

KAUFFMAN
DISSERTATION
FELLOWSHIP
PROGRAM

Ewing Marion

KAUFFMAN
Foundation

REQUEST FOR PROPOSALS
2011-2012

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DISSERTATION
FELLOWSHIP
PROGRAM

Dear Colleague:

The Ewing Marion Kauffman Foundation is pleased to announce the Kauffman Dissertation Fellowship Program, an initiative of great significance to the faculty and students of your institution. During the 2011-2012 academic year, the Kauffman Foundation will award up to 15 Dissertation Fellowship grants of \$20,000 each to Ph.D., D.B.A., or other doctoral students for the support of dissertations in the area of entrepreneurship.

This initiative will help launch a cohort of world-class scholars into this exciting field, thus laying a foundation for future scientific advancement. We hope that the findings generated by this effort will be translated into knowledge with immediate application for policy makers, educators, service providers, and entrepreneurs.

The Kauffman Foundation is proud to sponsor this important research initiative. Please take a moment to read the following pages for a more complete description of the Kauffman Dissertation Fellowship Program, then forward this request for proposals to appropriate students and faculty members in your institution, or refer them to **www.kauffman.org/kdfp**.

All proposals must be submitted via the online application provided at **www.kauffman.org/kdfp** by 5:00 p.m. Central Time on Wednesday, September 14, 2011.

Thank you for helping us to identify the emerging scholars in your institution. If you have any questions, please do not hesitate to contact me.

Sincerely,



Robert J. Strom, Ph.D.
Director, Entrepreneurship Research & Policy



GRANT REQUIREMENTS

DESCRIPTION OF GRANT:

Proposals submitted to the Kauffman Dissertation Fellowship Program must address research issues of theoretical and practical importance to the domain of entrepreneurship.

ELIGIBILITY:

Ph.D., D.B.A., or other students seeking doctoral degrees from accredited U.S. institutions of higher education are eligible to apply for a Kauffman Dissertation Fellowship grant. This program is intended for students who are in the process of formulating their dissertation proposal as well as doctoral candidates with recently approved dissertation proposals. It is expected that applicants will complete the dissertation by the conclusion of the 2012-2013 academic year. Grants will not be distributed until doctoral candidates have received their institution's approval for the dissertation proposal.

Note: Kauffman Foundation employees and family members of Kauffman Foundation employees are not eligible for this program.

FUNDING:

Grant awards may be used to pay for costs associated with the student's dissertation, including data collection and analysis, travel, and course buyouts. In addition, grant funds may be used to purchase databases or specialized hardware/software. The individuals who are selected to participate in the Kauffman Dissertation Fellowship Program will receive their monies directly, not through their affiliated institutions.

Eighty-five percent (85%) of the grant award will be disbursed in January 2012. *(Note: Dissertation proposals accepted for funding by the Kauffman Dissertation Fellowship Program must also be approved by the applicant's dissertation committee before any funds will be disbursed.)* The remaining fifteen percent (15%) will be disbursed upon completion of the dissertation and after the Kauffman Foundation has received all deliverables. It is expected that the dissertation will be completed by the conclusion of the 2012-2013 academic year. Requests for extensions will be considered on an individual basis.

DELIVERABLES:

Individuals receiving a grant must provide an electronic copy of their completed dissertation to the Kauffman Foundation, submit evidence that they have successfully defended the dissertation, provide a one hundred word abstract of the completed dissertation, and produce an 8 to 10 page executive summary of their completed research written for a non-academic audience. The Kauffman Foundation will distribute the remaining fifteen percent (15%) of the award upon receipt of the above materials.

PROPRIETARY RIGHTS:

All documents, forms, and other materials prepared in connection with this grant will be the property of the grant recipient. However, scholars receiving these awards will grant an irrevocable, royalty free license in perpetuity for the Kauffman Foundation to use such materials for its own publications and for posting on the Kauffman Foundation's Web site. This includes the right to post an electronic copy or link to an electronic copy of the full dissertation. In furtherance of this license, the researcher will represent and warrant that the submitted materials are original with the researcher and do not infringe on or violate the intellectual property or privacy rights of any person or entity.

