



ESSENTIAL SKILLS & STRATEGIES
for NEW GRANTMAKERS

Created through a partnership between the Council on Foundations
and the Forum of Regional Associations of Grantmakers

RESOURCES FOR NEW GRANTMAKERS
BY TOPIC

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990-PF

- **10 Common Errors to Avoid in Completing a Private Foundation's Form 990-PF**
Forum of Regional Associations of Grantmakers and PricewaterhouseCoopers LLP, 2004 (Updated 2005)
www.givingforum.org/cgi-bin/doc_rep/public/file.pl/3355/preparers.pdf
Written for the actual tax preparers of the 990-PF, this publication highlights those areas of the 990-PF that are most often completed incorrectly and provides explanations and directions for proper completion.
- **Common Errors Made by Exempt Organizations, Filing Tips for Form 990-PF**
Internal Revenue Service
www.irs.gov/charities/article/0,,id=96321,00.html
Tips from the IRS on completing the 990-PF correctly.
- **Demystifying the 990-PF**
The Foundation Center
foundationcenter.org/getstarted/tutorials/demystify/
This online "Learning Lab" is written for grantseekers, but provides some basic information that can be helpful to grantmakers.
- **e-file for Charities and Non-Profits**
Internal Revenue Service
www.irs.gov/efile/article/0,,id=108211,00.html
Information on filing a 990-PF electronically.
- **Instructions for Form 990-PF**
Internal Revenue Service
www.irs.gov/instructions/i990pf
- **Making the Most of Your Form 990-PF**
Minnesota Council on Foundations, 2006
www.mcf.org/MCF/resource/990Tips.pdf
This tip sheet offers basic guidance to foundations on how to use their 990-PFs as a communications tool.
- **What You Should Know Before Signing Your Organization's Form 990-PF**
Forum of Regional Associations of Grantmakers and PricewaterhouseCoopers LLP, 2004 (Updated 2005)
www.givingforum.org/cgi-bin/doc_rep/public/file.pl/3356/signers.pdf
Written for the chairpersons of private foundations and other top officers who are accountable for the organization and sign the Form 990-PF, this publication delineates the important safeguards they should undertake before signing the tax return.

ADVOCACY

- **Advice from Grantseekers on Funding Advocacy**
GrantCraft, 2005
www.grantcraft.org/?pageID=761
- **Choosing an Advocacy Strategy**
GrantCraft, 2005
www.grantcraft.org/?pageID=764
A summary of the basic ways for grantmakers to be involved in public policy advocacy.
- **Foundation Advocacy Resources**
Alliance for Justice
www.allianceforjustice.org/foundation
A collection of resources for grantmakers on their legal rights to support nonprofit advocacy work.
- **Funding Advocacy: The Philanthropy of Changing Minds**
GrantCraft, 2005, 36 pages
www.grantcraft.org/?pageID=734
This guide describes various opportunities for grantmakers to improve public policy through advocacy work that is well within the limits of the law. Available for free download.
- **Funding and Engaging in Advocacy: Opportunities for Small Foundations**
Association of Small Foundations
www.smallfoundations.org
This primer explains the wide "comfort zone" the law offers a private foundation for funding and engaging in advocacy activities, and how advocacy can leverage a foundation's resources for maximum impact. Available for purchase.
- **Funding Health Advocacy**
Grantmakers in Health, Issue Brief No. 21, February 2005, 50 pages
www.gih.org/usr_doc/IssueBrief21_Funding_Advocacy.pdf
This issue brief focuses on the challenges and opportunities involved with funding advocacy and engaging in public policy work. The brief outlines key tools and strategies for effective advocacy, offers guidance on evaluating advocacy grants, and shares some case studies and lessons learned from funders. Available for free download.
- **Health and Fiscal Policy: What Every Funder Should Know**
Grantmakers in Health, November 2004, 20 pages
www.gih.org/usr_doc/Health_and_Fiscal_Policy_Portfolio_2004.pdf
This portfolio contains information and resources on the connection between health and fiscal policy, helping grantmakers understand how existing policies affect revenues and expenditures and how they can influence the development and implementation of these policies on a state and federal level. Available for free download.
- **Key Lessons from Grantmakers on Funding Advocacy**
GrantCraft, 2005
www.grantcraft.org/?pageID=760

- **Myth V. Fact: Foundation Support of Advocacy**
by Thomas R. Asher
Alliance for Justice, 1995 (Reprinted 2003), 26 pages
www.allianceforjustice.org/images/collection_images/myth.pdf
This handbook dispels the myth associated with funding advocacy organizations and offers a full range of advocacy activities that foundations can support. Available for free downloads
- **Philanthropy and Advocacy: More Foundations Finding Role in Public Arena**
by Sylvia Lindman
Minnesota Council on Foundations, Giving Forum, Winter 2007
www.mcf.org/MCF/forum/2007/winter_advocacy.htm
This article profiles how some Minnesota foundations are using advocacy to help achieve their funding goals.
- **Power in Policy: A Funder's Guide to Advocacy and Civic Participation**
Fieldstone Alliance, 2007, 320 pages
www.fieldstonealliance.org
Written primarily by foundation practitioners, this book explains how and why funders should try to shape public policy, complete with a toolkit, case studies and other practical resources. Available for purchase.
- **Public Policy Grantmaking Toolkit**
Northern California Grantmakers
nccg.org/toolkit/home.html
This toolkit can help foundations build their capacity to engage in public policy initiatives, and includes public policy definitions, engagement strategies and case studies.
- **Selling Healthy Lifestyles: Using Social Marketing to Promote Change and Prevent Disease**
Grantmakers in Health, Issue Brief No. 20, November 2004, 44 pages
www.gih.org/usr_doc/Selling_Healthy_Lifestyles_Issue_Brief.pdf
Focusing on the examples of tobacco use prevention and cessation, physical activity, and healthy eating, this paper explores how health grantmakers have used social marketing to influence people to adopt healthier behaviors. Available for free download.
- **Top 10 Ways Private Foundations Can Influence Public Policy**
by Kelly Shipp Simone
Council on Foundations, 2007, 24 pages
www.cof.org/publications
This guide can help grantmakers sort out a variety of ways they can legally influence public policy through such activities as educating legislators, funding advocacy organizations, educating the public about issues, and promoting civic participation. Available for purchase.
- **What Is Advocacy?**
GrantCraft, 2005
www.grantcraft.org/?pageID=763
A summary of the three basic types of public policy advocacy.

- **What the Law Allows**

by Thomas A. Troyer and Robert A. Boisture

Council on Foundations, Foundation News & Commentary, Vol. 38, No. 3, May/June 1997

www.foundationnews.org/CME/article.cfm?ID=2454

This article gives an overview of the laws that govern what private foundations can and cannot do regarding involvement in the public policy process.

ADVOCACY LAW: FUNDING ADVOCACY & LOBBYING

- **Foundation Advocacy Resources**

Alliance for Justice

www.allianceforjustice.org/foundation

A collection of resources for grantmakers on their legal rights to support nonprofit advocacy work.

- **Funding Advocacy: The Philanthropy of Changing Minds**

GrantCraft, 2005

www.grantcraft.org/?pageID=734

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- **Funding and Engaging in Advocacy: Opportunities for Small Foundations**

Association of Small Foundations

www.smallfoundations.org

This primer explains the wide "comfort zone" the law offers a private foundation for funding and engaging in advocacy activities, and how advocacy can leverage a foundation's resources for maximum impact. Available for purchase.

- **Grant Agreements & Advocacy**

Alliance for Justice

www.allianceforjustice.org/foundation/technical_resources/grant_agreements.html

Guidance for foundations on the correct language to use in grant agreement letters regarding lobbying or other advocacy activities, including a sample grant agreement letter.

- **Legal Parameters for Public Policy Grantmaking**

Northern California Grantmakers

nccg.org/toolkit/html/gettingstarted/legalparam/index.html

Links to legal resources on public policy grantmaking, from NCG's Public Policy Grantmaking Toolkit.

- **Myth V. Fact: Foundation Support of Advocacy**

by Thomas R. Asher

Alliance for Justice, 1995 (Reprinted 2003), 26 pages

www.allianceforjustice.org/images/collection_images/myth.pdf

This handbook dispels the myth associated with funding advocacy organizations and offers a full range of advocacy activities that foundations can support.

- **Top 10 Ways Private Foundations Can Influence Public Policy**

by Kelly Shipp Simone

Council on Foundations, 2007, 24 pages

www.cof.org/publications

This guide can help grantmakers sort out a variety of ways they can legally influence public policy through such activities as educating legislators, funding advocacy organizations, educating the public about issues, and promoting civic participation. Available for purchase.

- **What the Law Allows**

by Thomas A. Troyer and Robert A. Boisture

Council on Foundations, Foundation News & Commentary, Vol. 38, No. 3, May/June 1997

www.foundationnews.org/CME/article.cfm?ID=2454

This article gives an overview of the laws that govern what private foundations can and cannot do regarding involvement in the public policy process.

- **Words to Give By**

Alliance for Justice

www.allianceforjustice.org/foundation

A collection of responses from 23 philanthropic leaders on why foundations should fund advocacy.

ADVOCACY LAW: POLITICAL CAMPAIGN INVOLVEMENT

- **Election Activities of Individuals Associated with Foundations**

Alliance for Justice, July 2004

www.allianceforjustice.org/foundation/technical_resources/additional_resources_for_funders/individualactivity.pdf

This one-page advisory summarizes prohibited partisan political campaign activity by foundation board members, officers or employees.

- **Election Year Politics**

by Jane C. Nober and Kelly Shipp Simone

Council on Foundations, Foundation News & Commentary, Vol. 45, No. 4, July/Aug. 2004

www.foundationnews.org/CME/article.cfm?ID=2956

This article offers basic guidelines on how grantmakers can participate legally in the political process.

- **Foundation Support for Election-Related Activities**

Alliance for Justice, August 2003

www.allianceforjustice.org/foundation/election_related_activities.pdf

This one-page advisory outlines what foundations can and cannot do to support election-related activities and grantmaking.

COLLABORATION

- **Amplifying New Voices: International Collaboration in the Arts**

GrantCraft, 2002, 18 minutes

www.grantcraft.org/?pageID=604

This video relates the experience of a grantmaker and her grantee partners, who worked

together to improve the quality of U.S.-based international collaborations by inviting artists from abroad and co-creating performances. Experiences and best practices, drawn from the partnerships, helped these organizations become leaders in the field of international artistic collaboration.

- **Building a Network: State Fiscal Analysis Initiative**
GrantCraft, 2002, 17 minutes
www.grantcraft.org/?pageID=602
This video follows the efforts of a grantmaker as he works with state-based organizations to build on a successful national model. It looks at how he encouraged them to form a network, work collaboratively, and bring in other funders.
- **Building Relationships in Health: How Philanthropy and Government Can Work Together**
Grantmakers in Health, January 2003, 23 pages
www.gih.org/usr_doc/gih_build_relations.pdf
This publication shares learnings from both grantmakers and public officials about the range of options for those interested in developing collaboration between philanthropy and government, and the lessons they have learned in building those relationships. Available for free download.
- **Collaboration Approaches for Smaller Foundations**
by Thomas Backer, Ph.D.
GrantCraft and Annie E. Casey Foundation, January 2004, 12 pages
www.grantcraft.org/pdfs/CollaborationApproachesforSmallerFoundations.pdf
This report details eight key considerations to keep in mind before, during and after embarking on a collaboration, based on the experiences of the Baltimore Neighborhood Collective. The focus of the report is to provide guidance for smaller foundations involved in funder collaborations. Available for free download.
- **Collaboration Handbook: Creating, Sustaining and Enjoying the Journey**
by Michael Winer and Karen Ray
Fieldstone Alliance, 2002, 178 pages
www.fieldstonealliance.org
This guide describes how to put together a collaboration that gets results. It explains how to get collaboration going, define the results you're after, determine everyone's roles, create an action plan and evaluate the results. Available for purchase.
- **Collaboration: What Makes It Work, Second Edition**
by Paul W. Mattessich, Marta Murray-Close and Barbara R. Monsey
Fieldstone Alliance, 2001, 82 pages
www.fieldstonealliance.org
This publication identifies 20 factors that influence successful collaboration, based on an in-depth review of collaboration research. Available for purchase.
- **The DOs and DON'Ts of Working with Local Funders**
Association of Baltimore Area Grantmakers and GrantCraft, January 2005, 5 pages
www.abagmd.org/usr_doc/ABAG_GrantCraft_Piece.pdf
This report shares advice from the field for national funders who seek effective

- **Extending Reach Through Funding Partnerships**
by Joseph Getch and Raymond Orr
Association of Small Foundations
www.smallfoundations.org/why_give_/partnerships
This essay describes how two small foundations discovered that collaborating helped them better serve their grantees and their missions.
- **Funders Collaborative Companion Guide**
GrantCraft
www.grantcraft.org/?pageID=616
This online guide looks at the challenges of funder collaboratives, and offers practical observations from grantmakers on the tools and techniques they used to work together effectively.
- **Funders Collaborative: Sustainable Forestry**
GrantCraft, 2002, 19 minutes
www.grantcraft.org/?pageID=599
This video looks at how funders' long-term commitment to sustainable, collaborative efforts can be a powerful lever for change, using the example of a group of grantmakers and their grantee partners working together to promote sustainable forestry. Grantmakers discuss scaling up successful work, sharing roles and responsibilities within the collaborative, and using effective communications to open new doors.
- **Nimble Collaboration: Fine-Tuning Your Collaboration for Lasting Success**
by Karen Ray
Fieldstone Alliance, 2002, 120 pages
www.fieldstonealliance.org
This guide shows you how to avoid getting bogged down in common problems with collaborations and, instead, create a collaboration that moves fluidly to see real change. This book describes how collaborations can become leaner, more responsive, more flexible and, ultimately, more productive. Available for purchase.
- **Opportunities from the Unpredictable: Responding to Disaster, Hurricane Mitch**
GrantCraft, 2002, 14 minutes
www.grantcraft.org/?pageID=607
Following a team of international grantmakers as they respond to a natural disaster, this video looks at how grantmakers can promote collaboration among local grantees—helping them build a common vision, address long-term recovery, and develop their own capacity to meet future challenges.
- **Philanthropies Working Together: Myths and Realities**
by Robert Hughes
The Foundation Center, February 2005, 37 pages
foundationcenter.org/gainknowledge/research/pdf/practicematters_09_paper.pdf
This report explores the advantages and disadvantages of collaboration between foundations, answering the questions of when such a collaboration is beneficial and how organizations can pool their resources without ceding control of their values and goals.

In addition, examples of some recent collaborations are analyzed. Available for free download.

- **Reaching Beyond the Usual Networks: Strengthening Fragile Families Initiative**

GrantCraft, 2005, 7 minutes

www.grantcraft.org/?pageID=601

In this video, a grantmaker shares insights on how he worked with a new set of partners on a national collaborative effort in the field of children, youth and families. The video explores how this funder uncovered a key opportunity to reach beyond a core group of grantees to find an important new ally—and the special challenges this presented along the way.

