

Alcatel

# Computers/ Communications

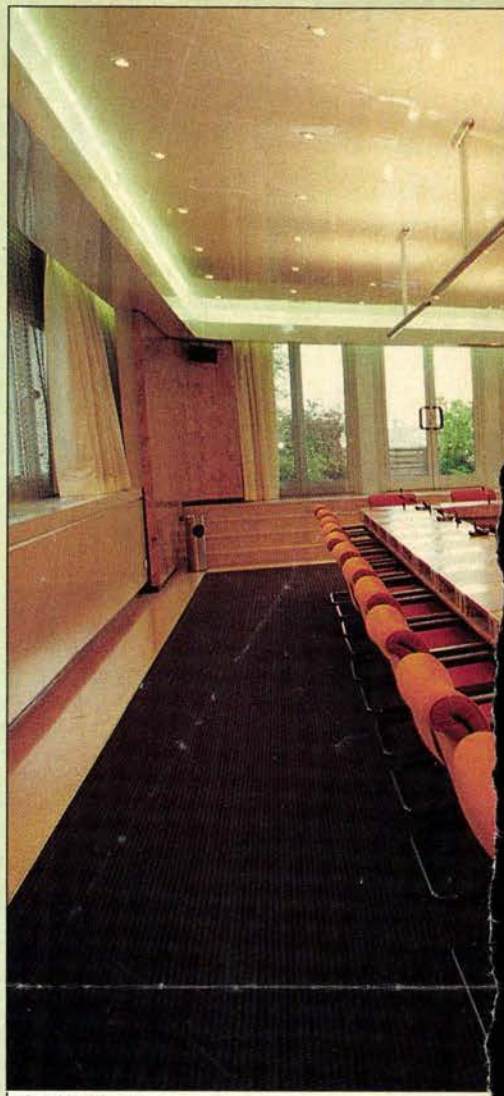
*Alcatel is turning out to be a happy Franco-American marriage. It is vying with AT&T to become the world's largest maker of telecommunications equipment.*

## First Europe, then the world

By John Marcom Jr.

**F**OUR YEARS AGO ITT Corp. got out of the international communications business, handing control of its far-flung equipment-making operations to France's Cie. Générale d'Electricité. The resulting company, Alcatel N.V., has worked better than almost anyone expected. With plants in 22 countries and customers in 80, Alcatel rivals AT&T for first place in sales of the big switches and transmission equipment used for public phone networks.

Last year Alcatel's net income rose 33%, to \$630 million, on a 15% sales gain to \$16.9 billion, converting at recent exchange rates. Cie. Générale d'Electricité's first-half earnings report was among the cheeriest news last month on Paris' Bourse—which, like every other market, plunged into gloom when Iraq invaded Kuwait. A good part of the group's handsome 20% profit gain stemmed from Alcatel, though Alcatel itself doesn't report half-year results. Alcatel is the biggest part of the group; the other major arm is an electrical-machinery



Alain Bizos/Vu-Contact



*Alcatel equipment going onto a tower in Sumatra*  
**Lots of potential customers, few with hard cash.**

venture with General Electric Co. of Britain, which makes, among other things, the locomotive that pulls France's 180mph trains.

In a market that is off about 30% from its high this year, CGE shares—traded largely in Europe, since the company doesn't sponsor an American Depository Receipt—are off 18% from their peak. Even that is unwarranted, insists Pierre Suard, the 55-year-old CGE veteran who now runs both companies. The merger gave Suard's group a majority stake in Alcatel, with ITT the minority partner.

Earlier this year ITT booked a \$139 million after-tax gain by selling another 7% of Alcatel to CGE, which now holds 69% of Alcatel. The French seem willing to buy more, but given Alcatel's outlook there seems little reason for ITT to rush to sell.

Suard operates under a bold, global strategy. The goal in both sectors is to secure a broad base in Europe and

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aptly called  
the Earhart Hop.

Her adventurous  
lifestyle so enthralled the American people that  
she created fashions for top department stores  
like Macy's and Marshall Field's.

If you understand how  
Amelia Earhart combined  
many talents in her pursuit of  
excellence, you'll understand  
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Individually,  
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A T L A N T I C  
O C E A N

Northern Ireland



In fact, for the last two years  
in an annual *Fortune* magazine survey,

**HERE'S HOW BELLSOUTH  
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*Created disaster recovery systems  
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*Designed an interactive network  
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*Alcatel Chief Executive Pierre Suard*  
**A little more privatization would help.**

use that platform to sell around the world. The latest stroke: an alliance and share-swap with Italy's powerful Fiat. Alcatel will take over Fiat's Telettra telecommunications unit, making it the world leader in yet another market segment, microwave and cable-transmission equipment. Alcatel also gains strength in Italy to challenge a partnership of AT&T and Italy's state-owned equipment maker, Italtel. It adds up to yet another blow to U.S. domination of the world telecommunications industry.

Suard, as befits the company's global ambitions and scope, downplays Alcatel's French accent: English is its official language, and accounts are tallied in European Currency Units, based on a basket of European currency values. The company is run from Paris, but keeps its technical center in Brussels and spreads export orders among other units in Spain, France and Germany—for some of the same

reasons that a U.S. defense contractor will spread its plants among as many congressional districts as it can. In the U.S., a North Carolina plant makes advanced transmission equipment, on which rest the company's best hopes of penetrating the U.S. market, where AT&T and Northern Telecom are far ahead in the market for switching equipment.

The geographic dispersion gives Alcatel a great deal of flexibility. It can fill orders wherever currency, costs and political considerations make filling the orders most attractive. In communications equipment, governments are still the main buyers, so politics, diplomacy and export subsidies remain as important as manufacturing skills. Is the buyer in one market angry at France, say? Alcatel can supply the order from Spain, Belgium or Germany.

In Eastern Europe, Alcatel's backyard, the company expects sales to

more than double this year, to \$260 million. Again, a multinational character helps. The Spanish unit, for instance, took advantage of Spanish government support—the extent of which Alcatel declined to disclose—earlier this year to sell Poland \$70 million of new switching equipment.

Nearly every government realizes the importance of a foothold in Eastern Europe and the Soviet Union. Jozef Cornu, a Belgian veteran of IRT and now an Alcatel executive vice president, tells a visitor how backward the East is. In the early 1980s a Soviet factory was granted a license to build switches. The plant has the capacity to make 500,000 lines a year of equipment. It actually produces 200,000 lines. Probably 20,000 work, Cornu says, eagerly anticipating a crack at improving the situation.

In China, Alcatel has greater control of a manufacturing joint venture known as Shanghai Bell, and makes many components in order to insure quality. Alcatel has installed 1 million new phone lines in China, with another 250,000 ordered—a 40% share of a market where the penetration rate is just nudging 1%.

The potential is similarly vast in the rest of the developing world, where consumers are woefully served. Alcatel delivered enough modern digital-switching equipment last year to connect 8 million phone lines. On the crudest of calculations, that still leaves at least 1.8 billion connections to be made. But given the financial pressures—connecting a Chinese customer costs up to \$2,500, Alcatel reckons—progress will be slow. Thus the company is not looking to the poorer countries for its fastest growth. "The gap between the highly developed and the lowly developed will get larger in the future," Suard says.

The poorer countries could, of course, develop faster if their governments would get out of the communications business. Following the example of Chile, two countries that have begun moving toward privatization of their phone service are Argentina and Malaysia. "It's a trend which will help," says Suard. "But this will take time. So many countries are so deeply rooted in the idea that telecommunications must belong to the state."

That's clearly an old-fashioned idea—just as old-fashioned as the idea that a business can flourish operating in one market only. Alcatel and its parent are clearly well positioned to profit, as the world continues to move away from these old ideas to a world where globalization and privatization are clear winners. ■

*Pinnacle Publishing does very well in the computer newsletter business, partly because it gets by with next to no editors.*

## Comp/Comm

# Symbiotic software

By David Churbuck

**D**AVID M. JOHNSON and Owen Wollum plunged into the publishing business with a great idea applied to a doomed market.

In 1985 the pair, then students at Pacific Lutheran University, started publishing a newsletter devoted to the workings of a pioneering database package called O'Hanlon's Sensible Solution. The company selling Sensible Solution got into financial trouble, and Johnson and Wollum found themselves without an audience. But the partners made one more risky bet. This time they created a periodical on the subject of Clipper, a database program from Nantucket Corp. Clipper, which can run programs written in the popular dBase language, took off. And now Johnson and Wollum, doing business as Pinnacle Publishing in Seattle with seven newsletters, are grossing \$4 million a year. With costs low, their pretax profits could be approaching \$1 million a year.

The secret to Pinnacle's success is simple: Find software publishers with which to form symbiotic relationships. The software firm wants the mark of acceptance that comes from an independent publication devoted to its product. Pinnacle wants prospects—a list of the people who have registered with the software firm as buyers. Pinnacle gets the lists free, and they generate the kind of response rates (as high as 7%) that any ordinary magazine publisher would die for. Pinnacle also stuffs fliers advertising its journals into software boxes.

Pinnacle keeps its cash

outlays to a minimum. The firm has almost no editorial staff, instead contracting out for a freelance editor and letting the subscribers fill the pages with their own comments, queries, suggestions and technical tips. Subscriptions, at up to \$100 a year, are paid in advance.

"One of the nicest things about the newsletter business is all the revenue is realized up front," says David Johnson, 27, a 40% Pinnacle shareholder and vice president for software products. "With 3,000 subscriptions we get an immediate hit of \$300,000, and the expenses are staggered over time."

Why would the developer of Clipper or DataEase or R:Base want to share something as valuable as a customer list? It's symbiosis. More subscribers to the newsletter means more fanatics using the product, and more sales of the software means more sub-

scribers for Pinnacle.

"Any program that can claim it has a dedicated, independent journal gains a lot of prestige," says Johnson. "We add value to the program, because there is a limit to the number of things that a software developer can envision his product doing. The user's manual is directed only at the operation of the product, not the application of it."

Needless to say, Apple Computer doesn't have to give away its customer list to get recognition for its Macintosh (*MacWeek* follows that product). But a small software house is willing to go along. Thus, Symantec's Q&A, a database program that accepts ordinary English queries (*FORBES*, July 23), is featured in a new 12-page Pinnacle newsletter entitled *The Quick Answer* (\$69 for 12 issues).

Pinnacle has found another way to feed off successful software. The company publishes add-on miniprograms that enhance the value of the host: a communications program for Clipper, a pop-up help utility for Microrim's R:Base, graphics capabilities for five database programs. Again, no overhead. The company either offers a royalty deal to a freelance programmer or agrees to accept unsolicited programs. Pinnacle copublishes software, for instance, from Tom Rettig Associates, Rettig being a former child actor (Timmie on the *Lassie* show) turned programmer in Marina del Rey, Calif.

Gary Benson



*Pinnacle Publishing cofounder David Johnson  
Fan clubs, 1990s style.*

Johnson downplays the risk that the publisher of the core product might soup up the product to do what one of Pinnacle's utilities can do. "The developers of the host products make their money selling compilers, not graphics. They don't want to be sidetracked with things that won't add a lot of revenue," he says.

Pinnacle's third line of business is running fan clubs—known more formally as conferences. Users pay up to \$795—in advance—to attend three days of talks about some obscure database application.

Fan magazines go back a long way in Hollywood. You could say that Johnson and Wollum's inspiration was simply to apply a very old formula to a new business. ■

# In the universe of telecommunications companies, some stars shine brighter than others.



The growth of the telecommunications industry in recent years has been astounding.

But, within this universe of companies, some stars shine brighter than others.

In the last five years, for example, ALLTEL Corporation's average annual total return of 36% has outperformed the average of its peer group – the 15 largest telecommunications

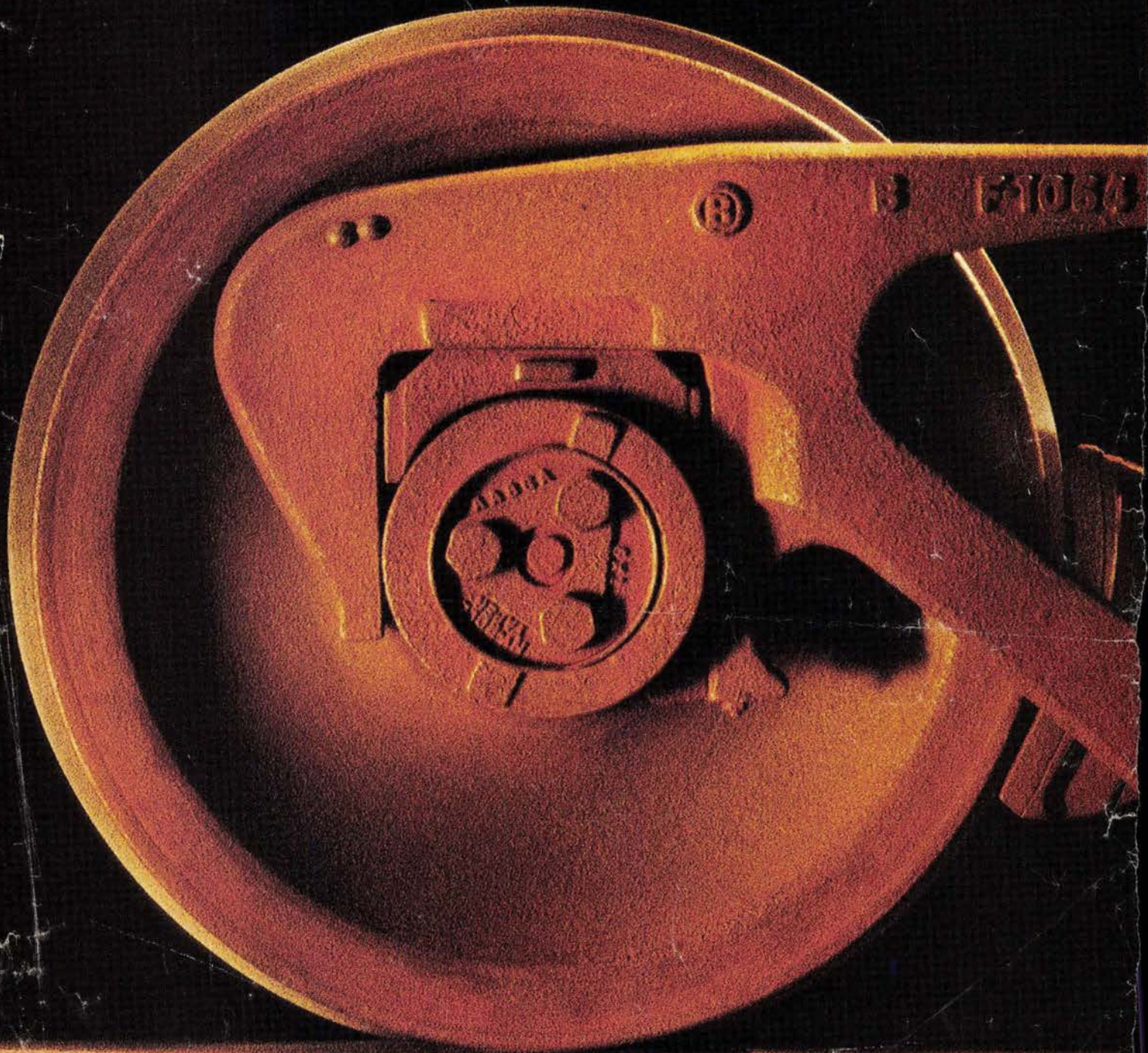
companies in the country – as well as the S&P and Dow.

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F U N D I N G

“*I*  
n

this borderless world,  
no company can hope  
to become or remain prosperous  
on its own.

True prosperity can  
only be attained  
through mutually  
rewarding coexistence.”



# Toward Rewarding Coexistence

Former U.S. ambassador to Japan Mike Mansfield has described the relations between the U.S. and Japan as "the world's most important bilateral relation bar none."

It is, therefore, with great pleasure that we mark Canon's 36th year in America.

From a small office in New York City staffed by just five people in 1955, Canon USA, Inc. has steadily grown into a family of companies with more than 8,500 employees and an extensive network of sales offices, dealers and manufacturing facilities spanning the whole of North America.

On this occasion, I would like to express my deepest thanks and appreciation to our associates and customers in North America for their invaluable support and patronage. I would also like to take this opportunity to explain briefly the basic spirit guiding the worldwide Canon family of companies.

Putting it simply, Canon is a corporation committed to people. In our efforts to achieve success as a truly global corporation, we constantly strive to remain true to our basic belief that mutually rewarding coexistence should be the guiding principle behind all our actions. This corporate philosophy is the key to all our global activities.

Our success in North America has been achieved by offering reasonably priced quality products to our customers, contributing to the communities that host our operations and providing

our employees with excellent working conditions and opportunities for self-improvement.

But there is still much to be done as we take steps to localize our administration, research and production systems. To be a truly global corporation, we have to set up fully integrated operations—from research to parts acquisition to manufacturing—in each of our global markets. In addition, we need to exert even greater efforts to be a good corporate citizen making

significant contributions to the communities that host our operations.

I am hopeful that the 8,500 men and women who make up Canon in North America will continue to exercise our corporate philosophy of serving people. Canon is well attuned to the priorities of people throughout North America, which enables us to make positive contributions, both socially and economically. Our ultimate goal is to be able to meet all the requirements of the market

as a fully integrated "American" company that would also be capable of exporting products and hence contributing to the U.S. export drive.

In this borderless world, no company can hope to become or remain prosperous on its own. True prosperity can only be attained through mutually rewarding coexistence.



Ryuzaburo Kaku  
Chairman, Canon Inc.  
Chairman, Canon USA, Inc.

*Ryuzaburo Kaku*

Congratulations to Canon on Its 36th Anniversary in the U.S.A.

**I**t is a company with an outward reach to the world as a whole. It is dedicated to people and coexistence, to the understanding of different cultures and to the betterment of life everywhere. In its time-proven philosophy, it has adapted itself to the needs of communities and countries where its plants have been located, and created



Mike Mansfield  
Former U.S. ambassador to Japan

a feeling of mutual trust, understanding and bilateral cooperation.

Canon is a world-class company in all respects. It presents a model for others to look up to; an example for others to follow.

*Mike Mansfield*

"Helping Greater Hartford Jaycees is one of the many ways in which we plan to repay the kindnesses extended to Canon in the United States."

## A Good Corporate Citizen

Based in Lake Success, New York, Canon USA, Inc. is the headquarters for Canon's U.S. operations. In 1990, Canon's total sales in North America reached \$3.55 billion, up 19% from the previous year.



Hideharu Takemoto  
President and CEO, Canon USA, Inc.

"As we continue our growth," says Canon USA President and CEO, Hideharu Takemoto, "it is imperative that we increase our commitment to the communities that host our operations and prove ourselves a good corporate citizen."

Indeed, Canon USA has contributed significantly to a variety of community activities across the U.S. The Jaycees of Greater Hartford, Connecticut, are among the beneficiaries of Canon's goodwill. Since 1984, Canon USA has been the title sponsor of PGA's Greater Hartford Open, a tournament the local Jaycees have organized since 1935. Comments Paul Ockert, Chairman of the Greater Hartford Jaycees' Organizing Committee of the GHO for 1991: "We've enjoyed an excellent relationship with Canon. They've done a lot for good causes."

Since becoming the title sponsor, Canon has contributed generously toward the GHO. Last year, the tournament enabled the Jaycees to raise nearly three-quarters of a million dollars, the bulk of which went to the Jaycee Foundation and was distributed among various charitable organizations throughout the state.



Paul Ockert  
Chairman of the Greater Hartford Jaycees' Organizing Committee of the GHO for 1991

Scenes from the Canon-sponsored Greater Hartford Open; every year the GHO draws a large crowd, including handicapped children



Among the recipients was the University of Connecticut Health Center at Farmington. "We're delighted with the cooperation of the Jaycees," says Dr. Michelle M. Cloutier, Associate Professor of Pediatrics at the University of Connecticut and Chief of the Pediatric Pulmonary Division, "and we know Canon is fully behind them. There are an estimated 25,000 children in



Fujio Mitarai  
Senior Managing and Representative Director, Canon Inc.  
Vice Chairman, Canon USA, Inc.

Connecticut suffering from chronic lung disease. Thanks to these grants, we have been able to grapple more effectively with children's lung diseases."

The Center's latest acquisition with a grant from the Jaycees is an exercise room for children with lung disease. Made up of a cardiopulmonary exercise system, a pediatric exercise bicycle, a pulmonary function system to perform airway challenge testing and a body plethysmography system, it is the first fully integrated exercise room of its kind in Connecticut.

Canon's involvement in the GHO resulted from a decision of Fujio Mitarai during his 10-year tenure as president of Canon USA from 1979 to 1989. "I knew it was the right thing to do," says Mitarai, now Senior Managing and Representative Director of Canon Inc. and Vice Chairman of Canon USA, Inc. "Canon believes in serving the community as a responsible

corporate citizen. It was one way of living up to our corporate philosophy of mutually rewarding coexistence."

Fujio Mitarai points out that Canon USA's rapid growth came about thanks to the goodwill of many people in the U.S. Recalling the days when he was first posted to Canon's New York office 23 years ago, he says: "I was fortunate to meet so many Americans who took me under their wing and enlightened me about American culture and the American way of doing business. Helping Greater Hartford Jaycees is one of the ways in which we plan to repay the kindnesses extended to Canon in the United States."



Various equipment in the fully integrated exercise room for children with lung disease at the University of Connecticut Health Center; Dr. Michelle M. Cloutier at work in the center

"As we continue our growth, it is imperative that we increase our commitment to the communities that host our operations and prove ourselves a good corporate citizen."

# "Made in Japan"

On a hot summer day in 1950, Takeshi Mitarai, a slightly built Japanese entrepreneur, arrived in San Francisco to explore the U.S. market for his budding company's 35mm focal plane shutter cameras. Mitarai, then 49, was looking for a U.S. distributor.

In 1933, Mitarai and a group of young people had set up a small workshop named Seiki Kogaku Kenkyusho (Precision Optical Instruments Laboratory), Canon's predecessor, in downtown Tokyo. Encouraged by the



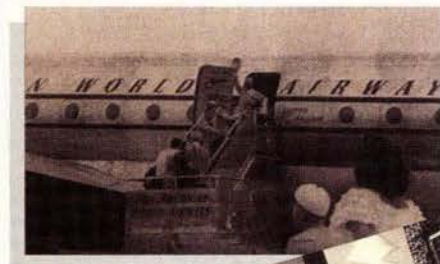
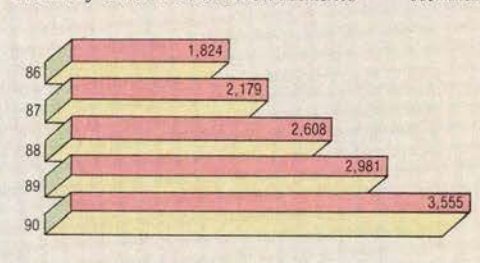
brand name. But Mitarai, convinced that the world would one day recognize the quality of his cameras, politely turned down the offer.

What was devastating to Mitarai on that trip was the extremely negative image Japanese-made products had in the U.S. at the time. "Made in Japan" meant inferior quality. Upon his return from the trip, Mitarai remarked to an editor of a national magazine: "Unless Japanese manufacturers improve the quality of their products, the United States will never take Japan seriously as a trading nation."

That was just four decades ago. Today, Canon is at the forefront of a technological revolution, recognized as one of the

world's leading manufacturers of high-quality cameras, business machines and precision optical equipment.

Growth of Canon's sales in North America\* US\$ million



One of the original 35mm focal plane shutter cameras assembled in Mitarai's Tokyo workshop; Mitarai leaving for the U.S.; Mitarai and the staff of Canon's first sales office in New York City

popularity of his company's cameras among GIs and officers of the U.S. Occupation Forces, Mitarai was convinced that the future of his small company lay in the American market.



After a stay in San Francisco, where he represented Japan's camera and lens manufacturers at a trade fair, Mitarai made his way to Chicago to call on Charles Percy, who, at 29, had just been appointed president of Bell & Howell. At a meeting in the Chicago Chamber of Commerce building, Mitarai showed Percy a camera assembled in his Tokyo workshop and asked for the latter's assessment.

Percy requested time to assess the camera and told Mitarai to come back a month later. Exactly one month later, Mitarai turned up at Percy's office to hear the verdict. The camera, Percy pointed out, would sell like hot cakes—if it were made in Germany. But as it was made in Japan, a country not known for quality goods, there was no way Bell & Howell could market it in the U.S.

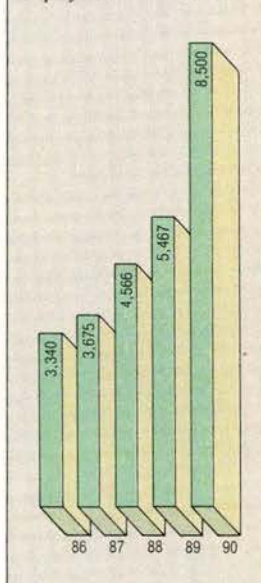
Percy then proposed that the camera be sold under the Bell & Howell

Last year, Canon, with nearly 45,000 employees worldwide, registered total consolidated sales of \$12.8 billion, nearly 30% of which came from its operations in North America—the market that once declined to sell Mitarai's cameras under their own brand name.



\*North America includes U.S.A. and Canada.

Number of Canon's employees in North America\*



"Canon is an extremely important  
and valuable member  
of our business community."

## Commitment to the Community

Canon USA President Takemoto pledges continued commitment to U.S. society. He says: "We are very honored to have been so well received in the U.S. as a company from Japan. Our goal, however, is to become accepted as an American company with a global perspective. We started out as an importer of Canon products from Japan, but already we have begun to develop, manufacture and market a wide variety of products that



Canon Virginia, Inc.

meet the needs of our customers not only in the American market but also in the international market."

In the mid-1980s, Canon USA took a major step toward fully integrated operations by setting up a large-scale manufacturing facility in Newport News, Virginia. Initially designed to produce office copiers, Canon Virginia, Inc. opened in 1987 and is today one of Canon's largest and most modern production facilities in the world. In addition to copiers, Canon Virginia produces laser beam printers, toners and recyclable, easy-to-replace cartridges for laser beam printers.



Among the products emerging from Canon Virginia's assembly lines are Canon NP2020 Series office copiers, some for export to Europe



Employing a staff of nearly 1,300, Canon Virginia enjoys a reputation as a community-conscious company. Already, Canon Virginia has made good its initial pledge to invest \$125 million in the first five years of operations. Plans are under way to invest more as the company continues to expand its facilities.



Hugh Keogh  
Director of the Department of  
Economics in the Office of  
the Governor of Virginia

Says Hugh Keogh, Director of the Department of Economics in the Office of the Governor of Virginia: "In 1985, it came to our attention that Canon's copier division was looking for a location for a production facility in the U.S. In those days, most Japanese investors in the U.S. southeast went to Georgia, or, to some extent, the Carolinas. But Canon sent a team to inspect proposed sites in Virginia. We are glad and honored that Canon made the decision, which has been right for both Canon and Virginia."



Shinichiro Nagashima  
President, Canon Virginia, Inc.

Keogh notes that Canon's choice of Newport News became the "linchpin" for all other Japanese activities that followed.

As a result, nearly 60 Japanese companies now operate in Virginia, generating more than 6,000 jobs—in addition to the 1,300 created by Canon. "If Canon had not located here," says Keogh, "it would have been much harder and taken much longer to attract Japanese businesses. Canon is an extremely important and valuable member of our business community."

Shinichiro Nagashima, who first came to Virginia on that site selection trip in 1985, was named president of Canon Virginia in April 1986. Virginia's business community has nothing but the highest praise for Nagashima's business style, as well as for Canon's commitment to the local community. Donald F. Reilly, Director of Industrial Training for the Department of Economic Development, observes that the employees of Canon Virginia are "clearly made to feel part of a happy family." Reilly notes that there has been very little turnover at Canon Virginia.



Donald F. Reilly  
Director of Industrial Training  
for the Department of  
Economic Development

To date, Canon Virginia has received more than 80,000 job applications, not just from within Virginia but from across the U.S.—a tribute to the excellent company that Canon Virginia has become in such a short time.

Says Canon Virginia President Nagashima: "I want to make Canon Virginia the most efficient manufacturing unit in the entire Canon corporate family. I am more than confident we can do it."

"I am grateful for what Canon has done for me and my family. They've done everything they could to help me resettle in the U.S. and send my children to excellent schools."

# C

## ommitment to People

Canon cares for its employees as much as it does the communities that host its operations. Hanh Nguyen, a former South Vietnamese refugee who repairs Canon cameras in his workshop not far from Canon USA's Lake Success headquarters, knows Canon's commitment to people from his own experience.

A native of Saigon, Hanh learned to repair cameras under the guidance of Canon technicians at the PX of a U.S. military base in Saigon in the early 1970s. In 1973, Canon gave Hanh a letter certifying that he had worked as an able and devoted repairman and requesting that the Canon global family give Hanh every possible assistance, should there be a need for Hanh to leave his war-torn country.

A day before the fall of Saigon in April 1975, Hanh and his family boarded an

American cargo boat bound for an unspecified destination. "I wasn't afraid at all," recalls Hanh. "I knew I would be all right as long as I had the letter with me."

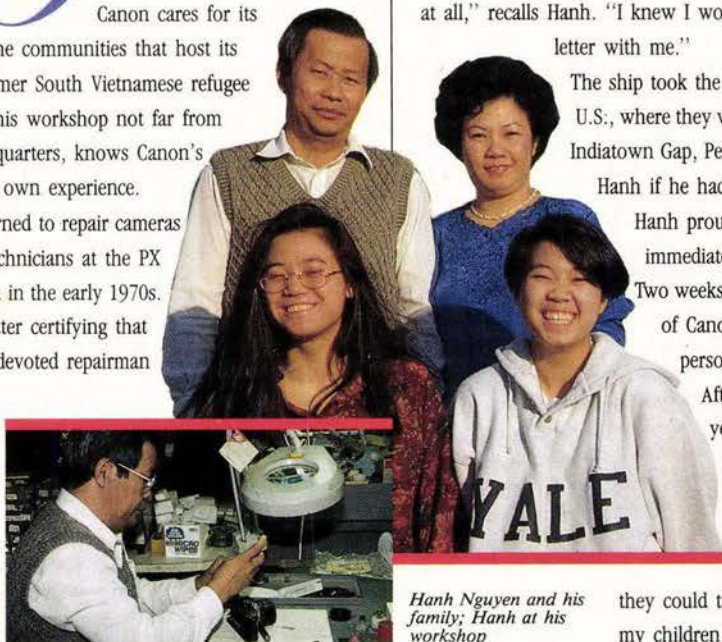
The ship took the Hanh family first to Guam, then to the U.S., where they were accommodated at a refugee center in Indiatown Gap, Pennsylvania. When a center official asked Hanh if he had any friends or relatives in the U.S.,

Hanh proudly produced the letter. The official immediately contacted Canon USA in New York. Two weeks later, Hiroto Kagami, then Vice President of Canon USA, drove to the refugee center to personally offer Hanh a repair job at Canon.

After working for Canon USA for five years, Hanh was encouraged by Canon to set up his own workshop.

"I am grateful for what Canon has done for me and my family," says Hanh. "They've done everything

they could to help me resettle in the U.S. and send my children to excellent schools."



Hanh Nguyen and his family; Hanh at his workshop



"Canon has helped the Jaycees organize the GHO successfully for several years. Canon is a good name associated with a great tournament."

John and Agnes Vuys  
Veteran Volunteers for GHO

"They take care of employees very well and are particularly understanding of any kind of family problems. It makes me proud to work for such a company."

Kay Bearmore  
Staff Associate for Vice President  
Canon USA, Inc.

"At Canon, there's a lot of mutual respect, which leads to an open exchange of ideas. Management makes sure the employees feel every bit an integral part of the Canon family."

Raymond F. Sasso  
Vice President & General  
Manager  
Human Resources  
Canon USA, Inc.

"On your birthday, you receive a card from the president. When someone goes to the hospital, they send flowers. There's a special gentleness and closeness at Canon that I never experienced elsewhere."

Mildred L. Williams  
Manager  
Copier Refurbish & Assembly  
Canon Virginia, Inc.

"At Canon, they give everyone a chance to grow on the job and make sure everyone feels secure on the job. I appreciate the way management constantly strives to maintain a good dialogue with employees."

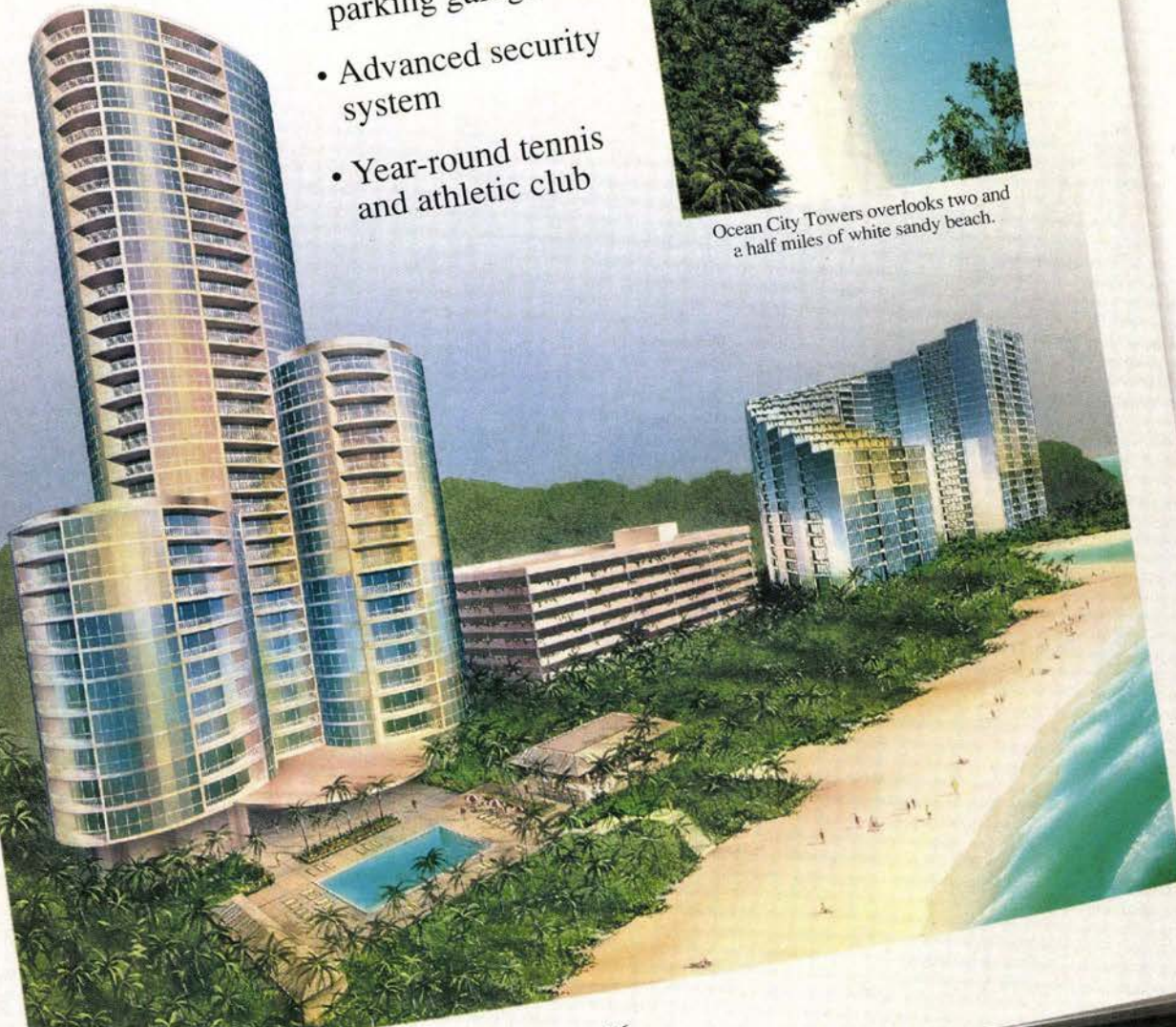
George Hoffmann  
Senior Director  
Copier Supplies Manufacturing  
Canon Business Machines, Inc.

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—16—

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The Digital Difference.

"No matter how excellent a company's technology may be, without a happy work force you have no chance of long-term success."

## An Example of Mutually Rewarding Coexistence

Located in Costa Mesa, California, Canon Business Machines, Inc. further reflects Canon's dynamic drive toward full integration in the U.S. Canon Business Machines, CBM for short, is the world headquarters of Canon's electronic typewriter business.

Explains Umi Tosaka, President of CBM: "The United States is the world's largest market for electronic typewriters and Canon believes it is



Canon Business Machines manufactures a diversified line of products, including Photo Sensitive drums for copiers and electronic typewriters



Umi Tosaka, President of Canon Business Machines, Inc., (center) inspects a line of finished products

where our typewriter business should belong. Transfer of the headquarters, completed a year ago, has benefited both Canon and California. A typical example of mutually rewarding coexistence."

CBM started out in 1974 as a production plant for calculators when Canon became the world's leader in the manufacture of electronic calculators.



Canon  
3191

Canon Business Machines, Inc.

Prior to the current electronic typewriter production, CBM shifted to the production of liquid and dry toners for copiers, micrographics and laser beam printers, as well as Photo Sensitive drums for copiers. Since its establishment, CBM has grown rapidly in sales and number of employees.

Tosaka is optimistic that in the future CBM will be in the vanguard



Electronic typewriters are CBM's main product

of developing top-quality business machines, such as word processors, facsimile machines and computers, by having CBM's own research and development division work closely with Canon's two research institutions in California—Canon Information Systems, Inc. in Costa Mesa and Canon Research Center America, Inc. in Palo Alto.

As in other Canon companies, Canon's commitment to people is amply proven at CBM. "The most important ingredient in any successful business is staff enthusiasm, and this can only be generated if you care enough for them," says Tosaka. "No matter how excellent a company's technology may be, without a happy workforce you have no chance of long-term success."

Canon has indeed come a long way in North America—from the days when its products could not be marketed under its own brand name. Thanks to its corporate policy of responsible partnership and mutually rewarding coexistence, Canon has steadily grown into a leader in its field in North America.

## Corporate Philosophy of Canon

### Corporate Mission

Canon's corporate mission is to make a positive difference in the world, through the means of continued growth.

### Corporate Objectives

We are responsible global citizens.

We will create the best and most unique products based on leading-edge technologies.

We will contribute to continuing prosperity by building an ideal firm.

### Corporate Values

We respect cultural differences among ourselves, our customers, and our communities.

We believe that self-awareness, enthusiasm and responsible behavior are three keys to good results.

We respect dignity, value initiative, and recognize the merit of each individual. As members of the Canon family of companies, we trust and respect each other, and work together in a harmonious atmosphere.

Above all, we sustain our physical and emotional health in order to lead full and happy lives.

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GRANT SEEKERS GUIDE: FUNDING SOURCES

NATIONAL NETWORK OF GRANTMAKERS

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FROM SPEAKING W/ MARK GRAHAM

4/19/89

- ① ~~WHAT~~ IS THERE MODEL TELECOMMUNICATIONS CITY IN JAPAN?  
FIND OUT & GET IN TOUCH W/ THEM.  
OPERATE ISDN
- ② GUP FROM HOLLAND; VISITED PEACENET & CM(?) ABOUT  
1 YR AGO. HE HAD PUBLIC \$ TO SPEND ON A KIOSK  
SYSTEM. HAD SPECIFIC SERVICES IN MIND.
- ③ MARILYNN DAVIS (PHD). VERY VOCAL ON THE <IDEAS> CONF  
<MDAVIS> <sup>WELL</sup> <sub>+ PIN</sub> ON THE WELL. ELECTRONIC  
DEMOCRACY IS HER PET SUBJ. SHE IS ALSO ON PEACEN  
  
<STEVE> ? SEND THEM CORRESPONDENCE  
<BLEELAND> CONCERNING EL. DEM.
- ④ METANET (METASYSTEMS DESIGN GROUP - THEY ARE RE-SELLER  
703/247 8301 of CAUCUS S/W)  
(ROSAEYND VA.  
OR  
ARL. VA.) • THEY HAD A VERY SUBSTANTIVE CONFERENCE  
ON <ELECTRONIC DEMOCRACY> WHICH WAS PRINTED &  
IS AVAILABLE ON PAPER.
- ⑤ DO A SEARCH ON DIALOGUE
  - MICROCOMPUTERS
  - ELECTRONIC DEMOCRACY
  - DEMOCRACY
  - TELECOMPUTING

⑥ DAVID HUGHES <DHUGHES> & HIS CHARIOT - CO.  
• HOW TO GET LOCAL GOVT ON-LINE? HE HAS DONE THIS IN COLORADO SPRINGS.

⑦ GET PAC \* BELL'S ELECTRONIC DEMOCRACY FOLDER  
FROM BOB DENARD'S OFFICE  
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# DAVID GOLDSMITH

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## *Guidelines for Applications*

We look for grant requests that are written clearly and concisely. A half-page summary of the project, followed by two to 10 pages as the main body of the application, will usually suffice. The proposal should describe the project and the need for it; the qualifications and past accomplishments of the sponsoring organization; how the project is to proceed and who is to carry it out; a time frame and budget; the benefits to be gained and for whom; and the plans for evaluating and funding the project in the future.

Include a recent financial statement (audited, if feasible), together with the names and occupations of trustees of the organization. We also require written Internal Revenue Service confirmation of the organization's 501(c)(3) designation under the Internal Revenue Code.

Whether funded or not, organizations must wait at least a year before submitting a subsequent proposal. Recipients are expected to make periodic progress reports and to submit a narrative and an accounting of disbursements at the end of the grant period.

The Board of Trustees meets four times yearly. It considers Local (Morris County) and Welfare of Animals projects in March, Secondary Education in June, the Arts in September and Public Issues in December.

Proposals should be submitted to the Foundation's executive director and postmarked no later than the following deadlines to allow time for staff review:

- December 15    Welfare of Animals  
                    Local Projects
- March 15      Secondary Education
- June 15        The Arts
- September 15    Public Issues

Scott McVay, Executive Director  
Geraldine R. Dodge Foundation, Incorporated  
163 Madison Avenue, Post Office Box 1239  
Morristown, New Jersey 07962-1239  
201-540-8442

## *Limitations*

For effective focus of the Foundation's energies, it is necessary to exclude from consideration such major fields as higher education, health and religion. Similarly, support for capital programs, equipment purchases, indirect costs, endowment funds and deficit reduction are outside of the guidelines.

The Foundation's interest in the Welfare of Animals is directed toward projects with national implications. An exception is a New Jersey-based animal shelter assistance program. Support for the Arts is confined to New Jersey. With few exceptions, support is similarly focused on New Jersey in the Public Issues category of our grantmaking. In Secondary Education, we look for projects that are likely to lead to improvement in the leadership, quality and accessibility of education generally, as opposed to those that benefit only a sponsoring school or organization. The majority of our grants in this category are directed toward programs in the Northeast.

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\*\*\*\*\*

ORACLE'S CORPORATE GIVING PROGRAM

\*\*\*\*\*

Oracle is very pleased to announce that it has recently made cash and/or software gifts to the non-profit organizations listed below.

As part of its Corporate Giving Program Oracle makes these gifts on a quarterly basis, placing special focus on environmental, conservation, medical research, and other select humanitarian causes. We invite your questions! Please contact RGANN if you would like information about any of the following organizations, or if you have general questions regarding Oracle's Giving Program.

American Youth Soccer Association

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\*\*\*\*\*

<< E N D O F M E S S A G E >>

## GRANT GUIDELINES

The Nathan Cummings Foundation is a national grantmaking organization dedicated to the well-being of all people. Our focus is in four programs: arts, health, environment and Jewish life. This year, we will make roughly equal financial commitments to each program.

We will develop a coherent approach that carries some basic themes into all of our programs: concern for the underserved, poor, and disadvantaged; attention to the welfare of the next generation; respect for cultural differences; empowerment of the powerless—giving them a voice in solving the problems that affect them; leadership development; and education. We will try to acknowledge and honor the connections which tie together the various interests of the Foundation. We will make efforts to document the outcomes of our projects, so that we can share the results of our work and the work of our grantees. Our primary focus will be on grants in the United States, but in some instances we will support activities in other countries.

### ARTS

Arts can improve the quality of life. They can be a significant vehicle for communication and education, and can break down barriers between races and groups. Arts can embody what is finest in the human spirit. They can be challenging and provocative, and communicate visions of a more beautiful, more just, more compassionate world. In our arts program, we will recognize the rich cultural pluralism of the United States and seek to support the expression of that diversity in the creative arts--visual, performing and literary.

## ARTS (continued)

The program will focus on:

- supporting arts education, particularly for youth-at-risk;
- encouraging creative autonomy and arts advocacy;
- assisting arts institutions to create new agendas and to be more accessible to all populations.

## ENVIRONMENT

We live at a critical moment in history: human activities threaten to overwhelm the earth's capacity to sustain them. The challenge of these times is to ensure our survival without ravaging the earth or abandoning the search for equity and beauty. The Foundation is therefore particularly interested in activities with multiple benefits.

The program will focus on:

- energy-efficient transportation;
- farming, forestry, and waste systems that replenish natural resources;
- environmental programs in minority communities and efforts to bring minority perspectives to the environmental movement;
- attempts to describe and promote a sustainable society which safeguards the natural inheritance while it reduces disparities between rich and poor.

## HEALTH

Health and a sense of well-being, among the basic components of a decent life and a thriving society, are beyond the reach of millions of Americans. The consequences of poverty implicate health issues in ways which include and reach far beyond poor medical care; they breed depression and an attitude of despair about the possibility of leading a good and healthy life.

The program will focus on:

- promoting health among the underserved, particularly, low-income children and their families;
- supporting the emerging field of mind/body and behavioral medicine;
- encouraging work in applied biomedical ethics, with attention to ethical issues in practical contexts—to the quality of doctor-patient relations and the promotion of humane values in the health field.

## JEWISH LIFE

American Jews are in a position unique in Jewish history. They have unprecedented freedom and affluence, and an abundance of choice. At the same time, conditions in society and in the world call on Jews to take special action, drawing on the Jewish heritage and culture. The program will support activities in the Soviet Union and Israel as well as in the United States.

The program will focus on:

- social justice programs;
- Jewish renewal/spirituality/education;
- relationships between Jews and non-Jews, and among Jews.

## PROCEDURES

Parties interested in seeking funds should institute the grant application process with a two- or three-page letter of inquiry. The letter should provide:

- basic information about the organization, including a brief statement of its activities, history and tax-exempt status;
- the name, address, and telephone number of a contact person;
- the purposes and period of time for which funds are being requested, including issues and problems the proposed project will address;
- the names and qualifications of staff who will be involved in the project;
- budget information, including the total budget of the organization;
- the total budget for the project;
- the total amount requested from the Foundation;
- other sources from which funding has been received or sought.

Our staff will review these letters and respond promptly. In some cases, they will request a full application and supporting materials. Please address all material to:

The Nathan Cummings Foundation  
885 Third Avenue  
Suite 3160  
New York, NY 10022

Nitecki, Danuta, and Barbara Finkelstein. "Evaluation of Expert System Software Application for Identification of Curriculum Information." University of Maryland, November 1989.

Nourie, Alan, Cheryl Elzy, and Wilfred Lancaster. "Unobtrusive Testing of Reference Services in a Divisional Academic Library." Illinois State University, December 1989.

Penhale, Sara J., Jerome H. Woolpy, and William H. Buskirk. "Online Abstracts as a Source of Information for Undergraduate Research in a Small College." Earlham College, February 1989.

Pikoff, Howard. "The Use of RLG Acquisitions Lists and Document Retrieval to Improve Access to New Interdisciplinary Holdings: Final Report." SUNY-Buffalo, September 1988.

Ricker, Alison S., and Jeffrey A. Witter. "Library Support for Science Research and Education in Leading Liberal Arts Colleges: Survey Results." Oberlin College, October 1989.

St. Clair, Gloriana, and Rose Mary Magrill. "Undergraduate Use of Collections in the Production of Term Papers." Texas A&M University, April 1989.

Schwarzwalder, Robert N., Jr. "Assisting Scientific and Technical Research Through Subject Oriented Bibliographies of NTIS Reports." Kansas State University, May 1989.

Snyder, Carolyn A., and Stella Bentley. "Staff Utilization in Branch Libraries: A Research Report." Indiana University, June 1989.

Wiberley, Stephen E., Jr., et al. "User Persistence in Scanning LCS Postings." University of Illinois at Chicago, April 1989.

## About the Council

The Council on Library Resources, an operating foundation, was chartered in 1956 to help libraries take advantage of emerging technologies to improve operating performance and expand services for an increasing number of users. Over the years, CLR interests have evolved to include, along with advancing technologies, a wide range of topics including the characteristics and use of information, the management of libraries and information systems, bibliographic systems, and equitable access to information. Professional education is an important area of special interest. From the beginning, the Council's program has concentrated on academic and research libraries because of their key role in collegiate instruction, their centrality to research and scholarship, and their fundamental importance to society. A general brochure describing the CLR program is available.



Council on Library Resources  
1785 Massachusetts Avenue, N.W., Suite 313  
Washington, D.C. 20036  
(202) 483-7474

# G RANTS

Cooperative

Research

Grants for

Librarians &

Faculty

Members



Council on

Library

Resources

## Cooperative Research Grants

Under the Cooperative Research Program, CLR makes a limited number of grants each year to support research projects proposed jointly by librarians and members of faculties in library science or, when appropriate, other pertinent disciplines. The purpose is threefold: to stimulate productive communication between teaching faculty and librarians; to encourage librarians to develop more fully their research skills; and to increase the quantity and improve the quality of research and analytical studies related to library operations.

Grants are limited to a maximum of ~~\$3,000~~ <sup>\$4,000</sup> and are intended to fund such incremental research costs as the organization of data, the hiring of interviewers or other assistants, and charges for computer time. Grants may not be used for the salaries of principals, purchase of equipment, or indirect costs. CLR asks for a final report of the project and encourages grantees to submit reports and articles for publication in the professional literature.

## Examples of Topics for Attention

Funds have been provided for more than one hundred studies that range widely over most aspects of library operations and services. Analytical studies of costs, incorporation of nonprint resources, evaluation of services, assessment of cooperative programs, and experimental technology applications are only a few examples of possible projects. The key point is that projects address matters of importance and that the methods proposed are appropriate to the task.

## Applications

Applications must be submitted jointly by the investigators and should include evidence of institutional support for the work. Each proposal should be submitted in the form of a letter to the Council on Library Resources, and should include the following information:

1. A brief *abstract* (no more than fifty words) of the proposal.
2. A *description of proposed work*, including objectives, brief discussion of previous work on the topic, methodology, and plans for evaluation. The cooperative nature of the project should be demonstrated through a review of the role each principal will play.
3. *Curricula vitae* of each of the principal investigators.
4. The anticipated *duration of the project* and evidence that time to undertake the work will be available. CLR urges careful consideration of time requirements, because many previous grant recipients have requested extensions. Most cooperative research projects are completed in slightly over a year.
5. Assessment of the *potential utility of research results* to libraries generally.
6. A *detailed budget* for the project, linking costs to projected work.
7. Plans for *disseminating the results*.

Applicants should provide the original and four copies of the application. Proposals or questions about the program should be directed to:

Council on Library Resources  
Attn: Cooperative Research Program  
1785 Massachusetts Avenue, N.W., Suite 313  
Washington, D.C. 20036

## Deadlines and Proposal Review

Grants are awarded twice each year, in the spring and fall. The deadlines for submission of proposals are April 1 and November 1. No set number of awards is given. Proposals are considered by CLR staff and external reviewers, with final action taken in accordance with established Council procedures. Usually, reviewers consider such matters as the uniqueness of the work; the importance of the results to libraries in general; relationship to other, similar work; proposed methodology; and relevance to the Council's general objectives. While the program is competitive (typically, about one-fourth of the proposals are funded), evaluators judge each proposal according to standards of excellence for research rather than comparatively. Applicants may be asked to provide further information during the review process, which usually takes six to eight weeks; notification of awards is normally by mail.

## Recent Cooperative Research Reports

Anderson, Margo, and Susan E. Searing. "A Survey of Information-Seeking Behavior and Information Needs of Researchers in Women's Studies." University of Wisconsin, Milwaukee, October 1989.

Choi, Jin M., and Nancy Washington. "Learning Styles of Academic Librarians and Implication for Professional Development." University of South Carolina, December 1988.

Dawson, Alma, Danny P. Wallace, and Bert R. Boyce. "Development of a Core Library Collection for Library Automation." Louisiana State University, March 1989.

Gustafson, Ralph A., et al. "Fungicidal Efficacy of Selected Chemicals in Thymol Cabinets." Winthrop College, February 1989.

Halsey, Richard S., and Richard D. Irving. "Assessment of Information Needs of Rockefeller College Faculty." SUNY-Albany, September 1989.

Hardesty, Larry, and David Kaser. "What Do Academic Administrators Think about the Library?" Eckerd College, December 1989.

Interagency Council on Library Resources for Nursing. *Guide to Archival Sources in Nursing*. West Long Branch, N.J., August 1989.

McDonald, J., and L. Micikas. "Syllabi Analysis as a Method for Faculty Participation in Collection Development." Holy Family College, May 1989.

McGarry, Dorothy, and Sheila S. Intner. "Quality in Bibliographic Databases: An Analysis of Member-Contributed Cataloging in OCLC and RLIN." University of California, Los Angeles, 1988.

Murfin, Marjorie E., and Charles A. Bunge. "A Cost Effectiveness Formula for Reference Service in Academic Libraries." Ohio State University, August 1989.

Nielsen, Brian. "An Intelligent Support System for the Reference Librarian." Northwestern University, September 1989.

complex array of policy matters and operating problems that face senior administrators. Each intern is awarded a stipend equal to basic salary and benefits (up to \$33,000) for the nine-month period; some assistance for moving and other program-related expenses is also provided. The Council expects to make as many as three awards for 1990-91. As part of the selection process, finalists will be invited to Washington for personal interviews. The application deadline for the 1990-91 grant cycle is October 16, 1989, with awards to be announced in March 1990.

### **Cooperative Research Program**

The Council on Library Resources makes a number of grants each year to support research projects proposed jointly by librarians and members of faculties in library science, or, when appropriate, other pertinent disciplines. This program is designed to stimulate productive communication between teaching faculty and librarians, to encourage librarians to develop more fully their research skills, and to increase the quantity and improve the quality of library-related research. Cooperative research grants are given for carefully developed proposals that exhibit an imaginative approach to solving problems or analyzing subjects of current interest to libraries. Grants made to librarian-faculty teams are limited to a maximum of \$3,000 and are intended to fund direct costs incurred in the conduct of the research project. Grants are awarded twice each year: the spring deadline is April 1; the fall deadline is November 1. While the program is competitive, evaluators judge each proposal according to standards of excellence for research. No set number of awards is made in each cycle, but typically one-fourth of the proposals are funded.

A brochure describing each of these programs in greater detail is available by writing to the Council.

### **Applying for CLR Grants**

Initial inquiries should state the purpose of the proposed work, indicate methodology, establish the credentials of the responsible individuals, and provide an estimate of total costs and funding requirements. CLR will respond promptly with an indication of interest. If

subsequent exploration seems justified, preparation of a complete proposal will be suggested.

Full documentation should include:

1. A concise description of the proposed project.
2. A thorough explanation of the work to be done, including objectives and methods to be employed. A timetable, pertinent background information, and plans for evaluation of results should also be provided.
3. A detailed budget linking costs to project components.
4. Curricula vitae of the principal investigators.

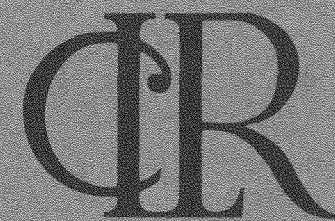
Proposals are carefully reviewed by CLR staff and, when necessary, external advisors, who consider such matters as relevance to current CLR interests and activities; relationship to other, similar work; projected costs in the context of the work described; and importance of anticipated results. The Council also looks for evidence of institutional support, including cost sharing. With the exception of the cyclical programs, there are no submission deadlines.

