



**HARBOR COMMUNITY  
BENEFIT FOUNDATION**

**HARBOR COMMUNITY BENEFIT FOUNDATION**  
**San Pedro, California**

**STRATEGIC PLAN 2013 - 2016**  
**Adopted by the Board of Directors 17 May 2013**

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## INTRODUCTION

### COMMENT FROM THE BOARD CHAIR – SEAN HECHT

I've been proud to be part of the Harbor Community Benefit Foundation over these past two years. We've already come a long way since our initial board meeting in May 2011: We have a tireless, dedicated staff, who have helped the organization to fund on-the-ground projects that are improving the health and quality of life of residents in Wilmington and San Pedro, and to embark on studies that will set the groundwork for many wonderful initiatives in the future. We have developed collaborative, positive relationships with community members, the Port of Los Angeles, the State Lands Commission, elected officials, and the dedicated group of organizations and individuals whose hard work resulted in the creation of HCBF.

As a new organization, we decided to embark on strategic planning as a means to reflect concretely on what we want to do and what we want to become. While the Memorandum of Understanding and Operating Agreement that created HCBF provide a solid foundation, an initial direction, and guiding principles, we are responsible for ensuring that the organization moves forward with a mission, a vision, and strategies that will make the organization capable of implementing the plan.

With all that in mind, we embarked on a deliberative process to develop this plan. We took stock of our current situation and the opportunities and challenges that stem from our unique organizational structure and history. We considered a range of views from our diverse Board of Directors and from other stakeholders. We drew upon the deep knowledge and experience of our Executive Director Mary Silverstein. And we relied on the efforts of our Strategic Planning Committee, with the assistance of Mary, to synthesize all our ideas and to develop a path forward.

We're committed to implementing this plan with care and diligence, and to updating it when necessary to reflect any changes in the needs of the community or the capacity of the organization. I see this plan not as a rigid set of instructions, but instead as a living document that we can use to ensure that we are always mindful of how our actions further our mission and bring us closer to the attainment of our vision.

### COMMENT FROM THE EXECUTIVE DIRECTOR – MARY SILVERSTEIN

HCBF's first strategic plan reflects the collaborative efforts of a **visionary** ad hoc Strategic Planning Committee, **dedicated** Staff, and **thoughtful** Board members. With exceptional coaching from David Norgard and his consulting firm, OD180, over a course of nearly six months our Board members and staff developed and publicly adopted this plan. We are confident the Board will periodically evaluate and adjust the plan, as necessary, as we progress together towards the achievement of our stated goals.

The plan reinforces our firm commitment to enhance the vibrant communities of Wilmington and San Pedro, to be transparent, to work collaboratively with our stakeholders, and, to assure the viability of the foundation. The plan begins with an abbreviated history, introducing environmental justice advocates, public, and private stakeholders, who collectively played a critical role in the formation of the Port Community Mitigation Trust Fund and in the selection of our Board of Directors.

The members of our founding Board were chosen for their passion, expertise and commitment to local environmental concerns. With the distinction of director nominations from Congresswoman Janice Hahn (formerly CD 15), the Mayor of Los Angeles, LA County Department of Public Health, UCLA, USC, and the TraPac Appellants, our Board offers guidance and expertise in the fields of environmental law, science, health, labor, economic development, and urban planning. Of equal importance, our Board includes two Appellants who represent the harbor communities of Wilmington and San Pedro. We are very proud to have such a strong board, and appreciative that each member of the board actively participated in the development of this plan.

This Strategic Plan provides HCBF staff with a four-year roadmap. The plan also contains three important addendums, a spending plan, grant making guidelines, and the measures we will use to evaluate our projects and programs. Designed to be dynamic, it encourages innovation and creativity to develop and fund projects and programs for the benefit of the communities we serve.

Our first plan results from countless hours of work from numerous stakeholders mentioned throughout this document. Our sincere thanks to Mission Infrastructure, for your early efforts; and, to our counsel at Jenkins & Hugin for your ongoing sage advice. Most of all, thank you to our Board, for the collegial spirit and clear vision that lead to the unanimous adoption of the plan.

It is a great pleasure, and privilege, on behalf of the growing team at HCBF, to accept the responsibility of implementing this 2013-2016 Strategic Plan.

Mary Silverstein, Executive Director

## SPECIAL ACKNOWLEDGEMENT – THE APPELLANTS

Our sincere thanks to the TraPac Appellants, for your critical role in our formation:

American Lung Association, Change to Win, Coalition for a Safe Environment, Coalition for Clean Air, Communities for a Better Environment, Communities for Clean Ports, Earth Day LA, Environmental Priorities Network, Harbor-Watts EDC, International Brotherhood of Teamsters, Los Angeles Alliance for a New Economy, Physicians for Social Responsibility, the Natural Resources Defense Council, San Pedro Peninsula Homeowners Coalition, Sierra Club Harbor Vision Task Force, Mr. Chuck Hart, and Ms. Kathleen Woodfield.

