YEAR 2006

FOUNDATION

GUIDE

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Foundations and Grants

It is important to understand the difference between what is a foundation and what is a grant. For the purposes of this guide, it should be understood that while there are many types of foundations, organizations referred to as such are organizations that make grants to nonprofit groups following an application process.

The types of foundations may be classified by their organization, that is their structure. Individuals, family groups or corporations may create foundations. In most cases, the larger the financial base of any foundation, the larger the endowment will be from which projects and awards may be made.

A grant is simply a mechanism through which one organization may influence another. Grants may be in the form of money, equipment or services. A grant for services is most often a grant for technical assistance. Through the mechanism of a grant, foundations may further their interests. Successful applicants will normally be those with interests and needs closely aligned with the stated purposes of a particular foundation.

Grants made to libraries are considered to be in the public interest as they support the interests and needs of tax-exempt nonprofit organizations. Since the U.S. Internal Revenue Service closely monitors grants awarded by foundations, libraries must be able to document that they meet all the qualifications listed in the IRS Code, Section 501 (c)(3). Almost all foundations will ask for documentation, prior to awarding any grant, in the form of a letter from the IRS indicating tax-exempt status in accord with Section 501 (c)(3).
501 (c)(3) Status

Under U.S. Law, most foundation grants must go to tax-exempt nonprofit organizations, which qualify as a public charity under IRS Code, Section 501 (c)(3). In the case of many public libraries, the certification of this status by the parent city or county government may be used. A copy of the official designation of this status by IRS must be supplied to the foundation to which application is made.

Public libraries are encouraged to consider seeking approval of Section 501 (c)(3) status in their own names especially if applications will be submitted to out-of-state foundations unfamiliar with city and county governments in Alabama. Additionally, this status may be used to encourage local donors, as the library will be able to certify tax deductions for gifts.

There are several steps to be taken to achieve 501 (c)(3) status. First, a Board of Directors must be appointed with elected officers. The standing Library Board may assume this position. Second, an employer identification number with the IRS should be obtained. This is accomplished with the filing of Form SS-4. The Form may be obtained from the IRS (Phone 1-800-829-3676). Third, Articles of Incorporation should be filed with the Secretary of State of Alabama. Bylaws for the purpose of the library must be updated especially as to the needs for which the library may be seeking foundation funds. Finally, a submission of IRS Form 1023 should be made to obtain federal tax-exempt status.

The process to obtain 501 (c)(3) status may take up to six months to complete. A public library should seek the aid of an attorney to assist in the process. In some cases, City or County Attorneys of the parent governmental unit may be willing to serve as legal counsel.
The Grant Proposal

Most foundations will provide guidelines for the preparation of any proposal submitted to their organization. While similar, each foundation often has one unique element in their guidelines.

Most proposals will have the following elements: budget; project abstract; applicant profile; need assessment; statement of objectives; proposed methods of achievement; procedures of evaluation; and, post project funding. Additionally, many foundations will request appendices that contain evidence of support from partners in the project including the resumes of key staff.

The budget section of the application to a foundation is extremely important and should be done first, not last. It is important to have real cost estimates for expense items in the application. An estimate will not suffice! Be sure to include any cost for administering a grant from the foundation in the budget. An example of such a cost would be bookkeeping costs. Also, be sure that all budget requests are directly linked to the goals of the project. Do not ask for a video projection system in an application for the funding of discussion groups.

A good project abstract should be short and to the point. The abstract is a summary of the project and the use of jargon and acronyms should be avoided. Use simple sentences. The ability to be concise is extremely important.

The applicant profile is important as it presents an opportunity to demonstrate to a foundation that the applying group can manage the project as proposed. This is the section in which to praise the ability and organization as well as the commitment of the applicant. Statistics in support of a proposal request should be noted as appropriate.
The need assessment section of a project proposal should describe the situation that the project will address. Special note should be made of who will benefit if the project is funded. Statistics and quotes from supporting parties should be given in an interesting form. The use of confusing tables and graphs should be avoided. Clarity is important!

The objective section should give a timeline for the project and how the success of the project will be measured. The proposed method of achievement section provides depth as to the project’s activities. Like the objective section, a timeline format works well for this data. Remember to note what staff or volunteers will be responsible for various aspects of the project, how their selection was made and their qualifications for the task assigned.

The evaluation section tells a foundation the methods selected to evaluate whether the project achieves its goals. Personal narratives as well as the pre-survey and post-survey of participants are example methods.