- **Revitalizing a Network: Joint Forest Management**

GrantCraft, 2002, 15 minutes

www.grantcraft.org/?pageID=603

This video relates the experience of a grantmaker and her grantees as they worked together to revitalize a stalled network that the Ford Foundation had supported for years. The video follows the grantmaker as she shifts the role of her foundation from a position of leadership to one of support, bringing new members into a longstanding coalition and encouraging grassroots organizations to build networks with policymakers, former competitors and other essential partners.

- **Supporting Collaboration Among Grantees: Community Based Fisheries Management Initiative**

GrantCraft, 2005, 14 minutes

www.grantcraft.org/?pageID=598

This video follows a grantmaker as she works with a diverse group of grantee partners to develop a community-based resource program in Asia. It offers a frank look at the challenges she faced promoting effective collaboration—as well as the range of tools, skills and non-grant resources she brought to bear in this effort.

- **Supporting a New Partnership: One Stop Crisis Center**

GrantCraft, 2002, 15 minutes

www.grantcraft.org/?pageID=600

This video explores how a grantmaker can help build an effective partnership among NGOs and the public sector. It looks at how a grant-related activity—designed to help grantees and a grantmaker learn from successful models—can help build a coalition among partners and strengthen their commitment to solving a common problem.

- **When Community Foundations and Private & Corporate Funders Collaborate**

Council on Foundations, 2000, 38 pages

www.cof.org/publications

This book provides tools and ideas on how community foundations, private foundations and corporate funders can collaborate. Available for purchase.

- **Working Better Together: Executive Summary**

by R. Scott Fosler

The Three Sector Initiative, 2002, 8 pages

www.independentsector.org/PDFs/working_together.pdf

This report offers thoughts on how government, business and nonprofit organizations

can work together to achieve public purposes, based on what was learned through The Three Sector Initiative, a partnership among seven organizations in the government, business and nonprofit sectors. Available for free download.

- **Working with the Business Sector: Pursuing Public Good with Private Partners**

by Bettye Pruitt

GrantCraft, 2004, 32 pages

www.grantcraft.org/?pageID=647

In this guide, grantmakers consider the reasons for bringing the business and philanthropy sectors into closer collaboration and what they've accomplished by doing so—from changing business practices to enlisting the corporate sector in solving global problems. Separate sections cover the relevant issues for people working inside and outside the business world, and tips on bridging cultural and philosophical differences between the sectors.

COMMUNICATING WITH GRANTEES & APPLICANTS

- **Best of the Worst Practices**

by Bruce Sievers and Tom Layton

Council on Foundations, Foundation News & Commentary, Vol. 41, No. 2, March/April 2000

www.foundationnews.org/CME/article.cfm?ID=448

This article offers a list of the top ten worst grantmaker practices, told from the viewpoint of grant applicants and recipients, based on real experiences.

- **Come and Talk to Us**

by Darlene M. Siska

Council on Foundations, Foundation News & Commentary, Vol. 45, No. 1, January/February 2004

www.foundationnews.org/CME/article.cfm?ID=2755

The Edyth Bush Charitable Trust has a remarkable mandatory requirement: Before grant recipients are given the first check, they must come to the foundation's office and speak with foundation staff. This article describes how both the foundation and its grantees appreciate this process because it allows both parties to raise issues of concern and clarify expectations.

- **Foundation Communications: The Grantee Perspective**

by Judy Huang

The Center for Effective Philanthropy, 2006

www.effectivephilanthropy.org/images/pdfs/CEP_Foundation_Communications.pdf

Based on a study of nonprofits, this report outlines key components of effective foundation communications with grantees. Available for free download.

- **Listening to Grantees: What Nonprofits Value in Their Foundation Funders**

by Kevin Bolduc, Phil Buchanan and Judy Huang

The Center for Effective Philanthropy, 2004

www.effectivephilanthropy.com/images/pdfs/ListeningToGrantees_reprint.pdf

This report summarizes grantees' overall perceptions of the foundations that fund them, and identifies three factors that best predict variations in grantees' overall satisfaction

with their funders. The report is based on the responses of 3,200 grantees of the 30 largest foundations in the United States. Available for free download.

- **Sample Decline Letter**
Council on Foundations
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Sample_Decline_Letter.pdf
- **Sample Grant Acceptance Letters**
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?CONTENTID=789
- **Sample Grant Applicant/Grantee Letters**
Association of Small Foundations, 2002
foundationinabox.org/guide/grantmaking/sample_letters/file
Sample letters of decline, requests for additional information, award letters, and grant agreement letters.
- **Sample Grant Declination Letters**
Council on Foundations
www.cof.org/Content/General/Display.cfm?CONTENTID=790
- **Sample Grant Notification/Agreement Letter**
Council on Foundations, 2001
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Agreement_Letter.pdf
- **Saying Yes/Saying No to Applicants**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=628
This guide helps grantmakers say Yes, or No, to grant applications so that applicants understand the foundation's rationale, feel that they have been treated fairly, and can make realistic plans about their next steps. Available for free download.
- **Saying Yes/Saying No to Applicants: Advice from Grantseekers**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=687
Grantseekers offer some principles for good grant decision-making.
- **Saying Yes/Saying No to Applicants: Key Lessons from Grantmakers**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=688
Experienced grantmakers offer advice on how to effectively communicate funding decisions to grant applicants.
- **Saying Yes/Saying No to Applicants: Preparing for Difficult Conversations**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=690
Advice for grantmakers on how to prepare for saying No to hopeful applicants or negotiating differences of perspective with existing grantees.

COMMUNICATIONS

- **American Opportunity: A Communications Toolkit**
The Opportunity Agenda and The SPIN Project, 2006, 52 pages
spinproject.org/downloads/AmericanOpportunity.pdf
This toolkit is intended to help nonprofit leaders and organizers strengthen their communications in ways that build broader and more lasting support for social justice in the United States, by leveraging the core American value of “Opportunity for All” in their communications work (using the Opportunity Frame). The kit includes case studies of campaigns that have successfully used elements of the Opportunity Frame and concrete tools to help organizations apply this approach to their own work. Available for free download.
- **Bridging the Gap: Connecting Strategic Communication and Program Goals**
FoundationWorks, April 2003, 32 pages
www.foundationworks.org/pdfs/Bridging_The_Gap.pdf
This report concludes that foundations and their grantees can and should adopt a more strategic approach to communications—in large part by working together to address the barriers identified in the report. Based on in-depth interviews with a cross-section of foundation leaders and program staff, the report shares insights on how foundations perceive the relationship between strategic communication and program goals and how they use communications in their grantmaking. Available for free download.
- **Communicating Missions to the Public**
by Lisa Barr
Council on Foundations
www.cof.org/Members/content.cfm?ItemNumber=1207
A brief case study of the Self Family Foundation’s experience in using its annual report and the Internet to maintain constant and clear communication with the public.
- **Communicating with the Public: Tips for Getting Started**
Council on Foundations, 1 page
www.cof.org/files/Documents/Education_Collaborations/Communicating_with_the_Public_-_Getting_Started.pdf
Some basic ideas for foundations, particularly smaller foundations, to consider for communicating with the public about their work.
- **Communications for Social Good**
by Susan Nall Bales and Franklin D. Gilliam, Jr.
The Foundation Center, April 2004, 54 pages
foundationcenter.org/gainknowledge/research/pdf/practicematters_08_paper.pdf
This paper examines opportunities and techniques for foundations to leverage their social change goals through the use of communications media. The authors guide readers through decisions about the major aspects of communications campaigns, and call for greater collaboration among the philanthropic, academic and policy communities to study and improve approaches to communications in the public interest. Available for free download.
- **Communications Toolkit**
Hershey|Cause, 2005, 134 pages

www.hersheycause.com/download-signup.php

This toolkit is designed to show foundations and other nonprofits how to navigate their way through myriad communication efforts—from branding your organization and developing a communications plan to choosing the right approach for measuring results. Available for free download (sign-up required).

- **Community Organizing and Strategic Communications Tutorial**

The SPIN Project, 2005, 5 pages

spinproject.org/downloads/OrganizingAndCommunications.pdf

This user-friendly tutorial identifies a common set of strategic questions that community organizers face as they are embarking on and evaluating communications campaign efforts. These questions raise vital strategic choices that should be addressed consciously and deliberately at the beginning of a campaign's planning. Available for free download.

- **Creating Common Ground**

The McKnight Foundation, 2006, 26 pages

www.mcknight.org/resources

In this report, The McKnight Foundation chronicles the early years of an ongoing public information campaign, “Embrace Open Space,” to galvanize support for protecting and preserving undeveloped land in Minneapolis, St. Paul and surrounding communities for public use. The foundation's experience can be helpful for anyone interested in learning how to use communications to effectively collaborate around an issue.

- **Developing Relationships with Reporters**

The SPIN Project, 2005, 4 pages

spinproject.org/downloads/Reporters.pdf

This tutorial offers some important tips for strengthening relationships with individual reporters and expanding and prioritizing a media database. Available for free download.

- **Foundation Communications: A Survey of Current Practice – Executive Summary**

Brotherton Strategies, 2006, 2 pages

www.comnetwork.org/documents/Foundation%20Communications%20Practices.pdf

This summary presents the key findings of a survey conducted for the Evelyn & Walter Haas, Jr. Fund and James Irvine Foundation of the communication practices among a number of similar grantmaking foundations. The project was envisioned as a way to inform the emerging communication strategies taking shape at Haas and Irvine, but the findings can inform other organizations as well.

- **Identifying Your Target Audience**

The SPIN Project, 2006, 2 pages

spinproject.org/downloads/TargetAudience.pdf

This brief provides some practical guidance to help organizations identify and better understand their target audiences, which is key to any good communications effort. Available for free download.

- **Making American Foundations Relevant: Conversations with 21st Century Leaders in Philanthropy**
by Lisa Dropkin, Hollis A. Hope and Vikki N. Spruill
FoundationWorks, 2006, 32 pages
www.foundationworks.org/pdfs/foundations_relevant_book.pdf
This report concludes that the role and importance of the foundation sector does not register with critical audiences to the extent that it should, based on interviews with key sector and opinion leaders. The report presents essential and practical strategies for overcoming many of the barriers that hamper the ability of foundations to be more effective at addressing society's needs. Available for free download.
- **Now Hear This: The Nine Laws of Successful Advocacy Communications**
Fenton Communications, 2001
www.fenton.com/pages/5_resources/nowhearthis.htm
This free guide details Fenton Communications' approach to advocacy communication campaigns, with words of wisdom from more than 25 experts. Access each chapter of the guide or download the full guide from the link above.
- **Online Communications: Toward a Network-Centric Advocacy**
The SPIN Project, 2007, 6 pages
spinproject.org/downloads/onlinecomms.pdf
This tutorial summarizes some of the latest thinking and resources on online communications, to help organizations use online communications effectively in their communications planning and activities. Available for free download.
- **Philanthropy in the News**
by Hollis A. Hope, David P. Fan Ph.D. and Vikki N. Spruill
FoundationWorks, 2006, 24 pages
www.foundationworks.org/pdfs/media_book.pdf
This report offers an in-depth look at how the news media has covered foundations over 15 years, beginning in 1990. While the study finds that the number of philanthropy news stories is steadily increasing, the primary focus has been on the amount of money foundations have awarded individually and collectively, while only 1 percent of 38,000 stories analyzed discuss the benefit or impact of philanthropic activity. Available for free download.
- **Proving Your Worth: 10 Ways to Measure the Impact of Your Communications**
Fenton Communications, 2006, 14 pages
www.fenton.com/pages/5_resources/pdf/proving_your_worth.pdf
This practical guide outlines 10 key questions to help evaluate whether a communications campaign has been effective.
- **A Research Synthesis on Aspects of Foundations and Philanthropy**
FoundationWorks, 2006, 23 pages
www.foundationworks.org/pdfs/research_book.pdf
The report suggests that foundations spend more time examining their operations and grantmaking effectiveness than trying to understand external perceptions and attitudes, and explains how those perceptions might affect their ability to fulfill their missions. Available for free download.

- **Room with a Viewpoint: How to Create an Online Press Center That Reporters Return to Again and Again**
Fenton Communications, 2006, 8 pages
www.fenton.com/pages/5_resources/pdf/FentonOnlinePressRoomGuide.pdf
This white paper offers several tips on how to make a website more helpful to the news media, including a list of “must-haves” for an online media center. Available for free download.
- **Selling Healthy Lifestyles: Using Social Marketing to Promote Change and Prevent Disease**
Grantmakers in Health, Issue Brief No. 20, November 2004, 44 pages
www.gih.org/usr_doc/Selling_Healthy_Lifestyles_Issue_Brief.pdf
Focusing on the examples of tobacco use prevention and cessation, physical activity and healthy eating, this paper explores how health grantmakers have used social marketing to influence people to adopt healthier behaviors. Available for free download.
- **Strategic Communications Planning Tutorial**
The SPIN Project, 2005, 7 pages
spinproject.org/downloads/StrategicCommunications.pdf
This user-friendly tutorial offers some basic guidance on creating and adopting a strategic communications plan for a nonprofit organization. Available for free download.
- **This Just In: 10 Lessons from Two Decades of Public Interest Communications**
Fenton Communications, 2006, 15 pages
www.fenton.com/pages/5_resources/pdf/ThisJustIn.pdf
This guide outlines some best practices for public interest communications, based on key lessons learned from public relations strategies and trends over 23 years. Available for free download.

COMMUNITY FOUNDATIONS

- **Community Foundation Handbook: What You Need to Know**
by Elaine Gast
Council on Foundations, 2006, 278 pages
www.cof.org/publications
This handbook introduces community foundation CEOs and their staffs to the spectrum of choices available to them in the different aspects of their work—governance, management and administration, resource development and donor relations, grantmaking and community leadership, communications and marketing, and more. Available for purchase.
- **Community Foundations of America**
www.cfamerica.org
CFA is a subscription-based organization providing extensive resources to enhance the scale and impact of community-based philanthropy.
- **Council on Foundations Community Foundation Services**
www.cof.org/members/content.cfm?itemnumber=562&navItemNumber=1991
The Council’s community foundation services department offers products, publications,

- **The Future of Community Philanthropy**
Blueprint Research & Design, Inc. and Monitor Institute, 2005
www.communityphilanthropy.org
At this website you can access a report, toolkit and other resources that have been designed as a set of flexible, evolving materials to help community foundations continually adapt to the changing contexts in which they work.
- **The Guide for Community Foundation Board Members**
BoardSource and Council on Foundations, 2003
www.cof.org/publications
Intended as a manual for those new to community foundation service, this guide is a how-to for all community foundation board members. Available for purchase.

