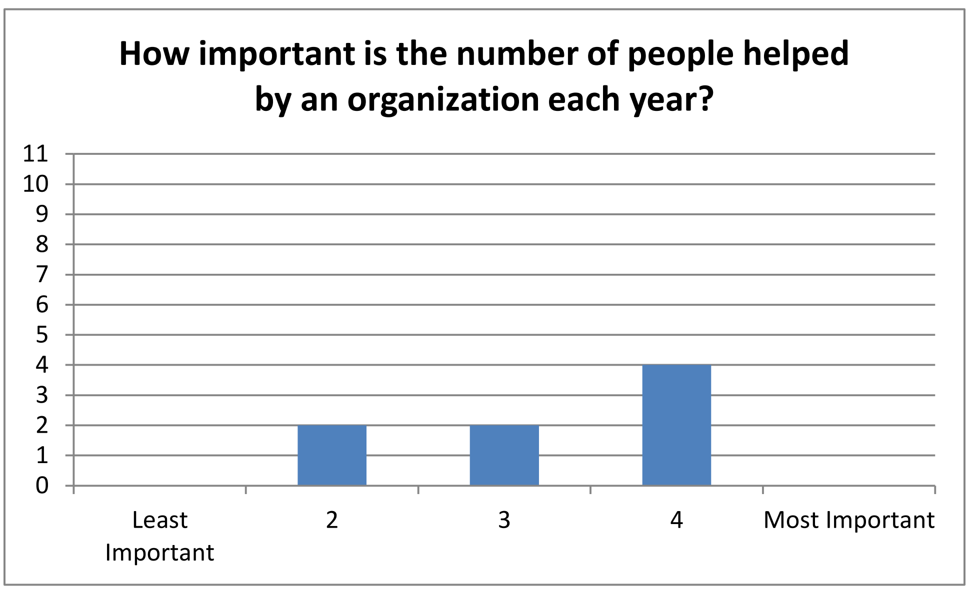

Figure 15. Ranking of importance of numbers served by organization (logos).

One community foundation respondent who rated this question a 3 explained why she was neutral on this question. She said, “Depending on the mission of the organization and what they are trying to do[…][how many people helped] is one way to measure success, though it’s not the only way.” Another respondent from a private foundation declined to answer this question but offered this explanation, “So, for example, a grant is $10,000. Are you getting a better return on investment if [the non-profit] helps 10,000 people? That’s a dollar a person. Are we getting a better investment? It depends on what they’re doing. Of course, I think it is important to get as much value for the grant as possible, but I also look at it in terms of the amount of time the organization is spending with [the clients] and what the outcomes are going to be.”

The conclusion that can be drawn from these response is that while data seems important to private foundations, in the case of how many people helped each year, funders are less interested in seeing expansive numbers of persons helped and more interested in investing in impact. Additionally, this data indicates the serving more individuals is more important to government and community funders.

The y-axis displays the 11 total funders interviewed (3 declined to answer this question), and the x-axis displays scored value on the Likert scale. Four of the respondents rated the number of people helped each year as very important, while two respondents were neutral, and two found it less important.

Figures 16-23, p.39-45 are all questions related to the leader of an organization. Figure 16 displays comparative average response value organized by respondent type for Question #6: How important is the leader of an organization? This question represents an ethos appeal. This is perhaps one of the most significant findings in the study.

The average of all organization types interviewed responded favorably that that leader was very important. One respondent who rated this question of a 5 said, “If you don’t have leadership that is empowered by a competent board, both of whom understand where they’re trying to go, [as a funder] you’re throwing your money away to give them any money. It’s that simple. I’ve learned that the hard way. I’ve made exceptions [. . .]. And every time, it doesn’t work. There is no substitute for good leadership.” Another interviewee responded with 5 and said, “That is one of the first things I look at. The leader is really important.” This is consistent with the Carnegie Corporation beliefs, as noted by Golden, about the leader being the most important element in the grant decision.

On average, community and government funders found that the leader was one of the most important criteria in funding an organization. Private funders rated the leader very important in making funding decisions.

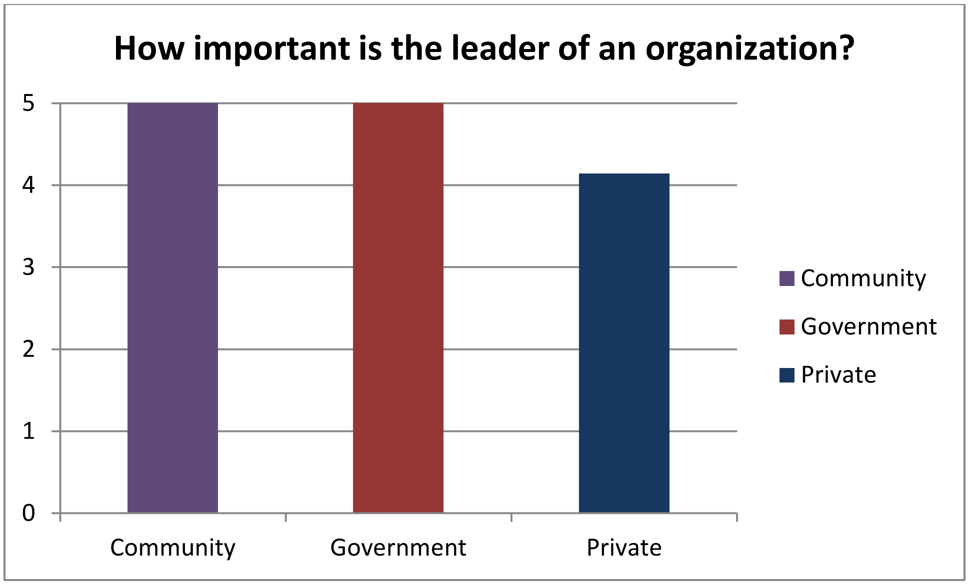

Figure 16. Importance of leader of organization scored by funder type.

Figure 17 represents the average Likert scale value responses to Question #6: How important is the leader of an organization? This graph indicates that a vast majority of all respondents (9 of 11 overall) responded favorably that the leader influences their funding decisions. The organizations that ranked neutral and less important stated that sometimes they look at the program staff as much as they look at the leader so the leader is not the only staff person who influences their funding decision, hence their lower rating; however, they did state that the leader was very important.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Of all funders interviewed, 9/11 rated the leader most important, while one rated the leader very important, one rated the leader neutral in making funding decisions, and one funder found it less important, stating that program staff can be very important also.

Figure 18 displays comparative average response value organized by respondent type for Question #6a: How important is it that the leader is charismatic? This question represents an ethos appeal. On average, community organizations and private organizations rated slightly more favorable than neutral on a leader being charismatic, while the government funder rated this very favorably. One respondent from a private organization who rated the charismatic leader consistent with the average said, “When you’re looking at

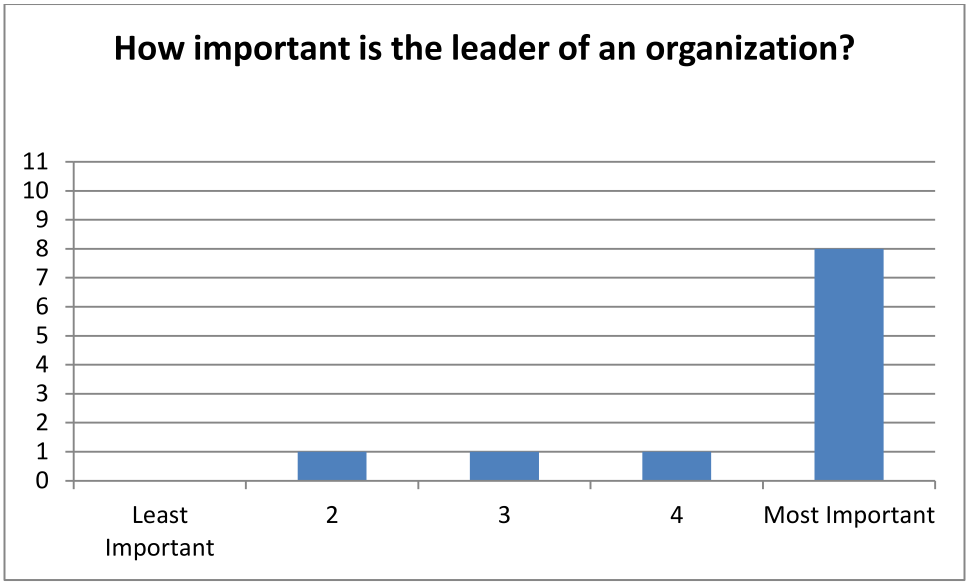

Figure 17. Ranking of importance of leader of an organization.

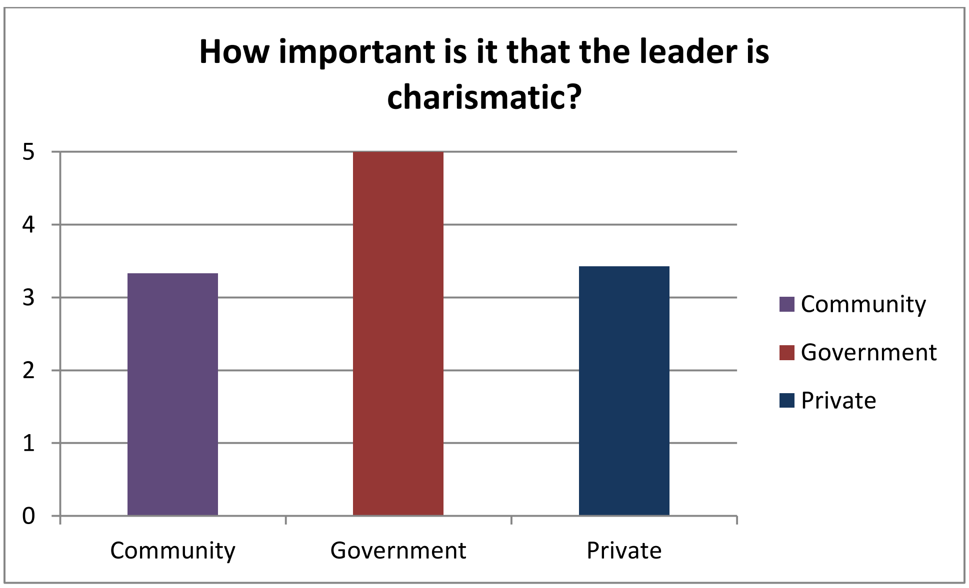

Figure 18. Importance of a charismatic leader scored by funder type.

the pulse and sustainability of an organization, a charismatic leader is going to be so much better at bringing in donors and that's important." Another respondent who rated leadership a five in question 6 stated for this question, "Not important. Let's say a 2."

From these responses it can be concluded that while a leader is very important to funders when they are considering making funding decisions (as evidenced in Question #6), it is not necessarily important the he/she be charismatic. Funders who are noting the importance of charisma are speaking more generally to the leader's ability to generate support via individual donations, as well as inspire staff members. While they think charisma is important to an organization overall, data indicates that it does not necessarily factor into their decisions regarding whether to fund a grant proposal.

The government funder found that a charismatic leader of an organization was very important, while private and community funders found it important.

Figure 19 represents the average Likert scale value responses to Question #6a: How important is it that the leader is charismatic? In this figure, we see that seven respondents' funding decisions were influenced by a charismatic leader, while two respondents were neutral, and two did not think a charismatic leader was important.

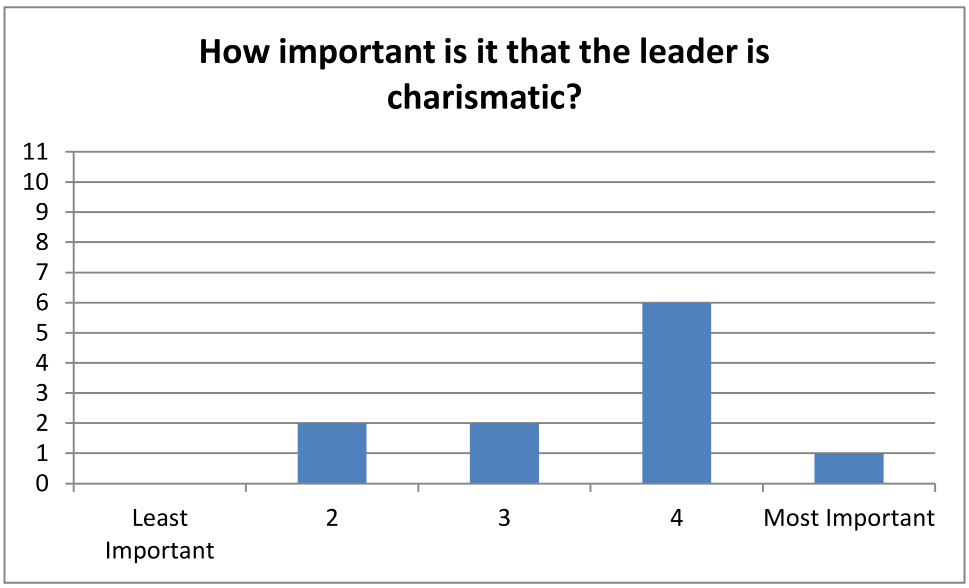

Figure 19. Ranking of importance of leader of organization as charismatic.

One respondent who was neutral to a charismatic leader said, "It depends on what the executive director has to do. Sometimes the executive director has to be the figurehead to raise money." Here the respondent was neutral toward the charismatic leader but did admit that a charismatic leader is helpful in bringing public and philanthropic awareness to the non-profit organization. Since the neutral respondents actually seemed to sway in favor of a charismatic leader, it seems like an important note for non-profit organizations to take into account in their leadership team.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A majority of respondents (7/11) ranked a charismatic leader as very important or most important, while the remaining respondents were neutral or rated a charismatic leader less important.

Figure 20 displays comparative average response value organized by respondent type for Question #6b: How important is it that the leader has a reputation for knowledge in the community? This question represents an ethos appeal. Nearly all interviewees responded favorably to this question. Those few respondents who didn't answer favorably responded that unless the reputation of the leader in the community was dismal ,that the leader being knowledgeable positively impacted their decision making.

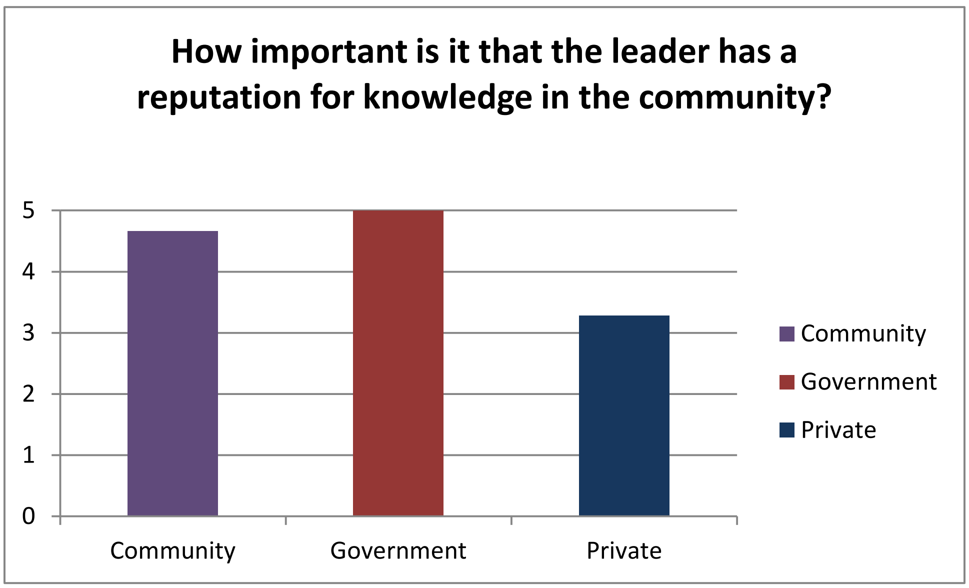

Figure 20. Importance of knowledgeable leader scored by funder type.

On average, all respondents ranked a knowledgeable leaders as important, while the community foundations found the leader very important, and the government funder found the leader most important.

Figure 21 represents the average Likert scale value responses to Question #6b: How important is it that the leader has a reputation for knowledge in the community?

Figure 22 indicates that respondents were split, but largely responded favorably, about whether the leader had to be knowledgeable. Interestingly, the responses to this question were consistent with the number of respondents who valued a charismatic leader. Clearly, it is important for the leader to be both charismatic and knowledgeable. One respondent from a private foundation stated, "You've got to trust that they [the leader] know

Figure 21. Ranking of importance of leader having a reputation for knowledge.

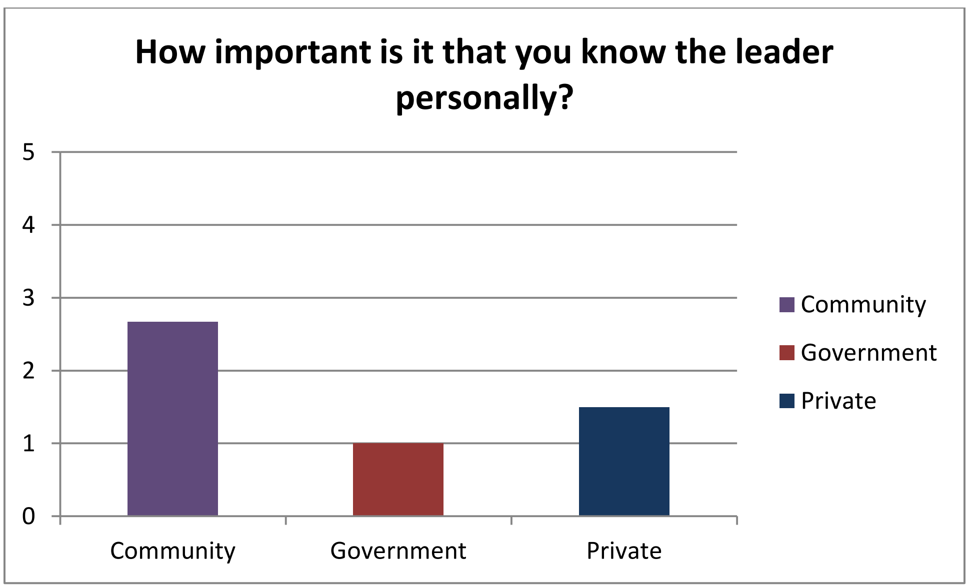

Figure 22. Importance of knowing the leader personally scored by funder type.

their business and they know their field, because you're counting on them to be the expert. As a volunteer, as a grant maker, it's not our industry. So we want experts in those fields to make a difference in the community. And you hire an expert."

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A majority of respondents (7/11) ranked a knowledgeable leader as important or most important, while two were neutral, and two rated the leader knowledgeable leader less important.

Figure 22 displays comparative average response value organized by respondent type for Question #6c: How important is it that you know the leader personally? This question represents an ethos appeal. Respondents ranked knowing the leader personally very low, with only one respondent ranking this question favorably. One respondent, who was neutral on this question remarked, “It’s helpful, it’s not critical. It’s helpful because people give to people first, organizations second.” Another funder’s response also intimated the implications of leader’s unique ability to influence funding decisions. He stated, “There are certain directors of institutions that everybody knows, because those people are smart enough to make sure that everybody knows them and some of them are charismatic and have seductive expertise in their fields and therefore, it’s almost impossible to say that it doesn’t impact funding decisions. But [knowing them personally] certainly shouldn’t influence funding and I would try really hard for it to be a 1.”

On average, it was not important to any of the respondents to know the leader personally.

Figure 23 represents the average Likert scale value responses to Question #6c: How important is it that you know the leader personally? Funders mostly agreed that it did not influence their funding decision if they knew the leader of an organization personally, however almost all respondents said that it was helpful if they did know the leader. It appears that funders, though perhaps influenced by a pre-existing relationship with the leader, want to preserve neutrality when making funding decisions in order to keep personal bias out of the funding equation. Further analysis of this question ties in with Question #33, Figure 76 and will be discussed again later in this results section.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A majority of the funders (7/11) did not rate knowing the leader personally as important to their funding decision. Two respondents were neutral, and one respondent did find that knowing the leader personally was important in the funding decision making.

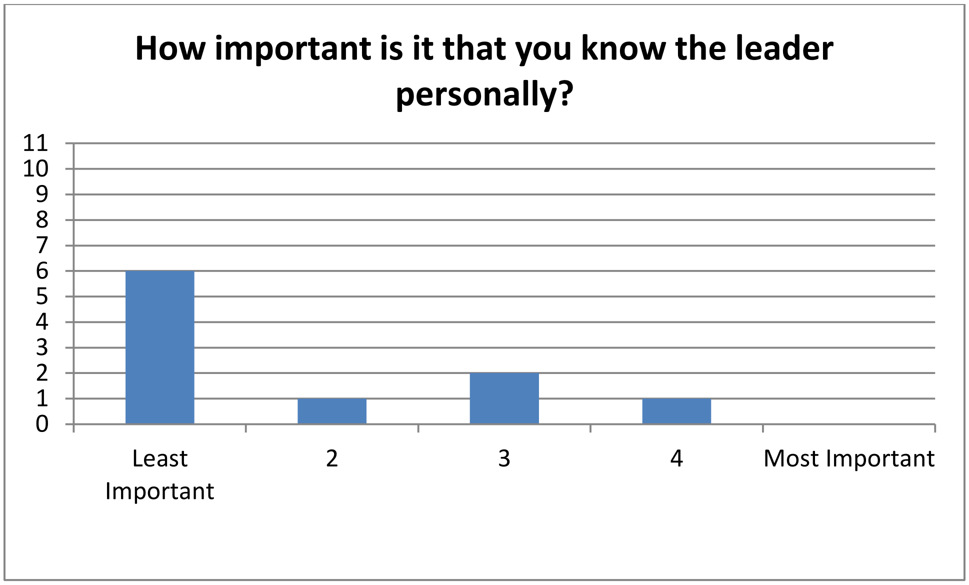

Figure 23. Ranking of importance of knowing a leader personally.

Figure 24 displays comparative average response value organized by respondent type for Question #7: How important is the mission/vision section in your decision making? Funders held strong opinions about persuasiveness of mission statements being logic-based rather than emotion-based; overall, however, funders did not feel strongly that the mission/vision statement impacted their decision making. Community funders and the government funder felt neutral toward the mission statement being very important in decision making, while the private foundations skewed slightly higher than neutral.

On average, community and government funders were neutral in the mission/vision statement impacting their funding decisions, while private funders valued the mission/vision statement as slightly more important.

Figure 25 represents the average Likert scale value responses to Question #7: How important is the mission/vision section in your decision making? While some funders did value the mission/vision statement very highly, most indicated that they were neutral in the mission statement's impact on their funding decision.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A majority of funders (7/11) rated the mission/vision statement as neutral or less important, while 3 funders found the mission/vision of the organization very or most important.

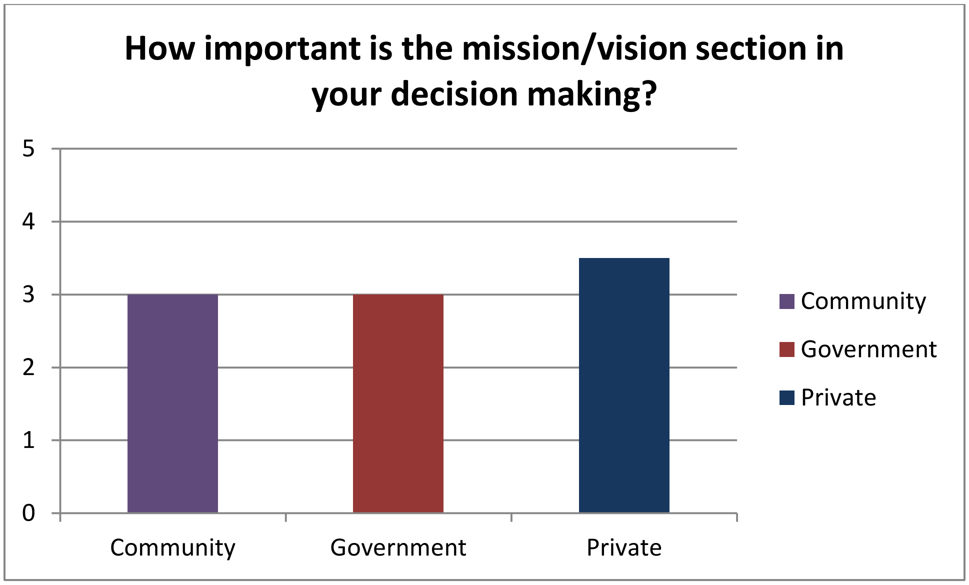

Figure 24. Importance of the mission/vision statement in decision making scored by funder type.

