Development of a

Post-Credentialization Plan and Recertification Process

for the

Emergent Grant Profession

Dissertation

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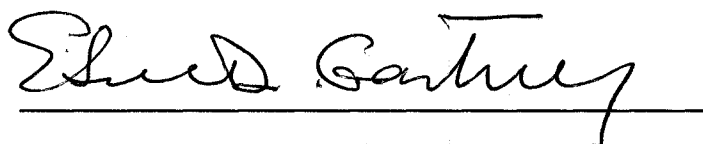
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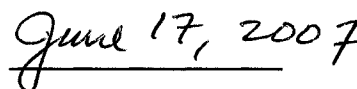
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# ABSTRACT

Development of a Post-Credentialization Plan and Recertification Process

for the Emergent Grant Profession

By

Phyllis A. Renninger

Northcentral University, May 2007

In 1997, the American Association of Grant Professionals (AAGP) emerged as the first

professional organization specifically for the grant profession. Until that time, the grant

profession fell under the umbrella of "nonprofit management," in which grant development was

mentioned as a means of seeking support for organizations and their programs. The terms "grant

writing" and "fundraising" were used interchangeably. Over the last few years, however, largely

due to the rise in charitable funding, the two terms have come to distinguish two separate

professions. Although both professions have similarities, the differences lie in the relationships,

focus, and duration of the gifts (fundraising) or awards (grant professionals). As the grant field

emerges to become a profession, validation and accountability are increasing in importance. As

part of that movement, certification has become one of the major goals of the grant profession.

Currently, a certification exam is being developed by the AAGP and its affiliate organization, the

Grant Professionals Certification Institute (GPCI). That certification exam will be offered for the

first time in November 2007. Although the certification examination process is in development,

the recertification process has not yet been developed. This research examined other

organizations involved in credentialing and will propose a post-certification process for the grant

profession.

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## LIST OF ACRONYMS AND ABBREVIATIONS

AAGP – American Association of Grant Professionals, a professional association targeted to individuals involved in seeking, managing, and awarding grant funds to and on behalf of predominantly nonprofit organizations.

ACFRE – Advanced Certified Fund Raising Executive, an advanced credential for fundraisers, offered by the Association for Fundraising Professionals to individuals holding a CFRE credential who meet AFP's advanced requirements.

AFP – Association of Fundraising Professionals, a professional association for fundraisers, was formerly the National Society of Fundraising Executives (NSFRE).

AHP – Association for Healthcare Philanthropy, a professional association of fundraisers who work in the healthcare field within the nonprofit sector.

ASAE - American Society for Association Executives, a professional association of executives who manage associations.

CASE – Council for the Advancement and Support of Education, a professional association of fundraisers and other advancement personnel who work in higher education. Its mission is to provide "education professionals in alumni relations, communications, and development with essential tools to advance their institution."

CEU or CEC - The Continuing Education Unit or Continuing Education Credit is a nationally recognized measure of participation in an approved noncredit continuing education program.

CFRE – Certified Fund Raising Executive, the baseline credential for the fundraising profession. It is awarded to practitioners who have been in the field for five years or more who

have met minimum standards and criteria, including passing an examination and demonstrating fundraising knowledge and skill mastery.

FAHP – Fellow of Association of Healthcare Philanthropy, an advanced credential for individuals holding a CFRE credential who belong to AHP and meet their advanced certification criteria.

GPCI – Grant Professionals Certification Institute, an affiliate of AAGP, was established as a 501(c)(3) organization to develop the grant professional's certification exam. GPCI has been charged by AAGP to follow NOCA guidelines and work with an accredited and reputable exam development institution.

NOCA – The National Organization for Competency Assurance promotes a high standard of competency assurance for practitioners in all occupations and professions. They strive to be an international leader in that competency through education, research, and high standards. Under their National Commission of Certifying Agencies (NCCA), they serve as an authority on accreditation standards for professional certification organizations and programs.

RFA or RFP – The Request for Application or Request for Proposal is the set of guidelines for the competitive grant project being submitted for funding.

SPSS – A computer program used for statistical analysis. SPSS is also the name of the company, SPSS, Inc. SPSS originally stood for Statistical Package for the Social Sciences.

USF - The University of South Florida was established by the Florida Legislature as a research institution in 1984. The Institute of Instructional Research and Practice (IIRP) conducts independent, valid, and reliable research studies and projects addressing specific issues, including various types of certification and licensure.

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CHAPTER 1

INTRODUCTION

In 1997, the American Association of Grant Professionals (AAGP) established an organization specifically for the grant professional. The newly founded organization recognized the importance of professional certification as a means of advancing the field and setting a standard for practice. The founding grant professionals set a goal and established a committee to commence steps toward the development of a professional certification, an enormous undertaking. Currently, a certification exam is being developed by AAGP and its affiliate organization, the Grant Professionals Certification Institute (GPCI). That certification exam will be offered for the first time in November 2007. Although the certification examination process is in development, the recertification process has not yet been developed. This dissertation will examine organizations involved in certification and propose a post-certification process for the grant profession.

Overview

There are more than 850,000 charities and nonprofit agencies (Guidestar, 2006), 500,000 churches (U.S. Information Agency, 2006); 725,000 nonprofit organizations (Brody, 2004); and 23,485 educational institutions (U.S. Department of Education, 2005b) in existence in the United States. Estimated charitable giving reached nearly $250 billion in the nation (Giving USA, 2005). Since 1972, the Los Angeles-based Grantsmanship Center has trained over 100,000 people from nonprofit organizations and public agencies around the country in the art of writing grant proposals (Woo, 2006). Grant funds were sought and managed under professional titles such as fundraiser and philanthropist. In 1997, the American Association of Grant Professionals (AAGP) emerged as the first professional organization specifically for the grant profession. Until

that time, the grant profession was categorized under "nonprofit management," in which grant development was mentioned as a means of seeking support for organizations and programs. At that time, the terms "grant writing" and "fundraising" were used interchangeably. Over the last few years, largely due to increasing amounts of charitable funding, the two terms have come to distinguish two professions. Although both professions have similarities, the differences lie in the relationships, focus, and duration of the gifts (fundraising) or awards (grant professionals). Many organizations employ both a fundraising professional and a grant professional, sometimes within the same department.

Some may misinterpret the grant profession as being composed of writers with technical skills that can be acquired with training. The grant professional, however, knows that the field has well-defined processes with accountability to the fund provider, the grant developer, and the program implementer. An employer will hire a grant professional based on specific skill sets. The grant professional is then entrusted with the organization's fiscal security through contracts for external funds. Agencies and organizations that employ a grant professional can only hope that the decisions made on their behalf are ethical and follow grant compliance.

As an emerging field, the grant profession faces many issues that arise in a field without regulations or certification. Fly-by-night agencies and individuals promote free money, guaranteeing results and claiming 100% success rates. A grant professional understands that one cannot guarantee success when awards are based on peer reviews and limited funds. Without knowing the number of applicants compared to the proposed number of awards, one cannot guarantee success. The talented grant professional will have a high success rate, but a 100% rate is unreasonable.

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Some unscrupulous individuals approach organizations with promises of easy money take payment in advance, and then "shotgun" applications to numerous agencies – hoping for a hit (or perhaps not even caring). Funding agencies and organizations then receive proposals that have no merit or do not match their award programs, and the uninformed public can be misled. This behavior, if left unchecked, will ruin the reputation of many honorable grant professionals.

Other unethical practices include offering certification through coursework and receiving percentage pay based on a grant award. In the first example, certification is confused with a certificate of completion. Quite often, that misconception is intentional on the part of those offering the "certification." Percentage pay, the practice whereby the grant writer is paid out of grant funds, is not considered an ethical practice in that a grant proposal is written for a project that has a specific starting and ending date. Once awarded, all activities in that grant must occur during the project period. Activities that occur before the award, such as preparing the proposal, would not be legitimate expenditures out of the grant award funds.

<div align="center">Statement of Problem</div>

Along with the activities of an emerging profession and its credentialing efforts is the need for the post-certification plan, which includes a Continuing Education Unit (CEU) process for renewal or recertification. For other organizations, such as the Certification for Fund Raising Executives (CFRE) organization, that process has been in development for over 20 years. For the grant profession, that process has not yet been developed and will be part of this dissertation.

That CEU process might include higher education courses, validation plans for courses or training, and alternate strategies for recertification. In addition, the process identified in this dissertation is aligned with the National Organization for Competency Assurance (NOCA) guidelines as defined under the National Commission of Certifying Agencies (NCCA). NOCA

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serves as the national authority on accreditation standards for professional certification

organizations and programs.

The Research Questions fall into the following categories:

(a) The identification of requirements used by other organizations in post-certification processes

1.  What are the various requirements for certification and recertification used by other

    professional organizations?

2.  What is the design of their CEU process?

3.  If workshops and training are approved methods of obtaining CEUs for

    recertification, how does the certification board decide which workshops and training

    are acceptable?

4.  If courses or higher education programs are approved methods of obtaining CEUs for

    recertification, how does the certification board decide which courses or higher

    education programs are acceptable for recertification?

(b) An analysis of the requirements to identify commonalities

5.  Which renewal cycle is used by a majority of credentialing organizations and how do

    those organizations determine the most appropriate renewal cycle?

6.  Which "best practices" in recertification are used by other organizations?

7.  Which requirements for recertification are most acceptable and appropriate to a

    majority of other organizations involved in the credentialing process?

(c) The new recertification process for grant professionals

8.  What will be the most appropriate renewal cycle for the grant professional

    recertification process?

9.  What will be the design of the grant professional CEU process?

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10. What will be the processes and standards for accepting workshops and training?

11. What will be the criteria for accepting courses in higher education that meet the standards for the grant profession?

*Purpose of the Project*

The development of an applicable and reliable post-credentialization plan and CEU process was essential for the grant profession. The examination of other professional organizations and their methods for certification and recertification ensured a recertification plan based on best practices for the grant profession. A concern for the grant profession is that the field encompasses a wide variety of professionals from independent consultants to members of large government agencies. No one process was likely to be appropriate, but a custom designed process was needed.

This researcher sought input from both the American Association of Grant Professionals and the Grant Professionals Certification Institute in developing the recertification process. As an executive committee member of both institutions, this researcher was able to access data and information within both organizations as well as field test plans through surveys, committee input, and field expert meetings.

Members of the American Association of Grant Professionals were also able to provide input on training and courses available across the country. Together with Internet searches and communication with Institutions of Higher Education (IHE), this researcher was able to identify higher education programs of study appropriate for the grant professional and the CEU process. Because the courses are found under many different titles and credit/not-credit programs, the challenge for the grant profession will be in deciding how to validate the courses rather than trying to identify all the variations currently offered (Appendix A).

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*Background and Significance of the Project*

One of the best models for background information was the Association of Fundraising Professionals (AFP) and their credentialing organization, the Certification for Fund Raising Executives (CFRE) International. AFP refers to itself as the "standard-bearer" for fundraising professionals. Although there are distinct differences between the activities of fundraisers and grant professionals, the CFRE credentialing process has some best practices that are appropriate for the grant profession. AFP preceded the American Association of Grant Professionals (AAGP) by about 35 years. During that time, it was the organization most closely related to the grant profession, and the only option for many professionals. Currently, many grant professionals are members of AFP as well as AAGP.

CFRE International was once an affiliate of AFP and served as the credentialing arm for the fundraising industry. CFRE International offers a credential for fundraisers and has an interest in the grant writing process, but a heavier interest in the fundraising side of the industry. At this time, the CFRE exam is the closest credentialing system for the grant professional, and the only option. The American Association of Grant Professionals organization has considered the CFRE exam and process as a best practice for their credentialing exam. Currently, many members of the grant profession carry CFRE certification. The AAGP credential examination will be offered in 2007.

The Grant Professionals Certification Institute (GPCI) was established in 2003 to develop a psychometrically sound examination tool for credentialing. That tool will serve the grant profession just as the Certification for Fund Raising Executives exam serves the fundraising profession. GPCI and the American Association of Grant Professionals (AAGP) are partnering with the University of South Florida (USF), Institute of Instructional Research and Practice, a

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well-respected institution with significant experience in the field of test development, to develop the certification exam (Gibson, 2001). Test development workshops are currently being conducted and will conclude in 2007 with Subject Matter Expert (SME) workshops. In these workshops, field experts will write, pilot, and validate the test questions. The initial process and activities to date were discussed in the American Association of Grant Professionals' Monograph: *A Series of Papers on the Topic of Professionalization in the Grants Field* (2006).

Similar professional organizations were examined to determine their methods and processes for recertification. An initial review was conducted and it was found that these organizations included institutions for health care members, lawyers, psychologists, financial planners, public accountants, and other professionals. That initial review has generated information that has helped form the following research questions.

*Research Questions*

The Research Questions fall into three categories: a) Identifying organizations that have credentialing and recertification processes along with the identification of requirements and criteria for CEUs in those processes; b) An analysis of those requirements to identify commonalities or best practices among the processes; and c) The design and the requirements in the recertification process for the grant professional post-credentialization plan. Each of those topics had follow-up questions that helped to drill down to the information needed on the project.

Definition of Key Terms

The following terms were essential for understanding processes and information identified in this dissertation. The definitions were created by the researcher, based on information in existence.

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*Certificate*: An official document affirming a fact, such as completion of a course, task, class, training, or other activity. Unless developed within a psychometric framework, a certificate does not indicate competency beyond the specifics of the activity.

*Certification*: The verification by an organization that a person has demonstrated certain achievements, knowledge, or skills according to the standards or competencies set by that organization. Unless developed within a psychometric framework, a certification does not typically indicate competency beyond the specifics of that organization.

*Credentialing:* This is the administrative process for validating one's evidence of competency in a specific area. The process is an objective evaluation of one's current licensure, training, experience, competence, and/or ability. The credentialing process should withstand scrutiny of a psychometrically sound process. The credential usually has regular renewal cycles and requirements for recertification.

*Continuing Education Unit (CEU) or Continuing Education Units (CEUs)*: Recorded activities that provide evidence of completion of continuing education requirements mandated by the approving organization. The records also provide employers with information on training pertinent to particular occupations.

*Design Teams*: An organized group of individuals assembled to complete a grant application. Quite often the design team will continue to work together for implementation of the awarded grant program.

*Fundraising Professional:* The fundraising professional typically raises money on an annual basis, quite often with a set goal for the amount of funds being targeted for that year. The fundraising professional builds relationships with donors and sponsors and their focus is to seek fiscal support. The generated funds are usually referred to as "gifts."

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*Grant Professional*: The grant professional typically completes a competitive application in response to a Request for Proposal (RFP). The grant professional will often build a relationship with the program officers at the funding agency, but they are administrative relationships rather than sponsoring or donating relationships. The focus of the grant professional is to respond to an RFP, and the generated funds are usually referred to as an award. Many organizations employ both a fundraising professional and a grant professional.

*Grantsmanship*: The art of obtaining grants from federal, state, corporate or foundation funding agencies usually involves consensus and research. Grantsmanship encompasses the skill of proposal development and management as well as the ethical concerns and standards of the profession.

*Licensure*: The granting of a license is usually carried out by the government (federal or state) for a person to work in a particular profession. The license assures the public of the practitioner's competence. Doctors, nurses, lawyers, psychologists, and public accountants are some examples of professions that require licensure.

*Profession*: An occupation that requires evidence of formal training and mastery of specific knowledge, and that usually has a professional association, code of ethics, and a certification process. Professions include accountant, lawyer, teacher, architect, medical specialist, military, and clergy.

*Registration*: Registration is required of a number of occupations and professions where maintenance of standards is required to protect public safety. For example, physicians, psychologists, and electricians often must be registered in order to practice since failure to perform could result in injury to others. Registration can be the same as licensure for certain professions.

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*Standards*: An agreed-upon set of guidelines for interoperability or a uniform criterion for the profession. Following set standards can also be a prerequisite for doing business in certain fields, with certain organizations, or within certain parameters.

Brief Review of Related Literature

The purpose of this section is to first discuss the related literature for the profession, and then examine the information available on the credentialing and post-credentialization processes used by other organizations. The review included the type of work being authored in the grant field and examples of the types of relevant methodology used in current studies.

The type of work being authored in the grant field primarily includes how-to information. The research methods currently used would be categorized as informal research, with a significant degree of generalizability (Wiersma & Jurs, 2004). Most authors give advice on grant writing rather than following a research model where the effect of a manipulated variable was tested. Most references, such as *Successful Grantseeking Techniques for Obtaining Public and Private Grants* (Bauer, 2003), contain tables, charts, and worksheets that summarize gathered information about the grant profession. These references do not appear to have research behind the many suggestions, but instead appear to rely on a trial-and-error study in what has traditionally worked in the author's on-the-job-experiences.

The methods of information gathering included cross-sectional descriptions and "time series," or trends across time as seen in references such as *Capacity Building Grants: Funding Your Mission from the Inside Out* (Polston, 2004). The cross-section design had a large number of variables that were collected and discussed, which appeared to be more informal and not research based. In addition to the variables in the cross-sectional design, the authors of grant professional materials use "time series," or trends across time, to be descriptive or to forecast

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variables (Wiersma & Jurs, 2004). By using time series the authors were able to review a few variables and measures and one or two units across time.

Examples of the types of relevant methodology used by organizations such as the American Association of Grant Professionals (AAGP), the Grant Professionals Certification Institute (GPCI), the Association of Fundraising Professionals (AFP), and the Certification for Fund Raising Executives (CFRE) appear to be descriptive research conducted through surveys in order to gather data. Descriptive research depends on field work or observation research (Wiersma & Jurs, 2004). In this inductive research, the idea is to get into the field and find out what is going on, preferably without preconceived notions (McNamee & Bridges, 2002). In surveying members of the profession, these organizations are producing valid research to help professionals make decisions. These data are also relevant to this dissertation. The fundraising professional in AFP is most closely parallel to the grant professional in AAGP; and the credentialing activities of CFRE correspond with the efforts of GPCI. With that comparison, the work of AFP will be used as a model for the evolving efforts of AAGP. Both AFP and AAGP have conducted salary surveys of their members to determine if members with a credential and without a credential receive similar salaries. In the AFP magazine article entitled *Highlights of the 2006 AFP Compensation and Benefits Study* (Williams, 2006 July/August), the author discusses the AFP annual survey which includes a comparison of members' salaries by organizational type (Table 1).

This AFP survey was the sixth annual *Compensation and Benefits Study* of fundraising professionals who are members of AFP. The study was conducted via a web-based survey instrument. Random samples of 3,000 U.S. members were drawn from a database dated January 1, 2006, of 27,097 active members who had email addresses. There is some chance of bias in

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Table 1

Fundraising Average Salaries by Organizational Types

| *Average Salaries* | 2001 | 2002 | 2003 | 2004 | 2005 |
|---|---|---|---|---|---|
| All respondents | $ 64,643 | $ 65,751 | $ 71,740 | $ 80,685 | $ 67,181 |
| Social services | $ 53,551 | $ 54,035 | $ 60,255 | $ 74,740 | $ 61,111 |
| Education | $ 70,136 | $ 67,452 | $ 70,337 | $ 78,925 | $ 68,492 |
| Health services | $ 67,354 | $ 70,242 | $ 74,405 | $ 83,427 | $ 74,078 |
| Arts/cultural | $ 59,286 | $ 55,454 | $ 78,880 | $ 82,298 | $ 62,609 |
| Counseling agency | $ 83,895 | $ 87,917 | $ 88,911 | $ 97,376 | $ 86,150 |
| Religion | $ 58,421 | $ 60,180 | $ 63,987 | $ 69,537 | $ 56,137 |

(2006 AFP Compensation and Benefits Study)

that a small percentage of AFP members do not have email addresses. Of the 1,072 members who submitted usable responses, 826 were from the United States and 246 were from Canada, for an overall response rate of 26%. Only the United States information was used in this paper.

Williams (2006 July/August) stated that a Certification for Fund Raising Executives (CFRE) credential correlates positively with salary. She went on to note that the average salaries for those with a credential are $22,000 higher than for those without credentials (Table 2). This is significant evidence of the necessity of a professional credential.

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Table 2

AFP Survey of the Average Salary and Certification in the United States

|  | Average Salary 2005 |
|---|---|
| All respondents | $ 67,181 |
| Certification for Fund Raising Executives | $ 82,814 |
| Advanced Certified Fundraising Executive | $ 117,243 |
| Other certification | $ 63,230 |
| No certification | $ 60,394 |
|  | (2006 AFP Compensation and Benefits Study) |

As a relatively new field, the grant profession has lacked evidence of formal research. The American Association of Grant Professionals (AAGP) is just beginning to generate the same type of data on the grant professional as AFP has gathered on the fundraising professional. AAGP conducted a salary survey of its members in May and June, 2006 (Table 3). The survey was distributed to 992 active AAGP members and posted to the AAGP website; 429 responses were received. The survey had an overall response rate of 43%.