Support is not provided for construction or renovation, collection acquisitions, routine operating costs, activities judged to be of limited influence, or work that essentially repeats previous research. CLR does not fund indirect costs or, with rare exceptions, equipment purchases. While CLR, in consultation with its advisors, often initiates and promotes work in program areas, exploratory correspondence and conversation are always welcome, and all proposals receive careful consideration.

### **For Further Information**

Individuals wishing to pursue an idea or seeking additional information about CLR and its interests are invited to write or call. Please address inquiries to:

Council on Library Resources  
1785 Massachusetts Avenue, N.W., Suite 313  
Washington, D.C. 20036  
(202) 483-7474



**Council  
on  
Library  
Resources**

**Program**

**1989-90**

## About the Council on Library Resources

For more than thirty-three years the Council on Library Resources has concerned itself with the development and performance of libraries. During that time, different matters have been emphasized and different means have been used, but there has been a remarkable constancy of purpose—first, improvement of library operations and management, and, second, support for exceptional librarians at every stage of their careers.

The focus has always been on the future; in the arena of operations, this has meant a heavy concentration on technology and its potential effect on the principal functions of libraries—the expansion of bibliographic capabilities, the development and preservation of collections and information resources, and the assurance of equitable access to information for all users. Over the years, these objectives have led to international cataloging standards for computerized bibliographic systems, research in paper chemistry, development of telecommunications protocols, microfilm standards, and many other elements required to build a base for technological applications. At the same time, CLR funds have supported economic studies, the development of a wide range of management training programs, and effective consortial and collaborative undertakings that, taken together, have helped libraries cope with expanding obligations in a constrained financial setting.

Support for individuals and for strengthening the educational foundations of the profession have evolved simultaneously. Competitive programs have provided opportunities for several hundred individuals to pursue professional interests, and many special courses and instructional sessions have been funded or operated on subjects ranging from the library and information problems related to international studies to dealing with electronic records in public archives.

The Council's programs continue; they are described in the paragraphs that follow. Our limits are set by available funds (CLR relies on support from private foundations), by the help we can enlist from the library and academic communities, and by the quality of the proposals for support that come to us.

## Library Management and Operations

The Council sponsors a wide-ranging program of research and analysis concerning all aspects of library operations. Its primary aim is to consider the future form of research libraries. This has meant concentrating on strategic planning and management issues and on the principal elements of library responsibility—bibliographic processes and products, equitable access to information, cost containment, collection strength and integrity, effective cooperation among libraries, adoption of promising technologies, and the integration of library functions with research and teaching. CLR has sought to narrow the agenda by selecting topics in which analysis and demonstration would be especially informative or would open up new and potentially influential opportunities.

As an operating foundation, the Council both manages its own programs and grants funds to others—academic institutions, organizations, and individuals. Grants are awarded in response to unsolicited proposals or for work proposed in the context of a CLR-managed program. Individuals interested in exploring prospects for support should send an informal letter to CLR describing the purpose of and methods proposed for the work, along with a summary of academic and professional credentials and a careful estimate of total costs and funding requirements. As a matter of policy, CLR does not fund institutional indirect costs. A fuller description of the proposal submission procedure is given below.

## Librarianship and Professional Education

As the information structure that undergirds research and scholarship becomes more complex and costly, the individuals who are obligated to make that structure work will need a new and extensive set of capabilities and a sophisticated understanding of the information requirements of a diverse and constantly expanding user population. Today, librarians share equal billing with the more impersonal world of technologies and systems. CLR has expanded its support

for continuing education with a series of grant programs, each one designed to meet the needs of individuals with specific interests and requirements.

## CLR Fellows Program

The CLR Fellows program is the newest of the Council's competitive offerings for librarians. This program offers financial support for professional staff members of academic, research, and public libraries who wish to undertake research, conduct analytical studies pertinent to library operations and services, or pursue other professional projects of importance. Simply as examples, topics might be drawn from the following areas: library operations, bibliographic systems, user requirements, historical subjects, or information systems. Each candidate must show evidence of institutional support for the CLR Fellowship, including provision of leave with pay for at least a portion of the fellowship period. The awards might include limited salary support (when matched by the employing institution) and direct costs of the research project. Grants may not be used for tuition in any degree program, for purchase of equipment, or for indirect costs. Applications are considered three times each year, with deadlines of March 1, October 1, and December 1. There is no set number of awards given in each cycle, and each project is judged against standards of excellence for research and potential importance rather than comparatively.

## Academic Library Management Intern Program

The Academic Library Management Intern Program, offered biennially, is designed for librarians who have an interest in the administration of large libraries and who wish to improve their management skills with an eye toward professional advancement. Successful candidates usually have had five to ten years of experience in academic libraries, with significant supervisory responsibilities; have sat on institution-wide committees; have been professionally active; and have published in the professional literature. Interns typically spend the academic year (nine months, from September to May) working with the director and senior administrative staff in a large and well-managed research library. The goal is to expose interns to the

ep

THE LOWELL BERRY FOUNDATION

FOUR ORINDA WAY, SUITE 140-B

ORINDA, CALIFORNIA 94563

(415) 254-1944

FAX: 1-415-254-5041

June 24, 1991

Evelyn Pine  
Community Memory Project  
2617 San Pablo Avenue  
Berkeley, CA 94702

Thank you for contacting The Lowell Berry Foundation requesting information about the grant making policy and application procedure.

Mr. Lowell Berry established the Foundation in 1950 with the primary objective of assisting in strengthening Christian ministry at the local church level. Although the majority of funds available for grants is expended on such Christian ministries, the Foundation also funds social service projects.

The Berry Foundation has a large number of ongoing grant programs. The small number of new grants is restricted to programs in California's Contra Costa and northern Alameda counties. Grants to individuals, capital funding projects, equipment, and newly established organizations are outside the guidelines.

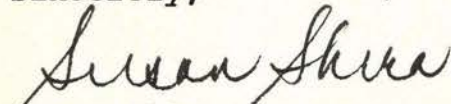
The funding cycle runs on a calendar year basis with committee and board meetings quarterly. Proposals are received and reviewed continuously throughout the year.

A proposal should contain the following information:

1. summary statement and background information
2. copies of latest two form 990
3. specific monetary amount requested
4. budget listing how the funds will be spent
5. copy of the IRS tax-exempt 501 (c)3 letter

A proposal for a Christian program should be submitted to the attention of Mr. Charles Branagh, President. A proposal for a social service grant should be sent to Ms. Barbara B. Corneille, Director. Notification regarding the funding decision will be sent as soon as possible.

Sincerely,



Susan Shira  
Administrator

# BELDON FUND

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2000 P Street, N.W., Suite 410, Washington, D.C. 20036 (202) 293-1928

**John R. Hunting**  
*President*

**Judy Donald**  
*Executive Director*

## GUIDELINES

### Areas of Interest

The Beldon Fund's primary interest is in strengthening national, regional, and state-wide environmental organizations which educate and train their members or the public-at-large about significant environmental issues. For example the Fund supports programs which:

- expand the financial and membership base
- reach out to new constituencies
- build strong coalitions
- provide technical assistance and training
- use media creatively to communicate environmental messages to the public

The Fund is also interested in the following specific Issue areas which:

- manage the solid waste crisis
- reduce the use of toxics
- connect spirituality and the environment
- promote an ecosystem approach to problem-solving
- employ economic models to justify environmentalism

Finally, for video and film projects, the Fund is assisted by the Foundation for Independent Video and Film. FIVF receives and screens all environmental video or film proposals and recommends finalists for funding consideration. To receive guidelines and an application, send a self-addressed stamped envelope to: FIVF, 625 Broadway, 9th Floor, New York, NY 10012.

### Application Procedure

Applicants are encouraged to call first or send a brief letter of inquiry before going to the trouble of submitting a full proposal. The Beldon Fund has no standard application form, but if a full proposal is submitted, the following items are generally helpful:

Proposal summary, including contact name and phone number, grant period, and amount requested.

Need for program in light of related work by others.

Goals, objectives, and action plan.

Method of evaluation and, if appropriate, plan for continuity after the first year.

Financial information (most recent organizational financial statement; itemized program budget; list of other potential sources of funding for project).

Proof of IRS tax exemption from applicant or fiscal agent (include an agreement letter from fiscal agent).

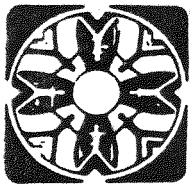
List of Board of Directors.

Background and qualifications of organization and staff.

The Beldon Fund has no deadlines for applications. Grant decisions are made frequently throughout the year.

### Grant Limitations

The Fund makes grants only to tax-exempt organizations. The Fund does not make grants for the following: endowment or capital campaigns, grants to individuals, historic preservation, direct social service delivery programs, public or private education, scholarships, or academic research. Also, no grants for international programs.



# Agape Foundation

## Fund for Nonviolent Social Change

942 Market Street, Room 601, San Francisco, CA 94102, (415) 986-2297

### Board of Trustees

Evan Conroy  
Liz Kozeniewski  
Alan McCann-Sayles  
Shelley (Val) McHugh  
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Randy Schutt  
Scott Ullman  
Jenny Ulrich  
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Natalie Shiras  
David Troup  
Tom Unterman

### Executive Director

Ann Wrixon

### Staff Assistant

Doug Perrin

**all contributions  
are tax-deductible**

*Agape: A Greek  
word meaning  
unselfish love.*

### --GUIDELINES FOR FEBRUARY 1991 GRANTING SESSION

The deadline for grant applications is February 8, 1991. We welcome applications that meet the following guidelines.

### APPLICATION GUIDELINES

1. It is best to submit your application at least one month before the deadline date.

2. Your proposal should be no longer than five pages and must include the following information:

A. A statement of how your organization promotes nonviolent social change.

B. A brief history of your organization with specific dates and figures. Please include a statement of purpose if available.

C. A description of your constituency -- whom will the project reach? Whom will it affect?

D. Your group's **total** budget.

E. The proposed budget for the specific project if applicable;

F. The specific amount for which you are applying.

G. Your fundraising plan for the project.

H. Any other pertinent material -- newsletter, publicity flyers, newspaper articles etc.

I. Name, address and phone number of contact person for follow-up.

### GRANTING PROCESS:

1. Your proposal will be reviewed by the Agape staff.

2. Proposals falling within our guidelines will be given to the Board.

3. Board members will follow up on proposals by phone if necessary to obtain additional information.

4. A final decision will be made by the Board of Trustees at its granting session in April of 1991.

RANGE OF GRANTS: Minimum -- \$500.00  
Maximum -- \$1500.00

If a temporary loan would meet your needs more immediately than a grant, we encourage you to apply for a Stern Fund Loan. Loans of up to \$3000.00 can be made for 3 months at a flat interest rate of 2%, and they can be processed immediately on approval. Please write for additional information.

## GUIDELINES AND PRIORITIES

GUIDELINES -- The **Agape Foundation** considers requests for grants, fiscal sponsorship, loans, and technical assistance from projects which fall within six guidelines:

- 1) Projects must purposely promote the use of nonviolence in their strategies or be grounded in the philosophy of nonviolence;
- 2) Projects must be located in the western United States or the Pacific Basin;
- 3) Projects must demonstrate a commitment to grassroots participation and reflect this in their budget;
- 4) Projects must be of a nature that they cannot secure funds from traditional sources;
- 5) Priority is given to seed grants, but occasionally we provide on-going support; and,
- 6) Projects that integrate peace and social justice issues.

PRIORITIES -- **Agape Foundation** will actively seek out grassroots peace and social justice organizations that are working to bring about nonviolent change in states west of the Rockies. In particular, we look to projects that deal with the following topics:

- Impact of military spending on local communities.
- Proliferation of nuclear technologies in the Third World.
- Conventional war and non-intervention.
- Draft, registration and military recruitment.
- Militaristic attitudes in society/nonviolent conflict resolution.



Agape Foundation Board of Trustees members at the 20th Anniversary celebration, October 15, 1989: Evan Conroy, Liz Kozienewski, Alice Hamburg (Advisor), Claire Bradley Feder, Val McHugh, Jenny Ulrich, Ann Wrixon (Director), and Robert Cooney and Randy Schutt in front.

1989 was an active year for Agape Foundation. We hired a new executive director and moved our office to downtown San Francisco where we subsequently shook with the October 17th earthquake. Our Board of Trustees grew, we began publishing a newsletter, the "Agape News," and we celebrated our 20th Anniversary as a Foundation with a party for supporters and activists from Agape's first 20 years. We reduced our expenditures from last year, increased our income, increased our grant making and loans, saw our fiscal sponsorship program grow, and laid the groundwork to continue our work in the Nineties.

Now, as we enter a new decade, we are seeing spectacular changes in other parts of the world - South Africa, Berlin, China, Russia and Eastern Europe. As these dramatic events unfold it is essential that the voices of grassroots nonviolent activists both at home and abroad be strengthened so that the message of nonviolence will be heard even more strongly around the world - and especially in the U.S.

**Agape Foundation**  
942 Market Street,  
Suite 601  
San Francisco, CA 94102  
(415) 986-2297

Agape Foundation plays a crucial role in providing resources to nonviolent social change groups in the western United States. In the 1990s, we hope to greatly increase our granting, fiscal sponsorship, loan programs and other services so that active groups and individuals will have the help they need to make a difference. As a non-endowed foundation, Agape is supported solely by public contributions, as it has been since 1969. We appreciate the generous support of all those who have made Agape's existence possible, year by year, for the past tumultuous 20 years, and we look forward to the new decade with great hope and expectation.

#### 1989 FINANCIAL REPORT

<b>Fund Balance</b> (January 1)	\$ 12,227
<b>Income</b>	
Unrestricted contributions	\$ 31,846
Restricted contributions	109,588
Service Fees (from Fiscal Sponsorship)	4,904
Interest	162
<b>TOTAL</b>	<b>\$146,500</b>
<b>Expenditures</b>	
<b>Project Support</b>	
Donor Directed	7,348
Grants	5,925
Fiscal Sponsorship	98,486
<b>SUBTOTAL</b>	<b>\$111,759</b>
Loans*	8,000
<b>Administration</b>	
Personnel	15,724
Office	7,955
Fundraising	3,155
<b>SUBTOTAL</b>	<b>\$ 34,834</b>
<b>Fund Balance</b> (December 31)	
David R. Stern Memorial Fund†	\$ 3,471
Other Restricted	\$ 2,030
Unrestricted	\$ 8,217
*Loans repaid.	
†An additional \$4,000 was out on loan at the end of the year.	

UNAUDITED. The information shown in this financial report has been summarized by Agape Foundation from reports on file at the Foundation's office.

AGAPE FOUNDATION • FOUNDED 1969 • FOUNGING MEMBERS: ANN PEABODY BROWN • ROBERT WESLEY BROWN • CLAIRE BRADLEY FEDER • DR. GEORGE HOGLE • ROY KEPLER • ROBERT WEIR • DENNY WILCHER • NEW BOARD MEMBERS AND SELECTED PROJECTS: 1970 • REV. ANTHONY MEYER • IRA SANDPERL • LOCKHEED PROJECT • PENTAGON COFFEE HOUSE • WAR RESISTERS LEAGUE • 1971-1972 • CHRISTOPHER JONES • DAVID JOSEPHSON • RALPH KOHN • TOM COATS • KENT SMITH • WILL KIRKLAND • JANIS LABAD • SUSAN MAUDONALD • JANE SCHULMAN • DYANNE LADINE • REGINALD NILES • LARRY TRAMUTT • TOM GAGNE • HOWARD FREDERICK • DRAFT REFUSER SUPPORT • INSTITUTE FOR THE STUDY OF NONVIOLENCE • COMITTEE FOR CONSCIENTIOUS OBJECTION • GENTLE STRENGTH/PEACE BRIGADE • HONEYWELL PROJECT • L.A. HOUSE OF HOSPITALITY • GAY MILITARY COUNSELING • AHIMSA ASSOCIATES • JANE ADDAMS PEACE ASSOCIATION • PEOPLE'S UNION CO-OP FARM • 1975 • PAUL HAMMOND • ROBERT COONEY • BILL DUNCAN • ANNE MARIE HOGAN • STEVE LADD • NATIONAL FARMWORKER MINISTRY • WIN MAGAZINE • STOP THE B-1 BOMBER/NATIONAL PEACE CONVERSION • BAY AREA NONVIOLENT COMMUNITY TEACH-IN • AMNESTY INTERNATIONAL • CALIFORNIANS AGAINST THE DEATH PENALTY • 1974 • EILEEN SAVARESE • JACQUIE PETERS • DAN SPELCE • WENDY BATSON • PAULINE HENDERSON • ART SIMON • BREAD AND ROSES • THOMAS MERTON UNITY CENTER • SAN JOSE PEACE CENTER • COMMITTEE FOR INTERNATIONAL NONVIOLENCE • 1975-1976 • KRISTINE KENNEDY • MCKENZIE RIVER GATHERING • SCOTT KENNEDY • DAVE MCFADDEN • JUDY TAMARIN • SAM TYSON • TOM MOSMILLER • JIM KUTCHINS • NORTHERN CALIFORNIA LAND TRUST • INDOCHINA WALK • MID-PENINSULA CONVERSION PROJECT • KOREA LINK • "THE POWER OF THE PEOPLE" • INDONCHINA RESOURCE CENTER • PACIFIC LIFE COMMUNITY • DAVID R. STERN MEMORIAL FUND • U.C. NUCLEAR WEAPONS CONVERSION PROJECT • PORTLAND MEN'S RESOURCE CENTER • BAY AREA NAMIBIA ACTION GROUP • SOLPOWER INDUSTRIES • 1977 • RON GLASS • HELEN MICHALOWSKI • DIANE THOMAS • DORIE WILSNACK • KIT BRICCA • RICHARD ROBERTS • GAIL STERN • NONVIOLENT TECHNIQUES INTERNATIONAL HOTEL TENANTS ASSOCIATION • 1978 • PATRICIA ELLSBERG • SCOTT ULLMAN • CAROL WOLMAN • ROCKY FLATS TRUTH FORCE • LA TERTULIA • ALLIANCE FOR SURVIVAL • "FIVE WOMEN/FIVE BIRTHS" • SOUTH AFRICA CATALYST PROJECT • 1979 • RANDY BERNARD • PAUL BURKS • MARY ANNA COLWELL • CHAD MEYERS • WILL RIGGAN • GRACE SEY • NATALIE SHIRAS • MYRA WISE • COALITION FOR THE MEDICAL RIGHTS OF WOMEN • ARGYLE TENANTS ORGANIZATION • JOBS WITH PEACE • HAWAII CATHOLIC ACTION • THIRD WORLD GAY COALITION • 1980-1981 • KEN MASTERTON • DIANE SPAUGH • ANGL CONTRERAS • ARLEEN FENG • FAY GRAEF • ALICE HAMBURG • SUSAN MESNER • ANNE STEIN • BOB ZAUGH • CITIZENS' ALLIANCE • NATIONAL ASSOCIATION OF ATOMIC VETERANS • NUCLEAR FREE CONFERENCE • THE SEATTLE MIDWIFERY SCHOOL • SURVIVAL SUMMER • MICRONESIA SUPPORT COMMITTEE • GUATEMALA NEWS AND INFORMATION BUREAU • 1982 • NANCY BRADLEY • ENOLA MAXWELL • SANDI GONZALES • BARTIMAEUS COMMUNITY • CHILDREN'S CREATIVE RESPONSE TO CONFLICT • DISARMAMENT RESOURCE CENTER • THE GATHERING PLACE • REDWOOD RECORDS • SACRAMENTO PEACE CENTER • 1985 • KIT MILLER • ROB BOUDEWIJN • MARIA CHACON • GARY DELGADO • RALPHYNE MACDONALD • NICOLE MAGNUSON • LISA ROBINSON • DAGMAR THORPE • ALEC SKOLNICK • EMILY SKOLNICK • TOM UNTERMAN • DRAFT INFORMATION ALLIANCE • FRIENDS OF HIBAKUSHA • MONTANA CITIZENS TO END THE ARMS RACE • PEACE AND JUSTICE YOUTH OUTREACH PROJECT • NICARAGUA INTERFAITH COMMITTEE FOR ACTION • 1984-1985 •

## Agape Foundation 1989 Annual Report

• BAY ZONE I BRADLI  
 COALITION • WITNESS FOR PEACE • SNAKE RIVER ALLIANCE • SOMOS HERMANAS • 1987-1988 • RANDY SCHUTT • RHODA NORMAN • JENNY ULRICH • GENE SANDRETTO • SIMEON WHITE • EVAN CONROY • CYNTHIA SHARPE • "A QUESTION OF POWER" • FIRST STRIKE PREVENTION PROJECT • WESTERN SOLIDARITY • WOMEN'S FUNDING ALLIANCE • ARMS CONTROL RESEARCH CENTER • CALIFORNIA MILITARY MONITOR • INSTITUTE FOR THE PRACTICE OF NONVIOLENCE • SOCIAL MOVEMENT EMPLOYMENT PROJECT • AMERICAN INDIAN INSTITUTE • "VIETNAM VETS: DISSIDENTS FOR PEACE" • COALITION FOR A SAFE BAY • PALOUSE-CLEARWATER HANFORD WATCH • SAN MATEO COUNTY FREEZE • 1989 • ANN WRIXON • VAL MCHUGH • SAN FRANCISCO SANCTUARY COVENANT • OTIL A BELUAD • COMMUNITY LABOR EDUCATION AND RESEARCH PROJECT • SOUTH DAKOTA PEACE CENTER • 20 YEARS OF WORK FOR NONVIOLENT SOCIAL CHANGE



## SUMMARY OF 1989 GRANTS AND LOANS

### BOARD OF TRUSTEES

Evan Conroy  
Liz Kozėniewski  
Alan McCann-Sayles  
Val (Shelley) McHugh  
Randy Schutt  
Jenny Ulrich

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Helen Michalowski  
Kit Miller  
Rhoda Norman  
Gene Sandretto  
Cynthia Sharpe  
Natalie Shiras  
David Troup  
Scott Ullman  
Tom Unterman

**AGAPE** (pronounced "Ah' gah pay") a Greek work meaning "unselfish love of one person for another," used by Gandhi during his nonviolent campaigns in India.

- Abalone Alliance**, San Francisco, CA  
Support for public education regarding nuclear power and nuclear weapons. *Donor Directed Grant: \$75. Fiscal Sponsorship: \$3,045.35.*
- Alameda County SANE/Nuclear Freeze**, Oakland, CA  
To support ongoing educational efforts to reduce nuclear weapons and end war. *Donor Directed Grant: \$25.*
- Alliance for Survival**, Santa Ana, CA  
Support for program to reverse the arms race and meet human needs. *Fiscal Sponsorship: \$12,752.40.*
- Alliance for Survival/Community Energy Action Network**, San Diego, CA  
Support for program examining nuclear power and nuclear weapons. *Fiscal Sponsorship: \$23,721.25.*
- American Peace Test**, Las Vegas, NV  
To support public education work on the issue of nuclear testing. *Donor Directed Grant: \$50.*
- Arms Control Research Center (ARC)**, San Francisco, CA  
Assistance for public education program on issues relating to homeporting the USS Missouri in San Francisco Bay. *Donor Directed Grant: \$350. Fiscal Sponsorship: \$595.50.*
- Bay Area Peace Test**, San Francisco, CA  
To support educational work on nuclear testing and war taxes. *Grant: \$500.*
- "Berkeley in the Sixties"**, Berkeley, CA  
To support editing of a 16mm film about Berkeley in the sixties. *Donor Directed Grant: \$100.*
- Berkeley/Oakland Support Services**, Berkeley, CA  
To support work with homeless especially women and children. *Donor Directed Grant: \$100.*
- Big Mountain Support Network**, San Jose, CA  
To support educational work around Columbus Day action. *Grant: \$100.*
- Building Ministerial Community**, Emeryville, CA  
To support "Community as if People Mattered" Conference and to deepen bonds of support for people and groups working for peace and justice. *Grant: \$250.*
- California Peace Walk '89**, Sacramento, CA  
To support educational efforts relating to a walk to the Nevada test site to join an action calling for an end to all nuclear testing. *Grant: \$75.*
- Carolina Friends School**, Durham, NC  
To support ongoing peace education work. *Donor Directed Grant: \$25.*
- Central Committee for Conscientious Objectors**, San Francisco, CA  
Support for fund raising campaign, counseling and educational work on alternatives to militarism. *Donor Directed Grant: \$100. Stern Fund Loan: \$3,000.*
- Committee for Health Rights in Central America**, San Francisco, CA  
To support public education and organizing efforts. *Donor Directed Grant: \$50.*
- Committee to Reopen the Rosenberg Case**, New York, NY  
To support educational activities concerning the Rosenberg case. *Donor Directed Grant: \$25.*
- Committee in Solidarity with the People of El Salvador/ Northwestern Region**, San Francisco, CA  
Support for educational work on issues of U.S. intervention. *Donor Directed Grant: \$200.*

- New El Salvador Today**, Berkeley, CA  
Assistance for health care, agricultural and educational projects in El Salvador. *Donor Directed Grant: \$150.*
- Nicaragua Information Center**, Berkeley, CA  
Support for educational work on Nicaragua. *Donor Directed Grant: \$200.*
- Nicaragua Network/Quest for Peace**, San Francisco, CA  
To support educational work on Nicaraguan elections. *Donor Directed Grant: \$200.*
- Nuclear Sovereignty Project**, Bolinas, CA  
To help with editing of a film on the nuclear free zone movement. *Stern Fund Loan: \$2,000.*



Peace bookcover for high school students produced by the Veterans Speakers Alliance with Agape's help.

- Otil A Belaud**, Koror, Belau  
To support educational work to increase participation in political dialogue on the strategically located island of Belau. *Grant: \$250.*
- Peace and Justice Youth Outreach Project**, Oakland, CA  
Funds for ongoing youth-run program in countering militarism in low-income, minority communities. *Donor Directed Grant: \$50.*
- Peace Resource Center of San Diego**, San Diego, CA  
To support nonviolence education project in the San Diego area. *Grant: \$500.*
- Pledge of Resistance**, Oakland, CA  
Support for public education program on U.S. policies in Central America. *Donor Directed Grant: \$50.*
- Sacramento Peace Center**, Sacramento, CA  
Support for peace education work of this nonviolent social change organization. *Fiscal Sponsorship: \$4,679.80.*
- Salvadoran Medical Relief Fund**  
To support medical relief efforts in El Salvador. *Donor Directed Grant: \$200.*
- San Francisco Mime Troup**, San Francisco, CA  
To support educational program on peace in the Middle East. *Donor Directed Grant: \$100.*
- San Francisco Sanctuary Covenant**, San Francisco, CA  
To support public education program on the situation of Salvadorans and Guatemalans. *Grant: \$250.*
- San Jose Peace Center**, San Jose, CA  
To support community education on the dangers of first strike weapons to the environmental health of the community. *Grant: \$750.*
- SANE/Nuclear Freeze of San Mateo County**, South San Francisco, CA  
Support for an ongoing program to prevent war through education and action. *Fiscal Sponsorship: \$2,300.50.*
- Share Foundation**, Washington D.C.  
To support the resettling of refugees returning to El Salvador. *Donor Directed Grant: \$500.*
- South Dakota Peace and Justice Center**, Watertown, SD  
Support for workshops on the political application of the nonviolent beliefs and principles of the Native American and Judeo-Christian traditions. *Grant: \$750.*
- Tecnica**, Berkeley, CA  
Support for public education program on Central America. *Donor Directed Grant: \$300.*
- Theatre Peace**, Garberville, CA  
Support for program to empower individuals and communities through theatre. *Fiscal Sponsorship: \$2,860.*
- United Farm Workers**, Keene, CA  
*Donor Directed Grant: \$25.*
- Veterans Peace Action Team**, San Francisco, CA  
To support work to bring about reconciliation with the Vietnamese. *Donor Directed Grant: \$50.*
- Veterans Speakers Alliance**, San Francisco, CA  
To support the production of 10,000 peace bookcovers which were distributed in high schools throughout the San Francisco Bay Area. *Grant: \$500.*
- War Resisters League/West**, San Francisco, CA  
Support for programs to address problems inherent in our militaristic society. *Donor Directed Grant: \$425. Fiscal Sponsorship: \$4,552.60.*
- Witness for Peace**, Santa Cruz, CA  
Funds for educational work concerning U.S. policies towards Nicaragua. *Donor Directed Grant: \$50.*
- Women's International League for Peace and Freedom**, San Francisco, CA  
Support for program aimed at reducing military spending and diverting funds to human needs. *Donor Directed Grant: \$75. Fiscal Sponsorship: \$7,242.19.*



An Agape loan helped launch "Free Zone", a film on the Nuclear Free Zone movement.

- Community Labor Education Research Project**, San Francisco, CA  
Seed funds for project aimed at building multiracial cooperation and creating nonviolent strategies for service workers. *Grant: \$1,500.*
- First Strike Prevention Project**, Santa Cruz, CA  
Funds for educational outreach campaign to prevent completion of first-strike arsenal. *Fiscal Sponsorship: \$1,992.*
- Grandmothers for Peace**, Sacramento, CA  
Support for program of peace education activities. *Fiscal Sponsorship: \$7,098.91.*
- Guatemala News and Information Bureau**, Oakland, CA  
Support for educational work on the issue of human rights in Guatemala. *Donor Directed Grant: \$50.*
- Institute for the Practice of Nonviolence**, San Francisco, CA  
Support for nonviolence program to achieve world peace and international cooperation. *Fiscal Sponsorship: \$15,702.34.*
- International Physicians for the Prevention of Nuclear War**, Cambridge, MA  
To support work to broaden the anti-war movement. *Donor Directed Grant: \$200.*
- Life on the Water**, San Francisco, CA  
To support the cooperation of Israelis and Palestinians on an artistic project. *Donor Directed Grant: \$50.*
- Madre**, New York, NY  
Support for program of providing medical services to mothers and children in Nicaragua. *Donor Directed Grant: \$50.*
- Native Action**, Lame Deer, MT  
To support social justice work to empower Native Americans to resist attacks on their environment. *Grant: \$250.*
- Neighbor to Neighbor Education Fund**, San Francisco, CA  
To support educational work around aid to the Contras in Nicaragua. *Donor Directed Grant: \$50.*

### Agape Foundation

942 Market Street,  
Suite 601  
San Francisco, CA 94102  
(415) 986-2297

Dear Executive Director:

Please take a few minutes to complete the questionnaire below and return it to us at your earliest convenience. This will assist us in compiling the first-ever listing of all 13,000 (estimated) nonprofit agencies in Alameda, Contra Costa, Marin, San Francisco, San Mateo and Santa Clara counties.

Thank you in advance for your assistance.

Sincerely,

Susan Hirsch Simmons  
Executive Director  
Strive for Five

Organization \_\_\_\_\_ Telephone \_\_\_\_\_

Mailing Address \_\_\_\_\_ City/State/Zip \_\_\_\_\_

Executive Director \_\_\_\_\_ Board President (term ends) \_\_\_\_\_

Director of Development \_\_\_\_\_ Director of Volunteers \_\_\_\_\_

What is your total annual operating budget? \$ \_\_\_\_\_

Geographic area served:

Alameda County\_\_\_ Contra Costa County\_\_\_ Marin County\_\_\_ San Francisco County\_\_\_ San Mateo County\_\_\_  
Santa Clara County\_\_\_ Bay Area wide (specify which counties) \_\_\_\_\_

Please indicate which area best describes your field of service:

- |   |   |   |   |
|---|---|---|---|
| <input type="checkbox"/> arts                 | <input type="checkbox"/> child care         | <input type="checkbox"/> children & youth     | <input type="checkbox"/> counseling           |
| <input type="checkbox"/> criminal justice     | <input type="checkbox"/> disabled           | <input type="checkbox"/> education            | <input type="checkbox"/> elderly              |
| <input type="checkbox"/> employment           | <input type="checkbox"/> emergency services | <input type="checkbox"/> environment          | <input type="checkbox"/> food                 |
| <input type="checkbox"/> health/mental health | <input type="checkbox"/> historic           | <input type="checkbox"/> housing/shelter      | <input type="checkbox"/> information/referral |
| <input type="checkbox"/> international        | <input type="checkbox"/> legal              | <input type="checkbox"/> performing arts      | <input type="checkbox"/> recreation           |
| <input type="checkbox"/> refugee services     | <input type="checkbox"/> religious          | <input type="checkbox"/> service clubs        | <input type="checkbox"/> social action        |
| <input type="checkbox"/> social services      | <input type="checkbox"/> substance abuse    | <input type="checkbox"/> technical assistance | <input type="checkbox"/> transportation       |
| <input type="checkbox"/> veterans services    | <input type="checkbox"/> volunteers         | <input type="checkbox"/> women's services     |   |

other \_\_\_\_\_  
(please specify)

multi-service agency \_\_\_\_\_  
(please list services)

Please return to: Strive for Five  
One Post Street, 36th Floor  
San Francisco, California 94104

## How much do we give?

### Group studies volunteerism across nation

By Larry Spears  
The Tribune

Bay Area residents donate slightly less time to charities than the national average but give more money, a new study shows.

At the same time, Bay Area

residents who do volunteer give more of their time weekly — 6.4 hours — than nationally. And more Bay Area people — 85 percent compared to 75 percent — think citizens should do volunteer work.

"They just haven't taken the time to do anything about it," said Susan Hirsch Simmons, director of Strive for Five, a new group that produced the study. "Volunteer centers will have to make it easier for them."

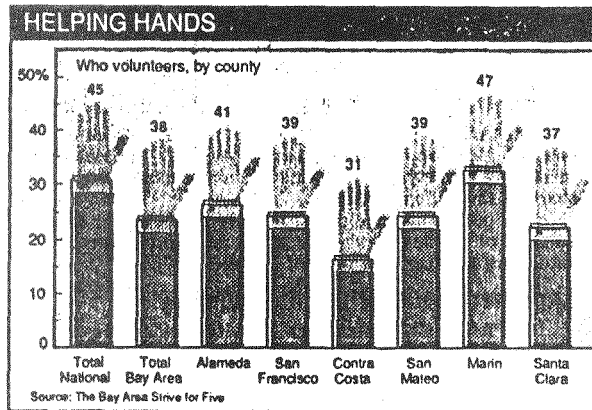
Strive for Five wants to increase the overall percentage of

household incomes given to charity to 5 percent from the current level of 1.5 percent, and the number of weekly volunteer hours to 5 from 3.6, a figure which includes all households and not just those currently donating time.

The study, the first of Bay Area charitable giving and volunteerism, was designed to reflect the region's varied cultures.

Questioning 1,362 adults in

See CHARITY, Back Page



By Steve Kearsley / The Tribune

## Charity

Continued from Page A-1

Alameda, Contra Costa, Marin, San Francisco, San Mateo and Santa Clara counties, the group discovered that 78 percent gave to charity, compared to 71 percent nationally. Thirty-eight percent volunteer, 7 percent less than nationally.

Black and Hispanic people in the Bay Area volunteer at rates 8 percent higher than their counterparts nationally, 37 and 35 percent, respectively. Bay Area Caucasians, at 41 percent, were 7 percent below the national norm.

The proportions of households giving money were 82 percent for black people, 80 percent for Caucasian people and 74 percent for Hispanic people.

Asians ranked lowest among ethnic groups in both volunteers, 27 percent, and donors, 40 percent, a figure the report said could reflect the varied cultural nature of charity.

Survey workers said that Chinese people appeared more likely to spend their time and money closer to home and family.

"Chinese typically are more involved spending 15 to 20 hours caring for a grandmother," said researcher Tom Reinhardt. "It raises the question of if ... everyone did the same, we might not need nonprofits."

The report did not cover income differences between ethnic groups, nor did it factor in the number of two-earner households, which could account for less time free for volunteering.

Nearly as many Bay Area people give to religious causes as nationally, about half, but 63

### WHO'S GIVING

Group	Proportion of households contributing	Mean amount contributed
Black	82%	\$626
Caucasian	80%	\$894
Chinese	40%	\$745
Hispanic	74%	\$609

percent donate to nonreligious causes such as legal aid and environmental groups.

The Bay Area, Reinhardt explained, was "issue oriented," more involved in causes than people in many other areas.

Strive for Five, a high-powered nonprofit group supported by Bay Area corporations and foundations, has started a major drive to steer volunteers and donors to charitable groups.

Its hotline, for anyone who wants to volunteer or give to any of the Bay Area's 14,000 or so nonprofit groups, is 800-CARE-123.

The group will help nonprofits build their volunteer programs and plans to underwrite a public advertising campaign next fall to recruit helpers.

Strive for Five grew out of Independent Sector, a national organization founded by John Gardner to expand the private sector's aid to the needy. Gardner, founder of the public interest group Common Cause, was U.S. Secretary of Health, Education and Welfare and teaches at Stanford University.

The group will help nonprofits build their volunteer programs and plans to underwrite a public advertising campaign next fall to recruit helpers.

# Area donors have more money than time

## San Mateo tops in generosity

By Gina Boubion  
Mercury News Staff Writer

Bay Area residents are more likely to spare a buck than a minute for charity, according to a study on charitable giving released Wednesday.

Among Bay Area residents, 38 percent of those surveyed said they have volunteered time in the past 12 months to a non-profit organization, compared with 45 percent nationally. But Bay Area residents who gave time contributed an average of 6.4 hours a week to a cause, compared with under five hours a week nationally.

Bay Area folks were more likely to give money than is the average American. The study indicated 78 percent of Bay Area households gave to charity in the past year, compared with 71 percent nationally.

The average annual contribution per household is \$824, roughly the same as nationally.

Residents in affluent Marin County were the most generous in the Bay Area in gifts of time, but residents of San Mateo County were slightly more generous in gifts of money. Alameda County residents were the second most generous in volunteering time.

Santa Clara County residents ranked fifth of the six counties surveyed for donations of time and were tied for fourth in donations of money. But the spread among any of the counties was not very large.

The study was commissioned by Bay Area Strive For Five, a project aimed at increasing philanthropy in the Bay Area. The project was named on the belief of Common Cause founder John Gardner, the project's honorary chairman, that people should give 5 percent of their income and time to charity.

Santa Clara County Supervisor

### What we give

Here's how a survey ranks Bay Area households in gifts of time and money to non-profit causes, compared with the nation as a whole.

	% giving time	% giving money
National	45	71
Bay Area	38	78
Marin	47	80
Alameda	41	78
San Mateo	39	81
San Francisco	39	77
Santa Clara	37	78
Contra Costa	31	77

Source: Market Opinion Research, April 1990, based on telephone interviews with 1,362 Bay Area residents. The margin of error is 2.6 percent.

Mercury News

Ron Gonzales, a Strive for Five co-chairman, said non-profits have to learn to solicit help to survive.

"We've seen an increase in non-profits to fill the gap created by decreases in local government dollars," Gonzales said. "Consequently, these agencies are having to appeal more and more for dollars and volunteers."

The study noted that people in the Bay Area have giving in their blood, living in a culture with a longstanding tradition of supporting causes.

"Bay Area residents are attitudinally predisposed to philanthropic activity," the report said. "The overwhelming majority believes it is a civic responsibility to volunteer and contribute — and they do."

The study also showed that Bay Area residents are more likely to support a particular issue — such as the environment or the arts — than an organization.

It also noted that the longer people have lived here and the richer and better educated they are, the

more likely they are to give time and money. People who don't have money are more likely to give their time, and people who don't have time are more likely to give money.

The study showed that white, black and Hispanic households gave time and money at the same rate, although ethnic groups in the Bay Area gave at a higher rate than they did nationally.

The researchers said they analyzed giving by ethnic groups to help non-profit organizations target givers.

Religious groups were more likely to receive help from black

### Help wanted

If you want to volunteer for a non-profit agency in your area, call (800) CARE-123.

gave at a slower rate to organized causes than other ethnic groups surveyed. When they gave, their time and money often went to social service causes. The study did not analyze giving by the Southeast Asian community.

The study concluded that since Bay Area residents are prone to give, non-profit organizations must think of better ways to reach them. It found that people give if they are introduced to a cause through a friend, family member or somebody at work. The study urged non-profit organizations to take advantage of that by soliciting help on a personal level.

people and Hispanics, and Catholics were more likely to give to religious groups than non-religious causes.

Black households favored community action and social service causes; Hispanic households' favorite was education.

Households of Chinese descent

Bay Area  
**Strive for Five**

One Post Street • 36th Floor • San Francisco, California 94104 • Tel. 415-983-9150 • FAX 415-983-9272

May 31, 1990

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**Executive Director**

Susan Hirsch Simmons

A special  
community project  
for the Bay Area  
to broaden the  
public's commitment  
to philanthropy and  
public service in Alameda,  
Contra Costa, Marin,  
San Francisco,  
San Mateo and  
Santa Clara counties.

Dear Executive Director:

An exciting new program that has the potential to dramatically strengthen and increase the volunteer and financial support of non-profit agencies such as yours was launched on May 9th. Strive for Five is a special two-year community project designed to broaden the public's awareness of and commitment to volunteerism and individual philanthropy in Alameda, Contra Costa, Marin, San Francisco, San Mateo, and Santa Clara counties.

We welcome this opportunity to send you the enclosed materials that will give you a good sense of the planning and research that have gone into this effort, as well as some of our plans for the next eighteen months.

According to the survey we released on May 9th, Bay Area residents, compared with people surveyed nationally, believe more strongly that people have a responsibility to give what they can to charity. We also feel a stronger social responsibility to volunteer time to help other people. With your support, we can all build upon the generosity of Bay Area residents by giving them opportunities to give of themselves.

Everyone involved with Strive for Five is excited about the possibilities of the project. After numerous conversations with many of your colleagues and meetings with media representatives, we have developed some specific ways in which we can help your agency. Through our media campaign, we hope to build long-term individual commitment by bringing to the public's attention the myriad of services accessible through nonprofit agencies and their contribution to the economic well-being of the community. Our efforts will also include emphasizing the importance of both time and money and having advertising materials available for your use.

Our program plans will focus on areas in which we feel we can further our goals. They include a forum focusing on multi-cultural/multi-ethnic issues facing agencies, potential donors and volunteers; a training session on youth in community service; and a Sabbath weekend, during which time religious leaders throughout the Bay Area will devote their sermons to increased giving and volunteering.

The Volunteer Centers in each county will be the focal point of our activities. They are prepared to strengthen the capacity of the Bay Area volunteer referral and training systems to respond to a projected increase in numbers of volunteers and to better utilize all volunteers. For help in recruiting and training volunteers, please contact your local Volunteer Center. A list of Volunteer Centers is enclosed.

We look forward to working with you.

Sincerely,

  
Susan Hirsch Simmons  
Executive Director

enclosures

cc: Steering Committee

B a y A r e a  
**Strive for Five**

One Post Street • 36th Floor • San Francisco, California 94104 • Tel. 415-983-9150 • FAX 415-983-9272

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Strive for Five is a special two-year community project designed to broaden the public's awareness of and commitment to individual philanthropy and volunteerism in Alameda, Contra Costa, Marin, San Francisco, San Mateo and Santa Clara counties. Its goal is to serve as a **catalyst** and information source for Bay Area residents, non-profits, volunteer centers and the media to promote volunteerism and individual philanthropy.

According to a survey commissioned by Strive for Five, and released in May, 1990, though fewer Bay Area residents volunteer than at the national level (38% vs. 45%), those who do, volunteer more hours per week (6.4) than volunteers nationally (4.7).

Strive for Five will encourage all Bay Area residents to make volunteering an integral part of their lives. The survey also reveals that a significantly larger proportion of Bay Area households contribute money or property to charities (78%) compared to households nationally (71%). With extensive education and training, Strive for Five will promote increased giving and volunteering, and will work toward a long term goal of increasing from 1.5% to 5% the average household income donated to charitable organizations, as well as increasing from 2.5 to 5 the number of hours volunteered on a weekly basis.

Strive for Five is organized into 1) a steering committee, 2) an executive committee and 3) five additional committees representing different functional areas: programs, research and evaluation, communication and marketing, fundraising and finance, and volunteer. The members of these committees reflect the unique diversity of the Bay Area, with representation from foundations, academia, corporations, media, the non-profit community and multi-cultural groups.

Over the next two years, Strive for Five will be involved in a number of programs to:

- launch a media campaign in the fall of 1990 to heighten the public's awareness of the need to be involved in volunteering and giving. The media campaign will target specific markets and be available in a number of languages;
- compile the first ever listing of all non-profits in the Bay Area. An estimated 13,000 non-profits exist in the six counties;
- ensure that volunteer referring organizations can adequately handle a large increase in inquiries generated by an intensive marketing program; expand the existing 800-CARE-123 telephone number to recruit volunteers from throughout the Bay Area;

-over-

- emphasize to agencies, potential donors and volunteers the need for multi-cultural involvement, and recommend opportunities to expand the existing network of participants, reflecting the changing demographics of the Bay Area;
- research existing programs for youths in community service and profile several examples; assist school districts, non-profits, volunteer centers, and others in developing programs to match the increased needs for volunteers with a plentiful supply of young volunteers;
- plan and implement a Sabbath Weekend, during which religious leaders throughout the Bay Area will share with their parishioners the importance of giving and volunteering;
- facilitate roundtable meetings that will concentrate on educating individual donors and agencies to better understand the needs and perceptions one group has of the other;
- conduct a follow-up survey in mid 1991, to measure the changes in giving and volunteering patterns.

Strive for Five:

- is not a fundraising organization, although funds have been solicited from corporations and foundations for specific projects, the survey and training meetings for volunteers and agencies;
- will not operate any ongoing programs providing direct services to Bay Area residents;
- is primarily a Bay Area effort and will draw upon local resources and talent for most programs;
- will develop a plan for an orderly transition of the management of any active programs to other agencies at the end of 1991.

Bay Area  
**Strive for Five**

One Post Street • 36th Floor • San Francisco, California 94104 • Tel. 415-983-9150 • FAX 415-983-9272

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Santa Clara counties.

**Volunteer Centers**

**Alameda:**  
**(415) 893-6239**

**Volunteer Centers of Alameda County**  
Irene Maestri, Executive Director  
1212 Broadway, Suite 622  
Oakland, CA 94612

**(415) 462-3570**

**Valley Volunteer Center**  
Donna Campbell, Executive Director  
333 Division Street  
Pleasanton, CA 94566

**Contra Costa:**  
**(415) 246-1050**

**Volunteer Center of Contra Costa County**  
Peggy White, Executive Director  
1070 Concord Avenue, Suite 100  
Concord, CA 94520

**Marin:**  
**(415) 479-5660**

**Volunteer Center of Marin**  
Tina Cheplick, Executive Director  
70 Skyview Terrace  
San Rafael, CA 94903

**San Francisco:**  
**(415) 982-8999**

**Volunteer Center of San Francisco County**  
LeRoy Williams, Executive Director  
1160 Battery Street, Suite 400  
San Francisco, CA 94111

**San Mateo:**  
**(415) 342-0801**

**Volunteer Center of San Mateo County**  
Loyce Haran, Executive Director  
436 Peninsula Avenue  
San Mateo, CA 94401

**Santa Clara:**  
**(408) 286-1126**

**Volunteer Exchange**  
Siobhan Kenney, Executive Director  
1310 South Bascom Avenue  
San Jose, CA 95128

# THE COUNTY

## Study: Half of Marin helps out

### Volunteerism leads 6 Bay Area counties

By Donna Horowitz

*Independent Journal reporter*

A study has found that almost half the population in Marin County has volunteered in some capacity in the last year — the highest rate of six Bay Area counties and slightly above the national level.

The results were released Wednesday by Strive for Five, a Bay Area group of community and business leaders promoting volunteerism and charitable donations.

Marin came in second place among Bay Area counties in the number of households that contributed to charities and had a significantly higher level than the number of households who contributed nationally.

"I think that Marin has a lot to be proud of in the way they respond to needs both with the time and money they contribute," said Mary O. Bailor of San Anselmo, co-chairwoman of Strive For Five's volunteer committee.

Nevertheless, the former executive of the Volunteer Center of Marin warned that "it's not a time for complacency. The needs seem to increase faster than the dollars and hours."

Bailor said she believes the high rate of volunteerism and contributions has to do with the presence of the Buck Trust and Marinites' high incomes, high education level and longtime residency.

She said non-profit agencies in Marin that have had Buck money in the past have developed more sophisticated recruitment programs.

The study sampled 1,032 adults last year in Marin, Alameda, Contra Costa, San Francisco, San Mateo and Santa Clara counties. It was conducted by Market Opinion Research.

The study said:

■ In the last year, 48 percent of Marin County residents volunteered their services compared with 38 percent in the Bay Area as a whole and 45 percent nationally.

The volunteer rates in the other communities polled were: Alameda, 41 percent; San Francisco, 39 percent; San Mateo, 39 percent; Santa Clara, 37 percent; and Contra Costa, 31 percent.

■ Annual contributions to charities are made by 80 percent of Marin households compared with 78 percent in the Bay Area and 71 percent nationally.

San Mateo logged 81 percent; Alameda, 78 percent; San Francisco, 77 percent; Contra Costa, 77 percent; and Santa Clara, 78 percent.

■ In Marin, 48 percent of the contributions went to religious groups compared with 50 percent in the Bay Area and 53 percent nationally.

In the other counties, donations to religious groups were: Alameda, 51 percent; San Francisco, 45 percent; Contra Costa, 50 percent; San Mateo, 47 percent; and Santa Clara, 52 percent.

Other statistics weren't broken down by county, but compared the Bay Area with the nation.

The annual dollar amount contributed per household for the Bay Area was \$824 compared with \$822 nationally.

Bay Area volunteers give 6.4 hours a week while others nationwide give 4.7 hours.

Overall, the study points to the need for county volunteer centers to revamp their programs to involve more groups in volunteer activities, Bailor said.

The young and very elderly are the least likely to work as volunteers. The study found that 45 percent of the volunteers are between the ages of 35 and 64; 34 percent are between 18 to 34 years of age; and 20 percent are 75 and older.

Of the 15,000 non-profit agencies in the Bay Area, Bailor noted that only a few have more volunteers than they need.

Bailor, who headed Marin's volunteer center for 14 years before retiring 1½ years ago, said more can be done to encourage the pre-75 age group of seniors.

"They are glad to help if the agency can design a short-term job that has real appeal and can use the skills the person has," she said.

The study was done before last October's earthquake and did not reflect the rush by many people to help.

"People really turn out when things need to be done," Bailor said.

# Giving Outpaces Volunteering

Organization strives for contributions of time and money

By Nanette Asimov  
Chronicle Staff Writer

Bay Area residents are more charitable with their money than their time, according to a survey released yesterday by a group of community organizers trying to boost volunteerism.

A survey of 1,362 adults in six Bay Area counties showed that 78 percent had contributed money to charity and 38 percent had volunteered their time in a 12-month period. However, 85 percent of the respondents felt they should be donating their time to charity.

The highest rate of volunteerism was in Marin County, where 47 percent of the respondents had donated their time.

Those findings will help Strive for Five, a new group trying to encourage contributions of both time and money and plan strategies to stimulate volunteerism for the Bay Area's 14,000 nonprofit groups, said group chairman Neil Harlan.

"It is a first step... to increase public awareness of and commitment to giving and volunteering among all Bay Area residents," said Harlan, former chairman and chief executive officer of McKesson Corp.

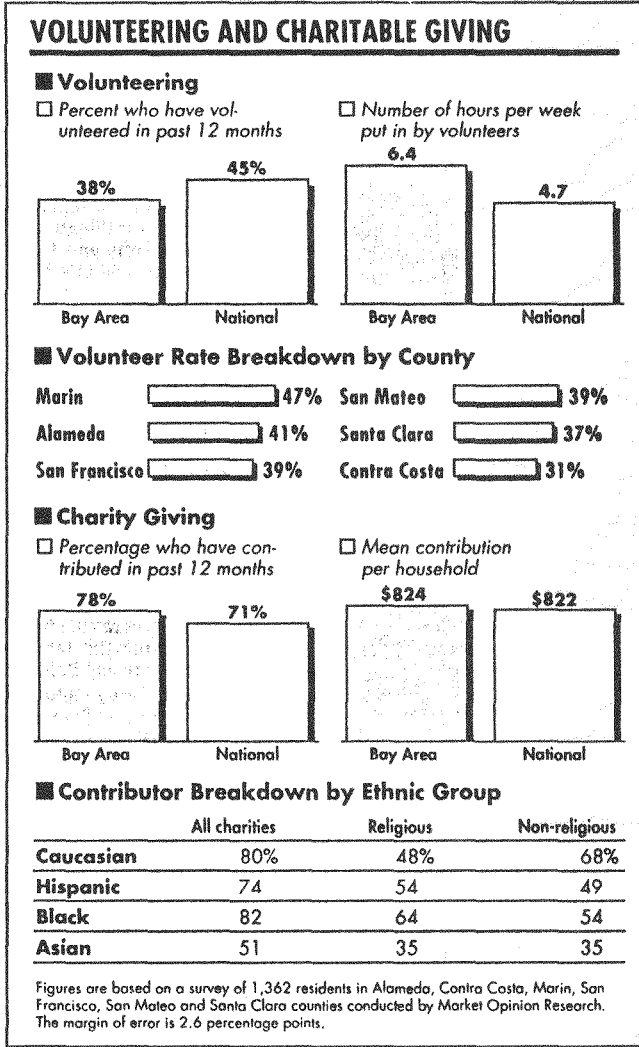
Strive for Five, consisting of corporate and philanthropic leaders, encourages people to contribute up to 5 percent of their income and five hours a week to charitable causes. The group has established a toll-free number, 1-800-CARE-123, to match volunteers with charities.

In comparing the local results with a 1988 national survey, it appeared that more Bay Area residents were giving money and less were donating time than people elsewhere. The national survey showed that 71 percent had given money and 45 percent had volunteered time for charity.

However, the survey showed that Bay Area residents who do volunteer are more generous with their time than the population as a whole, donating nearly two hours more per week (6.4 hours compared with 4.7 hours).

The committee drew several other conclusions, including that Bay Area residents are "very likely" to volunteer if someone they know has benefited from volunteering and that people who quit volunteering say the reason is "lack of time."

Although John Govi is a busy lawyer, he has never used his hec-



CHRONICLE GRAPHIC

tic schedule as a reason not to volunteer. Govi, who is deputy county counsel for Marin, began volunteering in 1983 as a "big brother" to an 8-year-old boy whose father had moved to another state. Govi and his "little brother," now 16, still see each other twice a month and talk each week.

"I think it provided him with an adult friend and good role model, said Govi, 36. "But it helped me mature."

*Strive for Five* is a three year community project to increase public awareness of and commitment to volunteering and giving to charitable causes. *Strive for Five* has:

- ▲ commissioned a survey that established baseline figures about the Bay Area's attitudes and behavior toward volunteering and giving;
- ▲ developed a strategic marketing/media plan and appropriate programs concentrating on religious organizations, volunteer management, youth.

During the rest of 1991, *Strive for Five* will:

- ▲ conduct regional conferences on multi-cultural/multi-ethnic issues facing our community, agencies, potential donors and volunteers;
- ▲ continue to serve as a catalyst, information source and a convener for Bay Area nonprofits, and others to promote volunteerism and individual philanthropy.