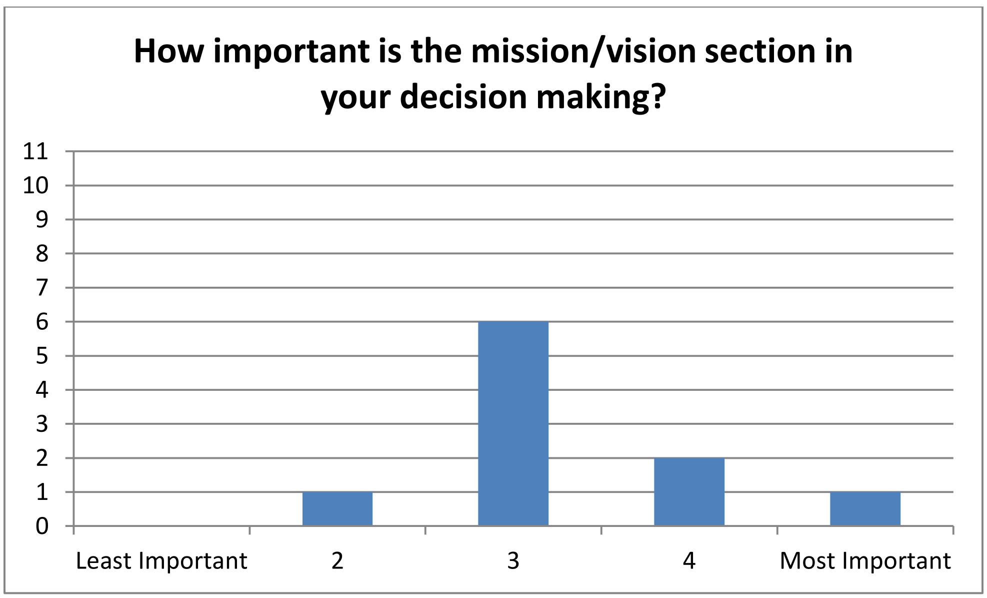

Figure 25. Ranking of importance of mission/vision in decision making.

Figure 26 displays comparative average value organized by respondent type for Question #8: How important is a statement of activities using a "warm and fuzzy" or emotional appeal? This question represents a pathos appeal. No respondents rated this as favorable. All respondents were in agreement that it was not favorable to use an emotional appeal to describe the statement of program activities. This is nearly consistent with the results in Question 1, Figure 1, about the mission statement and the emotional appeal in that

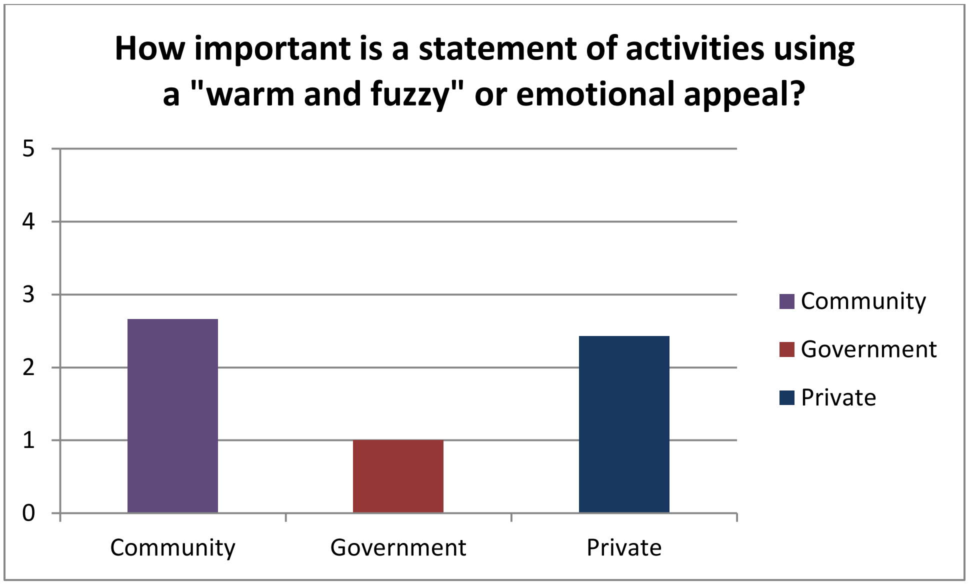

Figure 26. Importance of pathos in statement of activities scored by funder type.

funders also in Question 1, Figure 6, did not favor the use of pathos in a mission statement and responded in similar unfavorable ratings. This is another indicator that an appeal using pathos may not be an effective mode of persuasion within a grant application.

On average, none of the respondents found a statement of activities using an emotional-based (pathos) appeal important.

Figure 27 represents the average Likert scale value responses to Question #8: How important is a statement of activities using a "warm and fuzzy" or emotional appeal? This figure indicates that respondents were neutral or unfavorable to a program/project description of activities using an emotional appeal.

In direct comparison with the Question #1, Figure 6, about the emotional-appeal mission statement, more respondents were neutral towards an emotional description of organization/program activities than they were to an emotionally-driven mission statement. Perhaps this is because in a statement of program activities allow a grant writer to describe in more detail the activities of the organization while the mission statement must be succinct and focused. In the narrative section of a grant proposal discussing an organization, program, or project, there is more flexibility for use of various modes of persuasion, including pathos, simply because there is physically more room to respond. However, most organizations

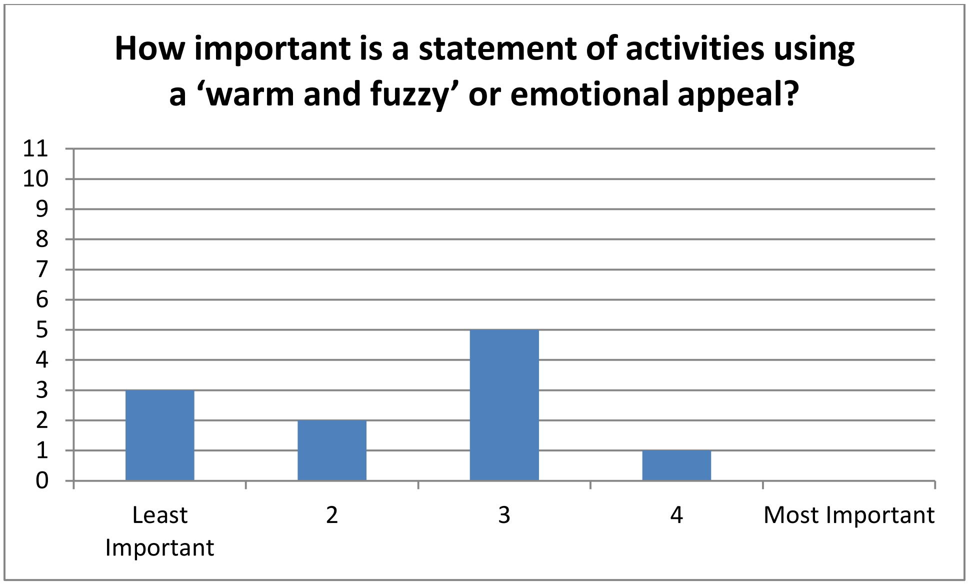

Figure 27. Ranking of importance of statement of activities using an emotional appeal.

stated that they did not prefer emotional appeals for this section either. Thus far, emotional appeals are unfavorable with the majority of funders.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Five of the respondents were neutral to a statement of activities using an emotional appeal, while one found an emotion appeal very important in this section. Five of the respondents found the emotional appeal in this section not important.

Figure 28 displays comparative average value organized by respondent type for Question #9: How important is a chronology of services offered not using an emotional appeal? This question represents a logos appeal. On average, respondents were in favor of using language that was built upon fact and logic rather than on an emotional appeal.

The government funder rated this style of chronology of services a 5, which seems consistent with the fact that government funders must be more data-driven in order to comply with city, county, state, and federal regulations that may be tied to the monies granted in the community. Public funding bodies are held accountable for funds that are not appropriated within very specific parameters, and these parameters tend to be based on quantitative measures. Private and community foundations often have more flexibility as they are ultimately not reporting back to federal governing bodies or spending tax-payer funding dollars.

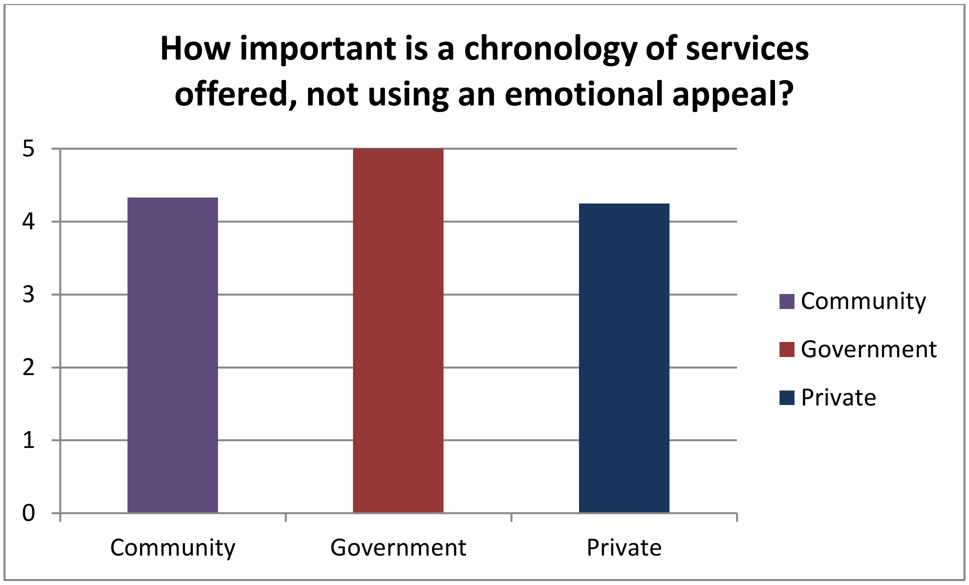

Figure 28. Role of logos in statement of activities scored by funder type.

On average, a chronology of service not using an emotional appeal was ranked very important by all funders.

Figure 29 represents the average Likert scale value responses to Question #9: How important is a chronology of services offered not using an emotional appeal? Most organizations responded favorably to using a logic-driven description of activities. This is an important finding.

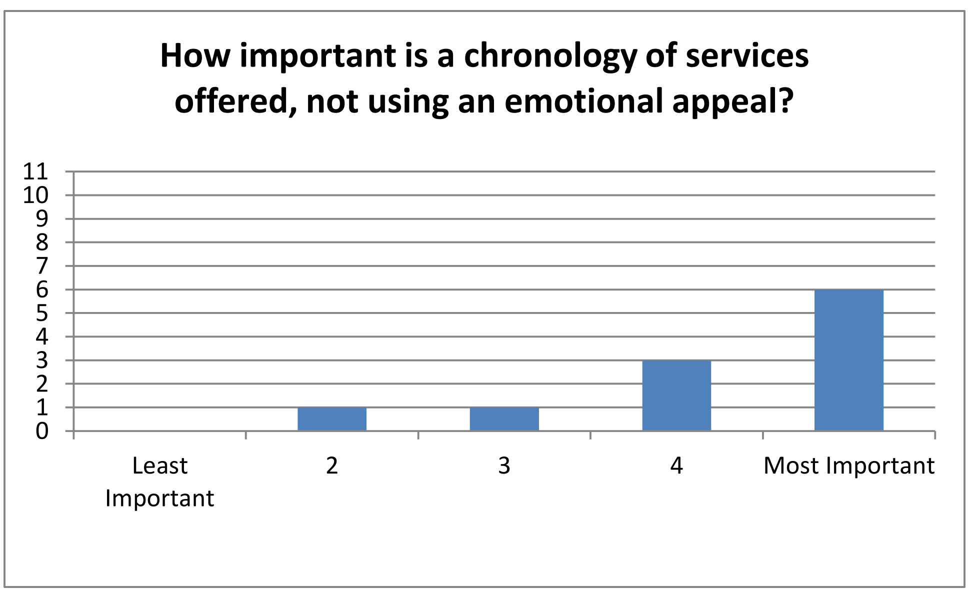

Figure 29. Ranking of importance of chronology of services described without an emotional appeal.

The person who responded unfavorably to this question also responded unfavorably to Question #8, Figure 26, about emotional appeals in the statement of activities. This respondent's justification for that was: "I think people have to connect from the heart, but [connecting from the heart] definitely isn't the most important. I'll say 2 [for both emotional and logical appeals in statement of activities]. Each one is half. They're not one without the whole."

One respondent from a private foundation who responded favorably said, "Donors fall into a couple of categories, those who give their heart, those who give with their head, and those who give with a combo. I'm a real head. So when it comes to the technical details about the program, that's to me the most important side." This respondent's remarks were interesting because of all of the interviewees I spoke to, a vast majority could be classified as "a real head" based upon their responses, with this one being classified as a "combo." This indicates that even funders that might appreciate "a little heart" do not appreciate it as an appeal on its own. It must be accompanied by logos.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Of all respondents, 9/11 respondents found a chronology of services that do not use an emotional appeal very important. One funder was neutral, and one did not find this important, meaning they were more partial to a pathos appeal.

Figure 30 displays comparative average value organized by respondent type for Question #10: How effective is a list in stating activities? This question was not tied to an Aristotelian appeal, but it is still interesting for grant writers in terms of style preferences within narratives. The government funder rated the list very favorably stating, "I think someone should do an experiment and convert existing applications that have already been written with all of their well-constructed prose into an Excel spreadsheet [and see how the application is evaluated]. Can everything in this application be put into an Excel spreadsheet and we do away with the prose altogether? Is that possible? If it could be done, the application process would be really fast and efficient and much more fair."

On average, the private and government funders reported that lists were effective when stating an organization's activities, while community foundations were neutral.

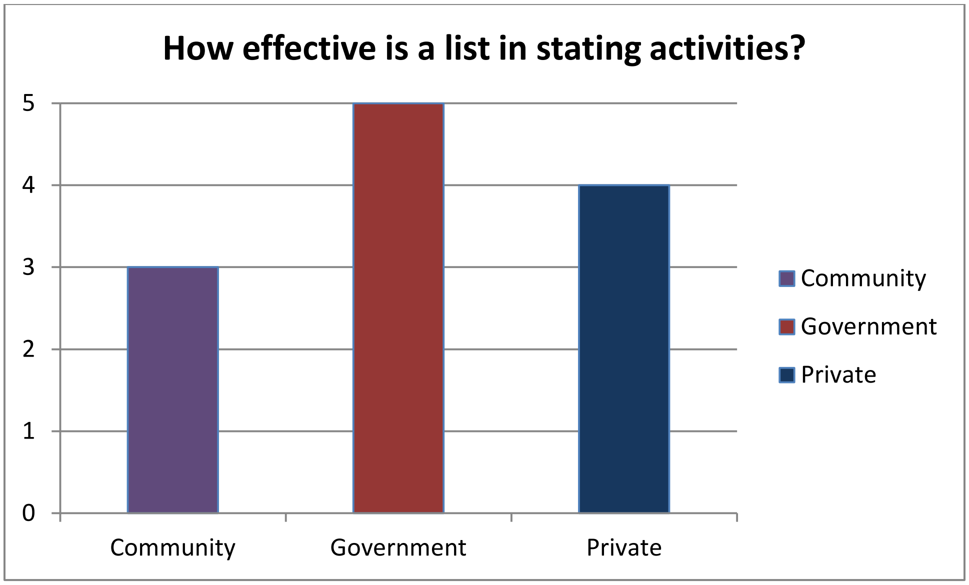

Figure 30. Effectiveness of a list in stating activities scored by funder type.

Figure 31 represents the average Likert scale value responses to Question #10: How effective is a list in stating activities? Most interviewees who responded to this question responded that it was more important to use bullet points rather than paragraphs when discussing the activities of an organization within a grant.

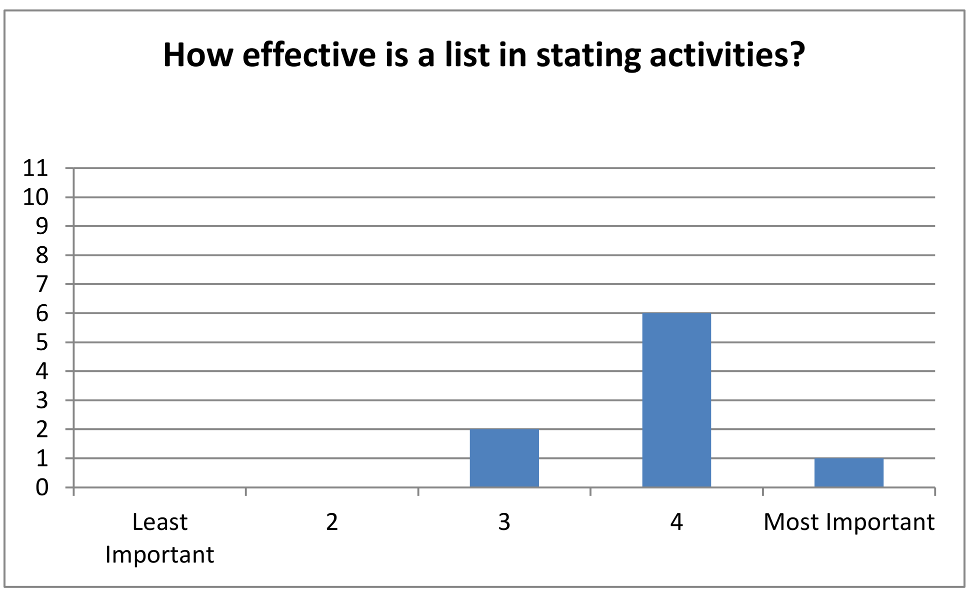

Figure 31. Ranking of effectiveness of a list in stating activities.

One funder responded, “Personally, I’m much better with a list, and if you’re going to do a list make sure it’s a thoughtful list and that the most important bullet is at the top working down because some people only read the first three bullets. So make sure it's strategic, that they've read the most important thing to you….What you find in grant applications as you read them is they cut and paste to make it more and that becomes very clear."

This quotation is significant because it conveys the sense that boilerplate language in grant applications can actually turn off a funder and that may be a reason why a list appeals to many funders since they feel that it omits the boilerplate.

The government funder remarked, "How much you can bury in nicely written prose, you know, is the art of the application. That's the art of the grant writer. But, if you wanted to weed out the art and just have the meat, you could put it in an Excel spreadsheet." This funder is communicating that by converting to "an Excel spreadsheet" for completing this particular government application, grant applicants would thus be required to structure their application in list form, based on pre-set, standardized criteria. This, according to the respondent, would allow funders to be able to evaluate more effectively the most salient, tangible, and quantifiable points of an application and would contribute to more parity in funders' scoring of each application.

The y-axis displays the 11 total funders interviewed (with two declining to answer this question), and the x-axis displays scored value on the Likert scale. A majority of respondents ranked a list as effective and very important. Two respondents were neutral.

Figure 32 displays comparative average value organized by respondent type for Question #11: How important is a detailed description of activities in paragraph form? Community organizations were the only average scoring group that valued a paragraph slightly above neutral, and slightly above a list form. One respondent for a community foundation stated, "I think it depends on the size of the organization. For a really big social service organization that has 50 programs, it's not necessary to go on and on, but then if it is a grant for a parent education program, than that's where it should get more specific [in paragraphs]."

On average, community foundations were rated paragraph form as slightly important and effective, while private foundations and the government funder did not rank this as important or effective.

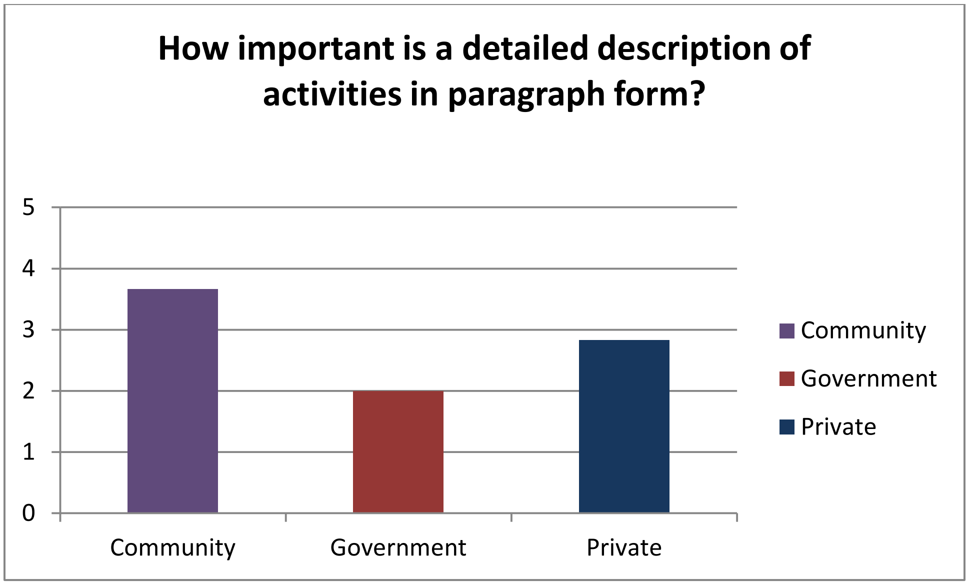

Figure 32. Importance of statement activities in paragraph form scored by funder type.

Figure 33 represents the average Likert scale value responses to Question #11: How important is a detailed description of activities in paragraph form? In this figure we again see that many organizations are neutral to paragraphs versus a list in stating activities. Some think they are important; some think they are less important. However, the data supports that most of the organizations value a logos-based appeal, so from this information, non-profits can use paragraph or list form as long as the information they are conveying is fact-based rather than emotion-based.

The y-axis displays the 11 total funders interviewed (one declined to answer), and the x-axis displays scored value on the Likert scale. Of the respondents who answered, four respondents were neutral to the paragraph form, while the remaining six respondents were split on the importance equally.

Figure 34 displays comparative average value organized by respondent type for Question #12: How important is the statement of activities/project description in your funding decision? On average, all funders ranked the statement of activities/program description as a very important section in their funding decisions. Many of the funders did not have conversational comments on this question because they so confidently expressed their favor for this question, though one funder did say, “Five. Because that’s what we’re investing in. That’s where the rubber hits the road.”

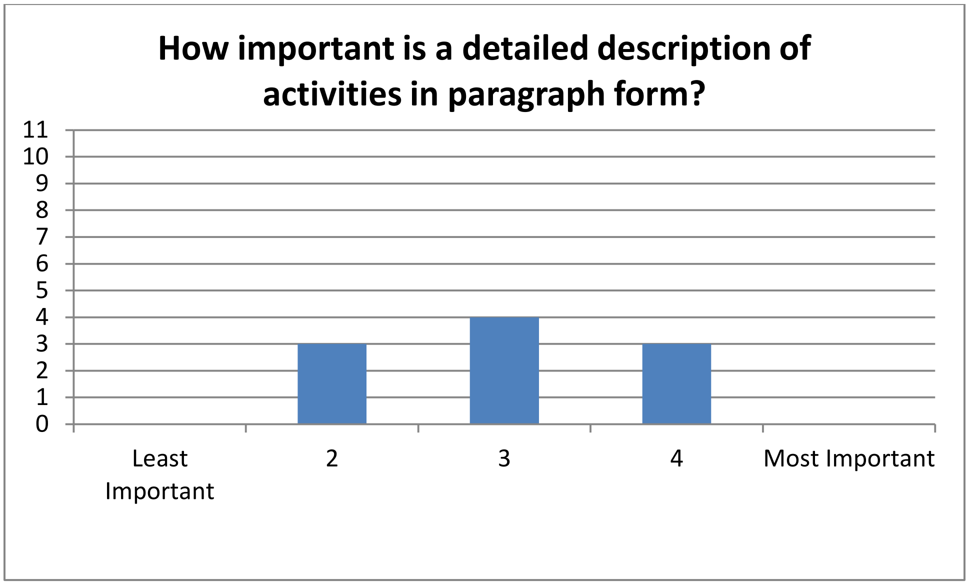

Figure 33. Ranking of importance of a detailed description of activities using in paragraph form.

