



AFP Foundation for Philanthropy Canada

Research Awards and Grants Criteria and Guide

Research Task Force

June 2014

The AFP Foundation for Philanthropy Canada's mandate is to raise funds and fund initiatives to support the mission, goals and strategic priorities of AFP in Canada. Through the provision of grants to Chapters, Members, non-Members, and researchers, and supporting AFP initiatives, the Foundation actively engages in **Enhancing Ethical Practice, Building Satisfying Careers, and Strengthening the Sector & Society.**

This guide is provided to assist persons and organizations wishing to make submission or requests to the AFP Foundation for Philanthropy - Canada for funding or other support for research endeavours.

1) Introduction

a) About AFP Foundation for Philanthropy - Canada

AFP is a world-wide association of fundraising professionals that advances philanthropy by enabling people and organizations to practice ethical and effective fundraising through education, training, mentoring, research, credentialing and advocacy.

The Canadian Foundation is the philanthropic arm of AFP and its Chapters in Canada. As with every non-profit, our resources don't match our ambitions or the needs of the charitable sector. The Foundation is mandated to fundraise to support the mission, goals and strategic priorities of AFP right here in Canada. Through the provision of grants to Chapters, Members and non-Members, and supporting AFP initiatives, the Foundation is **Enhancing Ethical Practice, Building Satisfying Careers, and Strengthening the Sector & Society.**

b) About the Research Program

The charitable sector is facing growing challenges, and opportunities, everyday. Our effectiveness as charitable organizations is examined, ranked, and re-ranked. While trust in our organizations is high, transparency and accountability are clarion calls from many donors and funders.

To meet these daily challenges, AFP requires solid research to help inform, and indeed shape, the discussions about philanthropy and fundraising practice in Canada. AFP already brings a credible and authoritative voice to the discussion with the annual *Nonprofit Research Collaborative survey*, the *Compensation and Benefits Report*, the "What Canadian Donors Want" and a variety of position papers, but more needs to be done.

New pressures and new issues are presenting new opportunities for AFP to be at the forefront of research on fundraising/philanthropy in Canada. Fundraising professionals and volunteers need access to relevant, timely, and useful research that informs best practices and future policy development.

The Foundation's desire is to foster innovation in research to address future trends in fundraising by launching a **Research Grants Program**. Over the next 3 years, our ambition is to fund research grants to registered charities conducting research into fundraising and philanthropy in Canada. Our intent is to contribute to the development of a body of Canadian-specific research that helps volunteers and professionals address future trends in fundraising.

2) Types of Awards and Grants Available

AFP Foundation for Philanthropy - Canada is intended to support the highest quality research in fundraising, philanthropy and the fundraising profession. This research may be basic or applied research and can be Primary or Secondary, Qualitative or Quantitative research. To promote credible quality research on issues central to philanthropy, fundraising and fundraising profession. These topics are further explored in the AFP Foundation *Research Agenda & Policy document as well as the AFP Research Council Task Force Report of October 2003, entitled "A Road Less Travelled"*. This later report identified the following nine Canadian research priorities:

- Accountability & Governance
- Capacity & Sustainability
- Partnerships & Alliances
- Stronger & Diversified Donor Base
- Funding Processes & Mechanisms
- Globalization & Impact
- The Fundraising Profession
- Research: Tracking Coordination, Synthesis & Application
- Government & Regulatory Environments

3) Application Procedures

AFP Foundation for Philanthropy - Canada Research applications are narrative in nature and should be created according to the specific guidelines laid out in each RFA. The complete original signed application should be submitted by the submission date indicated to the AFP Foundation for Philanthropy - Canada's Research Committee at the AFP Foundation for Philanthropy - Canada's national office. Late or incomplete applications will not be considered. Please see the application at the end of this guide for further details.

4) Review Process

The review of applications for research grants submitted to AFP will be completed by AFP's Research Committee. The Research Committee is comprised of dedicated development professionals across Canada.

The principal consideration used to evaluate applications is research excellence potential and relevance of the proposed research to the development of a Canadian database that helps volunteers and professionals address future trends in fundraising. There may be additional criteria that may be considered by the Advisory Board in the evaluation process. These will be outlined in each Request for Application (RFA).