**Co-sponsored by:**

The Volunteerism Project  
McKesson Corp.  
The Oakland Museum  
Volunteer Centers of Alameda County  
Valley Volunteer Center  
Volunteer Center of Contra Costa County  
Junior League of San Francisco  
Junior League of Oakland - East Bay  
American Red Cross - East Bay Chapter  
OCCUR



The Museum is wheelchair accessible

One Post Street  
14th Floor  
San Francisco,  
California  
94104



Address Correction Requested



*Evelyn Pine*  
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Berkeley, CA  
94702

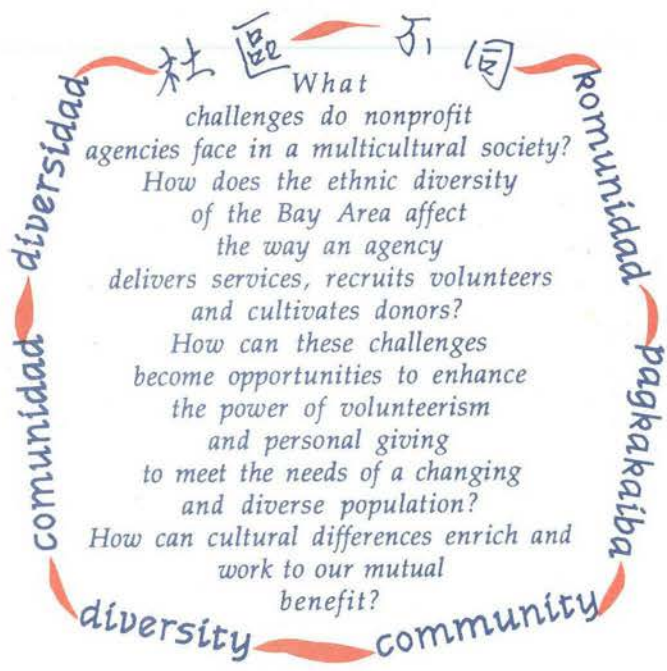
**The Multicultural Bay Area:**



Tuesday, June 25, 1991  
8:30 AM - 5:00 PM  
The Oakland Museum  
1000 Oak Street  
Oakland

*Please join us to learn about and celebrate the diversity of cultures in the Bay Area. Help us achieve a more pluralistic society.*





## About the Conference

This special one-day conference will address these questions through:

- ▲ **New Bridges Exercise.** Learn how to link the challenges of diversity into opportunities and build a community where diversity is valued.
- ▲ **A Panel Presentation**
- ▲ **Workshops**
  - A. *The Filipino Community.* Filipinos are rapidly becoming Alameda County's largest Asian subgroup. Find out how your message of giving and volunteering can best reach this expanding community.
  - B. *Board Diversification & Development.* Examine the benefits of a multicultural board and its impact on your organization. Learn how to turn goals of board diversification into reality.
  - C. *Newcomers: Refugee & Immigrant Issues.* Who are these newcomers? What are their impressions, values, fears, and hopes? Learn more about this growing population and how you can involve them as volunteers and donors.

D. *Defining & Assessing Organizational Culture.* Discover the power of culture and its impact on your organization. Find out if your agency is supporting diversification -- or impeding it!

E. *Cultural Barriers to Fundraising.* A look at some of the resistance, prejudices and fears many groups have towards fundraising. Learn more about the culture-specific traditions that can be barriers to asking.

F. *Building Alliances in a Multicultural Community.* How to network effectively with others sharing common goals. Find out ways to create valuable partnerships for your agency within government, corporate and nonprofit sectors.

G. *Volunteer Management Issues in Opening Agencies to Diverse Volunteers.* Translate sensitivity, awareness, and understanding of diversity into practice in volunteer management.

## About the Keynote Speaker

**Santiago Rodriguez** is Manager of Multicultural Programs at Apple Computer. Formerly the Affirmative Action Officer at Stanford University, Mr. Rodriguez has also served as the Director of Intergovernmental Relations, Office of the Commonwealth of Puerto Rico, in Washington, D.C.

Currently, Mr. Rodriguez serves on the Board of Teatro Campesino, the Hispanic Community Fund for the Bay Area, the Consumer Advisory Council for Pacific Bell and the Board of Regents for Santa Clara University.

For more information, call 415/983-9150  
 Para sa dagdag na importasyon, tagawan 415/465-9876  
 Para mas informacion, favor llamar 415/554-2454

欲知詳情,請電 415/554-2454

## Registration Form

Name \_\_\_\_\_ Job Title \_\_\_\_\_  
 Organization \_\_\_\_\_ Day Phone (\_\_\_\_) \_\_\_\_\_  
 Address \_\_\_\_\_ City and Zip \_\_\_\_\_

The conference fee of \$25 per person is due by June 14, 1991. A confirmation of your registration will be sent to you. Lunch is provided.

Inquire about group rates, 983-9150.

Please indicate your first and second choice workshops: (1) \_\_\_\_\_ (2) \_\_\_\_\_

**Please make checks payable to: Strive for Five/San Francisco Foundation**

**Mail to:** Strive for Five  
 One Post Street, 14th floor  
 San Francisco, CA 94104



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**DEPARTMENT OF COMMERCE**801 K STREET, STE. 1700  
SACRAMENTO, CA 95814

October 3, 1991

To: CompTech Mailing List

From: Tom Walters, Director

Re: 1991-92 Competitive Technology Solicitation

The FY 1991-92 CompTech budget has been severely reduced from previous years. A reduction of \$6.8 million will not allow us to fulfill all of our previous project funding and development plans.

The State budget for FY 1991-92 (beginning July 1, 1991) reduced (reverted) the FY 1990-91 appropriation of \$6.58 million by \$3.2 million, and the FY 1991-92 appropriation for project funding is only \$3.0 million. These cutbacks will unfortunately affect CompTech's ability to fund new projects as well as some previously approved projects.

As a result of these cuts in project funds, we have had to cease negotiations on all grant agreements not completed.

We have decided, with pain and regret, to take the following actions:

- Defer funding on nineteen new collaborative commercialization projects that were earlier selected for funding, but which do not yet have final clearance to spend funds;
- Not to initiate new projects this fiscal year;
- Defer organizational efforts on the following California consortia development projects for matching federal and corporate funds:
  - \* Biotechnology Control of Insect Pests
  - \* Biotechnology Manufacturing in California
  - \* Commercial Development of Space Communications
  - \* Earthquake Detection and Technology
  - \* Electric Car Development and Manufacturing
  - \* Flat Panel Display
  - \* Mass Transit Technology and Manufacturing
  - \* New Building Materials
  - \* Sensor Technology for Transportation
  - \* Water Desalinization (water districts)

By deferring funding on previously selected projects (19 projects for \$3.8 million), we will have \$3.1 million to continue funding some projects currently funded at Phase Ø or Phase I that will require Phase I and Phase II funds for completion.

Rather than start new projects with our limited funds, we believe that the State of California is better served by completing projects that we have initiated, provided that a project is on track and that co-sponsoring companies want to continue to support the project. With the funds available this year, five continuation projects will be funded and organizational efforts to fund three consortia will continue.

This year's solicitation will be for project continuation only -- currently funded Phase Ø projects for Phase I funding, or currently funded Phase I projects for Phase II funding. There will be only one application deadline. The Solicitation rules that apply will be the same as for the previous year's Solicitation. If you have a previously funded project, you will be sent a solicitation.

# THE PROJECTS

CompTech projects are funded to enhance private sector competitiveness. The projects may be in the areas of collaborative research, R&D consortia, technology transfer innovation, or entrepreneurial business development.

In order to be funded, projects must:

- be managed by a non-profit or public institution;
- involve technology transfer of a product, process, or service;
- have private sector support from a company or organization with significant operations in California;
- resolve intellectual property rights among participants;
- not supplant other funding; and,
- have 90 percent of the work performed in California.

Technology areas for funding can include, but are not limited to: advanced materials, automated manufacturing, biotechnology, computer science, electronics, energy development, environmental improvement, manufacturing technologies, medical technologies, optoelectronics, robotics, software, and superconductivity.

## CALIFORNIA OFFICE OF COMPETITIVE TECHNOLOGY

200 East Del Mar Avenue  
Suite 204  
Pasadena, CA  
91105  
(818/568-9437)

## SACRAMENTO OFFICE

1121 L Street  
Suite 600  
Sacramento, CA  
95814  
(916/322-5139)

# CALIFORNIA

## *Competitive Technology Program*



California Department of Commerce  
Office of Competitive Technology  
200 East Del Mar Avenue, Suite 204  
Pasadena, CA 91105

*From  
laboratory  
to market*

# THE PROGRAM

CompTech was established to create and maintain quality jobs in California and to advance our competitive strength in the world marketplace. It does this by providing matching funds and management for university-industry technology transfer projects.

CompTech staff develop solicitations, manage the applicant review process, negotiate grant agreements, manage the technology transfer projects, and develop consortia. They see that work progresses on schedule, facilitate interaction among the participants, and troubleshoot or help solve problems as the need arises.

In its first fiscal year 1989-90, CompTech funded 28 projects ranging from \$6,400 to \$1,170,900. These projects totaled \$6 million with a private sector match of \$4.8 million. In fiscal 1990-91, CompTech will fund up to \$7.1 million in new projects with an anticipated match approaching \$7 million.

Thirteen public and private research institutions and three national laboratories located in the state are involved in the currently funded projects, along with 31 participating California companies.

STATE OF CALIFORNIA  
**George Deukmejian, Governor**

BUSINESS, TRANSPORTATION  
AND HOUSING AGENCY  
**John K. Geoghegan, Secretary**

DEPARTMENT OF COMMERCE  
**Kenneth L. Gibson, Director**

OFFICE OF COMPETITIVE TECHNOLOGY  
**Thomas Walters, Director**  
**Ronald H. Williams, Deputy Director**



## *California's research and technology base*

The CompTech Program assists California companies to commercialize technology developed in public, non-profit research institutions. The Program enables faster commercialization of new and improved products which, in turn, leads to the creation and retention of quality jobs. Many of the world's leading research institutions are located in California—a state that provides a rich environment for the commercialization of technology.

Industry can draw on California's broadly based research resources, widely recognized for excellence of achievement. California has four of the top 10 graduate schools in the U.S., and five of the 10 largest national

labs. California attracts more than 25 percent of total federal research and development funds, and graduates 11 percent of the nation's engineers and scientists.

Research performed in California reaches the marketplace through the state's strong industrial base. More than 5,500 electronics companies and one-third of the nation's biotechnology firms call California home.

The state also has a major share of the world's computer market: 14 percent of the world's software production is done here, with microcomputer production exceeding \$3 billion annually—25 percent of the U.S. total.



## *Enhancing our competitive edge*

California, with its economic importance and geographic location, will be the center of trade expansion into Pacific Rim markets in the 21st century. California firms must harness an increasingly sophisticated technology base in order to compete in these markets. Rapidly changing markets demand shorter product life cycles which, in turn, require companies to speed up innovation to remain competitive.

The CompTech Program serves as a catalyst that brings private industry's needs and public sector research together to make California firms more competitive. It does this by helping California companies to take advantage of cutting-edge research carried out in California's world-class research institutions.

As the Program grows and develops, the process of technology transfer will be shaped by the creativity of technologists and scientists from the private sector and research institutions who participate. The state, through the CompTech Program, can tap this resource as it develops new mechanisms to facilitate tech transfer.

Technologies are being developed to help solve California's environmental problems, aid entrepreneurs, and retain California's leadership position in microelectronics, computers, aerospace, and biotechnology. The contributions of California's creative people are shaping the directions of the CompTech Program, the competitiveness of California's firms, and the creation and maintenance of jobs statewide.

**DEPARTMENT OF COMMERCE**801 K STREET, SUITE 1700  
SACRAMENTO, CA 95814**Important! Please Read Now!**

Date: January 30, 1991

To: Those on the CompTech Solicitation Mailing List

From: Thomas Walters, Director *Tom Walters*  
Office of Competitive TechnologyRe: **Cancellation of the CompTech Solicitation for  
March 29, 1991, except for renewals of previously  
funded CompTech projects.**

It is with deepest regret that I inform you of the cancellation of the CompTech Solicitation for March 29, 1991, except for applications to renew previously funded CompTech projects.

I have just been informed that CompTech does not have approval to spend some of our administrative funds because of a variety of state budget concerns. Without these funds we simply do not have the support necessary to meet the legislative requirements for evaluating applications and verifying the compliance of projects with state regulations.

For those who are planning to apply to renew a previously funded CompTech project, the application deadline and selection process remains as announced in the Solicitation, March 29, 1991.

Please pass this information to those at your institution who might be preparing an Application for this previously scheduled Solicitation.

Current plans are for a Solicitation for proposals for FY 91-92 to be released late this summer.

Those with questions may call the CompTech Office in either Sacramento (916/322-5139) or Pasadena (818/568-9660).

The Department of Commerce in Sacramento, including the Office of Competitive Technology, has moved to 801 K Street, Suite 1700, Sacramento, CA 95814. The phone numbers remain the same. The Office of Competitive Technology in Pasadena has not moved.



# California Competitive Technology Program

## *Program Solicitation*

California  
Department  
of Commerce

Office of  
Competitive  
Technology

Fiscal Year  
1990 — 1991

# California Competitive Technology Program

***"The capacity to use knowledge has long since replaced both ownership and political fiat as the source of economic power."***

Editorial, "The Economist" 14 February, 1986, p. 16

**California Department of Commerce  
Kenneth L. Gibson, Director**

**Office of Competitive Technology  
Thomas L. Walters, Director**

# Table of Contents

<b>1.0</b>	<b>Introduction to the CompTech Program</b>	<b>1</b>
	1.1 Overview of Competitive Technology Program	
	1.2 Program Priorities	
	1.3 Invitation to Submit Applications	
	1.4 Program Areas	
	1.5 Phases	
	1.6 Other Discretionary	
<b>2.0</b>	<b>General Information</b>	<b>6</b>
	2.1 Definitions	
	2.2 Application Requirements	
	2.3 Questions About This Solicitation	
	2.4 Dates for Submission and Evaluation of Applications	
	2.5 Grant Agreement	
<b>3.0</b>	<b>Application Preparation Instructions</b>	<b>14</b>
	3.1 General Instructions	
	3.2 Application Format and Instructions	
<b>4.0</b>	<b>Submission of Application</b>	<b>22</b>
	4.1 What to Submit	
	4.2 Packaging	
	4.3 Where to Submit	
	4.4 Withdrawal of Application	
<b>5.0</b>	<b>Application Evaluation and Selection</b>	<b>23</b>
	5.1 Acknowledgement of Receipt of Application	
	5.2 Initial Review	
	5.3 Peer Review	
	5.4 Program Goals - Staff Review	
	5.5 Conferences	
	5.6 Funding Decisions	
<b>6.0</b>	<b>Confidential Information</b>	<b>25</b>
	6.1 Public Record	
	6.2 Proprietary Information	
	6.3 Request for Confidentiality	
<b>Management Principles for CompTech Projects</b>		<b>27</b>
	<b>Project Management</b>	<b>28</b>
	A. CompTech Program	
	B. Responsibilities of Grantee Institutions	
	C. Responsibilities of Project Managers	
	D. Responsibilities of Private Sector Participants and the Product Manager	
	E. Responsibilities of CompTech Program Managers	
	<b>Project Monitoring and Review</b>	<b>32</b>
	A. Quarterly Review	
	B. Project Reviews	
	C. Action on Recommendations of Project Monitoring and Review	
	<b>General Information</b>	<b>33</b>
<b>Appendices</b>		
	<b>I. Application Cover Sheet</b>	<b>34</b>
	<b>II. Certification</b>	<b>36</b>
	<b>III. Table of Contents for Application</b>	<b>37</b>
	<b>IV. Budget</b>	<b>38</b>
	<b>V. Checklist</b>	<b>41</b>
<b>Exhibits</b>		
	<b>A. California Competitive Technology Program Regulations</b>	<b>42</b>
	<b>B. Confidentiality: Partial List of California Provisions</b>	<b>66</b>

# **1.0 Introduction to the CompTech Program**

## **1.1 Overview of the Competitive Technology Program**

The Governor and the Legislature of the state of California, in order to strengthen the industrial competitiveness of the state, have established the California Competitive Technology (CompTech) Program. The goal of this Program is to create quality jobs in California through public-private collaborative technology transfer projects. These projects are to be undertaken jointly by Public Agencies and/or Nonprofit Organizations with the participation of private firms in California. The CompTech Program is administered by the Office of Competitive Technology within the California Department of Commerce.

This solicitation describes in detail the Application, selection, and funding process for projects administered by CompTech.

## **1.2 Program Priorities**

Under the statutory authority of CompTech, and with advice from the Competitive Technology Advisory Committee, the California Department of Commerce has determined that priority consideration be given to the categories of (i) manufacturing technology, and (ii) environmental enhancement. Projects that show an impact on these priority categories will be considered more likely to be selected.

## **1.3 Invitation To Submit Applications**

The Department invites Nonprofit Organizations and Public Agencies to apply for Grant funds for Technology Transfer Projects under CompTech.

Nonprofit Organizations and Public Agencies wishing to receive a Grant must complete an Application which addresses issues described in this solicitation. This solicitation should be followed when applying for funds for fiscal year 1990-91 (July 1, 1990 through June 30, 1991).

## **1.4 Program Areas**

Applications are invited for Technology Transfer Projects in these Program Areas:

### **I. Collaborative Research**

Collaborative Research Projects are new or ongoing technological or scientific research projects that accelerate research toward the commercialization of products, processes or services. Collaborative Research Projects are commercialization projects conducted and funded jointly by at least one California private sector company, and one Public Agency (or Non-profit Organization).

Collaborative Research Projects may be funded as Phase I or Phase II Projects as described in Section 1.5 below.

### **II. Consortium Development**

Consortium Development Projects must meet all of the following criteria:

- A. All funding participants in a consortium must participate in the selection of the management, objectives, and tasks to be performed by the consortium.
- B. All consortium funding sources should evaluate proposals and fund a variety of tasks in the technology and industry areas of the consortium Project.
- C. There must be a plan to establish, within five years of submitting an Application to CompTech, a nonprofit corporation incorporated in California for the purpose of managing the consortium.
- D. The consortium must include at least one California Public Agency or Non-profit Organization and more than one California private sector firm.

Consortia Development Projects may be funded as Phase Ø, Phase I, or Phase II Projects as described in Section 1.5 below.

### **III. Entrepreneurial Business Development**

Entrepreneurial Business Development Projects must be designed to assist Technology Transfer to Small, Minority-Owned, or Women-Owned Businesses in California. These Projects should result in either:

- A. Products, processes or services made available for commercialization by Small, Minority-Owned, or Women-Owned Businesses; or,

## **1.4 Program Areas, cont'd.**

- B. Development of institutional processes by the Applicant for the commercialization of technology by Small, Minority-Owned, or Women-Owned Businesses.

Entrepreneurial Business Development Projects differ from Collaborative Research Projects in that they are geared toward developing or enhancing Technology Transfer to particular entities within the California private sector -- Small, Minority-Owned, or Women-Owned Businesses.

Entrepreneurial Business Development Projects may be funded as Phase Ø, Phase I, or Phase II Projects as described in Section 1.5 below.

### **IV. Technology Transfer Innovation**

Technology Transfer Innovation Projects are new institution-wide systems or procedures that enable or enhance the process of Technology Transfer to California companies.

Technology Transfer Innovation Projects differ from Collaborative Research Projects because they are geared toward developing or enhancing an institutional process for Technology Transfer to the California private sector. They may be projects addressing needs of Small, Minority-Owned, or Women-Owned Businesses.

Technology Transfer Innovation Projects may be funded as Phase Ø, Phase I, or Phase II Projects as described in Section 1.5 below.

### **V. Unsolicited Proposals**

An Unsolicited Proposal is a Technology Transfer Project which does not fit one of the above Program areas.

Unsolicited Proposals may be funded as Phase Ø, Phase I, or Phase II Projects as described in Section 1.5 below.

## 1.5 Phases

Applications must meet the conditions of one of the following Phase Categories:

### Ø. Phase Ø Projects

Phase Ø Projects receive Discretionary Grants for up to one year for development, including feasibility planning of a Project. Matching Contributions are not required for a Phase Ø Project. (Only a very small fraction of the CompTech funding is expected to be allocated to Phase Ø projects.)

A Phase Ø Application shall not exceed thirty pages, including the cover sheet and all forms and material.

It is not necessary to obtain a Phase Ø Grant in order to be eligible to apply for a Phase I or Phase II Grant.

A successful Phase Ø Project does not assure CompTech funding for a Phase I or Phase II Grant.

### I. Phase I Projects

Phase I Projects receive Grants for up to one year.

Phase I Projects must have Private Sector Participants' Matching Contributions of **at least** one dollar for every two dollars of CompTech Grant funds.

Phase I Applications shall not exceed sixty pages, including the cover sheet and all forms and material.

It is not necessary to obtain a Phase Ø Grant in order to be eligible to apply for a Phase I Grant.

A successful Phase I Project does not assure CompTech funding for Phase II.

## **1.5 Phases, cont'd.**

### **II. Phase II**

Phase II Projects receive Grants for at least one year and up to three years.

Phase II Projects must have Private Sector Participants' Matching Contributions of **at least** one dollar for every one dollar of CompTech Grant funds.

The number of pages of a Phase II Application is not restricted.

It is not necessary to obtain a Phase Ø or Phase I Grant in order to apply for a Phase II Grant.

### **1.6 Other Discretionary**

Other Discretionary includes all Discretionary Grants that do not meet the criteria of Phase Ø Grants. (Only a very small fraction of the CompTech funding is available for Other Discretionary Grants.)

Discretionary Grants other than Phase Ø have no page limitation.

## **2.0 General Information**

### **2.1 Definitions**

Words used in the solicitation and Application that have specific meaning for CompTech are defined in the Law or Regulations (Exhibit A). These defined words begin with a capital letter when used in the solicitation and Application. Please review the definitions carefully before completing the Application.

### **2.2 Application Requirements**

Phase I and II Applications must meet requirements I. through XII; Phase Ø and other Discretionary Grants must meet requirements I. through VII. listed below:

#### **I. Project**

An Application must request CompTech funding for a Project. A Project is a specific endeavor designed to achieve Technology Transfer and commercialization.

#### **II. Technology Transfer**

A Project must involve Technology Transfer. "Technology Transfer" is defined as the movement of the results of basic or applied technology or scientific research to the design, development, and production of new or improved product(s), service(s), or process(es) for the purpose of commercialization.

#### **III. Phases**

The Project must fall within one of the three Phases or Other Discretionary as described in Sections 1.4 and 1.5 above.

#### **IV. The Applicant must be a Nonprofit Organization or Public Agency.**

## **2.2 Application Requirements, cont'd.**

### **V. Allowable Overhead**

No more than Allowable Overhead Costs of a Research Institution may be included, and they must not exceed the federally approved overhead rate for that institution.

### **VI. Program Goals**

An Application must describe how the Project would achieve each of the following Program Goals:

- A. Likelihood of Commercialization;
- B. Beneficial impact on the state's economy;
- C. Cost effectiveness;
- D. Importance of state funding to the Project's viability;
- E. Leverage of state funds; and,
- F. Involvement of Small, Minority-Owned, and Women-Owned Businesses.

See Section 3.0 "Application Preparation Instructions" for further information on meeting each of the Program goals.

Section 5.4 describes how CompTech staff will evaluate the Applicants' plans to implement the Program's goals.

### **VII. Program Priorities**

If appropriate, describe the impact of the project on (1) manufacturing technology or (2) environmental enhancement.

## 2.2 Application Requirements, cont'd.

### VIII. Private Sector Match

A Project must be matched by Private Sector Participants' contributions, either cash and/or in-kind, to the costs of the Project. It is appropriate to receive assistance from Private Sector Participants in preparation of the Application. Such assistance may be extremely helpful in the development of such issues as commercialization and impact on the economy.

The following are requirements for the Private Sector Matching Contributions:

A. Match requirements for various phases of Projects are:

1. Phase Ø and Discretionary Grants do not require Matching Contributions.
2. Phase I Projects require Matching Contributions of at least one dollar for every two dollars of CompTech funding.
3. Phase II Projects require Matching Contributions of at least one dollar for every one dollar of CompTech funding.

B. The Private Sector Participants must have significant operations in California. Significant operations are defined as a business which either:

1. Is 50% California-based; or,
2. Has at least 100 employees in California.

## 2.2 Application Requirements, cont'd.

### VIII. Private Sector Match, cont'd.

- C. Before the start of the Project, specific in-kind personnel and time to be spent on the Project must be identified;
- D. In-kind contributions of personnel, (employees, not consultants) are valued based upon the salary, wage, and benefit costs (not burden, overhead, or indirect) of those personnel who can be specifically identified as working directly on the Project.
- E. In-kind equipment contributions must meet the following requirements:
  - 1. The total contribution of equipment must be no more than 20% of the Matching Contribution;
  - 2. Contributed equipment must be an integral part of the proposed Project;
  - 3. The Matching Contribution for equipment will be determined according to the following limits:
    - a. For equipment contributions with a market value equal to or less than \$50,000, the Matching Contribution will be 50% of the market value;
    - b. For equipment contributions with a market value above \$50,000 and equal to or less than \$150,000, the Matching Contribution will be \$25,000 plus 30% of the amount in excess of \$50,000;
    - c. For equipment contributions with a market value above \$150,000, the Matching Contribution will be \$55,000 plus 20% of the amount in excess of \$150,000.
  - 4. Equipment shall be considered contributed only when the Applicant receives title to, and possession of, the equipment free of charge.

## **2.2 Application Requirements, cont'd.**

### **IX. The Project work must be performed primarily in California.**

Not more than 10% of the work funded by CompTech may be undertaken outside the state, unless it is work that is necessary to comply with federal policies, regulations, or subcontracting procedures; or, facilities are not available in the state for performance of a necessary Project test or procedure.

### **X. Potential funding for the entire Project during the term of the Grant must be identified.**

### **XI. CompTech funding must not supplant other funding.**

### **XII. There must be an agreement(s) between the Applicant and Private Sector Participant(s) resolving specific issues relating to the Project. These agreements must be approved by CompTech before Project costs using Grant funds may be incurred. This requirement may be met for the Application with letter(s) of intent, memo(s) of understanding(s), or draft agreement(s). For details see Section 3.2, XIV.**

## **2.3 Questions About This Solicitation**

Communication regarding Applications is restricted for reasons of competitive fairness. Inquiries are limited to questions clarifying the solicitation and Application and not to the content of an Application.

**Questions pertaining to clarification of this solicitation or the Application, prior to submission, should be directed in writing or phone to:**

Solicitation Manager  
Office of Competitive Technology  
California Department of Commerce  
1121 L Street, Suite 600  
Sacramento, CA 95818  
916/322-5139

Information on the status of an Application will be made available only in the normal course of review as described in Section 5.0 "Application Evaluation and Selection." The Department shall send a notice of receipt of an Application to the authorized representative of an Applicant no later than 21 days after receipt of the Application.

Please read this solicitation in its entirety before contacting the Department with any questions.

**All Applications should be sent to the Pasadena office. Do not send Applications to the Sacramento address. See Section 4.3 "Where to Submit" Applications.**

## **3.0 Application Preparation Instructions**

### **3.1 General Instructions**

#### **I. Content**

An Application for a Phase Ø Grant must include, in the order stated, the following completed items I. through XIII. of Section 3.2 plus confidential material, if any.

An Application for a Phase I or Phase II Grant must include, in the order stated, the following completed items I. through XIV. plus confidential material, if any.

Attachments, addenda, or other material may be included in an Application following the last item if they meet all other requirements in this Section, (3.0) and 4.0 "Submission of Application".

#### **II. Non-Project Related Material**

Applications should be concise. Technical descriptions should be kept brief and to the point. Promotional and non-Project related material should not be included.

#### **III. Format**

The following specifications must be followed when completing an Application:

- A. All pages must be white, 8 1/2" x 11", printed on one side, single or double spaced (one and one-half spacing is also acceptable), and the type size must be no smaller than 10 pitch or 12 point;
- B. Each page must be consecutively numbered at the bottom center of the page;
- C. The pages must be stapled in the upper left-hand corner or be bound by a loose leaf binding. No other bindings are acceptable.

#### **IV. Confidentiality**

Information submitted in the Application is normally available to the public as a public document. If your Application contains confidential information, you may request a confidentiality determination, pursuant to the procedure described in Section 6.0 "Confidential Information." For instructions on including requested confidential information in an Application see Section 6.3, "Request for Confidentiality."

## **3.2 Application Format and Instructions**

Each item must begin on a separate sheet of paper with the item number and title at the top center of the page. If an Application does not address a specific item, a page should be included with the item number and description (e.g. XII. Small, Minority-owned and Women-owned Businesses) and state "Did not address."

### **I. Cover Sheet**

The cover sheet to be used for an Application is included in this solicitation as Appendix I. Please remove or copy this cover sheet, complete it, and have it signed by an authorized representative (usually someone in the contracts or sponsored research office) of the Applicant. Do not use an alternative cover sheet or retype this one.

The application cover sheet requests that the Applicant designate a Program Area and one or more technical areas. This information is simply to assist the Department in processing the Application and is not an eligibility requirement.

### **II. Certification**

The certification to be used for an Application is included in this solicitation as Appendix II. Please remove or copy the certification sheet, complete it, and have it signed by the authorized representative of the Applicant institution. Do not use an alternative certification sheet or retype this one.

### **III. Table of Contents**

The table of contents to be used for an Application is included in the solicitation as Appendix III. Please remove or copy this table of contents and complete it with page numbers from the Application to be submitted. Do not use an alternative table of contents or retype this one.

### **IV. Checklist**

The checklist to be used for an Application is included in this solicitation as Appendix V. Please remove or copy this checklist, complete it, and have it signed by the Project manager.

## **3.2 Application Format and Instructions, cont'd.**

### **IX. Likelihood of Commercialization.**

Estimate and describe the likelihood that successful completion of the Project will lead to commercialization more rapidly than would otherwise occur without CompTech funding. Include the following information as a part of this explanation:

- A. A proposed schedule and plan for using the results of the Project to develop product(s), service(s) or process(es); and,
- B. Where applicable, the plan should also identify the necessary intermediate steps, such as completion of other scientific or technical research or development work, the securing of additional capital, and/or additional licenses or patents.

Projects that indicate the ability to achieve completion and eventual commercialization with clear commercial goals and timetables for market introduction, and with fewer uncertainties or intermediate steps, shall be deemed more likely to further this Program goal.

### **X. Importance of Grant Funding.**

Explain the importance of the CompTech Grant to the viability of the Project. Include:

- A. A list of other potential sources of Project funds;
- B. A list of sources that have been approached; and the responses of those that were contacted;
- C. A statement indicating the impact on the Project if Grant funds under CompTech are denied, postponed, or given in a reduced amount.

Applicants indicating that CompTech Grant funds are important to initiating or continuing the Project will be deemed more likely to further the CompTech goal of demonstrating the importance of Grant funding.

## **3.2 Application Format and Instructions, cont'd.**

### **XI. Impact On The State Economy and Cost Effectiveness.**

Describe the Project's potential for positive impacts on California's economy. Within annual time frames extending no longer than ten (10) years from the expected completion of the Project, estimate the extent that commercialization of the product(s), service(s) or process(es) will result in one or more of the following projected benefits to the state's economy:

- A. Creation of new jobs (direct and indirect);
- B. Retention of jobs in existing industries;
- C. Increased sales;
- D. Utilization of raw materials from or products manufactured in California;
- E. Construction of new facilities and equipment;
- F. Increased productivity within an industry or sector of California's economy.
- G. Lower manufacturing costs;
- H. Increased exports;
- I. Other positive impacts on California's economy, such as utilization, conversion, or reduced generation of solid, liquid, or toxic wastes.

Projects indicating greater impact on California's economy in the shortest period of time will be deemed more likely to further the CompTech goal of beneficial impacts on California's economy.

Projects that demonstrate greater impact on California's economy for the lowest requested CompTech Grant shall be deemed more likely to further the CompTech goal of cost effectiveness.

### **XII. Small, Minority-Owned, and Women-Owned Businesses.**

Describe the extent to which Small, Minority-Owned, and Women-Owned Businesses are expected to be involved in the Project. Specifically, include information regarding the potential involvement of Small, Minority-Owned, and Women-Owned Businesses as either Private Sector Participants or subcontractors.

Projects indicating the involvement of these businesses will be considered more likely to further this Program goal.

## 3.2 Application Format and Instructions, cont'd.

### XIII. Program Priorities

If the project fits within either of the two priority categories, (1) manufacturing technology or (2) environmental enhancement, describe the extent to which these categories are included.

### XIV. Agreement or Draft Agreement Among Participants

Letter(s) of intent on company letterhead, or memo(s) of understanding, signed by the Applicant and all participants, must show that the parties are committed to perform the Project substantially in the manner and on the terms outlined in the Application; and acknowledge that the signed agreements necessary to incur Grant fund costs shall contain at least the following:

- A. The title of the Project;
- B. Organization and control of the Project;
- C. Delineation of the respective roles and responsibilities of all the parties, indicating all Project participants who have a direct and ongoing involvement and/or management responsibilities in the Project;
- D. Identification of the amount, timing, and means by which funds or In-kind Contributions will be made available to the Project by various participants; and confirmation that all In-kind Contributions are based on participant's cost of personnel plus benefits or the allowed equipment valuation; and that all cash and In-Kind Contributions will be consumed or spent between the begin date of the budget in the Application and the end of the Grant period;
- E. Method by which all Private Sector Participants account for their In-kind Contributions to the Project, including regular reporting and identification of in-kind personnel, the associated work, and equipment assigned to the Project.
- F. Financial reporting, including the timing of such reports, the accountability for funds and In-kind Contributions to the Project from all sources;
- G. The resolution of any intellectual property rights relative to the Project;
- H. Consent for any key individual participants employed by other than the Applicant or Private Sector Participant to participate in the Project;

### **3.2 Application Format and Instructions, cont'd.**

- I. For Consortium Development Projects, a description of how the research agenda, task selection, and review processes will be accomplished. In addition, a description of the working relationships among the institutions comprising the consortium, including evidence of compliance with the requirements of Section 1.4, II. A. through D
- J. A statement identifying the Private Sector Participants' expectations of what they will gain from this partnership.

**XV. Request for Confidentiality (optional) See Section 6.0, "Confidential Information."**

## **4.0 Submission of Application**

### **4.1 What to Submit**

A signed original and ten copies of each Application must be submitted. No facsimile will be accepted. The ten copies should not contain "original" on them.

### **4.2 Packaging**

If more than one Application is being submitted, put each Application packet of the original and ten copies in a separate package.

### **4.3 Where to Submit**

Applications should be sent to:

Application Manager  
Office of Competitive Technology  
Department of Commerce  
200 E. Del Mar, Suite 204  
Pasadena, CA 91105

### **4.4 Withdrawal of Application**

An Application may be withdrawn at any time by written notice from the Applicant.

## **5.0 Application Evaluation and Selection**

### **5.1 Acknowledgement of Receipt of Application**

The Department shall mail to each Applicant, within twenty-one days of receiving an Application, notification that the Application has been received.

### **5.2 Initial Review**

Department staff will make an initial review of each Application for completeness and eligibility. Applications that are complete and determined eligible will undergo peer review.

### **5.3 Peer Review**

The peer reviewers, selected by the Department with input from the Advisory Committee Chair, will consider the scientific, technological, and commercial potential of the Project. For each Application, one or more peer reviewers will provide affirmative or negative answers to the following questions:

- I. Are the scientific and engineering objectives of the Project reasonable?
- II. Are the Technology Transfer aspects of the Project appropriate and feasible?
- III. Are the Project plans adequate to fulfill the Project objectives?
- IV. Is the Project likely to lead to commercialization of one or more product(s), service(s), or process(es)?

The reviewer(s) will submit a report of their work, including an affirmative or negative conclusion to the above questions. An affirmative conclusion to all questions will be considered a positive peer review. A negative conclusion to any one of the questions will be considered a negative peer review. An Application receiving a negative peer review will not be submitted for staff review unless the Director so requests.

### **5.4 Program Goals - Staff Review**

CompTech staff will evaluate each Application that has passed the peer review process on the extent to which the Project will further each program goal (See Section 2.2 VI "Program Goals").

CompTech staff will report to the Director on the degree to which the Project will further each CompTech Program goal.

## **5.5 Conferences**

At any time in the Application process, the Department is authorized to meet with an Applicant and other Project participants to discuss issues regarding the Project or the Application.

Following a positive staff review of an Application, it is anticipated that a Conference on the Application will be held. The Conference may include CompTech staff and technical and business consultants to the CompTech Program, as well as the Project Manager and private sector manager (product manager).

The purpose of the Conference will be to better understand the Application, to clarify issues in the Application, and to determine the ability of the Project to achieve the Program Goals. The Conference will take place at the Office of Competitive Technology in Pasadena, or another location selected by the Director.

## **5.6 Funding Decisions**

Following the reviews, CompTech staff will forward the Application, together with all related material, to the Director. The Director will decide whether to award a Grant based on these reviews.

The Application review process will be completed within 120 days after the Application submission due date. Within that 120 day period the Director shall decide one of the following:

- I. Approve the Grant request;
- II. Deny the Grant request;
- III. Approve a Grant with special conditions (e.g., lesser funding level than requested); or,
- IV. Hold the Application for consideration in the next review period.

All Applicants will be informed in writing of the decision of the Director.

## **6.0 Confidential Information**

### **6.1 Public Record**

Information submitted to a state agency through an application process is normally a public record, pursuant to the Public Records Act, California Government Code Sections 6250 *et. seq.* All state contracts including grant agreements, are public records. See Section 2.5, IV "Public Access to Grant Agreements." The public has a right to review and obtain copies of public records.

### **6.2 Proprietary Information**

The Department realizes that Applicants may find it necessary to deliver proprietary or other information to the Department in order to adequately explain a Project, and may not want the information to become a public record. The Applicant may submit a request for confidentiality indicating that specific material submitted to the Department be designated confidential and not publicly disclosed. If confidentiality is granted, the material will not be disclosed to the general public unless so ordered by a court of competent jurisdiction. If the Applicant's request for confidentiality is not granted, the Applicant must decide whether the material is to be returned or retained as part of the public record Application. Material returned to the Applicant will not be reviewed or examined as part of the Application. Failure to indicate a desire for confidentiality at the time the record is submitted to the Department is not a waiver of the right to request confidentiality later.

### **6.3 Request for Confidentiality**

All confidential material must be contained on pages separate from non-confidential material and stamped "CONFIDENTIAL" on the bottom and top of each page. Only confidential material may be included on the stamped pages and no confidential material may be included on pages that contain non-confidential material. Cross reference each confidential item and the area of the Application to which it is related. Confidential material and the request for confidentiality must be attached as Item XV. in the Application and be presented as follows:

A request for confidential designation shall be on a sheet or sheets separate from, but attached to the information, and:

- I. Specifically indicate those parts of the record which should be kept confidential by stamping "CONFIDENTIAL" on the top and bottom of any page containing confidential information.
- II. State the length of time the record should be kept confidential, and provide justification for the length of time.

### 6.3 Request for Confidentiality, cont'd.

- III. Cite and discuss the provisions of the Public Records Act (California Government Code 6250 *et seq.*) or other law which allows the Department to keep the record confidential and the public interest in non-disclosure of the record. If it is believed that the information should not be disclosed because it contains trade secrets or its disclosure would otherwise cause loss of a competitive advantage, the request shall also state the specific nature of the advantage and how it would be lost, including the value of the information to the requesting party, and the ease or difficulty with which the information could be legitimately acquired or duplicated by others.
- IV. State whether and how the information is kept confidential by the Applicant and whether it has ever been disclosed to a person other than an employee of the Applicant, and if so under what circumstances.
- V. Contain a certification executed by the person primarily responsible for preparing the Application. See Exhibit A, Section 5440 (a) (6) for language which should be used in this certification.
- VI. Specify whether the person submitting the Application wishes the information returned or disclosed upon a denial of confidential designation. Information returned to the Applicant will not be considered or reviewed as part of any Application or request for funding.

# **Management Principles for CompTech Projects**

## **Information on Currently Funded CompTech Projects**

The following sections are included to inform Applicants of the policies and procedures used for currently funded projects. They may be of help in structuring a successful Project.

# Project Management

## A. CompTech Program

The Office of Competitive Technology is responsible to the people of California, to the Governor, and the Director of the Department of Commerce, to achieve the objectives of the CompTech Program.

The grantee institution is likewise responsible, through the Office of Competitive Technology, for due diligence to achieve the objectives of a Project in compliance with state regulations.

Each Project must be an endeavor designed to transfer technology or to initiate a public-private sector R&D consortium for the commercial development of one or more products, processes, or services for the Private Sector Participants. Each Project is also a technology transfer endeavor requiring the combined cooperation of the grantee institution, Private Sector Participants, and CompTech. Continuing communication among the Project manager, responsible private sector manager (product manager), and CompTech Program manager, is essential to successful Projects.

## B. Responsibilities of Grantee Institutions

1. To assure an effective relationship that achieves Program objectives, grantee institutions should provide due diligence in overseeing the conduct of the Project. To do so, grantee institutions should provide, for each funded project, a Project manager.
2. The grantee institution, through its designated Project manager, is responsible and accountable for Project outcomes, Grant Agreement compliance, and deliverables. It is preferred that the Project manager have the authority to manage Project resources including funds, equipment, and personnel (including in-kind equipment and personnel) to the extent that they are committed to the Project.

## **Project Management, cont'd.**

3. Knowledge, data, know-how, and materials (including devices and prototypes) directly generated by the Project are intended to be shared among all Project participants. This includes any of the above generated by Project personnel, including in-kind personnel, while working on the Project, but excludes the activity of Project personnel while engaged in work activities outside the Project. The grantee institution may require that an individual participant's presence at the sharing of Project generated knowledge, data, know-how, or materials is subject to his or her prior signing of a non-disclosure agreement acceptable to the grantee institution.
4. Direct Project activity, including in-kind activity, may generate information that could be protected by patents or copyrights. Ownership of such "intellectual property" generated by the Project shall be agreed upon by the grantee institution and the Private Sector Participants, subject to the State's retention of limited rights.

### **C. Responsibilities of the Project Managers (Grantee Institution)**

The day-to-day conduct of the Project is the responsibility of the Project manager at the grantee institution. The Project manager should be responsible and accountable for:

1. Project outcomes and deliverables including, but not limited to, quarterly reports on milestones and expenditure rates.
2. Comparable expenditure rates for CompTech Project funding and private sector resources, both cash and in-kind.
3. Management of all Project resources. This includes all cash and in-kind resources to the extent that they are committed to the Project.
4. Timely reporting of Project progress or problems to the CompTech Program manager and Private Sector Participants.
5. Presentations and handouts at Project reviews.
6. Liaison with the CompTech Program manager and the product manager at participating private sector companies.

## **Project Management, cont'd.**

### **D. Responsibilities of Private Sector Participants and the Product Manager**

Each private sector company participating in a Project should provide a product manager as the primary representative of the company to the Project manager at the grantee institution and the CompTech Program manager. The product manager should be responsible and accountable for:

1. Day-to-day conduct of company in-kind personnel at the participating private sector company; integration of CompTech Program activities to fulfill company goals.
2. Timely reporting of Project progress or problems at the participating company to the Project manager and CompTech Program manager.
3. Timely reporting of significant company or market changes that would impact the project to the Project manager and CompTech Program manager.
4. Reports, at least quarterly, on personnel, milestones and expenditure rates that are company responsibilities to the Project.
5. Company participation at project reviews.
6. Liaison with the CompTech Program manager and the Project manager.
7. Arrangement for company contacts, visits, demonstrations, and meetings related to the Project.

## **Project Management, cont'd.**

### **E. Responsibilities of CompTech Program Managers**

Projects that have been funded by CompTech will be reviewed for progress and compliance by a CompTech Program manager.

The CompTech Program manager has the following responsibilities:

1. Facilitate the successful completion of a Project.
2. Be of assistance to both the Project manager at the grantee institution and the product manager at the participating private sector company.
3. Determine appropriate Project activities under this solicitation and in accordance with CompTech policies.
4. Review the Project at least quarterly for completion of milestones and compliance with Grant Agreement requirements.
5. Recommend approval of budget items on equipment where such expenditures exceed \$500.
6. Recommend approval of budget items on sub-contracts where such expenditures exceed \$2500.
7. Recommend approval of out-of-state travel expenditures.
8. Assist in drafting and negotiating Grant Agreement amendments with CompTech contract officer.
9. Organize and direct project reviews.

# **Project Monitoring and Review**

## **A. Quarterly Review**

### **1. Quarterly Reports**

Project managers are required to submit quarterly written reports to the CompTech Office that address the completion of milestones and expenditures of funds from CompTech, Private Sector Participants, and other funding sources included in the Grant Agreement. Information on expenditures must include a listing of in-kind personnel with their time and contribution to the Project.

### **2. Program Manager Review**

The CompTech Program manager may seek further information by telephone or site visit with anyone receiving funding under the Project, including those participating as in-kind personnel.

### **3. Report and Recommendations of Program Manager Review**

The Program manager submits a written report of his or her review to the Director. The report may include recommendations for CompTech action on the continued involvement of CompTech in the Project.

## **B. Project Reviews**

Projects that have been funded by CompTech may be reviewed at the request of a Program manager, Project manager, or product manager and at the discretion of the Director. The Project Manager, product manager and other knowledgeable Project personnel should be present to review the Project and answer questions from the reviewers.

Project reviews may include a general overview of the Project, review of the tasks within the Project, discussion of how well the milestones are being met, burnrate of the Project, and any other current or potential problems or successes regarding the Project. Project reviews may also include financial reporting of the In-kind Contributions, including individual personnel time spent on the Project, personnel expenditures on the Project, and equipment expenditures. An inspection of the Project facilities of the grantee and Private Sector Participants may be included in the reviews as well as interviews of the personnel involved in the in-kind work of the Project. Technical experts may be included in the Project reviews, if determined necessary by the Director.

Project managers shall be given sufficient notice for Project reviews and the location shall be determined by the Director.

Recommendations resulting from the Project reviews shall be provided to the Director.

## **Project Monitoring and Review, cont'd.**

### **C. Action on Recommendations of Project Monitoring and Review**

The Director will review recommendations resulting from Project reviews. The recommendation on a Project will be one of the following:

1. Continue as initially funded;
2. Maintain at current funding levels, but with contract amendments to the work statement and Project milestones for either content or time of completion of milestones;
3. Terminate and discontinue funding;
4. Continue at reduced funding, with appropriate contract amendments;  
or,
5. Continue at increased funding with appropriate contract amendments only under extraordinary circumstances.

The Director will take action on the recommendations as appropriate.

## **General Information**

FY 1989-90 Projects do not fund the following:

1. Activities (including in-kind activities) that directly subsidize the actual production of saleable items; or,
2. The planning or construction of facilities, either public or private.

## Appendix I Application Cover Sheet California Competitive Technology Program

1. Full Legal Name Of Applicant Organization:

2. Project Title:

3. Program Area (check one):

- Collaborative Research
- Consortium Development
- Entrepreneurial Business Development
- Technology Transfer Innovation
- Unsolicited Proposal

4. Funding Phase (check one):

- Phase Ø
- Phase 1
- Phase 2
- Other Discretionary

5. Technical Area: Check one or more of the following technical or scientific areas which describe the focus of the project.

- |   |  |
|---|--|
| <input type="checkbox"/> Advanced Materials           | <input type="checkbox"/> Medical Technologies    |
| <input type="checkbox"/> Aeronautics                  | <input type="checkbox"/> OptoElectronics         |
| <input type="checkbox"/> Biotechnology                | <input type="checkbox"/> Power Electronics       |
| <input type="checkbox"/> Chemistry                    | <input type="checkbox"/> Robotics                |
| <input type="checkbox"/> Computer Science             | <input type="checkbox"/> Software                |
| <input type="checkbox"/> Electronics/Microelectronics | <input type="checkbox"/> Superconductivity       |
| <input type="checkbox"/> Energy Development           | <input type="checkbox"/> Testing/Quality Control |
| <input type="checkbox"/> Environmental Enhancement    | <input type="checkbox"/> Transportation          |
| <input type="checkbox"/> Manufacturing Technology     | <input type="checkbox"/> Other (Specify) _____   |
| <input type="checkbox"/> Mechanics                    |  |

6. Campus or Satellite Loc. of Project (if appl.):

7. County where Project is located :

8. Source of Project Funds:

9. Leverage of CompTech Funds with other Project Funds. (Ratio of CompTech funds to all other Project funds):

CompTech Grant:        \$

Private Sector  
Participant:

Applicant Institution:

10. Match of CompTech Funds to  
Private Sector Matching Contributions.  
(Ratio of CompTech to Private Sector only):

Federal Agency:

Other Public or  
Non-profit:

11. Requested Funds are for:

- one yr.    two yrs.    three yrs.    other

Other Sources:

Total Project Funds:        \$ \_\_\_\_\_  
(should be the same as total source of funds from budget)

**Appendix I, Application Cover Sheet, cont'd.**

12. Name of Authorized Representative of Applicant Institution:    Mr.    Ms.    Mrs.    Miss    Dr.

Name:

Title:

Mailing Address:

Phone:

Check if confidential information enclosed:       

Signature of authorized representative of Applicant:

Signature : \_\_\_\_\_ Date: \_\_\_\_\_

13. Name of Project manager (Applicant Institution):    Mr.    Ms.    Mrs.    Miss    Dr.

Name:

Title:

Mailing Address:

Phone:

Signature of Project manager:

Signature : \_\_\_\_\_ Date: \_\_\_\_\_

14. Name of Product manager (representative of Private Sector Participant); if there are additional Private Sector Participants, please list them and their respective Product managers. If more space is needed, identify the additional information on additional sheets immediately following this page.

Name:    Mr.    Ms.    Mrs.    Miss    Dr.

Company:

Title:

Mailing Address:

Phone:

**Appendix II  
Certification  
California Competitive Technology Program**

The Authorized Representative of the Applicant certifies that:

1. Any Application not meeting all requirements of the solicitation and regulations may be rejected without further review and consideration.
2. Not more than 10% of the Project will be conducted outside California, with the exceptions noted in the solicitation (See Section 2.2, IX).
3. Allowable Overhead Costs of the Research Institution included in the Project budget are reasonable and do not exceed the Institution's Allowable Overhead Costs.
4. Receipt of a Grant under the Program will not supplant any other funding source for any Research Institution which is a participant in the Project.
5. Each Private Sector Participant, together with any affiliates, has either:
  - a. At least 100 employees in California; or,
  - b. A weighted average of the Private Sector Participant's property, sales, and employment factors exceeding 50% in California. Refer to Exhibit A, Section 5416(b) for further explanation.

Signature of Authorized Representative of Applicant Institution

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Note: The original signed Certification must be included in the original of the Application.**

## Appendix III

### Table Of Contents for Application

<b><u>Heading</u></b>	<b><u>Page</u></b>
<b>I. Cover Sheet</b>	
<b>II. Certification</b>	
<b>III. Table of Contents</b>	
<b>IV. Checklist</b>	
<b>V. Project Summary</b>	
<b>VI. Project Budget</b>	
<b>VII. Key Personnel</b>	
<b>VIII. Narrative</b>	
<b>IX. Likelihood of Commercialization</b>	
<b>X. Importance of Grant Funding</b>	
<b>XI. Impact on the State Economy and Cost Effectiveness</b>	
<b>XII. Small, Minority-Owned, and Women-Owned Businesses</b>	
<b>XIII. Program Priorities</b>	
<b>XIV. Agreement or Draft Agreement Among Participants</b>	
<b>XV. Request for Confidentiality (if any)</b>	
<b>Appendices (if any)</b>	

**Appendix IV**  
**Budget - Sources of Funds**  
**California Competitive Technology Program**

Budget Time line:    Begin Date \_\_\_\_\_                      End Date \_\_\_\_\_

List each participant under the appropriate type of contribution and provide the dollar amounts. If more space is needed, clearly identify the additional information on additional sheets of paper immediately following this page. Include all totals on this page. Round to no less than \$000.

The totals should equal those in box 8 of the cover sheet and the total of the Use of Funds.

<u>Participant</u>	<u>COMPTECH GRANT</u>	<u>MATCHING CONTRIBUTIONS</u>			<u>NONMATCHING CONTRIBUTIONS</u>			<u>GRAND TOTAL</u>
		<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	
CompTech Grant		XX						
Private Sector Participants								
∞								
∞								
<b>Total Private Sector Participants</b>								
<b>Applicant Institution</b>								
Federal Agency								
<b>Total Federal</b>								
Other Sources								
<b>Total Other Sources</b>								
<b>Total Source of Funds</b>	<hr/>							

**Appendix IV**  
**Budget - Use of Funds**  
**California Competitive Technology Program**

Identify all expenditures in the following categories by the type of contribution. Supply all totals. For allowable Overhead Costs, list the percentage cost factors used and the line items and amounts to which that percentage was applied. Refer to Exhibit A definitions for a description of Allowable Overhead Costs. Calculate and include a final audit amount under CompTech Grant as explained in Section 3.2, VI, "Project Budget." Round to no less than \$000.

Provide detail of the personnel, both for the CompTech grant and Matching contributions, showing type or classification with amount of effort (FTE, %, or number of such positions) and the cost. Also detail other significant cost items. Put this on pages following these budget pages.

<u>Category</u>	<b>COMPTECH</b>	<b>MATCHING CONTRIBUTIONS</b>			<b>NONMATCHING CONTRIBUTIONS</b>			<b>GRAND</b>
	<u>GRANT</u>	<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	
<b>Personnel:</b>								
a) Research Salaries								
b) Other Salaries								
c) Fringe								
Total Personnel								
<b>Contract Services:</b>								
a) Consultant			XXXXXX					
b) Other			XXXXXX					
Total Contract Services			XXXXXX					
<b>Travel:</b>								
a) Transportation			XXXXXX					
b) Per diem			XXXXXX					
c) CompTech Conferences	2,000		XXXXXX					
Total Travel			XXXXXX					

**Appendix IV  
Budget - Use of Funds, cont'd**

<u>Category</u>	<u>COMPTECH GRANT</u>	<u>MATCHING CONTRIBUTIONS</u>			<u>NONMATCHING CONTRIBUTIONS</u>			<u>GRAND TOTAL</u>
		<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	<u>Cash</u>	<u>In-Kind</u>	<u>Total</u>	
<b>Space &amp; Equipment:</b>								
a) Space			XXXXXX					
b) Lab Equipment								
c) Other								
Total Space and Equipment								
<b>Other Costs:</b>								
a) Consumable Supplies			XXXXXX					
b) Printing			XXXXXX					
c) Communications			XXXXXX					
d) Utilities			XXXXXX					
e) Misc.			XXXXXX					
Total Other			XXXXXX					
<b>Allowable Overhead:</b>			XXXXXX					
<b>Final Audit:</b>			XXXXXX			XXXXXX		
<hr/>								
<b>Total Use of Funds</b>								

**Appendix V  
Checklist  
California Competitive Technology Program**

The Project Manager understands or has completed the following items:

- 1. Funding under this Program is in the form of a Grant Agreement which may be terminated within 30 days upon written notice by either party.
- 2. The Project manager signing below has read the Program solicitation for fiscal year 1990.
- 3. The Project manager acknowledges that a signed agreement with each Private Sector Participant, on terms outlined in this solicitation, is necessary prior to incurring costs against Grant funds.

Project Manager:

Name: \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**EXHIBIT A**

**California Competitive Technology  
Program Regulations**

Adopted by the Office of  
Administrative Law  
on July 24, 1989

TITLE 10  
DEPARTMENT OF COMMERCE

CHAPTER 9  
COMPETITIVE TECHNOLOGY PROGRAM  
SECTIONS 5400 to 5443

Section            Title

Article I. Definitions

5400            Definitions

Article II. Application Process

5410            Contents of Application  
5411            Projects Generally  
5412            Matching Contribution  
5413            Agreement Among Participants  
5414            Project Budget  
5415            Supplanting Other Funding  
5416            Private Sector Participants  
5417            Likelihood of Commercialization  
5418            Impact on California Economy  
5419            Cost Effectiveness  
5420            Importance of Grant Funding  
5421            Cost Sharing  
5422            Small, Minority-Owned and Women-Owned Businesses  
5423            Program Priorities and Program Areas  
5424            Funding Phases and Cycles  
5425            Initial Action on Applications  
5426            Conferences  
5427            Peer Review  
5428            Final Action on Applications

Article III. Grants

5430            Multiyear Grants  
5431            Discretionary Grants

Article IV. Confidentiality

5440            Designation of Confidential Information  
5441            Disclosure of Confidential Information  
5442            Security of Confidential Information  
5443            Delegation of Authority and Responsibilities

Article I. Definitions.

Section 5400. Definitions.

The following terms shall have the meanings set forth below:

(a) "Act" means Chapter 3.5 (commencing with Section 15379) of Part 6.7 of Division 3 of Title 2 of the California Government Code.