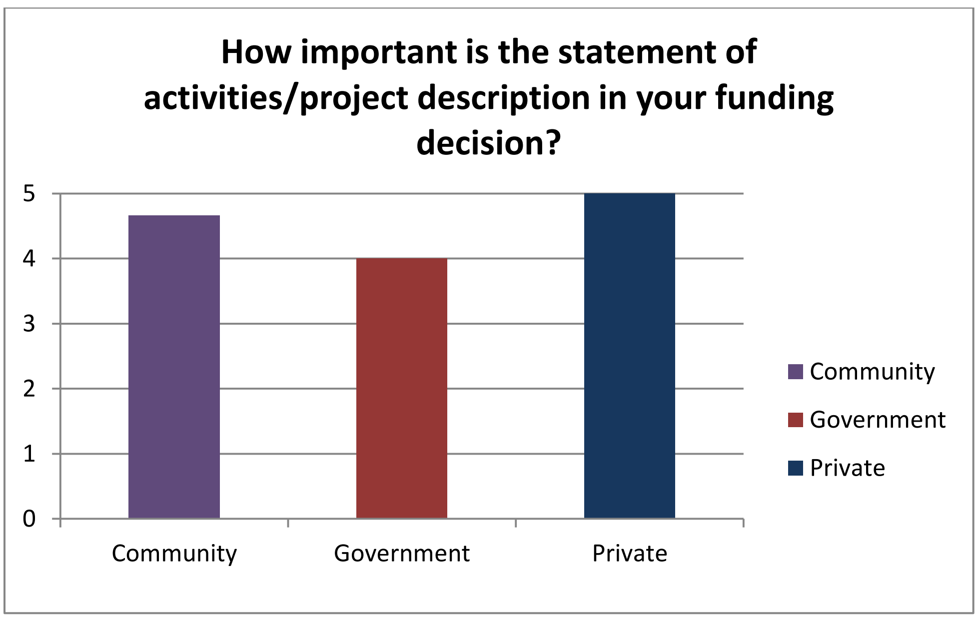

Figure 34. Importance of statement of activities in funding decision making scored by funder type.

On average, all funders rated the statement of activities/program project description as very important or most important.

Figure 35 represents the average Likert scale value responses to Question #12: How important is the statement of activities/project description in your funding decision?

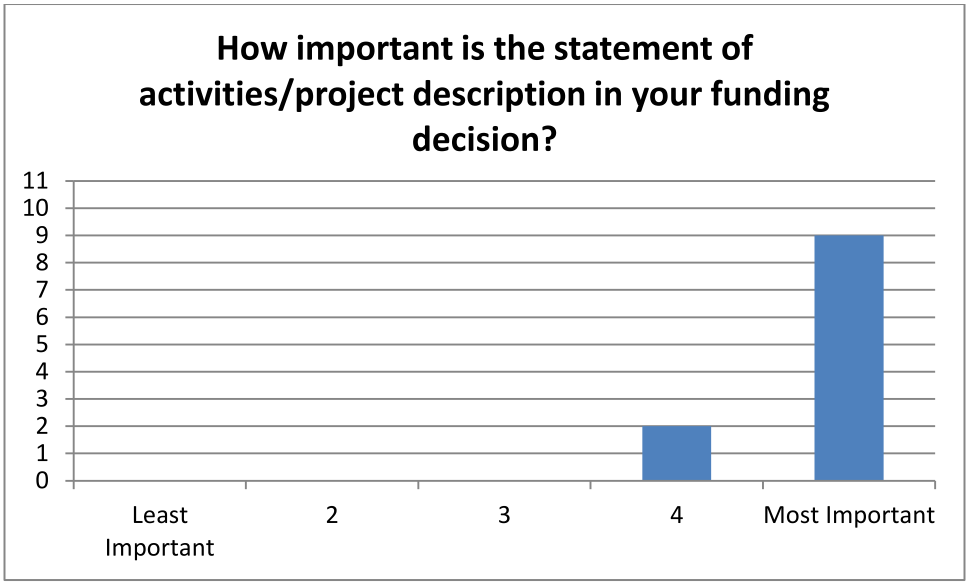

Figure 35. Ranking of importance of statement of activities in funding decision making.

According to this study, the statement of program/project activities is valued as important in their funding decision by a majority of the participants interviewed.

One respondent from a private foundation articulated this point, saying, “Five. Absolutely, five. It’s the part that needs to be the strongest in anything that’s written because if that program can carry you through, whether you have a weak mission of anything else, if you can write really well about what you plan to accomplish and how you plan to accomplish it, that will capture attention.” This response, which is similar in tone and content to the other responses, underscores how uniquely persuasive a grant application is and how understanding the various sections of the application’s value to an evaluator can assist a non-profit in crafting truly “winning” proposals.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. All respondents found the statement of activities/project description very important, with the majority (9/11) finding it most important.

Figure 36 displays comparative average value organized by respondent type for Question #13: How important is a “warm and fuzzy” description of the community’s need? This question represents a pathos appeal. On average, organizations responded unfavorably to a pathos appeal to describing community need. However, as shown in the Figure 37, respondents were not as unfavorable toward using pathos in the community need section as

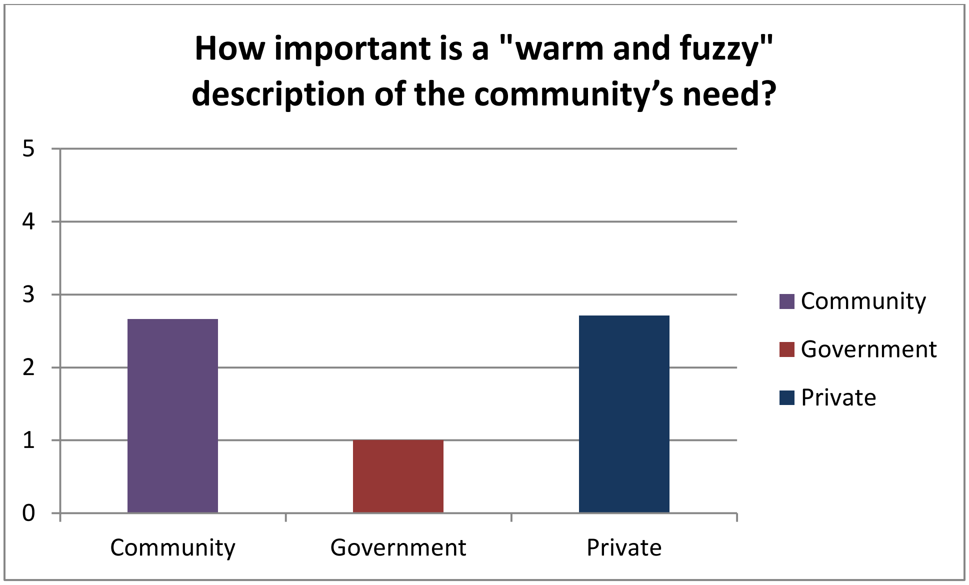

Figure 36. Role of pathos in need statement scored by funder type.

they were to using pathos in the mission statement and the description of program activities sections. One respondent explained, "This is one where, actually, I might not rank the warm and fuzzy quite as low because sometimes, if the warm and fuzzy is an example of one person served then that can be very illuminating about the population that the non-profit serves. So maybe I would give that a 2 and not a 1. Then, the factual: What's the extent of the need? How do you know? Where is it? How does it correspond with someone's geographic service area? That I would give a four or a five."

On average, funders did not respond favorably to a Need Statement utilizing an emotional appeal.

Figure 37 represents the average Likert scale value responses to Question #13: How important is a "warm and fuzzy" description of the community's need? Surprisingly, respondents were more split about the pathos appeal in the Need Statement, more than the parallel pathos questions about the mission statement and the statement of activities. While most respondents were unfavorable for pathos used in the need statement, they ranked a pathos appeal in the statement of community need slightly higher than the corresponding pathos questions about the mission and the statement of program activities. Three respondents rated this question favorably. One respondent who rated the question favorably said she preferred both pathos and logos in the Need Statement, and because of this, she rated both questions highly. "The story can be really compelling," she added.

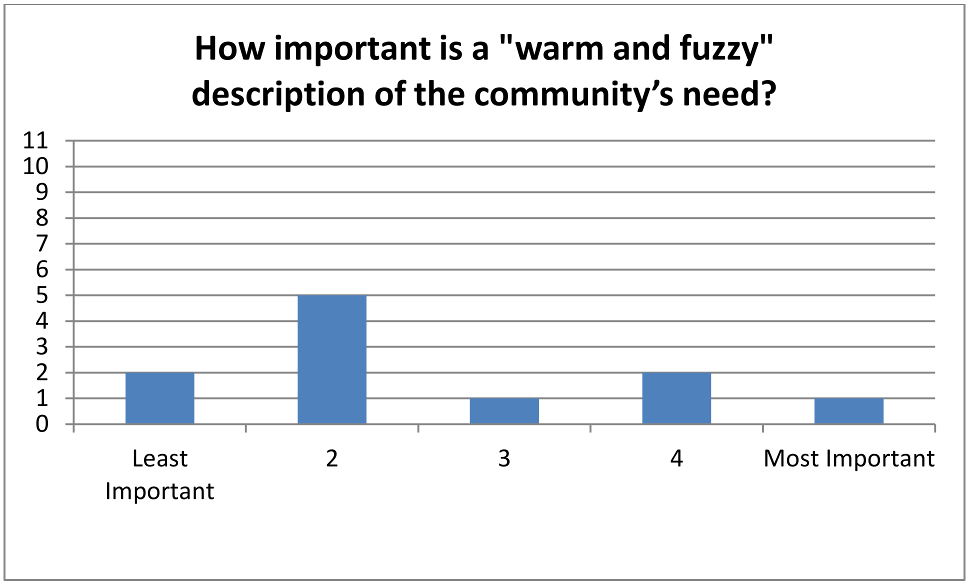

Figure 37. Ranking of importance of need statement using emotional appeal.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A majority of the respondents (7/11) found that a mission statement using an emotional appeal was not important. One funder was neutral, and three funders highly valued an emotional mission statement.

Figure 38 displays comparative average value organized by respondent type for Question #14: How important are facts to support that the community has a need for the organization's services? This question represents a logos appeal. Not surprisingly, the description of the community need using facts (rather than anecdotes) was rated as very important among all organizations. One respondent from a private foundation who ranked this highly said simply, "It's not the stories, what do the numbers say?"

On average, all respondents valued the facts that support the community's need for the organization's services (the Need Statement) as very important to most important.

Figure 39 represents the average Likert scale value responses to Question #14: How important are facts to support that the community has a need for the organization's services? In this figure, we can see that one respondent is neutral on the logos appeal in a need statement and the other respondents are highly favorable. The respondent who was neutral indicated that the need statement is not necessarily a deciding factor in the decision making because she stated, "if there's need you already know about," and therefore she felt neutral

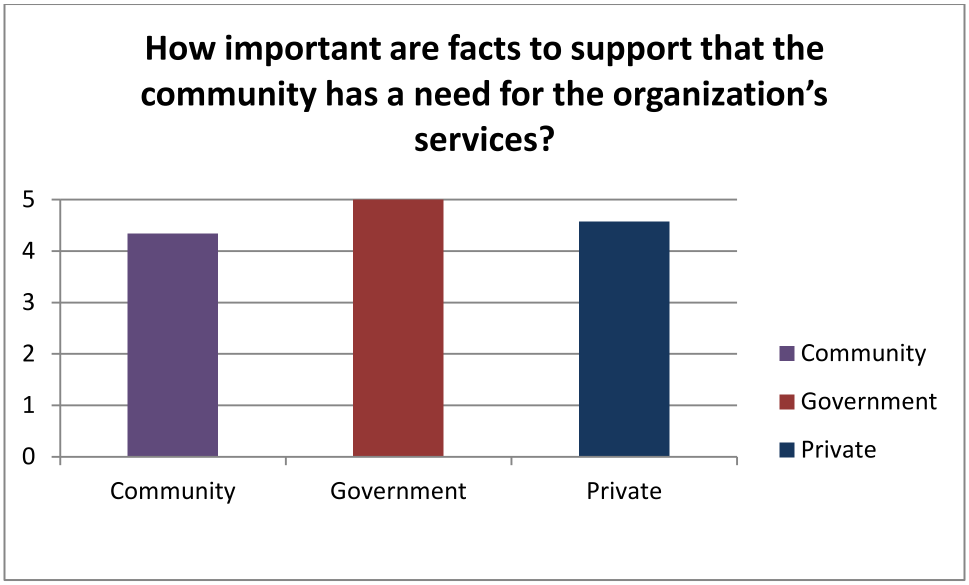

Figure 38. Role of logos in need statement scored by funder type.

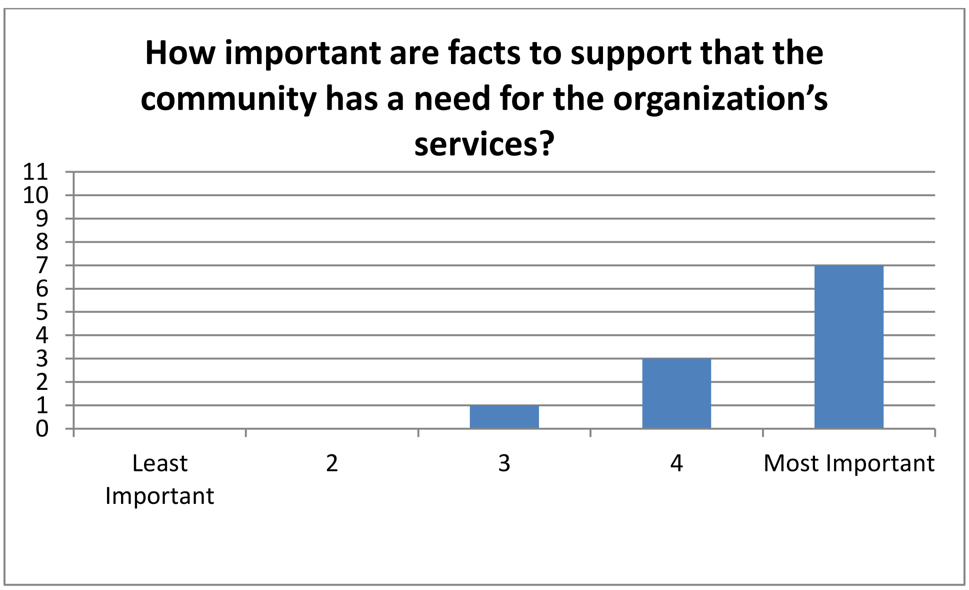

Figure 39. Ranking of importance of use of facts in need statement.

on it. The statement of program/project activities, the leader of the organization, and the outcomes sections were most important to this funder in her decision making.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Of all the respondents, 10/11 believed using facts to state the community need for an organization's services were very important. One funder was neutral.

Figure 40 displays comparative average value organized by respondent type for Question #15: How important is the Need Statement section to your funding decision

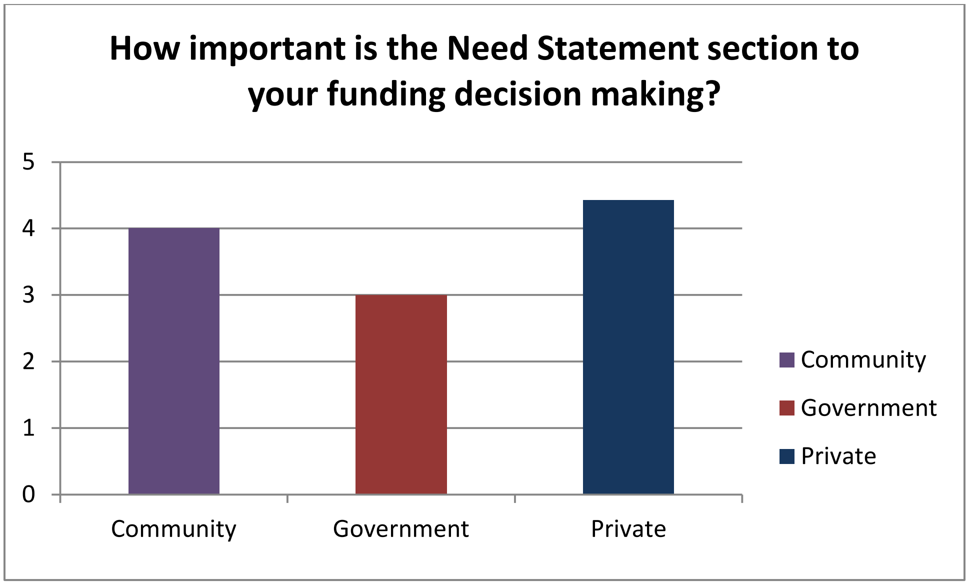

Figure 40. Importance of need statement in funding decision making scored by funder type.

making? Consistent with Questions 13 and 14 (Figures 36 and 38), the Need Statement seems to be an important part of the evaluation process for community and private organizations. The government organization remained neutral on this question. The government funder stated, “You would think that the more they need the money, the better they would express their need and the more you would want to give them the money. Instead, you base [funding] it on how well they are run. How efficient they are. How many people they serve.”

On average, private and community funders value the Need Statement as very important in their decision making. The government funder was neutral.

Figure 41 represents the average Likert scale value responses to Question #15: How important is the Need Statement section to your funding decision making? This figure indicates the most respondents highly value a well-articulated need statement. From Questions 13 and 14 (Figures 36 and 38), we can also see that Need Statements with a strong logos-appeal are preferred, perhaps sprinkled with one short and poignant story about an individual who was touched by the organization’s mission.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. A vast majority of the respondents (9/11) ranked the Need Statement as very important or most important, while two respondents were neutral.

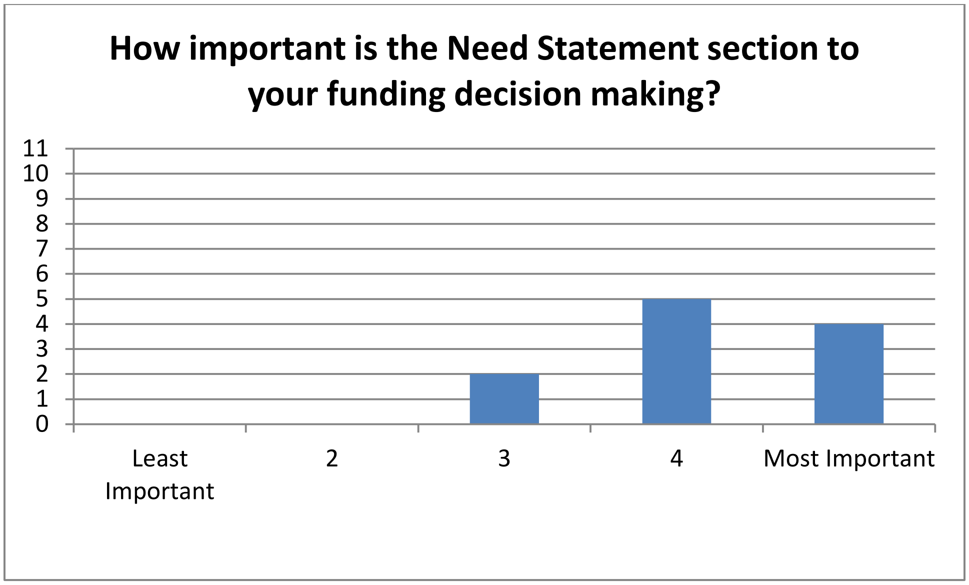

Figure 41. Ranking of importance of need statement in funding decision making.

Figure 42 displays comparative average value organized by respondent type for Question #16: How important is a qualitative/anecdotal description of the outcomes of the services provided? This question represents a pathos appeal. This figure indicates that private foundations and community foundations value qualitative/anecdotal descriptions of the outcomes of the services provided. Private and community foundations seem more interested in qualitative outcomes than a government funder, which is not surprising as the government funder stated that he is more concerned about the measurable indicators.

On average, community foundations and private foundations found a qualitative/anecdotal description of outcomes mildly important, while the government funder was neutral.

Figure 43 represents the average Likert scale value responses to Question #16: How important is a qualitative/anecdotal description of the outcomes of the services provided? This figure indicates a wide variance of opinions as to the value of qualitative outcomes. Many respondents rated qualitative outcomes favorably, a few were neutral or unfavorable, and one declined to answer the question. Many respondents who ranked qualitative outcomes favorably also ranked quantitative outcomes favorably, citing that both qualitative and quantitative were important. This may be another indicator that pathos (in this case qualitative outcomes), while not preferred, can be used when paired with logos (quantitative

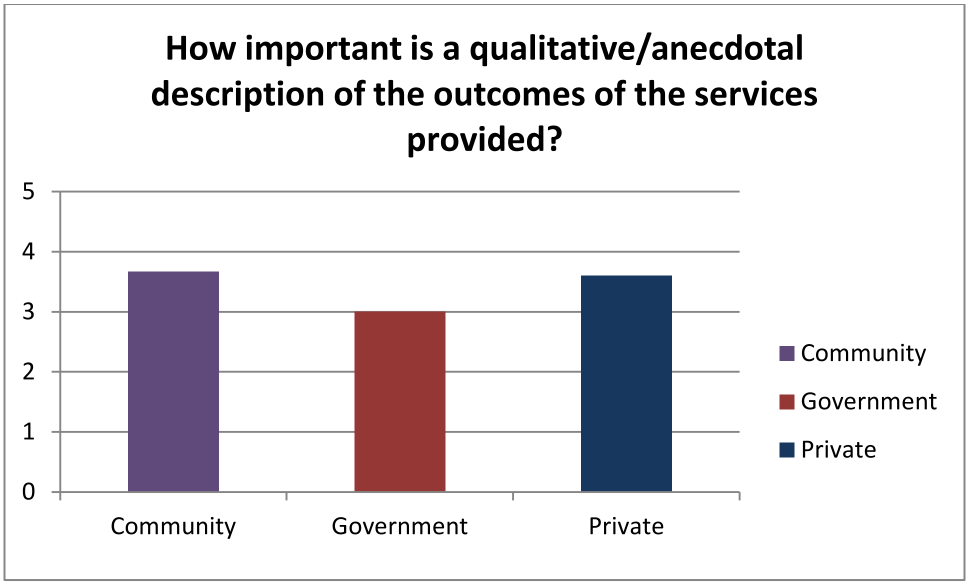

Figure 42. Importance of qualitative outcomes scored by funder type.

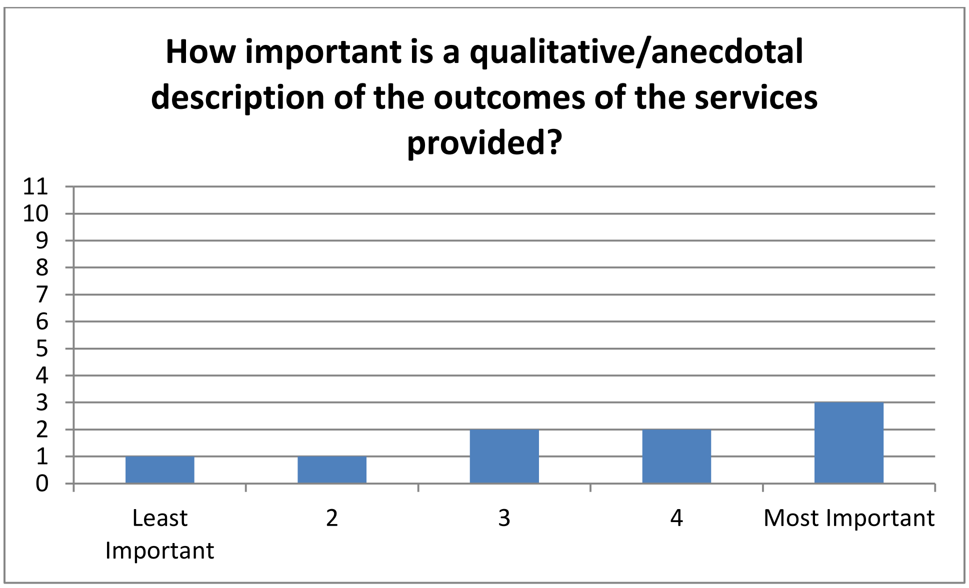

Figure 43. Ranking of importance of qualitative outcomes.

outcomes).