The Kauffman Foundation will be entitled to use the researcher's photo and biography in connection with the receipt of this grant, and we will give the researcher credit for any verbatim use of this research and, where appropriate, for any derivative use.

In addition, we require that with any publication of this research and in any papers that result, the researcher include this language: ***"This research was funded in part by the Ewing Marion Kauffman Foundation. The contents of this publication are solely the responsibility of <Researcher Name>."***

SUBMISSION GUIDELINES

Only submissions that comply with these guidelines will be considered. The Foundation reserves the right to withdraw from consideration any application that violates the proposal guidelines outlined in this request for proposals.

- 1 Each submission to the Kauffman Dissertation Fellowship Program must include a completed **PROPOSAL COVER SHEET** located at **www.kauffman.org/kdfp**. *(NOTE: The online Proposal Cover Sheet is the only place in the entire proposal where the researcher's name, academic institution and contact information should appear. Therefore, it is critical that the information on this form be complete and accurate. The online Proposal Cover Sheet will be removed from the body of the proposal upon receipt by the Kauffman Foundation to maintain the anonymity of the author during the review process.)*
- 2 A signed statement from the supervising professor stating that the proposal has been, or will likely be, approved by the student's committee and that it is reasonable to expect that the dissertation will be completed prior to the conclusion of the 2012-2013 academic year must be submitted to the Kauffman Foundation. **The official Kauffman Dissertation Fellowship program RECOMMENDATION FORM is available at www.kauffman.org/kdfp.** A recommendation letter from your supervising professor should be on university letterhead and attached to this form, and returned in hard copy by mail. This is the only form of recommendation that will be accepted by the Kauffman Foundation. This signed Recommendation Form, with the recommendation letter, must be **postmarked** by Wednesday, September 14, 2011.
- 3
 - The body of the proposal (hypotheses, abstract, research questions, methodology, and timetable) **must** be double-spaced with 0 pt spacing before and after each line and **must** not exceed 10 pages (exclusive of the Proposal Cover Sheet and a one page, single-spaced bibliography, but inclusive of all charts and graphs).

- Authors must use Arial typeface with a 12-point font and 1-inch margins.
- Footnotes, endnotes, or text in and around tables must be listed in Arial typeface and no smaller than 10-point font. However, footnotes, endnotes, or text in and around tables must be included within the ten page limit.
- Proposals must be uploaded as Microsoft Word documents (.doc or .docx), and must be unprotected. Protected Word documents will not be accepted.
- **Avoid including page numbers and a title page in your proposal.**
- Proposals should use the first-level headings listed below, left-justified in uppercase with 1 line space above and below. Second-level headings should be left-justified in upper and lowercase letters with 1 line space above and below.

- 4 The research proposal should comply with the following format and outline:

THE TITLE OF THE RESEARCH PROPOSAL SHOULD BE CENTERED ON THE FIRST PAGE OF THE PROPOSAL IN UPPERCASE AND BOLD TYPE FACE, DOUBLE-SPACED

ABSTRACT

The abstract should summarize the proposal in **100 words or less**.

RESEARCH QUESTION(S)

This section of the proposal should present the background of the research, as well as delineate the research questions, theories, and hypotheses that it will address. It should clearly defend the theoretical and/or practical importance of the research, expressing the “why” behind the investigation. In this section, reviewers will be looking for research that is compelling.

Quotations taken from referenced works that are five lines or greater in length must be single-spaced and indented twice from the left margin. Quotations less than five lines must appear doubled-spaced and in the body of a paragraph. Quotation blocks will count towards the ten page limit and may be made wherever appropriate in the proposal.

METHODOLOGY

The methodology section should describe how the work is to be accomplished. In this section, it is important to demonstrate that the methods are appropriate to the research question(s) described above.

TIMETABLE

The proposal should contain a schedule for the completion of the research project. This timetable should include milestones and action steps as well as the expected date of completion for the dissertation. Reviewers will be evaluating this section to determine if it is realistic and logical. It must show that the research can be accomplished in a timely manner.

BIBLIOGRAPHY

The bibliography section should follow the same standards as the rest of the proposal (12-point Arial font and one inch margins), but may be single-spaced. The bibliography cannot be longer than one page in length, and does not count towards the ten page limit. If you have more than one page of referenced works, select only the most important for your proposal. The bibliography should be listed separately on the last page of the proposal.