All foundations want to know that any funding they give does indeed generate good. In the future funding section, identify how or if the project will continue after the grant period. Be specific concerning the continuation of a project.

Finally, check your work. Be sure that you have answered all the questions in the guidelines from the foundation. Follow the directions as written and do not create another format which you may consider more favorable for your project’s presentation. Remember to be organized in the thoughts expressed so that how the project solves a problem is clearly demonstrated. Be specific about any other assistance you may receive toward the project, i.e. in-kind services. Always ask the foundation for any assistance that might be needed in the completion of the application.
How To Identify Foundations

There are over 40,000 private foundations in the United States and each and every one file annually IRS Form 990-PF. This form contains financial data, brief application guidelines, the names of the foundation’s trustees and officers, and past grants, by year, awarded by the foundation.

Obviously, Form 990-PF contains a great deal of useful information for the applicant. For smaller foundations, this is sometimes the only source for such information since they may not issue an annual report.

For Alabama foundations, the form may be accessed at the Secretary of State’s office. For out-of-state foundations, contact the Foundation Center at 79 Fifth Avenue, New York, New York 10003. A copy of each foundation’s Form 990-PF is noted by the Employer Identification Number (EIN) of the foundation. This number (EIN) is available in the publication The Foundation Directory in the collection of APLS and many other libraries statewide. The Foundation Center will accept up to five requests for Form 990-PF at one time. Presently, there is no charge for this service. Form 990-PF may also be obtained from the IRS for a fee.

The Foundation Directory and its companion publication, The Foundation 1000, offer a brief overview of all major foundations. These guides enable applicants to search out foundations with interests similar to the applicants needs. Many foundations are restricted by geographic location and this data will rule out some applications. Chiefly, these publications can be used to target the foundations for which Form 990-PF should be acquired.
## National Foundations Funding

### Libraries and Library Programs

1995 – Present

<table>
<thead>
<tr>
<th>Foundation Name</th>
<th>Grant Name</th>
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<tbody>
<tr>
<td>Talbert and Leota Abrams Foundation</td>
<td>Mobil Foundation Grants</td>
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<tr>
<td>Paul and Edith Babson Foundation</td>
<td>Motorola Foundation</td>
</tr>
<tr>
<td>BellSouth Foundation Grant Program</td>
<td>Nalco Foundation</td>
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<tr>
<td>Bodman Foundation</td>
<td>NEH Challenge Grants</td>
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<td>Booth-Bricker Fund Grants</td>
<td>New York Times Company</td>
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<td>Burlington Industries Foundation</td>
<td>Foundation Grants</td>
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<tr>
<td>Champion International Grants</td>
<td>Pennzoil Company Contributions</td>
</tr>
<tr>
<td>Clowes Charitable Foundation</td>
<td>Pfizer Foundation</td>
</tr>
<tr>
<td>James S. Copley Foundation</td>
<td>Nina Mason Pulliman Trust</td>
</tr>
<tr>
<td>Alfred I. duPont Foundation</td>
<td>Reinberger Foundation</td>
</tr>
<tr>
<td>DOC Technology Opportunities (TOP) Program</td>
<td>Sara Lee Foundation</td>
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<td>DOE Rebuild America – Energy</td>
<td>Thomas Sill Foundation</td>
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<tr>
<td>Ezra Jack Keats Foundation</td>
<td>John Ben Snow Memorial Trust</td>
</tr>
<tr>
<td>Gates Library Foundation</td>
<td>Hatton W. Sumner Foundation</td>
</tr>
<tr>
<td>Lilly Endowment Foundation</td>
<td>Texas Instruments Foundation</td>
</tr>
<tr>
<td></td>
<td>Harry C. Trexler Trust Grants</td>
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</table>

For the guidelines and addresses of the above-cited foundations, all of which require 501(c)(3) status, refer to [The Foundation Directory](#) available in the APLS collection.
Top U.S. Foundations