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Table 3

Grant Professionals' Salaries by Organizational Type

|  | Average Salary 2006 |
|---|---|
| K-12 Education | $ 66,522 |
| Higher Education | $ 56,955 |
| Health services | $ 61,968 |
| Faith-based | $ 43,500 |
| Government agency | $ 60,200 |
| Nonprofit agency | $ 51,263 |
| For-profit | $ 37,500 |
| Other | $ 44,167 |
| Tribal | $ 37,500 |
| Average Salary | $ 51,064 |

(2006 AAGP Salary Survey)

According to the data collected by AFP and AAGP on the salaries of fundraising professionals without certification and AAGP members without a grant professional certification, fundraising professionals earned $9,330 more in salary (Table 4). There is some chance of bias in that a small percentage of the AAGP members may also be AFP members. With the CFRE certification in place, and the fundraising professional earning a significantly higher salary with certification, the data clearly give support to a grant professional certification and the efforts by AAGP toward that end.

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Table 4

Comparison of Fundraising Executives' and Grant Professionals' Salaries

|  | Average Salary 2006 |
|---|---|
| Fundraising professional - no certification | $ 60,394 |
| Certification for Fund Raising Executives | $ 82,814 |
| Grant professionals - all respondents | $ 51,064 |

Source: 2006 AFP Compensation and Benefits Study and the 2006 AAGP Salary Survey

These types of survey-based studies are generating data and resulting in fact-based literature for the profession. This will result in the generation of more articles and literature that are research based instead of "how to" information.

Highlights and Limitations of Methodology

Even though the grant professional examination will be offered in November 2007, the post-certification system is not yet in place. This dissertation developed the post-certification examination process for the grant profession. The target participants of the grant profession work in various locations across the nation and the information gathered included location, organizational types, gender, and other variables to be identified. Armed with this information, the recertification plan was designed to be comprehensive, allowing for variations within the membership, yet standardized for the profession.

Part of the information gathered for the post-credentialization process identified what currently exists that can be used by the grant profession for Continuing Education Unit (CEU) points. One of the processes is the acceptance of higher education courses to earn CEUs toward recertification. A look at programs of study currently available finds an increase in offerings over

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the years. In 1998, Seton Hall researchers conducted a study with the support of the Kellogg Foundation and found only 17 nonprofit management programs of study (Mirabella & Wish, 1999, Spring). In January 2004, when the *Chronicle of Philanthropy* series was published, there were 90 programs offered (Caldwell, 2004). Until the establishment of AAGP in 1997, the grant profession was included under these nonprofit management programs of study. Although many of the programs offered are relevant to the grant profession, they were designed specifically for the fundraising profession. With the similarities and differences between the two professions, the challenge in identifying higher education programs appropriate for the grant professional's CEU process was in deciding how to validate the courses rather than trying to identify all the variations currently offered (Appendix A).

To develop the Continuing Education Unit (CEU) process for the grant profession, information was gathered on the procedures in place by other professionals. A validation process will need to be development to deliver acceptable courses or workshops for CEU credits. Information on the Certification for Fund Raising Executives' certification and recertification processes was reviewed as a starting point for the grant profession process. With 20 years of development behind CFRE, quite a few of the processes and procedures have been fine-tuned for the fundraising profession and were appropriate best practices for the grant profession. Organizations that deal with the validity and verification of the credentialing process, such as the National Commission of Certifying Agencies, were also studied.

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Data gathered by the Grant Professionals Certification Institute (GPCI) precede the study

in this dissertation. The GPCI activities include the process steps listed in Table 5.

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Table 5

Grant Professionals Test Development Process Steps

---

| | |
|---|---|
| 1 | Development of Competencies and Skills |
| 2 | Validation of Competencies and Skills |
| 3 | External Validation of Competencies and Skills |
| 4 | Results from External Validation |
| 5 | Development of Item Specifications |
| 6 | Validation of Item Specifications |
| 7 | Development of Test Items |
| 8 | Item Pilot Testing |
| 9 | Item Validation |
| 10 | Examination Assembly and Validation |
| 11 | Establishment of Passing Scores |
| 12 | Key Validation |
| 13 | Development and Validation of Study Guides |
| 14 | Development of Test Administration Guide |
| 15 | Design of a Unique GPCI Scan Sheet |
| 16 | Printing, Assembling, Shipping Test Booklets |

*Limitation and Delimitation*

The Grant Professionals Certification Institute (GPCI) is dedicated to the identification of

grant professionals who display outstanding expertise along with ethical practices and the

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development of a certification process that meets and exceeds the psychometric standards for education and psychological testing. The credentialing process under development by GPCI is sound and grounded in best practices. National test development workshops are currently being conducted and will conclude with Subject Matter Expert (SME) workshops where field experts will write and test the exam questions. This researcher served on one of the SME teams. The research from these workshops will form the basis for the grant professional standards needed for exam validation.

Unfortunately, very little valid research has been done in the grant profession up until now, but with organizations such as the American Association of Grant Professionals (AAGP) and the Grant Professionals Certification Institute (GPCI) starting to conduct descriptive research through surveys (AAGP, 2006d), the data gathering will contribute much to the field as well as to the research of the certification examination process. Fundraising organizations, such as the Association of Fundraising Professionals (AFP) and the Certification for Fund Raising Executives (CFRE) have been gathering survey data for years (*2006 AFP Compensation and Benefits Study*) and have a fully developed fundraising certification examination and process. Comparisons of the information and the development process have greatly aided this dissertation. The descriptive research, used in both the AAGP and the AFP studies, depends on field work or observation research (Wiersma & Jurs, 2004).

In addition to identifying the CEU process, the examination of potential courses for grant professional recertification, the criteria to validate courses or training, and alternate strategies were part of the study. To start the process of gathering the information on courses currently offered, this author sent an inquiry to AAGP members via the membership forum. That baseline information aided in the identification of current training

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availability as well as gaps or needs in training. The data gathered by e-mail messages and

combined into a data chart contain the name of the institution and whether their programs

of study offer a) noncredit classes, b) certificate programs, or c) credit courses. The results

were considered as part of the recertification process.

*Implications for the Improvement of Practice*

The study in the dissertation, *Development of a Post-Credentialization Plan and*

*Recertification Process for the Emergent Grant Profession,* used a non-experimental design.

This design has sometimes been called survey research, naturalistic research, observational

research, ex post facto research, or epidemiological research (Rudestam & Newton, 2001;

Wiersma & Jurs, 2004). The cases were not randomly assigned to treatment levels nor were the

independent variables manipulated. Passive observation of the underlying dynamics of the

variables was undertaken. If cases were selected on a particular value on the confounding

variable, only a small number of cases would qualify for the study. Limitations with the non-

experimental design include a) samples were of convenience and those that were available to the

researcher, b) cases were not randomly assigned to treatments for they occurred naturally, c) the

dependent variable was influenced by complex causal systems of variables, d) the primary

independent variable partly influenced the dependent variable, and e) extraneous variables were

not controllable in the procedure.

The benefits in this study were that a) processes and research of credentialing

organizations, such as the Association for Fundraising Professionals and the Certification for

Fund Raising Executives, served as good models for this dissertation, b) the National

Organization for Competency Assurance guidelines identify the standards that must be met for

certification and recertification, c) the reputation of the University of South Florida, Institute of

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Instructional Research and Practice, for psychometrically sound processes in test development will assure a sound process for certification, d) the American Association of Grant Professionals and the Grant Professional Certification Institute data and research processes will be used in the certification and recertification plan, and e) this researcher's access to data and information will enable an informed dissertation study to be developed for the post-credentialization plan and recertification process for the emergent grant profession.

<div align="center">Research Expectations</div>

The dissertation employed non-experimental quantitative research to address the credentialing information for the grant profession (Wiersma & Jurs, 2004). Data gathered in the study enabled a comparative understanding of the issues for grant professionals across the nation. Survey research was employed on information in the field that did not have manipulability (Johnson, 2001). Some of the variables were higher education programs, types of workshops and training, and professional portfolios. The data gathered were used to predominately examine the status quo, but also examined information about other variables such as credentialing renewal cycles. Comparisons were conducted with other professional organizations such as those for school psychology which began 25 years ago. The National Association of School Psychologists (NASP), split from the American Psychologists Association over disputes about required education for the credential, and ended up offering membership and a membership directory (National Association of School Psychologists, 2006). Their credentialing has grown to include a National Certificate in School Psychology, renewable every three years with in-service documentation. This new certificate resulted in reciprocity among many states, so a school psychologist does not have to earn a certificate in each state.

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CHAPTER 2

REVIEW OF RELATED LITERATURE

The review of literature relating to the grant profession is organized into ten topic areas that include Grant Searches and Sources; Writing, Proofreading, and Editing; Research, Data, and Statistics; Ethics; Philosophical Discussions; Grant Management; Compliance and Regulations; Professional Organizations; Grant-Related Programs in Higher Education; and Certification and Recertification Processes. Information in the professional books and articles listed will help the grant professional with the skills and information needed for the grant professional certification exam. Other references may provide insight or ideas for the post-credentialization process. This may take the form of book reviews, references for portfolio development, or ideas for publishing.

Grant Searches and Sources

There are many books and articles to introduce the grant professional to information on finding Requests for Proposals (RFP) or Requests for Applications (RFA) as well as types of grant funding sources. Some of the references, such as *Getting Funded: A Complete Guide to Writing Grant Proposals* (Hall and Howlett, 2003), are predominately "how to" references that include information or checklists to guide grant seeking. Other references, such as Miller's *The "How To" Grants Manual: Grant Writing: Strategies for Developing Winning Proposals* (2002), explain the different sources of grant funds from private to state to federal programs. These references are general introductory information for a novice level individual.

Professional books contain many suggestions and tips to help the grant seeker focus his or her proposal development efforts. Some authors such as Bauer (2003) as well as the *Grant Seeking Fundamentals Series* (Quick & New, 2000a; 2000b) provide tables, charts, and

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worksheets that summarize the information throughout the book. The grant seeker will find information on grant funding organizations' perspectives, developing a proposal, identifying and applying for grants, and clarifying the differences between public and private funding. Other authors, such as Larissa Golden-Brown (2001) show the reader how to overcome common concerns of grant development. She offers sound, practical advice to successful grant seeking by providing a systematic and logical way of searching for grants and determining which foundations to approach.

Armed with practical advice, the grant professional can search for lists of funding sources most appropriate to their projects. The Council for Resource Development (Council for Resource Development, 2006b) hosts an annual "Federal Funding Task Force" composed of CRD members. Participants volunteer for small group visits to federal offices. The results of those visits and information gathered is annually compiled into a book to help resource development professionals find federal funding for their programs (CRD, 2006a). Although the targeted audience is community college grants, the information is appropriate to many other fields.

Another good source of current information is the media. In particular, the *Chronicle of Philanthropy* (2006) is the newspaper of the nonprofit world. It is published biweekly and offers articles, grant listings, job postings and other newspaper-type information for fundraising and grant professionals.

In addition to professional books, professional journal articles provide insight into federal, state, foundation, and corporate grants. Information can be targeted to a specific population, such as K-12 educators. *The Future of Federal Education Grants since the No Child Left Behind Act* (Renninger, 2004) supports the *No Child Left Behind Act* as an-easy-to-follow mandate for grant-funded projects. The Act outlines the focus areas and policies necessary for

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the development of each program funded under this legislation. The grant professional should use the Request for Proposal (RFP) as well as the *No Child Left Behind Act* as the guideline for the proposal and project development.

Other articles, such as *Show Me the Money: Grants and the Middle School* (Stinson & Renninger, in press) are designed to assist middle school teachers, principals, and staff members in securing grant funds. The authors encourage middle school individuals to know the project's needs and goals (Proposal Development), understand how to find and select a funding agency (Proposal Application), and how to measure success while ensuring sustainability (Proposal Accountability). The authors suggest that following these three focus areas will increase the chance of receiving funding for a well-designed project.

Articles for the corporate world include *Strategies for Securing Corporate Support* (Turner, 2004) which is based on the author's three-year action research project for his dissertation. In the article, Dr. Bernard Turner explains strategies for securing corporate support and recommends some references on corporate giving. This article provides important information about corporate relations and foundation relations departments in colleges and universities.

Grant seeking is the first crucial step in grant development. Miner and Griffith (2003), in the book entitled *Proposal Planning and Writing*, state that if grant seeking were a single company, it would rank at the top of the Fortune 500 list. Grant professionals can concur that with many billions of dollars awarded each year, the power of the profession can be extraordinary.

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Writing, Proofreading, and Editing

References for writing, proofreading, and editing focus on skill level information needed for basic instruction or reference. Writing is one of the essential skills of the grant professional, although in some sectors, the title grant writer is not favored. The term "grant writer" is considered restrictive in description and could imply that a person can sit in isolation and write proposals. Even an individual whose primary responsibility is to write proposals has additional responsibilities that might include research, group facilitation, strategic planning, and many other skills beyond the writing itself. Even with that caveat of avoiding the term grant writer when referring to the grant professional, the skills of writing, proofreading, and editing are essential to a successful proposal.

Knowing how to respond to a Request for Proposal (RFP) and writing the application are essential skills for the successful grant professional who works in program development. Books such as *Getting Funded: A Complete Guide to Writing Grant Proposals* (Hall & Howlett, 2003) and *Grant Seeking Fundamentals Series* (Quick & New, 2000a, 2000b, 2000c) are designed to help the grant developer complete competitive proposals. Hall and Howlett provide the Essential Planning Steps which include assessing organizational capability and finding funding sources. They also include a Writing and Submitting the Proposal section to take the reader through a logical progression to developing the full proposal. The book also includes resources for the grant developer and a section using the logic model in the evaluation process. Quick and New offer a step-by-step approach to organization in the beginning stages and a flow chart for tracking progress. There is a section on finding funding sources. A manual outlining how to apply for federal funds is *The "How To" Grants Manual: Grant Writing: Strategies for Developing Winning Proposals* by Patrick W. Miller, Ph.D. (2002). This book describes the

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differences between grants, cooperative agreements, and procurement contracts and includes guidelines for writing proposals, a glossary of grant terms, and examples for proposal development. The book is designed for the experienced grant professional and includes suggestions on how to complete very competitive grants proposals.

Professional books on grant development are filled with suggestions on how to contact funding sources, write a perfect proposal, polish a proposal, create case statements, use the Internet effectively, and survive last-minute crises (Barbato & Furlich, 2000; Barbato, 2004; Bauer, 2001; Bauer, 2003; and Hayes, Hoffman, & Lamoreaux, 2004). Other books, such as *I'll Grant You That: A Step-by-Step Guide to Finding Funds, Designing Winning Projects, and Writing Powerful Grant Proposals* (Burke & Prater, 2000) provide a CD-ROM to help in proposal development.

Good reference manuals should be easily accessed and utilized by the grant professional. The American Psychological Association (APA) manual is an essential for all grant offices (2002). This reference guide offers formatting guidelines for proposal writers as well as guidelines for avoiding plagiarism. These guidelines will assist the grant professional in choosing text, tables, or figures to present information in their proposals. The APA style is the most widely used style by the grant professional.

Reference manuals such as *Using Logic Models to Bring Together Planning, Evaluation, and Action: Logic Model Development Guide* (W.K. Kellogg Foundation, 2004) will help the grant professional organize the project plan. The logic model is an essential organizational tool to illustrate the development of a project idea or grant proposal in a comprehensive and organized plan. The logic model can be used effectively with a design team, the group organized

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to develop the application. The logic chart walks the design team through the following essential sections: resource/inputs, activities, outputs, outcomes, and impact.

In addition to professional books and reference manuals, helpful information can be provided through journal articles and monographs. Many authors reveal that writing the proposal is the last phase in the development of a project, with the starting point being the organization's mission and strategic plan (Appel, 2004; Brophy, 2004; Browning, 2005; Campbell & Carter, 2004; Valery & Ashkins, 2004). Some authors present the development process in hands-on formats, such as workbooks (Carlson, 2002), while others appeal to specific targeted audiences, such as higher education (Campbell & Carter, 2004; Carter, 2004; and Poole, 2006) or tribal organizations (Rothburd & Drabek, 2006). Others may focus on the funding agency, such as *Successful Foundation Fundraising Requires a Perfect Fit between your Organization and Potential Funders* (Collins, 2006a).

## Research, Data, and Statistics

In the development of a grant proposal, the grant professional must know how to find research, data, and statistics necessary for the needs section as well as the evaluation section of all proposals. Clearly establishing a need, and using statistics and research to support that need, can result in a successful proposal.

Applications lacking statistical support often appear to be opinion instead of facts. With the funding of the project resting on convincing a program officer or individual that your project is worth their support, a proposal of opinions lends itself to disagreement rather than a convincing presentation.

Once a proposal is funded, the grant manager should continue to gather research and statistics on the project. He or she must know how to gather, analyze, interpret and apply the

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information and activities outlined in the proposal. Although assessment of success is not always rigorous by some funding agencies, best practice for a grant professional is to thoroughly analyze the success of each funded project. Even if this information is not required by the funding agency, the data can be used on future grant applications to show successful practices and to adjust future requests.

The American Evaluation Association (AEA) is dedicated to the application and exploration of every avenue of evaluation. This would apply to both program and project evaluation of grants. AEA provides training that includes informational workshops involving grant evaluation. The Association for Research on Nonprofit and Voluntary Action (ARNOVA) is an international membership organization dedicated to fostering, through research, an understanding of the nonprofit sector, philanthropy and volunteerism. Other professional websites can provide needed statistics and data. For example, the National Center for Education Statistics (2005b) is the primary agency responsible for collecting and analyzing data related to education. Information includes surveys, programs, tables, figures, fast facts, as well as searches for schools and colleges. The "What's New" section contains articles and news releases on educational statistics and data.

In an informal research article entitled *Searching for Research* (Bastuscheck, 2004), a "Google" search for grant research was conducted. Bastuscheck found a prevalence of the information that confused "research" with "searching for grant funding sources" (p. 63). This article clarifies grant research not as a search for grant funding sources but as a scientific study. Currently a majority of grant research articles emphasize investigation into issues related to foundation and nonprofit management and funding. This discovery lends itself to a need for scientific research related to grants management and funding.

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A grant professional can assist in the establishment of research for the field, sometimes by analyzing data generated by another source. For example, In *A Look at Why Men and Women in the Fundraising Profession Earn Different Salaries,* Boice (2006b) uses information found in the "GuideStar Nonprofit Compensation Report," conducted by GuideStar.org (www.guidestar.org). Boice states that it is evident that women in the fundraising profession are paid significantly lower salaries and bonuses than their male counterparts. The GuideStar report, released in September 2005, revealed that the compensation of female charity CEOs has increased faster than, but still lags behind, that of their male counterparts.

Other grant professional research is focused on developing instruments to gather data. Faruqi (2004) developed a questionnaire to examine the relationship the board, senior staff, and grant writers have with foundation officials. The survey was conducted with 47 participants in several different states. The author analyzed the responses and the relationships of each with the funding agencies. In *Grant Writer Discrimination and Registration,* Renninger and Stinson (2005b) contacted all states to seek information on their registration process as it concerned grant professionals. After receiving responses from 23 states, the authors found that almost every response indicated that registration and fee structures changed frequently, the agency or organization that was listed as the contact also varied considerably in each state, and states that did require grant writer registration had not only fees, but many also had penalties for being an unregistered grant writer operating within the state. Amanda Temoshek (2006) conducted interviews of three people at a Nebraska-based foundation in order to explain how to improve communication between foundations and nonprofit organizations by building mutually beneficial relationships between potential donors and the organizations. In *Foundation Perception of Nonprofit Fundraising Communication,* Temoshek discusses communication that includes initial

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contact, follow-up information, changes in personnel, and mutual training strategies using the foundation as a resource.

An additional approach to research for the grant field would be information defining practices that could be used in data gathering or studies that are relative to the field. Johnson (2001) presents a report that can be used to classify non-experimental quantitative research. He lists the similarities and differences between causal-comparative and correlational research, examines potential sources of the belief that causal-comparative research provides stronger evidence of causality than correlational research, and makes suggestions about how one can approach the issue of causality in non-experimental research. Mirabella (2002), in the article *Current Offerings in University-Based Programs*, presents a compilation of the phases of the Seton Hall University study on the impact of nonprofit management education programs on the nonprofit community. The research study was made possible through a grant from the Kellogg Foundation. The study was conducted in 1995 but served as a basis for many other phases of the study.