COMPENSATION: BOARD

- **At Issue: Voluntary or Compensatory Boards — Which Is the Better Policy?**
Council on Foundations, August 2003, 7 pages
www.cof.org/files/Documents/Governing_Boards/Board%20Briefs/BBBoardComp8.20031.pdf
This briefing provides the legal basics of compensating board members for board service, a sampling of the most common practices, and a breakdown of the pros of compensated vs. voluntary board service.
- **Board Compensation: Reasonable and Necessary?**
by Jason C. Born
National Center for Family Philanthropy, June 2001, 6 pages
www.ncfp.org/publications-main.html
This issue paper offers guidance on the legal regulations and board policies and considerations regarding board compensation.
- **Determining Reasonable Compensation for Foundation Directors and Trustees**
Council on Foundations, December 2002, 5 pages
www.cof.org/files/Documents/Governing_Boards/execcomp2003.pdf
Recommendations on good practices for setting compensation for foundation board members.
- **Foundation Expenses and Compensation: How Operating Characteristics Influence Spending**
Urban Institute, The Foundation Center, GuideStar, 2006
fdncenter.org/research/trends_analysis/pdf/fdn_exp_comp.pdf
This report takes a comprehensive look at expense and board/staff compensation patterns of the largest independent, corporate and community foundations and documents how major differences in foundations' operating characteristics have an impact on their expense levels. The findings shed light on what factors tend to drive administrative and operating expenses.

- **Trustee Compensation for Small Foundations**

Association of Small Foundations

www.smallfoundations.org

This primer provides a framework to help a board carry out a thoughtful discussion about trustee compensation and craft a policy that fits a foundation's unique outlook and circumstances. Available for purchase.

COMPENSATION: STAFF

- **Chief Executive Compensation: How Should Your Board Determine Compensation?**

BoardSource

www.boardsource.org/Knowledge.asp?ID=1.230

Compensation experts answer common questions surrounding chief executive compensation.

- **Dollars and Sense: The Nonprofit Board's Guide to Determining Chief Executive Compensation**

by Brian H. Vogel and Charles W. Quatt, Ph.D.

BoardSource, 2005, 82 pages

www.boardsource.org/Bookstore.asp

This book explains how nonprofits of all types can increase the transparency and integrity of chief executive compensation practices as part of their stewardship of the public trust. Available for purchase.

- **Foundation Expenses and Compensation: How Operating Characteristics Influence Spending**

Urban Institute, The Foundation Center, GuideStar, 2006

fdncenter.org/research/trends_analysis/pdf/fdn_exp_comp.pdf

This report takes a comprehensive look at expense and board/staff compensation patterns of the largest independent, corporate and community foundations and documents how major differences in foundations' operating characteristics have an impact on their expense levels. The findings shed light on what factors tend to drive administrative and operating expenses.

- **Grantmakers Salary and Benefits Report**

Council on Foundations

www.cof.org/publications

The Council publishes an annual report that lets you to compare salary ranges, policies and benefits packages against similar types of foundations. Available for purchase.

- **How Charities Evaluate Whether Their Employees' Salaries Are Equitable**

by Marilyn Dickey

Chronicle of Philanthropy, July 14, 2005

philanthropy.com/jobs/2005/07/21/20050721-230269.htm

This article describes how organizations can regularly analyze their salary structure.

- **Recommended Best Practices in Determining Reasonable Executive Compensation**

Council on Foundations, December 2002

www.cof.org/files/Documents/Governing_Boards/execcomp2003.pdf

Recommendations on good practices for setting compensation for a foundation's chief executive.

CONDUCTING RESEARCH/SHARING KNOWLEDGE

- **Case Study: The San Francisco Foundation & Proposition 54**

Northern California Grantmakers Public Policy Toolkit

www.ncg.org/toolkit/html/diggingdeeper/casestudies/sff.htm

This case study describes how The San Francisco Foundation played a key convening role and conducted pivotal research to help defeat California's Proposition 54 in 2003.

Commonly referred to as the Racial Privacy Initiative, the proposition would have banned the state from collecting any racial or ethnic data.

- **Employing Knowledge Management to Improve Performance: Six Brief Essays on Lessons Learned**

Charles and Helen Schwab Foundation, August 2004, 38 pages

www.schwabfoundation.org/index.php/uploads/378.pdf

This series of six brief essays shares the experiences of the Charles and Helen Schwab Foundation's Knowledge Management and Evaluation (KM&E) team and the lessons that they learned while applying KM&E to the foundation's program areas. Topics include the value of devoting resources to knowledge management, characteristics of a successful knowledge management system and how knowledge management aids in accountability within the philanthropic organization. Available for free download.

- **Knowledge Is an Asset, Too**

by Lucy Bernholz and Kendall Guthrie

Council on Foundations, Foundation News & Commentary, Vol. 41, No. 3, May/June 2000

www.foundationnews.org/CME/article.cfm?ID=412

The authors of this commentary piece argue that most foundations have barely begun to tap their information assets, and contend that those funders that can transform the information flowing through their doors into knowledge—and then get it out to the people and organizations in the field who can apply it—can significantly expand their influence.

- **Leveraging What You Know: Knowledge Management Strategies for Funders**

Grantmakers for Effective Organizations, 2004, 24 pages

www.geofunders.org/_uploads/documents/live/GEO2004KMReportFinal.pdf

This report provides an overview of knowledge management activities in philanthropy, and includes short case studies of how grantmakers are using new strategies to capture and share knowledge and information to improve their performance. Available for free download.

- **Scanning the Landscape: Finding Out What's Going On In Your Field**

by Ellen Arrick and Felicia Khan

GrantCraft, 2004, 28 pages

www.grantcraft.org/index.cfm?pageID=627

In this guide, grantmakers share their experiences in surveying issues and activities in a field and testing their ideas and observations with experienced practitioners before committing resources. Learn how to get started with a scan, explore its benefits and methods, ensure that it receives diverse input, and discover ways it can contribute to the field and inform people of your objectives. Available for free download.

- **Spending Smarter: Knowledge as a Philanthropic Resource**

by Lucy Bernholz

Blueprint R&D, June 2001, 33 pages

www.blueprintrd.com/text/spendsmarter.pdf

Written for the David and Lucile Packard Foundation, this paper describes how foundations can add value to their grantmaking by recognizing the value of their information assets—timely knowledge about social trends, community change and organizational behavior—and placing the same kind of emphasis on knowledge development, management and dissemination that they now do on grant processing. Available for free download.

CONFLICTS OF INTEREST

- **Conflicts of Interest at Foundations: Avoiding the Bad and Managing the Good**

BoardSource, Council of Michigan Foundations and Forum of Regional Associations of Grantmakers, 2005

www.cmif.org/Documents/COI_Guide.pdf

A guide designed to help board members and foundation managers define conflicts of interest, identify which transactions are absolutely prohibited and which are permissible if properly handled, and develop a conflict of interest policy that protects foundations, board members and foundation managers by taking self-interest out of the decision-making process. Includes a sample conflict of interest policy and disclosure questionnaire for foundations.

- **Conflicts of Interest: Safeguarding Your Foundation**

Council on Foundations, 2005

www.cof.org/files/Documents/Building%20Strong%20Ethical%20Foundations/Conflicts_of_Interest_Safeguarding_Your_Foundation.pdf

A compilation of Council articles on key issues regarding foundation conflicts of interest and sample conflict of interest policies for foundations. The guidebook includes articles on conflicts of interest as they relate to a foundation's lawyer serving as a trustee, a board member or other close affiliate managing a foundation's investments, and questions and information about conflicts of interest on the IRS Form 1023.

- **Sample Conflict of Interest Policy**

Donors Forum of Chicago, 2005

www.donorsforum.org/publictrust/ConflictOfInterestPolicy_sample.doc

- **Sample Conflict of Interest Policy for Nonprofit Corporations**

Minnesota Attorney General's Office

www.ag.state.mn.us/pdf/charities/ConflictInterestPolicy.pdf

- **Sample Conflict of Interest Policy**
Internal Revenue Service
www.irs.gov/instructions/i1023/ar03.html
The IRS has published a sample conflict of interest policy for health care organizations that is a useful reference for all types of charitable organizations—including foundations.
- **Sample IRS Conflict of Interest Policy Annotated for Grantmakers**
Council on Foundations
www.cof.org/files/Documents/Building%20Strong%20Ethical%20Foundations/Conflicts_of_Interest_IRS_Sample_Policy.pdf
This resource includes a reprint of the IRS sample conflict of interest policy for health care organizations with comments on how grantmakers might consider revising the policy.

CONVENING

- **The Brownfields Breakthrough**
by Darlene M. Siska
Council on Foundations, Foundation News & Commentary, Vol. 45, No. 3, May/June 2004
www.foundationnews.org/CME/article.cfm?ID=2902
This article describes the Rockefeller Brothers Fund's Innovative Brownfields Program to clean up New York City's abandoned and polluted properties, which involved a key convening role for the foundation. RBF's first step in the program was to serve as a convener and mediator, making a strong commitment to bringing warring parties to the table. Just one result of the initiative was the October 2003 enactment of the New York State Brownfields Law—the most significant environmental law in New York State in 20 years.
- **Case Study: The San Francisco Foundation & Proposition 54**
Northern California Grantmakers Public Policy Toolkit
www.ncg.org/toolkit/html/diggingdeeper/casestudies/sff.htm
This case study describes how The San Francisco Foundation played a key convening role and conducted pivotal research to help defeat California's Proposition 54 in 2003. Commonly referred to as the Racial Privacy Initiative, the proposition would have banned the state from collecting any racial or ethnic data.
- **Capacity Building Strategies**
Council on Foundations, Family Matters, Vol. 7, No. 2, Spring 2002
www.cof.org/files/Documents/Newsletters/FamilyMatters/fmspring02.pdf
This "Family Matters" newsletter reprint includes articles on how a foundation can help build nonprofit capacity beyond giving grants, including through convening, training and connecting to other funders.
- **Grantmaking Basics II: A Field Guide for Funders**
by Rushworth M. Kidder, Fred Setterberg and Colburn S. Wilbur
Council on Foundations, 2004, 98 pages
www.cof.org/publications
This book aims to help grantmakers benefit from the experience of their peers as they

pursue their continuing professional education, and includes a chapter on convening. Available for purchase.

- **The Power of Convening: Building a Learning Community and Fostering a Network in the Building Bridges Initiative**

by Linda Camino, Ph.D. and Katheryn Heidrich, Ph.D.

W.K. Kellogg Foundation, October 2003, 38 pages

www.wkkf.org/Pubs/PhilVol/PowerOfConvening_00251_03775.pdf

This report discusses some important lessons about convening that were learned from the W.K. Kellogg Foundation's Building Bridges Initiative. It explores the roots of the initiative and describes the transformation of the initiative's networking meetings into Learning Community Meetings.

CORPORATE PHILANTHROPY

- **Association of Corporate Contributions Professionals**

www.accprof.org

ACCP is a nonprofit advocacy and continuing education organization that helps corporations identify and adopt best practices and provides training for corporate professionals in the contributions, community relations and volunteerism fields.

- **Business for Social Responsibility**

www.bsr.org

BSR is a membership organization that helps companies demonstrate respect for ethical values, people, communities and the environment by providing expertise in designing and implementing successful, socially responsible business policies, practices and processes. BSR sponsors an annual conference and publishes issue briefs on the full spectrum of corporate social responsibility issues.

- **Boston College Center for Corporate Citizenship**

www.bcccc.net

The Center is a membership-based research organization dedicated to helping businesses leverage their social, economic and human assets to contribute to a more just and sustainable world. The Center offers executive education, publications and other resources.

- **Committee Encouraging Corporate Philanthropy**

www.corporatephilanthropy.org

CECP is the only international organization of corporate CEOs and chairs that focuses on corporate philanthropy. Founded by Paul Newman, the group convenes corporate leaders, conducts research and produces publications.

- **Conference Board**

www.conference-board.org

The Conference Board's Corporate Contributions Council is a membership-based organization designed to provide leadership to advance corporate philanthropy. It provides education, analyzes trends, produces reports and more.

- **Council on Foundations Corporate Grantmaking Services**
www.cof.org/members/content.cfm?ItemNumber=583&navItemNumber=2500
The Council's corporate grantmaking services department analyzes corporate giving trends and issues, produces publications, and assists members with informational needs. At the link above you can access the Council's Stewardship Principles for Corporate Grantmakers and many reports, tools and other resources on corporate philanthropy.
- **Principled Giving: An Introduction to Corporate Grantmaking Stewardship**
Council on Foundations, 2004, 24 pages
www.cof.org/publications
This booklet presents nine Stewardship Principles—crafted with the participation of hundreds of corporate grantmakers—and dozens of concrete practice options that corporate grantmakers can put to use in their organization. Available for purchase.

DIVERSITY

- **Building Board Diversity**
by Ellen Bryson
Council on Foundations, Foundation News & Commentary, Vol. 45, No. 6, November/December 2004
www.foundationnews.org/CME/article.cfm?id=3063
This article describes some of the actions that foundations can take to diversify their boards, and some of the issues and obstacles they may need to address regarding board diversity.
- **Building on a Better Foundation: A Toolkit for Creating an Inclusive Grantmaking Organization**
Donors Forum of Chicago, Minnesota Council on Foundations, New York Regional Association of Grantmakers and Northern California Grantmakers, 2001
www.mcf.org/mcf/resource/DiversityToolkitPF.pdf
This toolkit offers straightforward guidance to help funders practice diversity both within their organizations and in their grantmaking.
- **Cultures of Caring: Philanthropy in Diverse American Communities**
Council on Foundations, 1999
www.cof.org/Learn/content.cfm?ItemNumber=842
This report offers viewpoints on philanthropy from affluent donors who are African American, Asian American, Latino and Native American. The donors share their feelings about giving; how they select the organizations they support; and how they feel about establishing private foundations, setting up funds in community foundations and contributing to existing charities.
- **Diversity Matters**
by Sylvia Lindman
Minnesota Council on Foundations, Giving Forum, Spring 2001
www.mcf.org/mcf/forum/2001/diversity.htm
This article features profiles of how four Minnesota grantmakers are supporting diversity in different societal roles.

- **Ethnic, Racial, Tribal Philanthropy Knowledge Center**
Forum of Regional Associations of Grantmakers, Launched 2006
www.givingforum.org/retphilanthropy
This online knowledge center includes “how to” resources about the nuts and bolts of building racial, ethnic and tribal philanthropy; stories showcasing the diversity of the philanthropy field; and resources created especially for private and community foundations.
- **Grantmaking and Diversity: A Foundation Case Study**
by Anne C. Hallett
Council on Foundations
www.cof.org/Learn/content.cfm?ItemNumber=1305
A case study of the Wieboldt Foundation’s experience in diversifying its board.
- **It Takes a Village to Raise...Our Family Foundation**
by Edith Muma and Chad Raphael
Council on Foundations, Foundation News & Commentary, Vol. 41, No. 1, January/February 2000
www.foundationnews.org/CME/article.cfm?ID=488
This commentary by two trustees of the Jessie Smith Noyes Foundation describes why the family members behind the foundation decided that they could make better grants if they embraced the input of non-family members.
- **The Meaning and Impact of Board and Staff Diversity in the Philanthropic Field**
by Lynn C. Burbridge, William A. Díaz, Teresa Odendahl and Eileen Shaw
Joint Affinity Groups, 2002
www.workinggroup.org/lgbtfunders/jag/diversity_study.htm
This report shows that the philanthropy field has made some progress in becoming more diverse, but still faces many important challenges in addressing diversity issues if grantmakers are to respond effectively to the needs of the communities they serve.
- **What Foundation Boards Are Saying About Diversity**
Council on Foundations, 2003, 13 pages
www.cof.org/publications
Diverse board members from foundations across the country share their experiences of board service. Available for purchase.