Ahmanson Foundation  W. M. Keck Foundation
The Annenberg Foundation  Kellogg Foundation
AT&T Foundation  F. M. Kirby Foundation, Inc.
Lynde and Harry Bradley Foundation  Knight Foundation
The Brown Foundation  The Kresge Foundation
Burroughs Wellcome Fund  Lied Foundation Trust
The Bush Foundation  Lilly Foundation Inc.
J. Bullow Campbell Foundation  Longwood Foundation Inc.
Carnegie Corporation of New York  Henry Luce Foundation
Annie E. Casey Foundation  Mabee Foundation Inc.
Edna McConnell Clark Foundation  MacArthur Foundation
DaimlerChrysler Corporation Fund  McCormick Tribune Foundation
Dayton Hudson Foundation  McCune Foundation
Educational Foundation of America  The McKnight Foundation
The Ford Foundation  Andrew W. Mellon Foundation
Ford Motor Company Fund  Richard K. Mellon Foundation
Freedom Forum, Inc.  Metropolitan Life Foundation
Gannett Foundation  Charles S. Mott Foundation
GE Fund  The Packard Foundation
General Motors Foundation  The William Penn Foundation
Joyce Mertz-Gilmore Foundation  The Pew Charitable Trusts
The Griffis Foundation, Inc.  Pitzker Foundation
Hall Family Foundation  Procter & Gamble Fund
Hearst Foundation  Kate Reynolds Charitable Trust
Howard Heinz Endowment  Rockefeller Foundation
Conrad Hilton Foundation  SBC Foundation
Robert Wood Johnson Foundation  Alfred P. Sloan Foundation
W. Alton Jones Foundation  The Spencer Foundation
Kaiser Family Foundation  The Starr Foundation
Texaco Philanthropic Foundation  Weinberg Foundation
Wal-Mart Foundation         Weingart Foundation
Wallace-Reader’s Digest Fund Robert A. Welch Foundation
Walton Family Foundation    The Whitaker Foundation
William K. Warren Foundation Joseph Whithead Foundation

For the guidelines and addresses of the above-cited foundations, all of which require 501 (c) (3) status, refer to The Foundation Directory available in the APLS collection.

Foundation Directories
For
Library Projects

In addition to the previously mentioned resource of The Foundation Center, the following sources may be used to identify possible funding sources.

The Big Book of Library Grant Money - notes public grant sources

Bowker Annual: Library and Book Trade Almanac -- notes government grants

Forming and Funding Public Library Foundations -- grant ideas and sources

Fundraising for the Small Public Library -- a how-to-do-it manual for librarians

Grants for Literacy, Reading and Adult Education -- sources noted by location

Library Fundraising: Models for Success -- past successful projects explained

National Guide to Funding for Libraries and Information Services -- listings
## Major Alabama Foundation Sources

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adams Foundation</td>
<td>334-265-4359</td>
</tr>
<tr>
<td>500 Adams Avenue</td>
<td></td>
</tr>
<tr>
<td>Montgomery, AL 36104</td>
<td></td>
</tr>
<tr>
<td>Alabama Power Company</td>
<td>205-257-1860</td>
</tr>
<tr>
<td>Alabama Power Foundation</td>
<td>or</td>
</tr>
<tr>
<td>600 North 18th Street</td>
<td>205-257-2508</td>
</tr>
<tr>
<td>P.O. Box 2641</td>
<td></td>
</tr>
<tr>
<td>Birmingham, AL 35291</td>
<td></td>
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<tr>
<td>Thomas Benton Barnett Charitable Foundation</td>
<td>251-431-7835</td>
</tr>
<tr>
<td>c/o South Alabama Trust Company</td>
<td></td>
</tr>
<tr>
<td>P.O. Box 3067</td>
<td></td>
</tr>
<tr>
<td>Mobile, AL 36652</td>
<td></td>
</tr>
<tr>
<td>BE&amp;K Inc.</td>
<td>205-969-3600</td>
</tr>
<tr>
<td>2000 International Park Drive</td>
<td></td>
</tr>
<tr>
<td>Birmingham, AL 35243</td>
<td></td>
</tr>
<tr>
<td>J. L. Bedsole Foundation</td>
<td>251-432-3369</td>
</tr>
<tr>
<td>P.O. Box 1137</td>
<td></td>
</tr>
<tr>
<td>Mobile, AL 36633</td>
<td></td>
</tr>
<tr>
<td>Mildred Weedom Blount Charitable Foundation</td>
<td>334-283-6581</td>
</tr>
<tr>
<td>P.O. Box 780607</td>
<td></td>
</tr>
<tr>
<td>Tallassee, AL 36078</td>
<td></td>
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</tbody>
</table>
Blount Foundation
Blount International Inc.
4520 Executive Park Drive
Montgomery, AL 36116