- 5 The proposal (except for the Recommendation Form) must be submitted online at www.kauffman.org/kdfp. Simply visit this Web site and follow all of the instructions for completing the application form and attaching your proposal. Individuals submitting proposals will be notified via e-mail that their submission has been received. Proposals may not be mailed or faxed.

All proposals MUST be received by 5:00 p.m. Central Time on Wednesday, September 14, 2011.

- 6 Direct all inquiries, and mail the Recommendation Form and letter, to:

Kauffman Dissertation Fellowship Program
Ewing Marion Kauffman Foundation
4801 Rockhill Road
Kansas City, Missouri 64110-2046
kdfp@kauffman.org

TIMETABLE

Deadline for receipt of applications September 14, 2011
(5:00 p.m. Central Time)

Notification of decision to all applicants. November 9, 2011

Announcement of award recipients at the American Economics Association (AEA)/Allied Social Sciences Association (ASSA) Annual Meeting, Chicago, Illinois January 6-8, 2012

It is expected that Kauffman Dissertation award recipients will participate in the AEA/ASSA meeting in Chicago. Recipients are also invited to participate in the Kauffman Entrepreneurship Mentoring Workshop to be held immediately following the AEA/ASSA meeting on January 8th and 9th. Airfare and hotel expenses will be provided by the Kauffman Foundation separate from the award.

FREQUENTLY ASKED QUESTIONS

May I submit more than one proposal at a time?

No. Researchers are asked to submit only one proposal per review cycle.

If my proposal is not accepted in one funding cycle, may it be re-submitted in subsequent rounds?

Yes. Proposals may be resubmitted in subsequent funding cycles.

May I submit more than one letter of recommendation?

No. Applicants are encouraged to only submit one letter of recommendation with the recommendation form.

Can more than one researcher apply per research project?

No. Only one applicant is allowed per proposal.

Can more than one researcher apply per academic institution?

Yes. There is no limit on how many researchers may apply from a single institution.

Do applicants need to be affiliated with the business college of their respective university?

No. The Kauffman Dissertation Fellowship Program encourages proposals from a variety of academic disciplines. The dissertation must, however, address questions of importance to entrepreneurship.

Are students pursuing doctoral degrees from universities outside of the U.S. eligible for this program?

No. Only students pursuing doctoral degrees from accredited U.S. institutions of higher education are eligible.

Does the Kauffman Dissertation Fellowship Program give grants larger than \$20,000?

No. All fellowships are for \$20,000.

Does the award include overhead costs for the applicant's institution?

No. The fellowship will go directly to the researcher, not to the affiliated university. As a result, overhead should not be requested in the proposal.

My research is already being supported by another fellowship. Am I still eligible to apply even though my research is already being funded by another fellowship/grant/etc.?

Yes. The Kauffman Dissertation Fellowship is a competitive program. Funds from the Ewing Marion Kauffman Foundation can be used in conjunction with other sources of funding.

How will the research be published and disseminated?

Recipients retain all rights to the research and may publish their findings wherever they wish. The Kauffman Foundation must be acknowledged, however, for providing support for the project. The Kauffman Foundation will only use the findings for its own publications and on its Web site unless the recipient consents otherwise.

When is it expected the applicants will finish their dissertation?

We expect applicants to finish their dissertations during the 2012-2013 academic year. However, we will still consider your application if you intend to finish before or after the specified timeframe.

As a KDFP recipient, will I receive tax documents from the Kauffman Foundation?

Recipients who are U.S. residents and/or have no withholding will not receive any tax paperwork because the Fellowship funds are non-taxable. Recipients who are non-U.S. residents and have had some funds withheld will receive tax documentation explaining that the Kauffman Foundation paid the appropriate taxes for them.

Must my dissertation committee approve my proposal prior to submission to the Kauffman Foundation?

No. A letter of recommendation from a supervising professor is required with your proposal.

Will I receive comments from the reviewers?

No. Unfortunately, the high volume of proposals we receive makes it impossible for us to share reviewer comments.

Can I receive a copy or copies of successful proposals from previous years?