Practitioners in the grant field should search for relevant studies that will help the grant professional. The new Giving USA report is the 50th Anniversary edition of the yearbook of philanthropy. Statistics are reported including the fact that individual giving rose by an estimated 4.1% and overall charitable giving was up 5%. The complete report with data covering 2004 is available through Giving USA. Another good source for relevant information is Grantmakers for Effective Organizations (GEO). GEO has more than 1,000 members representing more than 600 grant making organizations. The coalition produces an annual report that contains the yearly member survey results. GEO states that they want to see philanthropy become more effective and are willing to lead the charge to make that happen.

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Although the references and books listed in this section relate to research, data, and statistics needed by the grant professional, there is very little true research completed in the grant field. The grant professional can easily start to gather data, making the same points and sharing the information, backed by statistics gathered in the field.

## Ethics

Professions require ethical standards for their members. When the American Association of Grant Professionals (AAGP) was first formed, one of the driving needs was for a code of ethics and standards for the grant profession. Without a code to standardize the grant profession, there were no clear criteria for judging ethical behaviors, novice grant professionals were not sure they were making the correct decisions, and for-profit unscrupulous individuals could make questionable claims. Grant Consultant members of the AAGP proudly state that the AAGP Code of Ethics (Appendix B) is part of their portfolio and is presented in their client packets as documentation of their professionalism as well as support for ethical practices.

The American Association of Grant Professionals website posts the actual Code of Ethics and Standards of Professional Practice (Appendix B). These standards have been discussed at every AAGP national conference as an essential topic for every professional. Consultants and grant professionals working within organizations use this code as the basis for decision making and conduct as a professional. Other organizations also post their code of ethics on their websites; for example, the Association for Fundraising Professionals (AFP) refers to themselves as the "standard-bearer" for fundraising professionals (2006a) and posts their Code of Ethics and Professional Standards on their website (www.afpnet.org).

There is a wealth of professional books, journal articles, organizational manuals, and information on ethical standards. For the resource development or sponsored research

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departments who are tasked with institutional research or analyzing educational data, *The Ethics of Educational Research* (McNamee & Bridges, 2002) provides a good reference guide. Key ethical issues are discussed that often confront educational researchers. A wide range of topics is covered from professional accountability to ethical conflict in theory and practice. *The Insiders Guide to Grantmaking* (Orosz, 2000) covers the process involved in reviewing, declining, and responding to grant proposals. There are also chapters on site visits, writing the funding document, presenting the funding project, managing the project, leveraging impact, initiative-based grant-making, and the ethical concerns of grant-making. There is also an interesting section on "avoiding the seven temptations of philanthropy."

Furthermore, the grant professional may benefit by reviewing articles that ask questions about ethical dilemmas. In *Professional Obligations: The Dear Friend—and Donor,* Harrison (2006) states that ethical standards give general guidance to sound practice, but what should the professional do when more than one standard might apply. When ethical considerations conflict with monetary interests, it is often a challenge to figure out what the real issues are and which ethical principles should govern. With the Code of Ethics and Standards of Professional Practice serving as the heart of the grant profession, the American Association of Grant Professionals organization is currently preparing its second monograph series with a focus on ethics.

Philosophical Discussions

The topic of philosophical discussions moves into information most appropriate for the advanced grant professional. Information under this topic builds on the foundations established in the preceding four topics: Grant Searches and Sources; Writing, Proofreading, and Editing; Research; and Ethics.

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The first publication to be mentioned is the American Association of Grant Professionals. (2006c) *Monograph: A Series of Papers on the Topic of Professionalization in the Grant Field.* This 81-page report includes three articles and a literature search. The monograph is a response to current changes in the grant profession and the way the public perceives the grant profession. The series provides a historical viewpoint of the progression toward professionalization of the field and the increasing accountability within that growth. In the first article, *Professionalization of the Grants Field: A Sociological Look at the Field's Movement toward Full Professionalization,* Annarino (2006) examines how occupations move to professions. Citing a century of sociological models, the article examines how an occupation or sometimes "skill sets" become a profession. Annarino discusses how fields have become professions, such as teachers who were once domestic service workers with child-rearing responsibilities, or dentists who were recognized as having certain skills.

The second monograph article, *An Emerging Vocation: The Grant Profession,* Renninger and Stinson (2006a) looked at the history of the American Association of Grant Professionals and some of the issues that spurred its formation. The authors stated that "Through AAGP, the profession has a code of ethics and standards of practice, grant position job descriptions exist and are often shared among the organizations on grant forums, and ongoing professional development is available through workshops, training, conferences, CharityChannel University, and a professional journal. The grant professional certification should be launched in 2007." All of those activities and initiatives have helped the grant profession emerge and set standards that did not exist prior to these efforts.

The third article in the monograph, *Setting the Standards for the Grants Profession: Identification and Validation of the Competencies and Skills,* Annarino and Blymiller (2006)

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discuss the statistics from the grant professional credentialing processes and the validated competencies and skills that have been developed. The article describes the three entities that have joined to follow a psychometrically sound and valid process.

Other publications discuss a wide range of topics of interest to grant professionals, including starting a grant consultant business (Browning, 2003), developing or maintaining a successful company (Collins, 2001; Collins, 2005), hiring exceptional employees (O'Brien, 2006), conducting job interviews (Rice, 2006), building trust within an organization (Solomon & Flores, 2001), and participating in salary negotiations (Karrass, 2006). Articles can also be found that discuss advanced grant professionals and fundraisers (Ferguson, 2003; Renninger, 2006) as well as serving as advocates for our communities (Boice, 2006c). In *How to Recognize the Warning Signs of Stress and Career Burnout and Take Effective Remedial Steps—Before Reaching the Breaking Point,* Collins (2006b) reminds us that in a profession dealing with deadlines, sometimes lack of sleep, and the possibility of not receiving a million-dollar proposal, the grant or fundraising professional should remember stress-related deaths account for more than half of the deaths in the U.S. With that sobering statistic from the U.S. Centers for Disease Control and Prevention (2005), this article encourages the reader to avoid the most common causes of burnout in a job by identifying the specific aspects of the job that create stressful situations. In order to limit the stress of our jobs, Renninger and Stinson (2005a) offer stress-relieving suggestions in *Ten Ways to Reduce Organizational Stress for a More Positive Place to Work.* Grant professionals need to know ideas that can help them keep perspective in a very stressful workplace. .

Although it is recognized that the philanthropic profession has ancient roots (Givens, 2004b), the profession must look to the future as well. In *Young People Fuel Demand for*

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*Nonprofit Study,* Josly (2004b) notes that programs in nonprofit management, which began in the early 1980s, have experienced explosive growth due to the changes in the philanthropic world. Nonprofit management concerns have become an issue because the programs are not overseen by an accrediting body. New efforts are underway to make it easier to evaluate nonprofit management programs.

In addressing the future for the grant profession, Stinson & Renninger (2007) examine occupational regulation, registration, credentialing, and certification in the article *Occupational Regulation of the Grant Profession.* These terms have become popular buzz words of the past decade and continue to be a current topic of great professional interest. This article defines the occupational regulation terms, briefly reviews the historical process of professional credentialing, and provides discussion of the future direction of occupational regulation for the grants profession. The current state of occupational regulation is compared with the evolution of other professions to infer some potential future pathways.

Issues arise in any competitive field, and Dr. Goodwin Deacon asks the questions of who should bear the burden of risk in a competitive field with no guarantee of funding success (Deacon, 2004). The author looks at percentage fees, commissions, and contingency fees as the "troll under the bridge" of the grant profession. Dr. Randal Givens takes the questions one step further when he states that social capital is important for two reasons: Employers are interested in gaining "capital" and there is a social perspective involved in grantsmanship. The grant professional falls into the category of people who would nurture, so we must seek the true and real capital (Givens, 2004a). Although the field is competitive and variations occur across states as well as in each area of specialty from education to health, commonalities exist. In *The Grant Profession: Avoiding Common Pitfalls,* Renninger (2005) notes that we can learn from each

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other and avoid some common pitfalls of our profession by maintaining a high degree of professionalism and becoming a well-informed grant professional.

In the nonprofit world, the grant profession may be found in organizations of all sizes and compositions. Many smaller organizations are manned by one development professional. In *I Am My Own Development Office,* Shelly Uva (2004) offers suggestions for organizing and prioritizing projects. Uva concludes with the sage advice that when we are required to wear more than one hat, we must make sure that those hats complement each other. Other organizations may not be able to afford to hire a full-time grant professional, but may contract for specific grant proposals. In *Freelance Grant Writers,* Uva (2005) offers logical yet essential questions that should be asked when hiring a free lance grant writer. She walks the reader through hiring decisions, agreements for the service, and typical stumbling blocks in the relationship. The article concludes with the key element for success, which is continual and open communication.

## Grant Management

Grant management refers to gathering and reporting the data needed once a proposal is developed and funded. This is the implementation portion of a funded project and even in organizations where the grant professional is not the project manager, the grant professional's role can include interpreting intent, compliance to the proposal, and implementing the evaluation component until the project is completed. For other grant professionals, the management component is as much a part of their responsibilities as the development activities.

In addition to the reference books listed in the research topic, books and articles can offer sage advice to the grant manager. *Grant Winner's Toolkit: Project Management and Evaluation* (Quick & New, 2000c) covers the organization and management concerns of large corporations: action plans, project strategies, realistic budgets, project efficiency, hiring qualified project

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managers, evaluation process, data analysis, replicating programs and much more. It includes a disk with customized forms, worksheets, and spreadsheets so the grant professional can mainstream the project. Fortunately, the grant professional is greatly aided by technology to manage and maintain accurate records. Boice (2006a) suggests that in measuring effectiveness and efficiency, staff members need to calculate on-the-job effectiveness toward reaching their mission. Boice finds that current technology allows staff members to measure organizational performance and document accountability.

In their enthusiasm to develop a successful proposal, many teams are not quite as prepared for implementation as they should be. Cheryl Kester (2005) asks, "Where is the line in the sand between the grant development and grant management?" (p. 21) in *You've Got the Grant, Now What? Post-Award Administration and the Grants Professional.* Kester proposed a post-award meeting as the method to remove assumptions and clearly delineate the management roles. Along with the management of a funded project is the dissemination component. In *Show and Tell: Disseminating Evaluation Results,* Erin Fitzgerald (2005) offers good advice based on personal experience. After completing a three-year program evaluation, examining raw data, and compiling a report, Fitzgerald offers some advice on the evaluation process. The article includes information on what information will be needed, sharing the evaluation results, and assessing the quality of dissemination activities.

The articles described in this section are all similar in their description of grant professional activities. These articles also point to the need for additional research-based materials for the field in grant management.

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Compliance and Regulations

Along with grant management of awarded projects, compliance and regulation references are important for the grant professional. It is essential for every individual to not only be aware of the references but to also know how to use them to ensure the highest standard of both development and management.

In *Nonprofit and Foundation Accountability: What Are the Roles of Government, the Nonprofit Sector Itself, and Boards of Directors?* Brody (2004) examines the state attorneys general and the Internal Revenue Services noting that although regulatory, both encourage charitable services. *The Insiders Guide to Grantmaking* (Orosz, 2000) discusses the importance of ensuring compliance. These regulations are discussed in relationship to site visits, writing the funding document, presenting the funding project, managing the project, leveraging impact, initiative-based grant-making, and the ethical concerns of grant-making.

Reference manuals and materials include state compliance handbooks such as the Florida Department of Education *Financial and Program Cost Accounting and Reporting for Florida Schools,* known as the *Redbook 2001* (Florida Department of Education, 2001) and the Project Application and Amendment Procedures for Federal and State Programs, known as the Green Book (FDOE, 2005). The *Redbook 2001* provides Florida school districts with a uniform chart of accounts for budgeting and financial reporting. Topics include governmental accounting standards, program cost accounting and reporting, and school internal funds. States typically have a similar document. The Green Book describes the project application and amendment procedures for state and federal projects administered by the Florida Department of Education.

Federal education grant compliance would be listed in the U.S. Department of Education (2005a) *Education Department General Administrative Regulations* (EDGAR). EDGAR

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includes the Code of Federal Regulations, a codification of the rules published in the Federal Register (2006). The codification rules are listed by departments and agencies of the federal government. The code is divided into 50 titles that represent broad areas subject to federal regulation. For example, Title 34 relates to education and is composed of three volumes. All federal agencies have similar documents accessible through each federal department.

For federal grant compliance, the Federal Register is the official publication for rules, proposed rules, and notices of federal agencies and organizations. It also contains executive orders and other presidential documents. The Federal Register is published daily.

Each corporation and foundation has specific regulations for their grant competitions. These guidelines are usually part of the Request for Proposal (RFP). If they are not with the application forms and information, they can usually be accessed at each individual web site. If unable to locate the regulations, the grant professional may contact the organization's program officers. Ignorance is definitely not bliss when it comes to compliance.

## Professional Organizations

There are many organizations important to the grant professional. Some of these organizations address components of the full profession. Others, such as the American Association of Grant Professionals, are specific to the profession as well as comprehensive in their scope of skills and applications for the grant world. Members include consultants; grant professionals in health care professions, nonprofit organizations, government agencies, and education systems; funding agency officers; and representatives from many other sectors of the grant field. With members in every state, the national organization is breaking ground for the grant professional in ethics, standards, credentialing, chapters, professional research, published articles, national conferences, and professional development.

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The Council on Foundations (COF) is a membership organization for endowed, grant making organizations in the United States and in foreign countries. The organization provides networking opportunities, leadership expertise, and legal services to the foundation members.

Grantmakers for Effective Organizations (GEO) has more than 1,000 members representing more than 600 grant making organizations. The coalition is committed to building stronger and more effective nonprofit organizations. GEO states that they want to see philanthropy more effective and are willing to lead the change to make that happen.

The Grant Professionals Certification Institute (GPCI - pronounced "gypsy") is an affiliate 501(c) (3) public benefit corporation of the American Association of Grant Professionals (AAGP). It is dedicated to the identification of grant professionals who display outstanding expertise and ethical practices and the development of a certification process that meets and exceeds the psychometric standards for education and psychological testing.

The Grantsmanship Center, Inc. (TGCI) was founded in 1972 and has been an exemplary source of grantsmanship training and grant information. Training workshops are offered throughout the United States. Although they are not inexpensive, they are comprehensive and effective workshops. TGCI's membership is composed of individuals who have attended one of the previous training sessions.

Fundraising organizations are listed if they have some components relative to the grant profession. The Association for Fundraising Professionals (AFP) refers to themselves as the "standard-bearer" for fundraising professionals. Although some components of fundraising are similar for the grant professional, there are very distinct differences. It would be like saying that nurses and lab technicians are the same because they are both in the health care business. AFP preceded the American Association of Grant Professionals (AAGP) by about 35 years. During

that time, it was the most relevant organization to the grant profession, and the only option. Currently, many grant professionals are members of AFP as well as AAGP.

CFRE International was once an affiliate of AFP and served as the credentialing arm for the industry. CFRE International offers a credential for fundraisers and has a grant interest, but a heavier interest in the fundraising side of the industry. At once time, the CFRE exam was the closest credentialing system for the grant professional, and the only option. The American Association of Grant Professionals has used the CFRE exam and process as a best practice for their credentialing exam, which will be launched in 2007. Currently, many members of the grant profession carry CFRE certification.

One organization in particular, the Council for Resource Development, has dual members from both the foundation fundraising and the resource development sides of the community college. In some colleges, both are housed in the same department and their overlap is evident. In other community colleges, each department is so large that they function separately. Depending on the elected officers of CRD, the emphasis on fundraising or grants will shift in focus, although the organization tries to maintain a good balance and serve both professions.

Other professional organizations, not related to fundraising or the grant field, are listed as examples of other professional associations involved in credentialing since these organizations have established processes. Best practices of their processes will be examined and proposed as a model for the grant professional's post-certification process. One such profession with an established credentialing process is the American Council on Exercise, a nonprofit fitness certification and education provider. Since its founding in 1985, it has certified more than 200,000 health and fitness professionals. ACE also offers a clinical specialist certification for fitness professionals.

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The American Educational Research Association (AERA) focuses on improving the educational research and evaluation processes of all organizations. The members of this professional organization include educators, administrators, research directors, counselors, evaluators, graduate students, and behavioral scientists. The association also target persons working with testing or evaluation in federal, state and local agencies. Many aspects of the AERA are very relevant for grant professionals, especially those working in education or research organizations.

The American Psychological Association (2002) predominantly addresses the research component of the grant professional's responsibilities. The organization is appropriate to certain sectors of the grant profession. For example, someone in sponsored research at a university might wish to be a member of APA, but the APA might not be as relevant for the grant consultant. APA offers research grants through its foundation, the American Psychological Foundation (APF).

The Association for Research on Nonprofit and Voluntary Action (2006) is an international membership organization dedicated to fostering, through research, an understanding of the nonprofit sector, philanthropy, and volunteerism. ARNOVA's focus is to bring together theoretical and applied interests while providing research for scholars and nonprofit professionals.

The National Association of School Psychologists organization was established for school psychologists. The organization offers support to leaders in the field working to enhance the mental health and educational competence of all children.

Some organizations are specific to the certification and post-credentialization process. The National Organization for Competency Assurance (2003) promotes a high standard of

competency assurance for practitioners in all occupations and professions. They strive to be an international leader in competency through education, research, and high standards. In addition, NOCA encourages the public to carefully examine degree programs by asking four questions that examine the intended outcomes and the means they use to deliver those outcomes.

The National Commission of Certifying Agencies (NCCA) serves as an authority on accreditation standards for professional certification organizations and programs. They list close to 100 professional organizations that are accredited to serve as certification agencies for their profession (NCCA, 2006). NCCA uses a peer review process to establish accreditation standards, evaluate compliance with the standards, recognize organizations and programs that demonstrate compliance, and serve as a resource on quality certification.

Grant-Related Programs in Higher Education

Higher education grant programs became important as the need for professional education and recertification in grantsmanship became evident. Until recent years, grant professionals were listed as a component under nonprofit management. Mirabella and Wish have published many articles, including The *"Best Place" Debate: A Comparison of Graduate Education Programs for Nonprofit Managers* (Mirabella & Wish, 2000). The authors conducted what is known as the "Seton Hall Study." They examined the advantages and disadvantages of various nonprofit management degree programs in colleges of business, public administration and social work. Their goal was to determine if there was a more appropriate location for nonprofit management education programs within the university. In addition, they sought to identify the major curricular elements in each type of program and to compare those programs with generic management degree programs. Based on the curricular review, the authors sought to determine if one setting would emerge as more favorable for students of nonprofit management.

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The Seton Hill study served as the basis for Caldwell's "Majoring in Philanthropy" (2004) published in *The Chronicle of Philanthropy*. Caldwell reported that more students are graduating from nonprofit programs. With a greater emphasis on effective management, there is a growing interest in courses to train nonprofit leaders. Students have a choice of online education, multidisciplinary studies, and scholarly research. The *Chronicle* reported on four additional articles in the same January 8, 2004, issue, all examining nonprofit management programs.

*New School University Program Emphasizes Advocacy* (Gardyn, 2004) reported that Milano Graduate School is one of the oldest nonprofit management programs of its kind in the country. In 1970, Milano offered a master's of professional studies in fund-raising management. In 1984, responding to the demand for training that went beyond fundraising, the New School broadened the program into a master's of science in nonprofit management. The program has one unusual aspect in that students travel abroad to observe nonprofit organization in other countries. Gardyn reports that even though it has one of the oldest programs, New School makes sure that its program changes along with the ever changing world (2004).

*Young People Fuel Demand for Nonprofit Study* (Joslyn, 2004b) noted that programs in nonprofit management, which began in the early 1980s, have experienced explosive growth due to the changes in the philanthropic world. David O. Renz, president of the Nonprofit Academic Centers Council, stated that many young people were exposed to charities through school community service requirements. The events of September 11, 2001, intensified young people's interest in serving society and increased interest in nonprofit management. In November 2004, the Nonprofit Academic Centers Council unveiled its new curriculum guidelines for nonprofit management programs. Joslyn wrote a second article in the same issue entitled *Stanford's*

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*Public-Management Program Emphasizes Social Responsibility* (Joslyn, 2004a). In this article

the author reconfirmed that more people are seeking to major in nonprofit public management.