(b) "Affiliate", as to a specified person, means a person that directly, or through one or more intermediaries, controls, or is controlled by, or is under common control with, the person specified. A person controls another person within the meaning of this definition through the possession, direct or indirect, of the power to direct or cause the direction of the management, policies or actions of such other person.

(c) "Allowable overhead costs" means indirect costs or overhead calculated in conformity with the principals and procedures set forth in (1) the United States Federal Register, Vol. 53, No. 199, Part V, Office of Management and Budget, Circular No. A-87, Friday, October 14, 1988, or (2) the United States Federal Register, Volume 44, No. 45, Office of Management and Budget, Circular No. A-21, March 6, 1979, each as amended from time to time, or any successor thereto, incorporated by reference herein and available from the department.

(d) "Applicant" means a public agency, or a nonprofit organization, which applies for a grant.

(e) "Application" means the application for a grant submitted and filed pursuant to Article II.

(f) "Collaborative research" means new or ongoing technological or scientific research that accelerates existing research towards the commercialization of product[s], process[es] or service[s], and is conducted jointly or funded jointly by some or all of the following:

- (1) Private sector, including intra-industry groups.
- (2) The federal government.
- (3) The state.
- (4) Public or private universities, colleges, and laboratories.

(g) "Committee" means the Competitive Technology Advisory Committee created pursuant to Government Code Section 15333.6.

(h) "Consortium development" means a project comprised of a cooperative venture to fund and encourage technology transfer with respect to a program priority, which cooperative venture meets all of the following criteria:

(1) All consortium funding sources participate in selecting project tasks and in determining project management and objectives.

(2) All consortium funding sources agree to fund multiple projects in the program priority area[s] developed by the director pursuant to Government Code Section 15379.3(c).

(3) Within five years of submitting an application all consortium funding sources agree to establish and become members of a nonprofit corporation incorporated in California for the purpose of furthering technology transfer.

(i) "Cooperative research" means a new collaborative research project.

(j) "Department" means the Department of Commerce, including the Office of Competitive Technology.

(k) "Director" means the Director of the Department of Commerce.

(l) "Discretionary grant" means a grant awarded in accordance with the provisions of Section 5431.

(m) "Entrepreneurial business development" means a project which is intended to result in either (1) product[s], process[es] or service[s] made available for commercialization by small, minority-owned and women-owned businesses, or (2) a procedure implemented by the applicant to assist commercialization of product[s], process[es] and service[s] by small, minority-owned and women-owned businesses.

(n) "Funding phase" means the nature and duration of a project as described in Section 5424.

(o) "Grant" means funding for a project provided under the Act in the form of payment[s] to an applicant pursuant to a grant agreement.

(p) "Grant agreement" means any agreement entered into between the department and an applicant that is approved for funding by the director to provide a grant for a project on such terms and conditions as shall be required by the department and agreed to by the applicant.

(q) "In-kind contribution" means the value of personnel and equipment provided by any entity other than the department and meeting the requirements of Section 5412(d) and (e).

(r) "Matching contribution" means a contribution to the cost of a project made by a private sector participant pursuant to Section 5412.

(s) "Minority" means an ethnic individual of color including American Indians, Asians (including, but not limited to, Chinese, Japanese, Koreans, Pacific Islanders, Samoans, and Southeast Asians), Blacks, Filipinos and Hispanics.

(t) "Minority-owned business" means a business concern that is all of the following:

(1) At least 51% owned by one or more minorities, or in the case of a publicly owned business, at least 51% of the stock of which is owned by one or more minorities.

(2) Managed by, and the daily business operations are controlled by, one or more minorities.

(3) A sole proprietorship, partnership, or corporation with its home office located in the United States that is not a branch or subsidiary of a foreign corporation, firm, or other business.

(u) "Multiyear grant" means a grant consisting of funds encumbered from more than one year, subject to the requirements of Sections 5430.

(v) "Nonprofit organization" means a corporation organized and in good standing as a nonprofit corporation under Title 1, Division 2 of the California Corporations Code or the equivalent nonprofit corporation law of any other state, or any organization which has received a determination letter to that effect from the Internal Revenue Service under Section 501(c) of the Internal Revenue Code of 1986.

(w) "Person" means an individual, a corporation, a partnership, a joint venture, an association, a joint stock company, a trust, or an unincorporated organization.

(x) "Private sector participant" means a company that makes a matching contribution that meets the requirements of Section 5416.

(y) "Program" means the California Competitive Technology Program created pursuant to the Act.

(z) "Program area" means one of the following categories which describe the purpose of a project:

- (1) cooperative research;
- (2) consortium development;
- (3) entrepreneurial business development;
- (4) technology transfer innovation; or
- (5) unsolicited proposal

(aa) "Program priority" means a category of technology or industry that receives priority for funding pursuant to Section 5423.

(bb) "Project" means an endeavor designed to achieve technology transfer, including access to ongoing research and research findings, exchange or transfer of personnel, research support services including capital outlay, and collaborative research.

(cc) "Public agency" means any agency, department or instrumentality of the federal government, any state, or any political subdivision of a state.

(dd) "Research institution" means a public or independent university, college or laboratory.

(ee) "Small business" means a United States domiciled concern as defined in Section 2 of Public Law 85-536 (15 U.S.C. 632) and implementing regulations specified in 13 C.F.R. Section 121.2, as amended from time to time, or any successor thereto, incorporated by reference herein.

(ff) "Technology transfer" means the movement of the results of basic or applied technological or scientific research to the design, development, and production of new or improved product[s], service[s], or process[es].

(gg) "Technology transfer innovation" means a project to develop a new system or procedure by the applicant to assist California companies with technology transfer.

(hh) "Unsolicited proposal" means an application for a project which is not described by any of the categories defined in Section (z) (1)-(4) of the definition of program area.

(ii) "Women-owned business" means a business concern that is all of the following:

(1) At least 51% owned by one or more women or, in the case of publicly owned business, at least 51% of the stock of which is owned by one or more women.

(2) Managed by, and the daily business operations are controlled by, one or more women.

(3) A sole proprietorship, partnership, or corporation with its home office located in the United States that is not a branch or subsidiary of a foreign corporation, firm, or other business.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15333.6, 15379.1, 15379.3, 15379.4, 15379.5, 15379.6, 15379.7 and 15379.10, Government Code.

## Article II. Application Process.

### Section 5410. Contents of Application.

(a) The application shall consist of a cover sheet, a certification page, a budget, a table of contents and attachments as set forth in subsection (f) below. Each attachment shall begin on a separate sheet of paper with the item number and title at the top of the page.

(b) The cover sheet of the application shall be signed and dated by both an authorized representative of the applicant and the project manager, and shall identify or designate the following:

- (1) the applicant;
- (2) the name, address and phone number of the applicant's authorized representative and project manager;
- (3) the project title;
- (4) the requested grant amount;
- (5) sources of project funds;
- (6) the funding phase, program area and technology area for which the application is submitted;
- (7) cost sharing as defined in Section 5421;
- (8) the county where the project is located; and
- (9) whether confidential information is included in the application.

(c) The budget shall contain the information required in Section 5414(a).

(d) The certification page shall contain a certification by an authorized representative of the applicant that the application meets the requirements set forth in Sections 5411(b), 5412(f), 5414(b), 5415, and 5416. The applicant shall also certify that its authorized representative has read these regulations.

(e) The applicant shall prepare and submit a table of contents page which lists each of the items required in the application, and the page number where it is located.

(f) The application shall contain attachments, as appropriate, which include all of the following information:

(1) A summary of the proposed project of not more than 400 words, including an abstract, a statement of the problem or opportunity being addressed by the project, any innovations being pursued, new or improved product[s], process[es] or service[s], that it is anticipated will be commercialized as a result of the project, and a project plan.

(2) The agreement required by Section 5413.

(3) A project narrative containing information the applicant believes necessary for the peer review to be carried out pursuant to Section 5427 and for a review of program goals pursuant to Section 5425(e)(1). The narrative shall include discussions of each of the following in the order set forth herein: objectives, plans, implementation, timetables and milestones for implementation of plans, and criteria for a successful project and evaluation of the project. In addition, an application for a consortium development project shall discuss: (1) processes for determining short and long term research agendas; (2) processes for responding quickly to innovative commercialization ideas and research directives; and (3) a marketing plan for both attracting members and project funding ideas.

(4) Identification of the project manager and key personnel for carrying out the project, including information as to education, experience and publications of such personnel relevant to the project.

(5) Discussion of the nature and extent to which the project meets each of the program goals set forth in Sections 5417, 5418, 5419, 5420 and 5422.

(g) Applicants shall submit one (1) signed and clearly identified original and ten (10) copies of the application in a single package to the address specified in the application. The department shall acknowledge in writing receipt of an application within 21 days of receipt by the department.

(h) Each application shall consist of white 8-1/2" X 11" paper, printed on one side only, consecutively numbered at the bottom center of the page (including the cover sheet, certifications, budget, and table of contents). Typing or printing on pages prepared by the applicant shall be single through double spaced, in no smaller than 10-pitch or 12-point type. The pages shall be stapled in the upper left-hand corner or contained in a looseleaf binder. All confidential material shall be segregated on separate pages stamped "Confidential" at top and bottom. Material designated confidential by the applicant shall be cross-referenced to that part of the application to which it relates. The completed application shall not exceed the following: Phase 0 applications - 30 pages; Phase I applications - 60 pages, Phase II applications and discretionary grants other than phase 0 - no limit.

(i) Where a description or analysis includes quantified or specialized information, the source of the information and the method of computation or analysis must be described. Any supporting information must be included in the application.

(j) An applicant shall be authorized to withdraw an application at any time by written request to the Department.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15379.3, 15379.4, 15379.5, 15329.6 and 15379.7, Government Code.

#### Section 5411. Projects Generally.

(a) Grant funding shall only be available for expenses incurred, including allowable overhead costs, in connection with a project that receives matching contributions from one or more private sector participants. Grant funds shall not be used to reimburse any costs incurred pursuant to any contract or subcontract for services with respect to a for-profit entity.

(b) The application shall indicate that no less than 90% of project activities will be performed in California, with the following exceptions: (1) work necessary to comply with federal subcontracting statutes, regulations or policies, and (2) performance of a necessary test or procedure where the facilities for such a test or procedure are not available in California.

Authority cited: Section 15379.9, Government Code.  
Reference: Sections 15379.3, 15379.4 and 15379.6, Government Code.

#### Section 5412. Matching Contribution.

(a) The application shall include a commitment letter, letter of intent or other similar evidence that the private sector participant[s] will make a matching contribution[s] to the costs of the project. The application shall also indicate the amount, time and manner in which the matching contribution[s] will be made. The requirements set forth in this subsection shall be met by inclusion of such evidence in the agreement submitted pursuant to Section 5413.

(b) The amount of grant funds compared to the amount of matching contributions shall not be more than the following ratio:

- (1) Phase 0 or other discretionary grants - no matching contribution required;
- (2) Phase I- 2:1; and
- (3) Phase II- 1:1.

(c) Matching contributions shall be in the form of either cash or in-kind contributions of personnel and equipment that will be spent or used after the filing of the application and prior to the end of the term of the grant. If the matching contribution for any project is proposed to be wholly or partly in-kind, the application shall specify the personnel and equipment that comprise the contribution, and shall give the estimated value thereof, consistent with the principles contained in subsections (d) and (e) of this section.

(d) In-kind contributions of personnel shall be valued based upon the salary of such personnel, plus benefits. In-kind contributions of personnel shall only comprise personnel that will directly benefit, and can be specifically identified with, the project.

(e) In-kind contribution of equipment shall meet the following criteria:

- (1) The total contribution of equipment must be no more than 20% of the matching contribution;
- (2) Contributed equipment must be an integral part of the project; and
- (3) The matching funds for equipment contributions shall be valued as follows:
  - (A) For equipment contributions with a market value of less than \$50,000, the matching value will be 50% of the market value;
  - (B) For equipment contributions with a market value of between \$50,000 and \$150,000, the matching value will be \$25,000 plus 30% of the amount in excess of \$50,000; and
  - (C) For equipment contributions with a market value above \$150,000, the matching value will be \$55,000 plus 20% of the amount in excess of \$150,000.

For purposes of this subsection, equipment shall be considered to be contributed only when the applicant receives title to and possession of the equipment free of charge.

(f) The applicant shall certify that all in-kind contributions meet the criteria set forth in subsections (d) and (e) of this Section.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15379.3 and 15379.4, Government Code.

Section 5413. Agreement Among Participants.

(a) Each applicant shall at the time the application is submitted include as part of the application an agreement or agreements (in a form specified in subsection (b) below) among all parties proposing to participate in the project (including, where applicable, the applicant, the private sector participant[s], all funding sources, and any other persons or organizations which are necessary to the project, except the department), which agreement[s] shall address the following:

- (1) organization and control of the project;
- (2) delineation of the respective roles and responsibilities of all the parties, indicating that all participants, from both the public and private sectors have a direct and ongoing involvement in the project;
- (3) identification of the amount, timing and means by which funds and in-kind contributions will be made available to the project by the various participants, as applicable;
- (4) financial reporting, including the timing of such reports;
- (5) the resolution of any intellectual property rights relative to the project;
- (6) consent for any individual participants employed by other than the applicant or private sector participant to participate in the project;
- (7) in the case of cooperative research projects or consortium development projects, description of how the research agenda, task selection and review processes will be accomplished;
- (8) in the case of consortium development projects, a description of the working relationships among the institutions comprising the consortium, including evidence of compliance with the requirements of Section 5400(h)(1), (2) and (3); and
- (9) any other matters that the participants deem necessary to be included in such agreement.

(b) The agreement shall be signed by the parties thereto and submitted with the application, or shall be in the form of, or shall be a draft agreement accompanied by, a memorandum of understanding, letter of intent or similar document signed by the applicant participants that evidences the agreement of the parties to perform the project substantially in the manner and on the terms outlined in the application, and committing the parties to execute a final agreement prior to any disbursement of grant funds.

Authority cited: Section 15379.9, Government Code. Reference:  
Sections 15333.5, 15379.3 and 15379.4, Government Code.

Section 5414. Project Budget.

The application shall include the following:

(a) A proposed budget for the project, including identification of all sources and uses of funds and the estimated value of all in-kind contributions associated with the project. The proposed budget shall include a beginning and an ending date. The budget shall not begin before the date the application is submitted to the department. The budget ending date shall be the projected termination date of the grant agreement. Budget information shall be provided in at least the following categories: personnel, contract services, travel, space and equipment, other costs and allowable overhead costs.

(b) A certification that any overhead costs of a research institution included in the project budget do not exceed that institution's allowable overhead costs.

Authority cited: Section 15379.9, Government Code. Reference:  
Sections 15333.5, 15379.3, 15379.4, 15379.5 and 15379.6, Government Code.

Section 5415. Supplanting Other Funding.

The application shall contain a certification that receipt of a grant under the program will not supplant any other funding source for any applicant research institution.

Authority cited: Section 15379.9, Government Code. Reference:  
Sections 15333.5, 15379.3 and 15379.4, Government Code.

Section 5416. Private Sector Participants.

The application shall include a certification that each private sector participant, together with its affiliates, if any, either:

(a) has at least 100 employees in California, or

(b) the average of the property factor, the payroll factor and the sales factor (as defined in Sections 25129, 25132 and 25134 of the California Revenue and Taxation Code, incorporated by reference herein) with respect to such participant exceeds 50 percent during the latest full income year, so that the weighted average of such participant's property, sales and employment exceeds 50 percent in California.

Authority cited: Section 15379.9, Government Code. Reference:  
Sections 15333.5, 15379.3 and 15379.4, Government Code.

Section 5417. Likelihood of Commercialization.

(a) The application shall discuss the likelihood that successful completion of the project will lead to commercialization of product[s], service[s] or process[es] more rapidly than would otherwise occur.

(b) The application shall include a proposed schedule and plan for using the results of the project to develop the product[s], service[s] or process[es]. The plan shall identify, where applicable, necessary intermediate steps, such as completion of other scientific or technical research or development work, the obtaining of additional capital, and the obtaining of additional licenses or patents.

(c) Projects indicating the ability to produce commercial results with fewer uncertainties or intermediate steps shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.  
Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

Section 5418. Impact on State Economy.

(a) The application shall discuss the positive impacts on California's economy if the project is successfully completed.

(b) The application shall estimate, within annual time frames extending no longer than 10 years from the expected completion of the project, how commercialization of the specified product[s], service[s] or process[es] would result in one or more of the following benefits to California's economy:

- (1) creation of new jobs (direct and indirect);
- (2) retention of jobs at existing industries;
- (3) increased sales;
- (4) utilization of raw materials from or products manufactured in California;
- (5) new construction of facilities and equipment;
- (6) increased productivity within an industry or sector of California's economy;

(7) increased exports; or

(8) other positive impacts on California's economy.

(c) Projects indicating greater impact on California's economy within the shortest period of time shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

#### Section 5419. Cost Effectiveness.

(a) The application shall discuss the factors that make the project cost effective.

(b) Projects indicating greater impact on California's economy for the lowest requested grant shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

#### Section 5420. Importance of Grant Funding.

(a) The application shall discuss the importance of the grant funds for the viability of the project.

(b) The application shall describe other potential sources of funds for the requested amount of the grant. The application shall indicate whether any of these sources have been approached and have refused funding. The application shall indicate the result to the project if grant funds under the program are denied, postponed, or given in reduced amount.

(c) Projects indicating that they cannot proceed without the requested grant shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

Section 5421. Cost Sharing.

(a) The application shall include a calculation of the amount of grant funds as a percentage of total project funds.

(b) Projects indicating a greater ratio of non-grant funds (including in-kind contributions) to the requested grant shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

Section 5422. Small, Minority-Owned and Women-Owned Businesses.

(a) The application shall discuss the extent to which small businesses, minority-owned businesses and women-owned businesses, if any, are expected to be involved in the project.

(b) The application shall include information regarding the potential involvement, if any, of small, minority and women-owned businesses either:

(1) as private sector participants;

(2) as subcontractors; or

(3) in any other capacity

(c) Projects indicating the involvement of small, minority and women-owned businesses shall be deemed more likely to further the program goal in subsection (a) above, in connection with the department staff review pursuant to Section 5425(d)(1) and (2).

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15379.3 and 15379.5, Government Code.

Section 5423. Program Priorities and Program Areas.

(a) The director shall be authorized, based upon advice of the committee, to announce a list of technologies or industries that shall constitute program priorities for purposes of the program. The director shall be authorized to modify the list of program priorities from time to time upon advice of the committee.

(b) From time to time, the director shall be authorized to allocate or reallocate some or all of the available grant funds to specific program priorities.

(c) The department shall provide the then-current list of program priorities, if any, and the level of available grant funds allocated for each priority, together with every application distributed to potential applicants. An application submitted for a project included in a then-current program priority shall not become ineligible for funding solely by virtue of the director subsequently removing such priority from the list of program priorities.

(d) The Director shall be authorized to allocate each year's available program funds among the different program areas. The Director shall be authorized to set a maximum grant amount for each program area. Notwithstanding the foregoing, the Director shall be authorized, in his or her discretion, to reallocate funds among program areas, or exceed the maximum grant amount, in cases of extraordinary merit.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15333.6, 15379.3, and 15379.5, Government Code.

#### Section 5424. Funding Phases and Cycles.

(a) Applicants shall request funding for one of three funding phases listed below:

(1) Phase 0 - Developmental phase, including preparing an application for Phase I or Phase II projects; must be completed within one (1) year after the date a grant agreement is executed.

(2) Phase I - A project scheduled to be completed within one (1) year after the date a grant agreement is executed.

(3) Phase II - A project scheduled to be completed in a period of more than one (1) but not more than three (3) years after the date a grant agreement is executed.

(b) The director shall be authorized to allocate the annual available funds for the program in several funding cycles that shall be announced throughout the year. The director shall be authorized to make grants in less than the amount set aside for any funding cycle or, in cases of extraordinary merit, to make grants in a greater amount, proportionately reducing available funding for future cycles. The department shall determine and make public the date by which applications must be received to be eligible for each funding cycle.

Authority cited: Section 15379.9, Government Code.  
Reference: Sections 15333.5, 15379.3, 15379.4 and 15379.5, Government Code.

Section 5425. Action on Applications.

(a) The department staff shall review each application to determine whether it is complete and complies with Section 5410. The department staff shall notify an applicant that its application was determined to be incomplete or otherwise not in compliance with Section 5410 pursuant to Section 5428(d)(1).

(b) The department shall review all complete applications based upon the information contained in the portions of the application described in Section 5410(b), (c), (d) and (f)(2) to determine whether the proposed project is eligible for funding. The department staff shall notify an applicant that its application was determined to be ineligible for funding under the Act and these regulations pursuant to Section 5428(d)(1).

(c) Applications determined eligible pursuant to the review in subsection (b) above shall be submitted for peer review pursuant to Section 5427.

(d)(1) The department staff shall review each application with (1) a positive peer review pursuant to Section 5427(d), or (2) a negative peer review but receiving an evaluation pursuant to Sections 5428(a) or 5431(d)(2), to consider the proposed project's ability to further the program goals contained in the Act and described in Sections 5417 to 5422.

(2) The department staff shall prepare a report on each project that has received a review pursuant to subsection (d)(1) of this Section, discussing the degree to which it furthers each of the program goals.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15379.3, 15379.4, 15379.5 and 15379.10, Government Code.

Section 5426. Conferences.

The department shall be authorized to request an applicant to attend a conference with the department staff and designees of department staff, if the department determines that such a conference would assist making revisions in, or supplements to, the application to increase the chances of successfully funding the applicant's request, or to assist the department to better understand the application.

Authority cited: Section 15379.9 Government Code.  
Reference: Sections 15333.5 and 15379.3, Government Code.

Section 5427. Peer Review.

(a) Applications that have been determined eligible pursuant to Section 5425(b) shall undergo peer review by one or more persons with expertise in the scientific and technological aspects of the project.

(b) The department staff shall transmit each completed application to the chair of the committee. Following consultation, to the maximum degree feasible, with the chair, department staff shall assign to one or two members of the committee the task of conducting a peer review. If the department staff, after such consultation with the chair of the committee determines that none of the members has sufficient expertise in the subject matter of the project, or determines that no qualified member of the committee is available to conduct a peer review, the department staff shall engage a consultant or consultants to perform the peer review.

(c) The peer reviewer[s] shall assess the scientific and technological aspects of the project addressing the following questions:

(1) Are the scientific and engineering objectives of the project reasonable?

(2) Are the technology transfer aspects of the project appropriate and feasible?

(3) Are the project plans adequate to fulfill the project objectives?

(4) Is the project likely to lead to commercialization of a product[s], service[s] or process[es]?

(d) The reviewer[s] shall prepare a succinct report of their work, including an affirmative or negative conclusion on the questions in subsection (c) of this Section. Affirmative conclusions on all questions shall be deemed to be a positive peer review. A negative conclusion on any question shall be deemed a negative peer review. The reviewer[s] shall be authorized to conduct oral reviews with applicants in connection with questions in subsection (c) of this Section.

Authority cited: Section 15379.9, Government Code.

Reference: Sections 15333.5, 15333.6, 15379.3 and 15379.8, Government Code.

Section 5428. Final Action on Applications.

(a) An application receiving a negative peer review pursuant to Section 5427 shall be forwarded by the department staff to the director. The director either shall not fund the grant request, or shall return such application to department staff for evaluation pursuant to Section 5425(d)(1).

(b) The department staff shall forward each application, together with all related material, to the director following completion of the peer review and staff review, pursuant to Section 5427 and Sections 5425(d)(1) and (2), respectively.

(c) The director's decision to award a grant shall be based upon:

- (1) a finding that the project is eligible for funding;
- (2) the peer review; and
- (3) the department staff review of program goals.

(d) Within one hundred and twenty (120) days after the department's receipt of an application or, if the director has established funding cycles pursuant to Section 5424(b), after the deadline for submitting applications for any funding cycle, the department shall notify the applicant that:

- (1) the application is incomplete pursuant to Section 5425(a) or is ineligible pursuant to Section 5425(b);
- (2) the director has approved or denied the grant request or approved a grant in a lesser dollar amount; or
- (3) the funding decision has been deferred by the director until the next funding cycle.

(e) A determination that the application is incomplete or ineligible shall be accompanied by a written explanation and a description of what, if anything, can be done to remedy any deficiency. A denial of funding shall be accompanied by a written explanation of the reasons for such denial. Applicants for projects determined to be ineligible or which have been denied funding hereunder shall not be precluded from reapplying at any time for funding, nor shall they be precluded from requesting discretionary grants.

(f) Following approval of a grant by the director pursuant to Section 5428 or Section 5431, the department and the successful applicant shall enter into a grant agreement on terms mutually acceptable to all parties prior to funding of the grant.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5 and 15379.3, Government Code.

### Article III. Grants.

#### Section 5430. Multiyear Grants.

(a) Not less than ninety (90) nor more than one hundred and twenty (120) days prior to the anniversary date of a multiyear grant, the grantee shall provide to the department a written report on the status of the project. Such report shall include:

(1) a discussion of how the project has met the scientific and technological goals stated in the application;

(2) a discussion of how the project has met each of the program goals set forth in Sections 5417 to 5422; and

(3) a financial statement detailing the expenditure of grant funds for project costs.

(b) The director shall be authorized but not required to forward such reports to the department staff and other persons designated by the director for recommendations regarding continued funding.

(c) A decision regarding continued grant funding shall be based on the availability of funds, submission of the report required by this section and substantial compliance by the grantee during the preceding year with the terms and conditions of the grant agreement.

(d) Within forty-five (45) days of receipt of the report required by this section, the director shall notify the grantee in writing whether or not funding, if and when available, shall be continued for the next year.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5 and 15379.3, Government Code.

Section 5431. Discretionary Grants.

(a) At the start of each fiscal year, the director shall establish the maximum amount of funds that shall be available during such fiscal year for discretionary technology transfer grants pursuant to Section 15379.10 of the Act. At any time, the director shall be authorized to award some or all of the funds set aside for discretionary grants to make grants to projects which pursue the regular application process in Article II.

(b) Applications for discretionary grants (including those for Phase 0) shall be made in the same form as an application submitted pursuant to Section 5410, but shall be clearly identified by the applicant as an application for a discretionary grant. Such application shall be in the same number of copies, and shall to the maximum extent feasible, contain the same information as is required by Section 5410. The applicant shall clearly identify those elements of program eligibility that are not met by the application, and shall indicate why the applicant believes a grant from the program is nonetheless justified.

(c) The department staff shall process an application for a discretionary grant in the same manner as a regular application.

(d) An application for a discretionary grant that would be determined ineligible pursuant to Section 5425(b)(2), nevertheless shall be forwarded to the director for review. The director shall be authorized to either:

(1) return the application to the applicant as ineligible for funding, or

(2) direct the department staff to continue processing the application.

(e) Nothing contained in these regulations shall prohibit the director from waiving any procedural requirement hereof and making a discretionary grant for a project, within the limits of Section 15379.10 of the Act, without regard to any requirement of Sections 15379.3, 15379.4 or 15379.5 of the Act.

Authority cited: Section 15379.9, Government Code. Reference: Sections 15333.5, 15379.3 and 15379.10, Government Code.

Article IV. Confidentiality.

Section 5440. Designation of Confidential Information.

No confidential information, or information that is the subject of a pending application, shall be disclosed except as provided by Section 5441, unless disclosure is ordered by a court of competent jurisdiction.

(a) Any person giving custody or ownership of information to the department shall indicate any desire that it be designated confidential information and not publicly disclosed, but failure to so indicate at the time the information is submitted to the department is not a waiver of the right to request confidentiality later. A request for confidential designation shall:

(1) be on a sheet or sheets separate from but attached to the information;

(2) specifically indicate those parts of the information which should be kept confidential;

(3) state the length of time the information should be kept confidential, and provide justification for the length of time;

(4) cite and discuss (i) the provisions of the Public Records Act (California Government Code 6250 et seq.) or other law that allows the department to keep the information confidential, and (ii) the public interest in nondisclosure of the information. If it is believed that the record should not be disclosed because it contains trade secrets or its disclosure would otherwise cause loss of a competitive advantage, the request shall also state the specific nature of the advantage and how it would be lost, including the value of the information to the requesting party, and the ease or difficulty with which the information could be legitimately acquired or duplicated by others;

(5) state whether and how the information is kept confidential by the requesting party and whether it has ever been disclosed to a person other than an employee of the requesting party, and if so under what circumstances;

(6) contain the following certification executed by the person primarily responsible for preparing the request: "I certify under penalty of perjury that the information contained in this request for confidential designation is true, correct, and complete to the best of my knowledge, and that I am authorized to make this request and certification on behalf of [name of entity]"; and

(7) specify whether the person submitting the request wishes the information returned or disclosed upon a denial of confidential designation; information returned to requesting party shall not be considered or reviewed as part of any application for grant funding to the department.

(b) If the information contains information which the requesting party has received from another party who has demanded or requested that the requesting party maintain the confidentiality of the information, the requesting party shall address the items in Section 5440(a) to the greatest extent possible and shall explain the request made by the original party and the reasons expressed by the original party.

(c) An incomplete request shall be returned to the requesting party with a statement of its defects. The information for which confidentiality was requested shall not be disclosed for thirty (30) days after return of the request to the requesting party to allow a new request to be submitted.

(d) If a requesting party's prior request for confidential designation of substantially similar information has been granted, a request for confidential designation shall be deemed granted if the request contains a certification that the information submitted is substantially similar and that all facts and circumstances relevant to the granting or approval of the request are unchanged.

(e) The director shall determine if a request for confidential designation should be granted. A request shall be granted unless the requesting party has failed to make any reasonable claim that the Public Records Act or other provision of law authorizes the department to keep the information confidential, and upon a finding by the department that there is a public interest in nondisclosure of the information. The director shall be authorized, within thirty (30) days after receipt of a request, to require the requesting party to submit any additional information necessary to rule on the request. If the additional information is not returned to the department within fourteen (14) days of department mailing of the request, the director shall deny the request. The director's determination shall be in writing and shall be mailed no later than sixty (60) days after receipt of a request or thirty (30) days after receipt of additional information, whichever is later. There shall be no administrative appeal from the director's decision. The information sought to be designated confidential shall not be available for inspection or copying for a period of 30 days after the denial of a request, during which time the requesting party may appeal such denial to a court of competent jurisdiction.

Authority cited: Sections 6253(a) and 15379.9, Government Code.  
Reference: Sections 15333.5 and 15379.3, Government Code.

Section 5441. Disclosure of Confidential Information.

(a) The director shall be authorized to disclose information determined confidential pursuant to Section 5440 to:

(1) Department employees whose department work requires inspection of the information.

(2) Persons under contract to the department whose work for the department requires inspection of the information and who agree in a contract to keep the information confidential.

(3) Other governmental bodies which have a need for the information related to their official functions and which agree to keep the information confidential and to disclose the information only to those employees whose agency work requires inspection of the information. On behalf of the department the director shall be permitted to request and agree to maintain the confidentiality of other agencies' confidential information.

(4) Any person, provided that either (i) the requesting party has consented in writing to the disclosure, or (ii) the director, after prior notice to the requesting party and opportunity for the requesting party to be heard, determines that such information is not exempt from disclosure under the Public Records Act and the public interest in disclosure of such information outweighs the public interest in nondisclosure.

(b) The director shall advise the person to whom the materials with the confidential designation belong of the disclosure to persons in subsections (a), (2), (3) and (4) of this Section of information determined confidential pursuant to Section 5440.

Authority cited: Sections 6253(a) and 15379.9, Government Code.  
Reference: Sections 15333.5 and 15379.3, Government Code.

#### Section 5442. Security of Confidential Information.

The director is responsible for maintaining the security of confidential information.

Authority cited: Sections 6253(a) and 15379.9, Government Code.  
Reference: Sections 15333.5 and 15379.3, Government Code.

#### Section 5443. Delegation of Authority and Responsibilities.

The director shall be authorized to delegate any authority, duties or responsibilities under this Article to any employee of the department.

Authority cited: Sections 6253(a) and 15379.9, Government Code.  
Reference: Sections 15333.5 and 15379.3, Government Code.

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## EXHIBIT B

### Confidentiality: Partial List of California Provisions

Pages 25 and 26 of this solicitation describe the information which must be included in a request for confidential designation. Among the information required is the citation authorizing disclosure. Examples of citations which may apply are provided below and the full citations included on the following pages.

**Please note:** The citations listed below are merely examples and are not intended as an exhaustive list.

1. INFORMATION PRACTICES ACT.  
California Civil Code Section 1798 et seq.  
Sections 1798.3 and 1798.24 are attached hereto.
2. PUBLIC RECORDS ACT.  
California Government Code Section 6250 et seq.  
Sections 6252 and 6254 are attached hereto.
3. PRIVILEGES.  
California Evidence Code Section 900 et seq.  
Section 1060 is attached hereto.

# California Civil Code

## Information Practices Act

### ARTICLE 2. DEFINITIONS

#### § 1798.3. Definitions

As used in this chapter:

(a) The term "personal information" means any information that is maintained by an agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by, or attributed to, the individual.

(b) The term "agency" means every state office, officer, department, division, bureau, board, commission, or other state agency, except that the term agency shall not include:

(1) The California Legislature.

(2) Any agency established under Article VI of the California Constitution.

(3) The State Compensation Insurance Fund, except as to any records which contain personal information about the employees of the State Compensation Insurance Fund.

(4) A local agency, as defined in subdivision (b) of Section 6252 of the Government Code.

(c) The term "disclose" means to disclose, release, transfer, disseminate, or otherwise communicate all or any part of any record orally, in writing, or by electronic or any other means to any person or entity.

(d) The term "individual" means a natural person.

(e) The term "maintain" includes maintain, acquire, use, or disclose.

(f) The term "person" means any natural person, corporation, partnership, firm, or association.

(g) The term "record" means any file or grouping of information about an individual that is maintained by an agency by reference to an identifying particular such as the individual's name, photograph, finger or voice print, or a number or symbol assigned to the individual.

(h) The term "system of records" means one or more records, which pertain to one or more individuals, which is maintained by any agency, from which information is retrieved by the name of an individual or by some identifying number, symbol or other identifying particular assigned to the individual.

(i) The term "governmental entity," except as used in Section 1798.26, means any branch of the federal government or of the local government.

(j) The term "commercial purpose" means any purpose which has financial gain as a major objective. It does not include the gathering or dissemination of newsworthy facts by a publisher or broadcaster.

(k) The term "regulatory agency" means the State Banking Department, the Department of Corporations, the Department of Insurance, the Department of Savings and Loan, the Department of Real Estate, and agencies of the United States or of any other state responsible for regulating financial institutions.

(Amended by Stats.1985, c. 595, § 2; Stats.1987, c. 1453, § 1.)

## ARTICLE 6. CONDITIONS OF DISCLOSURE

## § 1798.24. Personal information

No agency may disclose any personal information in a manner that would link the information disclosed to the individual to whom it pertains unless the disclosure of the information is:

- (a) To the individual to whom the information pertains.
- (b) With the prior written voluntary consent of the individual to whom the record pertains, but only if such consent has been obtained not more than 30 days before the disclosure, or in the time limit agreed to by the individual in the written consent.
- (c) To the duly appointed guardian or conservator of the individual or a person representing the individual provided that it can be proven with reasonable certainty through the possession of agency forms, documents or correspondence that such person is the authorized representative of the individual to whom the information pertains.
- (d) To those officers, employees, attorneys, agents, or volunteers of the agency which has custody of the information if the disclosure is relevant and necessary in the ordinary course of the performance of their official duties and is related to the purpose for which the information was acquired.
- (e) To a person, or to another agency where the transfer is necessary for the transferee agency to perform its constitutional or statutory duties, and the use is compatible with a purpose for which the information was collected and the use or transfer is listed in the notice provided pursuant to Section 1798.9 or accounted for in accordance with Section 1798.25. With respect to information transferred from a law enforcement or regulatory agency, or information transferred to another law enforcement or regulatory agency, a use is compatible if the use of the information requested is needed in an investigation of unlawful activity under the jurisdiction of the requesting agency or for licensing, certification, or regulatory purposes by that agency.
- (f) To a governmental entity when required by state or federal law.
- (g) Pursuant to the California Public Records Act, Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code.
- (h) To a person who has provided the agency with advance adequate written assurance that the information will be used solely for statistical research or reporting purposes, but only if the information to be disclosed is in a form that will not identify any individual.
- (i) Pursuant to a determination by the agency which maintains information that compelling circumstances exist which affect the health or safety of an individual, if upon the disclosure notification is transmitted to the individual to whom the information pertains at his or her last known address. Disclosure shall not be made if it is in conflict with other state or federal law.
- (j) To the State Archives of the State of California as a record which has sufficient historical or other value to warrant its continued preservation by the California state government, or for evaluation by the Director of General Services or his or her designee to determine whether the record has further administrative, legal, or fiscal value.
- (k) To any person pursuant to a subpoena, court order, or other compulsory legal process if, before the disclosure, the agency reasonably attempts to notify the individual to whom the record pertains, and if the notification is not prohibited by law.
- (l) To any person pursuant to a search warrant.
- (m) Pursuant to Article 3 (commencing with Section 1800) of Chapter 1 of Division 2 of the Vehicle Code.
- (n) For the sole purpose of verifying and paying government health care service claims made pursuant to Division 9 (commencing with Section 10000) of the Welfare and Institutions Code.
- (o) To a law enforcement or regulatory agency when required for an investigation of unlawful activity or for licensing, certification, or regulatory purposes, unless the disclosure is otherwise prohibited by law.
- (p) To another person or governmental organization to the extent necessary to obtain information from the person or governmental organization as necessary for an investigation by the agency of a failure to comply with a specific state law which the agency is responsible for enforcing.
- (q) To the Office of Information Practices when the transfer is necessary for that office to investigate a complaint it has received regarding an alleged violation \* \* \* of this chapter or to perform its mediation functions, provided that the Office of Information Practices has received the written voluntary consent of the individual to whom the information pertains for such a transfer.

(r) To an adopted person and is limited to general background information pertaining to the adopted person's natural parents, provided that the information does not include or reveal the identity of the natural parents.

(s) To a child or a grandchild of an adopted person and disclosure is limited to medically necessary information pertaining to the adopted person's natural parents. However the information, or the process for obtaining the information, shall not include or reveal the identity of the natural parents. The State Department of Social Services shall adopt regulations governing the release of information pursuant to this subdivision by July 1, 1985. The regulations shall require licensed adoption agencies to provide the same services provided by the department as established by this subdivision.

(t) To a committee of the Legislature or to a Member of the Legislature, or his or her staff when authorized in writing by the member, where such member has permission to obtain the information from the individual to whom it pertains or where the member provides reasonable assurance that he or she is acting in behalf of the individual.

(u) To the University of California or a nonprofit educational institution conducting scientific research, provided the request for information includes assurances of the need for personal information, procedures for protecting the confidentiality of the information and assurances that the personal identity of the subject shall not be further disclosed in individually identifiable form.

(v) To an insurer if authorized by Chapter 5 (commencing with Section 10900) of Division 4 of the Vehicle Code.

This article shall not be construed to require the disclosure of personal information to the individual to whom the information pertains when that information may otherwise be withheld as set forth in Section 1798.40.

(Amended by Stats.1985, c. 595, § 11; Stats.1987, c. 1453, § 2.)

# California Government Code

## Public Records Act

### § 6252. Definitions

As used in this chapter:

(a) "State agency" means every state office, officer, department, division, bureau, board, and commission or other state body or agency, except those agencies provided for in Article IV (except Section 20 thereof) or Article VI of the California Constitution.

(b) "Local agency" includes a county; city, whether general law or chartered; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; or other local public agency.

(c) "Person" includes any natural person, corporation, partnership, firm, or association.

(d) "Public records" includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. "Public records" in the custody of, or maintained by, the Governor's office means any writing prepared on or after January 6, 1975.

(e) "Writing" means handwriting, typewriting, printing, photostating, photographing, and every other means of recording upon any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, discs, drums, and other documents.

(f) "Member of the public" means any person, except a member, agent, officer, or employee of a federal, state, or local agency acting within the scope of his or her membership, agency, office, or employment.

(Amended by Stats.1981, c. 968, p. 3680, § 1.)

## GOVERNMENT CODE

### § 6254. Exemption of particular records

Except as provided in Section 6254.7, nothing in this chapter shall be construed to require disclosure of records that are any of the following:

(a) Preliminary drafts, notes, or interagency or intra-agency memoranda which are not retained by the public agency in the ordinary course of business, provided that the public interest in withholding those records clearly outweighs the public interest in disclosure.

(b) Records pertaining to pending litigation to which the public agency is a party, or to claims made pursuant to Division 3.6 (commencing with Section 810), until the pending litigation or claim has been finally adjudicated or otherwise settled.

(c) Personnel, medical, or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy.

(d) Contained in or related to:

(1) Applications filed with any state agency responsible for the regulation or supervision of the issuance of securities or of financial institutions, including, but not limited to, banks, savings and loan associations, industrial loan companies, credit unions, and insurance companies.

(2) Examination, operating, or condition reports prepared by, on behalf of, or for the use of, any state agency referred to in paragraph (1).

(3) Preliminary drafts, notes, or interagency or intra-agency communications prepared by, on behalf of, or for the use of, any state agency referred to in paragraph (1).

(4) Information received in confidence by any state agency referred to in paragraph (1).

(e) Geological and geophysical data, plant production data, and similar information relating to utility systems development, or market or crop reports, which are obtained in confidence from any person.

(f) Records of complaints to, or investigations conducted by, or records of intelligence information or security procedures of, the office of the Attorney General and the Department of Justice, and any state or local police agency, or any such investigatory or security files compiled by any other state or local police agency, or any such investigatory or security files compiled by any other state or local agency for correctional, law enforcement, or licensing purposes, except that state and local law enforcement agencies shall disclose the names and addresses of persons involved in, or witnesses other than confidential informants to, the incident, the description of any property involved, the date, time, and location of the incident, all diagrams, statements of the parties involved in the incident, the statements of all witnesses, other than confidential informants, to the victims of an incident, or an authorized representative thereof, an insurance carrier against which a claim has been or might be made, and any person suffering bodily injury or property damage or loss, as the result of the incident caused by arson, burglary, fire, explosion, larceny, robbery, vandalism, vehicle theft, or a crime as defined by subdivision (c) of Section 13960, unless the disclosure would endanger the safety of a witness or other person involved in the investigation, or unless disclosure would endanger the successful completion of the investigation or a related investigation. However, nothing in this division shall require the disclosure of that portion of those investigative files which reflect the analysis or conclusions of the investigating officer.

Other provisions of this subdivision notwithstanding, state and local law enforcement agencies shall make public the following information, except to the extent that disclosure of a particular item of information would endanger the safety of a person involved in an investigation or would endanger the successful completion of the investigation or a related investigation:

(1) The full name, current address, and occupation of every individual arrested by the agency, the individual's physical description including date of birth, color of eyes and hair, sex, height and weight, the time and date of arrest, the time and date of booking, the location of the arrest, the factual circumstances surrounding the arrest, the amount of bail set, the time and manner of release or the location where the individual is currently being held, and all charges the individual is being held upon, including any outstanding warrants from other jurisdictions and parole or probation holds.

(2) The time, substance, and location of all complaints or requests for assistance received by the agency and the time and nature of the response thereto, including, to the extent the information regarding crimes alleged or committed or any other incident investigated is recorded, the time, date and location of occurrence, the time and date of the report, the name, age and current address of the victim, except that the address of the victim of any crime defined by Section 261, 264, 264.1, 273a, 273d, 273.5, 286, 288, 288a, or 289 of the Penal Code shall not be disclosed, the factual circumstances surrounding the crime or incident, and a general description of any injuries, property, or weapons involved. The name of a victim of any crime defined by Section 261, 264, 264.1, 273a, 273d, 273.5, 286, 288, 288a, or 289 of the Penal Code may be withheld at the victim's request, or at the request of the victim's parent or guardian if the victim is a minor. When a person is the victim of more than one crime, information disclosing that the person is a victim of a crime defined by Section 261, 264, 264.1, 273a, 273d, 286, 288, 288a, or 289 of the Penal Code may be deleted at the request of the victim, or the victim's parent or guardian if the victim is a minor, in making the report of the crime, or of any crime or incident accompanying the crime, available to the public in compliance with the requirements of this paragraph.

(g) Test questions, scoring keys, and other examination data used to administer a licensing examination, examination for employment, or academic examination, except as provided for in Chapter 3 (commencing with Section 99150) of Part 65 of the Education Code.

(h) The contents of real estate appraisals or engineering or feasibility estimates and evaluations made for or by the state or local agency relative to the acquisition of property, or to prospective public supply and construction contracts, until all of the property has been acquired or all of the contract agreement obtained. However, the law of eminent domain shall not be affected by this provision.

(i) Information required from any taxpayer in connection with the collection of local taxes which is received in confidence and the disclosure of the information to other persons would result in unfair competitive disadvantage to the person supplying the information.

(j) Library circulation records kept for the purpose of identifying the borrower of items available in libraries, and library and museum materials made or acquired and presented solely for reference or exhibition purposes. The exemption in this subdivision shall not apply to records of fines imposed on the borrowers.

(k) Records the disclosure of which is exempted or prohibited pursuant to provisions of federal or state law, including, but not limited to, provisions of the Evidence Code relating to privilege.

(l) Correspondence of and to the Governor or employees of the Governor's office or in the custody of or maintained by the Governor's legal affairs secretary, provided that public records shall not be transferred to the custody of the Governor's legal affairs secretary to evade the disclosure provisions of this chapter.

(m) In the custody of or maintained by the Legislative Counsel.

(n) Statements of personal worth or personal financial data required by a licensing agency and filed by an applicant with the licensing agency to establish his or her personal qualification for the license, certificate, or permit applied for.

(o) Financial data contained in applications for financing under Division 27 (commencing with Section 44500) of the Health and Safety Code, where an authorized officer of the California Pollution Control Financing Authority determines that disclosure of the financial data would be competitively injurious to the applicant and the data is required in order to obtain guarantees from the United States Small Business Administration. The California Pollution Control Financing Authority shall adopt rules for review of individual requests for confidentiality under this section and for making available to the public those portions of an application which are subject to disclosure under this chapter.

(p) Records of state agencies related to activities governed by Chapter 10.3 (commencing with Section 3512) of Division 4 of Title 1, Chapter 10.5 (commencing with Section 3525) of Division 4 of Title 1, and Chapter 12 (commencing with Section 3560) of Division 4 of Title 1, which reveal a state agency's deliberative processes, impressions, evaluations, opinions, recommendations, meeting minutes, research, work products, theories, or strategy, or which provide instruction, advice, or training to employees who do not have full collective bargaining and representation rights under the above chapters. Nothing in this subdivision shall be construed to limit the disclosure duties of a state agency with respect to any other records relating to the activities governed by the employee relations acts referred to in this subdivision.

(q) Records of state agencies related to activities governed by Articles 2.6 (commencing with Section 14081), 2.8 (commencing with Section 14087.5), and 2.91 (commencing with Section 14089) of Chapter 7 of Part 3 of Division 9 of the Welfare and Institutions Code, which reveal the special negotiator's deliberative processes, discussions, communications, or any other portion of the negotiations with providers of health care services, impressions, opinions, recommendations, meeting minutes, research, work product, theories, or strategy, or which provide instruction, advice, or training to employees.

Except for the portion of a contract containing the rates of payment, contracts for inpatient services entered into pursuant to these articles, on or after April 1, 1984, shall be open to inspection one year after they are fully executed. In the event that a contract for inpatient services which is entered into prior to April 1, 1984, is amended on or after April 1, 1984, the amendment, except for any portion containing the rates of payment, shall be open to inspection one year after it is fully executed. If the California Medical Assistance Commission enters into contracts with health care providers for other than inpatient hospital services, those contracts shall be open to inspection one year after they are fully executed.

Three years after a contract or amendment is open to inspection under this subdivision, the portion of the contract or amendment containing the rates of payment shall be open to inspection.

Notwithstanding any other provision of law, the entire contract or amendment shall be open to inspection by the Joint Legislative Audit Committee. The Joint Legislative Audit Committee shall maintain the confidentiality of the contracts and amendments until such time as a contract or amendment is fully open to inspection by the public.

(r) Records of Native American graves, cemeteries, and sacred places maintained by the Native American Heritage Commission.

(s) A final accreditation report of the Joint Commission on Accreditation of Hospitals which has been transmitted to the State Department of Health Services pursuant to subdivision (b) of Section 1282 of the Health and Safety Code.

(t) Records of a local hospital district, formed pursuant to Division 23 (commencing with Section 32000) of the Health and Safety Code, which relate to any contract with an insurer or nonprofit hospital service plan for inpatient or outpatient services for alternative rates pursuant to Section 10133 or 11512 of the Insurance Code. However, the record shall be open to inspection within one year after the contract is fully executed.

(u) Information contained in applications for licenses to carry concealed weapons issued by the sheriff of a county or the chief or other head of a municipal police department which indicates when or where the applicant is vulnerable to attack or which concerns the applicant's medical or psychological history or that of members of his or her family.

Nothing in this section prevents any agency from opening its records concerning the administration of the agency to public inspection, unless disclosure is otherwise prohibited by law.

Nothing in this section prevents any health facility from disclosing to a certified bargaining agent relevant financing information pursuant to Section 8 of the National Labor Relations Act.

(Added by Stats.1981, c. 684, p. 2484, § 1.5, eff. Sept. 23, 1981, operative Jan. 1, 1982. Amended by Stats.1982, c. 83, p. 242, § 1, eff. March 1, 1982; Stats.1982, c. 1492, p. 5778, § 2; Stats.1982, c. 1594, p. 6299, § 2, eff. Sept. 30, 1982; Stats.1983, c. 200, § 1, eff. July 12, 1983; Stats.1983, c. 621, § 1; Stats.1983, c. 955, § 1; Stats.1983, c. 1315, § 1; Stats.1984, c. 1516, § 1, eff. Sept. 28, 1984; Stats.1985, c. 103, § 1; Stats.1985, c. 1218, § 1; Stats.1986, c. 185, § 2; Stats. 1987, c. 634, § 1, eff. Sept. 14, 1987; Stats.1987, c. 635, § 1; Stats.1988, c. 870, § 1; Stats.1988, c. 1371, § 2; Stats.1989, c. 191, § 1.)

# California Evidence Code

## Privileges

### Article 11

#### TRADE SECRET

##### Section

1060. Privilege to protect trade secret.

##### Library References

Privileges: tentative recommendation and study relating to the Uniform Rules of Evidence. Cal. Law Revision Comm. (1964) Vol. 6, p. 207 et seq.

**§ 1060.** Privilege to protect trade secret. If he or his agent or employee claims the privilege, the owner of a trade secret has a privilege to refuse to disclose the secret, and to prevent another from disclosing it, if the allowance of the privilege will not tend to conceal fraud or otherwise work injustice. (Stats.1965, c. 299, § 1060.)

Additions in text are indicated by underline; deletions by asterisks \* \* \*

# Office of Competitive Technology Project Descriptions

## Abalone Growers' Consortium

Project Manager: Dr. Peter Scrivani  
Institution: Abalone Consortium of the  
West, Santa Cruz  
Participating Companies: N/A  
Corporate Funding: N/A  
CompTech Match: \$50,000  
Fiscal Year Funded: 89/90B

This consortium will fund research to enhance the competitive advantage of California growers to compete in national and international markets.