No. The proposals are confidential and cannot be disseminated; however, executive summaries and abstracts from previous fellowship recipients are posted at www.kauffman.org/kdfp.

Can the Kauffman Foundation tell me if my proposal topic is appropriate for this program?

No. The proposal topic should directly relate to entrepreneurship, but the Foundation cannot offer any further guidance. Researchers should discuss with their advisors whether it is appropriate for them to apply for this program.

KAUFFMAN DISSERTATION FELLOWSHIP RECIPIENTS:

2011 KAUFFMAN DISSERTATION FELLOWSHIP RECIPIENTS

LAKSHMI BALACHANDRA, Boston College, *Pitching Trustworthiness: Cues for Trust in Early-Stage Investment Decision-Making*

SHAI BERNSTEIN, Harvard University, *Essays in Entrepreneurial Finance and Innovation*

MICHAËL BIKARD, Massachusetts Institute of Technology, *Essays on Entrepreneurship and the Commercialization of University Technology*

JONATHAN GOLDBERG, Massachusetts Institute of Technology, *Entrepreneurial Investment and Interest Rates*

MITCHELL HOFFMAN, University of California, Berkeley, *Essays in Applied Microeconomics*

MAURICIO LARRAIN, University of California, Berkeley, *Creditor Rights Reforms, Productivity, and Capital & Talent Reallocation*

HUYEN CURTIS, University of Notre Dame, *A Life-Cycle Model of A Faculty Entrepreneur: An Extended Examination of the Effects of the Bayh-Dole Act on Research Activities and Research Career*

BOGDAN PROKOPOVYCH, University of Rhode Island, *Three Essays on New Market Creation for Sustainable Technologies and Services*

BENJAMIN PUGSLEY, University of Chicago, *Understanding Small Business Dynamics Through Household Tastes*

OLGA ROSTAPSHOVA, Harvard University, *Micro-Entrepreneurs in Developing Countries: Measuring Returns to Capital, Determinants of Success, and the Role of Credit Constraints*

ERIN SCOTT, Washington University in St. Louis, *The Impact of Regulation on Entrepreneurship & Innovation: The Case of Bail Bonds*

CHRISTOPHER STANTON, Stanford University, *Entrepreneurship Through Online Outsourcing*

ISHANI TEWARI, Brown University, *Essays on Growth and Financial Development*

XIAHUA (ANNY) WEI, University of California, San Diego, *Public Policy, Competition and Entrepreneurship in Network Industries*

WEN WEN, Georgia Institute of Technology, *The Implications of Incumbent Intellectual Property Strategies for Open Source Software Adoption*

2010 KAUFFMAN DISSERTATION FELLOWSHIP RECIPIENTS

MARNIX AMAND, Yale University, *The Macroeconomic Implications of the Wealth Distribution*

W. CHAD CARLOS, Cornell University, *"Fast Food" Health Clinics: Institutional Influences on New Ventures in an Emerging Industry*

EMILY W. CHOI, University of California, Berkeley, *Fitting In and Making Friends: The Relation of Organizational Identity to New Organizational Networks*

KELLILYNN M. FRIAS, University of Arizona, *Essays on the Impact of Venture Capital on Product Form Strategies in High-Technology Markets*

NAOMI HAUSMAN, Harvard University, *The Effects of Health Insurance Costs on Small Business Outcomes*

PENG HUANG, Georgia Institute of Technology, *Essays on Platform Innovation Ecosystems Formation: Evidence from Start-Up Independent Software Vendors in the Enterprise Software Industry*

AMOL M. JOSHI, University of North Carolina at Chapel Hill, *Entrepreneurial Discovery and Information Complexity in Knowledge-Intensive Industries*

DAVID G. KRYSCYNSKI, Emory University, *The Human Capital Edge in Small Entrepreneurial Firms: Do These Firms Have Incentive Advantages?*

XIAOYANG LI, University of Michigan, *Essays in Law, Finance and Entrepreneurship*

HONG LUO, New York University, *When to Sell Your Ideas? Theory and Evidence from the Movie Industry*

RORY M. MCDONALD, Stanford University, *Entrepreneurship, New Market Construction, and Competitive Interaction*