Comer Foundation
P.O. Box 302
Sylacauga, AL 35150

Community Foundation of Greater Birmingham
P.O. Box 131027
Birmingham, AL 35213

The E. E. Delaney Foundation, Inc.
225 Springhill Memorial Pl
Mobile, AL 36608

Daniel Foundation of Alabama
820 Shades Creek Parkway, Suite 1200
Birmingham, AL 35209

Gunter Dixon Foundation, Inc.
P.O. Drawer 990
Andalusia, AL 36420

EBSCO Industries, Inc.
P.O. Box 1943
Birmingham, AL 35201
The Goodrich Foundation
205-879-5550
c/o AmSouth Bank of Alabama
402 Office Park Dr. Ste.402
Birmingham, AL 35223

Hill Crest Foundation, Inc.
205-425-5800
310 North 19th Street
Bessemer, AL 35020

Illges-Chenoweth Foundation, Inc.
205-956-6389
3605 Ratliff Road
Birmingham, AL 35210

The JADO Fund
334-230-6100
c/o Regions Bank, Trust Department
P.O. Box 2450
Montgomery, AL 36101

The Nelson and Charleen Kemp Foundation
205-487-3139
P.O. Box 236
Winfield, AL 35594

John W. Laidlaw Foundation
251-476-5500
2800 Dauphin Street
Mobile, AL 36606

MacMillan Bloedel Foundation
334-213-6100
MacMillan Bloedel Inc.
Highway 10 East
Pine Hill, AL 36769
The McAbee Family Foundation
5724 21st St.
Tuscaloosa, AL 35401
205-349-2212

Moore Family Foundation, Inc.
8326 Enterprise Avenue, N.E.
Tuscaloosa, AL 35405
205-752-2313

Protective Life Foundation
P.O. Box 2606
Birmingham, AL 35202
205-879-9230

Rotary Children’s Foundation
P.O. Box 6989
Mobile, AL 36660
251-473-9000

M. W. Smith,Jr. Foundation
c/o AmSouth Bank, N.A.
P.O. Drawer 1628
Mobile, AL 36633
251-438-8260

Sonat Foundation
Sonat Inc.
1900 Fifth Avenue North
P.O. Box 2563
Birmingham, AL 35202
205-325-7205

Steiner Foundation
2701 Altadena Road
Birmingham, AL 35243
205-967-5104
Decatur Daily Charitable Trust 256-353-4612
Tennessee Valley Printing Company
P.O. Box 1488
Decatur, AL 35602

The Tractor & Equipment Company Foundation 205-591-2131
5336 Airport Highway
Birmingham, AL 35212

The Viro Fund 334-230-6100
c/o Regions Bank, Trust Department
P.O. Box 2450
Montgomery, AL 36102

Vulcan Materials Company Foundation 205-877-3229
P.O. Box 530187
Birmingham, AL 35253

Diane Wendland 1962 Charitable Trust 334-230-6100
c/o Regions Bank, Trust Department
P.O. Box 2450
Montgomery, AL 36101

Kathryn & Julian Wiener Fund 334-230-6100
c/o Regions Bank
P.O. Box 511
Montgomery, AL 36101
<table>
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<th>Foundation Name</th>
<th>Address</th>
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<tr>
<td>Abroms Charitable Foundation</td>
<td>3132 Guilford Road, Birmingham, AL 35223</td>
</tr>
<tr>
<td>Bankhead Foundation</td>
<td>P.O. Box 2385, Jasper, AL 35502</td>
</tr>
<tr>
<td>George W. Barber, Jr. Foundation</td>
<td>36 Barber Court, Birmingham, AL 35209</td>
</tr>
<tr>
<td>Joseph S. Bruno Foundation</td>
<td>P.O. Box 530727, Birmingham, AL 35253</td>
</tr>
<tr>
<td>The Camp Foundation</td>
<td>3510 Victoria Road, Birmingham, AL 35223</td>
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<tr>
<td>Abroms Charitable Foundation</td>
<td>Community Foundation of South Alabama</td>
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<tr>
<td>Bankhead Foundation</td>
<td>Compass Bank Foundation, Birmingham, AL 35296</td>
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<tr>
<td>George W. Barber, Jr. Foundation</td>
<td>The Crampton Trust, P.O. Box 2527, Mobile, AL 36622</td>
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<tr>
<td>Joseph S. Bruno Foundation</td>
<td>Engel Family Unrestricted Fund, Birmingham, AL 35237</td>
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<tr>
<td>The Camp Foundation</td>
<td>Mary P. Gallagher Trust, c/o Regions Bank Trust Dept., P.O. Box 511, Montgomery, AL 36101</td>
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<td>Abroms Charitable Foundation</td>
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<td>Bankhead Foundation</td>
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<td>George W. Barber, Jr. Foundation</td>
<td>The Crampton Trust, P.O. Box 2527, Mobile, AL 36622</td>
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<td>Mary P. Gallagher Trust, c/o Regions Bank Trust Dept., P.O. Box 511, Montgomery, AL 36101</td>
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</table>
Ronne and Donald Hess Foundation  
2936 Southwood Road  
Birmingham, AL 35223