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Of the respondents, 5/11 found qualitative outcomes very important to most important, while the remaining were neutral or found them less important.

Figure 44 displays comparative average value organized by respondent type for Question #17: How important is a quantitative measurement of outcomes with a description of instruments used, methods, and the analysis? This question represents a logos appeal.

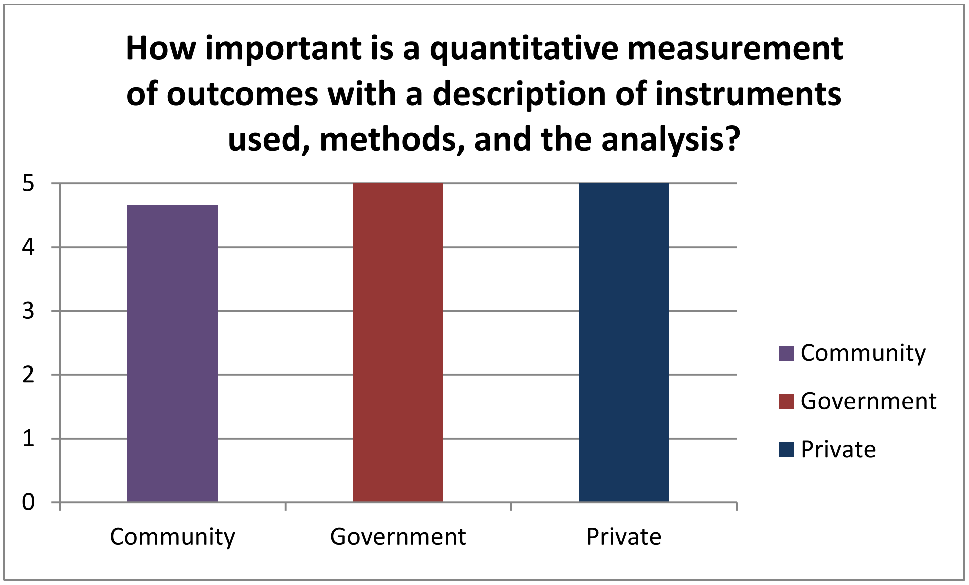

Figure 44. Importance of quantitative outcomes scored by funder type.

Funders on average found quantitative outcome measures very important or most important. See Figure 45 for additional discussion.

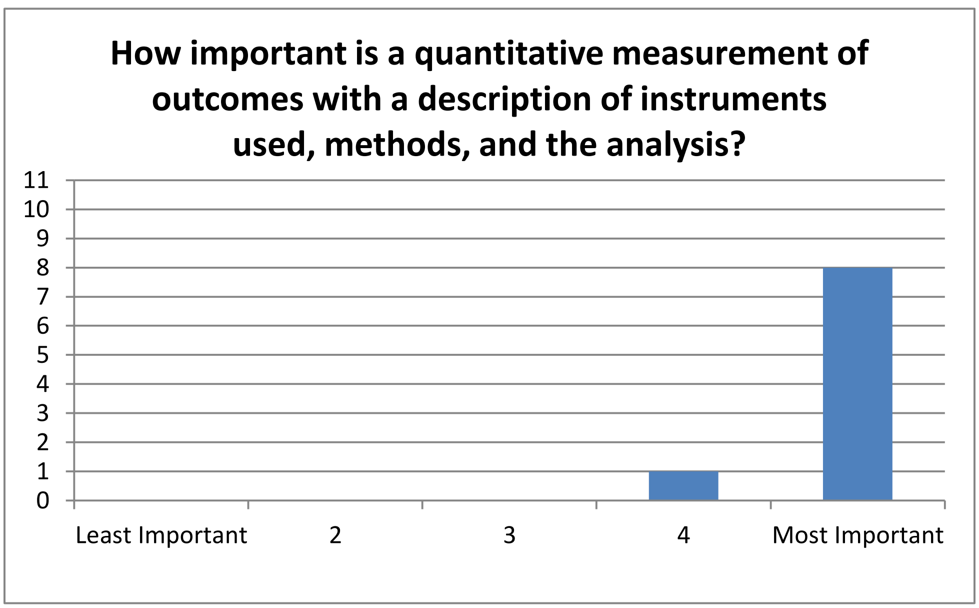

Figure 45. Ranking of importance of quantitative outcomes.

On average, all funders found quantitative outcomes with a description of instruments used, methods, and analysis very important or most important.

Figure 45 represents the average Likert scale value responses to Question #17: How important is a quantitative measurement of outcomes with a description of instruments used, methods, and the analysis? Nine of the 11 respondents answered that quantitative outcomes were important or most important. Two respondents from private foundations declined to answer the question. One declined because her foundation funds only capital expenditures and so that foundation is not concerned with quantitative or qualitative objectives when evaluating a proposal. The other declined to rate but discussed his foundation's view of outcomes in general, which is still useful for the purposes of this study. He said:

> Outcomes could be very important if you're expecting outcomes, but not important if it's not part of that particular project. I'd say it's project dependent. I don't want to belittle the data because I think data is important. And if, in fact, you are doing something that is measurable you say, okay, we want to know how many: you've got a drop-out rate of x, we want to get a drop-out rate of y, then I'd would expect it [quantitative outcomes] to be very important – did it work or didn't it? That is why I am sort of wishy-washy about it. If you're operating in the more risky areas that we operate in, where we're willing to take some substantial risks.[…]For example, a medical center believes that because they've put all these researchers in one place that, over the next decade, they will garner a certain number of international papers. [If] I'm funding them this year, I don't expect them to give me that answer this year or next year or the year following. It's going to take a long time for these processes to change.

The remaining respondents were unequivocal in their responses. "Absolutely a five (5)," one funder asserted. Another respondent stated, "Five (5). Super important." This was the tone of the remaining respondent's answers. They expounded little on this subject but were quick to respond and unequivocal. Field notes from the interviews indicated that this question, more than any other, prompted the most swift and sure-sounding response for all applicants who answered the question.

The y-axis displays the 11 total funders interviewed (with two declining to answer), and the x-axis displays scored value on the Likert scale. Of respondents, all reported that quantitative measurement was most important or very important.

Figure 46 displays comparative average value organized by respondent type for Question #18: How important is it that outcomes show a standard degree of improvement or a certain level of statistical significance? This question represents a logos appeal. Average responses from all organization type were very favorable, with the average response for both community and private foundations being approximately equally valued and the government funder slightly higher. The government funder commented, "For [public] funding, they should be talking about verifiable improvement."

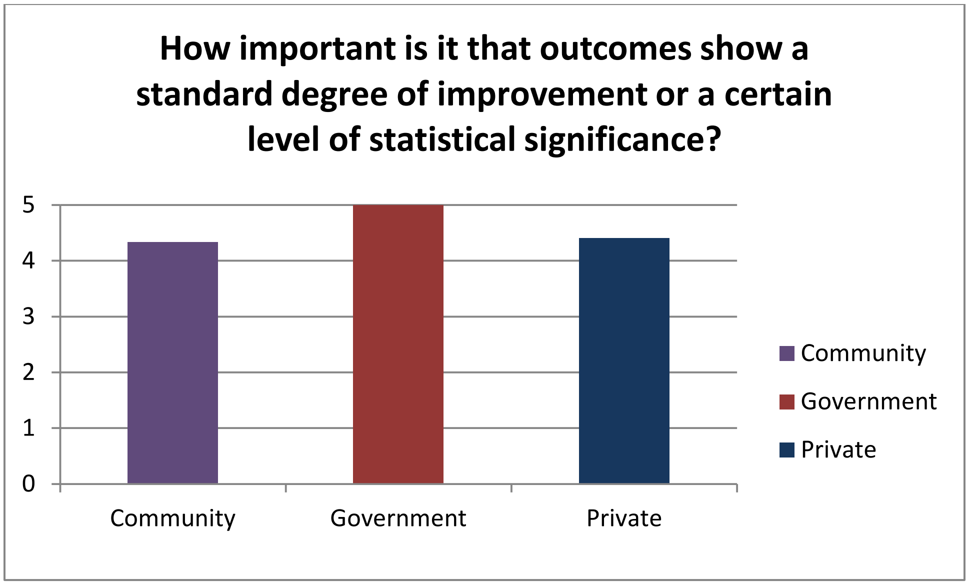

Figure 46. Importance of outcomes showing improvement or being statistically significant scored by funder type.

On average, all funders rated that it was important to very important that outcomes show a standard degree of improvement or a certain level of statistical significance.

Figure 47 represents the average Likert scale value responses to Question #18a: How important is it that outcomes show a standard degree of improvement or a certain level of statistical significance? This question was answered favorably by nearly all respondents. One private foundation respondent said “Five. You don’t want to go backwards... You’ve said what improvement looks like: What is the improving? Is it that we’ve tested [clients, hypothetically] and they are clean and sober for this many weeks in a row? They’ve showed up to their financial planning class or financial security? They’ve met with their kids and checked in with their case manager? They’ve not been arrested? So what improvement looks like, that’s the key.”

Another respondent from a private foundation remarked, “For the workforce grants that we do, I look at what are the standards for this particular type of population that we’re serving for placement and retention and those various things. I would say a four.” Another community foundation added, “We don’t necessarily have a predefined level of statistical significance, but we want to be sure that we’re impacting people either very deeply, or a good number of people. And in that, outcomes become the only way that we can hold people accountable.” This is an important finding in that it indicates the organization’s whose

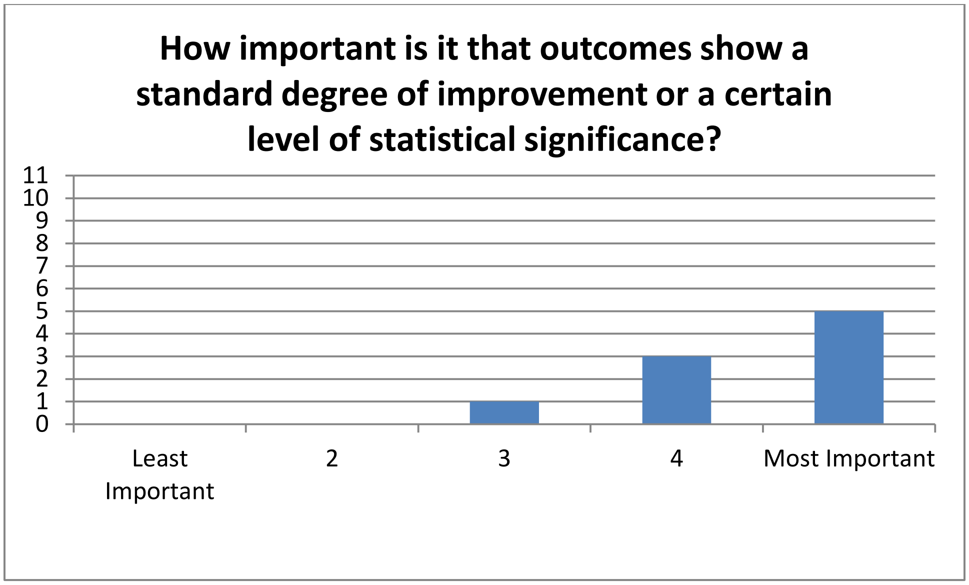

Figure 47. Ranking of importance of outcomes showing improvement or statistical significance.

outcomes are more sophisticated (rather than simply outputs, for example), are more persuasive to funders.

The y-axis displays the 11 total funders interviewed (two declined to answer), and the x-axis displays scored value on the Likert scale. Of the respondents, the vast majority replied that it was important or most important that outcomes show a standard degree of improvement or a certain level of statistical significance. One funder was neutral.

Figure 48 displays comparative average value organized by respondent type for Question #19: How important is this section (Outcomes and Objectives) to your funding decision making? Not surprisingly, most funders were in agreement that the Outcomes and Objectives were very important in their funding decisions making. This indicates that non-profits should put resources into their outcomes measurement processes and be able to quantify results if they want support for ongoing programs. This would not be applicable immediately to new programs, but including measurable objectives that could be reported to the funder after implementation would be an important factor to include when requesting money for a new program.

On average, funders ranked the Outcomes and Objectives section very important or most important in their decision making.

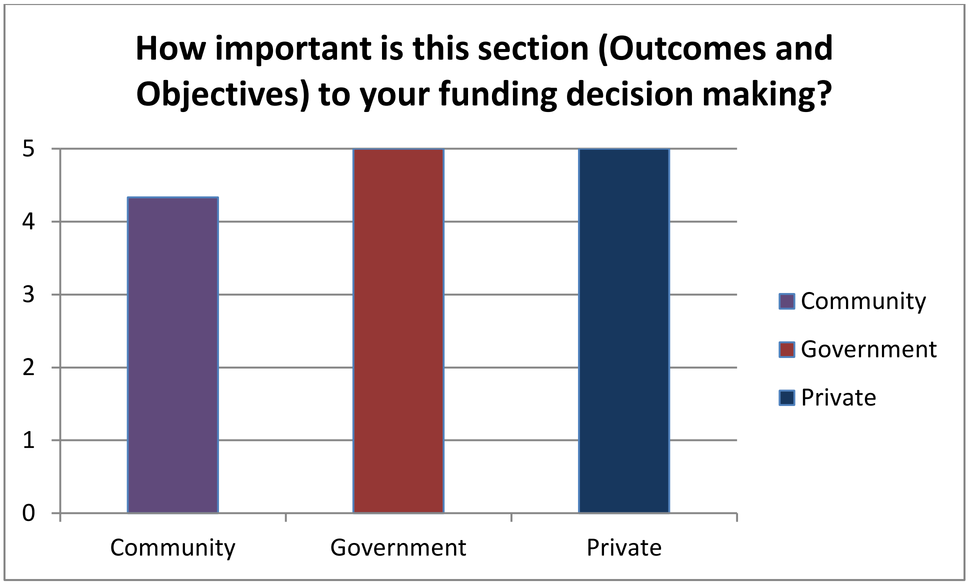

Figure 48. Importance of outcomes and objectives in funding decision making scored by funder type.

Figure 49 represents the average Likert scale value responses to Question #19: How important is this section (Outcomes and Objectives) to your funding decision making? All funders who answered rated the Outcomes and Objectives as important and most important in their funding decision making. This is significant because in competition for funding, non-profit organizations must be committed to streamlining data collection methods to track and report on organizational objectives both to secure grants and to report back to funders. In addition, organizations must pay attention to outcomes that show improvement (as mentioned in Question 18) rather than simply outputs ("we serve xx many people"). One private foundation respondent remarked about the importance of meaningful outcomes, saying, "It's a five (5) because not only does it give you a sense of what will this program accomplish but it gives you a real sense of what the program staff and the leadership understand. What is the process? What are the pieces? What are they tracking? And tracking is important for me, just as much as it is for me to take back to my board, it's important to see [them] doing that so that they can appeal to other funders. It's a capacity indicator of the organization as a whole."

Non-profits must then be able to translate results adeptly into quantifiable indicators and must also be able to describe the qualitative improvement. Funders seem to be in agreement that this is one of the most important sections in evaluating a proposal.

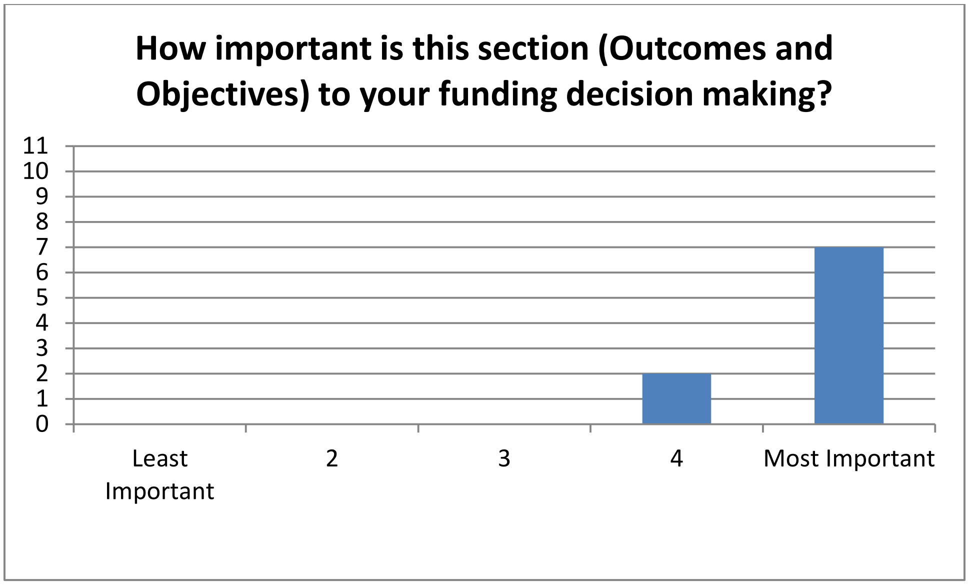

Figure 49. Ranking of importance of outcomes and objectives in funding decision making.

The y-axis displays the 11 total funders interviewed (two declined to answer), and the x-axis displays scored value on the Likert scale. Of respondents who answered (9/11), all respondents found the Outcomes and Objectives section very important or most important.

Figure 50 displays comparative average value organized by respondent type for Question #20: How important is the audited financial statement in determining agency's credibility? This question represents a logos appeal. The average response from organization types was that if the audited financial statements were required, that they did influence funding decisions.

On average, all respondents found this to be important. The government funder ranked the audited financials most important.

Figure 51 represents the average Likert scale value responses to Question #20: How important is the audited financial statement in determining agency's credibility? While most organizations responded favorably that the audited financial statement did influence funding, organizations that did not respond favorably stated that these attachments were not required and therefore did not influence the funding decision.

One organization that was neutral on the audited financial statements from a community organization responded, "It depends, an agency needs to be a certain size to make an audit make sense. They need to be like a five or six hundred thousand dollars and up

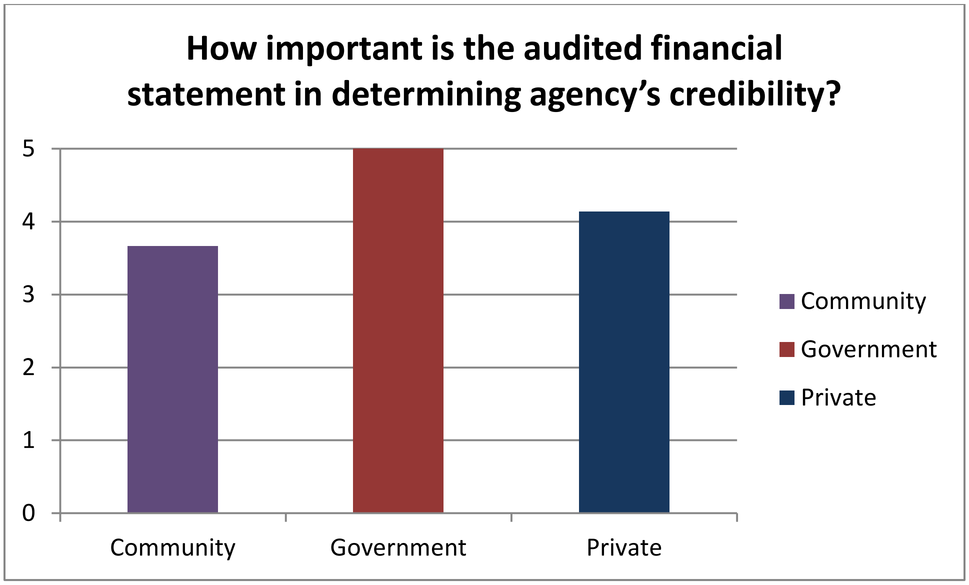

Figure 50. Importance of audited financial statement scored by funder type.

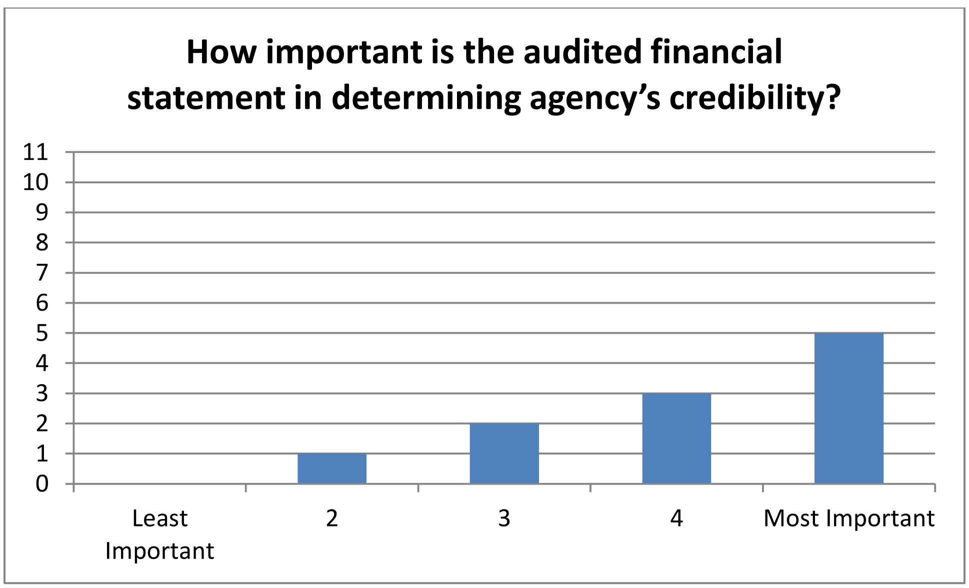

Figure 51. Ranking of importance of audited financial statement.

[budget]. Audits are expensive and each one is seventy to a hundred thousand dollars so it's not realistic for a small grassroots organization to have one." Another respondent said, "The audited financials are way more important than the 990s."

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Eight of the respondents rated the audited financial statements as very important or most important in determining an agency's credibility, while two remained neutral and one did not find this document to be very important.

Figure 52 displays comparative average value organized by respondent type for Question #21: How important is the 990 in determining credibility? This question represents an ethos appeal. On average, organizations were less interested in the Form 990 for making funding decisions. The government funder expressed that this item was not required in his grant program's proposal requirements and therefore was not considered and thusly ranked a 1. Community organizations were neutral in their response, and private organizations were slightly greater than neutral.

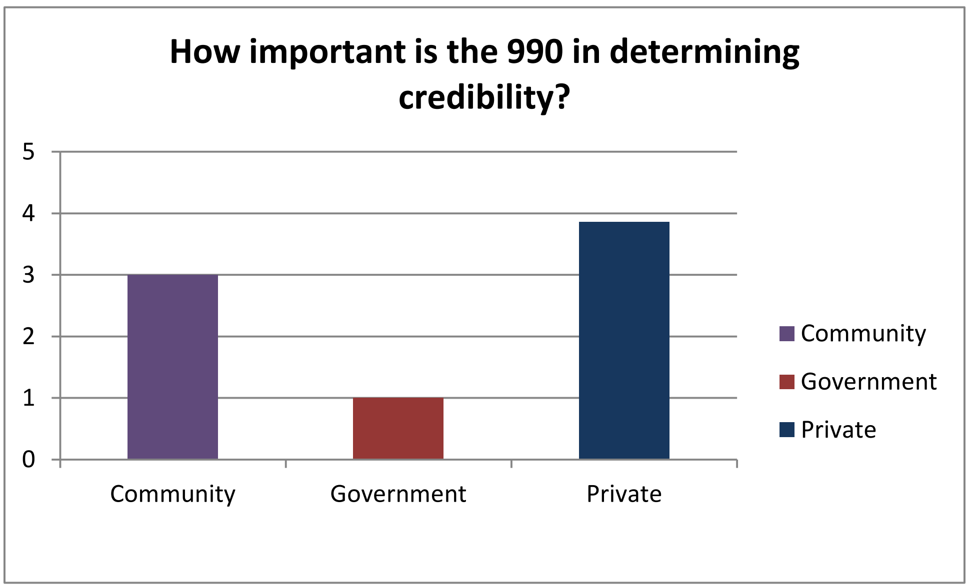

Figure 52. Importance of form 990 scored by funder type.