DONOR INTENT

- **Donor Intent: Interpreting the Founder’s Vision**
The Philanthropy Roundtable
www.philanthropyroundtable.org/guidebooks/Donor%20Intent.pdf
Two essays discuss the parallels between constitutional interpretations of donors’ intentions and the question of how to best enforce donor intent.
- **Living the Legacy: The Values of a Family’s Philanthropy Across Generations**
National Center for Family Philanthropy, National Center Journal, Vol. 3, 2001, 169 pages
www.ncfp.org/publications-main.html
This journal provides guidance on how a founding donor’s intent can be interpreted,

maintained, adapted and carried out by succeeding generations of family foundation trustees and staff. Available for purchase.

- **Sharing Our Stories, Improving Our Work**
Council on Foundations, Family Matters, Vol. 7, No. 4, Fall 2002
www.cof.org/files/Documents/Newsletters/FamilyMatters/FMFall02.pdf
This archived newsletter highlights various ways for foundations to honor donor intent and pass on a founding donor's goals, expectations and values to future generations.
- **Story Time**
by Darlene M. Siska
Chronicle of Philanthropy, September 1, 2005
philanthropy.com/free/articles/v17/i22/22003501.htm
This article describes how some foundation leaders are using storytelling as a way to honor the founding donor's intent and share values and traditions.

ETHICAL ISSUES IN GRANTMAKING

- **Ethical Dilemmas: Right vs. Right**
Institute for Global Ethics
www.globalethics.org/resources/dilemmas.htm
At this website you can read several real-life ethical dilemmas faced by people and organizations in philanthropy, presented without resolution.
- **Good Governance: The Devil Is in the Details**
Independent Sector, May 2005
www.independentsector.org/members/perspectives505.html
William S. White, chairman, president and CEO of the Charles Stewart Mott Foundation, uses his foundation's experiences to demonstrate the commitment it takes to create an ethical, transparent organization.
- **Moral Courage**
by Rushworth Kidder
HarperCollins (New York), 2005
This book encourages readers to put ethical thinking into practice and explains how to apply moral values to difficult situations, understand risks, and endure the hardships brought on by moral courage. The author draws a distinction between moral and physical courage, placing an emphasis on the former. The format is based on anecdotes and examples of ordinary individuals who display moral courage in business, political or personal situations.
- **Obedience to the Unenforceable: Ethics and the Nation's Voluntary and Philanthropic Community**
Independent Sector, 2002
www.independentsector.org/PDFs/obedience.pdf
This report explains why and how nonprofit and philanthropic organizations need to promote sound ethical behavior.

EVALUATION

- **Assessing Our Work**

Council on Foundations, Family Matters, Vol. 6, No. 3, Summer 2001

www.cof.org/files/Documents/Newsletters/FamilyMatters/FMsummer01.pdf

This “Family Matters” newsletter reprint offers some practical tips and advice on evaluating foundation performance and practice.

- **The Evaluation Conversation: A Path to Impact for Foundation Boards and Executives**

by Patricia Patrizi

The Foundation Center, October 2006, 23 pages

foundationcenter.org/gainknowledge/research/pdf/practicematters_10_paper.pdf

This paper challenges foundation leaders to rethink the role of evaluation, and turn it into a vital institutional tool to achieve philanthropic purpose and improve strategy. The author suggests that foundations launch an evaluation conversation, in which CEOs and board members, assisted by evaluators, engage in an ongoing, collaborative inquiry that explores the key questions that underlie a foundation’s investments.

- **Evaluation Handbook**

W. K. Kellogg Foundation, 1998, 116 pages

www.wkkf.org/Pubs/Tools/Evaluation/Pub770.pdf

This popular guide provides a basic framework for thinking about evaluation. It outlines a blueprint for designing and conducting evaluations, either independently or with the support of an external evaluator/consultant. Available free for download.

- **The Evaluation Matrix for Community Foundations**

by Mark Kramer

Foundation Strategy Group, Perspectives for Community Foundations Newsletter, Spring 2004

www.fsg-impact.org/app/content/ideas/item/354

This article describes a 12-part matrix to help understand the varied meanings of evaluation for community foundations. The matrix shows that community foundation evaluation often refers to at least three different kinds of measures (impact, process, monitoring), each of which can be assessed at four different levels (grantee, donors, program area, foundation).

- **The Evaluation Matrix for Private Foundations**

by Mark Kramer

Foundation Strategy Group, Perspectives for Private Foundations Newsletter, Winter 2004

www.foundationstrategy.com/documents/Private-winter2004.pdf

This article describes a nine-part matrix to help understand the varied meanings of evaluation for private foundations. The matrix shows that private foundation evaluation often refers to at least three different kinds of measures (impact, process, monitoring), each of which can be assessed at three different levels (grantee, program area, foundation).

- **The Evaluation Wars**

by William A. Schambra

Association of Small Foundations, 2003

www.smallfoundations.org/why_give_/evaluation_wars

This essay offers tips to help a foundation “eyeball effectiveness” during a site visit (from *Philanthropy* magazine, May/June 2003, Vol. 17, No. 3, pp. 29-32, Philanthropy Roundtable).

- **Getting Inside the Story: Ethnographic Approaches to Evaluation**
by Craig McGarvey and Toby Folkman
GrantCraft, 2006, 12 pages
www.grantcraft.org/?pageID=618
This publication explores the usefulness of ethnography in evaluating a program’s real impact on an organization or community. Discussing both the benefits and drawbacks of this method of evaluation, the guide also offers case studies of how grantmakers have used ethnographic studies to document, evaluate and improve approaches to youth engagement, HIV education and neighborhood policing. Available for free download.
- **Grant Evaluation: Getting Started**
Council on Foundations
www.cof.org/Content/General/Display.cfm?contentid=893
A review of some basic evaluation activities and considerations for grantmakers.
- **Grant Evaluation: Knowing How and When to Monitor, Assess and Evaluate Grants**
Council on Foundations, The Family Advisor, 2003
www.cof.org/Content/General/Display.cfm?contentid=829
Some basic guidance and tips to help family foundations determine when and how to monitor, assess or evaluate their grants.
- **Indicators of Effectiveness: Understanding and Improving Foundation Performance**
Center for Effective Philanthropy, 2002, 42 pages
www.effectivephilanthropy.org/images/pdfs/indicatorsofeffectiveness.pdf
This report describes current practices in foundation performance assessment and provides a framework for overall performance assessment.
- **Learning Together: Collaborative Inquiry Among Grant Makers and Grantees**
by Craig McGarvey
GrantCraft, 2006, 10 pages
www.grantcraft.org/?pageID=619
This guide explores the evaluation method of “collaborative inquiry,” a process of learning together—with grantees, constituents, partners, funders and others—to approach an evaluative task. Available for free download.
- **Logic Model Development Guide: Using Logic Models to Bring Together Planning, Evaluation, and Action**
W. K. Kellogg Foundation, Updated January 2004, 72 pages
www.wkkf.org/Pubs/Tools/Evaluation/Pub3669.pdf
This guide describes the development and use of the program logic model to facilitate thinking, planning and communications about program objectives and actual accomplishments. Available for free download.

- **Making Measures Work for You: Outcomes and Evaluation**
by Craig McGarvey
GrantCraft, 2006, 12 pages
www.grantcraft.org/?pageID=835
The guide describes the commonly used, and sometimes debated, outcomes-based approach to grantmaker evaluation. The guide defines “outcomes,” answers common questions about outcomes measurement, and looks at tensions that drive the debate about outcomes measurement. Available for free download.
- **Mapping Change: Using a Theory of Change to Guide Planning and Evaluation**
by Anne Mackinnon, Natasha Amott and Craig McGarvey.
GrantCraft, 2006, 12 pages
www.grantcraft.org/?pageID=808
This brief guide explains why grantmakers use theories of change to guide their questioning, unearth assumptions that underlie their work, establish common language, and develop strong action plans. Contributors to the guide also describe how a theory of change sets the stage for evaluation by clarifying goals, strategies and milestones. Available for free download.
- **Measuring Foundation Performance: Examples from the Field**
by Kristen Putnam, M.S.W.
California HealthCare Foundation and Putnam Community Investment Consulting, 2004, 27 pages
www.chcf.org/documents/other/MeasuringFoundationPerformance.pdf
This report presents the results of a scan of the philanthropy field to determine how foundations are conducting foundation-wide evaluations, where a foundation assesses the performance and value of the organization as a whole. The report looks at what measures are being used for this type of evaluation, and what issues a foundation should consider before engaging in such an evaluation. Available for free download.
- **Measuring Innovation: Evaluation in the Field of Social Entrepreneurship**
by Mark Kramer
Foundation Strategy Group and Skoll Foundation, April 2005, 52 pages
www.fsg-impact.org/app/content/ideas/item/353
This white paper describes new approaches to evaluation in the rapidly emerging field of social entrepreneurship. Based on interviews with funders, thought leaders and social entrepreneurs, the paper provides an overview of evaluation practices in social entrepreneurship and highlights ways in which this new thinking might inform and benefit from other approaches to evaluation in philanthropy. Includes a selection of sample evaluation forms used by leading funders of social entrepreneurs. Available for free download.
- **Measuring Programmatic Success: Tips for Nonprofit Boards**
Innovation Network, Inc., 2 pages
www.cof.org/files/Documents/Governing_Boards/Board%20Tools/boardtips.pdf
A list of questions for board members to use to begin to think about program evaluation and ensure that their contribution is productive.
- **The Nonprofit Board's Role in Planning and Evaluation**
by John A. Yankey and Amy McClellan

BoardSource, 2003, 46 pages

www.boardsource.org/Bookstore.asp

This book describes how a board should be involved in strategic planning and how that plan should link to outcomes measurement. The authors describe different options for measuring organizational effectiveness and how to analyze both an organization and its specific programs. Available for purchase.

- **Sample Post-Grant Evaluation Checklist**

Council on Foundations, The Family Advisor, 2005

bestpractices.cof.org/family/ViewSample.cfm?itemNumber=1625

- **Sample Post-Grant Evaluation Report Format**

Council on Foundations, The Family Advisor, 2005

bestpractices.cof.org/family/ViewSample.cfm?itemNumber=1626

- **Sample Post-Grant Self-Evaluation Form**

Council on Foundations, The Family Advisor, 2005

bestpractices.cof.org/family/ViewSample.cfm?itemNumber=1627

- **Toward a Common Language: Listening to Foundation CEOs and Other Experts Talk About Performance Measurement in Philanthropy**

Center for Effective Philanthropy, 2002, 16 pages

www.effectivephilanthropy.org/images/pdfs/towardacommonlanguage.pdf

This report describes the growing interest in performance metrics among foundation leaders and a common language for thinking about overall performance.

EXPENDITURE RESPONSIBILITY

- **Equivalency or Expenditure Responsibility? A Guide in Plain English**

by Betsy Buchalter Adler and Stephanie L. Petit

Council on Foundations, 2005

www.cof.org/files/Documents/International_Programs/2005Publications/legaldimension_ER_ED.pdf

This article summarizes the basic features of equivalency and expenditure responsibility and suggests some factors that may lead a funder to choose one approach or the other.

- **Expenditure Responsibility Step by Step, Third Edition**

Council on Foundations, 2005

www.cof.org/publications

This publication outlines the extra steps the law requires of foundations to make grants to an entity that is not a 501(c)(3) public charity, and includes extensive sample forms and documents. Available for purchase.

- **IRS Letter Regarding Expenditure Responsibility**

Council on Foundations

www.cof.org/files/Documents/Legal/irsletter.pdf

- **Sample Expenditure Responsibility Grant Agreement and Pre-Grant Inquiry**

Council on Foundations

www.cof.org/Content/General/Display.cfm?CONTENTID=813

- **Sample Foreign Grant Expenditure Responsibility Letter**
Council on Foundations
www.cof.org/Content/General/Display.cfm?contentID=802
- **Sample Forms for Expenditure Responsibility**
United States International Grantmaking, Council on Foundations
www.usig.org/legal/sampleforms.asp

FAMILY PHILANTHROPY

- **Built On Principle: A Guide to Family Foundation Stewardship**
by Elaine Gast
Council on Foundations, 2006, 228 pages
www.cof.org/publications
This book provides guidance to family foundations on how to use the Council's Stewardship Principles for Family Foundations as a blueprint for excellence. Foundations can learn everything from grantmaking to legal compliance, honoring donor intent to surveying grantees, with sample documents, model practices and interviews with family foundations. Available for purchase.
- **Council on Foundations Family Foundation Services**
www.cof.org/members/content.cfm?itemnumber=573&navItemNumber=2478
The Council's family foundation services department offers products, services, analysis of trends and issues, opportunities for peer learning, and more. At the link above you can access the Council's Stewardship Principles for Family Foundations and many articles, reports, tools and other resources on family philanthropy.
- **Creating Change Through Family Philanthropy: The Next Generation**
by Alison Goldberg, Karen Pittelman and Resource Generation
Soft Skull Press (Brooklyn, NY), 2007, 192 pages
www.changephilanthropy.org
This publication gives young people the tools they need to not just participate in philanthropy but also help transform the field itself. Written specifically for young people ages 15-35, the guide shows how the "next generation" of leaders can bring their values to the table and move more resources to social justice.
- **Facing Forever: Planning for Change in Family Foundations**
by Elaine Gast
Council on Foundations, 2002, 80 pages.
This book deals primarily with the many dynamics of family foundations, but the issue of perpetuity is also touched upon either directly or indirectly throughout the book. Some of the most combative issues that lead to succession crises are addressed, such as donor intent, generational disagreement, strained board–staff relations, and the death of the foundation leader. Sample forms and policies are included. Available for purchase.
- **A Founder's Guide to the Family Foundation: How to Use, Enjoy and Govern Your Family Foundation**
by Douglas Freeman and Lee Hausner
Council on Foundations, 2006, 39 pages

www.cof.org/publications

This professional yet personal account of launching a foundation offers practical guidance in three key areas: governing the foundation, making grants and gifts, and transferring leadership. Written by a husband-and-wife team who started their own family foundation, the publication includes guidelines for evaluating the effectiveness of grants and a set of recommendations for succession to ensure that the foundation and its legacy endure. Available for purchase.