## Adaptive Digital Storage Channel

Project Manager: Dr. John M. Cioffi  
Institution: Stanford  
Participating Companies: IBM, San Jose; DEC,  
Santa Clara  
Corporate Funding: \$205,446  
CompTech Match: \$457,800  
Fiscal Year Funded: 88/89

A new method of storing more information on magnetic computer discs will be developed, resulting in lower production costs and improved reliability.<sup>3</sup>

## Advanced Process Equipment

Project Manager: Dr. John Bowers  
Institution: University of California,  
Santa Barbara  
Participating Companies: Sputtered Films, Santa  
Barbara  
Corporate Funding: \$245,000  
CompTech Match: \$295,400  
Fiscal Year Funded: 88/89

The project will develop process equipment for the manufacture of a new generation of electronic devices used in the manufacture of semiconductors and other thin film electronic devices.<sup>1</sup>

## Agrochemical-Free Rice Production

Project Manager: Dr. Raymond L. Rodriguez  
Institution: University of California,  
Davis  
Participating Companies: PureHarvest Corp., Napa  
Corporate Funding: \$117,502  
CompTech Match: \$198,900  
Fiscal Year Funded: 88/89

This project will integrate rice physiology, breeding, and genetics, with new processes for rice farming that will lower production costs and reduce herbicide and pesticide use. The project also uses biotechnology to produce strains of rice suitable to the new rice farming methods.<sup>3</sup>

## Application of Virtual Environmental Workstation (VIEW)

Project Manager: Dr. Michael Shafto  
Institution: NASA Ames  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$50,000  
Fiscal Year Funded: 88/89

Software to increase applications of the VIEW display will be developed. Areas of additional application include medicine and education.<sup>N/A</sup>

## Applied Technology Institute for Microtechnology and Systems

Project Manager: Dr. Jay D. Pinson  
Institution: California State  
University, San Jose  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$50,000  
Fiscal Year Funded: 89/90A

A microelectronics institute will be established to improve the competitiveness of California's electronics industry. A partnership of industry, government, and academia, the institute will develop a workforce familiar with the most modern equipment and manufacturing processes in the electronics industry.<sup>2</sup>

# Office of Competitive Technology Project Descriptions

## Assay for Breast Cancer

Project Manager: Dr. Adeline J. Hackett  
Institution: Peralta Cancer Research Institute, Oakland  
Participating Companies: Aeron Biotechnology, Oakland  
Corporate Funding: \$116,940  
CompTech Match: \$106,900  
Fiscal Year Funded: 89/90A

The project will develop a breast cancer assay enabling physicians to select treatment that has direct action on individual breast tumors.<sup>4</sup>

## Biotechnology Research Consortium

Project Manager: Dr. Robert Sobol  
Institution: Foundation for Biotechnology Research  
Participating Companies: Asset Management Company, Palo Alto; Kleiner, Perkins, Caufield and Byers, San Francisco  
Corporate Funding: \$100,000  
CompTech Match: \$103,400  
Fiscal Year Funded: 88/89

The consortium will fund biomedical research applicable to commercial ventures either through the formation of new companies or through licensing agreements with existing companies.<sup>4</sup>

## Bit-Serial Chip for Parallel Processors

Project Manager: Dr. Walter H. Ku  
Institution: University of California, San Diego  
Participating Companies: TRW LSI Products Inc., La Jolla  
Corporate Funding: \$125,000  
CompTech Match: \$250,000  
Fiscal Year Funded: 90/91A

The next generation of digital signal processor chips that utilize parallel processing technology will be commercialized. These chips will be used in high speed communication systems and HDTV applications.<sup>1</sup>

## California Advanced Driver Information System

Project Manager: Mr. Patrick Conroy  
Institution: CalTrans  
Participating Companies: Hughes Aircraft Co., Los Angeles  
Corporate Funding: \$175,000  
CompTech Match: \$174,478  
Fiscal Year Funded: 89/90A

Human factors and technical issues will be addressed for an in-vehicle system that provides current traffic information to drivers, allowing them to select the quickest route to a destination. The system will help alleviate traffic congestion, fuel waste, vehicle emissions and time loss.<sup>3</sup>

## CO2 Waveguide Laser

Project Manager: Dr. William B. Bridges  
Institution: California Institute of Technology  
Participating Companies: Hughes Aircraft Co., El Segundo  
Corporate Funding: \$30,000  
CompTech Match: \$60,000  
Fiscal Year Funded: 90/91A

By using a microwave-oven power source, a significant reduction in cost and improvement in performance of CO2 lasers will be demonstrated. In addition to military applications, this rugged, novel laser system will give rise to a variety of commercial applications.<sup>5</sup>

## Cathodoluminescent Flat Panel Display

Project Manager: Dr. Charles A. Spindt  
Institution: SRI International  
Participating Companies: Coloray, Inc., Fremont  
Corporate Funding: \$350,075; \$949,000  
CompTech Match: \$194,900; \$261,000  
Fiscal Year Funded: 88/89; 90/91A

Technology developed for the emission of electrons from microcathodes will be applied to a new flat panel display device. This thin, full-color, display will be used in products such as laptop computers, portable instruments, and, eventually, large TV screens.<sup>3</sup>

# Office of Competitive Technology Project Descriptions

## Clinical Tissue Oximeter

Project Manager: Dr. Thomas K. Hunt  
Institution: University of California,  
San Francisco  
Participating Companies: Baxter Healthcare Co.,  
Santa Ana  
Corporate Funding: \$225,000  
CompTech Match: \$87,356  
Fiscal Year Funded: 89/90B

An oximeter that measures oxygen tension and estimates blood flow and arterial oxygen tension will be developed for use in surgical wards and intensive care units. This instrument will aid prevention and treatment of infections.<sup>2</sup>

## *Clostridium Difficile* Diagnosis

Project Manager: Dr. Joseph Silva  
Institution: University of California, Davis,  
Med.  
Participating Companies: Roche Diagnostic Sys.,  
Alameda  
Corporate Funding: \$20,000  
CompTech Match: \$60,000  
Fiscal Year Funded: 89/90B

To avoid incorrect diagnosis and treatment of hospital acquired diarrhea and colitis, polymerase chain reaction (PCR) technology will be used to develop a more accurate diagnosis of *Clostridium Difficile*, the bacterium that causes the illnesses.<sup>2</sup>

## Colorectal Cancer Diagnosis System

Project Manager: Dr. Eric J. Stanbridge  
Institution: University of California,  
Irvine, Med.  
Participating Companies: Triton Biosciences, Irvine  
Corporate Funding: \$187,978  
CompTech Match: \$375,900  
Fiscal Year Funded: 89/90B

The recent discovery of two tumor suppressor genes will lead to improved diagnostic and drug screening devices. *In vitro* diagnostic kits will be developed to more accurately predict prognosis for colon cancer, and an immunoassay kit will be developed to monitor for recurrence.<sup>5</sup>

## Commercialization of IL-2

Project Manager: Dr. Frederick J. Meyers  
Institution: University of California,  
Davis, Med.  
Participating Companies: Cetus Corp., Emeryville  
Corporate Funding: \$260,000  
CompTech Match: \$260,000  
Fiscal Year Funded: 90/91A

Gene expression of selected genes from patients with renal cell carcinoma who respond to IL-2 therapy will be compared to those who do not respond. If successful, these genetic markers can be used to select for treatment only those patients likely to benefit from IL-2 therapy.<sup>4</sup>

## Computer Architecture Compiler

Project Manager: Dr. Alvin M. Despain  
Institution: University of Southern  
California  
Participating Companies: ESL, A Subsidiary of TRW,  
Sunnyvale  
Corporate Funding: \$20,000  
CompTech Match: \$95,300  
Fiscal Year Funded: 88/89

A microprocessor design automation system will be adapted to automatically produce simple, single-chip microprocessors.<sup>3</sup>

## Computer-Mediated Stereotaxic Radiosurgery

Project Manager: Dr. John R. Adler  
Institution: Stanford Med.  
Participating Companies: Schonberg Radiation, Inc.,  
Santa Clara  
Corporate Funding: \$34,985  
CompTech Match: \$69,970  
Fiscal Year Funded: 89/90A

Current radiosurgery requires an external frame attachment for a patient's head. Advances in machine stereo-vision will be applied to eliminate the headframe, allowing treatment of previously inaccessible or difficult to access brain tumors.<sup>5</sup>

# Office of Competitive Technology Project Descriptions

## Construction Technology Consortium

Project Manager: Mr. Jim Scott  
Institution: Western Council of  
Construction Consumers  
Participating Companies: Pacific Gas & Electric,  
San Francisco; Bechtel, San  
Francisco; Chevron, San  
Francisco; U.S Postal Service;  
So Cal Gas, Los Angeles  
Corporate Funding: \$215,400  
CompTech Match: \$233,800  
Fiscal Year Funded: 89/90B:

This consortium will link engineering research with California's architecture-engineering-construction (AEC) industry to transfer technology vital to the international competitiveness of this diverse industry.<sup>5</sup>

## Corneal Healing after Excimer Laser Surgery

Project Manager: Dr. Richard H. Keates  
Institution: University of California, Irvine,  
Med.  
Participating Companies: Chiron Ophthalmics, Irvine  
Corporate Funding: \$115,174  
CompTech Match: \$330,200  
Fiscal Year Funded: 90/91A

Several wound healing agents will be tested for efficacy following excimer laser treatment. With proper wound healing, excimer laser treatment may replace glasses and contact lenses for vision correction.<sup>4</sup>

## Development of a Far Infrared Free-electron Laser

Project Manager: Dr. Richard H. Pantell  
Institution: Stanford  
Participating Companies: Varian Associates, Palo Alto  
Corporate Funding: \$100,000  
CompTech Match: \$100,000  
Fiscal Year Funded: 89/90A

Development of a far infrared free-electron laser will allow for wavelength emissions with far narrower bandwidth in the far infrared region. The technology could be applied to space radar and communications; atmospheric, climatic, and pollution monitoring; and biotechnology, in the production processing of new proteins.<sup>4</sup>

## Earthquake Engineering Consortium

Project Manager: Dr. I.M. Idriss  
Institution: CUREe  
Participating Companies: Kajima Eng. & Const.,  
Los Angeles  
Corporate Funding: \$20,000  
CompTech Match: \$89,620  
Fiscal Year Funded: 89/90A

The project will create a consortium, "California Universities for Research in Earthquake Engineering," to cooperatively fund earthquake engineering projects aimed at meeting seismic safety goals. The consortium will share its technology with the California engineering and construction communities.<sup>3</sup>

## Echo Planar Magnetic Resonance Imaging (MRI)

Project Manager: Dr. Alexander Margulis  
Institution: University of California,  
San Francisco  
Participating Companies: Salutar Inc., Sunnyvale  
Corporate Funding: \$150,000  
CompTech Match: \$150,000  
Fiscal Year Funded: 89/90B

Reduced blood flow to tissues causes strokes and ischemic heart disease; yet measuring blood flow is difficult and costly. Newly developed echo planar MRI techniques, combined with new contrast agents, can now quantify blood flow safely in seconds. This project will provide data necessary for standardization and commercialization.<sup>4</sup>

## Encapsulation of Industrial Waste Metals

Project Manager: Mr. Andrew Paterson  
Institution: RIMTech/Jet Propulsion  
Laboratory  
Participating Companies: Metanetix, Camarillo  
Corporate Funding: \$49,000  
CompTech Match: \$36,500  
Fiscal Year Funded: 88/89

A process for encasing toxic metals in glass will be tested and developed to prevent the leaching of these toxic metals by ground water. The new process should assist California companies to meet government regulatory standards by efficiently and safely disposing of toxic metal wastes.<sup>2</sup>

# Office of Competitive Technology Project Descriptions

## Enhancing Growth in Red Abalone

Project Manager: Dr. Lynna Hereford  
Institution: Stanford  
Participating Companies: Pacific Mariculture, Inc.,  
Santa Cruz  
Corporate Funding: \$257,199  
CompTech Match: \$278,883  
Fiscal Year Funded: 89/90B

Biochemical and genetic engineering technologies will be used to accelerate growth in red abalone. These techniques should reduce growing time, giving the California abalone industry competitive advantage.<sup>4</sup>

## Environmentally Safe Pressurized Aerosol

Project Manager: Mr. Robert M. Platz  
Institution: SRI International  
Participating Companies: Alipresus Inc., Santa Ana  
Corporate Funding: \$88,207  
CompTech Match: \$176,400  
Fiscal Year Funded: 90/91A

Selected materials will be tested in order to meet specifications for the use of a new continuous flow, propellant-less dispensing system in a wide range of personal, household, food, and industrial products.<sup>3</sup>

## Exercise Simulation Testing

Project Manager: Dr. Charles Dennis  
Institution: Scripps Clinical Research  
Foundation  
Participating Companies: Gensia Pharm. Inc., San Diego  
Corporate Funding: \$37,353  
CompTech Match: \$81,260  
Fiscal Year Funded: 89/90B

A chemical exercise simulating agent will be tested against standard stress tests for diagnosing coronary artery disease. If successful, this agent will become available for patients who cannot be tested with standard exercise tests.<sup>2</sup>

## Exploitation of Gene Expression Systems

Project Manager: Dr. Abdul Matin  
Institution: Stanford  
Participating Companies: Genentech, San Francisco  
Corporate Funding: \$10,000  
CompTech Match: \$41,400  
Fiscal Year Funded: 88/89

This project will develop bacteria cells that can survive for long periods of time in high stress situations. It should then be possible to channel the cell's metabolism toward more efficient production of medical products.<sup>2</sup>

## Fabrication of Superconductor Microbridges

Project Manager: Dr. Pierre F. Maldague  
Institution: NASA/Jet Propulsion  
Laboratory  
Participating Companies: Biomagnetic Tech., Inc.,  
San Diego  
Corporate Funding: \$100,000  
CompTech Match: \$161,900  
Fiscal Year Funded: 89/90A

The project will develop materials technology and device processing techniques for fabricating high temperature superconductor microbridges for use in magnetic brain scanning, high speed electronics, and infrared image processing.<sup>1</sup>

## Fault Tolerant Auto Engine Sensors

Project Manager: Mr. Andrew Paterson  
Institution: RIMTech/Jet Propulsion  
Laboratory  
Participating Companies: Kavlico, Moorpark  
Corporate Funding: \$550,000  
CompTech Match: \$133,700  
Fiscal Year Funded: 88/89

The project will address development of a low-cost air mass flow device for automobile engines. The device should improve engine efficiency and mileage, and reduce engine emissions.<sup>2</sup>

# Office of Competitive Technology Project Descriptions

## Fiber Optics Monitoring System

Project Manager: Dr. Keith Wanser  
Institution: California State University, Fullerton  
Participating Companies: G2R Systems Corp.  
Corporate Funding: \$58,127  
CompTech Match: \$53,191  
Fiscal Year Funded: 89/90B

This project will develop and test fiber optic sensors to monitor the structural integrity of nuclear power plants, aircraft components, bridges, dams, and buildings. Signals transmitted through optical fibers are measured to assess the impact of strain and temperature changes.<sup>5</sup>

## Fungal Root Disease Diagnosis

Project Manager: Dr. James D. MacDonald  
Institution: University of California, Davis  
Participating Companies: DNA Plant Tech. Corp., Oakland  
Corporate Funding: \$95,100  
CompTech Match: \$79,200  
Fiscal Year Funded: 89/90A

Monoclonal antibody-based test kits to detect and diagnose root disease in California nursery stocks will be developed and tested. In the past, difficult detection and diagnosis of root diseases in stocks has led to over treatment with costly, environmentally harsh fungicides.<sup>5</sup>

## Genetic Improvement of Lettuce

Project Manager: Dr. Richard W. Michelmore  
Institution: University of California, Davis  
Participating Companies: CA Iceberg Lettuce Growers Board, Salinas  
Corporate Funding: \$300,000  
CompTech Match: \$300,000  
Fiscal Year Funded: 89/90B

Molecular techniques will be used to introduce disease resistance in lettuce. Enhanced disease resistance will require less reliance on chemicals.<sup>4</sup>

## High Stability Silicas for Biotechnology Applications

Project Manager: Dr. Joseph Pesek  
Institution: California State University, San Jose  
Participating Companies: Separations Grp., Inc., Hesperia  
Corporate Funding: \$15,000  
CompTech Match: \$48,000  
Fiscal Year Funded: 89/90B

To optimize existing processes, this project will develop new separation materials for high performance liquid chromatography and other separation techniques. This should result in improved stability and separation properties for analytical methods used in biotechnology.<sup>2</sup>

## Improved Computer Aided Design (CAD) For Semiconductor Devices

Project Manager: Dr. Robert W. Dutton  
Institution: Stanford  
Participating Companies: N/A\*  
Corporate Funding: \$578,000  
CompTech Match: \$689,700  
Fiscal Year Funded: 89/90B

Using new simulation capabilities, including 3-D modelling, this project will help engineers to more efficiently design manufacturable integrated circuits.<sup>1</sup>

## Improved Gene Transfer Technologies

Project Manager: Dr. Suzanne B. Sandmeyer  
Institution: University of California, Irvine  
Participating Companies: Enterprise Partners, Newport Beach  
Corporate Funding: \$69,680  
CompTech Match: \$144,900  
Fiscal Year Funded: 89/90B

Newly discovered properties in yeast will lead to the use of recombinant DNA techniques to improve the introduction and expression of genes in biotechnology products.<sup>4</sup>

# Office of Competitive Technology Project Descriptions

## Improved Glass Deposition

Project Manager: Dr. H. Edward O'Neal  
Institution: California State University,  
San Diego  
Participating Companies: J.C. Schumacher, Carlsbad  
Corporate Funding: \$62,987  
CompTech Match: \$124,800  
Fiscal Year Funded: 89/90B

The microelectronics industry will benefit from improved methods of depositing thin glass layers. This project will use process modification or alternative chemical precursors to reduce temperatures to below the softening point for aluminum.<sup>1</sup>

## Improved Process for Integrated Circuit Manufacturing

Project Manager: Dr. Michael A. Lieberman  
Institution: University of California, Berkeley,  
Participating Companies: Applied Materials, Inc. Santa Clara  
Corporate Funding: \$85,000  
CompTech Match: \$140,000  
Fiscal Year Funded: 89/90B

This project will improve the manufacturing process of integrated circuits (ICs) through a more efficient method for ion implantation of dopants.<sup>1</sup>

## Improved Production of Heavy Oil Wells

Project Manager: Dr. George A. Cooper  
Institution: University of California, Berkeley  
Participating Companies: S-CAL Research Corp., San Rafael  
Corporate Funding: \$22,853  
CompTech Match: \$44,400  
Fiscal Year Funded: 89/90A

The project will provide a new tool for the economical recovery of heavy oil from California's oil fields by developing a downhole valve that simultaneously drives steam injection in one direction and recovers oil from another direction.<sup>5</sup>

## Improving the Specificity of a Natural Insecticide

Project Manager: Dr. Robert M. Stroud  
Institution: University of California, San Francisco  
Participating Companies: Sandoz, Palo Alto  
Corporate Funding: \$69,800; \$406,300  
CompTech Match: \$232,600; \$540,000  
Fiscal Year Funded: 88/89; 90/91A

Insects build resistance to natural insecticides more slowly than to man-made ones. This project, through protein engineering, is intended to improve a natural insecticide that is harmless to humans and other mammals (project renewal).<sup>2</sup>

## Industry Network with CSU System

Project Manager: Dr. Robert Schlesinger  
Institution: California State University, San Diego  
Participating Companies: N/A\*  
Corporate Funding: \$50,000  
CompTech Match: \$114,400  
Fiscal Year Funded: 89/90A

A statewide CSU faculty/industry computer network will be created allowing state universities to rapidly assist corporations with problems in the areas of business, science, and engineering. In the past, many corporations have avoided working with universities to solve problems because of time constraints. The new system will provide industry with access to academic expertise in a timely manner.<sup>3</sup>

## In-Situ Particle Monitor

Project Manager: Dr. K.S. Sree Harsha  
Institution: California State University, San Jose  
Participating Companies: High Yield Technology, Sunnyvale  
Corporate Funding: \$71,250  
CompTech Match: \$71,000  
Fiscal Year Funded: 90/91A

A sensor will be developed to detect contamination in magnetic disk drives during the manufacturing process, thereby producing higher quality drives at a small additional expense. The monitor can also be used to provide warning of impending disk failure.<sup>2</sup>

1/28/90

# Office of Competitive Technology Project Descriptions

## Intelligent Simulation of Manufacturing Plants

Project Manager: Mr. Dale Hartman  
Institution: IMAR  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$204,400  
Fiscal Year Funded: 88/89

The project is designed to develop the methodology and computer software to model and simulate manufacturing plants.<sup>2</sup>

## Konoscope Reconstructor

Project Manager: Dr. Harry E. Martz, Jr.  
Institution: Lawrence Livermore  
National Laboratory  
Participating Companies: ARACOR, Sunnyvale  
Corporate Funding: \$124,415  
CompTech Match: \$407,100  
Fiscal Year Funded: 88/89

This project furthers work on an x-ray inspection system that can be used to help maintain quality control in manufacturing processes, and make possible medical imaging at lower radiation levels.<sup>2</sup>

## Light Sources for Liquid Chromatography

Project Manager: Dr. Tetsuo Hadeishi  
Institution: Lawrence Berkeley  
Laboratory  
Participating Companies: Glass Instruments, Inc.,  
Pasadena  
Corporate Funding: \$51,167  
CompTech Match: \$169,100  
Fiscal Year Funded: 88/89

Chromatographic and atomic absorption analyses involve the use of high intensity, high stability lamps that shine light through a column in order to identify components of substances used in chemical, medical and biotechnical testing. This project will fund development of a lamp capable of identifying components current lamps cannot identify.<sup>2</sup>

## Living Dermal Replacement for Severe Burns

Project Manager: Dr. John F. Hansbrough  
Institution: University of California,  
San Diego, Med.  
Participating Companies: Marrow-Tech, Inc., La Jolla  
Corporate Funding: \$373,295  
CompTech Match: \$373,200  
Fiscal Year Funded: 90/91A

Treatment of patients with extensive burn injuries often requires skin grafts. These grafts usually result in wounds of poor functional and cosmetic quality. This project will test a living dermal replacement for its ability to reduce scarring and increase functional ability after healing.<sup>3</sup>

## Manufacture of Bulk High Temperature Superconductors

Project Manager: Dr. Robert N. Shelton  
Institution: University of California,  
Davis  
Participating Companies: Ceracon Inc., Sacramento  
Corporate Funding: \$218,400  
CompTech Match: \$124,000  
Fiscal Year Funded: 89/90A

The project will scale up the laboratory process for economically manufacturing three high-temperature superconductor products used in electronics, telecommunications, and frictionless motors. As a result, California will have an early lead in the developing superconductor market.<sup>5</sup>

## Manufacturing Underground Space

Project Manager: Dr. Michael Hood  
Institution: University of California,  
Berkeley  
Participating Companies: Mining & Construction  
Tech. Inc., Walnut Creek  
Corporate Funding: \$162,000  
CompTech Match: \$323,000  
Fiscal Year Funded: 89/90A

A prototype of a new cutting system for mine and tunnel excavation will be designed and built. Based on water-jet assisted cutting, up to a third cost savings can be achieved by substantially higher rates of rock excavation and increases in the life of the cutting tool. The system also will increase the safety of mining operations by reducing frictional sparking.<sup>2</sup>

1/28/90

## Office of Competitive Technology Project Descriptions

### Microwave Vacuum Technology (MIVAC) for Food Products

Project Manager: Mr. Carter Clary  
 Institution: California State University, Fresno  
 Participating Companies: Basic Vegetable Products, King City  
 Corporate Funding: \$1,762,800  
 CompTech Match: \$534,000  
 Fiscal Year Funded: 89/90B

A MIVAC drying system will be engineered for commercial applications. The system will be used to produce dried fruits and vegetables with longer shelf life that retain their nutritive value without preservatives or additives.<sup>2</sup>

### Modification of Seed Oil Composition by Genetic Engineering

Project Manager: Dr. Stuart Smith  
 Institution: Children's Hospital, Oakland  
 Participating Companies: Calgene, Davis  
 Corporate Funding: \$397,800  
 CompTech Match: \$303,500  
 Fiscal Year Funded: 88/89

Gene manipulation techniques will be applied to develop domestic plants that produce oils with properties similar to oils produced by tropical plants. The results should decrease dependence on imported oil and provide a profitable alternative to winter wheat.<sup>4</sup>

### Monitoring the Maturity of Sturgeon Females

Project Manager: Dr. Roger E. Garrett  
 Institution: University of California, Davis  
 Participating Companies: Zanker Bros., La Grange; Sierra Aquafarms, Elverta; Arrowhead Fisheries, Inc., Gerber; The Fishery, Inc., Galt  
 Corporate Funding: \$26,450  
 CompTech Match: \$52,900  
 Fiscal Year Funded: 89/90B

To help establish a viable sturgeon industry in California, this project will develop techniques for identifying early signs of sexual maturity in female sturgeons, so commercial broodstock can be developed.<sup>4</sup>

### Multivesicular Liposomes for Drug Delivery

Project Manager: Dr. Sinil Kim  
 Institution: University of California, San Diego, Med.  
 Participating Companies: Depotech, Inc., La Jolla  
 Corporate Funding: \$60,000  
 CompTech Match: \$179,500  
 Fiscal Year Funded: 88/89

The effectiveness of using MVLs to maintain patients' therapeutic drug levels for longer periods of time will be tested. If successful, MVLs will release medication slowly over days or weeks without painful repeated injections or continuous infusions.<sup>4</sup>

### New Materials through Sol-Gel Processing

Project Manager: Dr. Carl E. Frahme  
 Institution: National Advanced Ceramic Research, Assoc., Torrance  
 Participating Companies: N/A\*  
 Corporate Funding: \$200,000  
 CompTech Match: \$125,000  
 Fiscal Year Funded: 90/91A

A sol-gel process will be tested to create a new class of silicon oxycarbide ceramic materials. Applications include composite materials for ceramic components, wear resistant coatings for machine parts, and refractory fibers for strong, lightweight insulating materials.<sup>2</sup>

### New Process for Recycling Pollutant Concentrators

Project Manager: Dr. Daniel P. Y. Chang  
 Institution: University of California, Davis  
 Participating Companies: Calvert Environment, San Diego  
 Corporate Funding: TBA\*  
 CompTech Match: \$108,960  
 Fiscal Year Funded: 89/90B

Microwave energy will be applied to regenerate adsorbent beds used as pollutant concentrators in air pollution control systems. The goal is lower energy consumption and shorter regenerating cycle time leading to reduced costs and greater efficiency.<sup>1</sup>

# Office of Competitive Technology Project Descriptions

## New Technology for Diamond Film Production

Project Manager: Dr. Michael Kelly  
Institution: Stanford  
Participating Companies: Crystallume Corp., Menlo Park  
Corporate Funding: \$793,000  
CompTech Match: \$877,000  
Fiscal Year Funded: 89/90B

New low temperature techniques to deposit diamond films will be explored. Commercial applications include new low wear tool coatings, bearings, cooking utensils, heat sinks for semiconducting devices, and diamond semiconductors.<sup>1</sup>

## Novel Molecular Self-Assembly System

Project Manager: Dr. Mark Bednarski  
Institution: University of California, Berkeley  
Participating Companies: Biocircuits Corp., Burlingame  
Corporate Funding: \$305,386  
CompTech Match: \$224,000  
Fiscal Year Funded: 89/90A

The project will develop self-assembled molecular films for commercial production. The films will provide a simple, cost-effective method for detecting a variety of diseases, including urinary tract infections and sexually transmitted diseases.<sup>1</sup>

## Optimal Design of Experiments in Manufacturing

Project Manager: Dr. Burton Dean  
Institution: California State University, San Jose  
Participating Companies: IBM, San Jose; Lockheed, Sunnyvale; Varian, Palo Alto  
Corporate Funding: \$179,500  
CompTech Match: \$259,200  
Fiscal Year Funded: 88/89

The research will: (1) develop and provide software design tools to ensure quality of manufacturing through quality of design, and (2) analyze problems that occur in the interface between engineering and manufacturing functions.<sup>2</sup>

## Pacific Rim Study

Project Manager: Dr. Kent Meyer  
Institution: California State University, Sacramento  
Participating Companies: AustPress International, Oakland, San Rafael; Apple Computer, Inc., Cupertino  
Corporate Funding: \$14,491  
CompTech Match: \$25,000  
Fiscal Year Funded: 88/89

Activity is supported to enhance a computerized Pacific Rim information network to catalogue Pacific Rim related commercial and research activities and to disseminate information about these activities to business and public policy makers.<sup>N/A</sup>

## Photoelastic Stress Analysis In-Situ

Project Manager: Dr. Gerardo Beni  
Institution:  
Participating Companies:  
Corporate Funding: \$  
CompTech Match: \$  
Fiscal Year Funded: 89/90A

1

## Predictive Control Software

Project Manager: Dr. Manfred Morari  
Institution: California Institute of Technology  
Participating Companies: Profimatics Inc., Thousand Oaks  
Corporate Funding: \$14,346  
CompTech Match: \$28,683  
Fiscal Year Funded: 89/90A

The project will develop chemical process control computer software to decrease production costs, improve quality, and reduce emissions without large capital investments. The software will be modified for specific industrial applications and sold to chemical firms.<sup>1</sup>

# Office of Competitive Technology Project Descriptions

## Rapid Diagnostic Test for Amebiasis

Project Manager: Dr. Sharon Reed  
Institution: University of California, San Diego  
Participating Companies: Specialty Laboratories, Inc., Santa Monica  
Corporate Funding: \$66,000  
CompTech Match: \$175,000  
Fiscal Year Funded: 88/89

Amebiasis (amoebic dysentery) is a contagious, sometimes fatal disease that is difficult to diagnose. People can have the fatal or debilitating form but may not have overt symptoms. This project will develop an inexpensive test to differentiate pathogenic (disease causing) from non-pathogenic strains.<sup>4</sup>

## Reduction of Polluting and Ozone Depleting Substances Consortium

Project Manager: Dr. Kathleen Wolf  
Institution: Institute for Research and Technical Assistance  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$50,900  
Fiscal Year Funded: 90/91A

A number of chlorinated solvents and ozone depleting substances are used by a wide range of firms in California. Most of these substances are heavily taxed by regulators and some will be banned. This consortium will combine producers, users, industry group associations and regulators to provide technology assistance to environmentally targeted firms.<sup>5</sup>

## Selective Tungsten Metalization

Project Manager: Dr. Peter S. Gwozdz  
Institution: California State University, San Jose  
Participating Companies: Plaser Corp., Sunnyvale  
Corporate Funding: \$76,000  
CompTech Match: \$131,600  
Fiscal Year Funded: 89/90A

This project will characterize, develop, and test molecular beam tungsten deposition, a selective metalization process. This process should improve the manufacture of submicron integrated circuits.<sup>5</sup>

## Selenium Removal from Agricultural Water

Project Manager: Mr. William Camp  
Institution: Firebaugh Canal Water District  
Participating Companies: Santina Water Company, Concord  
Corporate Funding: \$77,900  
CompTech Match: \$127,100  
Fiscal Year Funded: 90/91A

Selenium contamination of ground water is a serious problem for farmers in the Central Valley. A new process for eliminating selenium and other contaminants from ground water which also uses cogeneration technology will be tested and scaled up for pilot plant introduction.<sup>4</sup>

## Sensors for Electronic Musical Instruments

Project Manager: Dr. David L. Wessel  
Institution: University of California, Berkeley  
Participating Companies: Zeta Music Systems Inc., Oakland  
Corporate Funding: \$100,000  
CompTech Match: \$200,000  
Fiscal Year Funded: 90/91

A standardized computer interface for musical instruments used in sound synthesis and interaction with computer systems will be developed. The processor will lead to marketable electro-acoustic instruments in the string, woodwind, and brass families. <sup>2</sup>

## Silicon Neural Networks

Project Manager: Dr. Carver A. Mead  
Institution: California Institute of Technology  
Participating Companies: Synaptics, Inc., San Jose  
Corporate Funding: \$70,000; \$250,800  
CompTech Match: \$285,600; \$400,000  
Fiscal Year Funded: 88/89; 90/91A

The industrial grade, adaptive silicon retina developed in this project, when fitted with a lens, will have robotic and artificial intelligence applications, aid in pattern recognition, and improve manufacturing and quality control (project renewal).<sup>1</sup>

# Office of Competitive Technology Project Descriptions

## Spectroscopic Statistical Image Analysis Software

Project Manager: Dr. Michael F. Hochella  
Institution: Stanford  
Participating Companies: Kevox Instruments,  
San Carlos  
Corporate Funding: \$32,419  
CompTech Match: \$64,838  
Fiscal Year Funded: 89/90B

A new software package for personal computers will result from this project. The software package combines energy dispersive x-ray spectroscopy (EDS) with new statistical methods in order to extract information from images.<sup>2</sup>

## Stable Plasmid Systems for Biodegradable Biopesticides

Project Manager: Dr. Donald R. Helinski  
Institution: University of California,  
San Diego  
Participating Companies: Mycogen Corp., San Diego  
Corporate Funding: \$86,013  
CompTech Match: \$160,800  
Fiscal Year Funded: 89/90B

Using molecular techniques, unique properties will be introduced into commercial bacteria, preventing loss of plasmids during large-scale fermentation. If successful, the manufacturing cost of biopesticide products could be reduced.<sup>4</sup>

## Statistical Circuit Design Characterization

Project Manager: Dr. Costas J. Spanos  
Institution: University of California,  
Berkeley  
Participating Companies: Atmel Corp., San Jose  
Corporate Funding: \$7,500; \$27,000  
CompTech Match: \$31,800; \$27,000  
Fiscal Year Funded: 88/89 & 90/91A

A testing methodology for the design of circuitry will result in better design and production of high speed computer memory devices (project renewal).<sup>4</sup>

## SQUID Development from HTSC's

Project Manager: Dr. John Clarke  
Institution: Lawrence Berkeley  
Laboratory  
Participating Companies: Conductus, Inc.,  
Sunnyvale  
Corporate Funding: \$296,500; \$644,588  
CompTech Match: \$483,200; \$373,000  
Fiscal Year Funded: 88/89; 90/91A

Superconducting Quantum Interference Devices (SQUIDS) are the world's most sensitive detectors of changes in magnetic fields. The SQUIDS to be developed will aid earthquake prediction and geophysical surveying (project renewal).<sup>1</sup>

## Superconducting Thin Film Technology

Project Manager: Dr. Pierre F. Maldague  
Institution: Jet Propulsion Laboratory  
Participating Companies: Ford Aerospace, Palo Alto  
Corporate Funding: \$103,000  
CompTech Match: \$200,700  
Fiscal Year Funded: 90/91A

Commercial communication satellites need as many communication channels as possible per unit weight, making small, lightweight, inexpensive, multiplexer filters essential components. This collaborative effort will use JPL thin film fabrication know how and Ford's HTSC filter design to achieve light weight and efficient filters for commercial satellites.<sup>1</sup>

## Superconductivity Applications Consortium

Project Manager: Dr. Pierre Maldague  
Institution: Jet Propulsion Laboratory  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$134,000  
Fiscal Year Funded: 88/89

This project will develop a plan to create a national consortium on superconductivity applications and technology transfer.<sup>4</sup>

# Office of Competitive Technology Project Descriptions

## Superconductivity Consortium

Project Manager: Dr. Bruce Dunn  
Institution: University of California,  
Los Angeles  
Participating Companies: STI, Santa Barbara;  
Hughes, Malibu;  
Lockheed, Palo Alto &  
Calabasas; Northrup, Palos  
Verdes; TRW, Redondo  
Beach  
Corporate Funding: \$1,699,000  
CompTech Match: \$1,170,900  
Fiscal Year Funded: 88/89

The project develops materials technology and device processing techniques for fabricating high temperature superconductor microbridges for use in magnetic brain scanning, high speed electronics, and infrared image processing.<sup>1</sup>

## Sutureless Peripheral Nerve Graft

Project Manager: Dr. Joseph Rosen  
Institution: Stanford Med.  
Participating Companies: Menlocare Co., Palo Alto  
Corporate Funding: \$5,000; \$24,700  
CompTech Match: \$19,900; \$24,670  
Fiscal Year Funded: 88/89; 89/90B

This effort is designed to develop a sutureless peripheral nerve graft that would enhance rejuvenation of severed nerves (project renewal).<sup>3</sup>

## Traffic Avoidance Systems

Project Manager: Dr. Adib Kanafani  
Institution: University of California,  
Berkeley  
Participating Companies: Inst. of Transportation,  
Berkeley  
Corporate Funding: \$100,000  
CompTech Match: \$99,999  
Fiscal Year Funded: 89/90B

The project will field test a system to distribute personalized traffic congestion avoidance information to drivers in the San Francisco Bay area.<sup>5</sup>

## Transfer of Freezing and Chilling Technology

Project Manager: Dr. Christopher M. Dewees  
Institution: University of California,  
Davis  
Participating Companies: Instacool Inc. of No. Am.  
Rancho Cordova  
Corporate Funding: \$37,958  
CompTech Match: \$61,759  
Fiscal Year Funded: 89/90B

The commercial passenger-carrying fishing vessel industry may earn additional revenues for services with the introduction of new freezing and chilling technologies. These technologies will also provide safer and higher quality fish.<sup>1</sup>

## Transgenic Apple Plants

Project Manager: Dr. Abhaya M. Dandekar  
Institution: University of California,  
Davis  
Participating Companies: Plant Research  
Laboratory, Modesto  
Corporate Funding: \$50,000; \$253,324  
CompTech Match: \$133,000; \$253,324  
Fiscal Year Funded: 88/89; 89/90B

Apple trees resistant to certain insect pests will be developed to allow apple growers to use fewer pesticides. If successful, this project will have a significant economic impact, since California ranks 4th in U.S. apple production, and the U.S. market for these trees is 2.5 million annually (project renewal).<sup>3</sup>

## Ultrasonics Communications Link

Project Manager: Dr. Richard M. White  
Institution: University of California,  
Berkeley  
Participating Companies: Hearing Care Products,  
San Rafael  
Corporate Funding: \$79,750  
CompTech Match: \$185,700  
Fiscal Year Funded: 88/89

The project will apply breakthroughs in microchip technology to the development of an ultrasonic transmitter and receiver. This could enable hearing impaired individuals to receive audio information without interference from existing radio bands.<sup>2</sup>

# Office of Competitive Technology Project Descriptions

## Vacuum Mechatronics Workshop

Project Manager: Dr. Susan Hackwood  
Institution: UCSB  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$6,400  
Fiscal Year Funded: 88/89

The grant will be used to publish and disseminate proceedings of an international workshop on vacuum mechatronics held at UCSB in February 1989. N/A

## UC Pilot Technology Access Project

Project Manager: Mr. David Schetter  
Institution: University of California, Irvine  
Participating Companies: N/A\*  
Corporate Funding: N/A\*  
CompTech Match: \$39,750  
Fiscal Year Funded: 90/91A

This effort will eventually link the centralized UC Office of Technology Transfer technology database with the nine UC campuses and the private sector community. The system will be developed and tested at UCI by setting up a computer based network with UC-OTT. The system will assist industry in identifying and accessing available UC technology. If successful, the system will be expanded to the other UC campuses and DOE labs.<sup>5</sup>

=====  
**Key:**

\* Not Applicable

Superscripts refer to the CompTech Program Manager:

1=Klein, 2=Schonfeld, 3=Walters, 4=Williams L.,  
5=Williams R.

A & B after 89/90 or 90/91 refer to the application period; there are two per fiscal year.

application deadlines and the Foundation will accept proposals on an on-going basis. The Board has authorized the Foundation staff to limit review of proposals in any application period to the first one hundred received. Additional proposals will be deferred to the next grant cycle. Applicants are encouraged to submit their materials at least two months before each Board meeting to assure that they fall within that "first hundred" limit and that the review process is concluded well before the Board meeting.

#### **Proposal Review and Evaluation**

Foundation staff will conduct an initial screening of all proposals to determine which fall within Abelard's areas of interest. Organizations whose proposals do not meet these initial criteria will be notified of that decision within eight weeks of the receipt of their proposal.

Proposals that do meet the initial criteria will be evaluated more thoroughly, and staff may request additional information. A site visit or meeting may be scheduled.

The Board of Directors will review the final candidates for funding. The Board will select a limited number of proposals for funding which address most effectively the issues to which the Board has given priority.

#### **Renewals**

Abelard grantees may apply for renewed funding at the end of their grant year. The Foundation does not make multi-year grants, but the Board will consider renewal requests for up to three years.

#### **Reporting Requirements**

Abelard grantees are required to submit six-month and one-year reports. Renewal requests will be considered only if both reports have been made on a timely basis.

## BACKGROUND

Abelard is a small family Foundation incorporated in 1958. The foundation's annual grantmaking budget is approximately \$280,000. Abelard was located initially in New York City, where the Foundation helped to establish Joint Foundation Support.

In 1978, Abelard opened a West Coast office, seeking to become more active in a region where fewer foundation dollars are available. Abelard now distributes two-thirds of its annual budget through the West Coast office, and Joint Foundation Support distributes the balance.



## ABELARD FOUNDATION

# A GUIDE TO GRANT- MAKING



ABELARD  
FOUNDATION  
222 Agriculture Building  
101 The Embarcadero  
San Francisco, CA 94105



## PURPOSE

The Abelard Foundation's Board of Directors is committed to social change activities which:

- expand and protect civil liberties and civil and human rights;
- increase opportunities for the poor, the disenfranchised, and people of color; and,
- enhance and expand community involvement in, and control over, economic and environmental decisions affecting members of the community.

The organizations which Abelard supports use a broad range of tools to accomplish social change as they work toward the goal of a more democratic, just and equitable society. These tools may include community and grassroots organizing, action research, and advocacy. Whatever the choice of tools, the Foundation expects that the organization will use them as part of a larger strategy and as aids in developing local leadership and strengthening the skills of its constituency.

The Foundation seeks to support groups whose work reflects awareness of broader policy issues, and which demonstrate an understanding of the implications those issues have for the future and for other communities.



## GUIDELINES

The Abelard West office makes grants in Hawaii, California, the Pacific Northwest states, the Rocky Mountain states, and the Southwest. Abelard's East Coast office supports urban projects in New York City and rural-based efforts along the Eastern seaboard and into the South.

Grant requests should be sent to the appropriate regional office:

Abelard Foundation  
222 Agriculture Building  
101 The Embarcadero  
San Francisco, CA 94105  
415/989-0450

Joint Foundation Support  
122 E. 42nd Street, #922  
New York, NY 10168  
212/661-4080

### Types of Grants

Most Abelard grants are small (\$5,000 to \$7,000), reflecting the Foundation's limited budget, and may be project or general support grants. The Foundation is interested in new projects or organizations addressing issues which traditional philanthropic sources might avoid. By supporting model efforts which can be duplicated elsewhere, and which offer the potential for broader impact, we encourage grantees to use Abelard dollars as leverage in gaining additional support.

Abelard also looks for organizations producing self-help tools that can be distributed to and used by others, or which provide technical assistance to improve the effectiveness of other non-profits and Abelard grantees.

### Technical Assistance

The Board of Directors believes that its responsibilities to its grantees do not end once a grant has been made. The Board has directed Foundation staff to be available, when appropriate, to grantees for assistance in their other fundraising and organizational development efforts.

### Exclusions

The Abelard Foundation receives many more proposals than it can fund. The Board of Directors has concluded that it does not choose to support:

- social service programs offering on-going or direct delivery of service;
- medical, educational or cultural institutions;
- capital expenditure, construction or renovation programs;
- programs undertaken at government initiative; or,
- scholarship funds or other aids to individuals.

Projects whose purpose is primarily to inform in a general way or to study or research an issue for purposes of public education, and with little or no emphasis on policy change or implementation, do not fall within Abelard's funding guidelines. Conferences are supported only when closely related to the initiation of new programs or organizations.



## APPLICATION PROCEDURE

Applicants for funding may submit a full proposal or a summary of their request. Letters of inquiry are not necessary. The Foundation will acknowledge receipt of all proposals.

### Format / Contents

Grant proposals should include the following:

- a cover letter which summarizes the background and purposes of the organization requesting funds, and how the funds will be used;
- a project narrative and description which explains the problem or issue the project addresses, how the project will respond to or resolve that problem, and why the strategy will be effective;
- resumés of people who will do the work;
- a project schedule;
- a detailed budget for the specific project, as well as for the sponsoring organization, if the project is part of a larger, on-going effort;
- information on fundraising strategy, including the status of current requests and past sources of funding;
- documentation of the project's federal tax-exempt status; and,
- a list of Board members and other references familiar with the organization's work.

### Application Dates

Abelard Board meetings are held four times each year, in the months of February, May, August and November. There are no

PLEASE NOTE THE FOLLOWING CHANGES:

New addresses for the Abelard Foundation/Common Counsel and Joint Foundation Support:

Abelard Foundation/Common Counsel  
2530 San Pablo Ave.  
Suite B  
Berkeley, CA 94702  
415/644-1904

Joint Fndn. Support  
40 West 20th Street  
Suite 1022  
New York, NY 10011  
212/627-7710

The Abelard Foundation now meets 3 times annually, (Feb., May, and Nov.), and grant awards now range from \$6,000 to \$10,000.

the stories of Native American, Black, rural and other disenfranchised communities involved in struggles to protect their lands, cultures and economic survival.

**Inst. for Social Justice**      \$9,000

Bailing out the savings and loan industry may cost more than \$300 billion.

Thanks to the Institute's Financial Democracy Campaign, the bailout also includes new programs intended to spur the development of housing for low- and moderate-income people. The Institute's Phoenix field staff works to implement these new programs in Arizona, focussing its organizing campaigns on the Home Loan District Bank and the Resolution Trust Corporation and by working with non-profit housing developers.

**NW Chicano Radio Network**      \$6,000

Washington is one of the country's largest agricultural states, and most of its major crops are labor intensive. Excluded from most labor legislation and vulnerable to massive abuse, farmworkers are the least-protected workers in this country. In 1989, the Network's Centro Campesino, with 3,000 members, won significant protections for farmworkers: protecting workers' unemployment benefits; winning strict field sanitation standards; and establishing a pesticide exposure reporting system. In 1990, Centro will represent farmworkers in the regulatory process as farmworker safety regulations are developed.

**THE ABELARD FOUNDATION**  
**SAMPLE GRANTS LIST**  
January 1990 - April 1990

**Income Rights Project**                      \$10,000

A family of three in San Francisco is entitled to \$663/month in welfare benefits. Families face high rents, inadequate medical and dental coverage for their children and an often arbitrary and punitive welfare system. The Income Rights Project is working with welfare recipients to build PRIDE, Parents' Rights to Income, Dignity and Education; a recipient-led organization working for change in welfare policies and practices.

**Labor/Community Strategy Ctr** \$10,000

Los Angeles is the nation's top manufacturing area and the home of key military, aerospace, chemical and petroleum industries. It is also the country's most poisonous region. The Strategy Center is mobilizing L.A.'s "new environmentalists" -- workers and communities of color -- to build a movement for environmental justice and to assure that the South Coast Air Quality Management District's twenty-year plan to reduce toxic emissions addresses corporate production decisions as well as personal "lifestyle" changes.

**"The Promise of Democracy"**              \$8,000

Democracy is the rallying cry of popular movements across the globe. How do we define democracy in this country today? This film and television series explores the meaning of contemporary democracy in the U.S., based on

❖

**COMMON  
COUNSEL**  
and the  
**GRANTEE EXCHANGE  
FUND**

❖

**C**ommon Counsel is a new, shared grantmaking organization that advises individuals and families with progressive grantmaking interests. Common Counsel also administers the Grantee Exchange Fund, a small technical assistance fund. The Fund has been established to provide travel stipends, (\$500-\$700) to encourage social change organizations to seek technical assistance from each other, and to help build networks among organizations throughout the Western region.

**How to Apply to the Fund**

Write us a letter specifying:

1. the name of the organization with which you will train;
2. the purpose of the exchange and the skills you hope to develop;
3. who will participate in the exchange; and,
4. the budget for the exchange.

**When to Apply to the Fund**

You may apply at any time. We review requests as they arrive and will make decisions promptly.

Common Counsel  
222 Agriculture Building  
101 The Embarcadero  
San Francisco, CA 94105  
415/989-0450

# THE WOMEN'S FOUNDATION

## Technical Review Application

All applicants must complete this application. Read the foundation's funding guidelines carefully before filling out the form, making sure you have the most current version. If you have questions, please call the Allocations Coordinator or Program Assistant at (415) 431-1290.

Please print or type responses in black ink. You must provide FIVE (5) COMPLETE SETS of this application, including attachments. Please submit all materials at the same time.

Date of this application: \_\_\_\_\_

If your group is part of a multi-level umbrella organization, the following questions refer to the group that will be using TWF grant money, if received.

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number(s): (\_\_\_\_\_) \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_ Contact: \_\_\_\_\_  
Day Evening

County in which your organization is located: \_\_\_\_\_ County(ies) your organization serves: \_\_\_\_\_

How were members of your target population(s) involved in the founding of your organization? \_\_\_\_\_

When was your organization founded (year)? \_\_\_\_\_ Is your organization non-profit, tax-exempt? Yes \_\_\_\_ No \_\_\_\_

If not, give the name, address, phone number and contact of your fiscal sponsor \_\_\_\_\_

Have you applied to TWF before? No \_\_\_\_ Yes \_\_\_\_ When? \_\_\_\_\_

Have you received a TWF grant before? No \_\_\_\_ Yes \_\_\_\_ When? (list the year of any previous grant(s) \_\_\_\_\_

Give a one-sentence description of your organization:

Very briefly describe the project for which you are requesting funds:

Amount requested from TWF: \$ \_\_\_\_\_

Annual Operating Budget Last Two Fiscal Years:

FY \_\_\_\_\_ \$ \_\_\_\_\_

FY \_\_\_\_\_ \$ \_\_\_\_\_

### ATTACHMENTS

- Be sure to include with your application:
- 1) IRS tax-exemption letter for your organization or fiscal sponsor.
  - 2) Organizational chart and list of governing board members.
  - 3) Letter of approval of this proposal from your governing board or fiscal sponsor.

(over)

Please respond to these questions in the space provided.

## DESCRIPTION OF ORGANIZATION

1. Describe how and why your organization was founded, its purpose and its activities.

## TARGET POPULATIONS

2. Please complete the chart below by using the following instructions: TOTAL for Client Population = Total No. clients you serve, constituents you represent, etc. (women, men, girls, boys); for WOMEN and GIRLS = No. and % of women and girls you represent as compared to TOTAL. Low-income, Of color, etc. = No. and % of women and girls who are low-income, etc. TOTAL for Board Members = Total No. and % who are not Board Officers; for Women = No. and % of women board members as compared to Total No. of board members.

If a particular category represents no clients, members, etc. enter "0" for No. and %.

		TOTAL	WOMEN	Low-income	Of color	Single mothers	Disabled	Lesbians	Women over age 40	Women over age 60	GIRLS	Low-income	Of color	Disabled
Client population	No.:													
	%:													
Board officers	No.:													
	%:													
Board members	No.:													
	%:													
Agency management	No.:													
	%:													
Agency staff	No.:													
	%:													
Agency volunteers	No.:													
	%:													

How does your organization define low-income?

## EMPOWERMENT

3. Describe how your organization's activities help to empower women and girls. How does what you do help develop independence, leadership and self-sufficiency in members of your target population(s) and contribute to social change? Give specific examples, keeping in mind that a list or description of services you provide will not satisfy this criterion.

**The Women's Foundation**  
 3543 Eighteenth Street  
 San Francisco, California 94110  
 (415) 431-1290

# THE WOMEN'S FOUNDATION FUNDING GUIDELINES

The Women's Foundation is a grantmaking and educational institution founded to assist women's and girls' organizations and to educate women about money and philanthropy. The Foundation grew from the recognition that women are disenfranchised economically even more now than in the past and that philanthropic grants have not adequately responded to the needs of organizations working to redress the inequities experienced by women and girls.

## TABLE OF CONTENTS

General Information	_____	2
Application Process	_____	3
Description of Funding Criteria		
Target Population	_____	4
Empowerment	_____	5
Resource Development	_____	6
Fundability	_____	7
Checklist	_____	8

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## GENERAL INFORMATION ---

The initial application that you submit to The Women's Foundation (TWF) is your first and, in some ways, the most important opportunity to showcase your organization's work. We use this information to determine whether you will be interviewed. No group can receive funding without an interview.

Use this application to convince us that the work you are doing is consistent with the mission of TWF--to assist organizations serving low-income women and girls in Northern California--and meets the four funding criteria of target population, empowerment, resource development and fundability. The clearer you are about what you want to do and how and why you want to do it, the more convincing your case will be when you present it to us.

Applications from nonprofit organizations with a 501(c)(3) tax exemption are eligible to apply to the Foundation. Groups which do not have their own tax-exempt status may submit applications through a fiscal agent. The fiscal agent is a nonprofit, 501(c)(3) tax-exempt organization that sponsors your group and agrees to accept funds on your behalf. Generally, your organization does not share the fiscal agent's Board of Directors and the agent is not involved in the governance of your group.

Application packets are available from our office. Please read these funding guidelines carefully before completing the application. The forms are revised periodically, so be sure you have the most current version. If you have questions, call the Allocations Coordinator at 415/431-1290.

## APPLICATION PROCESS ---

Applications to The Women's Foundation are reviewed by the Allocations Committee, a community-based group of volunteers responsible for selecting grant recipients. All applicants must submit a Technical Review Application in order to be considered for funding. This initial application is reviewed by the Allocation Committee's Technical Review Group (TRG). We request interviews and site visits with those applicants who most closely meet the criteria of Target Population and Empowerment. If scheduled for an interview, you will be asked to complete a second part of the application prior to that visit. Although a request for an interview indicates strong interest in your proposal, it is not a guarantee that you will receive funding.

The maximum grant awarded by the Foundation is \$10,000. Grants average between \$5,000 and \$6,000. No organization may receive TWF funding more than twice in five years.

Beginning in 1990, the foundation will accept applications throughout the year, making funding decisions three times a year.

Grants are not usually made for the following: general operating costs; individuals or scholarships; capital improvements; endowments; loans; research; literary publications, films, video-tapes or audio-visual productions unless they are an instrument for resource development, and/or directly involve members of TWF's target populations; government agencies unless the organizational leadership originates from the community.

## TARGET POPULATIONS ---

TWF funds organizations whose efforts are aimed at low-income women and girls. In addition, we have identified the following Target Populations as priorities:

- \* disabled women/girls
- \* girls
- \* lesbians
- \* single mothers
- \* women/girls of color
- \* women over age 40
- \* women over age 60

Only organizations serving low-income women and girls in these target populations are eligible for funding. TWF has a goal of allocating 15 percent of its grants to organizations in rural areas that meet the funding criteria.

If your organization provides direct services, describe the Target Population(s) you directly serve. If your organization provides advocacy, we recognize that you may benefit a large audience; however, describe the group that receives the most *immediate* benefit.

No single organization is expected to serve all of our target populations. However, we do look at the percentage of target population women/girls you serve in comparison with their presence in your general community. For example, if your organization is located in a community that is 30 percent Chicana/Latina and only 10 percent of your clients or members are Chicana/Latina, we would ask why.

Conversely, the area you serve may be only 10 percent Chicana/Latina but 30 percent of your clients or members may be Chicanas/Latinas. For example, you may provide childcare for women enrolled in literacy or ESL classes and 30 percent of the women who qualify for those classes may be Chicana/Latina.

## EMPOWERMENT --- ---

TWF awards grants to organizations that empower women and girls and contribute to their self-determination, self-reliance and independence.

First, your application must demonstrate that your organization has a "women's/girls' focus." We consider the following:

- \* Does your organization understand the theory and practice of women's oppression and how it affects the women/girls of its Target Population(s)?
- \* Does your organization understand how women's/girls' oppression interacts with other forms of oppression (e.g. racism, homophobia, ageism) and how that interaction affects the women/girls of its Target Population(s)?
- \* What is your organization's commitment to working for social change and ending the oppression of women and girls? What opportunities to learn and practice leadership skills does your organization provide for members of your Target Population(s)? Are they represented at all levels of employment? Do they serve on your governing board? Are they board officers?

In order to have a women's/girls' focus, your organization need not serve women/girls exclusively, nor be administered and staffed exclusively by women/girls.

Second, your application must demonstrate how the project will contribute to empowering your Target Population(s), providing them with the tools to increase their independence and ability to exercise more control over their own lives and over the future of their own communities.

## RESOURCE DEVELOPMENT ---

Grants from TWF are made for activities that strengthen an organization's stability, self-sufficiency or income base. An excellent Resource Development project uses TWF's grant to attract funding from other sources. When thinking about Resource Development, consider the following questions:

- \* When this project is completed and the money is spent, what will be different about your organization?
- \* How will you measure that difference?
- \* What will you have accomplished and what will you be able to accomplish in the future as a direct result of receiving these funds?

TWF grants have been made to:

- \* Develop a long-range organizational plan for a new rural women's advocacy, information and referral group
- \* Provide Board training in the areas of cooperative fundraising, financial record keeping and general Board responsibilities and functions
- \* Develop a business plan to help agency programs become self-supporting
- \* Increase agency income beyond current plateau by expanding existing pledge system
- \* Develop and conduct a needs assessment in the community served by grantee
- \* Recruit fundraising volunteers for Major Gifts and other capital campaign committees

## FUNDABILITY --- ---

In determining fundability, TWF looks for organizations that:

- \* have limited access to other funds
- \* can demonstrate their capacity to use the grant to strengthen their organizational structure and stability
- \* can demonstrate their capacity to attract additional funding.

There is no magic budget figure above which we will reject a proposal. However, applicants with organizational budgets over \$250,000 usually do not rate high on meeting the fundability criterion unless the organization demonstrates that almost all of those funds are restricted (designated for a specific purpose) and that no other sources will finance the project. We also look at what percentage a grant from TWF will represent in the organization's total budget. We do not want to be the major source of an organization's funds.

## GEOGRAPHIC AREA SERVED --- ---

TWF awards grants to nonprofit 501(c)(3) organizations serving women and girls in Northern California. The Foundation's geographic funding area extends from the Oregon/California border on the north to the southern borders of San Luis Obispo, Kern and Inyo Counties.

## CHECKLIST

---

The Women's Foundation receives many more proposals than it can possibly fund. Therefore, it is crucial for you to do everything you can to increase the odds that your proposal will be one of the successful ones. Below are some points to remember as you prepare your application:

**Be sure to:**

Submit clear, clean originals and duplicates; print or type, using black ink or black ribbon.

Submit five (5) copies of your application and attachments.

Answer the questions on the application form as completely as possible. If you have questions, call the Allocations Coordinator at (415) 431-1290.

Provide the most current copy of supporting documents.

If you are submitting your application under the sponsorship of a fiscal agent, include a copy of the agent's tax-exemption letter as well as a letter confirming the agent's agreement to serve as sponsor for your project.

Allow time for any approvals you may need prior to submitting the proposal (e.g. from your Board of Directors, staff, management, citizens committee, fiscal agent).

Submit all materials at the same time--application, attachments and supporting documents. Incomplete applications slow down the process and delay funding decisions.

The Women's Foundation  
3543 - 18th Street  
San Francisco, CA 94110

FIRST CLASS MAIL



PB METER  
\$103749

U.S. POSTAGE

25

FUNDING GUIDELINES

Evelyn Pine  
Community Memory  
~~2717~~ ~~2716~~ San Pablo Ave.  
Berkeley, CA 94702



## *Grant Recipients: Strengthening The Lives Of Women And Bringing Life To Girls' Dreams*

The Women's Foundation grant recipients are varied. However, the one attribute these organizations all share is the ability to strengthen the lives of women and help girls bring their dreams to life. The organizations listed here exemplify the diversity of interests and approaches of The Foundation's grant recipients.

**Brava! For Women In The Arts** promotes women artists and feminist values in the arts and are committed to challenging artistic stereotypes and promoting positive social values.

**Cambodian Women's Association** serves homebound low-income Cambodian refugee women in San Francisco, Modesto, and Stockton by providing them with outreach, and information and referral.

**Girl's Club of West Contra Costa County** conducts programs for African-American girls that assist them to become economically independent adults through tutoring and mentoring. This teen program helps the girls assess how choices they make now will affect them in their adult lives.

**International Indian Treaty Council** disseminates information on the indigenous world view, one that includes harmony, respect for women and elders, and the need for balance with the Natural World as essential for the survival of all peoples.

**Northern California Conference Committee** insures that women's wheelchair basketball remains a viable sport by providing instruction for new and existing teams, and support services that enables disabled women and girls to be participants and spectators.

**Older Women's Film Project** produced "Acting Our Age," the first U.S. film focusing exclusively on the needs, rights, and struggles of older women. This film presents the realities of older women's family roles, their sexuality, and economic survival strategies.

**Orchid Women's Recovery Center** in Oakland offer drop-in and residential services to women and children who are experiencing problems with alcohol and/or drugs.

