

YEAR 2006

FOUNDATION

GUIDE

**ALABAMA PUBLIC LIBRARY SERVICE
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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 name 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

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

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
The Annenberg Foundation
AT&T Foundation
Lynde and Harry Bradley Foundation
The Brown Foundation
Burroughs Wellcome Fund
The Bush Foundation
J. Bullow Campbell Foundation
Carnegie Corporation of New York
Annie E. Casey Foundation
Edna McConnell Clark Foundation
DaimlerChrysler Corporation Fund
Dayton Hudson Foundation
Educational Foundation of America
The Ford Foundation
Ford Motor Company Fund
Freedom Forum, Inc.
Gannett Foundation
GE Fund
General Motors Foundation
Joyce Mertz-Gilmore Foundation
The Griffis Foundation, Inc.
Hall Family Foundation
Hearst Foundation
Howard Heinz Endowment
Conrad Hilton Foundation
Robert Wood Johnson Foundation
W. Alton Jones Foundation
Kaiser Family Foundation
W. M. Keck Foundation
Kellogg Foundation
F. M. Kirby Foundation, Inc.
Knight Foundation
The Kresge Foundation
Lied Foundation Trust
Lilly Foundation Inc.
Longwood Foundation Inc.
Henry Luce Foundation
Mabee Foundation Inc.
MacArthur Foundation
McCormick Tribune Foundation
McCune Foundation
The McKnight Foundation
Andrew W. Mellon Foundation
Richard K. Mellon Foundation
Metropolitan Life Foundation
Charles S. Mott Foundation
The Packard Foundation
The William Penn Foundation
The Pew Charitable Trusts
Pitzker Foundation
Procter & Gamble Fund
Kate Reynolds Charitable Trust
Rockefeller Foundation
SBC Foundation
Alfred P. Sloan Foundation
The Spencer Foundation
The Starr Foundation

Texaco Philanthropic Foundation
Wal-Mart Foundation
Wallace-Reader's Digest Fund
Walton Family Foundation
William K. Warren Foundation

Weinberg Foundation
Weingart Foundation
Robert A. Welch Foundation
The Whitaker 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

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

Blount Foundation Blount International Inc. 4520 Executive Park Drive Montgomery, AL 36116	334-244-4348
Comer Foundation P.O. Box 302 Sylacauga, AL 35150	256-249-2962
Community Foundation of Greater Birmingham P.O. Box 131027 Birmingham, AL 35213	205-328-8641
The E. E. Delaney Foundation, Inc. 225 Springhill Memorial Pl Mobile, AL 36608	251-460-0910
Daniel Foundation of Alabama 820 Shades Creek Parkway, Suite 1200 Birmingham, AL 35209	205-879-0902
Gunter Dixon Foundation, Inc. P.O. Drawer 990 Andalusia, AL 36420	334-222-3138
EBSCO Industries, Inc. P.O. Box 1943 Birmingham, AL 35201	205-991-1197

<p>The Goodrich Foundation c/o AmSouth Bank of Alabama 402 Office Park Dr. Ste.402 Birmingham, AL 35223</p>	205-879-5550
<p>Hill Crest Foundation, Inc. 310 North 19th Street Bessemer, AL 35020</p>	205-425-5800
<p>Illges-Chenoweth Foundation, Inc. 3605 Ratliff Road Birmingham, AL 35210</p>	205-956-6389
<p>The JADO Fund c/o Regions Bank, Trust Department P.O. Box 2450 Montgomery, AL 36101</p>	334-230-6100
<p>The Nelson and Charleen Kemp Foundation P.O. Box 236 Winfield, AL 35594</p>	205-487-3139
<p>John W. Laidlaw Foundation 2800 Dauphin Street Mobile, AL 36606</p>	251-476-5500
<p>MacMillan Bloedel Foundation MacMillan Bloedel Inc. Highway 10 East Pine Hill, AL 36769</p>	334-213-6100

The McAbee Family Foundation 5724 21 st 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	

Other
Alabama Foundations
With Past Funding of
Libraries and Library Programs

Abroms Charitable Foundation
3132 Guilford Road
Birmingham, AL 35223

Community Foundation
of South Alabama
104 St. Francis Street
Mobile, AL 36601

Bankhead Foundation
P.O. Box 2385
Jasper, AL 35502

Compass Bank Foundation
P.O. Box 10566
Birmingham, AL 35296

George W. Barber, Jr. Foundation
36 Barber Court
Birmingham, AL 35209

The Crampton Trust
P.O. Box 2527
Mobile, AL 36622

Joseph S. Bruno Foundation
P.O. Box 530727
Birmingham, AL 35253

Engel Family Unrestricted Fund
P.O. Box 370127
Birmingham, AL 35237

The Camp Foundation
3510 Victoria Road
Birmingham, AL 35223

Mary P. Gallagher Trust
c/o Regions Bank Trust Dept.
P.O. Box 511
Montgomery, AL 36101

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.

Air Products and Chemicals, Inc.	Employers Mutual Casualty
Akzo Nobel	GenCorp
Allied Signal Inc.	General Mills, Inc.
Alumax Inc.	General Motors Corporation
Aluminum Company of America	Georgia-Pacific Corporation
American Brands, Inc.	Hanson Industries North America
Amoco Corporation	Harley-Davidson Company
Archer-Daniels-Midland Company	Harsco Corporation
Armco Inc.	Hyundai Corporation
Boeing Company	Inland Container Corporation
Boise Cascade Corporation	International Paper Company
Borden, Inc.	James River Corporation of Virginia
Bowater Inc.	Johnson Controls Inc.
Brunswick Corporation	Kimberly-Clark Corporation
Chevron Corporation	Lehigh Portland Cement Co.
Cooper Industries, Inc.	Liberty Corporation
DaimlerChrysler Corporation	Louisiana-Pacific Corporation
Dun & Bradstreet Corporation	McDonnell Douglas Corporation – West
Eaton Corporation	
Elf Atochem North America, Inc.	

The Mead Corporation
Minnesota Mining and
Manufacturing Company
Monsanto Company
Norton Company
Olin Corporation
Parker Hannifin Corporation
E. W. Scripps Company
Shell Oil Company
Square D Company

Steelcase, Inc.
Temple-Inland Inc.
Textron, Inc.
Transco Energy Company
Union Camp Corporation
USG Corporation
USX Corporation
Vulcan Materials Company
Weyerhaeuser Company
Witco Corporation

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

Institute Of Museum and Library Services – <http://www.ims.gov/grants/index.htm>

DeWitt Wallace – <http://www.wallacefunds.org> (at Site Search type “Library”)

Gates Foundation – <http://www.gatesfoundation.org/libraries/uslibrary/program/>

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 convenience along with a full proposal for your further review.

Sincerely,

(signature)

Your Name
Your FULL Telephone Number