On average, the private foundations valued the 990 as important, while the community foundations were neutral, and the government foundation did not find this document important at all.

Figure 53 represents the average Likert scale value responses to Question #21: How important is the 990 in determining credibility? In this figure, answers spanned all ratings. One private foundation respondent who rated the 990 unfavorably stated, "The number on the 990 is so meaningless because there's no standard on how that's reported. So I would say, I wouldn't use 990 calculations but overall I would look at it." A community organization agreed that the 990s were less important and said, "The 990s are usually a couple of years

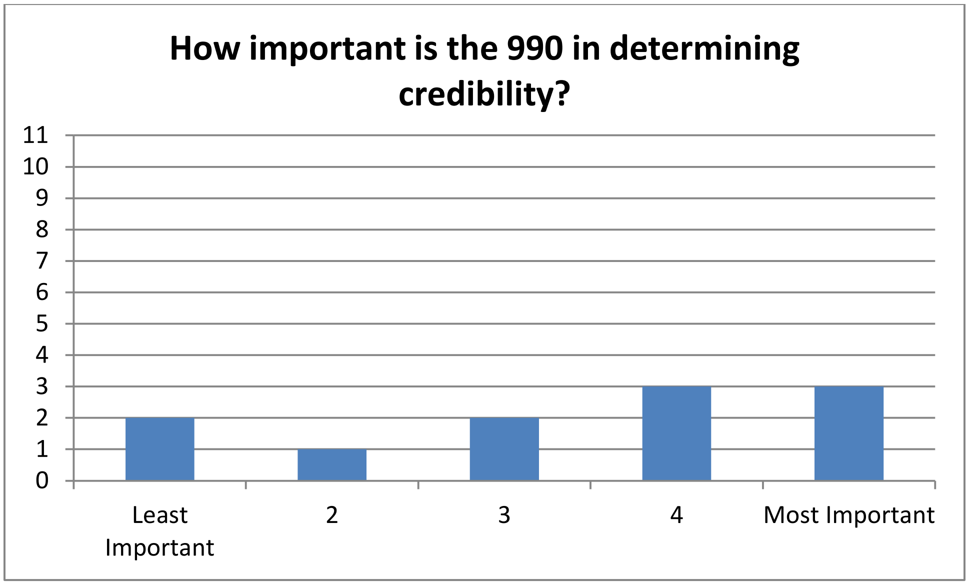

Figure 53. Ranking of importance of form 990.

old, so they're interesting to look at but their numbers aren't necessarily relevant. Although, they can show some red flags and give you an indication of some questions you should ask."

Another private foundation respondent who was neutral on the 990 (but also neutral on the audited financial statements) had a different perspective. He said, "We request it in almost every case. We like to look at it because […] one time in ten it contains something that is really important that we didn't know. For example, you might see in there that there was a mortgage or something. You might see somebody is being paid a whole bunch more many than really seems reasonable. [...]We sort of look at it that way rather than, 'Boy, if they don't have a strong 990 showing a profit.' That's not what it's about." This evidence suggests that it would be best practice for a non-profit organization to scrutinize its 990 to ensure that there are no "red flags," as this is what is primarily looked at in this document.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Responses were split on this question. Six of the respondents found the 990 to be very important or most important, three found them not important, and one was neutral.

Figure 54 displays comparative average value organized by respondent type for Question #22: How important in your decision is the ratio of fundraising costs to total revenue earned? This question represents a logos appeal. Community and private

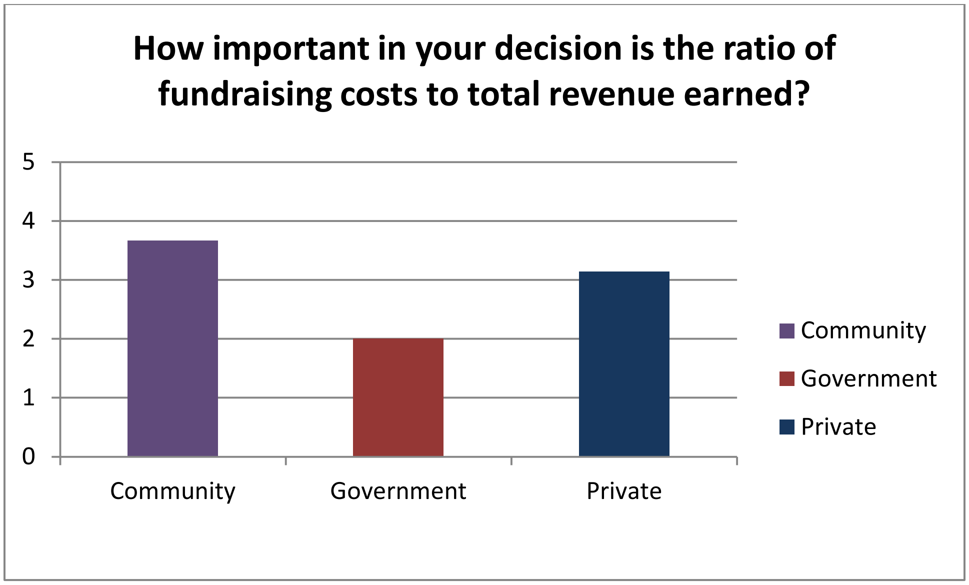

Figure 54. Importance of ratio of fundraising costs to total revenue earned scored by funder type.

organizations on average responded slightly above neutral while the government funder remained neutral on this question.

On average, community foundations were most concerned with the ratio of fundraising costs to total revenue, ranking it mildly important. The private foundations were, on balance, neutral. The government funder did not think this was an important statistic.

Figure 55 represents the average Likert scale value responses to Question #22: How important in your decision is the ratio of fundraising costs to total revenue earned? This figure displays a wide variance in answers regarding how fundraising costs to total revenue earned effects funding decisions. Many respondents did not feel this information was important in making a funding decision, while a few felt it was very important information. One private foundation respondent stated, “It might raise some red flags.” Another community foundation respondent replied, “For our grants committee it’s really important to them. They want to see as much money as possible going toward the program. Even though they recognize that the fundraising expense is important.”

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Responses were split on this question. An equal number of respondents rated this information as important as they did unimportant (four each). Three respondents were neutral.

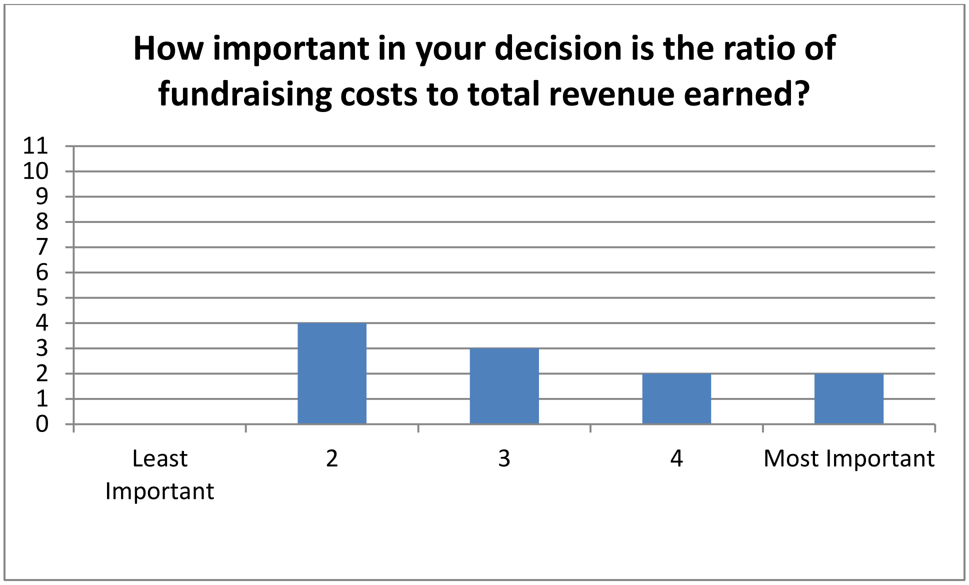

Figure 55. Ranking of importance of ratio of fundraising costs to revenue earned

Figure 56 displays comparative average value organized by respondent type for Question #23: How important in your decision is the ratio of administrative costs to total budget?

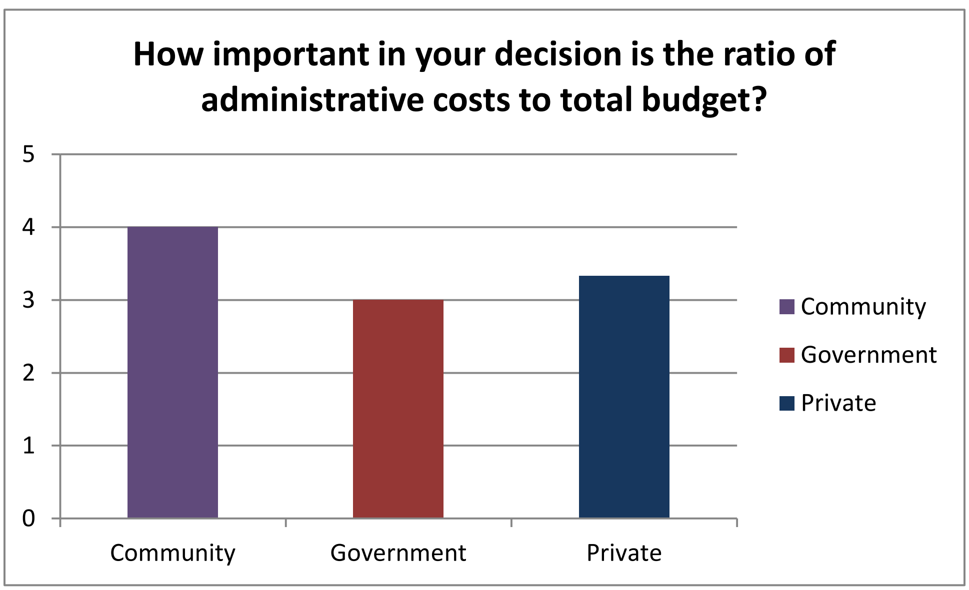

Figure 56. Importance of ratio of administrative costs to total budget scored by funder type.

This question represents a logos appeal. On average, community and private organizations seemed to be slightly more concerned about administrative costs to total budget than the preceding question. One community foundation respondent said, “It’s really important. That’s a five (5). The important thing is that the dollars coming in have a greater percentage impact on the program itself and not on the overhead.” The government funder does not look at this in evaluation and therefore is neutral.

On average, community foundations rated the ratio of administrative costs to total budget as very important, while the government funder and private foundations rated this neutral or close to neutral.

Figure 57 represents the average Likert scale value responses to Question #23: How important in your decision is the ratio of admin costs to total budget? This graph indicates that many organizations do look at administrative costs, but nearly half of the respondents did not factor this into their decision making.

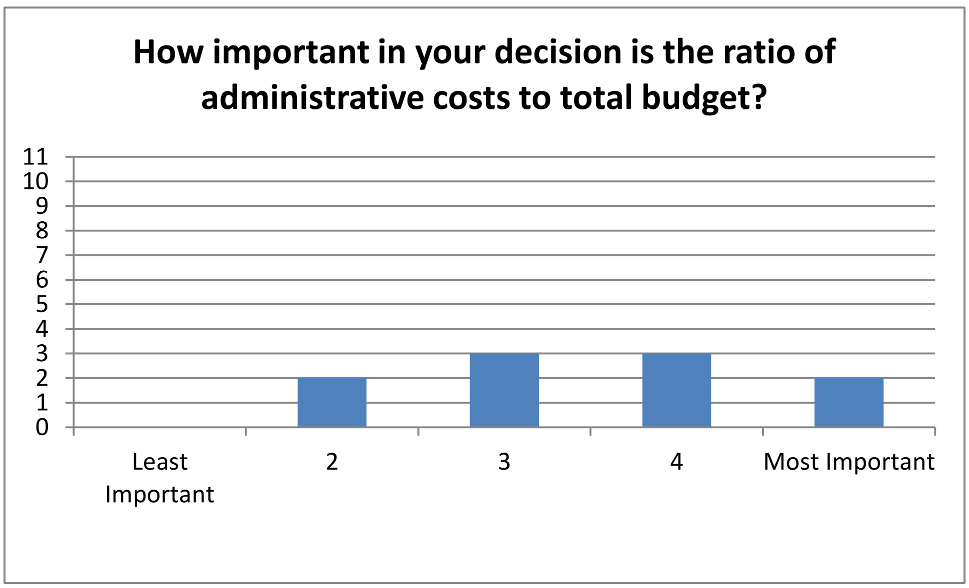

Figure 57. Ranking of importance of ratio of administrative costs to total budget.

The y-axis displays the 11 total funders interviewed (with one declining to answer) and the x-axis displays scored value on the Likert scale. Five of the respondents found this information important or most important, while three respondents were neutral and two did not think this information was important.

Figure 58 displays comparative average value organized by respondent type for Question #24: How important in your decision is the ratio of special event costs to total revenue earned? This question represents a logos appeal. On average, respondents were not interested in special events revenue costs in their funding decision; however, many respondents opined at length about this question. These qualitative responses are discussed in Figure 59.

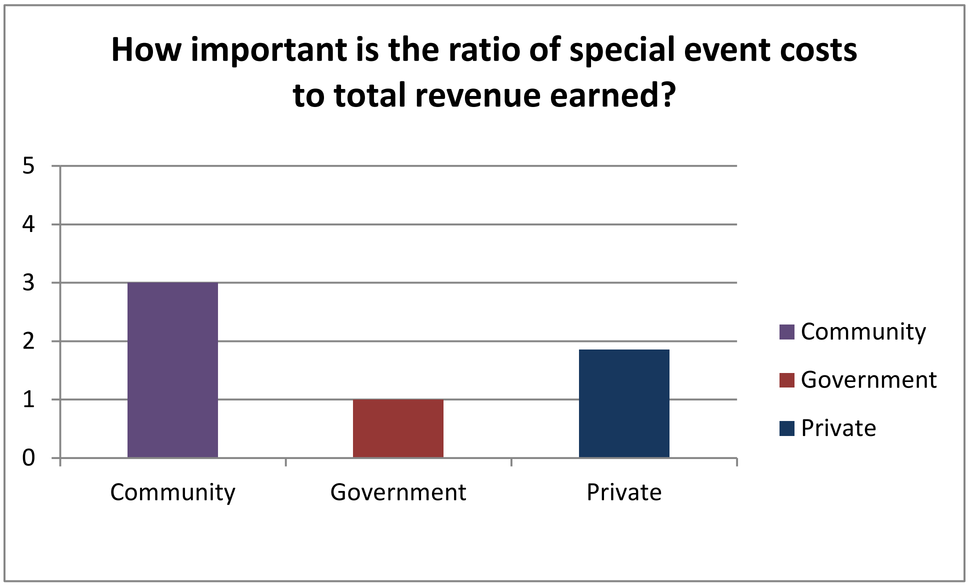

Figure 58. Importance of ratio of special events costs to total revenue earned scored by funder type.

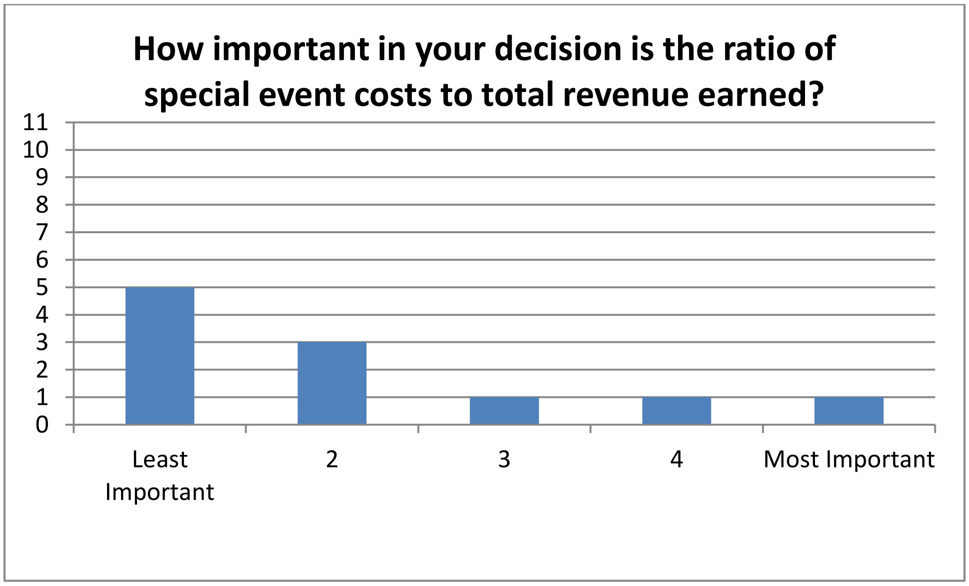

Figure 59. Ranking of importance of special events costs to total revenue earned.

On average, none of the funders were very concerned with this figure in their decision making.

Figure 59 represents the average Likert scale value responses to Question #24: How important in your decision is the ratio of special event costs to total revenue earned? This graph shows that fundraising costs are not important in evaluating a proposal to most funders, yet funders had a lot to say about this subject. One funder said candidly, “It’s tough because you know, a big donor likes parties. It’s really hard to track the long-term outcomes of that kind of event on your fundraising. On the other hand, I just had some friends go to an event and they were, like, it was disgustingly opulent.” This comment touches upon the interesting balance (a balance clearly recognized by funders but not necessarily factored into their funding decisions) that non-profits must find when hosting donor cultivation and fundraising events, such as galas and benefits in particular. Organizations must be careful not to spend so much money in hosting the event such that their “net return” is not significant or they are perceived as wasteful in hosting such a lavish event.

Some funders do look closely at this information. A community foundation respondent expounded on this idea saying, “Net [funds raised from an event] should be pretty high. Events are labor intensive. They take a lot of staff time. If you’re going to invest that kind of staff time and money in an event, it better bring in big bucks.” Another funded commented, “What really bugs me is when people quote their gross [gross amount raised from the event]. We made a million dollars […] like, did you really? After expenses?” Funders are clearly sensitive to this issue, and non-profits would do well to note this information for their own fundraising planning purposes.

The y-axis displays the 11 total funders interviewed and the x-axis displays scored value on the Likert scale. A majority of respondents (8/11) did not find this information important, one respondent was neutral, and two respondents did find this information important.

Figure 60 displays comparative average value organized by respondent type for Question #25: How important in your decision-making is the compensation of the senior executive(s)? This question represents an ethos appeal. On average, the compensation of the senior executive did not influence the funding decisions of the organizations.

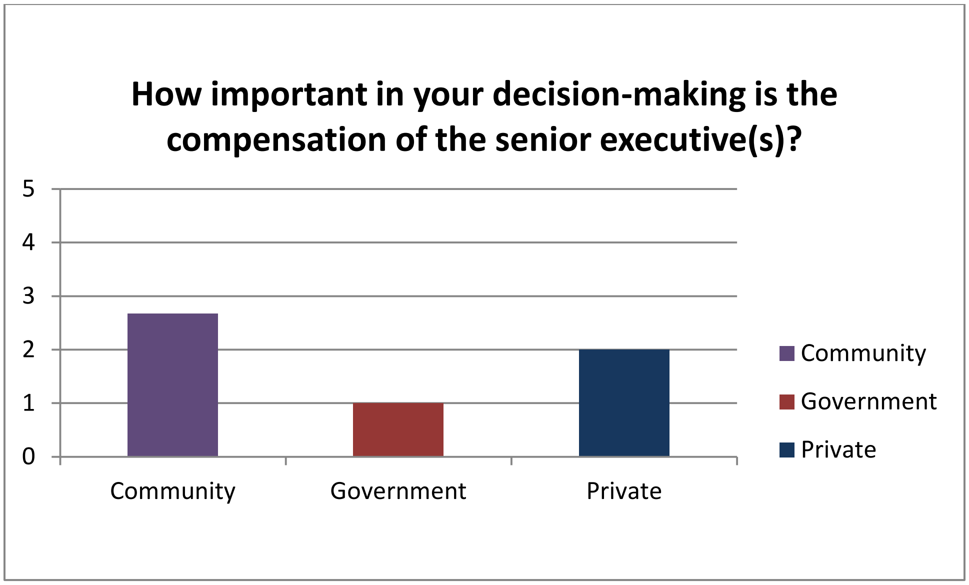

Figure 60. Importance of compensation of senior executive(s) scored by funder type.

On average, funders did not find the compensation of the senior executive(s) important in their decision making.

Figure 61 represents the average Likert scale value responses to Question #25: How important in your decision-making is the compensation of the senior executive(s)? This figure indicates that most respondents did not find executive compensation information important in their decision making. One respondent commented, “I like to make sure they are well enough paid but not too much, and you can assess by the size of the organization.” A private foundation echoed that sentiment saying, “I’d be more worried if they’re not getting paid enough. Again, competence is what it’s about.” The government funder replied that executive compensation was “shockingly unimportant, a one (1).” Interestingly, his one (1) rating was not so shocking, as many other funders seemed to rate this similarly.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Only one respondent reported that the compensation of the senior executive was important. The remaining respondents either did not find this information important or were neutral.

Figure 62 displays comparative average value organized by respondent type for Question #26: How important in the decision is the amount of cash on hand for each agency?

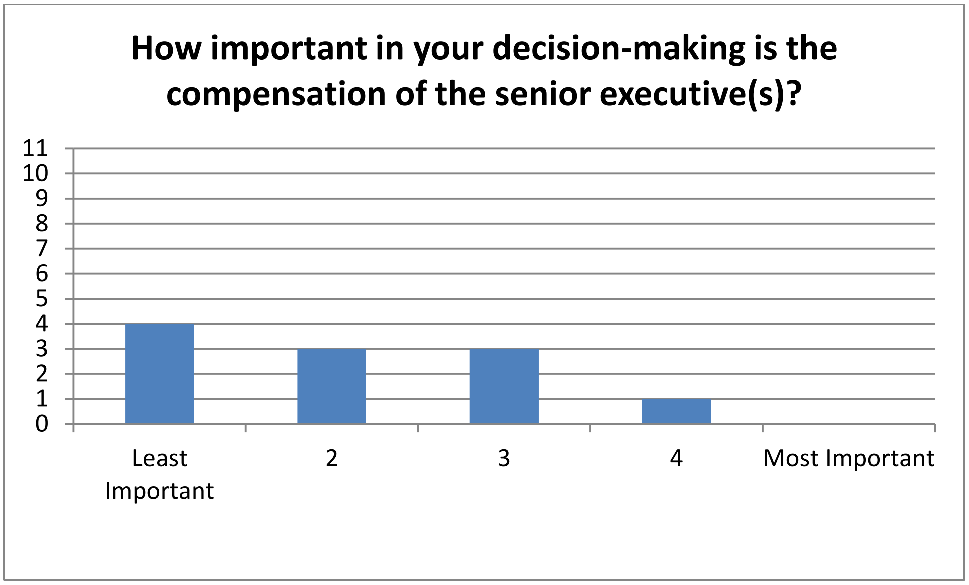

Figure 61. Ranking of importance of compensation of senior executive(s).

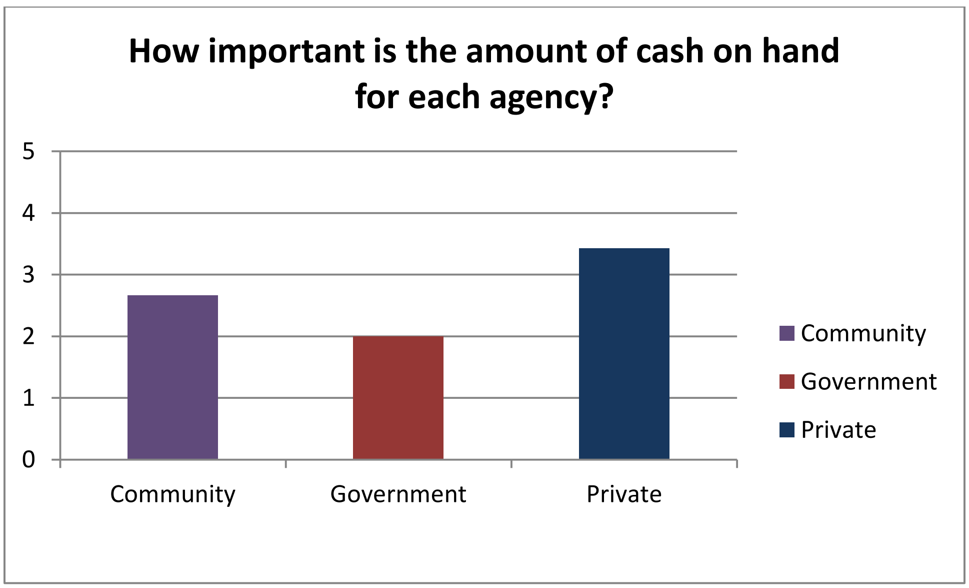

Figure 62. Importance of amount of cash on hand for an organization scored by funder type.