**Teenage Mothers Writing Project** is a Watsonville program where teenage mothers develop a stronger sense of self through the acquisition of writing skills. By writing and discussing issues of immediate concern to them, young Chicana mothers are able to problem solve and break down barriers created by rural and economic isolation.

**Women's Cancer Resource Center** is an information and resource center for women with cancer, for health care practitioners, and the community. WCRC targets low-income women, women of color, and lesbians, as they have the most difficulty obtaining necessary medical treatment.



**The Women's Foundation**  
3543 - 18th Street  
San Francisco CA 94110  
(415) 431-1290

# *Making The Future Hers*



# **The Women's Foundation**

# The Women's Foundation

*The Women's Foundation* is a community foundation providing grants to organizations serving women and girls. Since beginning in 1981, *The Women's Foundation* has given more than \$900,000 to over 250 programs. *The Women's Foundation* funding area covers 45 Northern California counties, and extends from the Oregon/California border to the southern borders of San Luis Obispo, Kern, and Inyo Counties.

In addition to grantmaking, *The Women's Foundation* also undertakes special projects: **Technical Assistance and Rural Outreach Program** offers clinics and ongoing assistance to potential applicants, especially those in rural communities; **Managing Inherited Wealth**, a self-help support and techni-

cal assistance program for women is designed to foster philanthropy and social responsibility; **Women's Initiative for Self-Employment (WISE)** trains and assists low and moderate income women in starting small businesses; **National Network of Women's Funds** provides technical assistance and a forum for information sharing and networking to the more than 40 emerging women's funds throughout the country. *The Women's Foundation* led the effort to establish the Network in 1985.

In preparation for the next decade of giving *The Women's Foundation* is working collaboratively with the MS Foundation, and they are jointly developing a women's fund agenda for the 1990's.



## Grantmaking: The Heart Of Our Work

Grantmaking is the heart of *The Women's Foundation* work, and makes a vital contribution to the larger philanthropic community. Because less than 4% of philanthropic dollars in the United States go to women's and girls' programs, the grants made by *The Women's Foundation* fill an important funding need in the nonprofit service community.

*The Women's Foundation* funds nonprofit organizations which serve specific target populations: girls, single mothers, lesbians, women of color, disabled women, older women, and women living in rural areas. Based on the belief that

strong institutions produce long-lasting and significant change, *The Women's Foundation* funds activities that strengthen an organization's stability, self-sufficiency, or income base. In determining fundability, *The Women's Foundation* looks for organizations that have limited access to other funds and can demonstrate their capacity to use the grant to attract additional funding sources. Also, preference is given to organizations in which those being served are involved in the decision making.



## Donors: Empowering Through Giving

More than 5,000 people have become donors to *The Women's Foundation* in the past eight years. Contributions range from \$5 to bequests of more than \$100,000. Individuals, businesses, foundations, and corporations also donate time, materials, and services to help make *The Women's Foundation* a success. The reasons for giving are as diverse as those who donate. Each gift, no matter what its size, provides *The Women's Foundation* with the resources to continue the grantmaking program.

Funds that come to *The Women's Foundation* are professionally managed and carefully allocated. The Foundation's staff, Board of Directors, and Allocations Committee — trained in program development, nonprofit management, and financial matters — identify community needs, investigate applications, and evaluate the use of funds by recipient agencies. People experienced in financial planning, analysis, and management assist in managing Foundation funds.

A gift to *The Women's Foundation*, whether outright cash or securities, a trust or bequest, affords a donor the most advantageous tax treatment allowed by law for charitable contributions. *The Women's Foundation* is a community foundation which has been designated as a nonprofit 501(c)(3) agency. Our tax ID number is 94-2752421.



# The Women's Foundation

3543 Eighteenth Street  
San Francisco, California 94110  
Telephone: (415) 431-1290

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Dear Friend:

With the start of a new decade . . . the final decade of the 20th century . . . many women are thinking about what the future holds for themselves, for their families, for their communities, and for the world. Today I want to share with you some information about our work at The Women's Foundation, an organization where we are assisting women in planning for the future by meeting the challenges of today. **After reading about our work, I hope you are inspired to become a donor.**

The Women's Foundation is a community fund providing grants to organizations serving women and girls throughout Northern California. Since our beginning in 1981, we have given more than \$1 million in grants to over 275 groups. Grantmaking is the heart of The Women's Foundation work. Because less than 4% of philanthropic dollars in the United States go to women's and girls' programs, the grants made by The Women's Foundation fill an important funding need in the nonprofit service sector.

During this time of constricted national and local responsibility for resolving critical social issues, as evidenced by the dwindling supply of affordable housing, the massive rise in homelessness, the increase in hunger and malnutrition, and the overwhelming lack of low-cost, quality child care, health care, and employment opportunities, community based organizations have assumed increasing importance as instruments for meeting these pressing community needs.

**Grantees of The Women's Foundation are providing a wide range of advocacy and support services, and they are forging bold new programs to meet the ever increasing needs of their clients.** The grant recipients of The Women's Foundation are on the frontlines in the battle to bring meaningful and beneficial services to those populations of women who have the least access to resources: single moms, older women, lesbians, women of color, disabled women, women living in rural areas, and girls. Some of the services provided by The Women's Foundation grantees include:

\* ***BRAVA! For Women in the Arts*** promotes women artists and feminist values in the arts and is committed to challenging artistic stereotypes and promoting positive social values.

\* ***Northern California Conference Committee*** insures that women's wheelchair basketball remains a viable sport by providing instruction for new and existing teams, and support services that enable disabled women and girls to be participants and spectators.

\* ***Older Women's Film Project*** produced "Acting Our Age," the first U.S. film focusing exclusively on the needs, rights, and struggles of older women. This film presents the realities of older women's family roles, their sexuality, and economic survival strategies.



\* *Salud Para La Gente* responded to the October 17 earthquake by setting up community relief services for the hard hit, largely migrant worker families who make up much of their client population in Watsonville.

In addition to grantmaking, The Women's Foundation is also involved in a number of other exciting programs areas. We recently received a \$200,000 gift establishing the Woodlake Fund. This fund will be targetted to low-income girls who aspire to post high school training or education.

We are also busy collaborating with the MS Foundation on the Third Annual Women and Economic Development Institute. The conference will be convened in the Bay Area on June 7-10 of this year, and promises to be quite an event. Women economists, educators, activists, and of course, business owners from all over the nation and the world will be in attendance. Workshops on issues ranging from global economics, to leadership skills building, to starting a small business will be held. Please feel free to call our office for more information.

Our Technical Assistance and Rural Outreach Program continues to bring the work of The Women's Foundation into geographic areas beyond the Bay Area. "How to Apply" workshops were recently held in Redding, Fresno, Modesto, and Sacramento, and drew representatives from organizations throughout the Central Valley. This outreach effort resulted in a groundswell of applications from rural groups.

As you can see, we take a real hands-on, committed approach to our programs. **The success of our work depends on your involvement as a donor.** We rely on thousands of women who like you are socially concerned. When you make a contribution to The Women's Foundation your dollars are spent to improve the lives of low-income women and girls.

**Your contribution, whether it is \$35 or \$350 really makes a difference. Every gift to The Women's Foundation, regardless of the amount, goes directly to our work as we face the challenges of the 1990s.**

We're sending you a copy of our latest brochure detailing our mission and accomplishments. We hope you will read it and make a contribution to The Women's Foundation. We also ask that you pass our brochure along to a friend. By making a contribution and sharing information about the The Women's Foundation, you give doubly to our mission of empowering women and girls.

Your gift of \$35, \$75, or \$150 will be applied to the important work of our grantmaking program. Please give as generously as you can. There are many women and girls whose prospects for the future will be expanded because of your generosity.

Sincerely,



Norma Fragoso  
President, Board of Directors

P.S. With your contribution you will automatically receive a free years subscription to *The Women's Foundation Newsletter* which features articles and information about our work, as well as the important issues of the day and how they affect women and girls.

I'm making my gift in the following manner (check one):

Please charge my  VISA  MASTERCARD

Card# \_\_\_\_\_ ExpDate \_\_\_\_\_ Signature \_\_\_\_\_

- Enclosed is my check.  
 I'm pledging \$ \_\_\_\_\_ for the calendar year. Please bill me quarterly.  
 I want my gift to remain anonymous.  
 I am making this gift in honor of (name/address) \_\_\_\_\_

\_\_\_\_\_. (When you make a gift to TWF in someone else's name, both you and s/he become donors, and a gift card is sent. The amount is never specified, of course.)

N  
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C  
P

Y02

EVELYN PINE

256 RIPLEY ST

SAN FRANCISCO, CA

94110

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

I will make a tax deductible contribution in 1990 to *The Women's Foundation*.

**CIRCLE OF FRIENDS**

\$1 - 99

*Balancing grace with commitment...*

EVELYN CISNEROS

\$100 - 349

*Giving with joy & responsibility...*

LOUISE M. DAVIES

\$350 - 499

*Harvesting the future...*

DOLORES HUERTA

\$500 - 999

*Leading with wisdom & dignity...*

BARBARA JORDAN

**CIRCLE OF GIRLS**

*Contributions by or in honor of girls*

\$ \_\_\_\_\_

*Going higher...*

SALLY RIDE

**CIRCLE OF SISTERHOOD**

\$1,000 - 2,499

*Transcending barriers...*

MARLEE MATLIN

\$2,500 - 4,999

*Competing with courage & respect...*

MARTINA NAVRATILOVA

\$5,000 - 9,999

*Expanding the boundaries of tradition...*

MARIA TALLCHIEF

\$10,000 - 24,999

*Communicating with compassion & ethics...*

WENDY TOKUDA

\$25,000 +

*Tending the hearth of the spirit ...*

ALICE WALKER

# THE WOMEN'S FOUNDATION

## Technical Review Application

All applicants must complete this application. Read the foundation's funding guidelines carefully before filling out the form, making sure you have the most current version. If you have questions, please call the Allocations Coordinator or Program Assistant at (415) 431-1290.

Please print or type responses in black ink. You must provide FIVE (5) COMPLETE SETS of this application, including attachments. Please submit all materials at the same time.

Date of this application: \_\_\_\_\_

If your group is part of a multi-level umbrella organization, the following questions refer to the group that will be using TWF grant money, if received.

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number(s): (\_\_\_\_\_) \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_ Contact: \_\_\_\_\_  
Day Evening

County in which your organization is located: \_\_\_\_\_ County(ies) your organization serves: \_\_\_\_\_

How were members of your target population(s) involved in the founding of your organization? \_\_\_\_\_

When was your organization founded (year)? \_\_\_\_\_ Is your organization non-profit, tax-exempt? Yes \_\_\_\_ No \_\_\_\_

If not, give the name, address, phone number and contact of your fiscal sponsor \_\_\_\_\_

Have you applied to TWF before? No \_\_\_\_ Yes \_\_\_\_ When? \_\_\_\_\_

Have you received a TWF grant before? No \_\_\_\_ Yes \_\_\_\_ When? (list the year of any previous grant(s) \_\_\_\_\_

Give a one-sentence description of your organization:

Very briefly describe the project for which you are requesting funds:

Amount requested from TWF: \$ \_\_\_\_\_

Annual Operating Budget Last Two Fiscal Years:

FY \_\_\_\_\_ \$ \_\_\_\_\_

FY \_\_\_\_\_ \$ \_\_\_\_\_

### ATTACHMENTS

- Be sure to include with your application:
- 1) IRS tax-exemption letter for your organization or fiscal sponsor.
  - 2) Organizational chart and list of governing board members.
  - 3) Letter of approval of this proposal from your governing board or fiscal sponsor.

(over)

Please respond to these questions in the space provided.

## DESCRIPTION OF ORGANIZATION

1. Describe how and why your organization was founded, its purpose and its activities.

## TARGET POPULATIONS

2. Please complete the chart below by using the following instructions: TOTAL for Client Population = Total No. clients you serve, constituents you represent, etc. (women, men, girls, boys); for WOMEN and GIRLS = No. and % of women and girls you represent as compared to TOTAL. Low-income, Of color, etc. = No. and % of women and girls who are low-income, etc. TOTAL for Board Members = Total No. and % who are not Board Officers; for Women = No. and % of women board members as compared to Total No. of board members.

If a particular category represents no clients, members, etc. enter "0" for No. and %.

		TOTAL	WOMEN	Low-income	Of color	Single mothers	Disabled	Lesbians	Women over age 40	Women over age 60	GIRLS	Low-income	Of color	Disabled
Client population	No.:													
	%:													
Board officers	No.:													
	%:													
Board members	No.:													
	%:													
Agency management	No.:													
	%:													
Agency staff	No.:													
	%:													
Agency volunteers	No.:													
	%:													

How does your organization define low-income?

## EMPOWERMENT

3. Describe how your organization's activities help to empower women and girls. How does what you do help develop independence, leadership and self-sufficiency in members of your target population(s) and contribute to social change? Give specific examples, keeping in mind that a list or description of services you provide will not satisfy this criterion.

**The Women's Foundation**  
 3543 Eighteenth Street  
 San Francisco, California 94110  
 (415) 431-1290

# The Women's Foundation



Spring 1991

Funding Guidelines

The Women's Foundation is now soliciting Grant Proposals from non-profit, 501(c)(3) organizations working with low-income women and girls in one or more of the following three issue areas:

**Disability**

**Homelessness**

**Violence Against Women and Children**

The Foundation's geographic funding area extends from the Oregon/California border on the north to the southern borders of San Luis Obispo, Kern and Inyo counties. Grants will be made to existing or new organizations that best meet the following funding criteria:

## 1. TARGET POPULATIONS

The Women's Foundation funds organizations whose primary efforts are directed toward meeting the needs of *low-income women and girls*.

Within this broad category, the Foundation has identified the following special populations as priorities:

**Disabled women/girls • Women/girls of colour  
Single mothers • Women over age 40  
Girls • Lesbians  
Women over age 60**

## 2. EMPOWERMENT

### SELF-DETERMINATION

Foundation grants are awarded to organizations that empower women and girls, contribute to their self-determination, self-reliance and independence. Empowerment can be achieved through such activities as advocacy, leadership training and development, and the fostering of women's and girls' financial stability.

## 3. RESOURCE DEVELOPMENT

Grants from The Women's Foundation are made for activities that strengthen the organization's internal structure, increase its self-sufficiency and/or broaden its income base. Examples of recently funded proposals are:

- Development of a fundraising strategy to broaden funding base to include discretionary funds
- Establishment of an Asian Pacific Concerns Project, including board recruitment and training

## 4. ORGANIZATIONAL FUNDABILITY

The Foundation takes into account a number of factors when determining fundability. The ideal applicant has limited access to more traditional funding sources (e.g. because of populations served, issue areas addressed or proposed use of funds). Organizations must also demonstrate the ability and capacity to meet the resource development criteria.

In addition, proposed projects must:

- A. Focus on the needs of women and/or girls in one or more of the three issue areas (disability, homelessness, violence);
- B. Involve members of the target population(s) in its implementation, as well as, provide all levels of staff (and clients, where appropriate) with opportunities to participate in planning and decision-making, obtain training and develop leadership skills.

## GRANT LIMITATIONS

- A. During the Spring, 1991 cycle, *only projects addressing one or more of the three issue areas will be eligible for funding*. The Foundation expects to resume its general grantmaking, in addition to funding in the three issue areas, beginning with the Fall, 1991 cycle.
- B. Grants will be awarded to organizations only; individuals are not eligible.
- C. Funds may not be used for general operating costs, administrative overhead or for the provision of on-going direct services.
- D. Capital improvements, endowments, loans, research, literary publications, film, videotapes or audio-visual productions are generally not eligible.
- E. Maximum grant size is \$10,000. Average grant size is \$6,000.

## APPLICATION PROCESS

All proposals must be submitted on a TWF *Technical Review Application Form*, available upon request from the Foundation. Applications are reviewed by the Allocations Committee, a community-based group of volunteers responsible for selecting all grant recipients.

*The deadline for the Spring, 1991 funding cycle is Tuesday, 30 April.*

Funds for the Spring, 1991 awards of The Women's Foundation are made possible by a 3-year grant from The May and Stanley Smith Charitable Trust.

## STATEMENT OF PURPOSE

# *Why a Women's Foundation?*

The Women's Foundation is a grant making and educational institution founded to assist women's and girls' organizations, and to educate women about money and philanthropy. The Women's Foundation grew from the recognition that women are disenfranchised economically even more now than in the past, and that philanthropic grants have not adequately responded to the needs of organizations working to redress the inequities experienced by women and girls.



**The Women's Foundation**  
3543 Eighteenth Street, #9  
San Francisco, California 94110  
(415) 431-1290

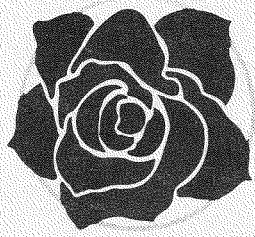
Evelyn Pine

Community Memory  
2716 San Pablo Ave.  
Berkeley CA 94702

Non-Profit  
Organization  
U.S. Postage  
**PAID**  
San Francisco, CA  
Permit No. 14352

**Spring 1991 — Funding Guidelines**

*For Women's and Girls' Organizations*



# The Women's Foundation

3543-18th Street, San Francisco, CA 94110 (415) 431-1290

## *"How to Apply"*

You are cordially invited to attend a "How to Apply" workshop, sponsored by The Women's Foundation, if you are a nonprofit group working with low-income women and girls in one or more of the following areas:

DISABILITY • HOMELESSNESS

VIOLENCE AGAINST WOMEN AND CHILDREN

This is a chance for you and other members of your staff and organization to learn more about the Foundation and how you can best use its resources to support projects serving low-income women and girls in Northern California.

### *Discussion Topics*

- The Four Funding Criteria
- Who is Eligible to Apply
- Who Funds the Foundation
- Who Makes the Final Decisions

### *How to Apply Workshop*

Tuesday, 19 March 1991

6:30-9:00 p.m.

Mission Neighborhood Center

362 Capp Street (between 18th and 19th Sts.)

San Francisco

**Please Pre-register** by calling The Women's Foundation, (415) 431-1290. Be sure to leave your name, phone number (including area code) and number of people attending. The meeting site is wheelchair accessible. If you need other assistance (signer or translator), please give us at least two weeks notice. We will make every effort to accommodate you.

## STATEMENT OF PURPOSE

# *Why a Women's Foundation?*

The Women's Foundation is a grant making and educational institution founded to assist women's and girls' organizations, and to educate women about money and philanthropy. The Women's Foundation grew from the recognition that women are disenfranchised economically even more now than in the past, and that philanthropic grants have not adequately responded to the needs of organizations working to redress the inequities experienced by women and girls.



**The Women's Foundation**  
3543 Eighteenth Street, #9  
San Francisco, California 94110  
(415) 431-1290



EVELYN FINE

Community Memory  
2715 San Pablo Ave.  
Berkeley CA 94702

Non-Profit  
Organization  
U.S. Postage  
**PAID**  
San Francisco, CA  
Permit No. 14352

**Fall 1991 — Funding Guidelines**

*For Women's and Girls' Organizations*

# The Women's Foundation



Fall 1991

Funding Guidelines

The Women's Foundation is now soliciting Grant Proposals from non-profit, 501(c)(3) organizations working with low-income women and girls in one or more of the following issue areas:

**Childcare**

**Disability**

**Homelessness**

**Violence Against Women and Children**

The Foundation's geographic funding area extends from the Oregon/California border on the north to the southern borders of San Luis Obispo, Kern and Inyo counties. Grants will be made to existing or new organizations that best meet the following funding criteria:

## 1. TARGET POPULATIONS

The Women's Foundation funds organizations whose primary efforts are directed toward meeting the needs of *low-income women and girls*.

Within this broad category, the Foundation has identified the following special populations as priorities:

Disabled women/girls • Women/girls of colour  
Single mothers • Women over age 40  
Girls • Lesbians  
Women over age 60

## 2. EMPOWERMENT

### SELF-DETERMINATION

Foundation grants are awarded to organizations that empower women and girls, contribute to their self-determination, self-reliance and independence. Empowerment can be achieved through such activities as advocacy, leadership training and development, and the fostering of women's and girls' financial stability.

## 3. RESOURCE DEVELOPMENT

Grants from The Women's Foundation are made for activities that strengthen the organization's internal structure, increase its self-sufficiency and/or broaden its income base. Examples of recently funded proposals are:

- Development of a fundraising strategy to broaden funding base to include discretionary funds
- Establishment of an Asian Pacific Concerns Project, including board recruitment and training

## 4. ORGANIZATIONAL FUNDABILITY

The Foundation takes into account a number of factors when determining fundability. The ideal applicant has limited access to more traditional funding sources (e.g. because of populations served, issue areas addressed or proposed use of funds). Organizations must also demonstrate the ability and capacity to meet the resource development criteria.

In addition, proposed projects must:

- A. Focus on the needs of women and/or girls in one or more of the four issue areas (childcare, disability, homelessness, violence);
- B. Involve members of the target population(s) in its implementation, as well as, provide all levels of staff (and clients, where appropriate) with opportunities to participate in planning and decision-making, obtain training and develop leadership skills.

## GRANT LIMITATIONS

- A. During the Fall, 1991 cycle, *only projects addressing one or more of the four issue areas will be eligible for funding.*
- B. Grants will be awarded to organizations only; individuals are not eligible.
- C. Funds may not be used for general operating costs, administrative overhead or for the provision of on-going direct services.
- D. Capital improvements, endowments, loans, research, literary publications, film, videotapes or audio-visual productions are generally not eligible.
- E. Maximum grant size is \$10,000. Average grant size is \$6,000.

## APPLICATION PROCESS

All proposals must be submitted on a TWF *Technical Review Application Form*, available upon request from the Foundation. Applications are reviewed by the Allocations Committee, a community-based group of volunteers responsible for selecting all grant recipients.

*The deadline for the Fall, 1991  
funding cycle is  
Tuesday, 10 September.*

# THE WOMEN'S FOUNDATION

## Technical Review Application

All applicants must complete this application. Read the foundation's funding guidelines carefully before filling out the form, making sure you have the most current version. If you have questions, please call the Allocations Coordinator or Program Assistant at (415) 431-1290. **The deadline for receipt of proposals is 10 September, 1991.**

Please respond to these questions in the space provided. Print or type responses in black ink. You must provide FIVE (5) COMPLETE SETS of this application, including attachments. Please submit all materials at the same time.

Date of this application: \_\_\_\_\_

If your group is part of a multi-level umbrella organization, the following questions refer to the group that will be using TWF grant money, if received.

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number(s): (\_\_\_\_\_) \_\_\_\_\_ (\_\_\_\_\_) \_\_\_\_\_ Contact: \_\_\_\_\_  
Day Evening

County in which your organization is located: \_\_\_\_\_ County(ies) your organization serves: \_\_\_\_\_

Give a one-sentence description of your organization:

In what category(ies) are you applying for a TWF grant?

- Childcare
- Homelessness
- Disability
- Violence Against Women and Children

How do you define the target population(s) served under the above category(ies)?

How do you define low-income?

Very briefly describe the project for which you are requesting funds:

**DESCRIPTION OF ORGANIZATION**

1. Describe how and why your organization was founded, its purpose and its activities.

2. Please provide the following information for your organization or agency (the one for whom this application is being submitted):

	Total No.		Total No.
Client population*	_____	Agency management	_____
Board officers	_____	Agency staff (excluding management)	_____
Board members (excluding officers)	_____	Agency volunteers	_____

\*Total number clients you serve, constituents represented, etc., counting women, men, girls and boys.

**TARGET POPULATIONS**

3. Please complete the chart below describing the women and girls served by your organization as well as board, staff and volunteers. The % and number of women and/or girls should be the % of women and/or girls as compared to the total given in Question No. 2 above. The % and number of low-income, etc. should be calculated based on the totals given for women and girls. If you have no clients, members, etc. in a particular category, enter "0" rather than leave a blank.

		WOMEN	Low-income	Of color	Single mothers	Disabled	Lesbians	Women over age 40	Women over age 60	GIRLS	Low-income	Of color	Disabled
Client population	No.:												
	%:												
Board officers	No.:												
	%:												
Board members	No.:												
	%:												
Agency management	No.:												
	%:												
Agency staff	No.:												
	%:												
Agency volunteers	No.:												
	%:												

**EMPOWERMENT**

4. Describe how your organization's activities help to empower women and girls. How does what you do help develop independence, leadership and self-sufficiency in members of your target population(s) and contribute to social change? Give specific examples, keeping in mind that a list or description of services you provide will not satisfy this criterion.

**THE WOMEN'S FOUNDATION**  
**Technical Review Application**  
**Summary Sheet**

How were members of your target population(s) involved in the founding of your organization?

When was your organization founded (year)? \_\_\_\_\_

Is your organization non-profit, tax-exempt? Yes \_\_\_\_\_ No \_\_\_\_\_

If not give the name, address, phone number and contact of your fiscal sponsor \_\_\_\_\_

\_\_\_\_\_

Have you applied to TWF before? No \_\_\_\_\_ Yes \_\_\_\_\_ When? \_\_\_\_\_

Have you received a TWF grant before? No \_\_\_\_\_ Yes \_\_\_\_\_ When? (list the year of any previous grant(s)) \_\_\_\_\_

Annual Operating Budget Last Two Fiscal Years:

FY \_\_\_\_\_ - \_\_\_\_\_ \$ \_\_\_\_\_

FY \_\_\_\_\_ - \_\_\_\_\_ \$ \_\_\_\_\_

Amount requested from TWF: \$ \_\_\_\_\_

**ATTACHMENTS**

Be sure to include with your application:

- 1) IRS tax-exemption letter for your organization or fiscal sponsor.
- 2) Organizational chart and list of governing board members.
- 3) Letter of approval of this proposal from your governing board or fiscal sponsor.

# The Women's Foundation

3543-18th Street, San Francisco, CA 94110

(415) 431-1290

## "How to Apply"

You are cordially invited to attend a "How to Apply" workshop, sponsored by the San Francisco Women's Foundation. If you are a nonprofit group working with low-income women and/or girls in one or more of the following areas:

- Childcare
- Homelessness
- Disability
- Violence Against Women and Children

This is a chance for you and other members of your staff and organization to learn more about the Foundation and how you can best use its resources.

### IN WATSONVILLE:

**Wednesday, 31 July 1991**

6:30-9:00 PM

Watsonville Recreation Center  
120-2nd Street  
(408) 728-6167

### IN OAKLAND:

**Tuesday, 13 August 1991**

2:00-5:00 PM

Spanish-Speaking Unity Council  
Conference Room, 2nd Floor  
1900 Fruitvale Ave. (nr. E. 14th St.)  
(415) 534-7764

## "Community Focus"

Tell us how your community is affected by:

- Childcare
- Homelessness
- Disability
- Violence Against Women and Children

How can foundations and other funders respond most effectively to these issues? What kinds of community/foundation partnerships can we build and what will make them successful?

### IN WATSONVILLE:

**Thursday, 1 August:**

Childcare 10:00 AM-Noon  
Homelessness 1:30-3:30 PM

**Friday, 2 August:**

Violence Against Women and  
Children 10:00 AM-Noon  
Disability 1:30-3:30 PM

Watsonville Recreation Center  
120-2nd Street  
(408) 728-6167

### IN OAKLAND:

**Thursday, 15 August:**

Childcare 10:00 AM-Noon  
Homelessness 1:30-3:30 PM

**Friday, 16 August:**

Violence Against Women and  
Children 10:00 AM-Noon  
Disability 1:30-3:30 PM

Spanish-Speaking Unity Council  
Conference Room, 2nd Floor  
1900 Fruitvale Ave. (nr. E. 14th St.)  
(415) 534-7764

**Please Pre-register** by calling The Women's Foundation, (415) 431-1290. Be sure to leave your name, phone number (including area code) and number of people attending. The meeting sites are wheelchair accessible. If you need other assistance (signer or translator), please give us at least two weeks notice. We will make every effort to accommodate you.



# The Women's Foundation

3543 Eighteenth Street • San Francisco, California 94110 • (415) 431-1290

## Board of Directors

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Carleen Bedwell  
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## Staff

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*Executive Director*  
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Paula Ross  
*Allocations Coordinator*  
Maria Ochoa  
*Development Coordinator*  
Myesha Jenkins  
*Technical Assistance Coordinator*  
Robin Gilbrecht  
*Bookkeeper*  
Joann Whitmore  
*Donor Systems Manager*  
Shan Goodman  
*Receptionist/Administrative Assistant*

Dear Progressive Friend:

No doubt the events of this year might cause you to have mixed feelings. I know that I alternately feel sad, overwhelmed, hopeful, and motivated. The crisis in the Middle East and the global and local implications brought about by increased U.S. militarism give us all cause for concern. Today I'd like to share with you the linkages between the work of The Women's Foundation and the budget discussions underway in Washington and Sacramento.

1991 is an especially significant year for The Women's Foundation because this year marks a full decade of philanthropic and educational work on behalf of women and girls. We have mixed feelings about celebrating our 10 years of growth and accomplishments and acknowledging the outbreak of war in the Middle East. As a funder of projects that empower low-income women and girls we see and feel the adverse impact of the war effort on domestic policies affecting women and girls. The war is over, but for every day that the military machine moves forward millions of dollars of war-related expenses occur . . . money that might otherwise be spent for services to low-income women and girls, people of color, the elderly, the disabled, homeless people, AIDS patients . . . the list is seemingly endless.

We know there simply isn't enough money in the current federal budget to sustain the war effort and we anticipate moves to make more cuts in domestic programs. History has shown us that we can expect those cuts in the areas of education, social welfare, and community and small business development; these cuts will most adversely affect the quality of life for women and girls in this country. We have only to look at the manner in which the California budget priorities are being established, and we can see that the federal budget will be not better, and possibly more punitive to those most at risk.

To be more specific, take a moment to imagine the future without the following programs, or if they are reduced past their current meager levels:

*What if the level of health care funding drops? And less money is made available for breast cancer research or AIDS/ARC research? Will we also see the challenge of Black infant mortality continue underfunded?*

*What if job training programs for older women or immigrant women are cut? Will the predominance of women entering and re-entering the job market be relegated to poverty-wage level, dead-end jobs?*

*What if there is an even more drastic turn away from a commitment to quality education? How many of our youth will emerge from their adolescence illiterate and unable to cope in an ever demanding world? Where will immigrants receive much needed English language skills?*

*What if the national debate on child care is put on the back burner . . . again?!*

Now is not the time to either give up or to succumb to depression. Now is the time to act!

**This very day you can do three things that will make a difference:**

1. Call President Bush (202) 456-1414 and voice your concern;
2. Call Governor Wilson (916) 445-2841 and express your opinion; and
3. Make a contribution to The Women's Foundation.

You may ask how giving to The Women's Foundation will make a difference on the issues of the day for women and girls. By writing a check to TWF you ensure our ability to identify and speak out about the important issues impacting women and girls. Your gift to The Women's Foundation also makes it possible for us to grant the many funding requests which come to us. Most recently, we have been able to give grants to organizations such as:

\* **Hale Laulima**, a transitional housing, counseling, and training program for women having AIDS/ARC or testing HIV+ and their children; and to

\* **Asian Pacific Islanders for Choice**, a coalition of organizations and individuals who are organizing important health education and outreach programs to the Asian and Pacific Islander communities as they are building cultural diversity into the reproductive rights movement; as well as to

\* **Rural Economic Alternatives Project**, a job training program in San Joaquin County working with rural and inner-city residents to develop, organize, and obtain training that will enhance their job viability.

As you can see, our grant recipients are dedicated to meeting the diverse needs of women and girls. In recognition of the importance of this work and of challenging you to become a donor, an anonymous donor has given The Women's Foundation a \$100,000 challenge grant.

**Because of this grant you can double your contribution to The Women's Foundation simply by writing a check, and any amount up to \$500 will be matched dollar for dollar.**

The anonymous donor, who has made this gift possible, is a man whose first-hand experience as a social worker gave him an opportunity to work with the women and girls that TWF is reaching. He is making this gift because, in his words, "I want to challenge people to be part of creating an environment in which women can claim their power."

We sincerely hope that you will take a moment to become a part of creating an environment of empowerment for women. You can do this very simply by writing a check to The Women's Foundation. In this time of crisis, the work of our grantees becomes even more intense and necessary. With your help you can ensure a rigorous long life for this important work.

Peace,



Kit Durgin  
Executive Director

**REMEMBER: By responding to the challenge grant, your contribution to The Women's Foundation will be doubled.**

**THE WOMEN'S FOUNDATION:  
A Decade of Creating an Environment of Empowerment  
for Low-income Women and Girls**

**1991:** The Women's Foundation receives \$100,000 challenge grant from a donor who wants to "challenge people to be part of creating an environment in which women and girls can claim their power."

The Women's Foundation is a key participant in the conceptualizing and creating of "Come into the Sun," a conference which explores the societal and institutional factors affecting women and girls within the judicial system.

The Women's Foundation establishes a Pooled Income Trust Fund and receives a lead contribution of securities valued at approximately \$50,000 from a man who "see the atrocity of violence against women and wants to make a difference."

**1990:** The Women's Foundation receives the first year funding of a three-year, \$300,000 grant from the May and Stanley Smith Trust for women and girls who are without housing, disabled, and/or the targets of violence.

The Women's Foundation co-sponsors with the Ms. Foundation the Women's Economic Development Institute which is held on the West Coast in Berkeley for the first time. Attendees are present from across the nation and around the world.

The Women's Foundation is also the recipient of a \$200,000 donor advised fund whose income is used to grant scholarships for further education and training for graduating high school girls in East Palo Alto.

**1989:** The Women's Foundation tops the \$1 million dollar mark, since beginning allocations 7 years ago, in allocating grants to more than 300 organizations working with low-income women and girls.

**1988:** The Women's Foundation receives a grant from the James A. Irvine Foundation for the purpose of providing technical assistance to grantees in the rural communities of Northern California.

**1987:** The Women's Foundation launches WISE (Women's Initiative for Self-Employment), an organization which trains and assists low- and moderate-income women in starting small businesses.

**1986:** The Women's Foundation hits the half million dollar mark in allocations distributions.

**1985:** The Women's Foundation partners with the Ms. Foundation and establishes the National Network of Women's Funds, a support network for emerging and existent foundations whose focus is women and girls.

**1984:** The Women's Foundation starts up "Girls Mean Business," a program for low-income girls of color, crafted after Junior Achievement. The program becomes a national model and later becomes a regular part of YWCA programming.

**1983:** The Women's Foundation staff of two is ably assisted by more than 130 volunteers on more than 10 committees and task forces, thus beginning our long tradition of involving and encouraging a diversity of community ideas and energies in the workings of TWF. The benefits are increased cultural and racial diversity, and a richer level of discussions and directions for TWF.

**1982:** The Women's Foundation makes its first allocations totalling \$32,000.

**1981:** The Women's Foundation holds its first ever public event. Our debut is at a reception attended by more than 150 interested supporters and friends.

**1980:** The Women's Foundation is born when Ruth McGuire makes the lead contribution in the name of Louise Hoyt.

*I will make a tax deductible contribution in 1991 to The Women's Foundation*

CIRCLE OF FRIENDS

\$1 - 99

*Balancing grace with commitment ...*

EVELYN CISNEROS

\$100 - 349

*Giving with joy and responsibility ...*

LOUISE M. DAVIES

\$350 - 499

*Harvesting the future ...*

DOLORES HUERTA

\$500 - 999

*Leading with wisdom and dignity ...*

BARBARA JORDAN

CIRCLE OF GIRLS

*Contributions by or in honor of girls*

\$ \_\_\_\_\_

*Going higher ...*

SALLY RIDE

CIRCLE OF SISTERHOOD

\$1,000 - 2,499

*Transcending barriers ...*

MARLEE MATLIN

\$2,500 - 4,999

*Competing with courage and respect ...*

MARTINA NAVRATILOVA

\$5,000 - 9,999

*Expanding the boundaries of tradition ...*

MARIA TALLCHIEF

\$10,000 - 24,999

*Communicating with compassion & ethics ...*

WENDY TOKUDA

\$25,000 +

*Tending the hearth of the spirit ...*

ALICE WALKER

I'm making my gift in the following manner (Check one):

Please charge my  VISA  MASTERCARD

Card # \_\_\_\_\_ Exp. Date \_\_\_\_\_ Signature \_\_\_\_\_

Enclosed is my check in the amount of \$ \_\_\_\_\_ .

I'm pledging \$ \_\_\_\_\_ for the calendar year. Please bill me quarterly.

I want my gift to remain anonymous.

I am making this gift in honor of (name/address) \_\_\_\_\_

*(When you make a gift to TWF in someone else's name, both you and s/he become donors, and a gift card is sent. The amount is never specified, of course.)*

Name \_\_\_\_\_

Address \_\_\_\_\_ Community Memory

City, State, Z \_\_\_\_\_ 2716 San Pablo Ave.

Phone (day) \_\_\_\_\_ Berkeley CA 94702

GUID

*Celebrating ten years of funding  
women's and girls' projects and issues.*

THE WOMEN'S FOUNDATION  
3543 Eighteenth Street, No. 9  
San Francisco, CA 94110

ATTN: Development Department



# The Women's Foundation

3543 - 18th Street  
San Francisco, California 94110

NON-PROFIT ORG



U.S. POSTAGE

0,111

H METER 42/37



**HISTORY & PURPOSE**

Since 1972 Vanguard Public Foundation has been a source of funding for social change organizations and projects. As a partnership of community activists and donors, Vanguard works to achieve a more equitable distribution of wealth and power in our society.

Vanguard funds new or existing organizations involved in direct organizing in Northern California (all counties north of Monterey). Vanguard provides money to start projects or to sustain them until other financial resources are developed.

The major objective of Vanguard grantmaking is the empowerment of historically disenfranchised sectors of society through community organizing and advocacy. Empowerment refers to processes which increase the ability of individuals and groups to gain control of their lives and to participate effectively in collective and institutional efforts to solve common problems. An organization which empowers must have the active involvement of its constituents in defining the problem, choosing its leadership, making policy and planning and evaluating the program.

**FUNDING POLICIES**

Vanguard funds groups that:

1. seek to alter the underlying causes of injustice, poverty, and disenfranchisement;
2. involve low-income and working class people in achieving self-determination;
3. work towards a society free from racism, sexism, heterosexism and economic exploitation and which support the rights of disabled people, immigrants and refugees, lesbians and gay men, people of color, women, workers, youth and elderly;
4. promote peace and a responsible foreign policy;
5. incorporate clear affirmative action guidelines and practices;
6. work on such issues as community organizing, cultural activism, health and environment, international issues, and peace and disarmament.
7. Vanguard gives priority to coalitions that emphasize joint strategies and projects. We strongly encourage multi-chapter organizations to apply jointly, although individual chapters may receive funding.

Vanguard does not fund:

1. individuals;
2. capital expenditures or equipment purchase;
3. organizations involved in direct services, research or education, unless the proposed project is clearly of an organizing nature and cannot be supported within the general program budget;
4. production costs for film;
5. out of state travel;
6. conferences, events, or cultural projects not integrally related to ongoing organizing;
7. projects substantially supported by large funding sources, such as churches, state and federal government or large foundations;
8. retroactive projects or costs already incurred, i.e. debts.

**REAPPLICATION** Organizations not funded may reapply six months after the deadline of prior application.

Past grantees may reapply, provided all final narrative and financial reports have been filed. A second request may be submitted 12 months after the date the first grant was awarded; third request may be submitted 18 months after second grant; fourth and subsequent requests may be submitted 24 months after previous grant.

**EMERGENCY FUND** Vanguard has a small fund available to organizations responding to significant geo/political disasters. Grant amounts are \$500-\$1000, limited to \$2500 per funding cycle. Call grants office for details.

**NORTHERN CALIFORNIA COMMUNITY LOAN FUND** Vanguard Foundation is affiliated with the Northern California Community Loan Fund which loans funds to community development projects such as low-income housing projects, worker-owned businesses and other ventures requiring major capital investment. Write NCCLEF, 14 Precita Avenue, SF CA 94110, or call 415\285-5797 for more information.

**THE FUNDING EXCHANGE** Vanguard is a member of the Funding Exchange (FEX) based in New York City, which has three grantmaking programs for organizations that have national impact:

1. The General Fund
2. National Community Funds
3. The Paul Robeson Fund for Film & Video

For details on Funding Exchange programs, write FEX, 666 Broadway, New York City, NY 10012 or telephone 212\529-5300. Robeson Fund applications are available through Vanguard's offices. The map below indicates locations of other FEX member foundations which have funding guidelines similar to Vanguard's in specific geographic regions.

**INFORMATION** For more information call or write: Grants Associate Vanguard Public Foundation, 14 Precita Avenue, San Francisco CA 94110. 415\285-2005.

**ESPAÑOL** Si quisiera mas informacion sobre la Fundacion Vanguard, Ud. puede llamar o escribir: Fundacion Vanguard, 14 Precita Avenue, San Francisco, CA 94110. 415\285-2005.

revised feb 1990

## Vanguard Public Foundation

**FUNDING CYCLE & PROCESS** Vanguard's funding decisions are made by an Allocations Committee comprised of board members, donors and community activists. The committee screens all grant applications, and decides to interview groups that best fit VPF's guidelines and current funding priorities. The Allocations Committee makes its final decision based on the written application, the interview, guidance from people who know the organization's work, and discussions.

Grant range is \$500 to \$10,000; grant average is \$4,500. The Allocations Committee meets quarterly. The full process takes five months from application deadline. Applications must be delivered or post dated by deadline. Late applications are not accepted.

<u>Funding Cycle</u>	<u>Deadline</u>	<u>Final Decision</u>
Winter	January 1	June 15
Spring	April 1	September 15
Summer	July 1	December 15
Fall	October 1	March 15

**APPLICATION PACKAGE** The Allocations Committee will need the following information about the organization. There are three parts to the proposal: summary sheet, the narrative (items b.- g., not more than five pages) and attachments (items h.-p.). Please assemble in order and use this as a check list when submitting the information.

### I. SUMMARY SHEET

- a. **Summary** This is the only information that the Allocations Committee sees in making the first screening.

### II. NARRATIVE

- b. **Brief History & Description** Describe the purpose of the organization and the exact work it does to achieve its goals. Include an explanation of problem or situation that project or organization addresses.  
Additionally: if the organization is involved in community organizing, describe its fundamental relationship with the community. If cultural in focus, describe the social change intent of the organization.
- c. **Structure** Describe organizational structure including decision making process, constituents, membership, governing body, advisory committee, etc.
- d. **Project** If this is not a general support request, describe project for which you are requesting funds.
- e. **Networks** Describe relations with other groups working on same or similar issues, how you interact; if working in the area of international solidarity, address relationship with organizations in country of support
- f. **Evaluation** How will project effectiveness be evaluated?
- g. **Affirmative Action** What are the organization's affirmative action policies and how are they implemented. Are policies written?

III. ATTACHMENTS please attach the following:

- h. **Leadership** One paragraph biographies of key leadership; attach list of governing body with organizational affiliation
- i. **References** List three people, with phone numbers, who can speak of the organization's work from experience.
- j. **Funding**

  - List last fiscal year funders & amounts
  - List current sources of funding & amounts
  - Where is this proposal currently pending

Describe fundraising strategies you have engaged in: e.g. direct mail, events, major donor, etc.
- k. **Financials**

  - Attach income & expense statements & balance sheet for last completed fiscal year
  - Attach current operating budget
  - projected budget for next fiscal year.

Indicate any funds that are restricted from organizing or advocacy work.
- l. **Specific Budget Request** Attach project budget for which you are requesting funds, if different from previous question. Please budget this request, e.g.

Salaries . . . . .	_____
Rent . . . . .	_____
Supplies . . . . .	_____
Total request to Vanguard: \$	_____

If you are allocated less than full funding what are your priorities for funds?
- m. **Past VPF grants** If you have received VPF funds in the past please describe amount, year, purpose, and result.  
Note final reports on past grants must be submitted before we can accept new proposals.
- n. **Non-profit status** Attach copy of IRS determination letter. If you will use fiscal sponsor, attach agreement letter with sponsor and a copy of their IRS letter.
- o. **Statistics** Attach completed statistical form
- p. **Outreach Materials** Attach samples of promotional or outreach materials such as brochures, flyers, etc. used in the last year. Enclose a stamped self-addressed envelope if you need video and audio tapes back.

Vanguard Public Foundation: SUMMARY SHEET

Date \_\_\_\_\_

Organization \_\_\_\_\_

Project Name (if different) \_\_\_\_\_

Address/City/Zip \_\_\_\_\_

Contact \_\_\_\_\_ Day phone \_\_\_\_\_ Eve phone \_\_\_\_\_

	<u>Organization</u>	<u>Project</u> (if applies)
Date founded	_____	_____
Geographic Area Served	_____	_____
Constituency served	_____	_____
Current operating budget	_____	_____
Number staff	_____	_____
Core membership size	_____	XXXX
Total membership	_____	XXXX
Mailing list size	_____	XXXX

Current funding sources \_\_\_\_\_

Previous Vanguard grants (year, amount) \_\_\_\_\_

Summarize proposal in space provided, include purpose of organization &/or project, need being met, current activities & accomplishments.

Amount requested/use of funds (e.g. salaries, rent, printing, etc.)  
\$ \_\_\_\_\_ for \_\_\_\_\_

CONSTITUENCY INFORMATION FORM

In order for the Allocations Committee to monitor the diversity of its grantmaking we ask that applicants fill out and return this questionnaire with the proposal. All information is confidential and is shared only with staff and the Allocations Committee.

Organization \_\_\_\_\_

For each of the following questions, select one answer for the organization's leadership (governing body and professional staff) and one answer for constituency (the people your organization serves, involves or represents).

Which one of the following best describes the majority (51% +) of your leadership and your constituency.

RACE B Black A Asian Pacific L Latino/Chicano O Other (specify)  
N Native American W White M Multi-racial (specify)

Leadership \_\_\_\_\_

Constituents \_\_\_\_\_

If multi-racial, further specify ethnic breakdown, i.e. 33% White, 25% Black, 42% Asian.

GENDER M Men W Women M Mixed (specify breakdown)

Leadership \_\_\_\_\_

Constituents \_\_\_\_\_

CLASS L Poor W Working Class M Middle income M Mixed (specify)

Leadership \_\_\_\_\_

Constituents \_\_\_\_\_

SEXUAL ORIENTATION

B Gay & Lesbian G Gay Male L Lesbian H Heterosexual X Mixed

Leadership \_\_\_\_\_

Constituents \_\_\_\_\_

AGE Y Children & Youth M Middle range (25-55) S Seniors X Mixed

Leadership \_\_\_\_\_

Constituents \_\_\_\_\_

Vanguard Public Foundation

1988 - 1989

# Making Your Voices Heard



5/5/90 - Esp req. guidelines

~~\_\_\_\_\_~~  
Brenda Crawford  
Acting Director

### **Board of Directors and Allocations Committee**

**Jane Baker**

*Financial consultant to progressive organizations*

**Daniel Buford**

*Executive Director, Ecumenical Peace Institute; minister*

**Andrew Bundy**

*Development consultant to youth service and public school improvement projects*

**Maria Bures**

*Cultural Activist, filmmaker*

**Meredith Cahn**

*Executive Director, Women's Needs Center; active in women's health issues*

**Kimo Campbell**

*Co-Director, Pohaku Fund; active in peace, First Amendment, and Hawaiian issues*

**Laurie Cohen**

*Marriage, family, and child counselor*

**Brenda Crawford**

*Organizational development consultant*

**Julia Estrella**

*Director, Pacific and Asian American Center for Theologies and Strategies (PACTS)*

**Nancy Feinstein**

*Active in women's and gay health issues; Dean of Graduate Psychology, New College of California*

**Jaime Gallardo**

*Labor Attorney in private practice; long-time community activist in San Jose*

**Yvonne Scarlett — Golden**

*Principal, San Francisco School District; Active in Anti-Apartheid, Central and South American, and Caribbean support work; international peace activist*

**Dennis Jennings**

*American Indian Movement Activist; Chair of West Coast Eddie Hatcher Defense Committee*

**Linda Lucero**

*Executive Director, La Raza Graphics Center; Active in Latino community arts; Board member, La Galeria de la Raza, Teatro Nuestro*

**David Matchett**

*Independent accountant; domestic violence counselor at Men Overcoming Violence*

**Leonard McNeil**

*City Council Member, San Pablo; Program Director, Peace and Justice Youth Outreach Project*

**Juliet Melamid**

*Licensed family therapist; involved in women's rights and Central American issues*

**Susanna Moore**

*Writer, activist*

**Bill Rosenfeld**

*Founding Board member, the Thorn Fund; interested in organizational issues affecting social change*

**Suzanne Rubel**

*Counselor and educator, San Francisco State University; founding Board member, the Thorn Fund*

**Young Shin**

*Executive Director, Asian Immigrant Women's Advocates, labor organizer*

**Patricia Silver**

*Actress; Board member, Life on the Water, longstanding Vanguard committee member*

**Peter Stern**

*Writer and activist; Board member, Northern California Community Loan Fund*

**Betsy Weedon**

*Human rights activist; past Vanguard staff member*

**Leslie Wozniak**

*Lesbian activist; co-owner of travel agency serving the progressive community*

**Doug Yamamoto**

*Co-founder, Japantown Writers Workshop; editor and author*

### **Staff**

**Beatriz Rosales**

*Executive Director*

**Paul Haible**

*Director of Development*

**Dan Geiger**

*Development Associate*

**Miyoko Oshima**

*Grants Associate*

**Wendy Carmody**

*Arlean Solis  
Administrative Aides*

**Kris Balloun**

**Lui Gonzales**

**Belvie Rooks**

*Contract Support*

**Jane Fischberg**

**Stephanie Hochman**

**Denise Louie**

**Marcella Moreno**

*Student Interns*

*Bilingual Spanish/English staff are available.*

(Page 1) The North of Market Planning Coalition's Homeless Task Force organized this demonstration of homeless people and their supporters to press the City of San Francisco to improve services for homeless adults and families.

**Vanguard Public  
Foundation  
14 Precita Avenue  
San Francisco CA 94110  
(415) 285-2005**



*"Open your mouths and let out your lungs,  
Raise such a clamor  
that those in high places will wonder  
what all the row is about . . ."*

*Jack London, 1905*

Vanguard Public Foundation

1988 - 1989

## Letter from the Director



*Beth Rosales*  
*Executive Director*

This is an exciting time for Vanguard Public Foundation. As we begin our *18th year*, we are stronger than ever. We are making our voices for peace and justice heard in ways we could only dream of before.

We've not only survived — but thrived — in these difficult times when more and more of our nation's wealth concentrates in the hands of the powerful few. We thrive because our roots are deep in the community and democracy is the heart and soul of our structure. Donors and activists alike rely on the integrity of our programs because they are represented at all levels of our decision making process.

As a founding member of the Funding Exchange (FEX) network, we're proud to join in celebrating its 10th anniversary this year. Our movement now includes 15 community-based funds throughout the United States. To enhance our collective security and future growth, FEX launched an exciting \$15 million nationwide endowment campaign at the start of 1989.

Here in Northern California, our impact is stronger than ever. Since 1987, our grants have grown from \$437,359 to \$565,136 in 1989. In fiscal year 1989, *we increased our total grants more than 25 % compared to last year.*

Day in, day out, the Foundation is creatively meeting the challenges of the eighties and nineties head on by:

- Developing new grantmaking strategies, such as multi-year funding, to tackle some of our most pressing and difficult social problems.
- Making larger grants to organizations that have especially significant potential. We know that with a stronger financial base, many of these projects will have the nourishment they need to sink deep roots into our communities and become increasingly stronger voices for progressive social change.
- Investing in program development. We're executing a two-year plan to invest reserves and staff development and expansion — as a result, we've initiated a variety of new programs and an intensified campaign to expand our donor base.
- Enabling more and more people of every economic level — from those with limited amounts of disposable income to those with inherited wealth — to support and become part of a broad spectrum of community movements.

But there are many tough battles ahead. Men, women, and children walk our city streets with no place to call home. AIDS continues to steal our leaders and loved ones at a staggering rate. Crack is ravaging the nation and destroying the future of our youth. Threats to our environment and food supply imperil our health as

never before. Refugees from war and economic deprivation journey to the United States, hoping to build a life free from repression and want. A woman's right to control her own body is in serious jeopardy, and civil rights of all kinds are under attack by an increasingly conservative Supreme Court.

Vanguard stands ready to meet these challenges. Our impact is growing stronger every year as we direct our resources to meet the needs of the day. This year we are expanding our funding to reach Latino and Mixtec Indian farmworkers in the Central Valley; funding youth development programs to counteract the decimation of our inner cities; strongly supporting the preservation of affordable housing; and providing resources to insure that all women have the right to choose when and if to have a baby.

All over Northern California, Vanguard is making your voice heard — for peace, community empowerment, human rights, economic justice, and the protection of our environment. We're moving ahead, building a stronger foundation to carry us through these uncertain times. We remain in the vanguard of the progressive movement because of one reason: we listen to you, the people of our diverse community. And in turn, we'll continue to insure that your voice is heard.

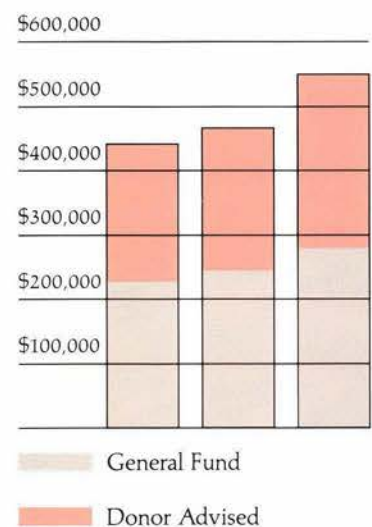
Your support is a source of sustenance and inspiration to the many people working to improve our future. Please join us in expanding this partnership for change. Make a gift, give your time, tell your colleagues and friends about us. We need you.

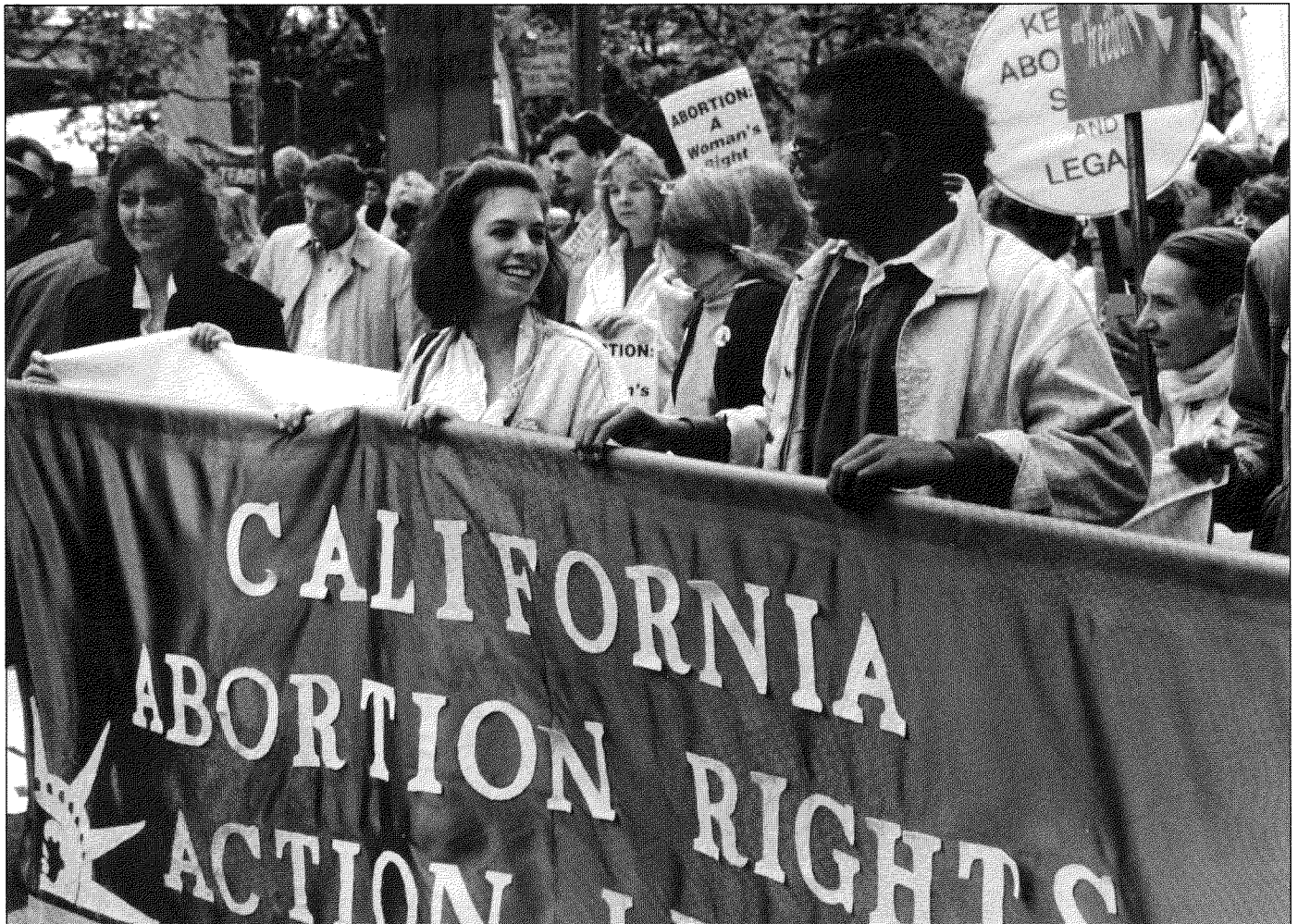
Thank you for your support.