Since Stanford's Graduate Business School started to offer a public-management certification

program in 1971, the program has grown rapidly. Stanford awarded 18 certificates in 2000, but

awarded 92 certificates three years later. Stanford's reputation may be the biggest benefit, but the

business degree may prove more useful in day-to-day operations for the nonprofit leader. Even

those Masters in Business Administration (MBA) students who do not enter nonprofit

employment will come out with a commitment to volunteering and social responsibility.

The last article in the series, *Convenience of Online Education Attracts Midcareer*

*Students* (Kerkman, 2004), found that students can enroll in an increasing variety of online

programs and courses, including nonprofit management. For those students with family

obligations who must work full time, online education is convenient. Many online students state

that their priority in seeking a degree was convenience. For others who are "place bound," online

courses offer access to programs that might not be offered in their community.

The lack of higher education programs specific to the grant profession is evident. In this

dissertation, an initial survey of higher education programs was conducted. The initial results

show a slight increase in programs that specifically mention or target the grant profession. With

the 2007 grant professional certification, it is anticipated that the field will see a steady increase

of optional programs and possibly additional degree programs of study.

Certification and Recertification Processes

Many of the organizations mentioned in the professional organizations section of this

literature review have developed manuals to assist their candidates in the post-credentialization

process. Many of these will serve as good models for the grant profession to develop

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recertification process for grant professionals. The American College of Sports Medicine offers

an *ACSM Candidates Manual* (2006). ACSM was established in 1954 for health fitness directors

and instructors. The *ACSM Candidates Manual* offers policies and procedures for certification

and recertification in the organization's nine programs. These programs include ACSM Program

Director, ACSM Health/Fitness Director, ACSM Certified Personal Trainer, ACSM

Health/Fitness Instructor, ACSM Exercise Specialist, ACSM Registered Clinical Exercise

Physiologist, ACSM Exercise Test Technologist, ACSM Group Exercise Leader, and ACSM

Exercise Leader/Army.

APICS (Advancing Productivity, Innovation, and Competitive Success), The Association

for Operations Management, developed *The Certification Maintenance Bulletin* (2006). APICS

was established in 1957 and offers this publication as an official guideline for accepted activities

and points earned for certification and recertification. Participants are encouraged to use

the APICS *Professional Development Journal* to keep track of their professional development

points.

Certified Fund Raising Executives' *Candidates Handbook* (2006) provides a guide for

the fundraising professional. Here the executive can find procedures and policies on meeting the

Continuing Education Credits needed for recertification. The handbook also outlines testing as

well as other recertification information.

As the recognized expert on credentialing, the National Organization for Competency

Assurance (NOCA) has developed *The NOCA Guide to Understanding Credentialing Concepts*

(Durley, 2005). The *NOCA Guide to Understanding Credentialing Concepts* was developed to

assist in the understanding of terms and concepts as well as the correct usage of credentialing

terms. The targeted audience includes legislators, educators, employers, credentialing agencies, professionals, and the public.

A brochure was developed by the Federal Trade Commission (FTC) entitled *Avoid Fake-Degree Burns by Researching Academic Credentials* (2005) to educate businesses on avoiding diploma mills where candidates can buy degrees. The focus of the brochure is on academia, but the information is appropriate for all to watch for identifiable red flags.

Many professional organizations involved in credentialing offer information on their websites. For example, the Advanced Certified Fundraising Executive (2006) organization has information on their website at www.afpnet.org. The ACFRE program is part of the Association of Fundraising Professionals (AFP) and is administered by the ACFRE Professional Certification Board. Certification as ACFRE requires successful completion of four stages of an identified process that includes an application, a written exam, a portfolio, and an oral peer review.

Health industry organizations have very stringent certification requirements. The American Academy of Nurse Practitioners was established in 1985 and offers a National Certification Examination. The examination includes sections on health promotion, disease prevention and diagnosis, and management of acute and chronic diseases. Recertification is offered on a five-year renewal cycle by sitting for an exam or obtaining 1,000 hours of clinical practice and 75 hours of continuing education relevant to the nurse practitioner area of specialization (2006).

The American Association of Critical-Care Nurse Certification Corporation offers certifying and recertifying for nurses who offer care of acutely and critically ill patients and their families. The AACN Certification Corporation (2006) has three credentialing programs for Adult, Neonatal and Pediatric Nurses CCNS, CCRN, and Progressive Care Certified Nurse.

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The American Board for Occupational Health Nurses, Inc. (ABOHN) was established in 1972 as a certification board (2006). The program was established for qualified occupational health nurses. ABOHN is a charter member of the American Board of Nursing Specialists (ABNS) and their certification program is approved by the National Commission of Certifying Agencies (2006). ABOHN offers three credentials: Certified Occupational Health Nurse, Certified Occupational Health Nurse- Specialist, and Certified Occupational Health Nurse/Case Manager or Certified Occupational Health Nurse - Specialist/Case Manager (ABOHNS, 2006).

The American College of Sports Medicine Certified Personal Trainer (ACSM) was founded in 1954 and currently has more than 20,000 international, national, and regional chapter members (2006). These members are committed to the diagnosis, treatment, and prevention of sports-related injuries and the advancement of the science of exercise. ACSM offers Heath Fitness Certifications (Certified Personal Trainer and Health/Fitness Instructor) and Clinical Certifications (Exercise Specialist and Registered Clinical Exercise Physiologist).

The American Nurses Credentialing Center Commission on Certification (ANCC) offers a large number of credentialing programs. The following programs are accredited under the NCCA Standards for the Accreditation of Certification Programs: a) Acute Care Nurse Practitioner, b) Adult Nurse Practitioner, c) Ambulatory Care Nursing, d) Cardiac Vascular Nurse, e) Family Nurse Practitioner, f) Gerontological Nurse, g) Gerontological Nurse Practitioner, h) Informatics Nurse, i) Medical Surgical Nurse, j) Nursing Administration, k) Nursing Case Management, l) Nursing Professional Development, m) Pediatric Nurse, n) Pediatric Nurse Practitioner, o) Perinatal Nurse, and p) Psychiatric and Mental Health Nurse.

The American Society of Association Executives (ASAE) and The Center for Association Leadership (2006) provide a variety of resources, learning experiences, and other

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tools to help ASAE members maximize their performance. The organization offers association

magazines, expositions, forums, journals, and an association center. Membership includes 22,000

members composed of CEOs, staff professionals, and industry partners in nearly 11,000

organizations. ASAE offers the Certified Association Executive (CAE) credential and the

Association Management Company Accreditation program.

APICS, the Association for Operations Management certifications are recognized

worldwide as standards of professional excellence and quality within the manufacturing and

service industries. The marketing brochure for the certification programs, *Sharpen Your*

*Professional Edge* (2006), explains the effective means for members and constituents to further

their professional development. APICS offers three certification programs: Certified in

Production and Inventory Management, Certified Supply Chain Professional, and Certified in

Integrated Resource Management.

The Board for Orthotist/Prosthetist Certification (BOPC) offers four certifications. The

renewal cycle is every five years and the points for recertification range from ten to 75 points

depending on the certification (BOCO 75 pts, BOCP 75 pts, COF, 40 pts, and CMF 10 pts for

recertification) (2006).

Since its establishment in 1986, the Certification Board for Music Therapists (CBMT)

serves as the only organization to certify music therapists to practice music therapy nationally.

More than 4,000 individuals have obtained the Music Therapist – Board Certified (MT-BC)

credential and now participate in a program of recertification designed to maintain or increase

initial competence in the profession of music therapy (2006).

The Certified Financial Planner Board of Standards, Inc. (CFP) was established in 1985

and has a *Code of Ethics and Standards of Practice* and *Disciplinary Rules and Procedures*

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(2006). CFP began by offering a comprehensive examination to test the knowledge gained from the personal financial planning curriculum. They now offer the Certified Financial Planner (CFP) certification. In 1990, the organization established an International CFP Council.

The Certified Fund Raising Executives (CFRE) once offered certification under the Association for Fundraising Professionals. In 2001, CFRE became an independent organization and offers one certification and exam for the fundraising professional. The renewal period is on a three-year cycle and participants must obtain 170 points for recertification (2006).

The International Society of Mine Safety Professionals (ISMSP) was established to ensure the health and safety of international mining community professionals. The organization strives to save lives and reduce injuries through better leadership, planning, and practice. ISMSP offers two credentials: the Certified Mine Safety Professional (CMSP) and the Mine Safety Professional (MSP). In addition, ISMSP offers exam review courses and training in preparation for the CMSP or MSP examinations (2006).

Case Management is a specialty practice under the health and human services profession. The Commission for Case Manager Certification (CCMC) offers a Certified Case Manager (CCM) credential. CCMC supports its certificate holders by encouraging ongoing professional development and continuing education (2006).

The Dental Assisting National Board (DANB) offers three credentials to the Dental Assistant professional: a) Certified Dental Assistant, b) Certified Orthodontic Assistant, and c) Certified Dental Practice Management Administrator. In addition to these three national credentials, DANB offers Certificates of Competency in Radiation Health and Safety (RHS) and Infection Control (ICE). DNAB was established in 1948 and strives to serve the public good by providing qualified and competent dental assistants (2006).

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The National Board for Certification in Occupational Therapy (NBCOT) strives to develop, administer, and review a certification process for occupational therapists that reflect standards of practice in the profession (2006). In addition, NBCOT works with state regulatory authorities, providing information on credentials, professional conduct, and certification renewal issues. NBCOT offers two certifications, the Certified Occupational Therapy Assistant (COTA) and the Occupational Therapist Registered (OPT).

Established in 1975, the National Certification Corporation (NCC) offers ten certifications in Inpatient Obstetric Nursing (INPT), Maternal Newborn Nursing (MN), Low Risk Neonatal Nursing (LRN), Neonatal Intensive Care Nursing (NIC), Telephone Nursing Practice (TNP), Women's Health Care Nurse Practitioner, Neonatal Nurse Practitioner, Reproductive Endocrinology/Infertility Nurse, Ambulatory Women's Health Care Nurse, High Risk Obstetric Nurse, and Maternal Newborn Nurse (2006). The recertification period is on a three-year cycle and can be obtained through reexamination of 45 hours of continuing education.

The National Commission for the Certification of Crane Operators (NCCCO), established in 1995, offers three certifications: Mobile Crane Operator, Tower Crane Operator, and Overhead Crane Operator. Applicants must obtain 1,000 recertification points every five years in order to maintain their certification (2006).

The Project Management Institute (PMI) focuses on project management professionals worldwide, with more than 200,000 professionals representing 125 countries. PMI professionals come from virtually every major industry, including aerospace, automotive, business management, construction, engineering, financial services, information technology, pharmaceuticals, healthcare, and telecommunications (2006). The Professional Management

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Professional (PMP) organization includes a Certified Associate in Project Management (CAPM), ProductSuite (OPM3) and a new credential for individuals managing programs.

The Registry of Interpreters for the Deaf (RID) was established in 1964 and offers five certifications (2006). Participants must obtain 90 continuing education credits every three years for recertification. The current RID National Testing System (NTS) certifies participants in Certified Deaf Interpreter (CDI), Certified Deaf Interpreter - Provisional (CDI-P), Oral Transliteration Certification (OTC), and Specialist Certificate: Legal (SC:L).

In addition to professional websites, reference manuals and materials have been developed to help candidates with their recertification. These offer helpful information that the grant profession can access. The American Society of Association Executives Industry Research, *Policies and Procedures* (2006), is a valuable benchmarking tool containing over 65 tables of data on conventions, meeting logistics, education programs, certification, and accreditation. An organization can compare how it measures up against other organizations of similar size and type in the professional development area. The 65-page book contains 17 pages of information on certification, accreditation and licensing.

The National Organization for Competency Assurance (2003) has created a CD entitled *Certification Essentials: What Every Certification Sponsor Should Know.* This CD contains the basic information for maintaining a certification program. It also includes videos of all speaker presentations and PowerPoint slides from the Oct. 1, 2002, NOCA workshop. The basic program information includes job analysis, test development, test administration, test scoring and reporting, and certification renewal.

In addition to the professional organizations and the materials they provide, some journal articles share their experiences with the credentialing process. When the International Health,

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Racquet and Sportsclub Association (IHRSA) recommended that only certified personal trainers be hired by exercise club owners, the American Council on Exercise (2006) wrote an article responding to members' questions with the goal of explaining their recommendations. Specifically, their association members were concerned about education, certification, accreditation, and licensure. Some of the information and the explanations on the credentialing process are relevant to other credentialing organizations as well.

The certification programs and the organizations' selection of the appropriate Internal Revenue Service (IRS) status are crucial to their operation. In the article *IRS Determines Certification Programs Constitute Unrelated Trade or Business for Section 501(c)(3) Organizations,* Cobb and Tai (2004) report that the IRS determined that an organization's certification program, under IRS section 501(c)(3) of the Internal Revenue Code, constitutes an unrelated trade or business. Since most certification programs were designed to primarily serve the interests of a profession, the IRS determined that the program did not accomplish one or more charitable purposes within the meaning of section 501(c)(3). New certification programs intending to implement certification programs as a primary activity may wish to consider applying for exemption under section 501(c)(6). An existing section 501(c)(3) organization that has a certification program should carefully review that program to make sure there are clear charitable goals.

Along with the IRS concerns, legal issues should also be considered as they apply to the certification process. Jeffrey Tenenbaum, Esquire (2002), presents an overview that describes some of the risks and liabilities involved in certification and accreditation activities in his article *Association Certification and Accreditation Programs: Minimizing the Liability Risks.* He developed 25 guidelines that certifying organizations should follow in establishing and managing

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their certification programs. In addition, he reviews five areas of liability risk: antitrust, negligence (liability to third parties), due process, defamation, and Americans with Disabilities Act (ADA) Compliance.

In the article *Legal: Certification Programs as a Reflection of Competency*, Jefferson Glassie questions whether a certification examination and meeting other criteria for certification demonstrates that the individual is a competent professional (2003, June). Mr. Glassie warns that there are legal ramifications (issues in malpractice or errors and omission disputes) and organizations should use caution in their claims that the individual is a competent professional when they pass the certification process. This question should be considered by the grant profession in ensuring that a full menu of rigorous evidence is required for certification, and not just an exam.

In the article *Certification Appeal*, Lenora Knapp and Michael Gallery (2003) attest that many organizations see certification as a potential non-dues revenue source, but warn that those organizations should first consider all the costs associated with certification. The costs include not only the series of subject matter expert meetings, but also the test development sessions as well. With an increasing number of professional certification programs emerging, many organizations are establishing themselves as standard bearers for their profession or industry. The National Organization for Competency Assurance (NOCA), a membership organization for certifying organizations, has 300 members representing six million certificate holders. Remarkably, no formal statistics are maintained on the number of certification programs in existence. Lenora Knapp also co-authored the article, *The Business of Certification: A Comprehensive Guide to Developing a Successful Program* (Knapp & Knapp, 2002). This resource, designed by certification experts, gives an in-depth account of developing and

managing a certification program. The guide includes explanations on marketing, business and strategic plans, global certification, and transitioning to computer-based testing. The resource also includes a supplemental toolkit.

In *Certification and Continuing Education: Not Just a Job,* Lagasse (2006) suggests that people starting out in the field with the potential to become career professionals are often those who actively seek educational and career development opportunities. In addition to continuing education and earning advanced degrees, the future professional will also seek certification. The author encourages the reader to think about his chosen profession, decide whether he wants to dedicate additional time and effort to furthering his career, and identify his long-term goals.

As with any organized process that involves fiscal implications, there are always those who make unfair use of the market. The National Organization for Competency Assurance (NOCA) reviewed the brochure by the Federal Trade Commission (FTC) on diploma mills. After the review of the FTC's warning, NOCA made three recommendations in their article *Will so-called "diploma mills" impact your certification program and certificants? FTC Warns Consumers about "Diploma Mills"* (2005): a) review the market to find out what certificates are being offered; b) identify the value the credential has in the market; and c) identify the key audience and determine how they get their information.

Technology has offered many advantages for the grant professional. One of the considerations is how to use technology in the grant professional certification examination process. In the article *Certification Testing: Still Waiting for Home Delivery,* Porter (2001) states that management leaders looked into browser-based Internet testing for their certification. Although the idea of using technology was appealing, they determined that certification program examinations still required proctors for security. But even with concerns that arise, associations

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around the world report an improved confidence in their members through the development of accreditation programs. Swift (2005) reports in the article *Global Accreditation: Building Confidence in Personnel Certification Programs* that the American National Standards Institute has aided in this improved confidence in the capabilities of their member service professionals in our global community.

CHAPTER 3

METHODOLOGY

The grant professional's certification examination will be offered in November 2007 and at this point the post-certification system is not in place. The recommendations in this dissertation will serve as the groundwork for the post-certification process for the grant profession and result in a recertification handbook proposal. As an executive board member of both the membership and certification organizations, this researcher was able to coordinate efforts with the work of both organizations. In addition, research data being generated by both organizations were accessible for this dissertation.

The main source of data for the dissertation was gathered from the websites and recertification handbooks of organizations involved in credentialing processes. The organization's post-certification plans each outlined the Continuing Education Unit (CEU) process and the criteria for recertification required by that association. The information from each organization was compared in order to identify best practices in the fields that could be recommended to the grant profession. Information was also collected through an examination of the Fund Raising Executives' certification and recertification processes. With 20 years of development behind this organization, quite a few of the processes and procedures have been honed. Other organizations that deal with the validity and verification of the credentialing process, such as the National Commission of Certifying Agencies, were also studied.

Overview

This researcher used a non-experimental design in this dissertation, sometimes called survey research, naturalistic research, observational research, ex post facto research, or epidemiological research (Rudestam & Newton, 2001; Wiersma & Jurs, 2004). Information

gathered were samples of convenience and those that were available to the researcher via the organizational websites and organization's recertification handbooks. The cases were not randomly assigned to treatments for they occurred naturally, and extraneous variables were not controllable in the procedure.

<center>Restatement of the Problem</center>

The research in this dissertation involved identifying organizations that have credentialing and recertification processes, reviewing their requirement and criteria for CEUs in those processes, analyzing those requirements to identify commonalities or best practices among the processes, and designing the recertification process for the grant professional post-credentialization plan.

Research questions were stated to first examine the requirements used by other organizations in their post-certification processes. Those questions included: a) What are the requirements for recertification used by other professional organizations? b) What is the design of their CEU process? c) How are workshops and training validated in the recertification process? d) How are courses and higher education programs accepted for recertification?

The research questions then were used to analyze the information gathered and asked: a) What renewal cycle is most commonly used? b) What are some of the common recertification practices used? c) Which requirements for recertification are most acceptable and appropriate to a majority of the other organizations?

Once the information was gathered and analyzed, a new recertification process was planned and will be recommended for the grant profession. The research questions included: a) What is the most appropriate renewal cycle for the grant professional recertification process? b) What will be the design of the grant professional CEU process? c) What will be the process and

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standards for accepting workshops and training? d) What will be the criteria for accepting courses in higher education that meet the standards for the grant profession? In order to ensure that the suggested plan addresses the concern for the wide variety of professionals in the field, a custom designed process was developed.

<div align="center">Statement of Hypotheses</div>

The proposal in the dissertation was to develop a post-credentialization plan and recertification process. Statistical data were not collected or analyzed, but rather development research was conducted. Information was gathered predominantly from organization websites. The grant profession needed a custom designed post-credential process for its diverse membership that reflected the standards of the grant profession and included optional methods of achieving necessary points toward certification. It was discovered that among those options, the courses and programs currently offered by institutions of higher education do not fully reflect the skills needed for the grant professional and were focused more on the fundraising professional. With this observation taken into consideration, one of the necessary products of this dissertation was the method of validation for assuring that the post-credentialization process was unique, comprehensive, and yet standardized for the profession. In this qualitative study, it was found that the commonalities in the grant professional's plan and that of other organizations were more prevalent than the differences.

<div align="center">Description of Research Design</div>

The research involved in the dissertation entitled *Development of a Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession* was an exploratory study. The research design included gathering information about the post-credentialization process of other organization. Statistical analysis was performed on that

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information in order to look for commonalities and best practices in current applications. This is

referred to as a "statistical power technique" and is also directly influenced by sample size

(Wiersma & Jurs, 2004). In order to address this concern, an analysis was first conducted on

seven organizations. The sample size was increased and comparisons were made to determine if

the larger pool of information changed the initial analysis results. This analysis was also used to

determine the sample size needed to enable accurate and reliable statistical judgments. In a

power analysis, a sample size that is too low may lack the precision to provide a reliable

analysis, and too high a sample may result in wasted time and resources for a minimal gain

(Wiersma & Jurs, 2004).