This question represents a logos appeal. On average, this study found that organizations are not highly concerned with the amount of cash that each agency has on hand.

On average, community and government funders were not concerned with the amount of cash on hand, and private foundations only found it mildly important.

Figure 63 represents the average Likert scale value responses to Question #26: How important in the decision is the amount of cash on hand for each agency? Many organizations

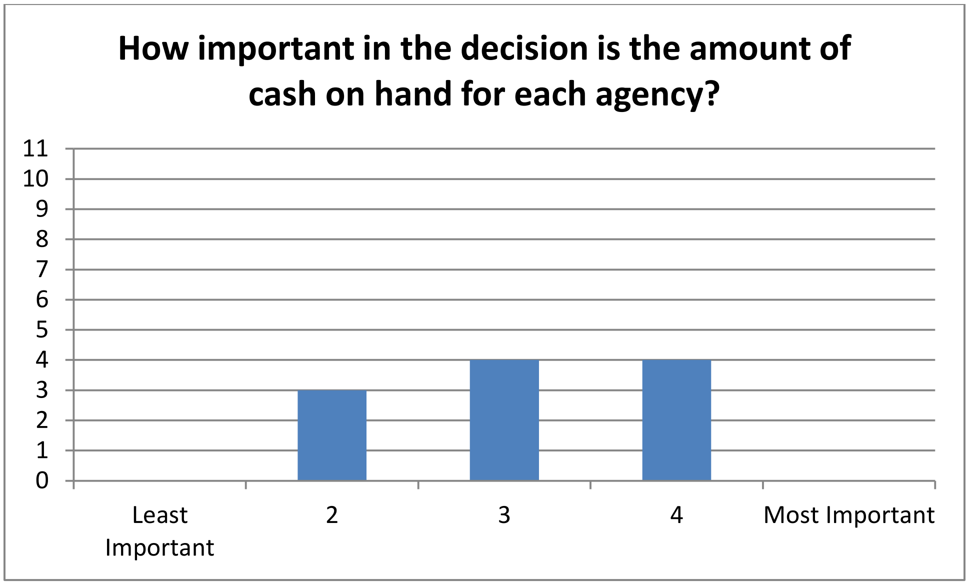

Figure 63. Ranking of Importance of amount of cash on hand of an organization.

were neutral or did not feel the amount of cash on hand was an important factor in their evaluation of a grant proposal, while other organizations did feel it was very important. Respondents provided little commentary to this question, but one private foundation remarked, "I'd say a four because of the sustainability. You want to know that they have the reserves, that they're going to be able to sustain it; so it's pretty important. Or that they have a plan to address it. So it would just be a red flag for me as far as that being a question and explaining it."

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Four respondents were neutral on this information, while four found it to be very important information. Three respondents did not find this information important.

Figure 64 displays comparative average value organized by respondent type for Question #27: How important is looking at the amount of debt an organization has? This question represents a logos appeal. Organizations seem to be more concerned with the amount of debt an organization has rather than the amount of cash on hand for each organization. The government funder rated this a 5 because, according to the evaluation rubric for the particular pool of public money he represents, any amount of debt automatically makes an organization ineligible for full funding.

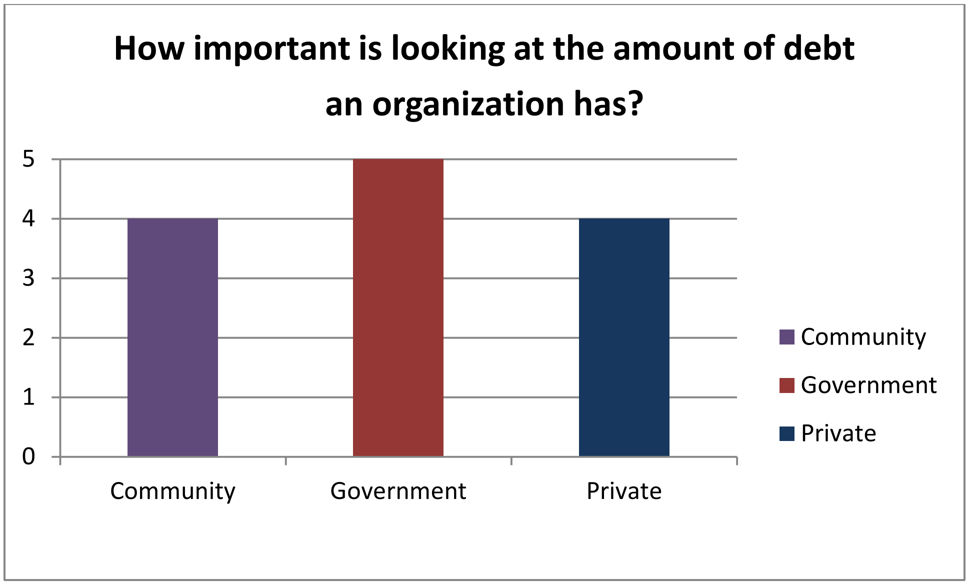

Figure 64. Importance of amount of debt scored by funder type.

On average, respondents thought that the amount of debt an organization has is very important.

Figure 65 represents the average Likert scale value responses to Question #27: How important is looking at the amount of debt an organization has? Most respondents who answered this question thought that the amount of debt an organization influences their funding decision. This question was added to the interview protocol after the second interview, thanks to a point made by one of the interviewees, therefore two organizations are not represented in this data. However, the trend indicates that organizations are interested in the amount of debt an organization has. One community organization funder who rated this favorably said, “We look at if they do have debt, what kind of debt it is, and how much it is compared to their operating budget.”

The y-axis displays the 11 total funders interviewed (three did not answer because this question was added to the interview later), and the x-axis displays scored value on the Likert scale. Of the respondents, seven found the amount of debt an organization has very important to most important, while one funder did not find it to be important.

Figure 66 displays comparative average value organized by respondent type for Question #28: How important is it whether you have funded this organization previously? This question represents an ethos appeal. On average, organization types were split on this question.

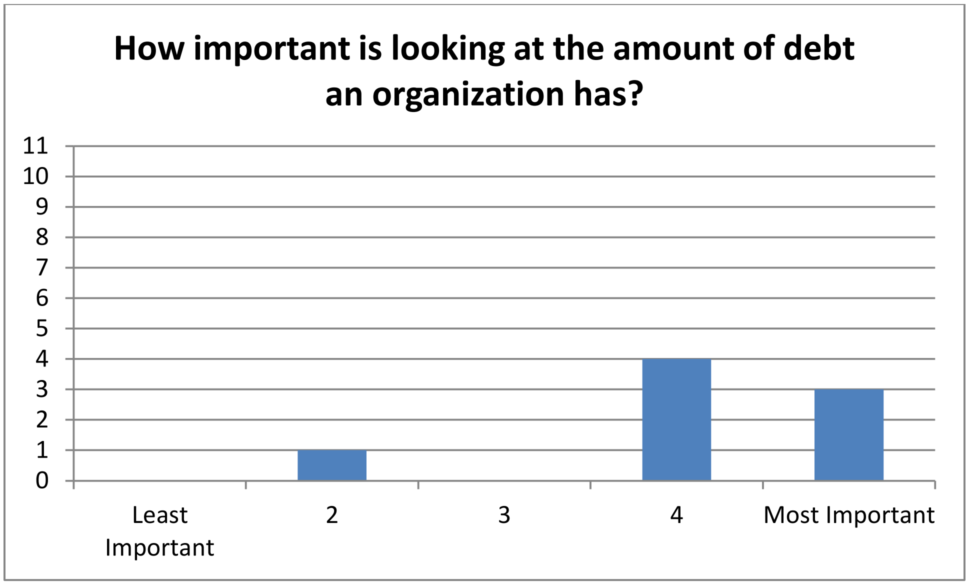

Figure 65. Ranking of importance of amount of debt.

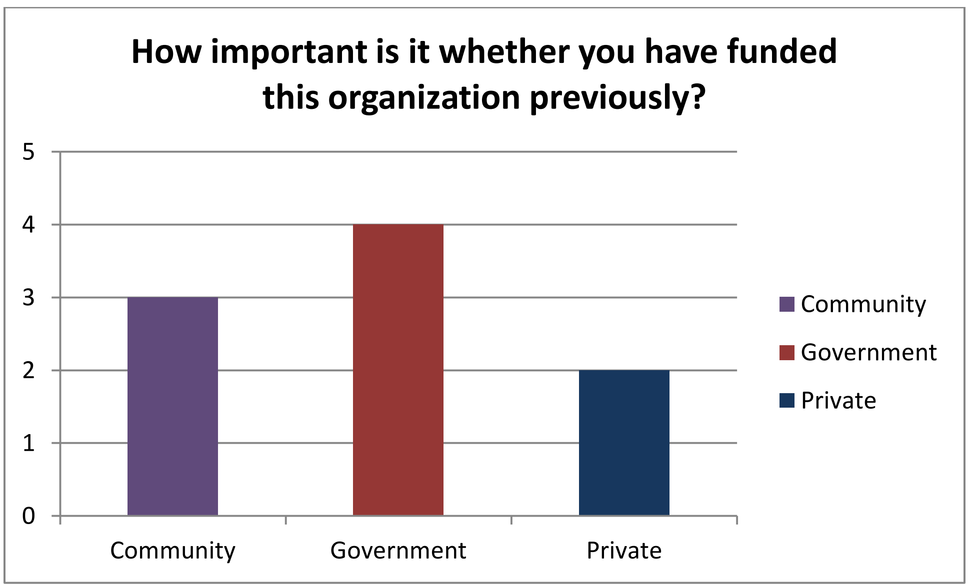

Figure 66. Importance of funding history scored by funder type.

Government looked favorably upon non-profits funded previously, while private foundations did not find this an important aspect of their funding evaluation, and the community foundations were neutral. The government funder responded, "When it's a first time application, that is always the topic of discussion [among the review panelist]. If it is a first time application that is excellent, that's problematic because you can't be perfect the first time out; and, when it is a long-time applicant that never shows any improvement in areas that are consistently called out, that's important too." Here, the government funder demonstrates that previous funding is very important, and a relationship with a public funder, like any funder, is a one that needs to be built to gain trust and confidence. In the case of this government funder, this confidence and trust in the organization's sustainability and ability to carry out the proposed project are demonstrated through a long-time relationship of previous funding.

On average, the community foundations were neutral on whether previous funding impacted decision making. The private funders, on balance, did not believe this was important and the government funder thought this was very important

Figure 67 represents the average Likert scale value responses to Question #28: How important is it whether you have funded this organization previously? This figure shows a range of responses for this question. The respondent who rated this question a 5 was because this is a funder that does not accept unsolicited applications and therefore has a strong past relationship with all current and prospective grantees.

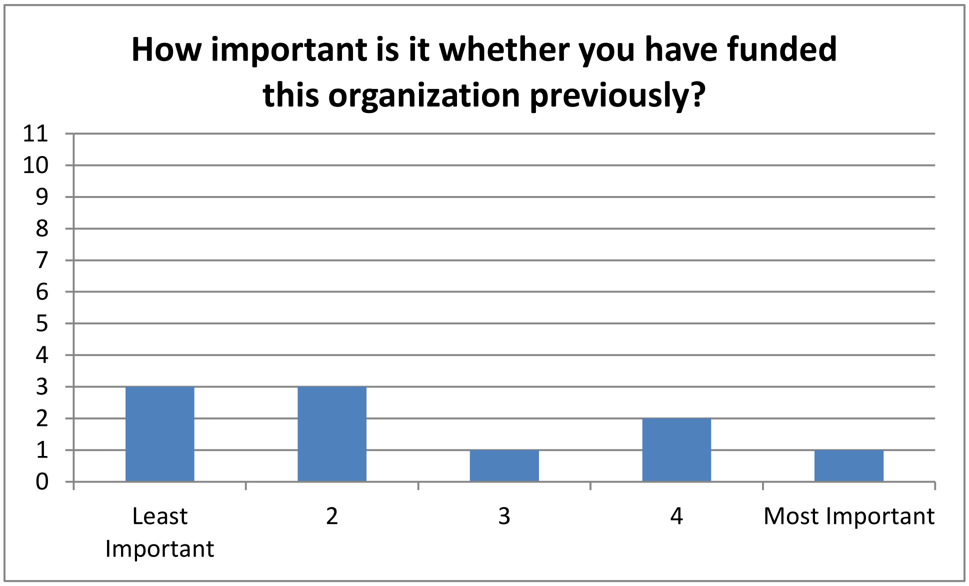

Figure 67. Ranking of importance of funding history with organization.

The y-axis displays the 11 total funders interviewed (one declined to answer), and the x-axis displays scored value on the Likert scale. The responses were split on this question. Six respondents did not find this important, three did find it important, and one respondent was neutral.

Figure 68 displays comparative average value organized by respondent type for Question #29: How important are the number of volunteers involved? Organizations were largely neutral on this question. The government funder did not find that the number of volunteers influenced funding decisions.

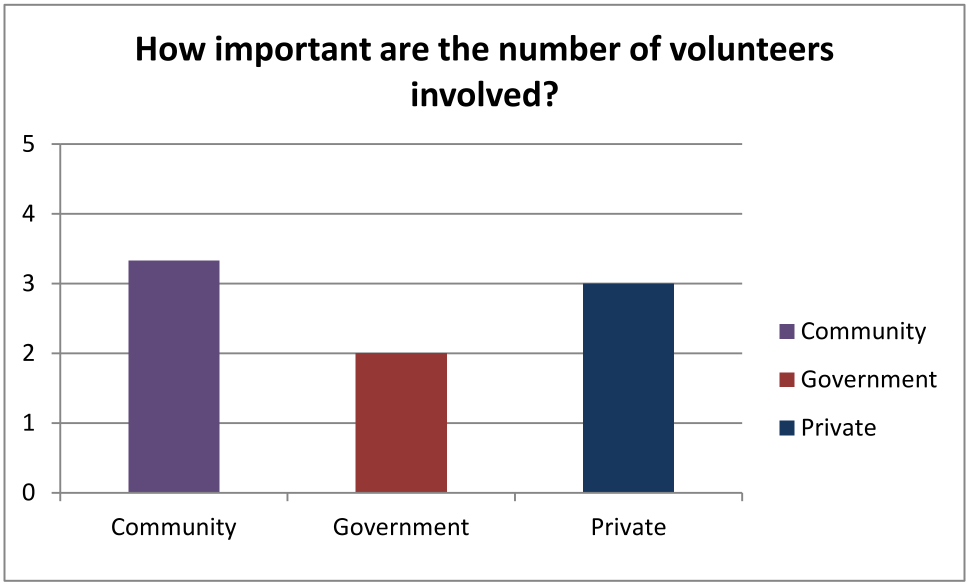

Figure 68. Importance of number of volunteers scored by funder type.

On average, funders were neutral, or found that the number of volunteers involved was only mildly important. The government funder did not think the number of volunteers involved with an organization was important.

Figure 69 represents the average Likert scale value responses to Question #29: How important are the number of volunteers involved? This graph shows a wide variance of responses. Many interviewees did not necessarily expand on why volunteers may or may not be important. One representative from a private foundation did expand by saying, “Probably a four because you want to know that it’s community-based, that they’ve at least got volunteers involved to help be that reality check and that balance in the community. Volunteers as a board, volunteers as committee, whatever it is. The volunteers are the windows of the community and I find that we all do a better job if our professionals are working with our lay people as well because we have different experiences and points of view.”

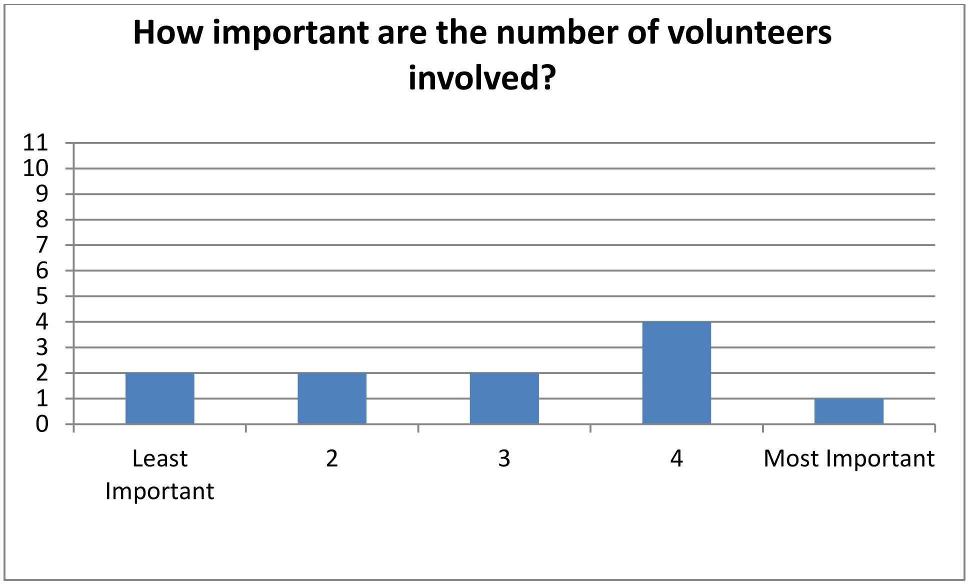

Figure 69. Ranking of importance of number of volunteers.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Responses were split on this question. Five respondents reported that volunteers were very important or most important, while four respondents did not think volunteers were important, and two remained neutral.

Figure 70 displays comparative average value organized by respondent type for Question #30: How important is this budget section to your decision making? This question represents a logos appeal. On average, organizations were in agreement that the budget was very important in funding decision-making.

On average, all respondents reported that the budget section was most important or very important.

Figure 71 represents the average Likert scale value responses to Question #30: How important is budget section in your decision-making? Not surprisingly, all respondents replied favorably that the budget was very important in decision making. One response exemplified the unequivocal nature of the rest of the responses. The respondent said, “If [the budget] is not all clean as a whistle, we don’t even proceed.”

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Eight respondents rated the budget section most important, and three respondents rated the budget section very important.

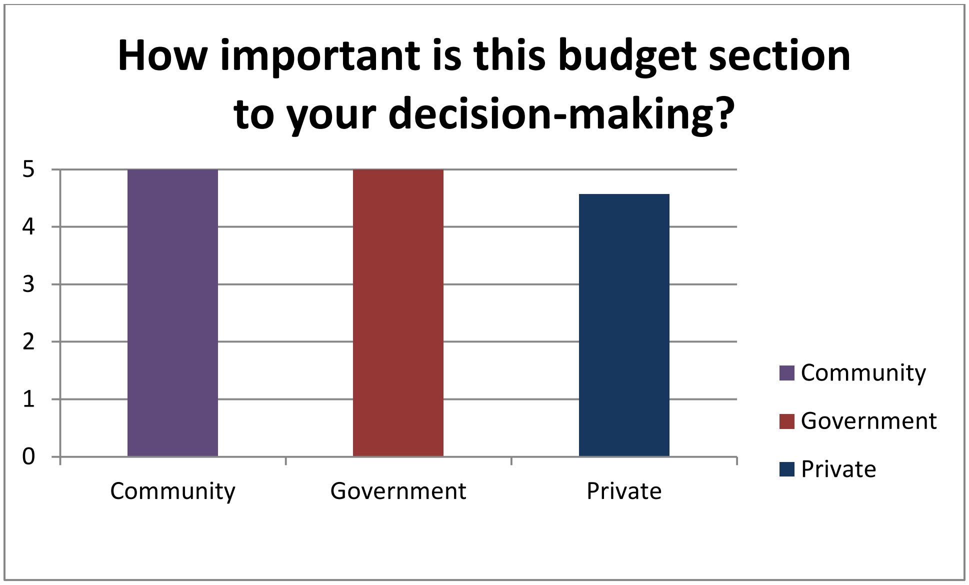

Figure 70. Importance of budget in funding decision making scored by funder type.

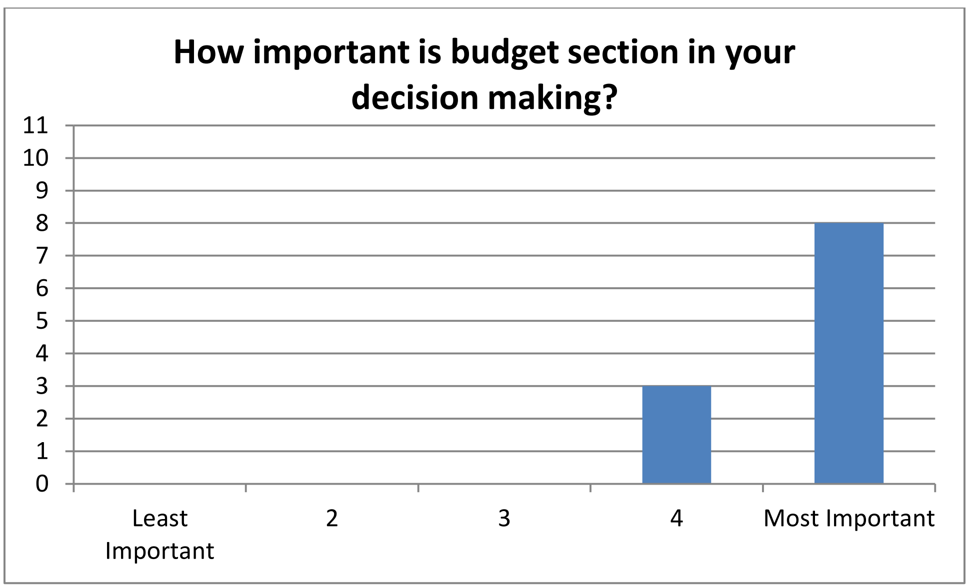

Figure 71. Ranking of importance of budget.

Figure 72 displays comparative average response value organized by respondent type for Question #31: How important is funder recognition in making a decision? On average, funder recognition is not important to private and community funders. However, government funders often require funder recognition as part of the terms of the grant application, which is why the funder from the government rated this question favorably.

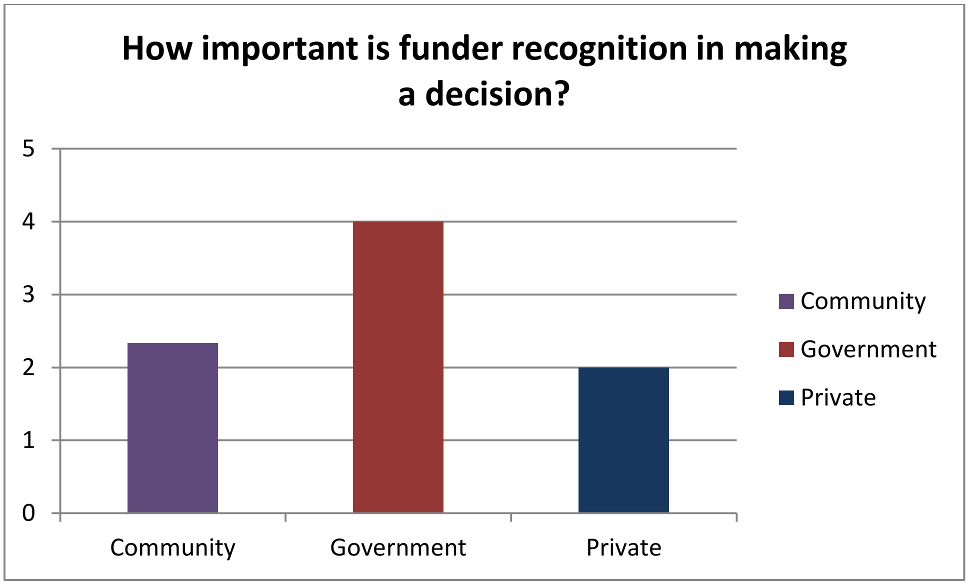

Figure 72. Importance of funder recognition scored by funder type.