Beatriz Rosales  
Executive Director

**Growth in Total Grants**  
Fiscal Years 1987 to 1989





*March for Women's Equality and Women's Lives, part of the nationwide pro-choice movement.*

## Grantmaking

Vanguard has two grantmaking programs: The General Fund and Donor Advised Giving. The General Fund disburses the money we raise from our public fundraising campaigns, while Donor Advised Giving provides a mechanism for donors to support specific groups or fields of interest.

### *The General Fund*

Vanguard's General Fund works differently from most other foundations. We make sure that the community of activists in which we invest has a strong voice in funding decisions. Our Allocations Committee represents a broad spectrum of activists and donors, thereby insuring that our process is both democratic and responsive. When organizations meet with the Allocations Committee to discuss their proposals, they are sitting down with people who are personally involved in organizing, people who share their dedication to peace and justice.

The General Fund makes grants on a quarterly basis. We fund community organizing projects that:

- Foster self-determination for the disempowered and seek to address the causes of injustice and poverty;

- Promote peace and a responsible foreign policy;
- Practice affirmative action;
- Combat racism, sexism, homophobia, and protect the rights of the disabled, immigrants and refugees, workers, youth and the elderly;
- Promote community organizing, cultural activism, responsive health care and a safe environment.

Applications and funding guidelines are available from our office in English and Spanish.

## ***The Year in Grantmaking***

Vanguard has always funded organizations that work to redress social and economic inequalities. Our grantees take on the root causes of social problems, instead of simply treating the symptoms. For example, this year our funding emphasized the *preservation* of low-income housing and the empowerment of the homeless so they can help themselves and effectively speak out about their plight.

Developments such as AIDS, devastating unemployment, crack addiction, the unique needs of the disabled, and the alienation of farmworker populations challenge traditional models of community organizing. Each of these problems demands a unique response. Because we are rooted in the community, Vanguard is sensitive to these needs, and has adapted our funding to the new realities we face.

Significant trends this year include substantial grants to inner city youth groups working on issues like crack, unemployment, and leadership development. Our AIDS funding focused on education and prevention in underserved areas like the Latino gay community and young African-Americans in the East Bay. We supported a training project that enables survivors of torture and war trauma in Central America to begin to heal themselves, then go on to become activists who speak out about their experiences.

We've branched out geographically as well. In December 1988 we hosted an outreach event that attracted over 40 organizations in the Central Valley. As a result, in our 4th quarter we disbursed almost \$24,000 to rural farmworker, immigrant and refugee organizations. For some, these grants represent their first significant funding.

The Allocations Committee continues to listen to the voices of our funding constituents, seeking grantees which seek to empower through involvement, and which need that crucial first grant to get their project up and running.

## ***Technical Assistance and Outreach***

In addition to grantmaking, Vanguard supports grantees with technical assistance, public education and outreach programs. We play a key role in bringing grantmakers and grantees together by initiating outreach events like the one in the San Joaquin Valley. This year, we also hosted, with the Women's Foundation, an outreach event in West Oakland in order to insure that this largely African-American community is aware of funding possibilities.

Vanguard also participates regularly on panels and workshops with other foundations and is an active member of the Northern California Grantmakers Association.

**Every year the state legislature votes to restrict Medi-Cal funding. This year, because we had money to hire an organizer, we were more prepared and did better in the vote count than we've done in our eleven years history. The Vanguard grant came through right on time.**

Susan Kennedy  
Executive Director/California  
Pro-Choice Education Fund



Vanguard Board Co-Chairs, Brenda Crawford and Meredith Cahn.

## **General Fund Grants in Fiscal Year 1988-89**



*Committee for Labor Research and Education vigil in memory of Dr. Martin Luther King Jr.'s "I Have a Dream" speech at the March on Washington in 1964. The demonstration focused on discrimination against gay and Third World Hotel and Restaurant workers in 1989.*

### **Community Organizing**

**Amount**

African Research Committee	2,500
Bayview Hunters Point Jobs Coalition	2,000
Break the Silence Coalition	2,500
California Association of Family Farmers	3,000
Centro del Pueblo	3,000
Criminal Justice Consortium	4,000
Filipino Organizing Project	2,000
Native Americans and the Death Penalty	3,000
North of Market Planning Consortium	3,000
Pittsburg Community Organizing Project	3,500

Total 28,500

### **Cultural Activism**

Centro Cultural Nicaraguense	3,000
Likha Promotions	2,000
National Asian American Telecommunications Association	4,000
Ohana Cultural Center	8,500
Tale Spinners Theater	2,500
Wajumbe Cultural Institution	2,000

Total 22,000

### **Disability Rights**

KIDS Project	2,500
Wry Crips Theater	4,000

Total 6,500

### **Health, Environment, Toxics**

California Coalition for Alternatives to Pesticides	7,000
Community Health Coalition	3,000
Community United in Response to AIDS/SIDA	2,500
Coronado Neighborhood Council	2,000
New Conservancy Theatre	5,000
Third World Mental Health Coalition	4,000

Total 23,500

### **Housing and Homeless**

Berkeley Ecumenical Chaplaincy to the Homeless	5,000
Coalition for Low-Income Housing	7,000
Northern California Association for Non-Profit Housing	10,000
St. Peter's Housing Committee	7,000

Total 29,000

### **Immigrant and Refugee Rights**

Benito Juarez Civic Association	6,500
Central Valley Equal Rights Congress	6,500
Coalition to Aid Refugee Survivors of Torture	4,500

Committee to Defend Immigrant and Refugee Rights	3,000
Community Coalition for Immigrant Justice	4,000
Reedley Social Services Immigrant Defense Committee	6,500

Total 31,000

***International Issues***

Central American Mission Partners	4,000
Church Network on the Philippines	5,000
El Salvador Solidarity and Information Office	6,000
Free South Africa Labor Committee	5,000
Maestros por la Paz	5,000
Philippine Assistance for Technology and Health	4,000
Philippine Resource Center	6,000
South and Meso American Indian Information Center	5,000
Tecnica	3,000

Total 43,000

***Lesbian and Gay Rights***

Gay/Lesbian Youth Advocacy Council	4,000
Mid-Peninsula Support Network	1,500

Total 5,500

***Older People's Rights***

Oakland/Emeryville Gray Panthers	4,000
Tenderloin Senior Organizing Project	2,500

Total 6,500

***Women's Rights***

California Pro-Choice Education Fund	5,000
Mission Neighborhood Centers	4,000
Tradeswomen	4,000
Women Empowering Women	3,000
Women's Economic Agenda Project	5,000

Total 21,000

***Workers' Rights***

California Working	3,000
Center for Community Advocacy	7,000
Community Labor Education Research Project	5,000
Migrant Farmworker Rights Project	2,000
Mixteco Mobile Organizing Project	4,000

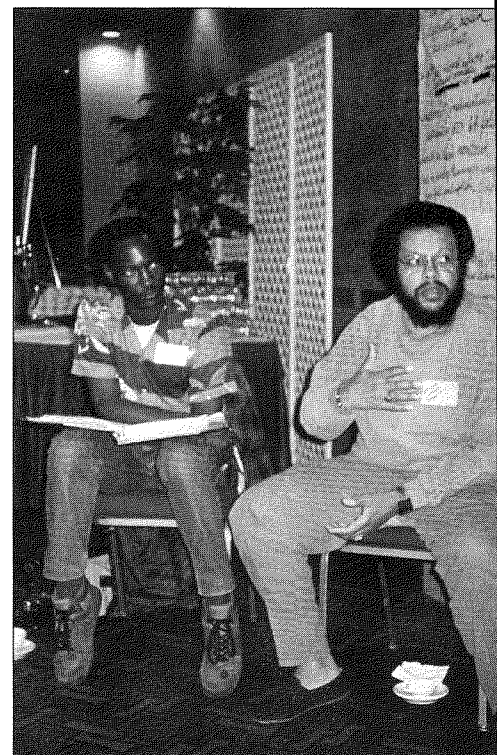
Total 21,000

***Youth Empowerment***

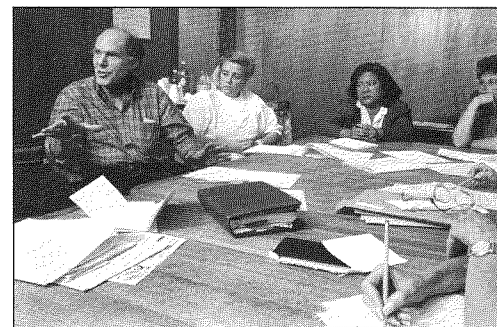
Bay Area Children of War	5,000
Chicano Mental Health Association	5,000
Consortium for Young Women	3,000
Glide Foundation — Teen Facts on Crack	4,000
Ingleside Youth Project	10,000
Peace and Justice Youth Outreach Project	7,500
Peace Center of Marin	3,000

Total 37,500

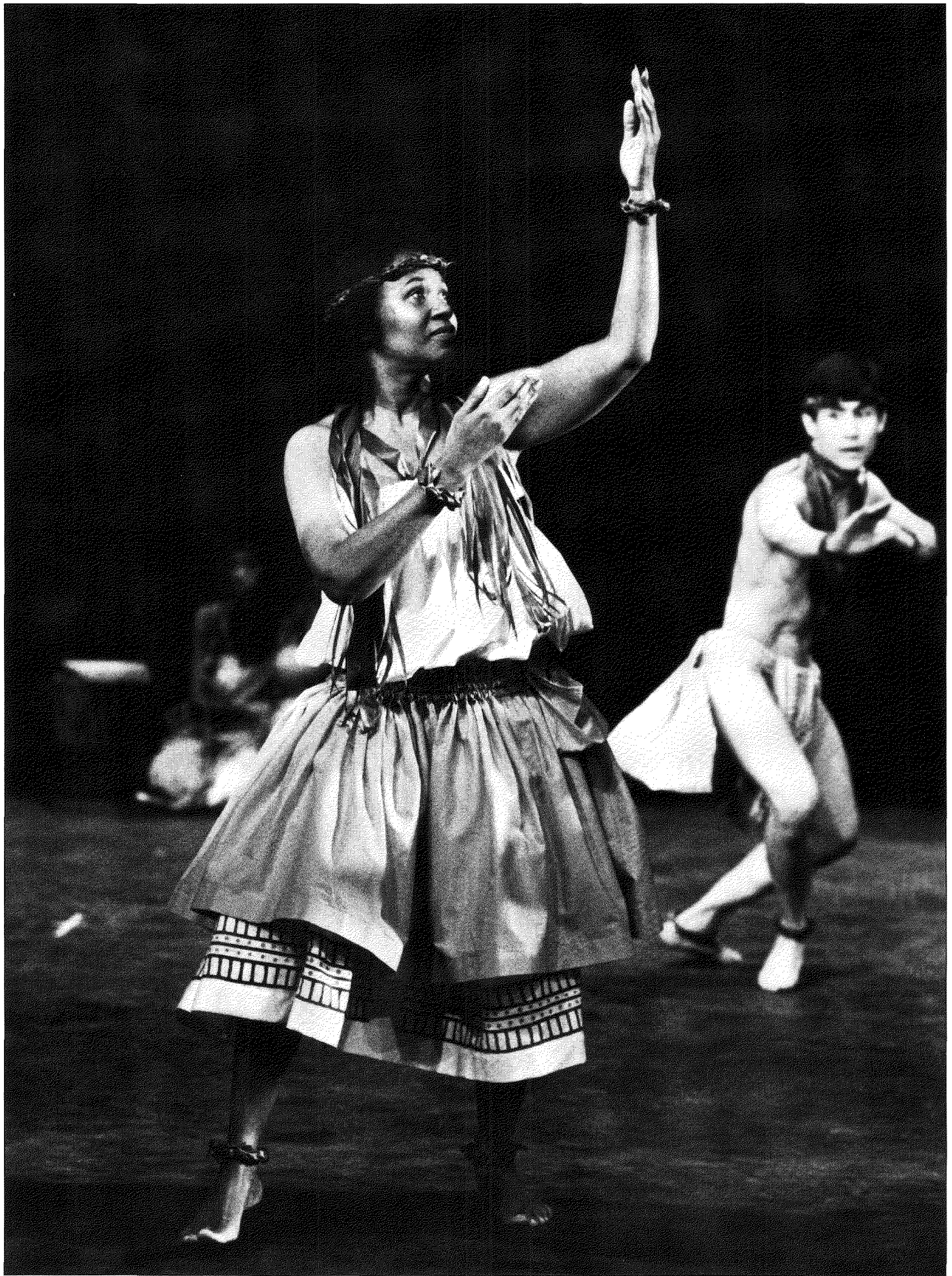
Grand Total \$275,000



*Funding Exchange long-range planning session at the annual meeting, August, 1989.*



*Allocations Committee educational on the Middle East.*





*San Quentin inmates keep alive traditional culture and rituals with the help of American Indians and the Death Penalty.*

## Community Organizing

### **African Research Committee Oakland**

\$2,500

The African Research Committee of Laney College works with community organizations to educate students and the general public about the political situation in Africa, focusing on issues that affect women and youth. This grant is for their educational outreach activities.

### **Bayview Hunters Point Jobs Coalition San Francisco**

\$2,000

The Jobs Coalition came together in 1985 to address the rampant unemployment in the Bayview Hunters Point area. Several churches form the base of this coalition, which advocates forcefully for greater employment opportunities in the neighborhood. The Coalition's sponsor is the San Francisco Organizing Project.

### **Break The Silence Coalition San Francisco Bay Area**

\$2,500

An outgrowth of a conference on anti-Asian violence, BTS is an organization of individuals that combats growing racist hatred and violence against Asians and other ethnic groups through education, advocacy, and organizing. The Vanguard grant is for their outreach projects.

### **California Association of Family Farmers, Davis**

\$3,000

CAFF has won major policy reforms on such issues as pesticide use and farm credits while organizing chapters throughout Northern California that have significant numbers of women and Third World farmers. Vanguard funding will go toward the salary of a Latina organizer to conduct outreach to the Spanish speaking community.

### **Centro Del Pueblo San Francisco**

\$3,000

Centro del Pueblo is a coalition of six nonprofit agencies that serve low—and moderate-income people in the Mission and other San Francisco neighborhoods. The Centro is now trying to secure a building in order to stabilize services and to provide affordable space for other groups. The Vanguard grant will help fund their project organizer.

### **Criminal Justice Consortium San Quentin**

\$4,000

The Consortium aims to change the current overreliance on prisons, and to promote the least restrictive, most cost-effective alternatives to incarceration. It also challenges policies that lead to the disproportionate imprisonment of people of color and the poor. This grant is for personnel and operating expenses.

### **Filipino Organizing Project Daly City**

\$2,000

FOP's first campaign addressed the small number of Filipino teachers and counselors relative to students in Daly City schools: they organized parents and students to confront the school district, and won promises for new hiring policies and in-service training. Vanguard funding will support their new organizing work in San Francisco's Outer Mission area.

### **Native Americans and the Death Penalty Sebastopol**

\$3,000

Native Americans are four times more likely than any other group to get the death penalty. NADP makes sure that Native American prisoners receive the best defense possible, offers them legal and spiritual counsel, and acts as a liaison between them and their non-Indian attorneys. Vanguard support is for a nationally distributed informational/fundraising brochure.

### **North of Market Planning Coalition San Francisco**

\$3,000

NOMPC organizes Tenderloin residents to preserve their neighborhood as a low-income district. The Coalition mobilizes its members to tackle issues critical to the area, such as housing, homelessness, zoning, and Southeast Asian participation in the community. This grant is for general operating costs.

### **Pittsburg Community Organizing Project Pittsburg**

\$3,500

PCOP organizes neighborhood block clubs that address concrete problems, focusing on the displacement of elderly, low-income Blacks, Latinos, and Filipinos who have been long-time downtown residents. This year they will concentrate on affordable housing issues and upgrading services. The Vanguard grant is for general operating expenses.

1/2 of 1% of U.S. Citizens are American Indians. American Indians are four times more likely to end up on death row than other inmates.

**Five years ago Richie Blake was sentenced to death row at Vacaville. This year on June 7 Richie Blake was found not guilty. Vanguard's grant helped us mobilize the support we needed to win this victory.**

Isidro Gali  
*Director, American Indians and the Death Penalty*

*(Opposite) Leianuenue Dancing Troupe at the Ohana Cultural Center studies and performs Hawaiian, Tahitian and Maori dances.*

**Vanguard funds a wide range of issues. We don't just fund women's rights or peace or anti-intervention work. We fund the Movement.**

Jane Baker  
*Vanguard board member,  
 Funding Exchange board member,  
 and Financial consultant*



Lui Gonzales  
*Vanguard Bookkeeper*

## Cultural Activism

**Centro Cultural Nicaraguense  
 San Francisco** \$3,000

The center of Nicaraguan culture in California, the Centro seeks to maintain the artistic aspects of the revolution while changing North American attitudes through shows, forums, videos, and talks before groups outside of the solidarity movement. Vanguard funding will pay the Centro's rent, allowing them to put more resources into organizing activities.

**Likha Promotions  
 Bay Area** \$2,000

Likha Promotions sponsors cultural productions that evoke life in the Philippines, and promote Filipino-American culture with a sense of history and struggle. Past activities include the play "A Song for Manong" and an art exhibition of Santiago Bose's work.

**National Asian American Telecommunications  
 Assoc., San Francisco** \$4,000

NAATA started in 1980 to correct distorted images of Asian Americans perpetuated by the media and to promote ethnic diversity in media programming. Their Racial Images in Mass Media project will organize a volunteer advocacy group to actively campaign against discriminatory portrayals of Asians.

**Ohana Cultural Center  
 Oakland** \$8,500

Ohana promotes Asian/Pacific Islander and other ethnic cultural activities that help shape the Bay Area's multicultural life. Ohana means "family" in Hawaiian; their vision is to nurture people as a family and community. As a cultural center, Ohana holds performances; as a community center, it makes its facility available to other organizations for forums and events.

**Tale Spinners Theater  
 San Francisco** \$2,500

Tale Spinners works with senior citizens, develops scripts from oral history material, and puts on inter-generational programs for audiences that conventional theater does not reach. This grant is for actors' salaries for "Los Siete", a teatro-style play about the 1970 trial of seven young Latinos.

**Wajumbe Cultural Institution  
 San Francisco** \$2,000

Wajumbe, which began in the late sixties, is a troupe of African-American dancers and musicians. At present, they are the major resident organization of the Western Addition Cultural Center and are members of the Multi-cultural Arts Consortium of San Francisco. Wajumbe is Swahili for "messengers of good omen."

## Disability Rights

**KIDS Project  
 Berkeley** \$2,500

The KIDS Project teaches thousands of children and their teachers to be more conscious of people with

disabilities. Since 1978, disabled trainers and co-teachers have gone into hundreds of classrooms throughout California to dispel myths and stereotypes about disability. The grant is for staff salaries.

**Wry Crips  
 Berkeley** \$4,000

Wry Crips' productions — all written, produced and directed by disabled women — have exposed hundreds to political theater about the real lives and potential of women with disabilities. Vanguard funding will enable them to hire a coordinator, expand their membership, and locate performance space that can accommodate lots of wheelchairs.

## Health/Environment/Toxics

**California Coalition for Alternatives to  
 Pesticides Arcata** \$7,000

CCAP empowers rural citizens in Northern California to press for alternatives to pesticides and herbicides in their homes, communities, and general environment. The Vanguard grant is for CCAP's suit demanding an environmental impact report on CalTrans's use of herbicides along our rural roadways.

**Community Health Coalition  
 San Francisco** \$3,000

CHC is a coalition of health care workers and consumers that aims to broaden access to affordable, quality health care in San Francisco by means of public education, media events, and political pressure. The Vanguard grant is for general operating expenses.

**Community United in Response to AIDS/SIDA  
 San Francisco** \$2,500

CURAS fills the critical need for an AIDS service organization directed specifically at gay Latinos. CURAS takes its education and support programs out to the community, holding bilingual skits and workshops with a holistic healing perspective in gay Latino bars. Vanguard will provide seed money while CURAS develops its base and plans for self-sufficiency.

**Coronado Neighborhood Council  
 Richmond** \$2,000

The Coronado Neighborhood Council comprises residents, property owners, and businesses of this low-income neighborhood. In 1987, the Council attacked the AIDS problem by producing and distributing "The Non-Color AIDS Color Me Deadly Coloring Book." Vanguard will fund a new edition for adult readers that will still be accessible to those with limited reading skills.

**New Conservancy Children's Theater  
 San Francisco** \$5,000

This company offers children training in theater arts; its plays center on such issues as drugs, runaways, culture, identity questions, sexual abuse, AIDS, and gangs. Their current production, "The Inner Circle," is a highly successful AIDS educational play that has toured nationwide and internationally.



Vanguard's Allocation's Committee — top, left to right — Bill Rosenfeld, Maria Bures, Young Shin, Julia Estrella, Julie Melamid, Jaime Gallardo, Laurie Cohen and Betsy Weedon. Bottom, left to right, are Leonard McNeil, Linda Lucero, Daniel Buford, Kimo Campbell and Suzanne Rubel.

**Third World Mental Health Coalition  
San Francisco**

\$4,000

The Coalition works to ensure that Third World communities' concerns are represented in health policy decision-making. They drafted and won adoption of a mandate that the Department of Mental Health, Substance Abuse, and Forensics assess the impact of its programs on minority communities. The Vanguard grant is for salary and supplies.

**Housing and Homeless**

**Berkeley Ecumenical Chaplaincy to the Homeless Berkeley**

\$5,000

This organization, a joint effort of eight congregations, recruits and trains homeless men and women to be "peer chaplains," i.e. peer counselors/organizers. Concrete results include a homeless press collective, a crafts coop, renovation of old homes for collective households, and employment for several members.



A KIDS project classroom role-playing session which gives young people the tools to resist the harsh labels and "isms" which alienate us and make our lives miserable. Other students hold placards with labels such as "Too Fat," "Too Dark," "Yucky Hair," etc.



**Coalition for Low-Income Housing  
San Francisco** \$7,000

This coalition of tenants, housing advocates, and legal workers formed in response to the upcoming termination of Section 8 subsidies which will affect 8,000 units in San Francisco that are home to 16-20,000 low-income tenants. The Vanguard grant is for their organizer's salary.

**Northern California Association for Non-Profit Housing San Francisco** \$10,000

The Association organizes low-income people to develop, preserve, and manage low-income housing. A top priority is to safeguard the homes of over 90,000 Bay Area tenants who face eviction and homelessness because of the impending resale or conversion to market-rate rents of their currently subsidized units. This grant is for salaries and general expenses.

**St. Peter's Housing Committee  
San Francisco** \$7,000

St. Peter's Housing Committee serves low-income residents of the Mission, providing rent board representation, building organizing, counseling, translations, and a bimonthly newspaper. Their current project takes on discrimination against Latinos in the form of illegal evictions and race-biased renting practices. The Vanguard grant is for salaries and materials.

unique struggles. The Association has been conducting leadership training as well as providing badly needed services in rural labor camps.

**Central Valley Equal Rights Congress  
Merced** \$6,500

The Congress is organizing Community Task Forces on Immigration Affairs in the Modesto/Stockton and Fresno/Merced areas. With the end of the Amnesty program, they expect increased civil rights violations and Border Patrol arrests. The Task Forces will develop a broad membership, document and publicize abuses, and provide counseling and leadership training.

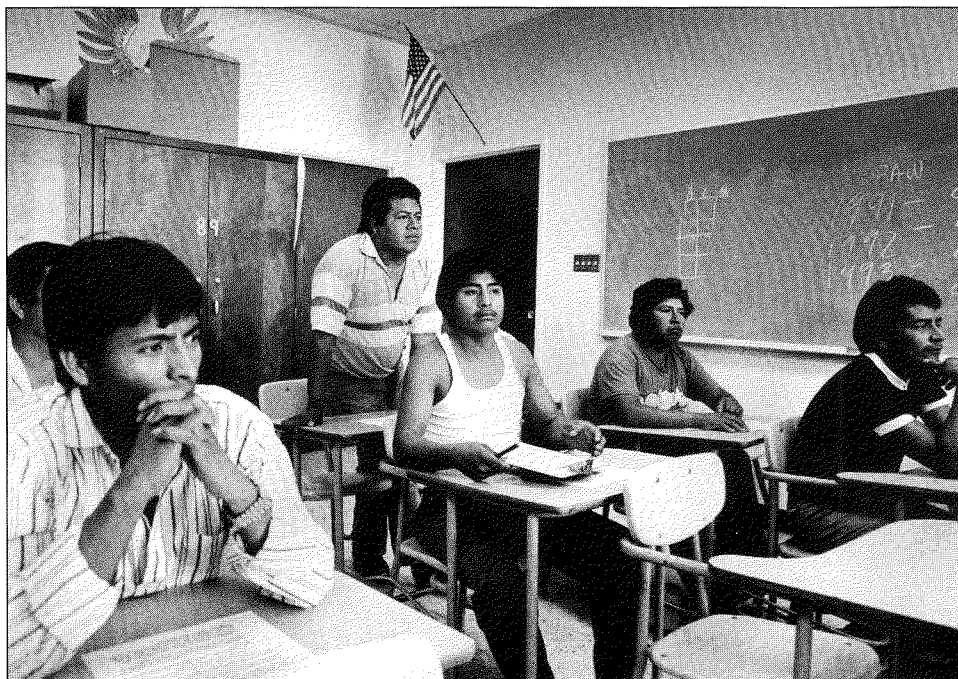
**Coalition to Aid Refugee Survivors of Torture and War Trauma San Francisco** \$4,500

The Coalition seeks to counteract the effects of war, torture and death-squad activities suffered by refugees from Central America and Southeast Asia (i.e. isolation, immobilization, cultural disintegration) through leadership training and public education. In its Promotores Training Project, participants become healed themselves, then move into the community to counsel, advocate, and inform. The Vanguard grant is for operating expenses.

**Committee to Defend Immigrant and Refugee Rights Oakland** \$3,000

The Committee will publish six issues of its newsletter

*(Opposite) One of the children of the Benito Juarez Civic Association families doing the laundry. (Below) Students and teacher at an immigration and naturalization class organized by the Association in the Central Valley.*



## **Immigration and Refugee Rights**

**Benito Juarez Civic Association  
Fresno** \$6,500

The Mixtec Indians are recent immigrants from the Oaxaca region of Mexico who are among the most exploited of California's farmworkers. They have their own language, customs, and heritage, and face

ter and distribute them to an established network of immigrant rights activists. The newsletter analyzes immigrant rights from a political perspective and proposes ways to advance work on the issues. It has been published since 1985; the last issue came out in January 1988. The Vanguard grant is for printing costs.



**I thought that when you're way down like this, way below poverty level, you're powerless. But I realized that you can make the big shots stand up and listen.**

Francis Middleton  
*Activist, Tenderloin Senior  
 Organizing Project*

**Community Coalition for Immigrant Justice  
 San Francisco \$4,000**

Since passage of the Simpson-Rodino bill, the Coalition has helped immigrants who were denied amnesty and are now vulnerable to employer sanctions and deportation. While pressuring for solutions to immediate concerns, CCIJ encourages refugees to see themselves in a global perspective as a disenfranchised community. Vanguard support is for general operating expenses.

**Reedley Social Services Immigrant Defense Committee Fresno \$6,500**

RSS provides 200 farmworker families in Eastern Fresno County with a range of basic services that cover immigration rights, renters' rights, labor issues, government benefits, and education. RSS sees these services as a prerequisite to organizing, since overcoming isolation, language barriers, and survival fears are necessary first steps toward empowerment.

**International Issues**

**Central American Mission Partners Oakland \$4,000**

CAMP works primarily with Protestant churches not already involved in Central American solidarity work. They organize previously uninvolved sectors of the U.S. to support projects in Central America and see first-hand the lessons of war and the role the U.S. plays in the region. Vanguard funding will enable CAMP to improve the quality of their outreach and organizing materials.

**Church Network on the Philippines Berkeley \$5,000**

This interfaith organization supports the Philippine solidarity movement for justice and democracy, assists with community development projects, pressures U.S. corporations and foreign aid programs to operate responsibly, and calls for the withdrawal of U.S. military forces from Philippine territory. Vanguard funding will support their international network in the Bay Area.

**El Salvador Solidarity and Information Office San Francisco \$6,000**

The Office promotes a better understanding of current events in El Salvador. They make presentations, distribute information packets, and sponsor speaking tours that publicize human rights violations and advocate for a political solution to the country's problems. This grant is for educational activities.

**Free South Africa Labor Committee San Francisco \$5,000**

FSALC organizes workers in the Bay Area to support South African workers in their anti-apartheid struggle. The Committee is planning educational outreach activities to support the campaigns in South Africa for political power, civil rights, and justice in the workplace. This grant is for general operating expenses.

**Maestros por la Paz San Francisco \$5,000**

Maestros por la Paz sponsors Youth Tours, which bring young people from Nicaragua to the Bay Area to meet with local students; a Summer Teachers Brigade, which trains and supports U.S. teachers who spend the summer in Nicaragua teaching English; and Educational Forums for teachers on peace and solidarity issues. The Vanguard grant is for their outreach project.

**Philippine Assistance for Technology and Health Berkeley \$4,000**

PATH is a group of Filipino and American activists concerned about the desperate economic and health conditions in the Philippines. They educate the general public about the low-intensity conflict there, trying to correct the general misperception that the country has again become a democracy. They also work with Central American groups to expose links in U.S. foreign policy.

**Philippine Resource Center Berkeley \$6,000**

The Center began in 1984 in response to the deepening crisis of the Marcos regime. Because the situation has not improved since Aquino came to power, PRC continues to provide public information through a scholars and speakers bureau, data services program, resource library, and publications service. The Vanguard grant is for a staff salary.

**South and Meso American Indian Information Center Oakland \$5,000**

SAIIC works locally and internationally to foster communication among Indian peoples throughout the Americas, and to inform the public of Indian issues and priorities. SAIIC's current focus is the "Rediscovery of Our America," indigenous people's response to the upcoming 500th anniversary celebration of the European colonization of the hemisphere.

**Tecnica Black Community Outreach Project, Berkeley \$3,000**

The Black Community Outreach Project of Tecnica's Southern Africa Volunteers Program aims to build a multiracial network to recruit volunteers for its Southern Africa technical assistance program, as well as to carry out extensive public education about the crisis in Southern Africa. This grant is for general operating expenses.

**Lesbian and Gay Rights**

**Gay/Lesbian Youth Advocacy Council San Francisco \$4,000**

The Council's goal is to eliminate homophobia in the public schools system and other institutions working with youth. The Council advocates for policy changes at local and state levels, has developed model projects with the San Francisco Unified School District, and has consulted on curriculum development with the SFUSD and the Department of Public Health.



*Tecnica organizer Nesbitt Crutchfield (left) does outreach at Black churches to find volunteers able to travel to southern Africa to share technical skills with freedom organizations in the front line states.*

**Mid-Peninsula Support Network for Battered Women** *Mountain View* \$1,500

MPSN empowers women to stop domestic violence. The Network serves some 2,000 women, offering a short-term shelter, a 24-hour crisis line, legal representation, counseling for both women and men, a children's art program, and extensive community education. The Vanguard grant is for their outreach project to the lesbian community.

**Older People's Rights**

**Oakland/Emeryville Gray Panthers** *Oakland* \$4,000

The Gray Panthers are perhaps the best-known advocates of the rights of elderly Americans. Issues of primary concern to this local chapter include housing, a national health system, long-term care practices, transportation, peace, and economic security. Vanguard funding will support their efforts to develop fundraising plans and to expand and diversify their membership.

**Tenderloin Senior Organizing Project** *San Francisco* \$2,000

TSOP has organized residents of four single-room-only hotels into tenant associations. Their goal is to have all 18 senior hotels in a 20-block radius form a coalition that will fight to keep low-income residences in the Tenderloin and stop further conversion of these buildings to luxury tourist hotels. Vanguard funding will go toward the salaries of their staff organizers.

**Women's Rights**

**California Pro-Choice Education Fund** *San Francisco* \$5,000

The California Pro-Choice Education Fund aims to make the public aware that the primary goals of the anti-choice forces are to deny Medi-Cal funds to poor women and deny minors access to safe abortions without parental consent. The Vanguard grant is for their Medi-Cal campaign.

**Mission Neighborhood Centers** *San Francisco* \$4,000

The Mission Neighborhood Centers and the Instituto Familiar de la Raza have undertaken an advocacy campaign to change the policies of the social services system. They are organizing and training parents, primarily Latina single mothers, to be advocates for their own needs. The Vanguard grant is for their organizer's salary.

**Tradeswomen, Inc.** *San Francisco* \$4,000

Tradeswomen provides networking, outreach, and support to women in the trades, with a secondary program that litigates violations of state and federal laws. Much of their work centers on the critical issue of women gaining equal access to training and apprenticeship programs. Vanguard funding will allow them to attract more members and a wider readership for their journal.

**Women Empowering Women** *San Francisco* \$3,000

Through hands-on training sessions and a public information program, WE Women supports women learning construction skills, women entering and staying in the building trades, and challenges the

*Solly Simelame, Representative of the African National Congress (ANC) meets with Tecnica members Yvonne Golden, Vanguard board member and member of Tecnica's Southern Africa program advisory board; Danny Glover, co-chair Tecnica Southern Africa program advisory board; and Hari Dillon, executive director of Tecnica.*





Women learn job skills at a Women Empowering Women weekend carpentry class.

sexism, heterosexism, and racism within the construction industry. The Vanguard grant is for general operating expenses.

**Women's Economic Agenda Project**  
**Oakland** \$5,000

WEAP carries out grassroots organizing and education in response to the growing impoverishment of women, minorities, and their families. The Speakers Training and Leadership Development workshops of the East Bay Recipient Network prepare low-income and Third World women to become active leaders in their communities. This grant is for general support.

**Workers' Rights**

**California Working**  
**Berkeley** \$3,000

This independently produced monthly "magazine" show for public television spotlights workers' lives, issues, and history. Topics have included the California restaurant industry, the building of the Golden Gate Bridge, FAA guidelines that threaten public safety, and union drug/alcohol abuse programs. The Vanguard grant is for their outreach project.

**Center for Community Advocacy**  
**Monterey** \$7,000

CCA educates farmworkers about their housing rights. The Center is helping form tenant commit-

tees so that farmworkers can negotiate about the severe housing problems in labor camps. (In 1985, several farmworkers were actually found living in caves.) This grant is for the salary of CCA's community worker.

**Community/Labor Education & Research Project**  
**San Francisco** \$5,000

The workforce in San Francisco's hotel industry comes primarily from the Third World and gay and lesbian communities. CLERP organizers will hold a series of house meetings in each community as a first step to building a grassroots coalition against workplace injustices. Vanguard funding will help them launch this project.

**Migrant Farmworker Rights Project**  
**Sacramento** \$2,000

For the past two years, MFRP has worked with documented and undocumented immigrants on amnesty and legalization issues that followed passage of the Immigrant and Refugee Control Act (IRCA). They have initiated a new program, "Proyecto Independencia," that will enable farmworkers to gain full access to the institutions of the larger community.

**Mixteco Mobile Organizing Project**  
**San Jose** \$4,000

This project aims to establish a network among the dispersed Mixtec Indians and educate them about

their rights. Mixtecs are from Oaxaca in Mexico and have their own language and culture. A distinct group of Mexican immigrants, they face especially difficult problems of exploitation and discrimination. This grant is for operating expenses.

## Youth Empowerment

### Bay Area Children of War San Francisco

\$5,000

These multi-racial youth peace clubs begin as "cultural exchanges," with children sharing life experiences in places ranging from El Salvador to Ethiopia. Through role-playing, socials, and conferences, refugee youth find a supportive environment and a new sense of self-esteem and power. Vanguard funding will pay student coordinators' stipends and other costs.

### Chicano Mental Health Association San Jose

\$5,000

CMHA addresses policies and programs that affect mental health services for the underserved Spanish-speaking community of Santa Clara County. The Association has launched an advocacy project to decrease the number of incarcerated Latino youth and to reform the juvenile system so that it rehabilitates instead of punishes.

### Consortium for Young Women East Palo Alto

\$3,000

The Consortium is a network of ten community-based organizations providing coordinated programs and services to 2,000 girls and young women per year in the low-income communities of East Palo Alto and the Belle Haven section of Menlo Park. The Consortium promotes positive role models and crucial leadership development.

### Glide Foundation — Teen's Facts on Crack Program San Francisco

\$4,000

Glide Church's Facts on Crack Program deals with the drug problem that is so adversely affecting the Black family and community. The program concentrates on reaching out to the teenagers and preteens of the Tenderloin, who are particularly vulnerable to the crack epidemic.

### Ingleside Community Center Youth Project San Francisco

\$10,000

The Youth Project became the ICC's major program in 1987 when the Center's leadership and community youth grew more concerned about the escalating problems of drugs, alcohol, teen pregnancies, AIDS, low self-esteem, low academic achievement, and high youth unemployment. The Youth Council meets every week, developing its own programs and decision making process.

### Peace and Justice Youth Outreach Project Oakland

\$7,500

The PJYOP began in 1982, speaking to youth on militarism and peace. They have reached 7,700 young people, held summer training sessions with the American Friends Service Committee, and helped start similar programs in other communities. They anticipate more acute pressure on high school youth now that the military is no longer meeting its recruitment goals.

### Peace Center of Marin San Anselmo

\$3,000

The Peace Center of Marin began in 1983 as a consortium of peace, social justice, and environmental groups. The Center's Youth and Militarism Project has developed into a counter-recruitment program that reaches out to Third World communities. The Vanguard grant is for general operating expenses.

**I really appreciate that there are a lot of different voices coming from a lot of different parts of the community, and that these voices are given great weight in deciding who gets funded.**

Young Shin  
Vanguard Allocations Committee  
and Director, Asian Immigrant  
Women Advocates



Participants in the Bay Area Children of War Summer Camp.

# Donor Advised Giving

Every year runaway youth come to San Francisco, many of whom have been rejected by friends and family because they are gay.

**We're working to make it safe to be young and gay. Vanguard funds enabled us to continue our advocacy work in the schools. We are actually introducing lesbian/gay parenting into the S.F. public school system!**

Chris Nunez  
Gay and Lesbian Youth Advocacy  
Council

Most donors contribute to our General Fund, but some choose to support one or more specific organizations through Donor-Advised Grantmaking. This option allows them to remain anonymous if they wish, and to claim their gift as a tax deduction once the Foundation receives it, even if the funds are disbursed over a period of years. This proves convenient when a donor realizes high capital gains, or for other reasons needs to make a large contribution quickly without having the time to make thoughtful funding decisions.

Our donor-advised program offers several benefits: we can make multiple grants from a single cash or stock transfer, relieving the donor of paperwork and the fiscal responsibility that comes with personal philanthropy. Our staff handles record-keeping, maintains communication with grantees, and provides up-to-date information on specific areas of funding.

Oftentimes, donors seek advice about groups or issues of interest from our staff or activists on our Board and Allocations Committee. National proposal dockets from the Funding Exchange are also available.

Donors wishing to open a donor-advised account should contact our Executive Director for details.

## ***Donor Advised Grants in Fiscal Year 1988-89***

### ***Cultural Activism***

Brava! For Women in the Arts	16,000
California Newsreel	3,000
GESHER: Bridge	2,500
La Raza Graphics	600
Ohana Cultural Center	500
Ready Backstage	500
San Francisco Mime Troupe	1,000
Wajumbe Cultural Center	300
World of Tales	1,000
Z Collective	500

### ***Community Economic Development***

Northern California Community Loan Fund	2,000
Sustainable Native Agriculture Center	20,000

### ***Health and Environment***

California Wilderness Coalition	200
Earth First!	5,000
Groundswell	500
Mono Lake Committee	11,000

Nature Conservancy	5,500
Oceanic Society	1,000
Quan Yin Healing Arts Center	2,500
Rainforest Action Network	800

### ***Immigrant and Refugee Rights***

Catholic Charities Central American Refugee Rights	300
El Centro Asylum Project	1,000

### ***International Issues***

Bari Project	1,100
Committee in Solidarity with the People of El Salvador	500
El Salvador Media Project	2,600
El Salvador Radio Aid Project	3,000
Friends of Yesh G'vul	2,000
Middle East Peace Network	500
New Jewish Agenda — Bay Area Chapter	500
Nicaragua Hurricane Relief	3,000
Philippine Resource Center	4,000

### ***Lesbian and Gay Rights***

Bay Area Black Lesbian Caucus	675
Lesbian Rights Project	2,500

### ***Peace and Disarmament***

Bikes not Bombs	500
Chico Peace Center	5,000
Peace and Justice Coalition	1,000
Resource Center for Nonviolence	300
Rocky Mountain Peace Center	1,500

### ***Public Interest and Community Organizing***

Berkeley Ecumenical Chaplaincy to the Homeless	300
Chicago Neighborhood Organizing Project	10,000
Good Samaritan Community Center	300
Keysville Concerned Citizens	10,000
Philippine American Research Center	2,000
Telegraph Community Center	2,000

### ***Resources for Organizing***

Data Center	500
Integrated Research Services	50,000

### ***Women's Rights***

A Safe Place	700
The Women's Building	1,000

### ***Youth and Elderly***

Oakland Men's Project	55,000
Permanent Fund for Quality Education	900
Raskob Day School	350
The San Francisco School	1,000
Urban School	300
Walden Foundation	350

### ***Miscellaneous***

People for the Ethical Treatment of Animals	300
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*Nan Rubin of the Funding Exchange talks with Vanguard board member Dennis Jennings and friend, Bernadette Zambrano.*

Black artists are a people without significant power and without access to traditional avenues of support. There is no center that works on behalf of Black artists in the San Francisco Bay Area.

**With the help of Vanguard funds we are publishing a quarterly newsletter, "Cultural Messenger", that will serve our effort to organize Black artists in the San Francisco area.**

Nontsizi Cayou  
Director, Wajumbe Cultural  
Institution



*Vanguard board members (left) Nancy Feinstein and (right) Yvonne Golden*

# Donor and Community Service Programs

In addition to raising money and giving it away, Vanguard is an important community resource, and offers numerous programs to serve both donors and our grantee constituents.

## **Donor Programs**

Vanguard's donor programs seek to solidify the partnership between the community at large and progressive donors who have inherited wealth or who contribute from earned income. Our programs help people become actively involved in putting their resources to work to advance their political and moral values.

**Close Encounters.** Provides donors and friends of the Foundation with opportunities to meet face-to-face with several Vanguard grantees working on a particular issue. These field trips take you right to the heart of social change in the making.

**Donor Coordinating Committee.** A group of donors who assist the Foundation in broadening its donor base. Members volunteer on various marketing, fundraising and special projects.

**Health Professionals Donor Group.** Doctors, psychotherapists, nurses, public health workers, and other health professionals who support the Foundation with fundraising events. This fall, a new Progressive Mental Health Professionals group is sponsoring its first brunch.

**Inherited Wealth Group.** A personal and confidential support group for those who are sorting out issues that come with inheriting money. The group meets monthly and has an annual fall retreat.

**Issues in Focus.** These educational briefings feature guest speakers on international issues such as the regional conflicts in Southern Africa and the Middle East.

**Northern California Guide to Socially Responsible Investing.** First published in 1986, this guide provides information and resources on all aspects of money management. An expanded and updated second edition will be available in late fall, 1989.

**Socially Responsible Money Management Seminars.** This series helps participants get control over their money and how they invest it, spend it, and give it away. Vanguard has been a leading force in the local Socially Responsible Investment movement since its inception.

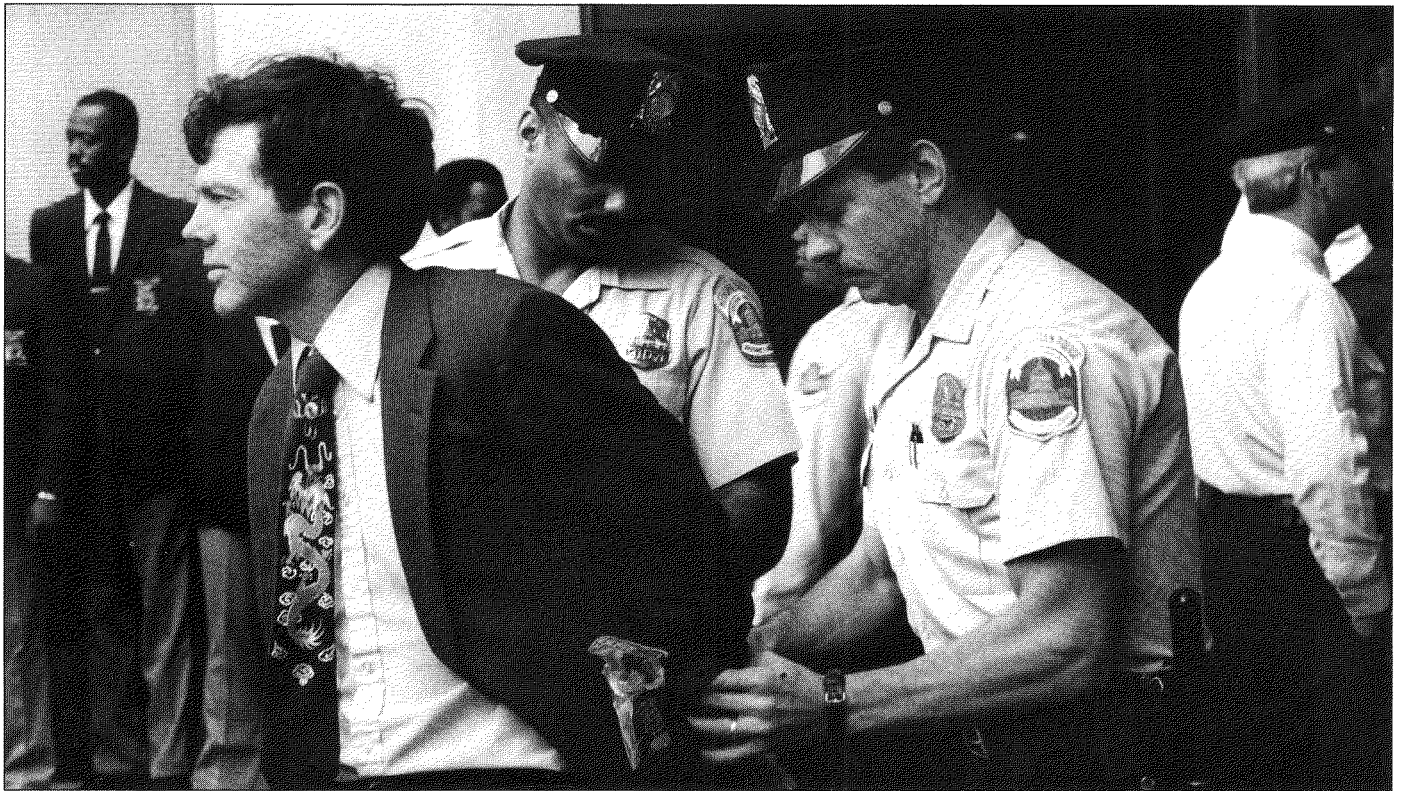
**Women and Money.** A bi-monthly support group for women with wealth who wish to explore their special needs in a safe, supportive environment. The group also sponsors a spring weekend retreat.



Members of the Gay/Lesbian Youth Advocacy Council, SFUSD Superintendent Cortines, and administrator Lucy Olivas discuss anti-slur policy and other strategies for combatting homophobia.

**Vanguard is the only way for donors to direct their contribution to groups that don't have the money for a big direct mail campaign — to groups that are doing real social change work.**

Michael Kieschnick  
President, Sand County Venture  
Fund, A Socially Responsible  
Venture Capital Fund



**Women and Wealth Book Project.** A joint project with the Funding Exchange, this exciting publication by and for women will help readers understand their own relationship to money and how they can turn their good fortune into concrete strategies for progressive action.

### ***Special Projects***

**AIDS Memorial Garden Fund.** This fund supports the development of a memorial garden in Harvey Milk Plaza at the Castro Street MUNI METRO station dedicated to those who have died of AIDS.

**Stan Criollos Memorial Fund.** Stan Criollos was a long-time activist in the Gay and Latino communities who served as Vanguard's co-chair of the Board of Directors. Stan died suddenly in the fall of 1988, and is missed deeply by many. This memorial fund was set up to aid Stan's lover.

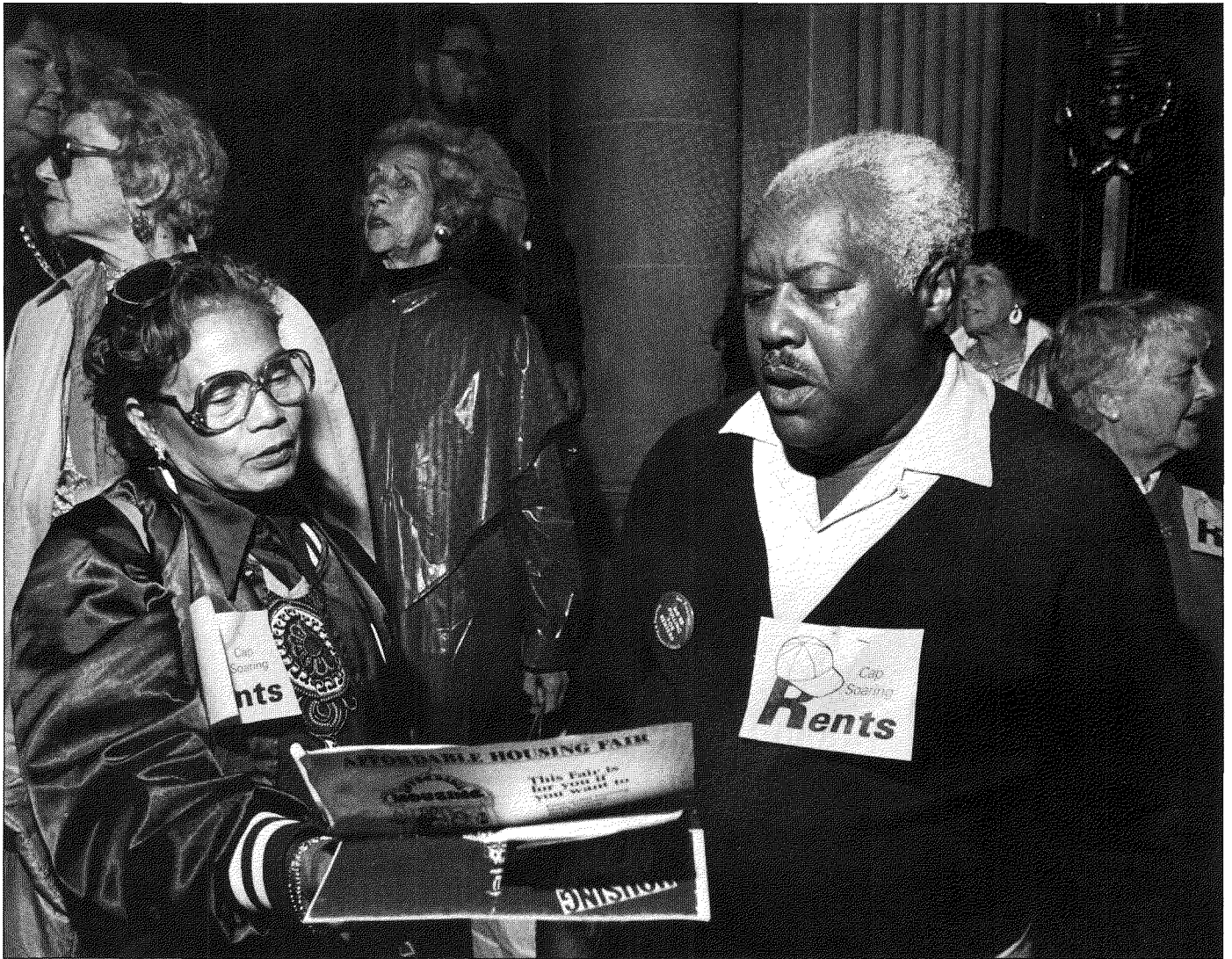
**National Public Health Project Against AIDS (NPHPAA).** Since 1987, Vanguard has administered donations to NPHPAA, which identifies public policies required to combat the AIDS epidemic effectively.

Funding support has enabled NPHPAA to draft and distribute position papers for AIDS policy makers, organize testimony at conferences and hearings, and train leaders and advocates on AIDS issues.

**Bill Krause Memorial Fund.** When he died in 1986, Bill Krause was a highly respected activist and leader in the Gay rights movement, having served as two-term president of the Harvey Milk Lesbian and Gay Democratic Club and a congressional aide to U.S. Representatives Phillip and Sala Burton.

Vanguard manages a special fund that Bill's family and friends established in his name. The fund supports Central American solidarity groups, and promotes AIDS education and advocacy.

*Rain Forest Action Network Executive Director Randy Hayes is arrested at the World Bank in Washington, D.C. demonstrating to save the world's rain forests. The World Bank finances projects with short-term profitability without regard for the long-term value of rain forest preservation.*



*Lourdes Tore Bailey and Odelle Williams, tenants living in Federally subsidized housing are active in the San Francisco Coalition for Low-Income Housing to secure extension of those subsidy programs. Here they are with others for a City Hall hearing to testify on vacancy control and show their solidarity with non-subsidized tenants.*

**The Suzanna Moore and Brian Bloom Fund.** This fund, set up to receive gifts in honor of the wedding of Suzanna Moore and Brian Bloom, supports housing and homeless work in the East Bay.

**Wahpepah Family Fund.** Bill Wahpepah represented the Bay Area Indian community on the Vanguard Board from 1979 through 1985. He always referred to the Foundation as family, and remained an ardent admirer of our work until he passed away in early 1987.

At that time, we helped establish the Wahpepah Family Fund as a mechanism for Bill's many friends to provide support for his immediate family and to carry on his extensive work with the Indian youth of Oakland.

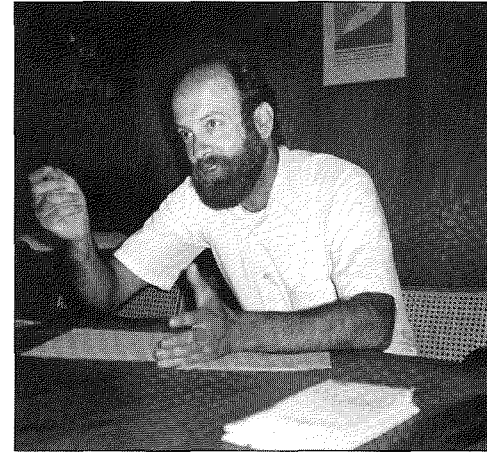
**Walter Johnson Fund/Oakland Men's Project.** Last year, the Johnson Foundation selected Vanguard to receive a special two-year grant of \$80,000 to fund community-based groups that work with low-income and minority East Bay teenagers on understanding and preventing violence in their lives. The Johnson Foundation looked to Vanguard as a funding source familiar with such grassroots organizations. Vanguard chose the Oakland Men's Project, a multiracial men's group that has long been active in this field, to carry out the program.