SARADA, University of California, San Diego, *Essays on the Determinants of Entrepreneurship*

JUAN CARLOS SUÁREZ SERRATO, University of California, Berkeley, *Decisions in Public Economics*

RODRIGO A. WAGNER - BRIZZI, Harvard University, *Pioneer Exporters: Entrepreneurs Discovering New Export Sectors in Less Developed Countries*

RUKIYE ISIL YAVUZ, University of Minnesota, *The Role of Founders' Immigrant Status in the Internationalization of New Ventures in High Technology Industries*

For a complete list of previous recipients, visit www.kauffman.org/kdfp

GENERAL TERMS AND CONDITIONS:

1. This Request for Proposals ("RFP") is not and shall not be construed to be a contract, offer, or request for an offer. Those responding to this RFP receive no rights whatsoever as a result of their submissions. The Kauffman Foundation will not have any express or implied obligations or responsibilities to those who respond and will not otherwise be bound by any terms or conditions, except to the extent set forth in a definitive, final, written agreement duly executed by the Foundation, the recipient(s), and his or her institution. There is no commitment by the Foundation that such a final agreement will be executed, even if the Foundation enters into negotiations with a person submitting a proposal(s), proposed recipient(s), or his or her institution.
2. The Kauffman Foundation in its sole and exclusive discretion may reject any or all proposals with or without notice or reasons, withdraw this RFP at any time before or after delivery of proposals, or if no proposal is accepted, abandon the RFP.
3. The Kauffman Foundation further reserves the right in its sole and exclusive discretion to waive irregularities or defects in any proposal, but in no event will the Foundation have any obligation to do so. Moreover, the Foundation will not be responsible for errors or omissions by anyone submitting a proposal, and the Foundation shall be the sole judge of the responsiveness, appropriateness and completeness of any and all proposals.
4. The Kauffman Foundation reserves the sole and exclusive right in its discretion to modify the timeline for decision-making or otherwise modify or amend this RFP as it deems appropriate.
5. All responses to this RFP become the property of the Kauffman Foundation. Regardless of any markings identifying the proposal or its content as proprietary or confidential, the Kauffman Foundation reserves the right to disclose or use any information contained in the proposals and other presentations responsive to this RFP.
6. The Kauffman Foundation is not responsible for and will not reimburse any costs incurred in submitting materials or information pursuant to this RFP or in otherwise responding to this RFP, including but not limited to evaluating, responding, providing follow-up, negotiating, and otherwise complying with it.
7. Those submitting a proposal(s) agree to be bound by the terms of their proposal for at least sixty days from the date such proposals are due, and they otherwise agree to negotiate in good faith any other terms for a definitive arrangement if selected by the Foundation to do so.
8. Those submitting a proposal(s) certify that the work product they propose to create or use if they are a grant recipient will not infringe on or violate the intellectual property rights (including but not limited to trademarks, copyrights, patents, trade secrets, moral rights) or privacy rights of any person or entity. Those submitting proposals, materials, or information further certify that they have or will have such ownership or use rights in such work product sufficient to allow the Foundation to achieve its purposes as generally provided for in this RFP, including rights granted to the Foundation as described above.
9. Grant recipients agree that, if requested by the Foundation, they will provide additional information about any subcontractors, graduate students, research assistants, and other third parties engaged by the grant recipient to provide services. The Foundation reserves the right in good faith to approve any such persons in order to ensure consistency with the Foundation's expectations of quality and character.
10. The Kauffman Foundation reserves the right to request additional information from any or all persons submitting proposals. Such persons agree to make themselves available for follow-up as reasonably requested by the Foundation.

NOTICE OF NONDISCRIMINATORY POLICY AS TO PARTICIPANTS

The Ewing Marion Kauffman Foundation admits participants into its programs without regard to race, color, age, gender, religion, sexual orientation, national and ethnic origin, disability and veteran's status thereby permitting access to all rights, privileges, programs, and activities generally accorded or made available to program participants at the Kauffman Foundation. The Kauffman Foundation does not discriminate on the basis of race, color, age, gender, religion, sexual orientation, national and ethnic origin, disability and veteran's status in administration of its educational policies, admissions policies, tuition assistance and other Kauffman Foundation-administered programs.



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