External reviewers will be solicited in the event additional expertise is needed to assess the eligibility and merits of an application.

AFP anticipates that it will provide each applicant whose application to participate in the program has been declined with written notice of such decision and a brief written critique of their application.

5) Governing Policies

a) Submission Guidelines and Requirements

Each application is subject to strict compliance with the following Guidelines & Requirements, which the applicant shall be deemed to have accepted upon submission to AFP of an application to participate in the Research Program.

Failure to comply may result in the termination of the research grant and possible exclusion of the applicant from future grant competitions. Applicants may make multiple submissions if they so desire.

b) Funding and Award Period

The funding period for all awards will coincide with AFP Foundation for Philanthropy - Canada Fiscal/Calendar year. Funds will be disbursed in at least three installments with the final installment to be no less than 20% of grant amount and to be paid on completion of the project confirmed by delivery of report to the AFP Foundation for Philanthropy - Canada Office. Funds will be directed to the appropriate individual/agency. AFP does not assume any financial obligation beyond the funding period specified in the notification letter.

Research Grants are awarded on the basis of the budget submitted. Should the recipient receive additional funds from a third party during the term of the award that duplicates the purpose of AFP's grant, the recipient will be required to reimburse AFP the overlapping amounts.

c) Ethics

All applications must comply with all relevant portions of AFP's Code of Ethical Principles and Standards, and the Donor Bill of Rights.

In addition, the AFP Foundation for Philanthropy - Canada Research Committee have developed ethics guidelines as a safeguard to promote ethical and responsible treatment of human subjects/participants in research funded by AFP. It is recommended that grantees have their own ethics guidelines for conducting research in their institution's guidelines in conducting research for AFP. For institutions that do not have their own ethical guidelines, please use the following guidelines:

Research involving human subjects must be carried out in accordance with accepted ethical standards. When formulating a proposal for research, grantees should ensure that the project is in accordance with best practice regarding ethics. Grant applicants should explicitly discuss these aspects and how you plan to handle them, in your proposal. Issues will include:

- 1) **justification** - that the proposed research will achieve worthwhile objectives that could not be achieved without the informed participation of individuals and that there are adequate resources for the successful completion of the research.
- 2) **access to participant(s)** - when considering potential participants it is important to recognize issues of privacy and that individuals have a right to know how their names were selected and why they are being approached.
- 3) **informed consent** - this is a fundamental aspect of any research program and all those who have agreed to be part of any research must be able to do so in an informed way. In all cases, you should take care to ensure that participants are fully informed about the project and have given informed consent freely. Informed consent is a continuous requirement and participants have the right to ask questions about a project at any

time during the duration of the project. At any time, participants have the right to withdraw from the project and to agree how the information they have provided will be used or removed from any database.

- 4) **potential harm to participants** - when considering the nature of the research activity, it is important to work through the potential for psychological and physical harm. At the same time, it may be important to consider the type of support that may be necessary to have in place if participants experience harm.
- 5) **participants' rights** - participants have a number of rights that should be recognized. These include, for example, the right:
 - at any time to withdraw from the project and to discuss if no prior agreement is in place the way in which their data may be used
 - to confidentiality and anonymity - this will require from time to time discussion and agreement as to how these rights will be maintained and if they cannot be maintained the fact that the participant(s) know this from the outset and consents to this condition
 - to refuse to answer any particular question - and in the case of tape recording, the right to ask that the tape be turned off
 - to ask questions about the study at any time during participation and write to verify accuracy of their contribution
 - to be given access to a summary of the findings of the project when the project is concluded
 - to know how the data is going to be used, and
 - to discuss the question of the ownership of collected data and to reach agreement on issues of copyright
- 6) **conflicts of interest** - when considering the nature of the project, it is important to consider the potential for conflicts of interest, particularly if the work is to be carried out in the same organization or if it is sponsored in some way. Not only do participants have the right to know if someone or an organization(s) is sponsoring the project, but also the consequences of any conflicts should be made clear so that potential participants can consent to be part of the project in an informed way.