- **Generations of Giving: Leadership and Continuity in Family Foundations**

by Kelin Gersick

National Center for Family Philanthropy, 2006, 304 pages

www.ncfp.org/GOG_info.html

Using detailed and comprehensive analysis, this publication examines continuity and leadership over time within family foundations. Based on a study of foundations in the United States and Canada that have survived through at least two generations, the authors ask probing questions, including why the foundations were started, what they looked like at the beginning, how the families of the founders came to be involved, and how they have organized themselves to do their work from year to year, decade to decade. Available for purchase.

- **National Center on Family Philanthropy**

www.ncfp.org

NCFP is a national resource center devoted solely to supporting the goals and needs of families engaged in philanthropy. At NCFP's website you'll find information on the organization's many books, guides, reports, teleconferences and newsletters (some free, some for purchase) that cover all major issues and aspects of family giving.

- **Splendid Legacy: The Guide to Creating Your Family Foundation**

National Center for Family Philanthropy, 2002

www.ncfp.org/publications-splendid_legacy.html

This publication offers practical advice on setting up a family foundation, covering such topics as creating a mission, choosing a board, establishing a grantmaking program and developing communications strategies. Available for purchase.

FISCAL AGENCY/FISCAL SPONSORSHIP

- **Fiscal Agency Versus Fiscal Sponsorship**

by Jane C. Nober

Council on Foundations, Foundation News & Commentary, Vol. 45, No. 6, November/December 2004

www.foundationnews.org/CME/article.cfm?ID=3069

This legal brief outlines what foundations need to know to stay out of trouble with third-party representatives.

- **Fiscal Sponsorship: Six Ways to Do It Right, Second Edition**

by Gregory L. Colvin

Council on Foundations, 2005, 108 pages

www.cof.org/publications

This guide offers basic information that grantmakers need to know before making any payments to a fiscal agent or fiscal sponsor.

FOUNDATION & GRANTMAKING BASICS

- **First Steps in Starting a Foundation, Fifth Edition**

by John A. Edie

Council on Foundations, 2005, 134 pages

www.cof.org/publications

In a format intended for the non-lawyer, this guide discusses the various types of organizations generally classified as “foundations” by the public. The volume identifies the requirements for establishing each type, along with their advantages and disadvantages, and the regulations for governing foundations. Available for purchase.

- **Foundation in a Box**

Association of Small Foundations

foundationinabox.org

An online and print collection of materials designed for smaller foundations, covering the basics of foundation boards, investments, administration, grantmaking, taxes and legal issues. Available for purchase.

- **Foundation Operations and Management Survey**

Association of Small Foundations

www.smallfoundations.org/programs/annual_member_survey

This annual report provides useful benchmarking data on boards, investment, administration and grantmaking for foundations with under \$50 million in assets. Available for purchase.

- **Glossary of Terms in Philanthropy**

Donors Forum of Chicago, 2001, 8 pages

www.donorsforum.org/forms_pdf/glossary.pdf

This classic booklet is a useful guide to the most commonly used terms in philanthropy. Available for purchase at www.donorsforum.org or as a free download at the link above.

- **Grant Makers on Their Role**

GrantCraft, 2002, 5 minutes

www.grantcraft.org/index.cfm?pageID=608

This video offers a quick look at how different grantmakers view their role. It's a virtual conversation between practitioners about their craft—and a helpful tool to get a conversation going about grantmaking practice. Available for free download.

- **The Grant Maker's Role**

GrantCraft, 2005, 5 minutes

www.grantcraft.org/index.cfm?pageID=596

These introductory comments are based on an interview with Ford Foundation President Susan Berresford, who shares her perspective on grantmaking and the issues grantmakers commonly face as they take up the role. Available for free download.

- **Grantmaking Basics: A Field Guide for Funders**
by Barbara D. Kibbe, Fred Setterberg and Colburn S. Wilbur
Council on Foundations, 2005, 138 pages
www.cof.org/publications
This book details the daily routines in a funder's life, including techniques for reviewing grant proposals, how to conduct site visits and interviews, fiscal accounting and managing the six most common financial reports, and evaluating effectiveness. The guide also outlines a grantmaker's basic roles and responsibilities and how to increase communication skills with a board. Available for purchase.
- **Grantmaking Basics II: A Field Guide for Funders**
by Rushworth M. Kidder, Fred Setterberg and Colburn S. Wilbur
Council on Foundations, 2004, 98 pages
www.cof.org/publications
This volume goes beyond the basics and offers additional information, guidance and tips intended to further educate the program officer, foundation executive, board member or others engaged in the complicated business of giving away money. The book aims to help grantmakers benefit from the experience of their peers as they pursue their continuing professional education. Available for purchase.
- **The Handbook on Private Foundations, Third Edition**
by David F. Freeman
Council on Foundations, 2005, 320 pages
www.cof.org/publications
Beginning with a brief history of foundations in the United States, this practical guide to foundation work covers issues in day-to-day foundation management, including grantmaking, grantor/grantee collaboration, public relations, government regulations, and managing foundation assets. Available for purchase.
- **The New Foundation Guidebook**
Association of Small Foundations, 2003
www.smallfoundations.org/programs/new_foundation_guidebook
This publication contains articles and advice from over 40 foundation representatives and experts, and includes chapters on vision and mission, the board of directors, tax and legal issues, administration, financial and investment management and grantmaking. Available for purchase.
- **Nonprofit Lifecycles: Stage-based Wisdom for Nonprofit Capacity**
by Susan Kenny Stevens
Stagenise Enterprises (Wayzata, MN), 2002, 140 pages
www.larsonallen.com/publicservice/lifecycle.asp
This book presents the classic seven nonprofit lifecycle stages and the predictable tasks, challenges and inevitable growing pains that nonprofits encounter and can hope to master on the road to organizational sustainability. The concepts in the book can help grantmakers understand how to effectively strengthen and build the capacity of nonprofits at different stages in their lifecycle. Available for purchase.

- **Personal Strategy: Mobilizing Yourself for Effective Grantmaking**
GrantCraft, 2005, 24 pages
www.grantcraft.org/index.cfm?pageID=786
Drawing on the experiences of over 100 grantmakers, this guide is designed to help grantmakers resolve ambiguous personal situations rather than more straightforward technical problems. The book offers concepts and techniques for dealing with such issues as presenting proposals to the board, giving critical feedback to grantseekers or conducting difficult conversations with grantees. Available for free download.
- **Starting as a New Grant Maker: Mozambique Sustainable Wilderness Development Initiative Case**
GrantCraft, 2005, 21 minutes
www.grantcraft.org/index.cfm?pageID=597
This video looks at a variety of issues commonly faced by new program officers as they take up their role—from finding promising ideas, to understanding the dynamics of good grantee/grantor relations, to helping grantees collaborate effectively with others. Available for free download.
- **Ten Tips to a Wise Grantmaker**
by Jane Kendall
Council on Foundations
www.cof.org/Content/General/Display.cfm?contentID=920
What nonprofits say about how a foundation can get the most for each dollar it invests through them.

FOUNDATION & GRANTMAKING DATA & STATISTICS

- **FC Stats – Grantmaker & Grants Statistics**
Foundation Center
foundationcenter.org/findfunders/statistics/about.html
This free online resource provides access to a wealth of statistical data on U.S. private and community foundations and their funding patterns. FC Stats' tables and ranked lists present the most frequently requested types of summary financial data on foundations at the national, state and major metropolitan-area levels, as well as detailed data on funders and funding patterns by subject area, type of support, population group and geographic focus.
- **Foundation Giving Trends: Update on Funding Priorities, 2008 Edition**
Foundation Center, February 2008
foundationcenter.org/gainknowledge/research/pdf/fgt07highlights.pdf
This annual report offers the latest data and trends on giving by foundations in the United States. Download a summary at the link above or order the full report at foundationcenter.org/marketplace.
- **Foundation Growth and Giving Estimates: Current Outlook**
Foundation Center, April 2008
foundationcenter.org/marketplace

This report provides a first look at estimates of foundation giving for 2007 and final statistics on actual giving and assets for 2006.

- **Foundation Yearbook: Facts and Figures on Private and Community Foundations**

Foundation Center, June 2008

foundationcenter.org/marketplace

This report documents changes in the number, giving and assets of U.S. foundations from 1975 through 2006 and provides estimates of foundation giving through 2007.

GOVERNANCE/BOARDS

- **Beyond Compliance: The Trustee Viewpoint on Effective Foundation Governance**
by Phil Buchanan, et al.

Center for Effective Philanthropy, November 2005

www.effectivephilanthropy.com/images/pdfs/CEP_Beyond_Compliance.pdf

Based on a large-scale research study of nearly 550 trustees of over 53 large grantmaking foundations, this report reflects the views of real foundation trustees on board effectiveness. Included are perspectives on the impact of board members' capabilities and skills and board involvement in various areas, as well as strategies that these trustees have used to implement effective governance.

- **Effective Governance for Unstaffed Foundations**

Association of Small Foundations

www.smallfoundations.org

This primer describes the full range of governance responsibilities, and how unstaffed foundations can carry them out effectively and efficiently. Available for purchase.

- **Fiduciary Duties of Directors of Charitable Organizations: A Guide for Board Members**

Minnesota Attorney General Charities Division

www.ag.state.mn.us/Charities/FiduciaryDuties.asp

A guide to help directors understand their fiduciary duties of care, loyalty and obedience to the law.

- **Foundation Governance: The CEO Viewpoint**

Center for Effective Philanthropy, 2004

www.effectivephilanthropy.org/images/pdfs/governanceceoview.pdf

This report explores what foundation CEOs view as the key attributes of effective foundation boards.

- **The Nonprofit Board's Guide to Bylaws**

by D. Benson Tesdahl

BoardSource, 2003, 32 pages

www.boardsource.org/Bookstore.asp

Practical guidance on how to develop, review and adjust bylaws, with sample bylaw provisions. Available for purchase.

- **The Nonprofit Policy Sampler, Second Edition**
by Barbara Lawrence and Outi Flynn
BoardSource, 2006
www.boardsource.org/Bookstore.asp
This book and CD-ROM tool provides key elements and practical tips for nonprofit policies in 48 topic areas, with more than 240 sample policies, job descriptions, committee charters, codes of ethics, board member agreements, mission and vision statements, and more. Available for purchase.
- **Policymaking Made Clear: Eleven Foundation Policies Your Board Should Consider**
Association of Small Foundations
www.smallfoundations.org
This primer walks a foundation through 11 policies that can help it operate more efficiently, align daily operations with its mission, fulfill its legal and ethical responsibilities, increase transparency, and orient new board members. Available for purchase.
- **Qualities of the Good Trustee**
Association of Small Foundations
foundationinabox.org/guide/boards/qualities_of_a_good_trustee/file
A list of the basic qualifications that apply to board members for all types of foundations (reprinted from “Foundation Trusteeship: Service in the Public Interest,” The Foundation Center, 1989).
- **Sample Board Member Roles and Responsibilities**
Donors Forum of Chicago, 2005
www.donorsforum.org/publictrust/BoardRoles_sample.doc
- **Sample Board of Director Responsibilities**
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?CONTENTID=1125
- **The Source: Twelve Principles of Governance That Power Exceptional Boards**
BoardSource, 2005, 28 pages
www.boardsource.org/Bookstore.asp
This publication offers 12 principles that define governance not as dry, obligatory compliance, but as a creative and collaborative process that supports chief executives, engages board members, and furthers the causes they all serve.
- **The Trustee Notebook: An Orientation for Family Foundation Board Members**
by Robert H. Hull
National Center for Family Philanthropy, 1999, 85 pages
www.ncfp.org/publications-main.html
This publication includes an overview of the basic laws and regulations that govern trustees of family foundations. The manual's design allows you to create a basic trustee orientation handbook by including the governance and management documents of your own foundation. Available for purchase.

GOVERNMENT OVERSIGHT

- **Governing Nonprofit Organizations: Federal and State Law and Regulation**
by Marion R. Fremont-Smith
The Belknap Press of Harvard University Press (Cambridge, MA), 2004, 570 pages
This volume provides a background to the history of the nonprofit sector and charities and includes extensive information on the IRS tax code. Excise taxes, the revocation of exemption, self-dealing, political prohibitions, and other federal regulations are all covered in this reference book. Issues regarding the judicial system and the appeals process concerning nonprofits and charities are also covered. The appendices include an index of federal and state laws listed by statute. Available for purchase.
- **Government Regulation of Charities: An Overview**
by David Biemesderfer and Andras Kosaras
Council on Foundations and Forum of Regional Association of Grantmakers, 2006, 13 pages
www.givingforum.org/cgi-bin/doc_rep/public/file.pl/3666/regpuboverview.pdf
An overview of federal and state regulation of charities as it affects the governance of foundations, including a review of attorney general oversight in 16 key states. This is an excerpt from a larger publication, “The Value of Relationships Between State Regulators & Philanthropy,” and includes substantial material and technical assistance from Marion R. Fremont-Smith.

GRANT APPLICATION PROCESS

- **Best of the Worst Practices**
by Bruce Sievers and Tom Layton
Council on Foundations, Foundation News & Commentary, Vol. 41, No. 2, March/April 2000
www.foundationnews.org/CME/article.cfm?ID=448
The article offers a list of the top ten worst grantmaker practices, told from the viewpoint of grant applicants and recipients, based on real experiences.
- **Common Grant Application Forms**
www.givingforum.org
The Forum’s website provides links to the common grant applications that have been developed by regional associations of grantmakers around the country. Common grant applications can help new grantmaking organizations save time in developing an effective application, and help streamline the grantmaking and grantseeking process.
- **Sample Grant Applicant/Grantee Letters**
Association of Small Foundations, 2002
foundationinbox.org/guide/grantmaking/sample_letters/file
Sample letters of decline, requests for additional information, award letters, and grant agreement letters.
- **Sample Proposal Acknowledgement Letter**
Council on Foundations, 2001
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Proposal_Acknowledgment_Letter.pdf

- **Saying Yes/Saying No to Applicants**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=628
This guide helps grantmakers say Yes, or No, to grant applications so that applicants understand the foundation's rationale, feel that they have been treated fairly, and can make realistic plans about their next steps. Available for free download.
- **Saying Yes/Saying No to Applicants: Advice from Grantseekers**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=687
Grantseekers offer some principles for good grant decision-making.
- **Saying Yes/Saying No to Applicants: Key Lessons from Grantmakers**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=688
Experienced grantmakers offer advice on how to effectively communicate funding decisions to grant applicants.
- **Saying Yes/Saying No to Applicants: Preparing for Difficult Conversations**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=690
Advice for grantmakers on how to prepare for saying No to hopeful applicants or negotiating differences of perspective with existing grantees.
- **Using Competitions & RFPs**
GrantCraft, 2003
www.grantcraft.org/index.cfm?pageID=718
This guide describes when grant competitions or Requests for Proposals (RFPs) make the most sense for grantmakers, and explores ways for funders to shape and manage a competition so that it serves their goals. Available for free download.