The government funder valued funder recognition as important, while the community and private foundations, on average, thought funder recognition was not important.

Figure 73 represents the average Likert scale value responses to Question #31: How important is funder recognition in making a decision? For the most part, as expected, funding decisions are not delineated by recognition of a funder. However, some organizations did rank this highly. One private foundation responded, “We always want to know how we are going to be recognized because we want the board [of the funded organization] to know that we sided with them. We want the people who support that organization to know that we funded them.”

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Six respondents stated that funder recognition was not important, with five of the respondents ranking it a 1. Two respondents were neutral, while three respondents reported that it was very important.

Figure 74 displays comparative average response value organized by respondent type for Question #32: How important are name-recognized members of an organization’s board in making a funding decision? This question represents an ethos appeal. Organizations, on average, are not influenced by name-recognized board members.

On average, all respondents reported that having name-recognized board members is not important when making funding decisions.

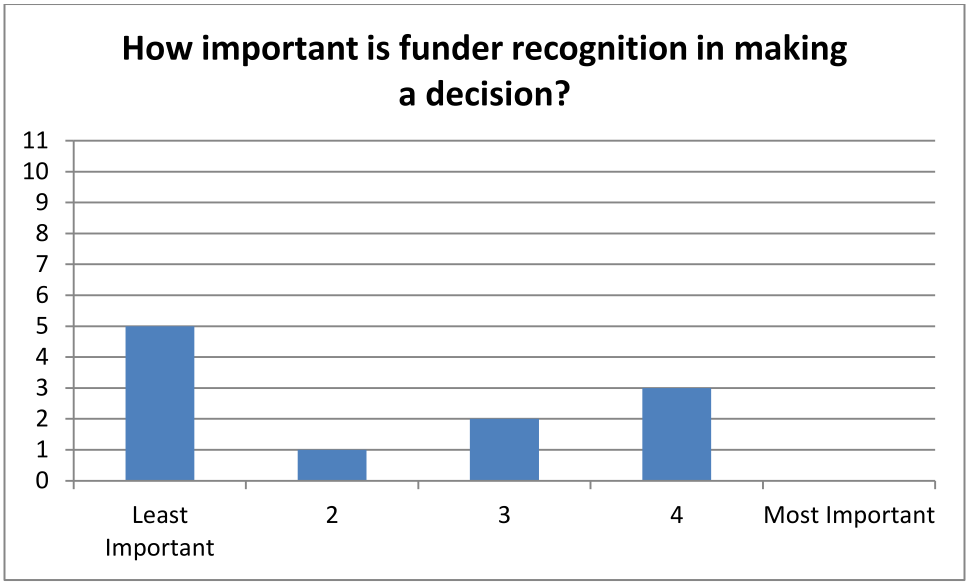

Figure 73. Ranking of importance of funder recognition.

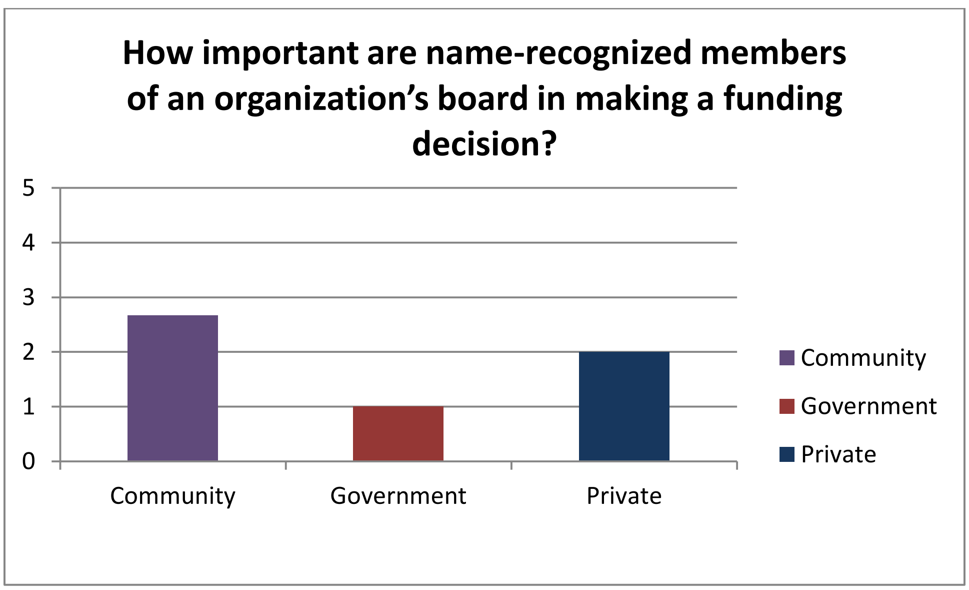

Figure 74. Importance of name-recognized board members scored by funder type.

Figure 75 represents the average Likert scale value responses to Question #32: How important are name-recognized members of an organization's board in making a funding decision? No organization responded favorably that name-recognized board members influenced its funding decisions. However, one respondent (the government funder) did make a very interesting comment that should be noted. He said:

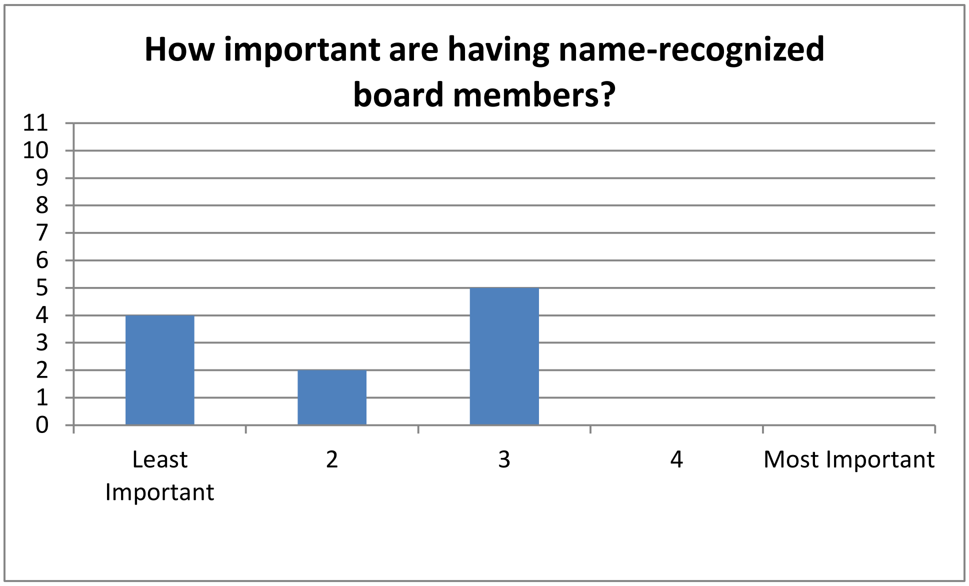

Figure 75. Ranking of importance of name-recognized board members.

> How important is it according to the rules [that govern the funding body]? A one. How important is it in the back of the minds of the panelists? A five. So, I don't know[…]so you're going to have a footnote in there that says: When the prosecuting attorney asks a question and gets a reaction out of the witness and the defense says, 'objection' and the judge sustains the objection; therefore, the jury is not allowed to consider that. But the prosecuting attorney knows that he has brought the point out and it is now in the minds of the jury[…]even though they are not allowed to think about it. So, I think that's the exact same thing. You are not allowed to say [a big donor in the San Diego area] is on the board, they must be good.

This is an interesting and candid comment that is important for non-profit organizations to note.

Another funder, who rated this question a 3, said in her comments:

> It's helpful. It's definitely helpful. It just means you can trust the leaders. If you don't know anyone on the board you've just got to do a little bit more due diligence because you don't necessarily have the confidence in the leadership. It might be somebody I know that I was in [another funding organization with or sat on a non-profit board with] and I can say she is awesome, she partners well, she has been in the community for a long time, I know her core values, I know what she stands for, so it is helpful if they are people that you know who deliver. On the same side, if they're familiar and you say, they just collect board positions, they never deliver. So it's the authenticity. And it's really if they're good or not. And not just everywhere doing everything. It's like oh, she shows up on all of those boards.

This comment, which is consistent with the other comments made by neutral respondents and even those respondents who ranked this question as not at all important, echoes the sentiment stated by the former respondent — that while technically knowing a board member according to “the rules” is not a legitimate reason to make a funding decision, clearly it makes a very big impact on the funder’s decision making, though the quantitative date doesn’t reflect this.

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Six respondents stated that it was not important to have name recognized board members, while five respondents remained neutral.

Figure 76 displays comparative average value organized by respondent type for Question #33: How important is knowing a board member or senior staff member in making your decision? This question represents an ethos appeal. On average, knowing a staff member or board member did not influence organization’s funding decisions.

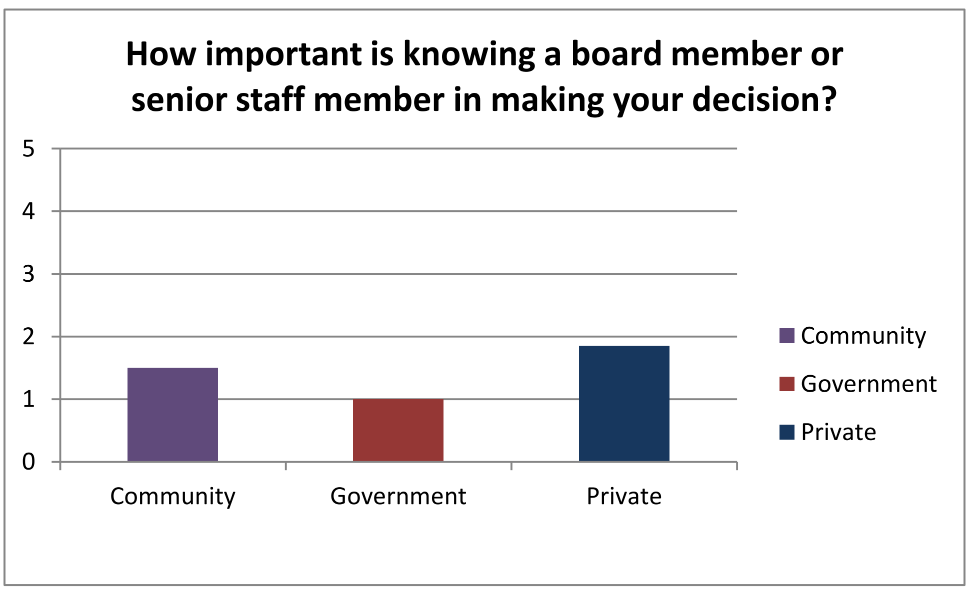

Figure 76. Importance of knowing a board member/senior staff member personally scored by funder type.

On average, all respondents did not think that knowing a board member or senior staff member was important in decision making.

Figure 77 represents the average Likert scale value responses to Question #33: How important is knowing a board member or senior staff member in making your decision? Respondents reported that knowing a staff member or board member personally did not

Figure 77. Ranking of importance of knowing board member/senior staff member personally.

influence their funding decisions. The respondent who ranked this question a four did not offer more information, though that respondent did rank the leader of an organizations as a 5, thus indicating that she was consistent in her value of leadership as being important.

The y-axis displays the 11 total funders interviewed (one declined to answer), and the x-axis displays scored value on the Likert scale. Of respondents, nine replied that knowing a board member or senior staff member was not important, while one stated that it was very important.

Figure 78 displays comparative average value organized by respondent type for Question #34: How important is 100% board giving in making a decision? This question represents a logos appeal. On average, community funders were slightly above neutral on whether 100% board giving was a factor in their decision making, while private foundations were less concerned, and government funders reported it was favorable.

On average, community foundations thought it was mildly important to demonstrate 100% board giving, while the private foundations average responses rated it less important. The government funder found 100% of the board contributing to an organization to be very important.

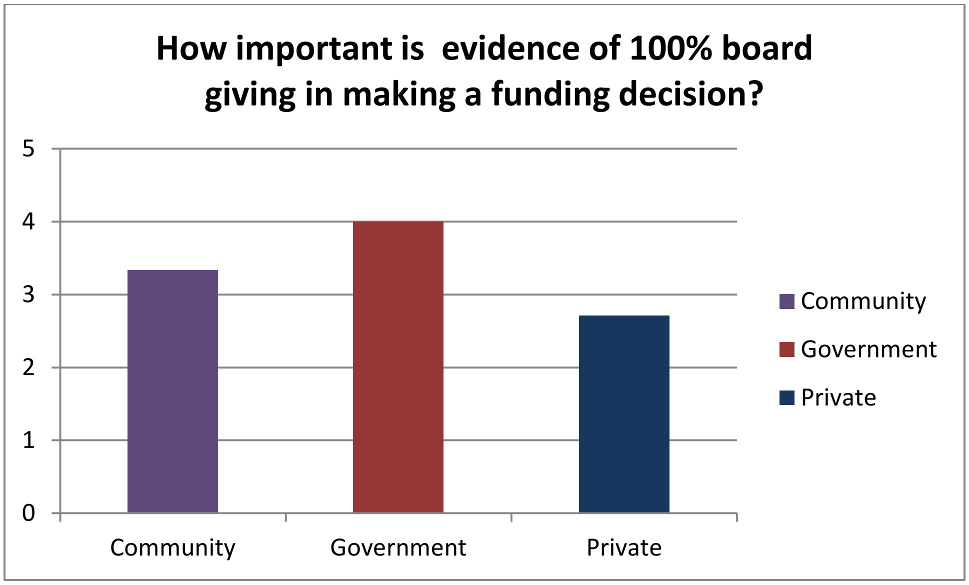

Figure 78. Importance of 100% of board contribution scored by funder type.

Figure 79 represents the average Likert scale value responses to Question #4: How important is evidence of 100% board giving in making a funding decision? Some respondents found 100% board giving to be very important. One respondent from a private foundation said, “It doesn’t matter what the dollar – because if your board member, your key stakeholders, don’t believe strongly enough to give personally, then why should I as a grant maker give? If your board as the closest to you doesn’t give, there’s no way I’m going to give. And it doesn’t matter how much they give but they have to have some skin in the game.” However, some respondents were more ambivalent toward it. One respondent said, “Oh, I don’t know. I guess it’s nice but I don’t pay much attention to it. I know some think it’s really critical.”

The y-axis displays the 11 total funders interviewed, and the x-axis displays scored value on the Likert scale. Responses were split on this question. Four respondents did not find 100% board giving important, while five thought it was very important or most important. Two respondents remained neutral.

Figure 80 displays comparative average value organized by respondent type for Question #35: How important is having an Annual Report? On average, organizations did not find much value in an annual report accompanying the application.

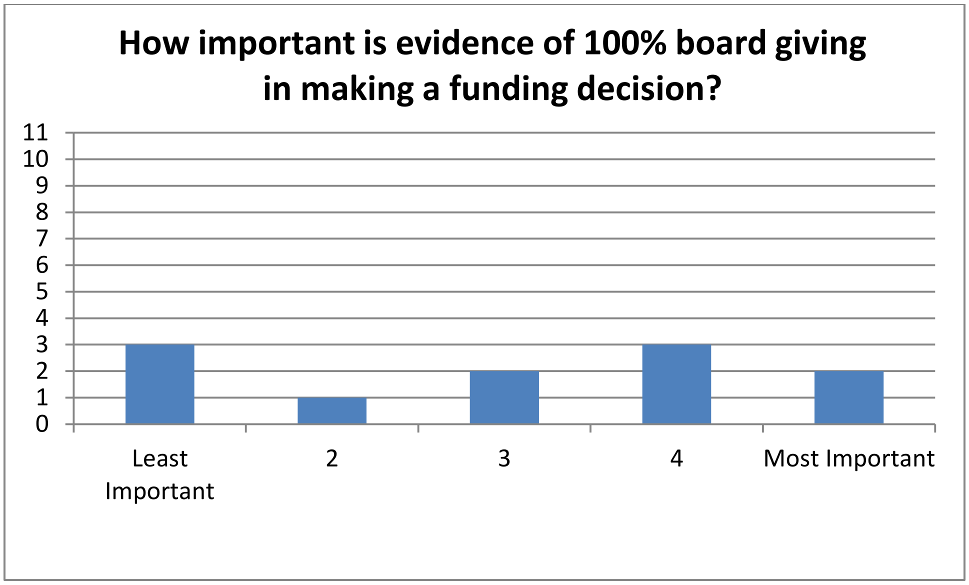

Figure 79. Ranking of importance of 100% board contribution to organization.

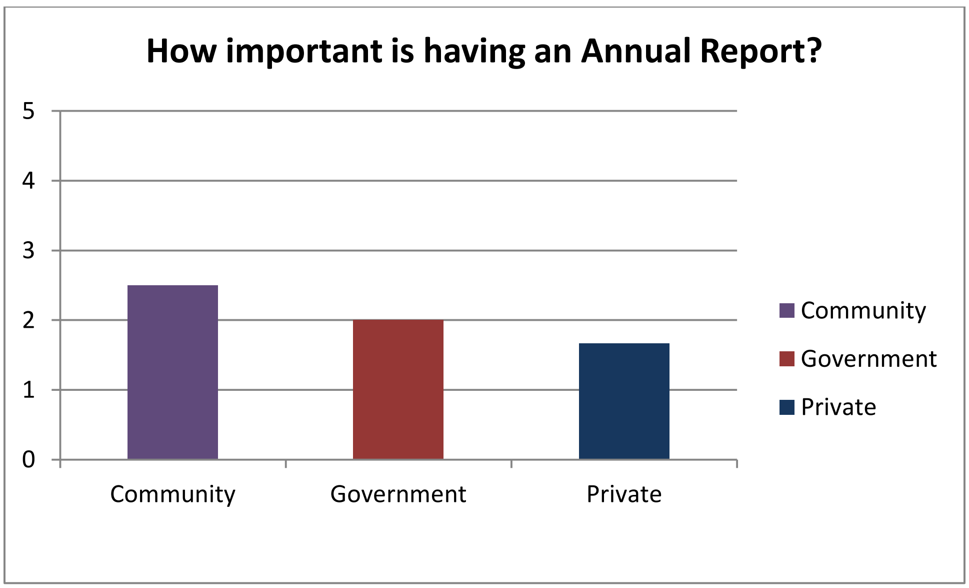

Figure 80. Importance of annual report scored by funder type.

On average, all respondents did not find that an Annual Report was very important in their funding decision making.

Figure 81 represents the average Likert scale value responses to Question #35: How important is having an Annual Report? Organizations did not find that an annual report influenced their funding decisions. One organization was not interviewed with this specific question as it was added after a respondent in the second interview brought it up. That

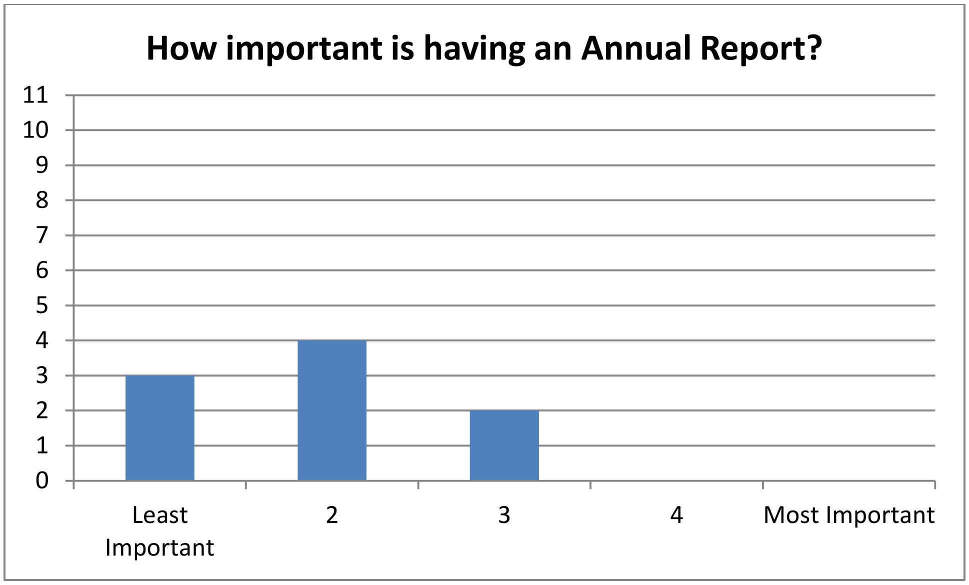

Figure 81. Ranking of importance of having an annual report.

respondent, who also rated an Annual Report as not very important said, “One thing about the annual report, short of actually doing something that’s glossy and illustrated is to just have kind of like a two-page, almost a fact sheet that just has your stats from the last year all in one place.” Another respondent who rated the annual report as least important also remarked, “By law I think you have to report certain things but most of that is on your 990s and I think you have an obligation to the community to report on your annual outcomes, but it can be electronic. It doesn’t need to be printed. There are ways to do that without it being labor intensive.” While this question wasn’t tied to an Aristotelian mode, it does indicate that funders do value logos, facts, statistics, etc., that are often represented in an organization’s Annual Report.

The y-axis displays the 11 total funders interviewed (two did not answer because this question was added to the interview late), and the x-axis displays scored value on the Likert scale. Seven respondents did not think an Annual Report was important, while two respondents were neutral.

Figure 82 displays comparative average value organized by respondent type for Question #36: How important is having partners/collaborators in the community? This question, which was added to the interview after the second interview, received high ratings on average from community, government, and foundation funders alike.

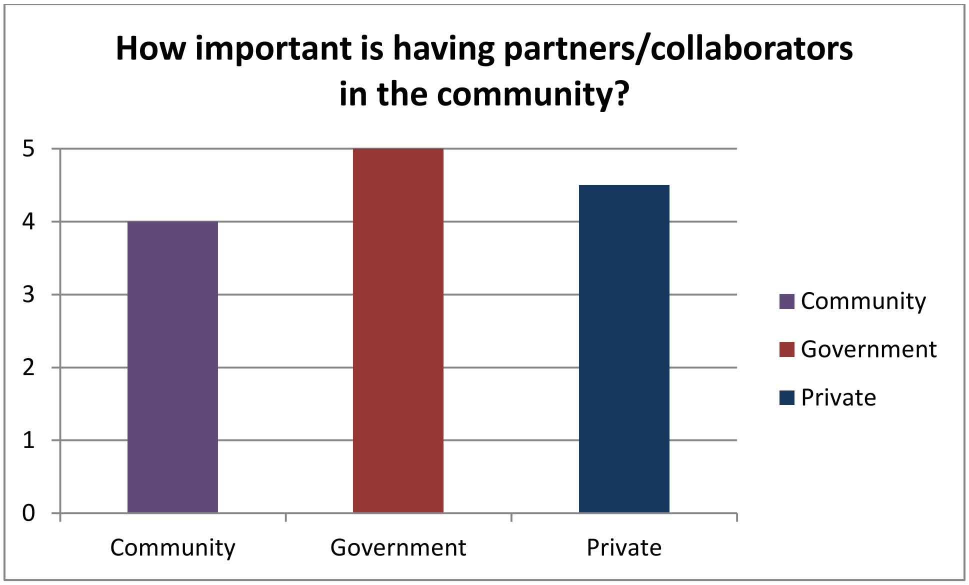

Figure 82. Importance of having collaborators in the community scored by funder type.

On average, all respondents reported that it was very important to have partners/collaborators in the community.

Figure 83 represents the average Likert scale value responses to Question #36: How important is having partners/collaborators in the community? Funders reported high marks for partners in the community. One private foundation respondent said, “I just think there’s magic to working together, to treating these issues in a holistic way, and a non-profit can’t be all things to all people but to partner with other people that can do a piece of the pie is really important. But they can’t be contrived. They have to be authentic. They can’t be for grant writing purposes. You see that really quickly.” Sometimes non-profits may see themselves as competitors of each other, but being seen as collaborative with other community partners has high value and should be emphasized in a grant.