Depending on the nature of the research project, many of the issues outlined above can be covered by providing potential participants with written information regarding the following:

- a. the names of the organizations/people responsible for the research project and how they can be contacted
- b. the procedures in which they will be asked to agree to participate
- c. what participants will have to do and how much time will be involved
- d. how the researcher obtained the participant's name
- e. how the information collected in the research project will be used
- f. what will happen to the information collected in the research project when it is obtained
- g. how confidentiality and anonymity, if required, will be protected

- h. what will happen to the data upon completion of the project
- i. the rights of the individuals that take part in the project
- j. disclosure of partners they work with

Compliance with these guidelines, or those of the applicant's institution, should be demonstrated in the proposed research design as well as in the final report submitted to the AFP Research Council.

If your project involves human subjects, please provide a copy of your institution's Internal Review Board (IRB) approval for the project. Applicants will be required to sign off as part of the application process.

d) Progress and Final Reports

AFP requires grant recipients to submit Interim and Final Progress Reports, as well as a Financial Summary detailing the use of the funds awarded under the Program. The report shall be submitted to the attention of the Chair of AFP's Research Committee at their national office.

Interim and Final Progress Reports must describe the results of the successful applicant's project. The timing of interim reports will be communicated to the applicant in writing at the time of successful award notification. Final Progress Reports must be submitted no more than 60 days following completion of the project.

Additional reporting requirements may be outlined in the applicable RFA.

e) Knowledge Translation and Transference

The AFP Foundation for Philanthropy - Canada expects that award recipients will disseminate knowledge created from the research grant. AFP Foundation for Philanthropy - Canada may also from time to time choose to disseminate knowledge from research funded. In such cases the researcher and their affiliate institutions will be acknowledged appropriately for their work through mechanisms like the AFP Resource Center.

In all knowledge translation activities, including but not limited to publications and presentations, awardees must prominently acknowledge the support provided by AFP.

f) Media Relations/Communications

The public relations activities involving the results of the research funded by AFP shall be disseminated as widely as possible. AFP should be consulted in advance and receive copies of all media announcements relating to the project. All references to the work funded by AFP should acknowledge AFP support and be provided to AFP in advance of the publication date where possible.

AFP shall have the right to make reference to specific projects and the results derived from such projects for purposes of publicity in a manner acceptable to and in the sole

discretion of AFP. The project title and summary detailed in the application may be used by AFP without notification and may be disseminated into the public domain.

g) Ownership

Consistent with the culture and philosophy of AFP, the funding of research by AFP under the Program is intended to contribute to the development of knowledge related to fundraising and the fundraising profession rather than to the accumulation and promotion of commercial interests.

AFP Foundation for Philanthropy - Canada does not retain or claim any ownership of intellectual property developed, in whole or in part, through the use of funds awarded under the Program unless so contracted by agreement in advance. Ownership of any intellectual property shall be determined in accordance with applicable laws and the terms of the applicant's employment or other relationship with the Approved Institution.

In consideration of AFP's waiver of all intellectual property rights in and to the results of the successful applicant's research, the successful applicant and/or Approved Institution shall notify AFP prior to the grant of any transfer, license, or other commercial exploitation, of intellectual property developed, in whole or in part, through the use of funds awarded under the Program and must recognize AFP for its contribution and permit AFP to communicate and/or publicize its contribution to the results of the applicant's research.

Should the Successful Applicant decide to pursue commercialization of any results arising from research funded, in whole or in part, by AFP, he/she/they should disclose to the Approved Institution any potential intellectual property arising from the research. The onus is on the Successful Applicant to seek patent protection in collaboration with the Approved Institution for inventions or developments arising from AFP-supported research. This requirement for disclosure is not intended to supersede any policy on disclosure that the Approved Institution may already have in place.