GRANTMAKER SUPPORT ORGANIZATIONS

- **Association of Small Foundations**
www.smallfoundations.org
ASF is a national membership organization of foundations with few or no staff. The organization offers resources designed to meet the specific needs of smaller foundations, some available free on its website but most available for purchase and/or to ASF members.
- **BoardSource**
www.boardsource.org
BoardSource seeks to increase the effectiveness of nonprofit organizations by strengthening boards of directors through its consulting practice, publications, tools and membership program. The organization offers many resources on its website—some free and some for purchase—to address all areas of foundation and nonprofit governance.

- **Council on Foundations**
www.cof.org
The Council is the leading national membership organization for foundations and corporate giving programs of all types and sizes. The Council's website offers a wide range of resources for grantmakers on the grantmaking process, management, operations and governance.
- **Foundation Center**
www.foundationcenter.org
The Foundation Center is the leading national research organization on U.S. foundations. At the Center's website you'll find a wealth of information on U.S. foundation giving statistics and trends.
- **GrantCraft**
www.grantcraft.org
GrantCraft, a project of the Ford Foundation, offers guides, cases and videos that illuminate the challenges and skills of the grantmaking craft. You can download free copies of all GrantCraft resources at its website, or purchase printed materials.
- **Grantmaker Affinity Groups**
www.cof.org/Network/content.cfm?ItemNumber=584&navItemNumber=4168
An array of national grantmaker affinity groups provide opportunities for grantmakers with common interests to meet each other, share knowledge and encourage collaborative funding. Some affinity groups are formed around the identity of the population served. Some are formed around particular grant issue areas. Still others are formed around position and function. Visit the website link above for a list of all major grantmaker affinity groups, with links to the groups' websites, if available.
- **GuideStar**
www.guidestar.org
GuideStar offers a free online database of the IRS filings (Forms 990s and 990-PF) of more than 1 million foundations and other nonprofits. An invaluable research tool for grantmakers.
- **Independent Sector**
www.independentsector.org
Independent Sector is the leading national membership organization for the entire nonprofit sector—charities, foundations and corporate giving programs. Its website includes helpful resources for nonprofits and grantmakers on public policy and accountability.
- **Philanthropy Roundtable**
www.philanthropyroundtable.org
The Philanthropy Roundtable is a national membership association of individual donors, foundation trustees and staff, and corporate giving officers. The organization's services include an annual meeting, regional meetings, a magazine, and guidebooks on a variety of philanthropy topics.
- **Regional Associations of Grantmakers**
www.givingforum.org/ralocator.html

Regional associations of grantmakers are located across the country to provide education, information and networking opportunities for grantmakers. These membership associations cover various geographic service regions, including metropolitan areas, all or part of a state, and multi-state regions. RAs are great sources of information about grantmaking trends and community issues and needs in your region, and are perhaps the best way to meet other grantmakers in your area. Visit the website link above to locate a regional association of grantmakers in your region.

GRANTMAKING DUE DILIGENCE/PROPOSAL REVIEW

- **Basics of Proposal Review**

Association of Small Foundations

www.smallfoundations.org

This primer provides guidance on how a board can focus its time on the proposals most relevant to the foundation's interests. Available for purchase.

- **The Due Diligence Tool: For Use in Pre-Grant Assessment**

Grantmakers for Effective Organizations, 2004

www.geofunders.org/_uploads/documents/live/GEO%20Due%20Diligence%20Tool.pdf

This tool provides grantmakers with a complete guide to the due diligence process in assessing grant proposals, and includes sample worksheets and interview questions.

- **GuideStar**

www.guidestar.org

GuideStar offers a free online database of the IRS filings (Forms 990s and 990-PF) of more than 1 million foundations and other nonprofits. An invaluable research tool for grantmakers.

- **How to Review Grant Proposals and Conduct Site Visits & Interviews**

by Barbara D. Kibbe, Fred Setterberg and Colburn S. Wilbur

Association of Small Foundations, 2002

foundationinabox.org/guide/grantmaking/proposals__the_evaluation/file

A summary of the key steps and processes for reviewing grant proposals and conducting effective site visits (reprinted from "Grantmaking Basics, A Field Guide for Funders," Council on Foundations, 1999, pp. 15-26, 27-44).

- **IRS Charities Search**

apps.irs.gov/app/pub78

Grantmakers can verify the tax exemption status of more than 300,000 charitable organizations by using this online version of IRS Publication 78, "Cumulative List of Organizations," which is a valuable resource for grantmakers in conducting due diligence on grant applicants. Hard copies can also be obtained from the Government Printing Office.

- **Pre-Grant Due Diligence Review**

Council on Foundations

bestpractices.cof.org/family/ViewSample.cfm?itemNumber=1631

- **Primer on Grantmaking**
by Edward Skloot
Association of Small Foundations, 2006
www.smallfoundations.org/why_give_/primer_on_grantmaking
This online primer covers some basic tools needed to assess a grant proposal effectively.
- **Proposals: How to Separate the Good, Bad and the Ugly**
by Joel Orosz
Council of Michigan Foundations, 1996
www.cmif.org/documents/goodbadugly.pdf
A speech by Joel Orosz, former W.K. Kellogg Foundation grantmaker and lead faculty of The Grantmaking School, who shares 12 principles for reviewing grant proposals, based on his years of experience in the field.
- **Sample Proposal Review Worksheet**
by Stephanie McAuliffe
Council on Foundations, 2002
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Sample_Proposal_Review_Worksheet.pdf

GRANTMAKING MISSION, STRATEGY & GUIDELINES

- **A Colleague's Perspective on Mission and Vision Statements**
by William Graustein
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?contentid=457
William Graustein, a trustee of the William Caspar Graustein Memorial Fund, shares his foundation's experience in developing a mission and vision statements.
- **Developing a Mission Statement: The Board Retreat Option**
by George Thomas
Council on Foundations, 2003
www.cof.org/Members/content.cfm?ItemNumber=975
A "do-it-yourself" guide to developing a foundation mission statement during a board retreat.
- **Developing a Mission Statement: The Step-by-Step Option**
Council on Foundations
www.cof.org/Content/General/Display.cfm?contentID=998
A practical, step-by-step process for developing a foundation mission statement with board, staff and volunteers.
- **Developing Mission and Guidelines**
by Virginia Peckham
Association of Small Foundations, 2002
foundationinbox.org/guide/grantmaking/developing_a_mission/file

An overview of the basic steps for developing a foundation mission and grantmaking guidelines (reprinted from “Grantmaking With a Purpose: Mission and Guidelines,” National Center for Family Philanthropy, 2000, pp. 9-25).

- **Fieldstone Alliance Nonprofit Guide to Crafting Effective Mission and Vision Statements**
by Emil Angelica
Fieldstone Alliance (St. Paul, MN), 2001, 88 pages
www.fieldstonealliance.org
This book will guide your organization through a six-step process that results in a mission statement, vision statement or both. Includes sample mission and vision statements, step-by-step instructions, and worksheets. Available for purchase.
- **Grantmaking Basics Q&A: What Mission & Guidelines Include**
Association of Small Foundations, 2002
foundationinabox.org/guide/grantmaking/z1_1
Answers to basic questions about the grantmaking process, including how and why to develop a mission and guidelines and when to do a site visit.
- **Grantmaking With a Purpose: Mission and Guidelines**
by Virginia Peckham
National Center for Family Philanthropy, 2000, 51 pages
www.ncfp.org/publications-main.html
This publication describes how a foundation can develop and use a mission statement to inform its decision-making process. Available for purchase.
- **Sample Grantmaking Guidelines**
Association of Small Foundations, 2002
foundationinabox.org/guide/grantmaking/four_sample_grant_giving/file/index_html
- **Sample Grantmaking Guidelines**
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?CONTENTID=795
- **Scanning the Landscape: Finding Out What's Going On In Your Field**
by Ellen Arrick and Felicia Khan
GrantCraft, 2004, 28 pages
www.grantcraft.org/index.cfm?pageID=627
In this guide, grantmakers share their experiences in surveying issues and activities in a field and testing their ideas and observations with experienced practitioners before committing resources. Learn how to get started with a scan, explore its benefits and methods, ensure that it receives diverse input, and discover ways it can contribute to the field and inform people of your objectives. Available for free download.
- **Values, Vision, and Mission – What’s the Difference?**
by Elaine Gast
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?contentID=674
Summary descriptions of grantmaker values, vision and mission statements.

GRANTS MANAGEMENT/GRANTS REPORTING

- **Best Practices in Grants Management**
Council on Foundations, 2001, 124 pages
www.cof.org/publications
This guide covers the best practices for every step of administering a grantmaking program. Available for purchase.
- **Common Reporting Forms**
Forum of Regional Associations of Grantmakers
www.givingforum.org
The Forum's website provides links to common reporting forms that have been developed by regional associations of grantmakers around the country.
- **Grant Agreements & Advocacy**
Alliance for Justice
www.allianceforjustice.org/foundation/technical_resources/grant_agreements.html
Guidance for foundations on the correct language to use in grant agreement letters regarding lobbying or other advocacy activities, including a sample grant agreement letter.
- **Grants Management Forms**
Council on Foundations
www.cof.org/learn/content.cfm?itemnumber=1451
A free collection of sample forms to use during all stages of managing a grant.
- **Sample Completion Report**
Council on Foundations, 2003
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Sample_Completion_Report.pdf
- **Sample Grant Agreement**
Council on Foundations
www.cof.org/Council/content.cfm?itemNumber=1333
- **Sample Grant Agreement Letter for Grants to Public Charities**
Alliance for Justice, 2003
www.allianceforjustice.org/foundation/technical_resources/Sample_Grant_Agreement.pdf
- **Sample Grant Close-Out Letter**
Council on Foundations, 2001
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Close-out_Letter.pdf
- **Sample Grant Contract**
Council on Foundations
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Grant_Contract.pdf
- **Sample Grant Expenditure Report**
Council on Foundations, 2001

www.cof.org/files/Documents/WebNotebook/July2003/Grants/Expenditure_Report.pdf

- **Sample Grant Progress Report Form**

Council on Foundations, 2001

www.cof.org/files/Documents/WebNotebook/July2003/Grants/Sample_Grantee_Progress_Report.pdf

- **Sample Grant Reporting Guidelines**

Council on Foundations

www.cof.org/files/Documents/Grantmaking_Basics/PDF/sample_guidelines.pdf

- **Sample Reporting Requirements Letter**

Council on Foundations

www.cof.org/files/Documents/Grantmaking_Basics/PDF/sample_reporting_letter.pdf

GRANTS TO INDIVIDUALS & THE LAW

- **Awarding Grants to Individuals**

by Sara Beggs

Association of Small Foundations, 2006

www.smallfoundations.org

This primer covers the regulations associated with grants to individuals, and offers hints for making grant distribution easier. Available for purchase.

- **Grants to Individuals by Community Foundations, Second Edition**

by Jane C. Nober

Council on Foundations, 2004

www.cof.org/publications

Though written for community foundations and other public charities, this book provides an extensive discussion on both scholarships and disaster relief grants that can be useful to private foundations considering programs in these areas. Available for purchase.

- **Grants to Individuals by Private Foundations**

by Edward J. Beckwith with John A. Edie, Editor

Council on Foundations, 2004, 36 pages

www.cof.org/publications

This book covers the legal considerations, special rules and possible tax consequences for private foundations providing grants to individuals. Available for purchase.

HISTORY & CURRENT ISSUES IN GRANTMAKING

- **Creative Philanthropy**

by Helmut K. Anheier and Diana Leat

Routledge (London, New York), 2006, 288 pages

foundationcenter.org/newyork_newsletter/comm/CreativePhilanthropy.pdf

This book provides an overview of creative philanthropy as a strategy for philanthropists and foundation leaders to become more effective and efficient, and offers an analysis of

the theory and practice of philanthropy. Read the book's executive summary at the link above.

- **The Foundation: A Great American Secret**
by Joel L. Fleishman
Public Affairs (New York), 2007
This book gives an overview of the civic sector and the role of philanthropy in society, offers insights into how foundations operate, describes how foundations benefit all Americans, and examines some key challenges for today's foundations. It includes case studies on high impact philanthropy and strategies for increasing the effectiveness of philanthropy.
- **In Search of Impact: Practices and Perceptions in Foundations' Provision of Program and Operating Grants to Nonprofits**
by Judy Huang, Phil Buchanan and Ellie Buteau, Ph.D.
Center for Effective Philanthropy, December 2006
www.effectivephilanthropy.com/images/pdfs/CEP_In_Search_of_Impact.pdf
This report informs the debate on operating support with new data about current foundation practices, attitudes underlying those practices, and the impact on grantees of foundation choices. The report explores what motivates foundation CEOs in their decision-making, examining the tension between CEOs' sense of what is best for their foundations and what they believe will make the most positive impact on grantees. *In Search of Impact* also probes the grantee perspective through an analysis of thousands of survey responses and a set of interviews with nonprofit leaders, revealing the importance of other grant attributes that have been overshadowed in the debate about type of support.
- **Looking Out for the Future**
by Andrew Blau and Katherine Fulton
Global Business Network and Monitor Institute, 2005
www.futureofphilanthropy.org
An analysis of long-term societal trends—from technology to demographic shifts—and their influence on philanthropy. The report is the result of four years of study and interviews with more than 5,000 leaders. At the website link above you can download the executive summary, the full report or selected sections of the report.
- **Philanthropies Working Together: Myths and Realities**
by Robert Hughes
Foundation Center, Practice Matters: The Improving Philanthropy Project, February 2005
foundationcenter.org/gainknowledge/practicematters
This report explores the advantages and disadvantages of collaboration between foundations, answering the questions of when such a collaboration is beneficial and how organizations can pool their resources without ceding control of their values and goals. In addition, examples of some recent collaborations are analyzed. Available for free download.
- **Philanthropy in the 21st Century**
by Susan V. Berresford
Ford Foundation, 2006

www.fordfound.org/news/view_speeches_detail.cfm?news_index=112

A discussion by the president of the Ford Foundation on the role of philanthropy in society and the five key issues in the field today: repeal of the estate tax, payout level, venture or bottom-line philanthropy, donor intent, and how funders relate to social change.

- **Strategic Giving: The Art and Science of Philanthropy**
by Peter Frumkin
University of Chicago Press, 2006, 488 pages
In this book the author describes how donors could benefit from having a comprehensive plan to guide their giving. He argues that contemporary philanthropy requires a thorough rethinking of its underlying logic, and that it should be seen as both a powerful way to meet public needs and a meaningful way to express private beliefs and commitments.
- **Taking Philanthropy Seriously: Beyond Noble Intentions to Responsible Giving**
by William Damon and Susan Verducci
Indiana University Press, 2006, 254 pages
The authors of this book explain why many acts of charitable giving fail in their stated goals and some are actually harmful. They outline solutions ranging from those that equip philanthropists to do good work to those that build a domain of philanthropic knowledge, ethical codes and best practices. Attention is also given to considering recipients' needs, frustrations and hopes for support.
- **Worst-Case Scenario or the Perfect Storm?**
by Emmett D. Carson
Council on Foundations, Foundation News & Commentary, Vol. 45, No. 1, January/February 2004
www.foundationnews.org/CME/article.cfm?ID=2740
Carson's article discusses the current challenges facing foundations and the need for boards to proactively assess and act on them.