The y-axis displays the 11 total funders interviewed (two did not answer because this question was added to the interview late), and the x-axis displays scored value on the Likert scale. All respondents rated having partners/collaborators in the community as very important or most important.

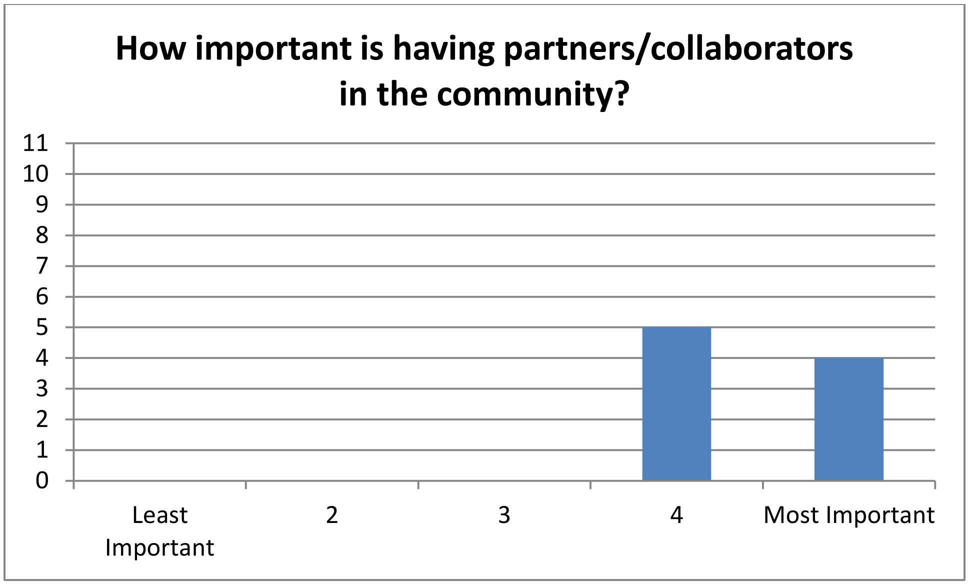

Figure 83. Ranking of importance of having collaborators in the community.

This study is significant as it is the only exploration of its kind in the field that relies on data, not primarily opinion and experience, to provide guidance for grant seekers when constructing a proposal. Given that this study is the first of its kind, it can serve as a model to be replicated and scaled. If other authors of "how to" grant writing manuals were to employ the same methodologies used in this study, the body of literature providing grant writing guidance would be greatly enhanced since it would be based on data rather than opinion or professional experience. Data-driven decision making is valued highly when making important business decisions. Since grant funding provides a substantial source of revenue for most non-profit organizations, organizations will likely value this data-driven study when making strategic decisions about grant applications so that they are responsive and persuasive to funders.

In general, the results of this study indicate that funders in San Diego value quantitative data, including outcome information, and credible leadership as the major influences in funding decision making. They also look for service-population data, output data that includes depth of program effectiveness and the breadth of individuals touched by the organization, and measured improvement or statistical significance. This speaks to Aristotle's logos as being the most important tool of persuasion when constructing grant applications.

Based on the results of this study, it can be concluded that the following findings are important in the grant writing process:

ROLE OF PATHOS

Funders were less interested in emotional stories or emotionally driven appeals to convey purpose or activities. Impact for these funders was largely based on data rather than emotional stories. Some private foundations did appreciate pathos but noted that the emotional content should be balanced with reasoned logic and data.

BUDGET AS IMPORTANT

The budget section overall is very important to private foundations, community foundations, and government foundations. Non-profits should focus their efforts on preparing transparent budget materials, including program and organizational budgets, budget narratives, and financial statements. Funders are interested in looking at the facts when making a funding decision, and the budget and other documents relating to financial health detail specific practical information (often times showing budgeted and actual cash flow) that allows funders to assess whether a grant to a particular organization would be a good investment. All documents relating to financial health must be scrutinized most carefully to ensure there are no red flags, including unexplained debt or an imbalance in program allocation versus administrative items.

INFLUENCE OF NUMBERS SERVED

Funders are not strongly influenced by the number of people served by a proposed program but instead are interested in the impact on those served. The number of people served is one of the only logos-based parts of a grant application that is not typically of interest to funders. One funder highlighted this point, saying, “It’s not about the number served but about the ability to measure impact.” Again, this goes back to the finding that quantifying impact is absolutely critical, and permeates many levels of the application.

ON STATEMENT OF ACTIVITIES OF THE PROPOSED PROJECT

Funders rated very highly the section in a grant proposal that describes what the organization does or what the program or project seeks to do. One respondent simplified why it was important by saying, “It’s what we fund.” Another respondent said, “If the program can carry you through, whether you have a weak mission or anything else, and if you can write really well what you plan to accomplish and how you plan to accomplish it, that will capture attention.” Funders overall also appreciated a list format when discussing activities rather than paragraph form.

On the Organization’s Leader

The leader of an organization is critical for building credibility. This includes, but is not limited to, the leader of an organizations being charismatic and a known expert in the field. On average, organizations rated the importance of a leader as one of the most important criteria in evaluating an organization for funding. In addition, while organizations did not necessarily rate that a leader needed to be charismatic, all respondents intimated that it would be very helpful. As Aristotle states, “character may almost be called the most effective means of persuasion he possesses” (1356a). This is also true in convincing funders to make a grant to support to an organization, and the leader is a powerful tool of persuasion and represents the ethos of that organization as a well-run, well-managed, and fiscally sound institution.

Need Statement

Funders view the need statement as important in their funding decisions, but it is less important than other areas of the application such as outcomes or budget. The government funder was least interested in the Need Statement and indicated that how well an organization is run is ultimately more important than the argument of the role the organization plays in the community need. What was most significant about the responses to the questions about the Need Statement was that funders, while they preferred data to convey community need, were less opposed to the use of pathos in describing the need than they were in all other sections.

Mission Statement as Not an Influencing Factor

While a mission statement is important, it is not a major influencing factor in funding decisions. Funders preferred logos-based mission statements and were mostly opposed to the use of pathos at all in mission statements, but considering that overall the mission statement did not make a big impact on whether an organization would be funded, non-profits should not worry too much if their mission statement is pathos-rich. In future strategic plans with the board, modifying the mission statement to include more technical language may be a useful exercise, but this study reveals that it is not an urgent priority.

COLLABORATION AND PARTNERS IN THE COMMUNITY ARE IMPORTANT:

All funders who responded to the question about partners in the community were unequivocal about the importance of collaborations and partnerships within the community. While this question was one in which most of the respondents quickly and without pause or explanation confidently reported that this was very important, one respondent said, “Organizations really have to start partnering instead of trying to do it all. I think that [partnering] is a much more efficient model in a lot of cases.” As non-profits face challenges in securing monetary resources, partnering with other non-profits to leverage strengths and resources is not only very important to funders, but also may serve to provide a greater impact across the community.

This study suggests that, in summary, non-profits may want to rethink their resource allocation and not spend time crafting a narrative for proposals that is based on an emotional, or pathos, appeal. Non-profits should proactively allocate resources into setting processes in place to ensure that the organization can measure results of their programs and be able to articulate their process for continuous quality improvement. They must then be able to translate the value of the metrics proposed for new programs and the results of their metrics for ongoing programs to funders within a grant application, focusing first on quantitative data, with qualitative explanations of the data, or what Aristotle might have called logos, or “apparent proof” (1356a). In addition, this study finds that to establish organizational ethos, the non-profit must assess its leadership and ensure that it has a knowledgeable spokesperson who is respected as a leader by potential funders, who is highly visible in the community, and who can explain the value of the program competently and in a strongly persuasive manner. As one funder stated, she focuses on understanding “what [the non-profit] is going to do, how they are going to measure it, and to what effect does it matter.”

Additional research in this area could enhance the relevancy of these findings if funders were asked to rate and rank different kinds of appeals at work in grant proposals. While self-report is a useful tool, seeing actual examples of various types of appeals within sections of the grant proposal might serve to impact or change what a respondent believes to be the most persuasive way to make the argument. By allowing a funder to compare various appeals would corroborate or complicate this research, but overall it would allow grant writers to be one step closer to understanding exactly, based on empirical data, how to employ tools of persuasion to make a grant proposal most compelling.

In continuing my research, I will focus on expanding my sample size to include funding organizations outside San Diego. I will conduct interviews after the publication of this thesis, so that I may deepen my understanding of these findings by increasing my sample size and my locale for interview respondents. My primary objective in the next phase of this research will be to first collect many more interviews from government funders to provide a more reliable data set from that constituent group. Once these interviews have been completed and the data aggregated, I will revise my results based on my expanded sample. The addition of many more government funders will be critical to determine if my general results about government funders, stated here, can be corroborated. My secondary goal in the continuing research will be to include other categories of funders within such as corporate funders, who were not represented at all in this study.

Further research could investigate whether there are regional differences in the importance of various types of rhetorical appeals and sections of the grant proposal. Would funders' responses in the Midwest parallel the responses of funders in Southern California? Would funders on the East Coast respond similarly? A researcher could also explore any international differences. How would funders in Europe or Asia respond? Likewise, how would funders in the United States who make grants primarily to non-profits abroad, such as those working in developing nations, respond? Researchers could also seek to glean data on whether funders who grant extremely large denominations of money are more scrutinizing than those who make smaller grants. How would the MacArthur Foundation or the Bill and Melinda Gates Foundation respond compared to smaller foundations? These are just a few of the questions that may be answered by using this study as a starting point for a continuing understanding of funders' needs and interests using systematic empirical research.

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APPENDIX A

SCRIPTS FOR INTRODUCTORY PHONE CALL AND EMAIL

A sample of the phone call introduction script follows:

Hello, my name is Mara Stringfield. I am a graduate student of Rhetoric and Writing at San Diego State University. I am writing my master’s thesis on rhetoric in the grant writing process. I would very much appreciate a half an hour of your time to chat with you about what you consider important when you are reviewing a grant for potential funding. I will not use your name or the name of your company in my thesis, and I am happy to provide additional information in writing regarding this project. Would you be willing to consider allowing me to interview you at a time that is convenient for you at your office?

A sample of the email introduction script follows:

Hello, my name is Mara Stringfield. I am a graduate student of Rhetoric and Writing at San Diego State University. I am writing my master’s thesis on rhetoric in the grant writing process, and I am interviewing local San Diego funders about what aspects of proposals are the most compelling. I would very much appreciate 30 minutes of your time to chat with you about what you consider important when you are reviewing a grant for potential funding.

Your identity and the identity of your organization will be kept confidential. Only your job title and the general business (company, foundation, or trust) type will be discussed in my thesis.

Please let me know if there is a time that you would be able to meet with me, either in person or telephonically. If you have any questions, please don’t hesitate to call me. I can be reached at [Contact Info]. Thank you very much!

APPENDIX B

INTERVIEW QUESTIONNAIRE

Name of Interviewee (Confidential):

Demographics

A. Job Title
B. Name of organization (Confidential)
C. Number of years in a funder position
D. Net assets: less than $25 million , $25 million - $50 million, $50 million - $100 million, $100 million+
E. Value of grants awarded in last year: less than $100k, $100k - $500k, $500k - $1 million, $1 million - $5 million, $5 million - $10 million, $10 million - $20 million, $20 million - $50 million, $50 million+

Questions

<u>I. Mission/Vision/History Statement</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

1. How important is the "warm and fuzzy" mission statement? (pathos)
2. How important is a logical, clear, definition of purpose within a mission statement? (logos)
3. How important is being well acquainted with the organization beforehand? (ethos)
4. How important is the length of an organization's existence? (ethos)
5. How important is the number of people helped each year by the organization? (logos)
6. How important is the leader? (ethos)
    a) If he/she is charismatic (ethos)
    b) If he/she has a reputation for knowledge in the community(ethos)
    c) If you know him or her personally (ethos)

Do you see a distinction between a mission statement and a statement of vision, and if so what is it?

1. How important is this Mission/Vision section in funding decision making?

Would you like to add additional commentary to any of the above rated questions?

<u>II. Statement of Activities of Organization and/or Project/Program Description</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

1. How important is a "warm and fuzzy" description of activities? (pathos)

2. How important is a chronology of services offered, not using an emotional appeal? (logos)
3. How effective is a list in stating activities?
4. How effective is a detailed description of activities in paragraph form?
5. How important is Statement of Activities of Organization/or Project Program Description section (program description/statement of activities) to your funding decision making?

Would you like to add additional commentary to any of the above rated questions?

<u>III. Need Statement</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

6. How important is a “warm and fuzzy” description of the community’s need? (pathos)
7. How important are facts to support that the community has a need for the organization’s services? (logos)
8. How important is the Need Statement section to your funding decision making?

How would you rank what is the most important information to be provided in this section: national need info/data vs. city need info/data vs. service-locale need info data?

Would you like to add additional commentary to any of the above rated questions?

<u>IV. Outcomes and Objectives</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

9. How important is a qualitative/anecdotal description of the outcomes of the services provided? (pathos)
10. How important is a quantitative measurement of outcomes with a description of instruments used, methods, and the analysis? (logos)
11. How important is it that outcomes show a standard degree of improvement or a certain level of statistical significance? (logos)
12. How important is this section (Outcomes and Objectives) to your funding decision making?

Would you like to add additional commentary to any of the above rated questions?

<u>V. Budget</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

13. How important are the audited financial statement in determining agency's credibility? (logos)

14. How important is the 990 in determining agency's credibility? (ethos)

15. How important in your decision is the ratio of fundraising costs to total revenue earned? (logos)

16. How important in your decision is the ratio of administrative costs to total budget? (logos)

17. How important in your decision is the ratio of special event costs to total revenue earned? (logos)

18. How important in your decision making is the compensation of the senior executive(s)? (ethos)

19. How important in the decision is the amount of cash on hand for each agency? (logos)

20. How important is looking at the amount of debt an organization has? (logos)

21. How important is it whether you have funded this organization previously? (ethos)

Is it a positive/negative/neutral to be the first or initial funder for a project? (ethos)

Is it a positive/negative/neutral if an organization employs a contract grant writer to complete the application? (ethos)

22. How important are the number of volunteers involved? (pathos)

Is it a positive/negative/neutral if an organization's annual operating budget is primarily funded through government funds? (ethos)

23. How important is this budget section to your decision-making?

Would you like to add additional commentary to any of the above rated questions?

<u>VI. Attachments/Other</u>

On a scale of 1 to 5, with 5 being most important, how would you rate the following?

24. How important is funder recognition in making a decision? (logos)

Does a request of general operating support or program support influence a funding decision?

25. How important are name-recognized members of an organization's board in making a funding decision? (ethos)

Would an onsite visit influence your decision positively or negatively? (pathos)

26. How important is knowing a board member or senior staff member in making your decision? (ethos)
27. How important is 100% board giving in making a decision? (ethos)
28. How important is having an Annual Report? (logos)
29. How important is having partners/collaborators in the community? (ethos)

Would you like to add additional commentary to any of the above rated questions?

APPENDIX C

DEFINITION OF TERMS

Since words used in the academic realm of rhetoric and words used in the career-specific realm of fundraising are all considered “terms of art” and do not typically converge within the same kind of document, I have provided a definition of terms that may be useful in providing context and specific meaning for the purposes of this study.

Annual Report: “A report issued by an organization (including businesses, foundations, and not-for-profits) that provides a description of its activities during the year and a financial report of its income, expenses, and current status[...]a valuable source of information about an foundation’s priorities and interests” (Karsh and Fox 312).

Audited Financial Statement: “A company’s financial statements which have been prepared and certified by a Certified Public Accountant (the auditor). In the U.S., the auditor certifies that the financial statements meet the requirements of the U.S. GAAP [Generally Accepted Accounting Principles]. An auditor can have an unqualified opinion, in which he or she agrees with how the company prepared the statements, or a qualified opinion, in which he or she states which aspects of the company’s statements he or she does not agree with. In extreme cases, the auditor may express no opinion on financial statements at all, in the case that the scope of the audit was insufficient” (“Audited Financial Statement”).

Budget: “A fiscal plan for an entire organization (usually annual) or a specific program that includes an itemized list of anticipated income (revenues) and expenses. For proposals, the budget must reflect as closely as possible the activities and staffing described in the narrative” (Karsh and Fox 313).

Cash on Hand: “Funds that are immediately available to a business, and can be spent as needed, as opposed to assets that must be sold to generate cash. The amount of cash on hand determines what projects a company can undertake, or what financial hardships can be absorbed, without going into debt or arranging other financing” (“Cash on Hand”).

Community Foundation: “Organization supported by donations from residents of a specific geographical area, and which distributes its endowment funds for charitable purposes in the same general locality” (“Community Foundation”).

Compensation of Senior Executive: “The financial payments and non-monetary benefits provided to high level management in exchange for their work on behalf of an organization” (“Compensation of Senior Executive”).

Ethos: “The persuasion is accomplished by character whenever the speech is held in such a way as to render the speaker worthy of credence. If the speaker appears to be credible, the audience will form the second-order judgment that propositions put forward by the credible speaker are true or acceptable. This is especially important in cases where there is no exact knowledge but room for doubt. The speaker must display (i) practical intelligence (*phronêsis*), (ii) a virtuous character, and (iii) good will” (Aristotle, 1378a6ff).

Expense of Special Events to Total Revenue Earned Ratio: “Expenditure for event (or events)/money raised from event (or events) = total fiscal effect of the event. An excellent way for administrators, politicians, and the general public to account for and to acknowledge the costs of events so they can be measured against the benefits they bring to the community” (“Planned Special Events”).

Funder: "Individual or organization financing a part or all of a project's cost as a grant, investment, or loan" ("Funder").

Funder/Donor Recognition: "An appropriate way to acknowledge contributions[. . .].When donors feel the organization has been appreciative of the contribution through adequately recognizing it then they are ready to consider making additional gifts in the future. If they have the feeling that their contributions are not perceived as significant and the agency does not seem to need the funds then the organization may not receive additional contributions in the future" (Donshik).

Grant: "A grant is a financial award given to an individual or organization oftentimes to be used toward a specific purpose. Unlike loans and various other awards, grants do not need to be repaid. The purpose of a grant is to provide financial assistance to an individual or group that is pursuing a project or goal that is deemed worthwhile by the grant giver" (Hamel).

Grant Writer: "A grant writer is responsible for preparing the necessary documents needed in order to secure grant money from governments or foundations that provide grant funds to nonprofits, businesses or other eligible organizations. A grant writer's job consists of developing proposals, writing project descriptions, compiling other information required by grant makers and submitting grant applications. The grant writer is also to provide post-project reports required by the grant maker, tracking the progress of grants that have been received" (Hamel).

Logos: "The speech itself, in so far as it proves or seems to prove the point; reasoned discourse or the argument regarding the subject. It is an argument more refined than the capacity to make private feelings public: it enables the human being to perform as no other animal can; it makes it possible for him to perceive and make clear to others through reasoned discourse the difference between what is advantageous and what is harmful, between what is just and what is unjust, and between what is good and what is evil" (Rahe 26).

Mission Statement: "A written declaration of an organization's core purpose and focus that normally remains unchanged over time. Properly crafted mission statements (1) serve as filters to separate what is important from what is not, (2) clearly state which markets will be served and how, and (3) communicate a sense of intended direction to the entire organization" ("Mission Statement").

Emotional Mission Statement: "A mission statement that answers the questions: How does your organization make the world a better place? Who does your company benefit? Who would miss you if your organization disappeared? Why should anyone care? […]A list of some of the most emotionally charged benefits of your company" (Miles).

Technical Mission Statement: "A mission statement that answers the questions: What do you do? What is your product or service, and who do you do it for? What is your market? How far is your reach? What are actions that your company uses to describe its services? [It] should be pretty straight-forward" (Miles).

Need Statement: "The needs statement defines the underlying problem or issue the grant applicant is addressing. The needs statement is used to educate the funders and proposal reviewers about community needs the nonprofit organization seeks to change [. . .]. The function is to demonstrate the problem and engage the funder in wanting to address the problem […]. Qualities of Good Need Statements: clear, concise, cogent and compelling; written for the intellect and the emotions — contains both hard data and a human element; the information flows logically to build a case for your proposal; engage the reader" (Gohr, Hielkema, & Sanchez).

Net Assets: "Total assets minus total liabilities of an individual or company" ("Net Assets").

Nine-ninety Form (990): "An annual reporting return that certain federally tax-exempt organizations must file with the IRS. It provides information on the filing organization's mission, programs, and finances" ("FAQs : 990 Form").

One Hundred Percent (100%) Board Giving: "100% of board members make a general fund donation to the cause. This shows that that your board is fully invested in your mission" (Garecht).

Outcomes Research: "Outcomes research seeks to understand the end results of particular health care practices and interventions. End results include effects that people experience and care about, such as change in the ability to function […]. By linking the care people get to the outcomes they experience, outcomes research has become the key to developing better ways to monitor and improve the quality of care [. . .]outcomes research can identify potentially effective strategies an organization can implement to improve the quality and value of care" ("Outcomes Research: Fact Sheet, AHRQ").

Qualitative/Anecdotal Outcomes: "Research which stresses the socially constructed nature of reality, the intimate relationship between the researcher and what is studied, and the situational constraints that shape inquiry. Such researchers emphasize the value-laden nature of inquiry. They seek answers to questions that stress how social experience is created and given meaning. Research is 'in the field', conducting interviews, observing and recording behavior. Data is narrative (words), focused on the individual, human level. Rich detail and description are important. Research design is flexible and evolving" (Spradley).

Quantitative Outcomes: "Quantitative studies emphasize the measurement and analysis of causal relationships between variables. Questionnaires, inventories, and computers are used as data collection methods. Data is numerical, statistical. Large sample sizes are used to produce generalizations for a population. Research begins with a hypothesis-the goal being to explain a specific phenomenon with numbers and objective data. The researcher observes but does not actively participate. Research design is structured and well-tested" (Vogt).

Pathos: "The success of the persuasive efforts depends on the emotional dispositions of the audience; for we do not judge in the same way when we grieve and rejoice or when we are friendly and hostile. Thus, the orator has to arouse emotions exactly because emotions have the power to modify our judgments: to a judge who is in a friendly mood, the person about whom he is going to judge seems not to do wrong or only in a small way; but to the judge who is in an angry mood, the same person will seem to do the opposite" (Aristotle 1378a1ff).

Private Foundation: "A charitable organization recognized by the US Tax Code at 26 U.S.C. § 509 and section 501(c)(3). It is defined by a negative definition, in other words, it is defined by what it is not. A private foundation formed in the United States is a charity, but it is not a public charity (a term of art defined by the 501(c)(3)) and is not a supporting organization. A private foundation is a nonprofit organization having a principal fund managed by its own directors or trustees. Private foundations maintain or aid charitable, educational, religious, or other activities serving the public good, primarily through the making of grants to other nonprofit organizations" ("Private Foundation").

Ratio of Administrative Costs to Total Budget: "Administrative costs/total budget. Percent of total functional expenses spent on management/general (lower is better)" ("Financial Ratings Table"). "Measures how well a company is managing its administrative expenses. . .Too much administrative overhead can indicate an overly complex managerial structure, redundant departments, and slow reaction to market changes. Keeping track of this ratio over time will yield a clearer picture of how the company keeps control of its administrative expenses, and comparing this ratio to competing companies provides even more insight" ("Financial Ratios").

Rhetoric: "Rhetoric is defined as the ability to see what is possibly persuasive in every given case" (Aristotle 1355b26f).

Value of Grants Awarded Last Year: Total number of grants by grant size for a year period, to understand if the funder provides grants of adequate size to meet an agency's needs.

Vision Statement: "An aspirational description of what an organization would like to achieve or accomplish in the mid-term or long-term future. It is intended to serve as a clear guide for choosing current and future courses of action. Vision Statements also define the organization's purpose, but this time they do so in terms of the organization's values rather than bottom line measures (values are guiding beliefs about how things should be done.) The vision statement communicates both the purpose and values of the organization. For employees, it gives direction about how they are expected to behave and inspires them to give their best. Shared with [funders], it shapes [funders'] understanding of why they should work with the organization" ("Mission Statements and Vision Statements").