The organizations were first listed in a database of 78 organizations predominantly

registered with the National Organization for Competency Assurance (NOCA). This registration

provided assurances of credible credentialing exams with sound post-credentialization processes.

The continuing random selection of organizations used a process in which the organizations were

listed alphabetically and assigned an ordinal number, and 14 numbers were drawn to represent

the information in the database. Table 6 shows the profile of the 14 randomly selected

organizations.

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Table 6:

Profile of Randomly Selected Organizations

| Case # | Data base # | Name | Type of Organization | Year Established | Number of Certifications |
|---|---|---|---|---|---|
| 1 | 2 | American Academy of Nurse Practitioners (AANP) | Health | 1985 | 1 |
| 2 | 5 | American Board for Occupational Health Nurses, Inc. (ABOHN) | Health | 1972 | 4 |
| 3 | 11 | American College of Sports Medicine (ACSM) | Sports | 1954 | 9 |
| 4 | 16 | APICS The Association for Operations Management | Management | 1957 | 3 |
| 5 | 19 | American Society of Association Executives (ASAE) | Leadership | 1960 | 2 |
| 6 | 22 | Board for Orthotist/Prosthetist Certification (BOPC) | Medical | 1984 | 4 |
| 7 | 26 | The Certification Board for Music Therapists (CBMT) | Music | 1986 | 1 |
| 8 | 31 | Certified Fund Raising Executives (CFRE), CFRE International | Fundraising | 1982 2001 | 1 |
| 9 | 41 | Dental Assisting National Board, Inc. (DANB) | Dental | 1948 | 4 |
| 10 | 58 | The National Certification Corporation | Health | 1975 | 10 |

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| Case # | Data base # | Name | Type of Organization | Year Established | Number of Certifications |
|--------|-------------|------|----------------------|------------------|--------------------------|
|  |  | (NCC) |  |  |  |
| 11 | 60 | National Commission for the Certification of Crane Operators (NCCCO) | Construction | 1995 | 3 |
| 12 | 68 | National Strength and Conditioning Association (NSCA) | Sports | 1985 | 3 |
| 13 | 74 | Project Management Institute (PMI) | Management | 1969 | 4 |
| 14 | 76 | Registry of Interpreters for the Deaf (RID) | Social | 1964 | 5 |

Source: Organizational websites listed in References

In this initial analysis, four factors were examined: a) the number of years the organization has been in existence; b) the number of certifications offered by the organization; c) the number of points required for recertification; and d) the duration of the recertification process. These four factors were used for all 14 selected organizations.

Operational Definition of Constructs and Key Variables

The information on the 14 organizations was analyzed using a descriptive statistics approach. This allowed a comparison of values of the different measures of central tendency. In looking at the variables in recertification processes, the different measures of central tendency include the value that occurs most often (mode), the middle value (median), and the sum of all values divided by the number of cases (mean). For comparisons, that analysis was best expressed using a bar graph to offer a visual demonstration of the results. The values were entered as

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individual cases and the presentation was one of a simple bar graph style rather than clustered or stacked bar graphs. The comparison of data approach will be relevant for determining the averages, such as the average renewal cycle and the average points required for renewal.

The examination of variables revealed patterns that helped in the development of the post-certification plan for the grant profession. Basing the plan on averages and best practices in the various industries enabled the researcher to establish a plan that will be sustainable and durable over time. A further examination of the fundraising profession, the most similar profession to the grant profession, allowed this researcher to make comparisons of the current results to a similar industry standard.

<div align="center">Description of Materials and Instruments</div>

The dissertation entitled *Development of a Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession*, an exploratory study, examined materials and information developed by organizations involved in a credentialing process. No instruments were developed in this dissertation, but information was assembled in a spreadsheet format and then analyzed. The collections also included information from the National Commission of Certifying Agencies (NCCA) and the National Organization for Competency Assurance (2006) websites. The information gathered was analyzed using SPSS (Norusis, 2003) and did not involve the development or creation of any instruments, tests, nor response forms. The final product, a post-credentialization plan, will be presented as a handbook to the American Association of Grant Professionals (AAGP) and the Grant Professionals Certification Institute (GPCI) for use in the recertification process for grant professionals.

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Selection of Subjects

This study will not utilize humans or animals as participants. All information will be gathered from the Internet, websites, and handbooks. The selection criterion for the organizations to be examined will be that the organization must have a credentialing process and recertification plan either in place or in development. It was anticipated that the only contact with any of the selected organizations would be through e-mail messages to clarify printed information. It was found that ample information and clearly defined processes were available through the Internet and no contact was required. Contact with AAGP or GPCI did continue throughout this dissertation proposal to discuss the development of the plan.

Procedures

Three main tasks were encompassed in this study: a) identify organizations that have credentialing and recertification processes; b) review best practices of post-credentialization in other professions and gather information on the elements of their recertification plans; and c) develop the grant professional post-credentialization plan and recertification process (Chart 1). This author charted the information in order to discover the characteristics of the variables and the relationships among the variables. Comparisons were studied in order to determine best practices used by other organizations. The findings were reviewed and recommendations were made for the emerging grant profession. The final product of this non-experimental quantitative design is a post-credentialization plan and recertification process for the grant profession. The results will be assembled into a recertification handbook that will be presented to the American Association of Grant Professionals and the Grant Professional Certification Institute.

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Chart 1

The Non-experimental quantitative designs for the *Post-Credentialization Plan and*

*Recertification Process for the Emergent Grant Profession*

| Identify organizations that have credentialing and recertification processes | → | Review best practices of post-credentialization in other professions and gather information on the elements of their recertification plans | → | Develop the grant professional post-credentialing plan and recertification process |

Gather list of credentialing organizations

Identify post-credentialization plan

Analyze data to identify best practices

List elements of their recertification process

Select best practices of other organizations that would be appropriate for the grant professional plan and process

List renewal cycles

Identify how the board validates elements offered for recertification, such as various workshops or higher education programs

List CEU plans and processes

Complete the newly developed post-credentialing plan and recertification process for the emergent grant profession

Once gathered, the information was broken down into topics that were calculated using

SPSS. With this analysis, the information was compared and a proposed plan was formed for the

grant profession's post-certification process. The proposed plan was based on prevalent

characteristics of post-certification processes in other fields.

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The last step was a continuation of the effort to gather the data on professional development options and points that were also relevant to the grant field. This included conferences, workshops, or higher education programs. At this point in the study, a decision was made to examine the criteria used by other professions while comparing to the grant professional's standards developed in the certification process.

This non-experimental quantitative research reflected an ethnographic research study since it relied heavily on observation, description, and qualitative interpretation (Wiersma & Jurs, 2004). It occurred in the natural setting of the professional organizations and information was not gathered through an instrument, but gathered from the professional organizations' websites or handbooks. This research design did not have a strong theoretical base, but theories were generated as the data were gathered and analyzed.

### Discussion of Data Processing

All information gathered was compiled in a spreadsheet. Information was then reviewed and selected data were transferred to a database for analysis. Topics coincided with the most prevalent topics used by a majority of organizations who were involved in a credentialing process.

The information currently gathered in the organization spreadsheet was information most helpful in developing the *Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession.* The comparisons were very relevant for determining the averages, such as the average renewal cycle and the average points required for renewal. In addition, the database was useful in listing the methods used rather than running SPSS comparisons, since it appears that there are many variations to the post-credentialization processes. For this reason, a method to compare all the variables in the different post-credentialization processes was needed.

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Methodological Assumptions and Limitations

One of the fundamental concepts of recertification is the professional development plan and how the organizations measure that professional development. Each organization has its own plan that outlines what would be acceptable toward recertification points. The sample of 14 organizations involved in credentialing and recertification are reflective of the types of plans offered in the recertification process of organizations involved in credentialing.

The various interpretations of the value of the CEU are of some concern. In this study, a majority of the organizations used a value of 1 CEU = 1 hour. The International Association for Continuing Education and Training stated that the value of 1 CEU = 10 hours. In the dissertation entitled *Development of a Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession,* a decision will need to be made to either recommend: a) the value established by IACET of 1 CEU = 10 hours; or b) the industry standard established through an examination of Best practices, which currently appears to be 1 CEU = 1 hour.

The terms used for Continuing Education Units varied in the organizations studied and included CEU, Continuing Education Credits (CEC), Continuing Dental Education (CDE), Continued Music Therapy Education (CMTE), and Professional Development Units (PDU). But no matter what term was used, the consistent factors were that a plan exists, professional development points were obtained within a given time frame, and evidence of successful completion of that professional development was submitted. That consistent planning and implementing of a plan was of great help in developing the grant professional's post-credentialization process and professional development plan. This information added significantly to the dissertation *Development of a Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession.*

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In an examination of 14 organizations, 86% (n = 12) suggested higher education as a means of obtaining professional development or Continuing Education Unit (CEU) points. This poses a concern for the grant profession since historically there have not been higher education programs of study directly targeting the field. There are, however, programs of study for nonprofit management and fundraising. The number of these programs has increased over the years. The 1998 Seton Hall study, with the support of the Kellogg Foundation, found only 17 nonprofit management programs of study (Mirabella & Wish, 1999, Spring) and the January 2004 *Chronicle of Philanthropy* series identified 90 programs offered (Caldwell, 2004). In January 2005, a conversation on the American Association of Grant Professional forum centered on the topic of higher education programs and the variety of titles being used. It was noted that some courses and noncredit classes are specific to the grant profession, but most programs focus on fundraising. The information was compiled by Renninger and Stinson (2006) in the article *An Emerging Vocation: The Grant Profession*. Of the 34 institutions of higher education discussed, 40 programs were identified (Attachment A). The information was gathered under the categories of noncredit, certificate, credit, or leads-to-credit program. Surprisingly, the courses being offered were fairly evenly distributed amount the four categories (10, 11, 9, and 11, respectively), but not surprisingly, a majority of the programs were for fundraising professions or nonprofit management (n = 30), and a few (n = 15) mentioned grants or listed some grant skills, such as grant writing, as a component of the program. At the time, no degree program was specific to the grant profession, but further and updated searches would need to be conducted to broaden the scope of the inquiry and examine the field for more possibilities.

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The challenge for the grant profession in identifying higher education programs acceptable in a recertification plan will be in deciding how to validate the courses rather than trying to identify all the variations currently offered as in Attachment A. As outlined in their *Candidates Handbook,* organizations such as the Certified Fund Raising Executive (CFRE) place the responsibility on the shoulders of the individual to justify the CEU and educational activities (2006). Because of the variety of courses and course titles, as well as the meshing and separating of the two fields of grant and fundraising professions, a recommendation to the grant profession might be to consider adopting the policy that requires the individual to justify any courses being applied toward their recertification process.

Organizations are free to set their renewal cycle for recertification and define that choice in their policies for recertification. The Council for Fund Raising Executives (CFRE), for example, has chosen a three-year renewal cycle due to the rapid changes in the philanthropic field. Also, because of the variations in the different jobs in the philanthropic field, CFRE offers a menu of choices for recertification. The justification for the selected choices resides with the applicant. Although free to make individual choices, the CFRE applicant must meet requirements in the Education, Practice, Performance, and Service categories. These requirements are designed to show evidence of ongoing practice in the fundraising profession and to provide the CFRE board with a way to measure continued competence in the field. Considering that the grant profession is an emerging occupation full of changes and variations in its membership, the CFRE plan would be a logical selection for the grant professional as well, allowing flexibility and accountability for the recertification process. Under each of the well-defined categories of Education, Professional Practice, Professional Performance, and Service, CFRE candidates have

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flexibility to select methods for renewal. Examples would include calculating hours of professional performance; attendance at workshops, conferences, or seminars; retaking the examination test; enrolling and completing higher education courses; and documenting community service. Allowing flexibility within well-defined categories for accountability appears to be a good model for the grant profession as well. The additional requirement of community service is in alignment with the nature of a philanthropic organization.

The phrase stating that we do not need to "reinvent the wheel" seems appropriate in the development of the post-credentialization process for the grant profession. Although "reinventing the wheel" is sometimes important with break-through ideas or innovative processes, the methods required for the post-certification process need to be more documented and sound than innovative. For this reason, examining the best practices and standards in professional fields is very appropriate.

The Certified Fund Raising Executives (CFRE) organization supports a volunteer certification process, offers a generalist exam for demonstration of mastery of skills related to the practice, and provides a menu of choices for recertification. This supports and aligns with the goals of the grant professional. In addition, the four distinct headings listed under the recertification process allow for the variations and diversified needs of the organization's members; this also aligns with the needs of the grant profession. In addition to the recertification process of CFRE, the National Organization for Competency Assurance (NOCA) provides a membership organization for certified organizations. Under it affiliate, the National Commission for Certifying Agencies (NCCA), international accreditation standards have been established and are widely accepted by over 100 organizations. With these best practices available to the

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emerging grant profession, it would appear wise to adapt proven methods rather than "reinvent the wheel."

Ethical Assurances

In developing the dissertation on the post-credentialization plan and recertification process for the grant profession, the ethical policies and practices of each organization were reviewed. In that same assessment, the roles that ethics has played as the grant profession has emerged and in its future, were considered.

*The Role of Ethics in the Grant Profession*

Ethics refer to the rules or standards governing the conduct of a person or members of a profession (*The American Heritage Dictionary*, 2003). Ethical conduct remains a concern for all professionals in every field. In a recent article in *The Chronicle of Higher Education* (Langlais, 2006), a survey was conducted on ethical behavior. It was found that 39 percent of the respondents in one survey pool composed of American Physical Society junior members (those receiving their Ph.D. within the previous three years) said that, "as graduate students or postdoctoral fellows, they had observed or had personal knowledge of ethical violations." That is a sad commentary and just one example of a major concern in all professions. The respondents to the survey found that unethical conduct included such gross misconduct as plagiarism, data falsification, attributing credit to inappropriate authors in publications, and failing to name appropriate ones.

The grant profession has a particular concern with this information. In a profession where data gathering and writing are a way of life, data falsification and plagiarism are frightening thoughts for the grant profession. For this reason and because they understood the need for ethical standards in a developing profession, one of the very first tasks of the AAGP founding

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board members was to develop a *Code of Ethics* (Attachment B). AAGP believes that it is the · role of a professional association to communicate ethical standards for the professional members in the field (Renninger & Stinson, 2006). Along with the code, the AAGP Board of Directors and the AAGP Ethics Committee recently added the *Standards of Professional Practice* (Attachment B), outlining acceptable practices in the grant profession (AAGP, 2006b).

Many social scientists have espoused the need for a standard of ethics if a field is to develop as a profession. In the AAGP Monograph: *A Series of Papers on the Topic of Professionalization in the Grant Field* (2006c), one paper discussed the development of a profession (Annarino, 2006). The author lists social scientists that have supported the development of the code of ethics:

- As early as 1928, A.M. Carr-Saunders defined professionalism in terms of "specialized skill and training, minimum fees or salaries, formation of professional associations, and codes of ethics governing professional practice."

- Theodore Caplow believed that there are many steps in professionalization, one of which is the "development and promulgation of a code of ethics, which asserts social utility of the occupation and sets up a public welfare rationale, further eliminating the unqualified and unscrupulous."

- H. Wilensky (1964) is credited with defining the five primary structural attributes that define a profession, which include the "formation of a code of ethics concerned with both internal and external relationships."

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

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the bargaining chips to earn public trust and internally as an indispensable tool for internal control" (Tseng, 1992, p.49).

- According to Mikkelson (1996), professional associations become more influential over time and their codes of ethics becomes more sophisticated and are more strictly enforced. He goes on to note that if the enforcement is weak, the associations cannot be powerful and function properly.

*The Role of Ethics in the Future of the Grant Profession*

In alignment with the philosophies of the noted social scientists, the grant profession supports the need for ethical practices and defined ethical standards. At the AAGP 2006 National Conference in November 2006, the AAGP Ethics Committee continued the conversation and further defined the standards as well as the sanctions and enforceable grievance procedures for the profession.

Most developing organizations operate on the fringes of professionalization in their field. To truly move a field or occupation to a profession, certain criteria must be met such as proving membership, standards for professional conduct, training in the field, and a credentialing process (Annarino, 2006). The American Association of Grant Professionals and the Grant Professionals Certification Institute (GPCI), an AAGP affiliate organization, have conducted research to develop the first credential for the grant profession. In that development, Annarino (2005) identified actions that must occur in a field in order to move it toward a profession. Annarino first identified traits of a profession and conducted two informal focus groups to assess whether they felt there was no action in the field (Value 1), emerging or activity in process (Value 3), and action fully completed (Value 5), to each trait. The results of the study found that the Code of Ethics received a rating of "4." At the time of the survey, the results reflected that the standards

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for the Code of Ethics were not in place. In addition, the sanctions and enforceable grievance process were not developed, resulting in a trait rating of 4.

The Code of Ethics, standards, and grievance process are essential components in the formalization of the grant profession (Annarino, 2006). In addition, this information will be essential as a test development component for the credentialing exam and process. Although not fully developed, GPCI anticipates that the minimum eligibility requirements for the Grants Professional Credential (GPC) will include a minimum knowledge and skills related to all aspects of grant development and management, including ethics (Annarino & Blymiller, 2006). In alignment with both AAGP and GPCI, the post-credentialization process, developed under this dissertation, will need to maintain the same high standard and value for ethics in all aspects of the plan and process.

*Methodology and Procedures*

The target participants of the grant profession work in various locations across the nation and the variables within the grant profession include location, organizational type, years of service, and other variables that affect the decisions in developing the post-credentialization plan. Because of this diversity in the grant field, recommendations for the post-certification process needed to be comprehensive, custom-designed for variations within the membership, and standardized for the profession.

Needed information was gathered for the post-credentialization process to identify what currently exists that can be used by AAGP for Continual Education Unit (CEU) points. One challenge was in identifying higher education programs appropriate for the CEU process or how to validate the courses rather than trying to identify all the variations currently offered. That

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criterion was aligned with the standards of both the credentialing examination development process and the AAGP Code of Ethics.

Information was gathered on the procedures in place by other professionals in order to develop the Continuing Education Unit (CEU) process for the grant profession and a validation process for acceptable courses or workshops for CEU credits. Organizations that deal with the validity and verification of the credentialing process, such as the National Commission of Certifying Agencies, were also studied.

*Summary*

It is reassuring to know that the members of the grant profession value ethical policies and practices. Ethical standards have been at the forefront of decisions for the American Association of Grant Professionals, from its inception through the development of its Code of Ethics, and continuing into its credentialing process. It is encouraging to know that an emerging profession has the right values in place for its current activities and for its future activities as well.

The Northcentral University Ethics Committee can also rest assured in the knowledge that this researcher is not only an executive board member of the national organizations and upholder of the AAGP Code of Ethics, but also a founder of all three national grant professional organizations: The American Association of Grant Professionals (AAGP), The Grant Professionals Certification Institute (GPCI), and the AAGP Foundation. This status, and the fact that ethics have been the guiding drive behind the organizational goals and activities, can assure the Ethics Committee that the researcher has the proper credentials and responsibilities to conduct this dissertation in a professional manner (Appendix C)

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CHAPTER 4

FINDINGS

Using the 14 randomly selected organizations listed in Table 6, four of the factors that

were examined included: a) the number of years the organization has been in existence; b) the

number of certifications offered by the organization; c) the number of points required for

recertification; and d) the duration of the recertification process. Those four factors set the

baseline for identifying the best practices in the field that could be used as a recommendation for

the grant profession's post-credentialization process and recertification plan.

Variable a, the number of years the organization has been in existence, was surprisingly

high with the seven original organizations in existence between 21 to 49 years (Chart 2 - green

columns), with an average age of 34.6 years. With the addition of the seven new organizations

(Chart 2 - tan columns), the distribution of years the organizations have been in existence was

fairly consistent with an average of 33.5 years.