## Northern California Community Loan Fund

Vanguard was instrumental in the establishment of the Northern California Community Loan Fund in 1987. The NCCLF was set up to make loans to community-based housing and business development projects, complementing the Foundation's grant-making activities.

The Loan Fund received its lender's license in mid-1988, and through mid-1989 had made seven loan commitments. Each fulfills the basic objectives of the Loan Fund: the borrowers were unable to obtain conventional financing on terms allowing project feasibility; the loans leverage a substantial amount of other funds; and the projects contribute in an important way to the development of low-income communities in Northern California. The commitments include:

- A \$22,000 loan towards acquisition and rehabilitation of a low-income apartment building (ASIAN, Inc./San Francisco);
- A \$20,000 loan towards purchase of a building for the expansion of job training programs (Adelante, Inc./Berkeley);
- A \$25,000 loan towards construction of a new nonprofit community health center (West Marin Health Project/Point Reyes Station);
- A \$30,000 loan towards equipment and fixture purchases to strengthen a cooperative food store (Davis Food Cooperative);
- A \$15,000 loan towards working capital for a wholesale produce business owned and operated by a nonprofit youth center (Japanese Community Youth Council/San Francisco);
- A \$30,000 loan to complete rehabilitation of a nonprofit-owned transitional homeless shelter (Mid-Peninsula Housing Coalition/San Mateo); and
- A \$35,000 loan towards purchase of a group home for recovering homeless alcoholics (Baker Places/San Francisco).



*Paul Sussman, Executive Director,  
Northern California Community  
Loan Fund.*



*Bay Area tenants with the Coalition for Low Income Housing rocked all day. They raised \$5,000 to send tenants in danger of losing their federally subsidized housing to the national Housing Now march in Washington, D.C.*

Ten years ago I was a member of a group that got money from Vanguard, I served on the board for six years, and today I am director of a Vanguard funded project. At Vanguard, the relationship between activist and donor is different. It's a real partnership.

Leonard McNeil

Vanguard board member and  
City Council Member, San Pablo

(Left to right) Jackie Schad, Funding Exchange Co-Chair, with Beth Rosales, Meredith Cahn, Marcus Conant and Victor and Loraine Honig at the 10th Anniversary of The Funding Exchange, "Decade of Partnership." Marcus Conant and the Honigs received the Stanley Criollos Community Service Award.

One characteristic which distinguishes the NCCLF from other revolving loan funds is that its loan capital comes to it in the form of investments from individuals and institutions who wish to use their funds in a socially responsible manner.

While socially responsible investments in money market and mutual funds are also important, investors in the Loan Fund have been attracted because their investments are used for direct financing of local community-based projects which are not able to borrow from conventional sources. Over \$300,000 had been raised from investors by mid-1989, and the Loan Fund is actively seeking additional investors to help meet the demands of its applicants.

### **Funding Exchange: A Decade of Social Change**

The Funding Exchange (FEX) is a national membership organization of locally-based community foundations committed to funding grass roots groups that address critical issues in their region. Member funds receive contributions from a broad spectrum of donors and assign community activists a primary role in grantmaking decisions.

FEX helps create new funds around the country, and provides resources and skills development to strengthen its current members. To complement the grantmaking of the local funds, FEX operates three major national grants programs of its own.

This year the Funding Exchange celebrates its 10th Anniversary. As a founding member, Vanguard was pleased to host an FEX birthday gala in May. From an original membership of six, FEX has grown to include 15 foundations, including



our newest affiliate, the People's Fund of Hawaii. Over the past decade, FEX has distributed nearly \$30 million to thousands of local and national groups.

In order to insure continued growth and stability into the nineties and beyond, FEX has embarked on two major projects — a national endowment campaign and an intensive long-range planning process for activists and grantees throughout the network to hammer out structural issues, political directions, grantmaking policies, and strategies for growth and development.

### **The Funding Exchange Endowment Campaign**

The Endowment Campaign is an ambitious network-wide effort to raise \$15 million as a permanent fund for grassroots social change organizing across the United States.

The FEX national office will manage the accumulated funds according to socially responsible investing principals and distribute yearly income payments of \$50,000 to \$100,000 in perpetuity to each local fund. The money generated will augment, not replace, annual fundraising efforts of each member and will assure that a larger percentage of annual giving can go directly to grants.

Fundraising to date has already netted over \$5 million. We expect to raise an additional \$3 million in 1989, and the remaining \$7 million by early 1992.

Vanguard Endowment Committee members are available to meet with you to discuss details of the plan and ways to give. If interested, please call our office.

## **How to Give to Vanguard**

Vanguard donors come in all shapes and sizes. The youngest donor in 1989 was 10 years old; the oldest was over 80. People who give money to Vanguard include people from all walks of life: students, doctors, carpenters, activists, corporate managers, nurses, bankers, media personalities, systems analysts, accountants, and those with inherited wealth.

Whether your financial situation allows you to give \$5, \$500, or \$50,000, you are an important partner in Vanguard's efforts to make your voice heard. Please join us by becoming a donor. Here's how:

- Write a check today.
- Make a monthly, quarterly or annual pledge.
- Write Vanguard into your will or talk to your parents about making a bequest in their will to Vanguard in your name.
- Make Vanguard the beneficiary of your insurance policy.
- Donate appreciated stock and avoid capital gains taxes while receiving a tax deduction.
- Honor a special person or celebrate a birthday or wedding by opening a special account fund.
- Volunteer time or other services.

**All contributions are tax deductible. Vanguard is a non-profit 501(c) (3) public charity. Our Tax ID is 94-236962.**

### *Member Funds:*

**Appalachian Community Fund**

*Knoxville, TN*

**Bread and Roses Community Fund**

*Philadelphia, PA*

**Crossroads Fund**

*Chicago, IL*

**Fund for Southern Communities**

*Atlanta, GA*

**Haymarket People's Fund**

*Boston, MA*

**Liberty Hill Foundation**

*Santa Monica, CA*

**Live Oak Fund**

*Austin, TX*

**McKenzie River Gathering Foundation**

*Eugene, OR*

**North Star Fund**

*New York, NY*

**Vanguard Public Foundation**

*San Francisco, CA*

### *Associate Funds:*

**Chinook Fund**

*Denver, CO*

**Headwaters Fund**

*Minneapolis, MN*

**Wisconsin Community Fund**

*Madison, WI*

### *Affiliate Funds:*

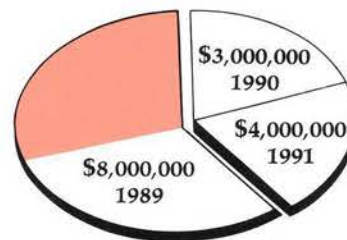
**People's Fund of Hawaii**

*Honolulu, HI*

**People's Resource of Southwest Ohio**

*Cincinnati, OH*

## **Endowment Plan**



**\$5,000,000 pledged as of August, 1989.**

## General Donors

**I work hard for my money, and I don't have the time to evaluate every group that asks for my support. I trust Vanguard to do that for me.**

**I can give one donation to Vanguard and know that I'm supporting all the issues I care about in Northern California.**

**Theresa Murphy**  
*Restaurant Manager*

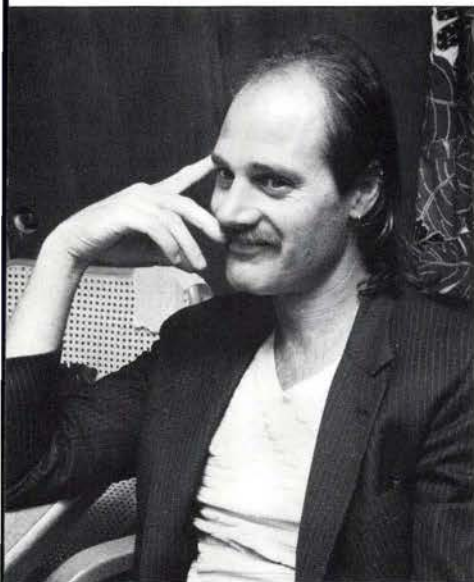
Michael M. Adams  
Paul Albert  
Bonnie Albion  
Robert L. Allen  
Patricia Anderson  
Stephanie Antalocy  
Dennis and Marjorie Antenore  
Bernice Aston  
Stevanne Auerbach, Ph.D.  
Maxine Auerbach  
and John Denvir  
Buck Bagot  
Jane Baker  
Janis & Nome Baker  
Laura Baker  
and Lewis Lubin  
Richard & Martha Baker  
Robert Baldock — Black Oak Books  
Kristen D. Balloun  
Sheila Balter  
Elizabeth Bannerman  
Barbara Fletcher Barbour  
John Bardis  
Peter Barnes  
John Byrne Barry  
Robert S. Basker  
Roy Bateman  
Alvin Baum  
Joan L. Bavaria  
Linda Belden  
Ruth Belmont  
Howard and Estelle Bern  
Bernal Heights Law Collective  
Nancy Betts  
Susan J. Bierman  
Marilyn Borchardt  
and Warren Mills/Food First  
Mark Brady  
Joseph Alan Braman  
Gretchen Brosius  
Muriel and Alan Brotsky  
Susan K. Browne  
Alan Bruce  
and Ann Golden  
Patricia Bruno, O.P.  
Andrew Bundy and Karen Hansen  
Wendy Cadden  
Meredith Cahn and Sam Doctors  
Kimo and Nancy Campbell  
Joan Carol  
Alex Chasin  
Debra H. Chasnoff  
and Kim Klausner  
Daniel Chumley  
and Joan Holden  
Gail Chun  
Noel Y K Chun  
and Marilyn Sue Lee  
Mark Coby  
Andrew Coe and Elizabeth Shaw

Laurie Cohen  
Katharine Cole  
Susan Coliver  
Brenda Crawford  
Denise Crawford  
C.P. and Lauren Cunningham  
Diva D'Alessandro  
James Dahlgren  
Susan Dahlgren  
and Michael Arenson  
Peggy Daniels  
Jill Davey  
and Joan Miller  
Lenora Davis  
and Robert H. Lawson  
Peggy De Coursey  
Penny Deleray and Gus Schultz of the  
National Sanctuary Defense Fund  
Levon and Annie Der Bedrossian  
Nicholas Dewar  
Hari and Elena Dillon  
Maryann Dillon  
Richard Dinner  
Bill Dittenhofer  
Jerome L. Dodson  
James Doherty  
Douglas and Anna Hilbe Dowd  
Christine Doyle  
and Michael Yessik  
Paul Drescher  
and Roberta Friedman  
William Duffey  
Mary Dunlap  
Daniel R. Edelman  
Maya Escudero  
and Nicholas Selby  
Patricia Farbman  
Linda Farthing Loon  
and Ben Kohl  
Ginny Fine  
Sheilah and Harry Fish  
Steve Fleisher  
Grant and Virginia Fletcher  
Lora Jo Foo  
James and Louise Frankel  
Ellen Friedman  
Phyllis Friedman  
Vera Fryling  
Eva Cheng Gardner  
Suzanne M. Gardner  
Alfred Garrotto  
Dan Geiger  
Neil Gendel  
Ann J. Gesek  
Bob Gnaizda  
and Ellen L. Eatough  
Yvonne Golden  
Patrice Goldman  
Dora Goldstein  
Samuel and Mollie Gold  
F. Jill Gover

Linda Graham  
Dr. & Mrs. Richard M. Gray  
Susan Green  
and David Thompson  
Barrie Grenell  
James Griffiths  
and Muniera Kadrie  
Elizabeth Grossman  
David Guggenheim  
Roma Guy  
Milo and Carlota Gwosden  
Paul Haible  
William E. Haible  
William W. Haible  
Alice Hamburg  
John Harrington  
Marsha G. Harris  
Patricia C. Hastings  
Barbara Hazard  
Ruth B. Heller  
Mr. and Mrs. A. Carl Helmholz  
Robert Henrikson  
Aileen C. Hernandez  
Sue Hestor  
David Hochschild  
Arthur Holden  
and Sharon Lockwood  
Emily Honig  
Lisa Honig  
Victor and Lorraine Honig  
Paul and Karita Hummer  
Thelma and Ted Ingebritson  
Daro Inouye  
Ira Jacobowitz  
Susan Jaffe  
Martha H. Jensen  
Huey D. Johnson  
Rodney Johnson  
Janiel Jolley  
Carol Karwatt  
of CSK Parking Management  
Patricia J. Kaspar  
Flora Kay  
Kathleen Kenny  
and David A. Bracker  
Daniel Kent  
Kay Keppler  
Michael and Frances Kieschnick  
Allyce Kimerling  
David & Cecilia Kim  
Helen Kingsbury  
Edward M. Kirshner  
Lori Kodama  
Ellen Joy Kramer  
Dr. Jim Krieger  
Corey and Rita Largman  
Charles Larsen  
Anne Lawrence  
and Paul Roose  
Priscilla Ledbetter  
Eric Leenson

*(Opposite) A young teenager learns about safe sex with the "AIDS Color Me Deadly" coloring book produced by the Coronado Neighborhood Council.*





Paul Haible  
Vanguard Development Director

On October 28, 1988, Hurricane Joan devastated Nicaragua, leaving 186,550 homeless.

**When the hurricane struck Nicaragua last fall many people were anxious and desperate to know about the welfare of their friends and family. Our grant enabled us to set up a hotline tied directly to the relief agency in Nicaragua.**

Bob Hernandez  
*Centro Cultural Nicaraguense*

Deborah Lee  
Jack Lee  
Timothy Lee  
Cathy Lentz  
Julie Levak  
Ron Light  
Sally Lilienthal  
Sukey Lilienthal  
Steven Linn  
David A. Loeb  
Pauline Lord  
Linda Lucero  
Carol Malnick  
Jody Mahoney  
Gene Marchi  
Marc A. Margolis  
Jan S. Marks  
David Matchett  
Laurie Mayeno  
Arlene Mayerson  
Gertrude Mayes-Ashley  
Michael Mayne  
Michael McAvoy  
Kimlin Susan McDaniel  
and John Keith  
Craig McNamara  
Jerrie Meadows  
Media Alliance  
Julie Melamid  
Linda Meldwoman  
Steven Meyers  
Paulette Meyer  
and David Friedman  
Cynthia Moore Miller  
Linda Mills  
Frances A. Moffat  
Cornelius G. Moore  
Susanna Moore  
and Brian Bloom  
Mary Morgan  
Jack and Jane Morrison  
Mother Jones Magazine  
Foundation for National Progress  
Theresa Murphy  
Daphne Muse  
Michael N. Nagler  
Judy and Roy Nakadegawa  
New College of California  
Jim & Judy Newman  
Richard and Eleanor Norberg  
Barbara Nylund, M.D.  
Lynne Oberlander  
David Offen  
Kyoko Ogashiwa  
and David K. Kischer  
Bernard Jay Ohanian  
Caryl Ohrbach  
Helene Oppenheimer  
Larry Ottinger  
David D. Paradise  
Daisy Paradis  
Deborah Paratore  
and Michael Parsons  
Lane Parker and Kim Malcheski  
Bernal Heights Law Collective  
Timothy Pearce  
Peggy Phelps  
Ruth Picon  
Karen Platt  
Balaram Puligandla  
and Linda Okahara  
Law Offices of Antonio Ramirez  
Alan Ramo  
Judith and John Ratcliffe  
REAP/AFSC  
John Reynolds  
Daryl Roberts  
Laura Rodriguez  
Jim Rogers

Jay Roller  
Richard E. Rosenberg  
Susan Rosenberg  
Serena Rosenblatt  
William Rosenfeld  
and Suzanne Rubel  
Mr. and Mrs. Sanford Rosen  
William M. Roth  
Gene Royale  
and Eva Vidaurri Royale  
Toby Rubin  
Margaret J. Ryan  
Sue Anne Salmon  
Raymond Santiago  
Omowale Satterwhite  
Peter Schattner  
Joanne Schnautz  
Eric Schoenberg  
Katura Schoene  
Kary Schulman  
Marianne Schulman  
Share Foundation  
Elizabeth M. Scotta  
E. Robert Scrofani  
Elizabeth Segal  
Eugene Sharee  
Nancy Shelby  
Bob Sheppard  
Jeremy Sherman  
Nancy Shillis  
Young Shin  
Tom and Susan Silk  
Erica Silverberg  
Evelyn Silver  
Paty Silver  
Ronald and Joan Sipherd  
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Joanna Levine  
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 Wendy Lichtman  
 and Jeff Mandel, M.D.  
 Stella Ling, M.D.  
 and Steve Black, M.D.  
 in memory of Geneva Waldman  
 Marcia Livingston  
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*A Vanguard grant supports the California Association of Family Farmers who participate on weekends at the farmer's market in Stockton.*



The vast majority of AIDS cases in the Latino community are Latino gay men. Yet there are precious few resources that are gay-sensitive as well as culturally and linguistically appropriate.

**Vanguard put a roof over our head. Last year we were all volunteer — with Vanguard's help we are now officially incorporated and are on the way to having paid staff.**

Rodrigo Reyes  
*Director, Community United In Response to AIDS*

Margaret Randall  
John W. Roark, M.D.  
Deborah Romero  
Ugo Sap  
Jane Scantlebury  
and David Christiano  
James Seger  
Gloria Smith  
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Tony Travers  
Steve Warren  
Alan Douglas Weaver  
Eileen West  
Mary E. and Earnest Whitesell  
Jo-Lynne Worley  
Esther Zane  
Jamie Zimron

#### **AIDS Memorial Garden Fund**

The Castro Lions Club  
Glenn Davis  
James Gussenhoven  
John F. Karr  
Liza and Robert Kunton  
Nolan Madson  
Robin and Guellyn O'Donnell  
Merna Oeberst  
Dick Pabich  
David Schulman  
Evelyn H. Svenson  
Terry and Lisa Viall  
Richard Vietti

#### **National Public Health Project Against AIDS**

John T. Badham, Jr.  
Gary Brage  
Gene Burkard  
Jeffrey Fraenkel  
Ted Fritts  
William Hughes  
Coleman Jacobson, M.D.  
and Ruth Jacobson  
Daniel and Barbara Judge  
Peter Daniel Judge  
KRON-TV 4  
Leonard Luvisi  
Evans Michelson  
Elizabeth Phelps  
Peggy Phelps  
Taylor Phelps  
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Robert Sass  
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Kenneth A. Turner  
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#### **Stan Criollos Memorial Fund**

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Betsy Weedon  
Paul and Carole Wood

#### **Wahpepah Indian Youth and Wahpepah Family Fund**

American Friends Service Committee  
Judith Antell  
Marietta Begay  
Larry Bosian  
Claudia's Caravan  
Katharine Cole  
Crown Moving & Storage  
Katharine Douglass  
Danielle D. Fitzpatrick  
Carmella Icaj-Johnson  
Michael and Tina Kass  
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Yumiko Lumian Miyazaki  
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Native American Youth Counseling  
and Education Project  
Victor and Janet Orange  
Betty Pedersen  
L. Diane and Phillip Santellan  
Rita Shuster  
Lee Amos Sprague  
Richard Stinson  
and Yuri Morita  
Theresa and Winfred Tozier  
Alice Walker  
Ramona and Thomas Wilson

#### **In-Kind Contributions**

Greens Restaurant  
Greenwood Winery  
La Mediterranee Cafe  
Roederer Winery  
Donna Travis (Calligraphy)

October 24, 1989

Board of Directors  
Vanguard Public Foundation  
14 Precita Avenue  
San Francisco, CA 94114

I have examined the balance sheet of Vanguard Public Foundation as of June 30, 1989, and the related statements of support, revenue, and expenditures, and changes in fund balances and the statement of functional expenditures for the year then ended. My examination was made in accordance with generally accepted auditing standards and accordingly, included such tests of the accounting records and such other auditing procedures as I considered necessary in the circumstances.

In my opinion, the accompanying financial statements present fairly the balance sheet of Vanguard Public Foundation as of June 30, 1989 and the support, revenue, expenditures, and changes in fund balances, and functional expenditures for the year then ended in conformity with generally accepted accounting principles applied on a consistent basis.



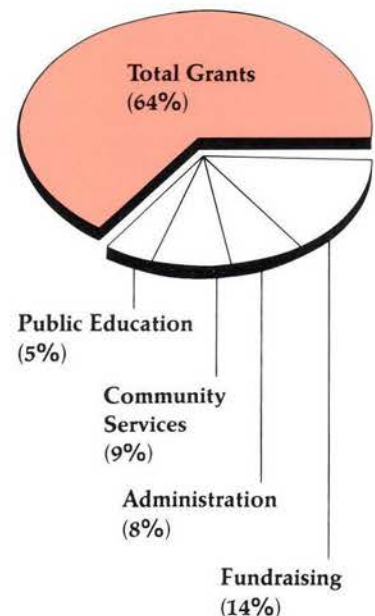
Richard K. Chinlund

**Vanguard Public Foundation Balance Sheet  
June 30, 1989**

ASSETS	Total	Expendable	Non-Expendable	
			Fixed Assets	Endowment
Cash in Bank	\$209,350	\$146,003		\$63,347
Prepaid Expenses	12,236	12,236		
Accounts Receivable	146,436	146,436		
Loans Receivable (Note 2)	73,450	73,450		
Investments (Note 3)	26,488	26,488		
Furniture & Equip (Note 4)	43,573		43,573	
Accumulated Depreciation	(33,671)		(33,671)	
Deposits	1,611	1,611		
<b>Total Assets</b>	<b>\$479,473</b>	<b>\$406,224</b>	<b>\$9,902</b>	<b>\$63,347</b>
<b>LIABILITIES AND FUND BALANCES</b>				
<b>Liabilities</b>				
Grants Payable	\$246,800	\$246,800		
Payroll Taxes Withheld	1,564	1,564		
Accounts Payable	1,648	1,648		
<b>Total Liabilities</b>	<b>\$250,013</b>	<b>\$250,013</b>		
<b>FUND BALANCES</b>				
General	\$156,211	\$156,211		
Fixed Assets	9,902		\$9,902	
Endowment	63,347			\$63,347
<b>Total Fund Balances</b>	<b>\$229,460</b>	<b>\$156,211</b>	<b>\$9,902</b>	<b>\$63,347</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$479,473</b>	<b>\$406,224</b>	<b>\$9,902</b>	<b>\$63,347</b>

**Vanguard Foundation Expenditures**

Fiscal Year 1989



**Notes to Financial Statements**  
**June 30, 1989**

**Note 1: Significant Accounting Policies:**

**Standards of Accounting and Reporting**

The association follows standards of accounting and financial prescribed for voluntary health and welfare agencies. In accordance with these standards, expenditures for land, building, and equipment and the fair value of donated property are capitalized. Depreciation is recorded over the estimated useful lives of five years of the assets. Investments are stated at cost. All contributions are considered available for the general program, unless specifically restricted by the donor. Donated materials and equipment are reflected as contributions by their estimated value at date of receipt.

**Fund Raising Plan**

The agency has embarked on a two-year development expansion plan. The plan includes expenditures exceeding support and revenue during fiscal year ending June 30, 1989.

**Note 2 — Loans:**

The agency has advanced loans to charitable organizations and such amounts do not produce income.

The agency has loaned \$50,000 to Northern California Community Loan Fund. This loan is non-interest bearing and matures August 29, 1993.

**Note 3 — Investments:**

Substantially all investments are on a short term basis. Income from all investments is credited directly to the General Fund unless such income is restricted by contributors.

**Note 4 — Office Furniture and Equipment**

Depreciation of fixed assets is recorded on a straight-line basis over an estimated useful life of five years.

**Note 5 — Lease**

The agency leases office space at the rate of \$1,691.00 per month increasing yearly to \$1,864.32 through April 30, 1991 at which time the lease expires. The remaining obligation on this lease to termination is \$41,015.04. The total lease rental expense for the fiscal year ending June 30, 1989 was \$22,586.46.

**Note 6 — Tax Status**

The agency is exempt from income tax under IRC section 501(c)(3).

**Vanguard Public Foundation**  
**Statement of Support, Revenue, Expenditures**  
**and Changes in Fund Balances**  
**Year Ended June 30, 1989**

	Total	Expendable	Non-Expendable	
			Fixed Assets	Endowment
<b>SUPPORT &amp; REVENUE</b>				
Contributions	\$764,217	\$761,717	2,500	
Returned Grants	10,500	10,500		
Interest Income	20,674	14,915		\$5,759
Other Income	5	5		
<b>Total Support &amp; Revenue</b>	<b>\$795,397</b>	<b>\$787,138</b>	<b>\$2,500</b>	<b>\$5,759</b>
<b>EXPENDITURES</b>				
Program Services				
Grants				
General Fund	\$275,000	\$275,000		
Donor Advised	290,136	290,136		
<b>Total Grants</b>	<b>\$565,136</b>	<b>\$565,136</b>		
Public Education	42,794	41,947	848	
Community Services	78,079	76,599	1,481	
<b>Total Program Services</b>	<b>\$686,009</b>	<b>\$683,681</b>	<b>\$2,328</b>	
Supporting Services				
Management & General	72,426	\$70,991	\$1,435	
Fund Raising	126,321	123,978	2,343	
<b>Total Supporting Services</b>	<b>\$198,747</b>	<b>\$194,969</b>	<b>\$3,778</b>	
<b>Total Expenditures</b>	<b>\$884,756</b>	<b>\$878,650</b>	<b>\$6,106</b>	
Excess of Expenditures over Support & Revenue	(\$89,360)	(\$91,512)	(\$3,606)	\$5,759
Fund Balances — Beginning	318,820	253,152	8,080	57,588
Transfers		(5,428)	5,428	
<b>Fund Balances — Ending</b>	<b>\$229,460</b>	<b>\$156,211</b>	<b>\$9,902</b>	<b>\$63,347</b>

**Vanguard Public Foundation**  
**Statement of Functional Expenditures**  
**Year Ended June 30, 1989**

	Program Services			Supporting Services			Total Expenses
	Public Education	Community Services	Total	Management & General	Fund Raising	Total	
Salaries	\$21,083	\$36,819	\$57,902	\$35,682	\$58,265	\$93,947	\$151,849
Payroll Taxes	2,493	4,354	6,848	4,220	6,891	11,110	17,958
Employee Welfare	2,687	4,692	7,379	4,547	7,426	11,973	19,352
Occupancy	3,705	6,469	10,174	6,270	10,238	16,507	26,681
Telephone	582	1,017	1,599	985	1,609	2,594	4,193
Office Supplies	1,390	2,428	3,818	2,353	3,842	6,194	10,012
Equipment Maintenance	528	921	1,449	893	1,458	2,351	3,800
Printing & Publications	2,956	5,162	8,119	5,003	8,169	13,172	21,291
Postage & Shipping	1,840	3,213	5,053	3,114	5,085	8,199	13,253
Conference & Meetings	724	1,265	1,990	1,226	2,002	3,228	5,218
Fundraising Expenses					8,056	8,056	8,056
Professional Fees	3,333	5,820	9,153	5,640	9,210	14,850	24,003
Funding Exchange Expense		3,345	3,345				3,345
Miscellaneous	235	411	646	398	650	1,048	1,694
Dues & Subscriptions	273	477	751	463	755	1,218	1,969
Insurance	117	204	321	198	323	521	842
Depreciation	848	1,481	2,328	1,435	2,343	3,778	6,106
<b>Totals</b>	<b>\$42,794</b>	<b>\$78,079</b>	<b>\$120,874</b>	<b>\$72,426</b>	<b>\$126,321</b>	<b>\$198,747</b>	<b>\$319,620</b>

The accompanying notes are an integral part of these financial statements.

## ***Volunteer and Intern Program***

Money isn't everything, and Vanguard is blessed with contributions of many people's time and expertise. From addressing envelopes to cooking food for events and writing articles for our newsletter, volunteer service is a valued resource of the Foundation.

In addition, student interns from several Bay Area Universities have worked at Vanguard, contributing energy, enthusiasm and creativity. By working on special projects, interns become familiar with the workings of the Foundation and gain a broad view of the community as a whole. Internship positions in administration, research, community outreach, grantmaking, public relations, and fundraising are available during school terms.

*Special thanks to our volunteers*

### **Decade of Partnership Event**

Bonita Banks  
Joyce Brady  
Nilak Butler  
Jim Carmody  
David Elser  
Christina Murphy

### **Newsletter Writer**

Lisa Cutler

### **Project Volunteers**

Nilak Butler  
Paul Kivel  
Julie Levak  
Andrew Murray

Annual Report Credits:

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**Lenora Davis**  
**Dan Geiger**

*Writers*

**Lenora Davis**  
**Dan Geiger**  
**Julie Levak**  
**Peter Stern**

*Design, Cover Illustration  
and Production*

**Lenora Davis**

*Assistant Coordinator*

**Rhian Miller**

*Typesetting*

**Lynette Neidhardt**  
**Graphic Services**

*Printing*

**Inkworks**

*Special thanks to*

**Bob Lawson**  
**Kerry Tremain**  
**All those grantees, donors,  
staff and board members  
who offered invaluable  
comments, suggestions and  
photographs (we couldn't  
have done it without you!)**

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**Bob Hsiang** pages 5, 19, 23 top, 24.

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**Courtesy American Indians and the  
Death Penalty** page 9.

**Joan Bobkoff** page 11 top.

**Pat Greenhouse** Courtesy Oakland  
Tribune page 11 bottom.

**Courtesy Tenderloin Senior Organiz-  
ing** page 14.

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*Cover illustration photos*

*(starting at top, going clockwise):*

**Brent Jones, Unknown, Unknown,  
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**VANGUARD PUBLIC FOUNDATION**

San Francisco Board of Supervisors

Harry Britt

*"Vanguard offers great hope for our future"*

**Make Your Voice Heard**

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**Vanguard Public Foundation**

14 Precita, Box W-5K  
San Francisco, CA 94110

**YES, I want to make my voice heard.**

Enclosed is my contribution of:

\$50    \$100    \$250    \$500    \$1000    \$5000    \$\_\_\_\_\_

(Make checks payable to Vanguard Public Foundation)

Name \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_ Zip \_\_\_\_\_

Phone (home) \_\_\_\_\_ (work) \_\_\_\_\_

I want my contribution to remain **ANONYMOUS**.

**I want to volunteer to help.**

*Your contribution is tax-deductible. For additional information please call (415) 285-2005.*

Dear Friend,

Perhaps you're like me and have watched the events in Eastern Europe with a twinge of envy. You've thought we could use some real grassroots democracy here at home.

Perhaps you want to help, but can't find the time. You'd like to donate, but feel overwhelmed by all the worthy groups to choose from.

I'm writing you to let you know of a surefire way to support a broad based grassroots mobilization for peace, social justice, and a healthy environment.

Since 1972, the Vanguard Public Foundation has channeled over \$5 million to social change projects in the Northern California, often providing seed money to groups in their formative stages. Vanguard receives donations ranging from \$25 to \$25,000, and makes grants of \$2,000 to \$10,000, with a focus on low-income and minority communities.

You've probably seen the results of our grants without knowing it. Casa de las Madres, the Bay Area's first shelter for battered women, and Asian Immigrant Women's Advocates are among the groups that got help from Vanguard in their early stages.

When you give to Vanguard it's different because one check supports many struggles, and you ensure that your dollars go to the groups that need it most.

Vanguard's Allocations Committee, comprised of activists and donors who share your values and know the needs of their communities, carefully evaluates each grant applicant and funds only those whose work will really make a difference.

Our grantees have a tremendous impact on the political and social life of Northern California. Today we're working to:

- \* Safeguard the redwoods in the North Coast with a \$4,000 grant to the Redwood Environment Education Project.
- \* Promote better health care with \$8,000 to the Campaign for Accessible Health Care, the East Bay grassroots organization involved in exposing the measles crisis.
- \* Protect the rights of immigrants with a \$5,000 grant to the Santa Cruz Immigration Project.
- \* Fight apartheid by giving \$4,000 to the San Francisco Anti-Apartheid Committee.

Vanguard  
Public  
Foundation  
14 Precita  
Avenue  
San Francisco  
California  
94110  
415 285 2005

Member  
of the  
Funding  
Exchange

But grantmaking isn't our only mission. We believe that both investments and philanthropy are aspects of socially responsible money management. That's why we're also a leader in the socially responsible investment movement.

In 1985, Vanguard hosted the first Socially Responsible Investment Conference in the Bay Area. We publish the Northern California Guide to Socially Responsible Investments (call 415/285-2005 to find out how to order) and founded the Northern California Community Loan Fund, a revolving loan fund serving community-based institutions.

So you see, when you join the Vanguard partnership you put your philosophy into action in a variety of concrete ways. And you get something back when you give.

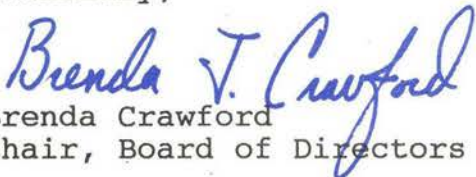
As a supporter of Vanguard, you can become actively involved in the issues of the day through our programs:

- \* SOCIALLY RESPONSIBLE MONEY MANAGEMENT SEMINARS help you get control of your money and invest, spend and give it away in a manner consistent with your social values;
- \* CLOSE ENCOUNTERS takes you to meet grassroots organizers and witness empowerment in action;
- \* ISSUES IN FOCUS seminars offer first-hand reports from international groups like the African National Congress.

Please join our partnership of donors and activists in the promotion of social justice. Your support is a crucial component in our efforts to build an active citizenry willing to tackle the problems of the day.

Make your voice heard by sending your contribution of \$50, \$100, \$250, \$500 or more to the Vanguard Public Foundation today. Your gift will reach the people working on the cutting edge to make the dream of democracy a reality.

Sincerely,

  
Brenda Crawford  
Chair, Board of Directors

P.S. Please help us raise \$200,000 by June 30th by sending your contribution today in the enclosed envelope. With your help we'll direct more dollars to organizations on the front lines of progressive social change.



Vanguard is the only way for donors to direct their contribution to groups that don't have the money for a big direct mail campaign—to groups that are doing real social change work.

Michael Kieschnick,  
*Founder, Working Assets and  
 President, SAND County Venture Fund,  
 A Socially Responsible Venture Capital Firm*



Indians from the Amazon rain forest talk with Vanguard donors about their work to preserve their culture and environment. Photo: Dan Geiger

Whether your financial situation allows you to give \$5, \$50, \$500 or \$50,000, you are an important partner in Vanguard's efforts to make your voice heard. Please join us by becoming a donor today.

**Yes, Please Make My Voice Heard!**

\$50  \$100  \$500  \$1,000  \$5,000  Other

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone (h) \_\_\_\_\_ (w) \_\_\_\_\_

- Yes, I'd like to volunteer
- I'd like my gift to remain *anonymous*.
- Please call me. I'd like to find out more about Vanguard.

**ALL CONTRIBUTIONS ARE TAX-DEDUCTIBLE.**  
 Please make checks payable to Vanguard Public Foundation.

Vanguard Public Foundation  
 14 Precita Avenue  
 San Francisco, CA 94110  
 (415) 285-2005

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### Your Link to the Nation

Vanguard is a founding member of the Funding Exchange (FEX), a national membership organization of locally-based community foundations dedicated to supporting grassroots organizing. As a founder of FEX, Vanguard has played an important role in shaping the priorities of funders nationwide.

The membership of the Funding Exchange has grown from the original 6 founders in 1979 to 15 foundations today. The member funds, combined with FEX's national grantmaking programs, provide over \$5 million per year to social change projects throughout the country.

The Funding Exchange is currently building a \$15 million endowment which will provide security and income to each member fund in perpetuity. This fund will ensure that your voice, *the voices of your children, and their children,* will be heard as long as there is a need to speak out about injustice.



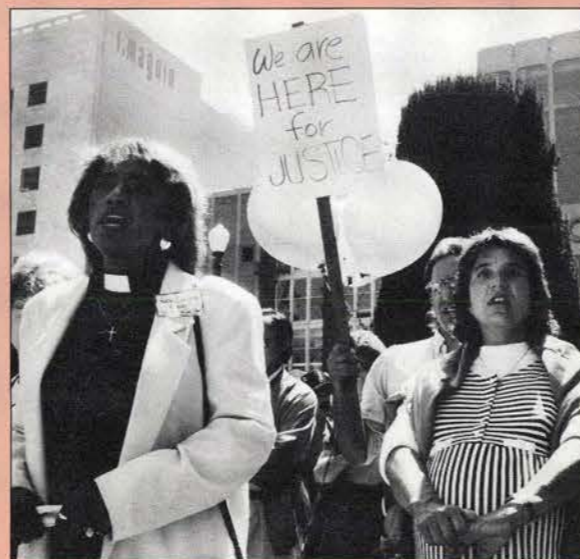
Mental health professionals learn about a Vanguard grantee working to counteract the effects of torture and war trauma among Central American refugees. Photo: Dan Geiger

**I really appreciate that there are many voices coming from different parts of the community, and that these voices are given great weight in deciding who gets funded.**

Young Shin  
 Vanguard Allocations Committee  
 and Director, Asian Immigrant  
 Women Advocates

**"Open your mouths  
 and let out your  
 lungs,  
 Raise such a  
 clamor that those  
 in high places  
 will wonder  
 what all the row  
 is about..."**

Jack London, 1905



Committee for Labor Research and Education vigil in memory of Dr. Martin Luther King focusing on discrimination against gay and Third World hotel and restaurant workers. Photo: Dan Geiger

Vanguard Public Foundation  
 14 Precita Avenue  
 San Francisco, CA 94110

CIVIL RIGHTS  
 PEACE  
 AFFORDABLE HOUSING  
 GAY RIGHTS  
 ECONOMIC JUSTICE  
 REFUGEE RIGHTS  
 THE ENVIRONMENT  
 SOLIDARITY  
 WOMEN'S RIGHTS  
 AIDS ACTIVISM  
 YOUTH EMPOWERMENT  
 DISABILITY RIGHTS  
 SENIOR CITIZENS ...



**Vanguard  
 Public Foundation**

Making Your Voices Heard

NON-PROFIT  
 ORGANIZATION  
 U.S. POSTAGE PAID  
 PERMIT NO. 145  
 SAN FRANCISCO, CA

If your sense of justice is offended when low-income people, women and minorities are denied their rights, if you're concerned about the destruction of our environment, if you don't want our taxes to support brutal dictatorships abroad, and you want to "raise a clamor"—then you should know about the Vanguard Public Foundation.

Like most people, you want to be certain that your money is being spent effectively—to support organizations that work to eradicate the causes of problems, not just treat their symptoms. Wouldn't you rather prevent homelessness and toxic pollution, and make shelter programs and cancer research unnecessary in the first place?

Since 1972, Vanguard has provided critically needed support to grassroots organizations in Northern California that are creating real and lasting change—*organizations that are making a difference.*

Vanguard is different because we're a community foundation—our donors come from all walks of life, and we make sure that the community of activists in which we invest has a strong voice in funding decisions.

From supporting AIDS activism to protecting the environment, promoting peace in Central America to defending women's reproductive freedom, building community institutions in our inner cities to insuring civil rights for all—*Vanguard is making thousands of voices heard throughout Northern California.*

Join us today in expanding this exciting partnership for change. Make a gift, give your time, tell a friend about us.

*Make your voice heard!*

**I work hard for my money, and I don't have time to evaluate each group that asks me for money. I trust Vanguard to do that for me. I can give one donation to Vanguard and know that I'm supporting all the issues I care about in Northern California.**

Theresa Murphy  
Manager, La Méditerranée Café

### Building a Foundation of Trust

Founded in 1972, Vanguard Public Foundation was among the first of the so-called "alternative foundations" and helped to pioneer the progressive philanthropy movement.

Our structure manifests a belief that representatives of the communities we fund, in partnership with donors, should determine where funds are spent. This philosophy has two complementary benefits: it's fair and democratic, and it places decision-making in the hands of those best qualified to evaluate the needs of the community.

When organizations meet with Vanguard's Allocations Committee to discuss their proposals, they are sitting down with people who are personally involved in organizing—people who share their dedication to peace and justice.

And because our roots are embedded in the communities we fund, the foundation is uniquely positioned to provide seed money to projects in their early phases. Consequently, we are often the first source of funding for organizations which later are able to acquire support from more traditional sources.

**We're working to provide gay, cultural and linguistically sensitive resources to the underserved population of Latino gay men. Vanguard put a roof over our head. Last year we were all volunteer—with Vanguard's help we are now officially incorporated and are on the way to having paid staff.**

Rodrigo Reyes  
Director, Community United in Response to AIDS



Teenagers learn about safe sex with the "AIDS Color Me Deadly" coloring book produced by the Coronado Neighborhood Council.  
Photo: Haruko

A Vanguard grant supports the California Association of Family Farmers who participate on weekends at the farmer's market in Stockton.  
Photo: Haruko



## Planting the Seeds...



A Vanguard grant supported this demonstration for access to public transportation. Photo: September Alliance for Accessible Transportation

### Vanguard Grants:

- 1976-84 Helped create the **Asian Law Caucus**, a vital community institution that provides legal services to the Asian community.
- 1976 Provided early support to **Casa de las Madres**, San Francisco's first shelter for battered women.
- 1980's Support a variety of organizations that first opposed US intervention in Central America, including **CISPES**, **East Bay Sanctuary** and many more.
- 1983 Funded the **Harvey Milk Democratic Club's** AIDS education and prevention brochure *Can We Talk?*, a model replicated the world over.
- 1984-85 Enabled the **Santa Clara Committee on Occupational Safety and Health** to secure a ban on carcinogenic chemicals from electronics industry workplaces.
- 1986 Supported the **Environmental Protection Information Center** of Garberville to oppose clear cutting and promote responsible land use in Mendocino's Lost Coast area.
- 1988 Help the **West County Toxics Coalition**, a Richmond group of African-American activists fight toxic pollution in the East Bay.
- 1985-89 Assisted the **Watsonville Cannery Workers Organizing Project** to realize major victories in labor struggles, fair electoral representation campaigns, and earthquake relief advocacy.

## A Wealth of Resources

Vanguard doesn't just raise money and give it away. We're also dedicated to providing donors and the general community with other resources needed to create lasting change.

**Technical Assistance and Community Outreach** programs assist community groups in organizational development and pro-actively target grantmaking to underfunded communities.

**Close Encounters** brings donors and friends of the Foundation to meet Vanguard grantees.



Vanguard's Allocations Committee. Photo: Joan Bobkoff

The **Inherited Wealth Group** provides personal and confidential support for sorting out issues that come with inheriting money.

**Issues in Focus** briefings feature guest speakers on topical issues.

**Donor advised grantmaking** provides administrative and advisory services to donors interested in making contributions to organizations or issues of their choice.

**Socially Responsible Money Management Seminars** help participants incorporate social values into their financial affairs.

Vanguard's **Northern California Guide to Socially Responsible Investing** provides information and resources on all aspects of socially responsible money management.

Networks like the **Health Professionals Group** provide an outlet for like-minded peers to act on their progressive ideals by engaging in educational and fundraising activities.

**VANGUARD PUBLIC FOUNDATION**  
**General Fund Grants**  
**2nd and 3rd Quarters, FY 1990**

Community Economic Development

Centro del Pueblo, *San Francisco* \$6,000  
*Support consortium of community organizations to buy building*

Community Organizing

CA Association of Family Farmers, *Davis* 3,000  
*Promote small farms and links with environmentalists*

Income Rights Project, *San Francisco* 10,000  
*General support for organizing welfare families*

Cultural Activism & Media

Dia de los Muertos Film Project, *Bay Area* 3,000  
*Grassroots distribution of documentary film*

El Teatro de las Cucarachas, *Fresno* 3,000  
*Central Valley tour of Chicano theatre performances*

509 Cultural Center, *San Francisco* 3,000  
*General support for Tenderloin arts collective*

Vukani Mawethu, *Bay Area* 6,500  
*Outreach materials for anti-apartheid freedom choir*

Disabled Rights

DIAL: Disabled in Action League, *Fort Bragg* 6,000  
*Advocacy for access in Mendocino County*

Health & Environment

Refugee Women's Project, *San Francisco* 4,000  
*AIDS education pamphlet for Asian women*

Campaign for Accessible Health Care/CTWO, *East Bay* 8,000  
*Community organizer salary for health care advocacy project*

Redwood Environment Education Project, *Arcata* 4,000  
*General support, environmental education and advocacy*

Women's Cancer Resource Center, *Bay Area* 6,000  
*General support for women's health care advocacy*

Immigrant & Refugee Rights

Sacred Heart Training Project, *San Jose* 4,000  
*Leadership training among immigrants and refugees*

Santa Cruz Immigration Project, *Santa Cruz* 5,000  
*Peer advisors and operations for an immigrant rights coalition*

Coalition for Immigrant & Refugee Rights & Services, *Bay Area* 5,000  
*Theatre project to provide information to immigrants*

International Issues

MASPS: Movement in Solidarity with the People of El Salvador, <i>San Francisco</i> <i>Public education about situation in El Salvador</i>	5,000
Najda: Women Concerned on Mid East, <i>Bay Area</i> <i>Anti-racist education about Arab world</i>	4,000
Mid-East Children's Alliance, <i>Bay Area</i> <i>Organizational development for Middle East work</i>	2,000
San Francisco Anti-Apartheid Committee <i>Salary for organizer</i>	4,000
Coalition for Nicaragua, <i>Santa Cruz</i> <i>Broad based coalition opposing US intervention in Central America</i>	1,000

Housing & Homelessness

La Raza Centro Legal, San Francisco <i>Attorney's salary for housing rights project</i>	5,000
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Lesbian & Gay

Community Link, <i>Fresno</i> <i>General support for multi-racial gay community center</i>	5,000
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Resources for Organizing

The State of Our Nations, <i>Northern California</i> <i>Forum of Native American activists</i>	5,000
Africa Resource Center, <i>Oakland</i> <i>Support for long-range planning</i>	1,500

Women

Asian Immigrant Women Advocates, <i>Silicon Valley</i> <i>Salary for organizer of electronics workers</i>	8,000
Bay Area Black Women's Health Project, <i>Bay Area</i> <i>Operating expenses for self-empowerment projects</i>	4,000
National Latina Health Organization, <i>Oakland</i> <i>General support for health education and activism</i>	4,000
Vietnamese Heritage Institute, <i>Oakland</i> <i>Leadership development for young Vietnamese women</i>	3,000

Workers

Cannery Workers Organizing Project, <i>Watsonville</i> <i>Support network of rank and file cannery workers</i>	5,000
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Youth & Elderly

United Seniors of Oakland <i>Intergenerational grassroots advocacy for seniors</i>	7,500
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Total	<u>\$140,500</u>
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TUESDAY, APRIL 24, 1990



BY ERIC LUSE/THE CHRONICLE

Young Shin, director of Asian Immigrant Women's Advocates, encourages her clients to stick up for their rights without threatening their garment factory jobs.

# Empowering the Women Of the Sweatshops

BY MICHAEL ROBERTSON  
CHRONICLE STAFF WRITER

**T**he women seated at the table are all veterans of garment factories — so-called sweatshops — in Oakland's Chinatown. They will gladly tell you how it is to work in places without minimum wage or overtime or any of the numerous workplace protections American workers take for granted.

They will tell you. They will not show you. That could cost them their jobs.

The women are gathered on this Friday night because they are members of the workers' board at the Asian Immigrant Women Advocates in Oakland. That could cost them their jobs, too.

There's still a blacklist in Chinatown. The

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The first step is  
learning you  
have rights.

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owners don't even like it when workers want to learn English, Mrs. Wu says.

"They say, 'You're too old. Why do you want to learn? Let your children learn.'"

Mrs. Wu smiles broadly as she imitates the tone of voice of the nattering, nagging boss. The other women nod in agreement. One is still young and pretty. The others, in various stages of middle age, were once pretty. Now

most have the grim twist to the mouth and the weary lattice of wrinkles that come from working long hours and — as their children or grandchildren may be privileged to put it — not having nearly enough fun.

They form a group portrait of a grand American institution, one grander to contemplate than actually to experience. They are pioneer women. Instead of investing money, they are investing suffering.

It's a long-term payout. Mrs. Guang says coming to the United States from China has meant no particular improvement in her own life. "We did it for the children," she says.

The discouraging reality is that improving work conditions in the garment factories, the restaurants and the nursing homes that em-

See Page B5, Col. 1

# Advocate Helps 'My Own Folks'

From Page B3

ploy many of the estimated 100,000 foreign-born women in the Bay Area is a long, slow, generation-spanning job.

There is always the Norma Rae solution. Organize. Strike.

But Young Shin, 39, the women's advocate group's executive director, says you can't impose that kind of labor action on the women with whom she works. It's like asking water to freeze at 80 degrees.

## Barely Literate

Many of these women are from countries where union equals communism equals bad. Many of them cannot speak English. Many are barely literate in their native tongues.

Living from day to day can be a daunting task in a country like the United States where "rights," whether in matters of health service or workplace conditions, are frequently available only to those who know how to push, shove and work the system.

Take a right, any right, Shin says. "Most of (the workers) haven't heard of it. If they've heard of it, they don't know how to exercise it. If they know how to exercise it, they don't speak English well enough to get it."

To reach these women, the group engages in what fund-raiser and organizer Yin Ling Leung calls "soft-core" organizing. Two or three women go to a garment factory and knock on the door. There is no sign-waving or fist-shaking. Instead, the organizers hand out leaflets asking the workers to the next AIWA party. At the party, they suggest that the workers try an AIWA English class.

The language classes illustrate the AIWA philosophy, that of giving their clients what they want rather than telling them what they

"should" want. According to Shin, one of the English phrases many women want to learn is: "You don't have to yell."

After language classes, women may go on to leadership or job-training classes. Job-training graduates are placed in local hotels, where wages are \$7 to \$8 an hour, and health insurance is provided, an enormous boon to mothers.

Shin and Leung are clearly unhappy at giving the impression that the high point of their work is training maids. "We don't think hotel industry is the answer to problems in the garment industry," Leung says.

Shin says that's one of the most frustrating parts of her work. Somewhere down the road enough women may become articulate and aggressive enough — "empowered," she would call it — to change working conditions in the garment industry.

## Companies Fleeing

But even as AIWA works toward empowering women, union manufacturers such as Koret are moving their shops to Third World countries, complaining of high costs. The future of the labor movement will be in doing battle with "supra-national" companies that have allegiance to no country.

For now, here in Oakland, it's two baby steps forward and one back. The victories are often small, individual.

After coming to AIWA and learning about minimum wage, Mrs. Liu asked her factory manager for it. Without complaining, he agreed. But he did not start paying minimum wage to the other seamstresses who didn't ask.

"What can we do?" Shin says. "It's frustrating. We don't want to push a woman to lose her job. That's not empowering. But we

hope someday she'll be ready to stand up for her own rights. You can be a nice Asian or a dumb Asian. You can be a kind of role model or, if you're low-income, as invisible as familiar wallpaper."

Shin herself is more the role-model variety. Born in Korea into a professional family, she first came to the United States at 16 as an exchange student.

Impressed by the independent American spirit and frustrated by the authoritarian government in her homeland, she returned here permanently 15 years ago. After earning a master's degree in sociology from Cal State Los Angeles she discovered "my heart was in working with my own folks" and began working in Asian community services.

She has been executive director of AIWA since 1983. Several years ago, she earned a law degree from Hastings to continue her own self-empowerment.

Surviving on a yearly budget of \$200,000 mostly obtained from grants and private donations, AIWA is a bare-bones operation.

Shin's family is not particularly happy with her career choice. Her brother the CPA "can't stand to do my income tax."

Is her brother's disapproval a problem? Has she had any discomfort, or feeling of liberation, coming from a culture in which the relationship between men and women is more traditional ...

"You mean a chauvinist culture," she says, laughing. "I was always an oddball. I don't think my parents knew what kind of monster they were raising."

Seriously, she says, you can overemphasize the notion of cultural male chauvinism: "I'm married to a Chicano. It doesn't make that much difference."

Growth of a Civil Rights Movement

# The Disabled Find a Voice, And Make Sure It Is Heard

By STEVEN A. HOLMES

**T**HE pictures were striking, just as they were intended to be: Children paralyzed from the waist down crawling up the steps of the Capitol, and more than 100 protesters, most in wheelchairs, being arrested by police officers in riot gear after a raucous demonstration in the Rotunda.

The aim of the demonstration was to press for enactment of the Americans with Disabilities Act, a comprehensive civil rights bill that extends to physically and mentally disabled individuals the same protections against biased treatment in employment, transportation and public accommodations now accorded women and minorities.

"You can view disability rights as one of the latest chapters in the overall civil rights movement," said Wayne Sailor, a professor of special education at San Francisco State University.

It was not always so. For years, the agenda for the disabled was set by organizations like the March of Dimes and the Easter Seals Foundation, which focused on providing services for the disabled and prying money loose from government and individuals to find cures for such illnesses as cerebral palsy.

In the last two decades, however, the attitude of those with disabilities has shifted from being passive recipients of institutional largess and paternalism to demanding a full role in society. "We're not Tiny Tims, or Jerry's kids," said Bob Kafka, a quadriplegic from Austin, Tex., as he demonstrated outside the White House last week.

The disability rights movement was shaped by a number of scientific, cultural and political forces. In many ways, it is a by-product of the technological revolution. Breakthroughs in medicine, the development of computers that allow the hearing and speech impaired to use telephones, and advancements in motorized wheelchairs have meant more people with severe handicaps live longer, can do more for themselves and have the potential for enjoying fuller lives.

"There are people with serious spinal cord injuries who used to die within two weeks that now live 30 or 40 years," said Dr. Frank Bowe, a deaf scholar whose 1978 book "Handicapping America" is to the disability rights movement what Betty Friedan's "The Feminist Mystique" was to the women's movement. "It's one thing to say we have this marvelous technology, but if nobody's going to hire you, what's the point?"

As the most efficient means of creating disabled people, wars have always been a factor in advancing the disability rights movement, and Vietnam was a main force. The war added a large number of disabled veterans, already angry over America's indifference to their sacrifice in Southeast Asia, to an army of people with disabilities demanding fairer treatment. The Library of Congress, for example, estimates there are 43 million Americans with some form of disability.

In 1973, after two vetoes by President Richard M. Nixon, Congress passed Section 504 of the Rehabilitation Act, which barred discrimination against the disabled by any entity receiving Federal funds. But no regulations were written to put it into effect until 1978, after advocates staged a 28-day sit-in.

## Entrenched Barriers

But barriers remained entrenched in the private sector, where the bulk of the new jobs were created in the last decade. "We had no rights at all there," Dr. Bowe said.



Associated Press

Rally near the Capitol last week to press for a bill extending rights for the disabled.

Doing whatever it takes to fulfill the promise of a landmark Federal law.

During the 1980's, the disability rights movement struck an alliance with traditional civil rights and feminist groups. As a result, for the first time, discrimination against the disabled was barred in the sale or rental of housing. "Standing alone, we could not have

done that," said Pat Wright, director of the Disability Rights Education and Defense Fund, who is legally blind. "But wrapped in the arms of the civil rights community we had a lot more power."

The movement has also gained sympathetic ears both on Capitol Hill and in the Bush Administration. Officials and lawmakers who have relatives with various afflictions are more responsive, as are politicians who are increasingly aware that the votes of the disabled are up for grabs.

That point became clear after the Republican National Convention in 1988, when, in his acceptance speech, Mr. Bush became the first Presidential candidate to address the problems of the disabled directly. A poll by Louis Harris and Associates taken after Mr. Bush's speech showed that the lead Michael S. Dukakis held over Mr. Bush among disabled voters fell to 10 points, from 33.

But advocates say they have just begun. Just as the Government can pass laws that end racial discrimination, but not racism, it can outlaw biased treatment of the disabled but not mandate acceptance of them.

"You can't legislate attitudes," said Ms. Wright. "But the attitudinal barriers will drop the more disabled people are employed, the more they can be seen on the street and when we become not just a silent minority, but full participating members of society."

*Vanguard  
of  
grants*