INTERNATIONAL GRANTMAKING LAW

- **Anti-Terrorism Compliance**
Council on Foundations
www.usig.org/legal/anti-terrorism.asp
This online guide provides a brief description of U.S. government anti-terrorism initiatives along with a list of resources to provide general guidance to grantmakers responding to federal anti-terrorism initiatives.
- **Beyond Our Borders: A Guide to Making Grants Outside the U.S., Third Edition**
by John A. Edie and Jane C. Nober
Council on Foundations, 2002 (with new supplements in 2006)
www.cof.org/publications
This publication details the legal and technical requirements necessary to comply with U.S. laws and regulations that permit grants to non-U.S. organizations. Available for purchase.

- **Grantmaking in an Age of Terrorism: Some Thoughts About Compliance Strategies**
by Janne G. Gallagher
Council on Foundations, International Dateline, Issue 70, Second Quarter 2004
www.cof.org/files/Documents/Newsletters/InternationalDateline/2004/LD2Q2004.pdf
This article offers practical guidance for grantmakers in developing strategies to ensure that their international grants are in compliance the USA Patriot Act and other laws and regulations that prohibit financial transactions with terrorists and their supporters.
- **International Grantmaking Basics**
United States International Grantmaking, Council on Foundations
www.usig.org/gmbasics.asp
A guide to the basic legal requirements for grants made by U.S. foundations and corporations to overseas recipients as well as grants made to U.S.-based organizations operating international programs.
- **Safeguarding Charity in the War on Terror: Anti-Terrorism Financing Measures and Nonprofits**
Office of Management and Budget Watch, 2005
www.ombwatch.org/pdfs/safeguarding_charity.pdf
This report analyzes the finance regulations and guidelines imposed on nonprofits since 9/11. The report's tone suggests that these anti-terrorist measures are unbalanced, and it offers an alternative system under which foundations might pursue legitimate charitable activities.

LEGAL BASICS FOR COMMUNITY FOUNDATIONS

- **Donor-Initiated Fundraising: Issues and Guidelines for Community Foundations, Second Edition**
Council on Foundations, 2006, 76 pages
www.cof.org/publications
This reference guide will help community foundations understand the legal aspects of fundraising activities, including liability concerns and compliance with state and federal contribution rules. New materials on the Pension Protection Act of 2006 are included. Available for purchase.
- **How to Calculate the Public Support Test, Third Edition**
Council on Foundations, 2006, 64 pages
www.cof.org/publications
Publicly supported charities, including community foundations, typically recognize the importance of the public support test for maintaining public charity status but may have questions about applying the test. This convenient reference explains the test and provides the tools to help calculate the percentage. Available for purchase.

LEGAL BASICS FOR CORPORATE PHILANTHROPY

- **Company Foundations and the Self-Dealing Rules**

by Jane C. Nober

Council on Foundations, 2006, 63 pages

www.cof.org/publications

In a five-part analysis, this publication explains the applicable federal tax laws to help corporate foundations avoid potential self-dealing infractions in areas such as sharing office space and employees, matching gifts, scholarships and public recognition.

Available for purchase.

- **Top 10 Ways Corporate Foundations Get Into Trouble, Second Edition**

by Ellen Bryson

Council on Foundations, 2004, 24 pages

www.cof.org/publications

A practical guide for avoiding the problems that can harm a corporate foundation. The booklet brings attention to potential dangers and explains basic rules. Subjects covered include self-dealing, *quid pro quo* grants, employee pledges and matching gifts and tickets to fundraisers. Available for purchase.

LEGAL BASICS FOR FAMILY PHILANTHROPY

- **Family Foundations and the Law: What You Need to Know, Second Edition**

by John A. Edie

Council on Foundations, 2002, 80 pages

This volume addresses the complex legal issues unique to family foundations, using a question-and-answer format. It includes discussions of charitable deductions, excise taxes, self-dealing, minimum payouts, international grantmaking and the 990-PF.

Available for purchase.

- **Top 10 Ways Family Foundations Get Into Trouble, Second Edition**

by Ellen Bryson

Council on Foundations, 2005, 24 pages

www.cof.org/publications

A practical guide for avoiding legal problems that can harm a family foundation. The booklet brings attention to potential dangers and explains basic rules. Some of the topics covered are: avoiding self-dealing, dealing with personal family pledges, attending fundraisers, hiring family members as staff, and understanding board compensation.

Available for purchase.

LEGAL BASICS FOR GRANTMAKERS

- **Compliance Guide for 501(c)(3) Tax-Exempt Organizations**

Internal Revenue Service, 2003

www.irs.gov/pub/irs-pdf/p4221.pdf

This publication presents general compliance guidelines for recordkeeping, reporting and disclosure requirements for 501(c)(3) organizations.

- **Life Cycle of a Private Foundation**

Internal Revenue Service

www.irs.gov/charities/charitable/article/0,,id=127912,00.html

This online guide outlines the key federal tax rules and requirements for private foundations during their typical “life cycle.”

- **Pension Protection Act of 2006**

Council on Foundations

www.cof.org/hr4

The Pension Protection Act of 2006 (HR4) included a number of charitable reforms and incentives that impact grantmakers. The Council’s website summarizes the key provisions of the Act that are relevant to grantmakers, and provides the latest information, updates and guidance on how to interpret and comply with the new law.

- **Rules of the Road: A Guide to the Law of Charities in the United States, Second Edition**

by Kelly Shipp Simone

Council on Foundations, Summer 2007

www.cof.org/publications

This master reference alerts you to the legal fundamentals governing U.S. grantmaking and eases your way through the maze of tax laws, U.S. Treasury regulations and IRS guidance. You’ll learn the requirements an organization must satisfy to qualify as a tax-exempt charity, how both an organization and its donors benefit from tax-exempt charitable status, and the distinctions between public charities and private foundations. Available for purchase.

- **Top 10 Ways Independent Foundations Get Into Trouble, Second Edition**

by Ellen Bryson

Council on Foundations, 2003, 24 pages

www.cof.org/publications

A practical guide for avoiding the problems that can harm an independent foundation. The booklet brings attention to potential dangers and explains basic rules. Available for purchase.

MANAGING THE PERSONAL & PROFESSIONAL CHALLENGES OF GRANTMAKERS

- **Are You Arrogant?**

by Geri Mannion

Council on Foundations, Foundation News & Commentary, Vol. 38, No. 4, July/August 1997

www.foundationnews.org/CME/article.cfm?ID=1760

A seasoned program officer examines the issue of foundation arrogance and offers some ideas on what to do about it.

- **Experienced Grantmakers at Work: When Creativity Comes Into Play**

by Ruth Tebbets Brousseau

The Foundation Center, January 2004, 58 pages

foundationcenter.org/gainknowledge/research/pdf/practicematters_05_paper.pdf

It is often said that philanthropy is as much art as science, and this paper explores the minds and work of some grantmakers who do it best. Based on interviews with 10 recipients of the Council on Foundations' Scrivner Award, which recognizes creativity in philanthropy, the author examines how creative grantmakers work; the skills that go into creative, effective grantmaking; and the personal and institutional qualities that nurture or inhibit creative grantmaking. Available for free download.

- **Foundation Work May Be Hazardous to Your Mental Health**

by Roy W. Menninger, MD

GrantCraft

www.grantcraft.org/pdfs/articleone.pdf

This classic article was adapted from a speech given at the annual conference of the Council of Foundations held in Philadelphia in 1981. It examines some of the psychological aspects of giving money and of asking for and receiving money, in a thoughtful, frank and funny way.

- **Get Out of Your Rut**

by Lee Draper

Council on Foundations, Foundation News & Commentary, Vol. 43, No. 1, January/February 2002

www.foundationnews.org/CME/article.cfm?ID=1723

This article suggests various professional development strategies for people involved in philanthropy work. It describes different ways to stay curious, current, creative and engaged in foundation work, and identifies ways to avoid—or work through—feeling cynical, isolated or burned out.

- **Grant Makers on Their Role**

GrantCraft, 2002, 5 minutes

www.grantcraft.org/index.cfm?pageID=608

This video offers a quick look at how different grantmakers view their role. It's a virtual conversation between practitioners about their craft—and a helpful tool to get a conversation going about grantmaking practice. Available for free download.

- **The Grant Maker's Role**

GrantCraft, 2005, 5 minutes

www.grantcraft.org/index.cfm?pageID=596

These introductory comments are based on an interview with Ford Foundation President Susan Berresford, who shares her perspective on grantmaking and the issues grantmakers commonly face as they take up the role. Available for free download.

- **The Human Factor**

by Alan Pifer

Council on Foundations, Foundation News & Commentary, Vol. 38, No. 4, July/August 1997

www.foundationnews.org/CME/article.cfm?ID=1759

In this reprint of a classic 1984 essay, Alan Pifer, former president of the Carnegie Corporation of New York and recipient of a Distinguished Grantmaker Award from the Council on Foundations, examines what he calls the “pervasive arrogance” that he sees permeating much of the foundation field. He explores some key causes and

manifestations of this arrogance in philanthropy work, and suggests ways to remove it from the field.

- **Ideas in Philanthropic Field Building: Where They Come from and How They Are Translated into Actions**

by Larry Hirschhorn and Thomas N. Gilmore

The Foundation Center, March 2004, 40 pages

foundationcenter.org/gainknowledge/research/pdf/practicematters_06_paper.pdf

This paper examines the sources of ideas from which program professionals in foundations draw to create programs and influence fields of philanthropic interest. It also provides guidance about how foundation program staff can identify powerful and useful ideas and apply these to the work of philanthropy. Available for free download.

- **Managing Expectations, Coping With Realities**

by Lee Draper

Council on Foundations, Foundation News & Commentary, Vol. 46, No. 2, March/April 2005

www.foundationnews.org/CME/article.cfm?ID=3232

Newcomers to philanthropy often find acclimation difficult. In this article, 10 newcomers discuss their beginning days and months in the field and offer recommendations to others on how to get started, based on their own experiences.

- **Managing the Workload**

by Lee Draper

Council on Foundations, Foundation News & Commentary, Vol. 47, No. 1, January/February 2006

www.foundationnews.org/CME/article.cfm?ID=3518

How do grantmakers meet the demands of a skyrocketing workload, fueled by such factors as leaner foundation staffing structures, a growing volume of grant requests and a staggering rise in the amount of data and information to review? This article shares the strategies that some seasoned grantmakers use to thrive in their work despite these new challenges.

- **Moral Courage**

by Rushworth Kidder

HarperCollins (New York), 2005

This book encourages readers to put ethical thinking into practice and explains how to apply moral values to difficult situations, understand risks, and endure the hardships brought on by moral courage. The author draws a distinction between moral and physical courage, placing an emphasis on the former. The format is based on anecdotes and examples of ordinary individuals who display moral courage in business, political or personal situations.

- **Moral Values and Private Philanthropy**

by Michael Hooker

GrantCraft

www.grantcraft.org/pdfs/articletwo.pdf

This classic article offers some useful reflections on grantee-grantor relations. Franklin Thomas, former President of the Ford Foundation, recommended this article for orientation to new program officers starting in 1990, and the foundation has used it ever since.

- **Personal Strategy: Mobilizing Yourself for Effective Grantmaking**
GrantCraft, 2005, 24 pages
www.grantcraft.org/index.cfm?pageID=786
Drawing on the experiences of over 100 grantmakers, this guide is designed to help grantmakers resolve ambiguous personal situations rather than more straightforward technical problems. The book offers concepts and techniques for dealing with such issues as presenting proposals to the board, giving critical feedback to grantseekers or conducting difficult conversations with grantees. Available for free download.
- **To Read, Reflect and Refresh**
by Darlene M. Siska
Council on Foundations, Foundation News & Commentary, Vol. 45, No. 4, July/August 2004
www.foundationnews.org/CME/article.cfm?ID=2952
This article describes two practical activities to help grantmakers learn from each other and maintain fresh enthusiasm for their work: a funders' book club and a day of reflection.

NEWSPAPERS, JOURNALS, MAGAZINES & OTHER PERIODICALS

- **Breaking News e-Newsletter**
Council on Foundations
www.cof.org/council/content.cfm?ItemNumber=569&navItemNumber=2198
A daily e-mail update of national and regional media coverage of philanthropy and the charitable sector, available only to members of the Council on Foundations.
- **The Chronicle of Philanthropy**
www.philanthropy.com
The primary trade periodical for the grantmaking field. The biweekly newspaper is available for an annual subscription, and selected articles can be accessed free of charge on the *Chronicle's* website.
- **Nonprofit Quarterly**
www.nonprofitquarterly.org
A quarterly magazine dedicated to providing information on values-based management and proven practices of nonprofit organizations.
- **Philanthropy News Digest e-Newsletter**
Foundation Center
foundationcenter.org/newsletters
A weekly e-mail news digest of the top stories in philanthropy, available for a free subscription. Subscribe at the link above.
- **Stanford Social Innovation Review**
www.ssireview.org
A quarterly journal featuring best practices and strategies for nonprofits, foundations and socially responsible businesses.

NONPROFIT CAPACITY-BUILDING & EFFECTIVENESS

- **A Funder's Guide to Organizational Assessment: Tools, Processes and Their Use in Building Capacity**

by Lori Bartzak, Editor

Fieldstone Alliance (St. Paul, MN), 2005, 216 pages

www.fieldstonealliance.org

This guide provides tools and lessons learned by leading practitioners to build nonprofit capacity and effectiveness. It includes a CD-ROM with examples and adaptations of the tool. Available for purchase.

- **How Effective Nonprofits Work: A Guide for Donors, Board Members, and Foundation Officers**

by Marcia Festen and Marianne Philbin

Forum of Regional Associations of Grantmakers, 2002, 100 pages

www.givingforum.org/resources/print.html

This book covers the essentials of assessing nonprofits' effectiveness. Available for purchase.

- **In Search of Impact: Practices and Perceptions in Foundations' Provision of Program and Operating Grants to Nonprofits**

by Judy Huang, Phil Buchanan and Ellie Buteau, Ph.D.

Center for Effective Philanthropy, December 2006

www.effectivephilanthropy.com/images/pdfs/CEP_In_Search_of_Impact.pdf

This report informs the debate on operating support with new data about current foundation practices, attitudes underlying those practices, and the impact on grantees of foundation choices. The report explores what motivates foundation CEOs in their decision-making, examining the tension between CEOs' sense of what is best for their foundations and what they believe will make the most positive impact on grantees. *In Search of Impact* also probes the grantee perspective through an analysis of thousands of survey responses and a set of interviews with nonprofit leaders, revealing the importance of other grant attributes that have been overshadowed in the debate about type of support.