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Chart 2:

Number of Years the Organization Has Been in Existence
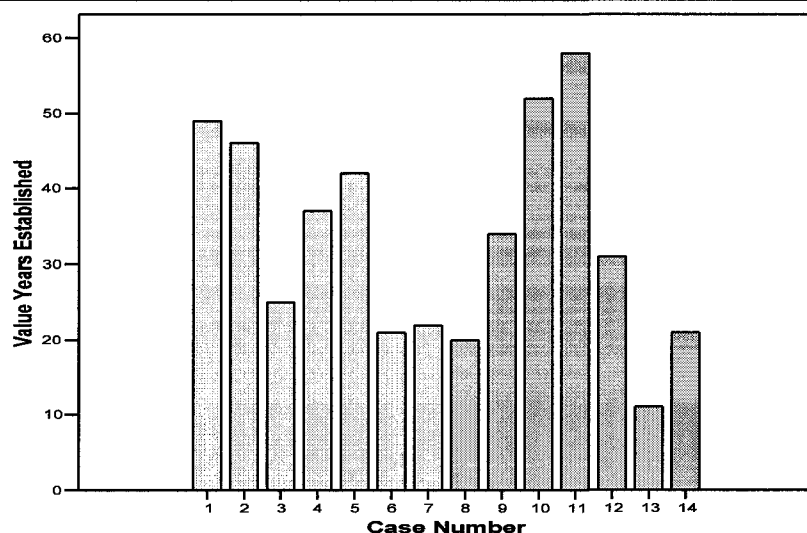


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Chart 3: The Number of Certifications Offered

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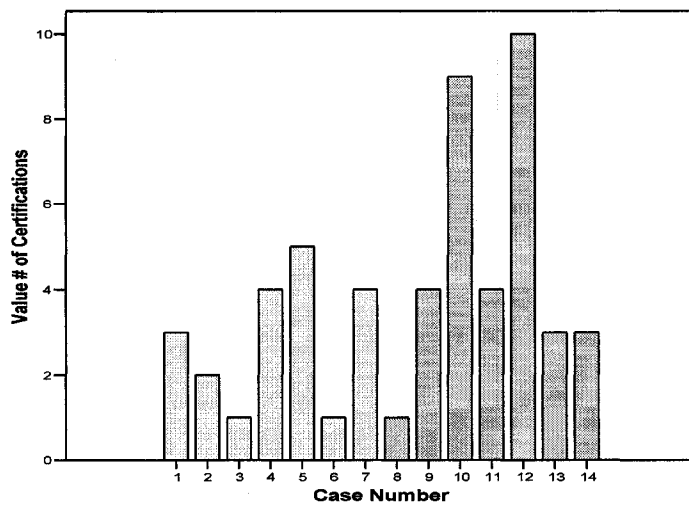


Variable b, the number of certifications offered by the organization, did not appear to

have any relationship between the number of years the organization has been in existence and

any of the credentialing factors such as the number of points required for recertification (Chart

3). The average number of certificates offered in the group of seven was 2.9 and the average of

the group of 14 organizations was 3.9. Despite the variance, on closer examination, the number

appears most likely to be in relationship to the nature of the profession rather than an average of

the number of certifications offered.  For some professions, such as Cases 5, 10, 12, there are

various roles for the professional in that field, where as in Cases 3, 6, 8 there was only one

certification needed by that profession;  either a member was certified or not certified. In Case

12, the organization with the highest number of certifications (n = 10), there were many types of

nurses certified by the organization: Inpatient Obstetric Nursing (INPT) , Maternal Newborn

Nursing (MN) , Low Risk Neonatal Nursing (LRN) , Neonatal Intensive Care Nursing (NIC) ,

Telephone Nursing Practice (TNP) , Women's Health Care Nurse Practitioner, Neonatal Nurse

Practitioner, Reproductive Endocrinology/Infertility Nurse, Ambulatory Women's Health Care

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Nurse, High Risk Obstetric Nurse, and Maternal Newborn Nurse because of the potential for

public harm and the specialization of the field.

## Chart 4: Number of Points Required for Recertification
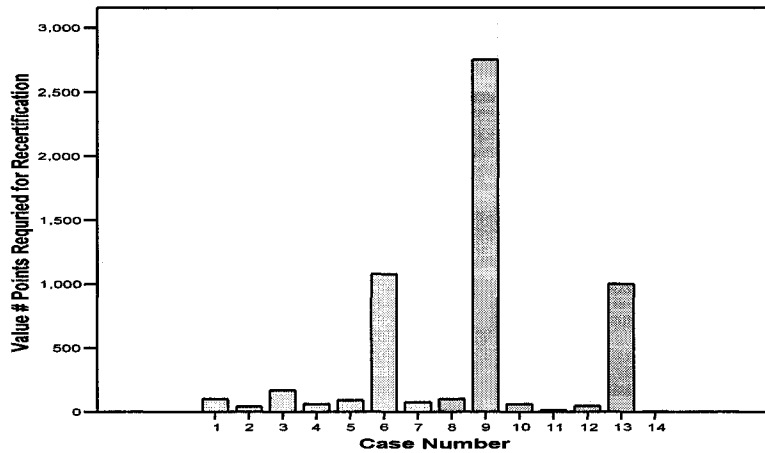


Variable c, the number of points required for recertification, was exceptionally high for

Cases 6, 9, and 13, with 1,075, 2,750, and 1,000 respectively (Chart 4). These cases seems to be

an exception to the typical requirements, with the rest of the organizations requiring between ten

and 170 points, with the average requirement of the other 11 being 68.9 points or hours. This

information will be very important for the grant profession post-certification process. The

average requirements for recertification of the organizations will provide a very good picture for

the grant profession to set its requirements based on best practices in typical post-

credentialization processes.

| Chart 5: | Chart 6: |
|---|---|
| Seven Organizations Renewal Cycle | Fourteen Organizations Renewal Cycle |



■ 3-year cycle

▨ 5-year cycle
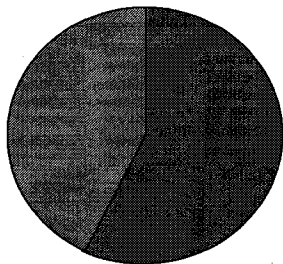
▦ 1-year cycle
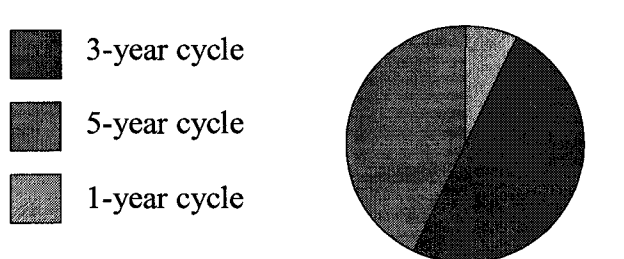
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The last variable examined was Variable d, the duration of the recertification process. In the original review of the seven organizations, most of the organizations (four out of seven or 57%) required a three-year renewal cycle, with three of the organizations (43%) requiring a five-year renewal cycle (Chart 5). When the 14 organizations were analyzed (Chart 6), seven of the 14 (50%) required a three-year renewal cycle, six of the 14 (43%) required a five-year cycle, and one dental organization had an annual renewal. The results appear to indicate that a three-year renewal cycle is the preferred duration, but both the three-year and five-year cycles are acceptable. The one-year renewal cycle seemed to be an exception to the rule. This information was very useful for the grant profession's post-certification process in order to determine the most appropriate renewal cycle.

The last examination involved looking at a comparison between variables c (points required) and d (renewal cycle). This comparison was used to determine if there was a relationship such as more points required when there was a longer renewal cycle (Table 7). The results were irregular with Cases 6, 9, and 13 having an exceptionally large number of points required. Perhaps these organizations should be removed from the database and considered as an exception to standard practices. In addition, the number of points required for recertification was constant when Recertification Cycle = 1 was omitted. The number of points appears to be related to the nature of the profession rather than the renewal cycle.

Table 7:

Comparison of Points Required and Recertification Cycle

| | | Cases | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Valid | | Missing | | Total | | |
| Recertification Cycle | | N | Percent | N | Percent | N | Percent | |
| # Recertification | 1 | 1 | 100.0% | 0 | .0% | 1 | 100.0% | |
| Points | 3 | 7 | 100.0% | 0 | .0% | 7 | 100.0% | |
| | 5 | 6 | 100.0% | 0 | .0% | 6 | 100.0% | |

**Descriptives**

| | Recertification Cycle | | | Statistic | Std. Error |
|---|---|---|---|---|---|
| # Points Required for Recertification | 3 | Mean | | 67.29 | 19.621 |
| | | 95% Confidence Interval for Mean | Lower Bound | 19.27 | |
| | | | Upper Bound | 115.30 | |
| | | 5% Trimmed Mean | | 64.98 | |
| | | Median | | 60.00 | |
| | | Variance | | 2694.905 | |
| | | Std. Deviation | | 51.912 | |
| | | Minimum | | 6 | |
| | | Maximum | | 170 | |
| | | Range | | 164 | |
| | | Interquartile Range | | 50 | |
| | | Skewness | | 1.389 | .794 |
| | | Kurtosis | | 2.728 | 1.587 |
| | 5 | Mean | | 850.00 | 424.608 |
| | | 95% Confidence Interval for Mean | Lower Bound | -241.49 | |
| | | | Upper Bound | 1941.49 | |
| | | 5% Trimmed Mean | | 787.50 | |
| | | Median | | 550.00 | |
| | | Variance | | 1081750.0 | |
| | | Std. Deviation | | 1040.072 | |
| | | Minimum | | 75 | |
| | | Maximum | | 2750 | |
| | | Range | | 2675 | |
| | | Interquartile Range | | 1400 | |
| | | Skewness | | 1.484 | .845 |
| | | Kurtosis | | 2.142 | 1.741 |

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The information currently being gathered in the researcher's database on the organizations appears to be information that will be helpful in developing the *Post-Credentialization Plan and Recertification Process for the Emergent Grant Profession*. The information also appears to remain consistent when the number of organizations was doubled from seven to 14 cases. The comparisons will be very relevant for determining averages, such as the average renewal cycle and the average points required for renewal. It was also apparent that the information spreadsheet should list the methods used in addition to running statistical comparisons, since it appears that there are many variations in the post-credentialization processes.

For this study, an SPSS data table was established. The variables included the acronym for the organization (VAR00002), the number of years the organization was in existence (VAR00003), the number of credentials offered (VAR00004), the number of points required for recertification (VAR00005), the duration of the renewal cycle (VAR00006), and the type of organization (VAR00007). The information is presented in Table 8.

Table 8:

SPSS Data File of the 14 Organizations

| VAR00002 Acronym | VAR00003 # Years | VAR00004 # Credentials | VAR00005 # Points | VAR00006 Renewal Cycle | VAR00007 Type |
|---|---|---|---|---|---|
| APICS | 49 | 3 | 100 | 5 | management |
| ASAE | 46 | 2 | 40 | 3 | leadership |
| CFRE | 25 | 1 | 170 | 3 | fundraising |
| PMI | 37 | 4 | 60 | 3 | management |
| RID | 42 | 5 | 90 | 3 | social |
| AANP | 21 | 1 | 1075 | 5 | health |
| BOPC | 22 | 4 | 75 | 5 | medical |
| CBMT | 20 | 1 | 100 | 5 | music |
| ABOHN | 34 | 4 | 2750 | 5 | health |
| ACSM | 52 | 9 | 60 | 3 | sports |
| DANB | 58 | 4 | 12 | 1 | dental |
| NCC | 31 | 10 | 45 | 3 | health |
| NCCCO | 11 | 3 | 1000 | 5 | construction |
| NSCA | 21 | 3 | 6 | 3 | sports |

Using SPSS "Analyze – Descriptive Statistics - Explore," the data in the table were examined both as individual cases within each variable and in cross-tabulations of two variables (Norusis, 2003). For example, variable analysis included finding the central tendency of the data sets. This method revealed averages that would translate to best practices in post-credentialization processes (Table 9).

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Table 9:

Number of Points Required for Recertification

| N | Valid | 14 |
|---|---|---|
| | Missing | 0 |
| Mean | | 398.79 |
| Median | | 82.50 |
| Mode | | 60 |

Cross-tabulation comparisons were used to examine if one variable was reliant or affected by another variable. This might reveal information such as whether the number of professional development of Continuing Education Units (CEUs) was affected by the duration of a renewal cycle (Table 10 and Chart 7).

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Table 10:

Cross-Tabulation Table of the Number of Points Required for Recertification * Recertification Cycle

| | | Recertification Cycle | | | Total |
|---|---|---|---|---|---|
| | | 1 year | 3 years | 5 years | |
| # Points Required for | 6 | 0 | 1 | 0 | 1 |
| Recertification | 12 | 1 | 0 | 0 | 1 |
| | 40 | 0 | 1 | 0 | 1 |
| | 45 | 0 | 1 | 0 | 1 |
| | 60 | 0 | 2 | 0 | 2 |
| | 75 | 0 | 0 | 1 | 1 |
| | 90 | 0 | 1 | 0 | 1 |
| | 100 | 0 | 0 | 2 | 2 |
| | 170 | 0 | 1 | 0 | 1 |
| | 1000 | 0 | 0 | 1 | 1 |
| | 1075 | 0 | 0 | 1 | 1 |
| | 2750 | 0 | 0 | 1 | 1 |
| Total | | 1 | 7 | 6 | 14 |

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Chart 7: Cross-Tabulation Bar Chart of the Number of Points Required for Recertification *

Recertification Cycle

**Bar Chart**
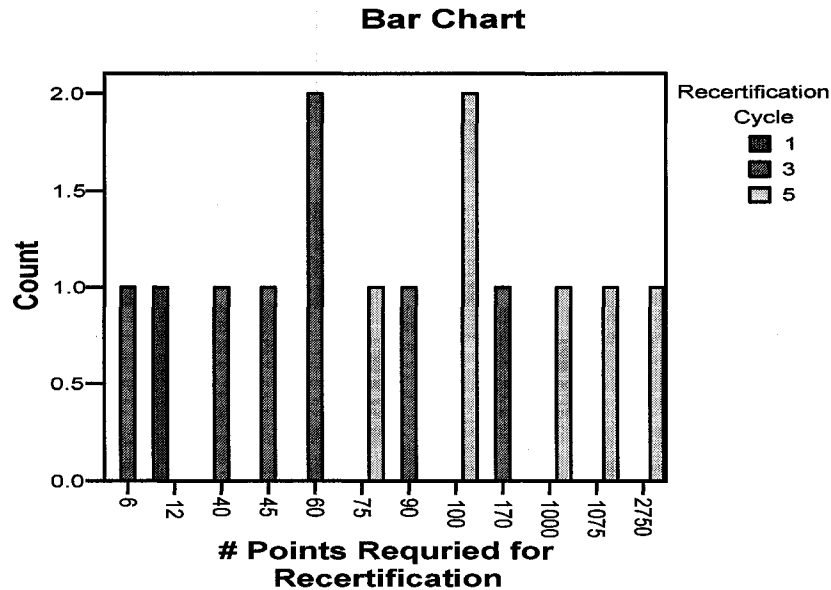


In order to make sound decisions on these processes, it is often wise to look at best

practices of other organizations. For this dissertation, that included comparing the Association

for Fund Raising Professionals (AFP) and their credentialing organization, Certified Fund

Raising Executives (CFRE). Respectively, these organizations are very similar to the American

Association of Grant Professionals and its credentialing organization, the Grant Professionals

Certification Institute (GPCI).

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Table 11:

Membership and Credentialing Organizations Involved with Fundraising and Grantsmanship

Membership Organizations

|  | Est. | Mission |
|---|---|---|
| Association of Fundraising Professionals | 1965 | AFP, an association of professionals throughout the world, advances philanthropy by enabling people and organizations to practice ethical and effective fundraising. The core activities through which AFP fulfills this mission include education, training, mentoring, research, credentialing and advocacy. |
| American Association of Grant Professionals | 1998 | The American Association of Grant Professionals (AAGP), a nonprofit membership association, builds and supports an international community of grant professionals committed to serving the greater public good by practicing the highest ethical and professional standards. |

Credentialing Affiliates

|  | | |
|---|---|---|
| Certified Fund Raising Executive International | 2001 | The Certified Fund Raising Executive (CFRE) International organization certifies fundraising professionals who demonstrate the knowledge, skills and commitment to the highest standards of ethical and professional practice in serving the philanthropic sector. They established and administer a voluntary certification process based on current and valid standards that measure competency in the practice of philanthropic fundraising. They promote voluntary certification, in dialogue with government and other bodies globally, |

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| | | |
|---|---|---|
| | | as the preferred alternative to licensure and/or government regulation. |
| Grant Professionals Certification Institute | 2002 | GPCI is an affiliate 501(c) (3) public benefit corporation of the American Association of Grant Professionals. It is dedicated to the identification of grant professionals who display outstanding expertise and ethical practices and the development of a certification process that meets and exceeds the psychometric standards for education and psychological testing. |

Source: Organizational websites listed in the references

Just as in the fundraising plans, the grant profession will need a custom designed post-credential process for its diverse membership that reflects the standards of the grant profession and includes optional methods of achieving necessary points toward certification. The courses and programs currently offered by institutions of higher education may not fully reflect the skills needed for the grant professional and are focused more on the fundraising professional. With this taken into consideration, one of the necessary products of this dissertation will be the methods of validation for assuring that the post-credentialing process is unique, comprehensive, and yet standardized for the profession. This may also have been a concern of the Association for Fundraising Professionals.

An example of the methods to collect, record, score, and analyze the data would be the process used in the Continuing Education Unit (CEU) plan. These plans were used by the 14 certifying organizations randomly selected for review. In the various organizations' recertification plans, each organization must not only have a professional development plan but must also identify how the required professional development will be measured. The Continuing

Education Unit (CEU) or Continuing Education Credit (CEC) is a nationally recognized measure

of participation in an approved noncredit continuing education program (Wikipedia, 2006). In

the data gathered on the 14 organizations, it was found that the value of one CEU can vary

according to each organization requiring the CEU (Table 12). Typically 1 CEU = 1 hour of

professional development (65% or n=9) rather than the International Association for Continuing

Education and Training standard (2006) in which 1 CEU = 10 hours of professional development

(35% or n = 5).

Table 12:

Organizations, Their Renewal Cycle, Identified Value of CEUs, and Recertification Requirements

| Organization | Cycle | 1 CEU | Recertification Requirements |
|---|---|---|---|
| American Academy of Nurse Practitioners (AANP) | five yrs. | one hr. | 1,075 pts = 1,000 hrs clinical practice and 75 CEUs |
| American Board of Occupational Health Nurses, Inc. (ABOHN) | five yrs. | ten hrs. | 4,075 pts = 4,000 hrs clinical practice and 75 CEUs or 3,100 pts = 3,000 hrs clinical practice and 100 CEUs |
| American College of Sports Medicine (ACSM) | three yrs. | one hr. | 90 CEUs (Program or Health/Fitness Director), 60 CEUs (Specialist, Instructor, or Exercise Physiologist), and 44 CEUs (Technologist/Leader) |
| APICS The Association for Operations Management | five yrs. | one hr. | 75 points (CPIM ) and 100 points (CFPIM) |
| American Society of Association Executives (ASAE) | three yrs. | one hr. | 40 pts |

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| Organization | Cycle | 1 CEU | Recertification Requirements |
|---|---|---|---|
| Board for Orthotist / Prosthetist Certification (BOPC) | five yrs. | one hr. | 75 pts, 40 pts, and ten pts for each level of certification in the field |
| The Certification Board for Music Therapists (CBMT) | five yrs. | ten hrs. | 10 CEU pts (1.0 CEU = 10 Music Therapist credits (ten contact hours); Participants must earn 100 Music credits) |
| Certified Fund Raising Executives (CFRE) | three yrs. | one hr. | 170 pts |
| Dental Assisting National Board, Inc. (DANB) | one yr. | one hr. | 12 continuing dental education (CDE) hours (1 CDE = 1 hr) |
| The National Certification Corporation (NCC) | three yrs. | one hr. | 45 pts |
| National Commission for the Certification of Crane Operators (NCCCO) | five yrs. | one hr. | 1000 pts |
| National Strength and Conditioning Association (NSCA) | three yrs. | ten hrs. | 6 pts |
| Project Management Institute (PMI) | three yrs. | ten hrs. | 60 pts Professional Development Units (PDU) (one Continuing Education Unit (CEU) equals 10 PDUs) |

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| Organization | Cycle | 1 CEU | Recertification Requirements |
|---|---|---|---|
| Registry of Interpreters for the Deaf (RID) | three yrs. | ten hrs. | 90 pts |

SOURCE: All information gathered from organizational websites listed in the References

The primary purpose of a CEU is to provide a measurement for the educational accomplishments of an individual who has completed significant noncredit educational and career enhancement activities. The CEU is especially important to those who seek to maintain a credential in their profession. Each organization involved in a recertification process identifies its standard or number of CEU points that are required. That number can also vary significantly by organization (Chart 8).

For an initial comparison of recertification requirements, the points required had to be calculated as the amount of hours required for recertification divided by the number of years (durations of the recycle period) in order to set the same playing field and make comparisons. Chart 8 reflects those results.