Furthermore, for the greatest benefit of research into fundraising, philanthropy and the philanthropic environment, AFP strongly encourages the successful applicant, Approved Institution or any successor in title to the inventions, patented or patentable subject matter and intellectual property rights therein, to publicly disclose in the open literature all findings and/or provide licenses to make, use or sell such inventions, patented or patentable subject matter and intellectual property rights on a non-exclusive, royalty-free basis for academic, non-commercial research.

h) Transfer of Awards & Grants

A successful applicant who has received an award under the Program may not change projects or transfer the award, in any case whatsoever, without the prior written consent of AFP Foundation for Philanthropy - Canada. Such change or transfer, as the

case may be, may be granted at the discretion of AFP Foundation for Philanthropy - Canada.

i) Use of Funds

I. Eligible Expenses

Research Grants awarded under the Program are to be used to cover operating expenses, technical support, staff salaries and equipment costs required by the successful applicant to conduct his or her project over the term of the Program, as approved by the Research Committee. Funds received from the AFP Foundation for Philanthropy - Canada cannot be used to cover general organizational overhead costs.

6) Limitation of Liability

In no event shall AFP Foundation for Philanthropy - Canada be liable to the applicant or any other person or entity for costs, damages, losses or injuries arising for any reason including, without limitation, claims based in tort, contract or other legal theory. For greater certainty, AFP Foundation for Philanthropy - Canada shall not be liable for any direct, special, consequential, incidental, punitive or indirect damages, however caused.

7) Indemnification

The successful applicant will be responsible for any and all risk and liability related to the work performed under the terms of the grant. The applicant shall take all necessary measures to avoid any losses or damages to AFP Foundation for Philanthropy - Canada. The Indemnifiers will defend, fully indemnify and hold harmless AFP Foundation for Philanthropy - Canada, its successors, assigns, directors, officers and employees from and against any and all claims, demands, suits, actions, causes of action and/or liability, of any kind, whatsoever, including losses, however caused, resulting from: (i) negligent acts or omissions arising in connection with the training of, or work performed by, the applicant; (ii) the use of the funds awarded under the Program; and (iii) any and all breaches by the Indemnifiers of these Guidelines & Requirements

For More Information Contact:

AFP Foundation for Philanthropy Canada
260 King Street East, Suite 412
Toronto, ON M5A 4L5
T: 416.941.9212 F: 416.941.9013
E: cdnfoundation@afpnet.org

AFP Foundation for Philanthropy – Canada

Research Grant & Award Application/Submission Request Form

Candidate/Researcher Name:

Address:

Phone

Cell:

E-Mail:

Institution Name (Required):

If an individual applies for a grant, they must be affiliated with an approved institution

Project Supervisor:

Phone:

Address:

Cell:

Email:

Research Project Name:

Research Type:

Basic Applied Primary Secondary

Qualitative Quantitative

New Application Re-Submission

Research Project Abstract

Structured Summary: The AFP Foundation for Philanthropy - Canada is accountable to its donors and the public at large and as such a structured lay summary is required for communication purposes. Please provide a summary of your research project, using the sub-headings below, describing how the proposed research is relevant to the objectives of AFP's Research Program.

a) Brief background of issue outlining the research need, and reviewing any relevant existing literature

b) Objective of the research proposal, including any anticipated benefits of the study and quantifies them if possible

c) Brief description of research project and methodology including size of sample to be studied, time frame

d) Relevance to Philanthropy, Fundraising or Fundraising Profession. Please indicate how the project supports the goals of the AFP Research Council. Include a plan for the dissemination of research results.

e) Budget (include revenues from all sources both projected and confirmed and expenses including gift-in-kind). Please indicate the particular project costs that the grant will support and note whether you would be able to conduct this research if awarded partial funding of project costs. [Note: Because grant funds are limited, AFP's Grants Committee has a policy of paying direct costs only.]

f) Researcher background and history

g) Include a letter from a cooperating nonprofit organization executive documenting permission of the nonprofit to carry out the project. General letters of endorsement are neither required nor desired.

h) Ethics Sign off

I, _____, confirm that this application conforms to all relevant aspects of AFP's Code of Ethical Principles and Standards, the Donor Bill of Rights and all ethical principles outlined in section 5 c of the Research Awards and Grant Criteria Guide.

i) Media Sign Off

I, _____, agree to adhere to the terms outlined in Section 5 f of the Research Awards and Grant Criteria Guide regarding media relations.

j) Ownership Sign off

I, _____, agree to the terms outlined in Section 5 g of the Research Awards and Grant Criteria Guide regarding ownership.