- **Investing in Capacity Building: A Guide to High-Impact Approaches**

by Barbara Blumenthal

Foundation Center, 2003, 268 pages

foundationcenter.org/marketplace

This book identifies which strategies help nonprofits achieve efficiency, stability and effectiveness—and which ones don't. Based on interviews with more than 100 grantmakers, intermediaries and consultants. Available for purchase.

- **Strengthening Nonprofit Performance: A Funders Guide to Capacity Building**

by Paul Connolly and Carol Lukas

Fieldstone Alliance (St. Paul, MN), 2002, 184 pages

www.fieldstonealliance.org

The authors synthesize the most recent capacity-building practice and research into a collection of strategies, steps and examples that funders can use to get started on or improve their funding to strengthen nonprofits. Available for purchase.

NONPROFIT FINANCES

- **Basic Guide to Nonprofit Financial Management**
by Carter McNamara, MBA, Ph.D., Authenticity Consulting, LLC
Free Management Library
www.managementhelp.org/finance/np_fnce/np_fnce.htm
This comprehensive online resource provides information and links to help you understand basic practices in nonprofit financial management.
- **Frequently Asked Questions: Financial Management**
Alliance for Nonprofit Management
www.allianceonline.org/FAQ/financial_management
Answers to basic questions about nonprofit finances.
- **Understanding Nonprofit Financial Statements**
by Stephen Berger
BoardSource, 2003 (Revised), 55 pages
www.boardsource.org/Bookstore.asp
This classic publication provides clear explanations of key accounting terms and concepts and important benchmarking ratios, and includes sample nonprofit financial statements with explanations.

OTHER STRATEGIES BEYOND GRANTMAKING

- **Achieving Impact Without Giving Cash**
by Lee Draper
Council on Foundations, Foundation News & Commentary, Vol. 45, No. 5, September/October 2004
www.foundationnews.org/CME/article.cfm?ID=2990
This article highlights some of the key resources other than money that grantmakers can offer to help nonprofits.
- **Building Community Inside & Out: With a Good Neighbor Committee**
Ford Foundation, 2004, 28 pages
www.grantcraft.org/?pageID=630
This guide explains how funders can form, organize and run an effective Good Neighbor Committee program, using the Ford Foundation's experience as a model. The publication shows how such a committee can provide funders with a regular vehicle for participating in and supporting community activities in the neighborhoods where they operate, and can provide key leadership opportunities for employees who are not grantmakers or community relations experts.
- **Capacity Building Strategies**
Council on Foundations, Family Matters, Vol. 7, No. 2, Spring 2002
www.cof.org/files/Documents/Newsletters/FamilyMatters/fmspring02.pdf
This newsletter reprint includes articles on how a foundation can help build nonprofit capacity beyond giving grants, including through convening, training and connecting to other funders.

- **Giving More Than Grants**
Association of Small Foundations
www.smallfoundations.org/why_give_/giving_more_than_grants
This essay describes how the Three Guineas Fund provides assistance to its grantees beyond grant dollars by also offering local knowledge, board and staff expertise, and connections to other funders.
- **World Summits & Conferences: Grant Making on a Global Stage**
GrantCraft, 2003, 32 pages
www.grantcraft.org/?pageID=625
Drawing on grantmaker experiences, this guide looks at how funding in connection with summits and world conferences can give grantees an important opportunity to contribute ideas to governments and international agencies, allow them to link with counterparts and kindred movements around the globe, and advance grantees' programmatic goals.
Available for free download.

RECORDS RETENTION & DESTRUCTION

- **File, Keep, Toss?**
by Jane C. Nober
Council on Foundations, Foundation News & Commentary, Vol. 39, No. 2, March/April 1998
www.foundationnews.org/CME/article.cfm?ID=1462
This article offers guidance to help foundations decide which records to keep and which to toss, both to meet legal requirements and to maintain effective and efficient operations.
- **Keeping Good Records: Small Foundations' Guide to Staying Organized**
by Elaine Gast
Association of Small Foundations
www.smallfoundations.org
This primer explains what documents a small foundation should keep and for how long, and describes how to organize, archive and protect those documents. Available for purchase.
- **Records Retention Policies & Guidelines: A Collection**
Consortium of Foundation Libraries
www.foundationlibraries.org/keepdox.htm
A sampling of foundations' record retention policies and guidelines.
- **Sample Document Retention Policy**
National Council of Nonprofit Associations, 2004
www.ncna.org/_uploads/documents/live//Document_Destruction.doc
This brief summary outlines the minimum retention requirements for various types of documents, to help an organization develop a document retention policy.
- **The Sarbanes-Oxley Act and Implications for Nonprofit Organizations**
BoardSource and Independent Sector, 2003 (Rev. January 2006)
www.boardsource.org/clientfiles/Sarbanes-Oxley.pdf

This document includes an explanation of the Sarbanes-Oxley Act's provisions regarding nonprofit organizations' record retention and destruction practices.

REGISTRATION

- **Form 1023: Application for Recognition of Exemption**

Internal Revenue Service

www.irs.gov/pub/irs-pdf/f1023.pdf

Most public charities and all private foundations must file IRS Form 1023 to be recognized as a tax-exempt charitable organization by the IRS.

- **Frequently Asked Questions About Form 1023**

Internal Revenue Service

www.irs.gov/charities/article/0,,id=130101,00.html

- **Instructions for Form 1023**

Internal Revenue Service

www.irs.gov/pub/irs-pdf/i1023.pdf

RISK MANAGEMENT

- **Nonprofit Risk Management Center**

www.nonprofitrisk.org

A comprehensive resource of tools, advice and training to help nonprofits control their risks.

- **Protecting Your Small Foundation with Insurance**

Association of Small Foundations

www.smallfoundations.org

This primer describes the risks foundations face and how having appropriate insurance can help them manage those risks, and explains how insurance contributes to good management and governance. Available for purchase.

SELF-DEALING

- **Self Dealing: A Concise Guide for Foundation Board and Staff**

by John A. Edie

Forum of Regional Associations of Grantmakers, 2006

www.givingforum.org/cgi-bin/doc_rep/public/file.pl/3661/self.dealing.guide.pdf

This guide covers the basics of foundation self-dealing rules. Written for foundation board and staff, the guide provides examples of common problem areas, exceptions to the self-dealing rules, violation penalties, and some recommended steps for foundations.

- **Should Your Foundation Cover Travel Expenses of Family Members?**

Council on Foundations

www.cof.org/Content/General/Display.cfm?contentID=3204

Guidance on the legal and ethical considerations regarding a foundation paying travel and

- **Tread Carefully When Sharing Board Members With Grantseekers**
by Jane C. Nober
Council on Foundations, 1997
www.cof.org/Content/General/Display.cfm?contentID=172
A summary of self-dealing issues that may arise when foundation board members also serve on the boards or staffs of grantseeking charities.

SITE VISITS

- **Developing a Site Visit Program**
by Ann D. Gralnek
Council on Foundations, 2003
www.cof.org/Council/content.cfm?itemNumber=944
Basic guidance for foundations on how to develop a site visit program.
- **The Evaluation Wars**
by William A. Schambra
Association of Small Foundations, 2003
www.smallfoundations.org/why_give_/evaluation_wars
This essay offers tips to help a foundation “eyeball effectiveness” during a site visit (from *Philanthropy* magazine, May/June 2003, Vol. 17, No. 3, pp. 29-32, Philanthropy Roundtable).
- **Managing Grantseeker Expectations: Site Visits**
GrantCraft, 2003
www.grantcraft.org/?pageID=691
Advice for grantmakers on how to manage grantseekers’ expectations during site visits.
- **Sample Site Visit Checklist**
Council on Foundations, 2003
www.cof.org/Council/content.cfm?itemNumber=1410
- **Sample Site Visit Evaluation**
Council on Foundations, 2003
www.cof.org/Council/content.cfm?itemNumber=1409
- **Sample Site Visit Review Questions**
Council on Foundations, 2003
www.cof.org/Council/content.cfm?itemNumber=943
- **Sample Site Visit Worksheet**
by Stephanie McAuliffe
Council on Foundations, 2002
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Sample_Site_Visit_Worksheet.pdf

- **Successful Interviews with Grantees**
by Stephanie McAuliffe
Council on Foundations, 2002
www.cof.org/files/Documents/WebNotebook/July2003/Grants/Successful_Interviews_with_Grantees.pdf
Practical tips for conducting successful grantee interviews during a site visit.

VALUES IN GRANTMAKING

- **The Nonprofit Board's Role in Setting and Advancing the Mission**
by Kay Sprinkel Grace
BoardSource, 2003, 47 pages
www.boardsource.org/Bookstore.asp
The author describes how board members can actively contribute to the setting and advancing of a values-based mission for an organization. Available for purchase.
- **Values, Vision, and Mission – What’s the Difference?**
by Elaine Gast
Council on Foundations, 2003
www.cof.org/Content/General/Display.cfm?contentID=674
Summary descriptions of grantmaker values, vision and mission statements.
- **Values at Play**
Council on Foundations, Family Matters, Vol. 5, No. 4, Fall 2000
www.cof.org/files/Documents/Newsletters/FamilyMatters/FMFall00.pdf
This archived newsletter features several articles that discuss the role of values in philanthropy, highlight the reasons why people give, outline the importance of creating a values statement and offer practical ways to express values in that statement, with sample foundation values statements.

WHISTLE-BLOWER PROTECTION

- **How Whistle-Blower Policies Protect Charity Workers Who Report Ethics Lapses**
by Alison Stein Wellner
Chronicle of Philanthropy, April 15, 2004
philanthropy.com/jobs/2004/04/29/20040429-293229.htm
This article describes how some nonprofit employers have gone about establishing whistle-blower protection policies and procedures, to comply with elements of the Sarbanes-Oxley Act.
- **The Sarbanes-Oxley Act and Implications for Nonprofit Organizations**
BoardSource smf Independent Sector, 2003 (Rev. January 2006)
www.boardsource.org/clientfiles/Sarbanes-Oxley.pdf
This document includes an explanation of the Sarbanes-Oxley Act’s provisions regarding nonprofit organizations’ whistle-blower protection policies and procedures.

- **Sample Whistleblower Policy**
Donors Forum of Chicago, 2005
www.donorsforum.org/publictrust/WhistleblowerPolicy_sample.doc
- **Sample Whistleblower Policy**
Independent Sector, April 2005
www.independentsector.org/about/finresp.html
- **Sample Whistleblower Policy**
National Council of Nonprofit Associations, 2004
www.ncna.org/index.cfm?fuseaction=Page.viewPage&pageID=430

WORKING WITH GRANTEES

- **Best of the Worst Practices**
by Bruce Sievers and Tom Layton
Council on Foundations, Foundation News & Commentary, Vol. 41, No. 2, March/April 2000
www.foundationnews.org/CME/article.cfm?ID=448
The article offers a list of the top ten worst grantmaker practices, told from the viewpoint of grant applicants and recipients, based on real experiences.
- **Foundation Communications: The Grantee Perspective**
by Judy Huang
The Center for Effective Philanthropy, 2006
www.effectivephilanthropy.org/images/pdfs/CEP_Foundation_Communications.pdf
Based on a study of nonprofits, this report outlines key components of effective foundation communications with grantees. Available for free download.
- **Listen, Learn, Lead: Grantmaker Practices that Support Nonprofit Results**
by William H. Woodwell
Grantmakers for Effective Organizations, 2006
www.geofunders.org
This publication reflects on successful ways for grantmakers to impact the results of their grantees. “It’s the relationship, stupid!” is one of its conclusions. Among other things, the report proposes that funders can go a long way toward improving the grantmaker-grantee relationship by listening more and by focusing on changing themselves rather than changing others. Available for free download.
- **Listening to Grantees: What Nonprofits Value in Their Foundation Funders**
by Kevin Bolduc, Phil Buchanan and Judy Huang
The Center for Effective Philanthropy, 2004
www.effectivephilanthropy.com/images/pdfs/ListeningToGrantees_reprint.pdf
This report summarizes grantees’ overall perceptions of the foundations that fund them, and identifies three factors that best predict variations in grantees’ overall satisfaction with their funders. The report is based on the responses of 3,200 grantees of the 30 largest foundations in the United States. Available for free download.

- **Moral Values and Private Philanthropy**
by Michael Hooker
GrantCraft
www.grantcraft.org/pdfs/articletwo.pdf
This classic article offers some useful reflections on grantee-grantor relations. Franklin Thomas, former President of the Ford Foundation, recommended this article for orientation to new program officers starting in 1990, and the foundation has used it ever since.
- **One Question for Three Funders: How Do You Gather Grantee Feedback to Inform Your Grantmaking?**
by Anita Pampusch, Karen Kelley-Ariwoola and Elsa Vega-Perez
Minnesota Council on Foundations, Giving Forum, Winter 2005
www.mcf.org/mcf/forum/2005/threefunders.htm
In this article, representatives from three Minnesota foundations describe the different methods they use to gather feedback from their grantees.
- **Revitalizing a Network: Joint Forest Management**
GrantCraft, 2002, 15 minutes
www.grantcraft.org/?pageID=603
This video relates the experience of grantmaker and her grantees as they worked together to revitalize a stalled network that the Ford Foundation had supported for years. The video follows the grantmaker as she shifts the role of her foundation from a position of leadership to one of support, bringing new members into a longstanding coalition and encouraging grassroots organizations to build networks with policymakers, former competitors and other essential partners.
- **Scaling Up Successful Work: Project GRAD, K-12 Education Reform**
GrantCraft, 2002, 20 minutes
www.grantcraft.org/?pageID=606
This video looks at how a grantmaker can support the transition of a successful local model to national scale, using the case study of a grantmaker working with his grantee partners on educational reform in the United States. It looks at how a grantmaker can find opportunities that emerge from outside his current program scope, manage the dynamics of grantee-grantor relations, and mobilize other philanthropic resources.
- **The Seven Principles of Firmly Centered Grantmakers**
by Lee Draper
Council on Foundations, Foundation News & Commentary, Vol. 42, No. 5, September/October 2001
www.foundationnews.org/CME/article.cfm?ID=1537
This article offers seven principles on how grantmakers can remain centered and be respectful partners with grantees.

- **Supporting a Planning Process: Citizen Participation in Northern Namibia**
GrantCraft, 2002, 15 minutes
www.grantcraft.org/?pageID=605
This video shares insights from both a grantmaker and his grantees as they work together to move from the idea stage to a new community institution. It looks at how a study tour can enable grantees to discover new ideas and recognize their own strengths—and how a grantmaker's involvement may need to shift to meet new circumstances.
- **Tips for Effective Grantee Relations**
by Jane Kendall
Council on Foundations
www.cof.org/Content/General/Display.cfm?contentid=923
A checklist, written by a foundation trustee, to help grantmakers develop a win-win relationship with grantees.