J. George and Willine E. Mitnick Foundation  
P.O. Box 3128  
Jasper, AL 35502

The Ireland Foundation  
C/o AmSouth Bank, N.A.  
P.O. Box 11426  
Birmingham, AL 35202

B. C. Moore & Sons, Inc. Foundation  
P.O. Box 10566  
Birmingham, AL 35296

Hugh Kaul Foundation  
P.O. Box 11426  
Birmingham, AL 35202

R. Phifer Memorial Foundation  
P.O. Box 2028  
Tuscaloosa, AL 35403

John W. Laidlaw Foundation  
2800 Dauphin Street  
Mobile, AL 36606

Russell Educational and Charitable Foundation, Inc.  
P.O. Box 369  
Alexander City, AL 35011

Lowder Family Foundation  
2000 Interstate Park Drive  
Montgomery, AL 36109

William H. and Kate F. Stockham Foundation  
P.O. Box 830804  
Birmingham, AL 35202

The McAbee Family Foundation  
P.O. Box 1460  
Tuscaloosa, AL 35403

Susan Mott Webb Charitable Trust  
P.O. Box 11426  
Birmingham, AL 35202
**Major Corporations Operating**  
**In**  
**Alabama**

Many corporations prefer to aid applicants who will use awarded grants in the locale of the corporation itself. This is known as the “good corporate citizen” concept of grant awards. This list does not duplicate Alabama Foundations previously cited as maintained by larger organizations. Full addresses may be obtained from any office of the Alabama Department of Industrial Relations or the Department’s main office at 649 Monroe Street, Montgomery, AL 36131-2260.

<table>
<thead>
<tr>
<th>Corporation Name</th>
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<tbody>
<tr>
<td>Air Products and Chemicals, Inc.</td>
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<td>Akzo Nobel</td>
<td>GenCorp</td>
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<tr>
<td>Allied Signal Inc.</td>
<td>General Mills, Inc.</td>
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<td>Alumax Inc.</td>
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<td>Aluminum Company of America</td>
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<td>Elf Atochem North America, Inc.</td>
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State of Alabama

Governmental Assistance

The Department of Economic and Community Affairs (ADECA) has the mandate to effectively utilize available resources to meet the needs and serve the citizens of Alabama. To this end, the Department awards grants of state and federal funds to eligible entities for projects that help improve life in Alabama. To contact ADECA, write to the Community and Economic Development Section, 401 Adams Avenue, Montgomery, AL 36103. Phone contact may be made by dialing 334-242-5100.

Web Information Sites


Letter of Inquiry to Foundations  
*** Sample ***

Date

Name of Contact
Position Title
Foundation / Company
Address
City, State, Zip

Dear __________,

The (YOUR Library) seeks support of $ xx,xxx from the ________ Foundation for (seed money, general support, special project support, etc.) of our (special project). We think this project is very much aligned with __________ Foundation’s goals in (field of interest, other past funded projects, or the guideline statement of the Foundation).

Our organization, established in 19xx, is serving the (geographical) community with our services: (list what is done for the community). Recently we were honored by (description) for (accomplishment).

The project for which we request funds will make a difference in the lives of (describe Your clientele) in the following ways: (give specifics of your plan). The project will take ____ amount of time, ______ amount of $$$$$$ and we expect the following results: A, B, C, etc.

We have received (grant support, contributions, in-kind, volunteer help, etc.) in the early stages. Support for the first year will come from __________ and the project will (be complete at that time or supported in the future by ___________).

We would be pleased to provide other information with regard to our (special project) in writing or in person at your convience along with a full proposal for your further review.

Sincerely,

(signature)

Your Name
Your FULL Telephone Number