Chart 8: Number of Points Required for Recertification Per Year
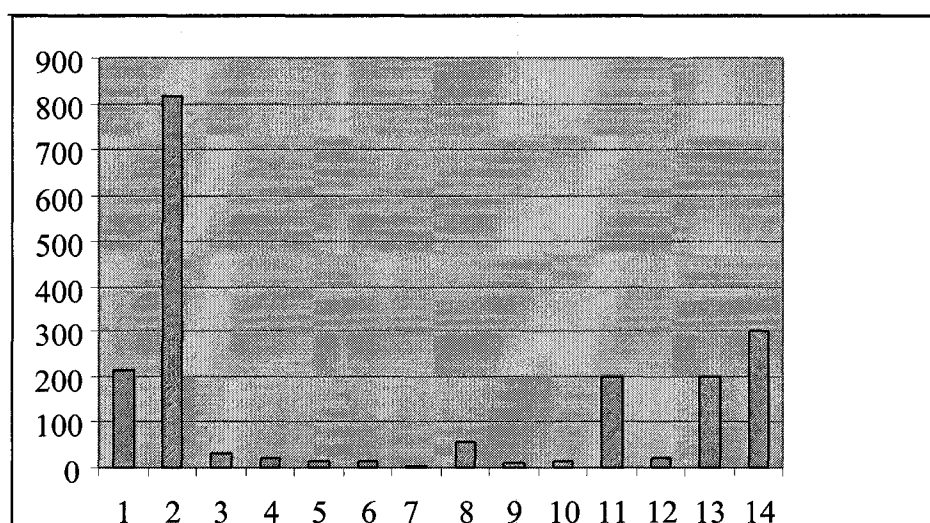


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The number of points required for recertification was exceptionally high for Case 2, with approximately 815 CEU hours per year. This case, requiring a large number of clinical hours for recertification, seems to be an exception to the typical requirements, with a majority of the organizations requiring fewer than 100 points per year (n = 9 out of 14, or 64%). If the one exceptionally high organization is not calculated into the sum, the average annual requirement was 85 points per year. The average requirements for recertification of the organizations will provide a very good picture for the grant profession to set its requirements based on best practices in typical post-credentialization processes.

Methods in which an individual could earn CEU points varied and included choices. Table 13 lists the type of recertification activities that were offered as options to obtain the needed CEU points. Most organizations had a recertification form, which came in a variety of formats, with space for the applicant to justify the selections, especially those offered by other organizations or agencies.

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Professional Development Activities for Recertification

| Activity | AANP | ABOHN | ACSM | APICS | ASAE | BOPC | CBMT | CFRE | DANB | NCC | NCCCO | NSCA | PMI | RID |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Clinical hrs/ prof. performance | X | X | X | | | | | X | X | X | X | X | | |
| Organization's Membership | | | | X | | | | X | | | | | | |
| Leadership – Officer/committee | X | | | X | X | | | | | | | X | | |
| Professional Reading | | | | | | | | | X | | | | | |
| Journals and self tests | | | X | X | | X | | | | | | X | X | X |
| Organization's Workshops | X | | X | X | X | X | X | X | X | X | | X | X | X |
| Organization's Conferences | X | | X | X | X | X | X | X | X | X | | X | X | X |
| Participate in test development | | X | | | | | | | X | | | X | | |
| Organization's Meetings | | X | X | | | | | | X | | | X | | |
| Examination/test | | X | X | | | | X | X | X | X | X | X | | |
| Meetings | | X | X | | | | | | X | | | | | |
| Higher Education course | X | X | X | X | X | | X | X | X | X | | X | X | X |
| Publishing | X | X | X | | | | | | X | | | X | X | |
| Workshops, lectures, conferences | X | X | X | X | X | | X | X | X | X | | X | X | X |
| Community service | | | | | | | | X | X | | | | | |
| Presentations | | X | | | | | | | | | | X | X | X |
| Developing content | | | | | | | | | | | | | X | X |

SOURCE: All information gathered from organizational websites listed in the References

The data gathered in Table 13 also show that all the organizations examined offer a menu of choices rather than a set recertification requirement. This is especially significant for the grant profession. As a national credentialing organization, the Grant Professionals Certification Institute (GPCI, 2006) must recognize that grant professionals in the field will vary in job responsibilities (individual consultants to large, multi-staffed organizations), type of organization (health, K-12, higher education, government, and others), as well as types of grant seeking performed (heavily foundation to predominately government applications). With so many variables in the composition of its profession, GPCI will have to offer a menu that can be custom designed to the grant professional, yet standardized for the grant field. The type of information gathered in this dissertation will enable the grant professional post-certification process decisions to use best practices as well as acceptable practices in other organizations as the basis for their decisions.

<div align="center">Analysis and Evaluation of Findings</div>

By examining each variable independently and also comparing more than one variable in the tables and charts, information gleaned from the data will help set the stage for the grant professional recertification process. The data showed that:

(a) The number of years the organizations have been in existence was surprisingly high with an average of 33.5 years. The interpretation could be that the nine-year-old grant profession is using best practices in the field and avoiding the "reinvention of the wheel." This is enabling them to develop their process early in their evolution and to use the wisdom of experienced organizations in their decisions.

(b) The average number of certifications offered, in the group of 14 organizations, was 3.9. The number appears most likely to be in relationship to the nature of the

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profession rather than an average number of certifications offered. For some professions, there are various roles for the professionals in that field, whereas in other organizations there was only one certification needed by that profession; either a member was certified or not certified

(c) A comparison of the number of years the organization has been in existence and other variables did not reveal any relationship between the number of years and any of the credentialing factors such as the number of points required for recertification.

(d) The number of points required for recertification was exceptionally high for three of the organizations, with 1,075, 2,750, and 1,000 points required. These seem to be an exception to the typical requirements, with the rest of the organizations requiring between ten and 170 points, with the average requirement of the other 11 being 68.9 points or hours.

(e) In the durations of the renewal cycle, seven of the 14 (50%) required a three-year renewal cycle, six of the 14 (43%) required a five-year cycle, and the dental organization had an annual renewal. The results appear to indicate that a three-year renewal cycle is the preferred duration, but both the three-year and five-year cycles are acceptable. The one-year renewal cycle seemed to be an exception to the rule. This information will also be very useful for the grant profession post-certification process in determining the renewal cycle, based on best practices of other organizations.

(f) The type of organization was relevant in that a variety of organizations were examined, lending credibility to finding the averages in the field in general.

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Points required and the renewal cycles were compared to determine if there was a relationship such as more points required when there was a longer renewal cycle. There did not seem to be a relationship to the variables, but it is more likely that the numbers of points required are related to the nature of the profession rather than the renewal cycle.

The results of the examination of data lead to the following evaluation of the findings:

1 - Renewal cycles – Typical renewal cycles are three years (50%) or five years (43%) and only 7% have a one-year or annual cycle. The findings indicate that a three-year cycle is the most prevalent renewal cycle, with the five-year cycle used almost as often. The three-year cycle is also used by organizations that identified evolving professional issues. With the grant profession emerging during this time, a shorter renewal cycle would be the best option of the three.

2 - Categories and requirements – Some organizations, such as the Council for Fund Raising Executives (CFRE) as well as health organizations, offer a menu of choices. This option seems most appropriate for organizations that have diverse fields and also seems to be most appropriate for the assorted job descriptions included in the grant profession.

Along with the menu of choices, most organizations provide standard categories such as education, professional work service, and professional development performance. Minimum point requirements are designated under each category.

The one controversy discussed often by the grant professional is the metric used to identify success or professional service, which may vary greatly. A highly successful grant professional in a small school district, for example, may have a successful year with a total of $150,000, while a large, urban school district would measure its success in millions of dollars of funded grants. For this reason, a consistent measurement of length of time in a

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grant position would be a consistent comparison of experience and would be recommended for the grant profession instead of "amount of funds received" or "number of funded proposal."

3 – Examination – In investigating the CEU process, organizations allowed retaking the certification as an option for renewal (n = eight out of 14 or 57%). This appears to be an acceptable option in the menu of choices.

4 – It was found that 100% of the organizations listed had some type of code of ethical standards for their profession. Candidates reapplying for certification often pledged to uphold the code of ethics and standards of the profession as part of the recertification application. Since ethical conduct and upholding the highest standards are at the forefront of the grant professional's interests and important to a field in which compliance is a requirement, a pledge to uphold a code of ethics and the standards of the profession appears to be an expected requirement in the grant professional recertification process.

5 – In addition to the Code of Ethics, 100% of the organizations required the candidates applying for certification and recertification to sign an assurance statement stating that the facts and information were true and that they assured their professional conduct was in line with the organization's mission. Since it appears that providing a menu of choices places the responsibility of justification for the selection of professional development on the shoulders of the individual, an assurance statement appears to be an acceptable and wise practice. With the variations in the grant field, a menu with choices and the reasons why a professional might choose certain activities or classes appears to be a sound approach. Accompanying those choices with an assurance statement also appears to be a wise plan.

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6 – Each organization offering a credentialing process and recertification plan had an appeal process. A common theme to the appeal policy design was that the organization outlined what could be appealed or not appealed. The procedures for appeal, proposed action, or questions in the credentialing process were identified and made available to the applicant, usually by mail to each candidate. The appeal processes also had time limits for an appeal to be filed. With 100% of the organizations having this process in place, it would appear to be a sound practice for the grant profession to include one as well.

7 – Along with the appeal process, every organization had a grievance process as a forum for complaints. These complaints were always held to be confidential and a separate peer review committee was formed to address these complaints. This proactive plan was also in place with 100% of the organizations examined and would appear to be a necessary step in the grant professional's recertification process.

8 – With consistent methods for recertification and many similarities in recertification processes, the criteria for the grant professional should be based on best practices in the industry as well as appropriateness for the grant professional.

9 – Each organization examined had a Continuing Education Credit (CEU) process that was delineated along with requirements for recertification using CEUs. Although the value of the CEUs varied, it was supported by a clearly defined plan. It appears that the plan and menu of choices was a more critical element of the recertification plan than the value of the CEU, but that value needed to be identified and supported in the process. For the grant profession, the value of the CEU should follow the industry standard of 1 CEU = 1 hour of professional development.

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10 – The recertification cycle should be identified along with information needed by the candidate about that process. That information should be outlined in a grant professional handbook, approved by the American Association of Grant Professionals and the Grant Professionals Certification Institute, and copyrighted for consistent use and application.

## Summary

The ten points identified in the evaluation of the findings should form the basis of the recommendation for the grant professional's post-credentialization plan and recertification process. Each of the findings should appear in the grant professional's handbook for the recertification candidate. Although these recommendations will be based on the current best practices in the field, the grant profession should conduct periodic reviews of the plan as well as current best practices of other organizations to keep an updated plan in place for the emerging grant profession.

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CHAPTER 5

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

In order to formulate recommendations for the post-credentialization plan of the grant profession, best practices in other professional fields were examined and comparisons made to determine post-credentialization processes and methods of recertification. There was a sufficient number of other professional organizations involved in a credentialing process to draw conclusions and to make recommendations for the grant profession's post-credentialization plan.

Summary

The American Association of Grant Professionals (AAGP) is a national membership organization established in 1997 for grant professionals who are involved in many types of grant development or management roles (www.grantprofessioanls.org). One of the goals of AAGP was to develop a credentialing process to certify grant professionals, verifying their skill levels and ethical conduct for organizations or agencies employing or utilizing their services. The certification would also ensure funding agencies of the qualifications of the grant professional applying for their competitive awards.

To fulfill this goal, AAGP formed a 501(c)(3) organization to develop a psychometrically sound credentialing process. That organization, The Grant Professionals Certification Institute (GPCI), developed a plan to offer the first credential in the field, the Grant Professional Certification (GPC). GPCI was joined by the University of South Florida's Institute of Instructional Research and Practice (IIRP), an institution with significant experience in test development (Gibson, 2001), to assist in the development of that certification exam. After four years of planning and test development activities, GPCI is prepared to offer the grant

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professional's first certification examination in November 2007 at the ninth annual AAGP

National Conference, to be held in Washington, D.C.

In preparation for offering the credentialing examination and certification, a need was

identified for a post-credentialization plan. This dissertation addresses that need by gathering

information on credentialing processes used by other organizations and offering

recommendations for the grant profession's post-credentialization plan. Those recommendations

will be the basis for a handbook that will aid applicants in the recertification process. For the

development of that plan, key terms were defined and current literature on the grant profession

was reviewed. It was noted that the profession lacked a significant amount of research at this

time and the literature available was predominantly "how to" information. Although practical

field guides literature is essential for the grant practitioner, research information is needed to

raise the field to a recognized and highly respected profession. The current literature reviewed

was separated into ten related topics from basic grant skills such as writing, proofreading, and

editing to guideline topics of compliance and regulations. The literature included books, reports,

articles and other documents.

The methodology used in this dissertation was then defined. The chosen research method

was to identify other professional organizations involved in a credentialing process, examine the

methods they used in their post-credentialization plan, and evaluate which of the recertification

processes would be most appropriate for the grant profession. The comparisons of the

recertification processes yielded best practices currently used by other organizations and options

that could be considered for the grant profession. In Chapter 4 of this dissertation, ten findings

were reviewed that had particular relevance for the grant profession's recertification process. In

this chapter, recommendations include suggestions for the future of the profession in research

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and literature as well as recommendations to address each of the ten findings identified in Chapter 4.

## Conclusions

The research questions in this dissertation fell into three categories: a) the identification of requirements used by other organizations in post-certification processes; b) an analysis of the requirements to identify commonalities; and c) the new recertification process for grant professionals. An examination of each of the proposed research questions produced conclusions that will aid in the post-credentialization process.

*(a) Requirements used by other organizations*

In identifying the requirements used by other organizations in post-certification processes, the first research question was designed to examine the various requirements for certification and recertification used by other professional organizations. It was found that every organization involved in credentialing and recertification had a clearly defined list of acceptable requirements. Those requirements were either outlined in a participant's handbook or listed on the organization's website.

The second research question required an examination of the Continuing Education Unit (CEU) process. Table 12 of this dissertation listed the organizations and their renewal cycles, identifying the value of 1 CEU along with the recertification requirements for those organizations. It was found that although the value of one CEU can vary according to each organization, every organization did have an identified CEU process, the number of points required, and the value assigned to one CEU. Although the value of one CEU equated to ten hours of professional development (International Association for Continuing Education and Training, 2006), the industry standard is 1 CEU = 1 hour of professional development. The

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industry standard would appear to be an acceptable measure for typical workshops, training,

seminars, classes, and other hourly activities involving the grant profession.

The next research question was designed to find out if workshops and training were

approved methods of obtaining CEUs for recertification. Table 13 of this dissertation separated

the professional development activities for recertification in a chart format. It was found that

every organization had some form of workshops or training as approved methods for

recertification. The requirements varied by the field and by the standards of each profession, but

in every case, the requirements were once again clearly identified and outlined for the

participants, either on the website or in the recertification handbooks.

The next research question looked at how the certification boards decide which

workshops and training would be acceptable toward recertification requirements. For some

organizations, such as health fields that had specializations, the requirements were very specific

and clearly identified by the certifying organization. In professions similar to the grant profession

where jobs, infrastructures, and responsibilities varied within the field, the responsibility was

placed on the applicant to justify the selection. In each of these organizations, the application for

recertification identified the parameters for approval and provided steps for justification.  Often,

documentation was attached to the application for evidence of successfully meeting the criteria.

The last research question in this section was designed to look at higher education

programs as approved methods of obtaining CEUs for recertification. In addition, if higher

education courses or credit were used, how did the certification board decide which courses or

higher education programs would be acceptable for recertification? This question is of particular

concern for the grant professional since the grant field does not currently have degree programs

specific to the field. Without a specific grant professional degree program, the courses that may

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be appropriate for the grant professional are found under many different titles and credit/not-credit programs (Appendix A). For this reason, the challenge for the grant profession will be in deciding how to validate the courses rather than trying to identify all the variations currently offered. For those organizations that allow higher education courses in their recertification plan (see Table 13 of this dissertation), the responsibility was once again placed on the shoulders of the applicants to justify their selection of courses toward recertification. The applicant had to explain why the course was chosen and how it will benefit them in their profession. This was true even in fields in which there is a clear program, such as education and social services. In these cases, the applicant could choose courses, as long as the reasons for choosing the courses were justified.

*(b) Commonalities in recertification requirements*

In examining the recertification requirements to identify commonalities, 78 organizations involved in a credentialing process were examined and the various requirements were compiled in a database. Fourteen organizations were then randomly selected (Table 6 of this dissertation) and the requirements were compared.

The first question of this section examined renewal cycles along with determining the most appropriate renewal cycle. In Chart 6 of this dissertation, it was demonstrated that 50% of the organizations involved in a credentialing process required a three-year renewal cycle, 43% required a five-year cycle, and one dental organization had an annual renewal. The results indicate that a three-year renewal cycle is the preferred duration, but both the three-year and five-year cycles are acceptable, with the one-year renewal cycle as an exception to the rule. Although either the three-year or five-year renewal cycle would be acceptable, the three-year cycle would be a better recommendation for the grant profession. This recommendation is based on the fact

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that the grant profession, as an emerging field, may have to make adjustments during the early stages of its development. Chart 2 of this dissertation revealed that the number of years most organizations involved in the credentialing process have been in existence was surprisingly high, with an average of 33.5 years. These organizations, in being fully established, most likely have fewer adjustments in their policies and procedures then a fledgling organization, and could have a longer renewal cycle. Table 8, SPSS Data File of the 14 Organizations, shows that organizations such as the National Strength and Conditioning Association (NSCA) and the Certified Fund Raising Executives (CFRE) International have been in existence for 21 and 25 years respectively. Both of these organizations have been in existence less than the average number of years and have three-year renewal cycles.

In addition, Table 8 reveals that organizations such as the American College of Sports Medicine (ACSM) and the Project Management Institute (PMI) have variations in the jobs and infrastructures within their field; both have a three-year renewal cycle. Just as there are many different sports or management positions in a variety of sizes of organizations, the grant profession has many variations as well. For this reason, the three-year cycle also would be a better recommendation as the grant profession tries to meet the needs of its membership. Both ACSM and PMI have also developed additional certification, 9 certifications and 4 certifications respectively. This is a long-term goal of the Grant Professionals Certification Institute (GPCI) to also develop specialist examinations in the future.

The next two questions in this section were designed to identify best practices used by other organizations along with common, or most acceptable, practices in the recertification process. Table 13, Professional Development Activities for Recertification, most clearly showed that all of the organizations examined shared common practices. The most prevalent

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commonalities (87% of the organizations) involve professional activities such as attending the

organization-sponsored conferences or workshops as well as attending other presentations,

conferences, or seminars. Furthermore, 87% of the organizations allowed CEUs for taking higher

education courses. The least common practices were earning points through professional reading

(7%) or joining a professional organization (membership), developing content in the field, and

participating in community service (14% each). Over half of the organizations did allow re-

taking the examination, publishing in professional publications, and professional performance.

Although there were variations in the comparisons, 100% of the organizations provided a menu

of options within the CEU requirements. This is also an excellent recommendation for the grant

profession, allowing them to meet the needs of their diverse membership, yet maintaining a level

of performance and points for post-certification renewal.

The identified menu of options of organizations such as CFRE fell within four main

topics: a) education, b) profession, c) performance, and d) service. Although each organization

provided flexibility of choice, they also provided parameters within that choice to provide a

standard for the profession. By identifying the CEU requirements under the education,

profession, performance, and service headings, the certifying organizations allowed a consistent

standard and assurance that the applicant showed a well-balanced level of competency while

maintaining the ability to address the needs of a diverse population.

*(c) The new recertification process for grant professionals*

The new recertification process proposed for the grant profession will be based on the

best practices identified in the examination of those organizations discussed in this research. The

recommendations include a three-year renewal cycle, a CEU process based on the industry

standard value of 1 CEU = 1 hour of professional development, and the standard for accepting

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workshops and training that rely on the applicant's justification for selecting the professional development options. Without a current grant professional degree program in place, the criteria for accepting courses in higher education will also require a convincing justification by the applicant.

The conclusion, related to the current literature in the grant field, notes the lack of research and the need for more articles and reports based on facts and statistics gathered in the field. In an occupation that develops proposals based on a need and a description of activities to address that need, the grant profession should recognize the need for documented and research-based information and design articles, reports, and books to address that need. It will take a slightly different approach to the way the literature in the field has been written and published.

The conclusions related to the post-credentialization process will be based on best practices and recommendations that can be used in the grant professional's recertification handbook. These recommendations were based on a review of 78 other professional organizations and their recertification processes. It can be concluded that the ten findings listed in Chapter 4 could be used to make ten recommendations for the grant professional's recertification plan. These ten recommendations can comprise a substantial proportion of the information needed by the grant profession.

<div align="center">Recommendations</div>

The main outcome of this research will be a handbook for recertification applicants in the grant profession. The following ten recommendations, based on best practices in a variety of organizations involved in the credentialing process, will provide the foundation needed by the emerging grant profession.

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1 - Renewal cycles – Because grant development, grant funding, and/or grant management are dynamic and rapidly changing fields, a three-year period is recommended for the renewal cycle of the grant profession.

2 - Categories and requirements - The diverse field of the grant profession is composed of professionals in foundations, local, state, federal, for-profit, and nonprofit organizations who serve as writers, managers, directors, and consultants. Because of the diverse nature of the profession, it is necessary to provide a menu of options that should be offered with minimum requirements in designated categories. Candidates should be required to meet the criteria in the following categories of education, profession, performance, and service. Each category should have a matrix for calculations as well as a minimum and maximum of CEU points in each category. These requirements are designed to show evidence of on-going practice in the grant profession and to provide the Grant Professionals Certification Institute (GPCI) Board with a way to measure continued competence in the field.

- Category 1, Education - Candidates earn one (1) Continuing education unit (CEU) point for each one (1) hour of continuing education workshops, seminars, and conferences they have attended during the past three (3) years. Points would include courses taken at accredited institutions of higher education that are relevant and justified for the grant profession. Grant Professional Certification (GPC) candidates should be expected to participate in on-going educational activities.

- Category 2, The Grant Professional - Candidates earn one (1) point for each one (1) month of paid, professional experience as a member of a grant staff or a consultant to a nonprofit during the past three (3) years. This allows for

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employment gaps and would also serve as a standard measurement of professional time. Because the individual's accomplishments as a professional vary considerably in the number of grants written or the amount of money generated in awarded funds, a standard of 1 month = 1 point would serve as a consistent and fair measure. It should be noted that proportion of job duties must be directly related to generating grant dollars; for example, a person working 50% of their time as a grant professional and 50% as a youth services director would accumulate .5 of each month, for a maximum of 6 points in one year.

- Category 3, Grant Professional Performance - Candidates can earn points three ways: 1) communications projects that have outcomes that directly impacted the grant development function of the organization such as grant books (5 points) or published articles (1 point each); m) Management projects that have outcomes that directly impacted the development function of the organization (5 points per project) ; or 3) workshops, conference presentations, or seminars on the grant profession (1 point for each hour of presentation).

- Category 4, Professional Service - Candidates will earn points, depending on the level of involvement, through participation in professional associations such as the American Association of Grant Professionals, the Grant Professionals Certification Institute, or the AAGP Foundation. The points earned will vary accordingly by serving as a Board of Directors member, an officer of the Board of Directors, a committee officer, a committee member, or a general member of the organization. The points should have a duration value as well as a level value. For example, serving as an AAGP Officer on the Board of Directors (5 points) x

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12 months = 60 points whereas a new AAGP member (1 point) who has been active for 6 months (x 6) = 6 points.

3 – GPC Examination - Points may be earned through the retaking of the certification as an option for renewal. Candidates for recertification do not need to retake the Grant Professional Certification (GPC) Examination but may choose to sit for the current form of the GPC Examination in lieu of the Education requirements of the Recertification application, as outlined in the GPCI recertification handbook.

4 – AAGP *Code of Ethics* – The AAGP *Code of Ethics* is a public statement that speaks to the association's culture, values and norms while defining "its service mission within a framework or duty owned by the profession and reflects the profession's commitment to uphold the ideals and standards" (Annarino, 2006). All candidates for the grant professional certificate should pledge their support to uphold the AAGP *Code of Ethics* (Appendix B).

5 – An Assurance Statement – All organizations involved in a credentialing and recertification process require an assurance statement professing that all information is true, test exam information will not be shared, and other assurances as to professionalism are made. The following are examples of what should be included in a statement to be signed by all candidates:

| GPC ASSURANCE STATEMENT |
|---|
| All information on my application for certification/recertification is accurate, truthful, and complete.<br><br>I will not make any statements concerning my certification status which are or which could be construed to be false or misleading. I will correct any such misstatements immediately. |

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I will protect the GPCI Professional Certification Board's trademarks and use the Grant Professional Certification (GPC) designation only in the manner permitted by the GPCI Board. In addition, I will report to the GPCI Board any instances of misuse of the GPCI credential of which I become aware.

I will not transmit information regarding examination questions in any form. Nor will I accept or receive information regarding exam questions from any source other than the GPCI program itself.

I will comply with all ethical and professional standards adopted by those professional organizations in which I hold membership.

I understand that violation of any of these accountability standards subjects me to the revocation of my certification credential and to possible legal action. I also understand that if my actions include behavior that is inconsistent with the integrity of the profession, I may also be subject to revocation of my certification credential.

6 – An Appeal Policy - An appeal policy and procedures should identify a timeline for appeal and procedures for filing an appeal. The appeal process should include easy-to-follow steps such as the following: a) the appeal must be filed within 30 days following an adverse decision; b) the request must state the reason why the decision is being contested; c) the GPCI Board of Directors will review and decide on the appeal; and d) the appellant will be notified of the decision in a timely fashion with a set number of days for response.

At that point, the appellant may accept the ruling of the board, or else appeal to a review panel. The review panel may uphold or overturn the decision of the board, but the review panel decision will be final.

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There should also be exceptions to the Right of Appeal such that the passing score set

by GPCI, an eligibility requirement, and the content and quality of the examination may not

be appealed.

7- A Grievance and Disciplinary Action – A policy should be developed and a committee should

be identified. This forum would serve to handle confidential complaints and grievances.

Successful GPC candidates are granted certification status by the GPCI and may present

themselves to the public as such. In order to maintain and enhance the credibility of the

GPCI program and its mission, GPCI should design and adopt administrative procedures to

allow individuals to bring complaints concerning certified grant professionals' conduct to

GPCI or for GPCI to take action on its own in the event that it learns of possible misconduct

by a GPC. The grievance process should have a review, investigation, and maintain

confidentiality.

8 – The criteria for the certification should include the following: a) completing a written

application by an individual to demonstrate achievement of the required minimum number of

points in the recertification plan; b) successfully answering a minimum number of questions

correctly on the Grant Professional Certification (GPC) examination; c) signing the written

application for the Grant Professional Certification (GPC) status, thereby agreeing to adhere

to the GPCI Accountability Standards and to uphold the AAGP *Code of Ethics*; and c)

paying all fees and submitting all materials within the stipulated deadlines.

The application should be reviewed and approved in order for a candidate to be

permitted to sit for the GPC written examination. The professional testing agency should

notify the candidate of their scores, and all candidates should be presented to the GPCI Board

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of Directors for final approval. After that approval, the candidate should receive an official notification from GPCI as proof of having been awarded the GPC designation.

9 – Continuing Education Units (CEU) – The number of CEU points and requirements should be based on best practices in the field that are relevant to the grant profession. The purposes of the continuing education requirements are that candidates continue to: a) obtain current professional development information; b) explore new knowledge in specific content areas; c) master new grantsmanship-related skills and techniques; d) expand approaches to effective grant development and management; e) further develop professional judgment; and f) conduct professional practice in an ethical and appropriate manner.

The CEU policy should define the minimum points required in each category and how to calculate points. The calculations should define the standard practice for those points, such as attend the full two-hour workshops in order to obtain 2 CEUs or calculate the fraction of attendance, such as attend one hour of a two-hour workshop and receive 1 CEU.

Because of the diversity in the field, it is recommended that individuals be responsible for determining whether a program meets requirements and qualifies for continuing education points. Guidelines should be presented that outline how the selection of coursework should be justified and what evidence, such as agendas or sign-in sheets, should be attached. Any forms that will be required should be provided in the handbook and be easily accessible for the applicant.

10- It is recommended that the expiration of the GPC credential be on a three-year renewal cycle. The handbook should include a policy on inactive status and renewal after a candidate has been on inactive status.

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These ten recommendations will serve as the base information for the grant professional's recertification process and post-credentialization plan. These recommendations will be formatted into a draft handbook and presented to the Grant Professionals Certification Institute Board of Directors for adoption, adjustment, and copyright.

Future dissertations and studies on the grant profession could use the baseline information in this research to develop studies. Any of the literature review topics could serve as a theme for a study. The ten topic areas included Grant Searches and Sources; Writing, Proofreading, and Editing; Research, Data, and Statistics; Ethics; Philosophical Discussions; Grant Management; Compliance and Regulations; Professional Organizations; Grant-Related Programs in Higher Education; and Certification and Recertification Processes.

The grant profession could also benefit by having an increased number of studies on information that could help the grant professional with the skills and information needed for the grant professional certification exam. That information could include studies on test anxiety, since that is often a barrier to professionals in many different fields, and the grant profession will not be an exception.

This dissertation also shared a need for higher education programs, specific to the grant profession. With an emerging field coming forth with a certification for grant professionals, institutions of higher education would be wise to develop a degree program. If that program were offered online, professionals across the county could enroll. This would be a great benefit to the profession as well as to higher education degree programs. Future dissertations could focus on writing the curriculum for those programs.

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The actual point count has not been recommended in this research. Although the average number of CEU points required for recertification is 85 points during the renewal cycle, the Grant Professionals Certification Institute (GPCI) can determine the required number of points.

The last suggestion is that future inquiries and articles should be research based, increasing the statistical information available for the profession and its professionals. In the grant field, there are many possible doors that could lead to validated studies that will enhance the field. When a grant professional encounters a door, they should open it, for all doors in an emerging field lead to improved knowledge.

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Appendix A, List of College or University Programs Related to the Grant Profession. Data was gathered from the American Association of Grant Professionals forum discussion and response to an inquiry by P. Renninger.

| COLLEGE OR UNIVERSITY | NONCREDIT | CERTIFICATE | CREDIT | LEADS TO A CREDIT PROGRAM |
|---|---|---|---|---|
| Auburn University Montgomery | | 1 - As a part of its Public Administration Master's Degree offers a four-course Nonprofit Management Certificate. One course is devoted to grant writing and fundraising.<br>2 - A Continuing Education Certificate that includes writing both federal and other types of grants | | |
| Boston College, Chestnut Hill, MA, | various relevant programs and an institute | | | |
| California Lutheran University in Thousand Oaks, California | | offers a certificate program in "Marketing and Fundraising for Nonprofit Organizations." 3.0 Continuing Education Units are available for those taking all six daylong sessions | | |
| Florida Atlantic University | | | offers grant writing classes for credit | |
| Florida Community College | Five online courses | | | |
| Gannon University in Erie, Pennsylvania | | | offers masters of public administration and also a for-credit grant writing class | |
| Gateway Community College, Glendale AZ | | | offer for credit undergrad courses in grant writing | |
| Indiana University | | The Center for Philanthropy has a number of certificates including an executive program which does not require full time study at the university | The Center for Philanthropy has a number of degree programs, including an executive program which does not require full time study at the university.<br>The Center has a MA in Philanthropic Studies, Executive MA in Philanthropic Studies, MPA in Nonprofit | |

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| COLLEGE OR UNIVERSITY | NONCREDIT | CERTIFICATE | CREDIT | LEADS TO A CREDIT PROGRAM |
|---|---|---|---|---|
| | | | Management, and PhD in Philanthropic Studies. | |
| LaSalle University | | Nonprofit Center has a Certificate in Fundraising | | |
| Lesley University, Cambridge, MA | | | | a graduate degree program in nonprofit management |
| Mandel Center at Case Western Reserve University | | | | |
| MT State University | | | offers several credit grant courses at Billings; some are available online | |
| New York University | | | | |
| NOVA Southeastern University's | | | | Doctor of Education program offer a specialization (18 hours) in the "Nonprofit Sector". |
| Old Dominion University in Virginia | | offers a Certificate Course on Grant Writing through weekend classes and course work | | |
| Polk Community College (PCC) in Winter Haven and Lakeland, FL | offers Grant Writing I and II - These are part of the non-degree classes | | | |
| Regis College | | George Heyman Center for Philanthropy. It is part of the School of Continuing and Professional Studies. It is post-graduate and grants professional certificates, not degrees | offers credit-based grant writing courses | |
| Robert Morris University | Bayer Center on Nonprofit Management--a variety of courses on nonprofit management/ fundraising issues. | | | |
| Rollins College (Florida) | The Philanthropy and Nonprofit Leadership | The Proposal Writing Certificate Program guides the student through the | | |

| COLLEGE OR UNIVERSITY | NONCREDIT | CERTIFICATE | CREDIT | LEADS TO A CREDIT PROGRAM |
|---|---|---|---|---|
| | Center offers a full outline of courses related to fundraising and proposal development. | process from start to finish and is an important attainment in career development. This certification is offered in the following seven classes: Finding Funding First Steps in Fundraising Proposal Writing I, II, III, IV, and V. For complete course descriptions, membership, registration and scholarship information, visit www.pnlc.rollins.edu www.pnlc.rollins.edu/ or call 407-975-6414. | | |
| San Jose State University, San Jose, CA | | | | San Jose has extensive nonprofit management and development programs. |
| Seton Hall University | Conducted a study of nonprofit management programs, with the support of the Kellogg Foundation | | | |
| St. Mary's University of MN in Winona | | | offers a MA program in Philanthropy and Development. At this time, there is no course specific to grant/proposal writing in the program. | |
| Stanford in Palo Alto, CA | | | | a nonprofit management component in its MBA program |
| The University of Dallas (Texas) | | | | offers a degree in nonprofit management through its Graduate School of Management. Curriculum includes grantsmanship. I believe it is an online offering. |
| University of Missouri-Kansas City | Center for Public Service | Fund Raising Certificate program offered through the Bloch School of Business and Public Administration | | Nonprofit component for the MBA program. The Fund Raising Certificate program can be taken for credit toward a Master of Public Administration degree or as noncredit. Courses include one on |

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| COLLEGE OR UNIVERSITY | NONCREDIT | CERTIFICATE | CREDIT | LEADS TO A CREDIT PROGRAM |
|---|---|---|---|---|
| | | | | proposal writing. |
| University of Nebraska at Omaha | School of Public Administration has some grant writing components | Certificate in Fundraising Management. It's a comprehensive noncredit program in the essentials of fundraising. It has several courses: | | |
| University of North Dakota | | | | offers an online course for undergraduate credit. http://dce.und.edu/dce/index.php, http://www.conted.und.edu/correspondence/intros/badm395.html |
| University of San Francisco Midwest Center for Nonprofit Leadership | | | | University of San Francisco, CA. has extensive nonprofit management and development programs. |
| University of Southern Florida | | | offers a credit course from time to time, perhaps as part of its specialist degree program for nonprofit management | |
| U Penn | | Certificate in Fundraising | | |
| University of Virginia | | | online graduate level course - Grant Writing for Professionals | |
| Villanova University | In conjunction with AFP Greater Philadelphia-Fundamentals of Fund Raising Series | | | |
| Virginia Commonwealth University in Richmond | | | | A masters of public administration program that offers course work in grant writing and management |
| Washburn University in Topeka | Nonprofit management program | | | |
| 34 Institutions | 10 | 11 | 9 | 11 |

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Appendix B, American Association of Grant Professionals Code of Ethics and Standards of

Professional Practice



## *Code of Ethics*

The **American Association of Grant Professionals** (AAGP), a nonprofit membership

association, is committed to serving the greater public good by practicing the highest ethical and

professional standards. Ethics refer to the rules or standards governing the conduct of a person

or members of a profession[1].

Members have joined forces to be the leading authority and resource for the practice of

grantsmanship in all sectors of the field. Membership in this association promotes positive

relationships between grant professionals and their stakeholders, provides a vehicle for grant

professionals to gain professional growth and development, and enhances the public image and

recognition of the profession within the greater philanthropic, public, and private funding

communities. Members' foundation is stimulated by the rich diversity within the grant

profession.

**Members, among others, are to:**

- Practice their profession with the highest sense of integrity, honesty, and truthfulness to

  maintain and broaden public confidence

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[1] Defined by American Heritage Dictionary (2003)

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- Adhere to all applicable laws and regulations in all aspects of grantsmanship

- Continually improve their professional knowledge and skills

- Promote positive relationships between grant professionals and their stakeholders

- Value the privacy, freedom, choice and interests of all those affected by their actions

- Ensure that funds are solicited according to program guidelines

- Adhere to acceptable means of compensation for services performed; pro bono work is encouraged

- Foster cultural diversity and pluralistic values and treat all people with dignity and respect

- Become leaders and role models in the field of grantsmanship

- Encourage colleagues to embrace and practice AAGP' Code of Ethics and Standards of Professional Practice.

## *Standards of Professional Practice*

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

**Professional Obligations:**

1. Members shall act according to the highest ethical standards of their institution, profession, and conscience.

2. Members shall obey all applicable local, state, provincial, and federal civil and criminal laws and regulations.

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3. Members shall avoid the appearance of any criminal offense or professional misconduct.

4. Members shall disclose all relationships that might constitute, or appear to constitute, conflicts of interest.

5. Members shall not be associated directly or indirectly with any service, product, individuals, or organizations in a way that they know is misleading.

6. Members shall not abuse any relationship with a donor, prospect, volunteer or employee to the benefit of the member or the member's organization.

7. Members shall recognize their individual boundaries of competence and be forthcoming and truthful about their professional experience, knowledge and expertise.

8. Members shall continually strive to improve their personal competence.

*Solicitation and Use of Funds:*

9. Members shall take care to ensure that all solicitation materials are accurate and correctly reflect the organization's mission and use of solicited funds.

10. Members shall take care to ensure that grants are used in accordance with the grant's intent.

If Applicable:

11. Members shall take care to ensure proper use of funds, including timely reports on the use and management of such funds.

12. Members shall obtain explicit consent by the grantor before altering the conditions of grant agreements.

*Presentation of Information:*

13. Members shall not disclose privileged information to unauthorized parties. Information acquired from consumers is confidential. This includes verbal and written disclosures,

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records, and video or audio recording of an activity or presentation without appropriate releases.

14. Members are responsible for knowing the confidentiality regulations within their jurisdiction.

15. Members shall use accurate and consistent accounting methods that conform to the appropriate guidelines adopted by the American Institute of Certified Public Accountants (AICPA) for the type of organization involved. (In countries outside of the United States, comparable authority should be utilized).

*Compensation:*

16. Members shall work for a salary or fee.

17. Members may accept performance-based compensation, such as bonuses, provided such bonuses are in accordance with prevailing practices within the members' own organizations and are not based on a percentage of grant monies.

18. Members shall not accept or pay a finder's fee[2], commission[3], or percentage compensation based on grants and shall take care to discourage their organizations from making such payments.

19. Compensation should not be written into grants unless allowed by the funder.

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[2] Finder's fee - payment made for introducing a nonprofit to a funder and/or contingent upon the nonprofit receiving a grant from that funder.
[3] Commission - flat-rate fee or percentage paid for services rendered when a grant is awarded.

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Appendix C, Application for Approval for the Non-Use of Animals or Humans

*I.      Please type. Type N/A if question is not applicable*

Researcher      Phyllis A. Renninger                          Today's Date  January 2007

Full Address      2347 Oak Court, Orange Park, Florida 32073

Phone (Day)    904-632-3327                   Phone (Evening)    904-264-5121

Department Chair      Dr. Kathy Hollywood

## II. Read and affix appropriate signatures

I have read the contents of the application for approval for the use of animal or human participants. I am not using animal or human participants or any unpublished clinical material (such as clinical vignettes, case notes, video or audio tapes) for any phase of my research. Therefore, I am requesting an exemption from completing the application for approval for the use of animal or human participants. In lieu of the application, I am enclosing with this application a description of my research project.

Researcher Signature  _*Phyllis a. Renninger*_            Date    January 2007

I have read and approved the enclosed protocol, and I believe that the investigator does not need to submit an application for the use of animal or human participants and is competent to conduct the activity described in the enclosed summary.

Chair, Dissertation Committee    Dr. Edward Garten            Date    February 2007

## III. Notice of Approval

The signature of the Chair of the Ethics Committee, when affixed below, indicates that the activity identified in the enclosed summary has been approved with the conditions and restrictions noted here.

Restrictions and Conditions

Dr. Chris Cosby                                        February 15, 2007
Chair, Ethics Committee

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