## HCBF HISTORY IN BRIEF

The Harbor Community Benefit Foundation is a unique organization, born out of a historic agreement between the Port of Los Angeles and a passionate group of community-based organizations and individuals committed to ensuring the health and quality of life of residents in Wilmington and San Pedro. These communities have been significantly impacted by their proximity to the Port of Los Angeles and related businesses and transportation corridors. The communities have experienced environmental, public health, and other quality of life issues. While the Port has gotten cleaner in recent years, the impacts – both new impacts from expansion projects, and legacy impacts from inattention to community needs in prior decades – remain.

Our organization's story began in December 2007, when the Board of Harbor Commissioners (BOHC) approved plans to significantly expand the Trans Pacific (TraPac) terminal. One week later, a coalition of environmental, labor, economic development and community groups filed an appeal to the LA City Council, contending that environmental impacts of the project were not adequately studied and would not be adequately mitigated.

With the support of then-Councilwoman Janice Hahn and Mayor Antonio Villaraigosa, in April 2008 the City of Los Angeles and the Appellants made a historic agreement to resolve the dispute over the TraPac project by ratifying the TraPac Memorandum of Understanding (referred to as the "MOU" or "TraPac MOU"), *"to support collaborative efforts to grow and green the port ... to reduce environmental impacts on the community while creating jobs and economic prosperity to the surrounding region."* The MOU called for the creation of the Port Community Mitigation Trust Fund ("PCMTF"), the first of its kind, and allocated significant funding to the PCMTF to improve the health and quality of life of local residents by addressing the impacts of Port-related activities.

The MOU and its associated Operating Agreement called for the formation of an independent non-profit organization to manage and administer the PCMTF, including undertaking and funding mitigation projects to benefit the communities of Wilmington and San Pedro. HCBF, whose seven-member volunteer board first met on May 31, 2011, is that organization. The founders also contemplated that HCBF could develop other funding sources and serve the community in broader ways with this non-PCMTF funding.

Since then, HCBF has been working to fulfill the vision of its founders, with the support of the community and the Port of Los Angeles. We have hired three full-time staff members. We have established a presence in the community and built relationships with community groups, elected officials, Port staff and Harbor Commissioners, the California State Lands Commission staff, and other important stakeholders. And we have been doing on-the-ground work, which has included funding several health care providers in the first round of a significant grant program that is adding important health-care capacity in Wilmington to address critical needs of the community, as well as assessing land-use and noise impacts from goods movement in the area to inform our future work.

## STRATEGIC PLANNING LEADERSHIP

The Board of Directors, which engaged in the planning process and ultimately approved this plan is comprised of the following members: Sean Hecht, Chair; Jesse Marquez, Secretary; Michele Prichard, Vice Chair; Silvia Prieto, M.D., Treasurer; Peter Peyton, Director; James Sadd, Ph.D., Director; Kathleen Woodfield, Director

The Board of Directors is grateful to the Strategic Planning Committee, which devoted many hours to the project. The Committee's membership included: Sean Hecht, Jesse Marquez, and Peter Peyton.

The Board of Directors is also grateful for the significant contributions made by the staff to this process, Mary Silverstein, Executive Director, and Arturo Alvarez, Program Associate.

Finally, the Board is grateful to David Norgard, Principal of OD180 Consulting, LLC, who ably served as consultant to the project.

## GUIDING STATEMENTS

### FOUNDATIONAL STATEMENTS: MISSION AND VISION

The Board of Directors adopted the following foundational statements on 24 August 2012.

#### *Mission Statement*

**Harbor Community Benefit Foundation assesses, protects, and improves the health, quality of life, aesthetics, and physical environment of the harbor communities of San Pedro and Wilmington, California, which have been impacted by the Port of Los Angeles.**

#### *Vision Statement*

Harbor Community Benefit Foundation's vision is that the harbor communities of San Pedro and Wilmington, California become safe, healthy, and beautiful places in which to live, learn, work, play, and enjoy the physical environment.

## STRATEGIC PRIORITIES FOR THE PLAN PERIOD, 2013 – 2016

These statements represent the major goals of the Strategic Plan 2013 – 2016 and were adopted by the Board of Directors on 17 May 2013. Taken together with the Foundational Statements, they offer a summary of the plan.

## PROGRAM OPERATIONS

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### Initiatives to Improve the Port Communities (Specific to the TraPac MOU Exhibit A)

Fund specific projects and programs to reduce off-port environmental impacts of the operations of the Port of LA and port-related operations, for the benefit of the harbor communities of Wilmington and San Pedro, from the Port Community Mitigation Trust Fund (“PCMTF”). These programs, identified in the TraPac MOU, will reduce off-port environmental impacts of the operations of the Port of LA and port-related operations, including but not limited to noise mitigation, air filtration, health care grants, career bound training, recreational access and wetlands protection for the benefit of the harbor communities of Wilmington and San Pedro, in compliance with the Tidelands Trust.

### Initiatives to Improve the Port Communities with Trust Funds (projects not specifically identified in the TraPac MOU)

Identify and fund projects and programs in support of the mission and vision of HCBF, to reduce off-port environmental impacts and enhance safety, health, beauty, education, employment, and recreation in the harbor communities of Wilmington and San Pedro. These programs, not specifically identified in the TraPac MOU, will be funded from the PCMTF, and developed in compliance with the MOU and the Tidelands Trust.

### Initiatives Supported by Funds Other than the PCMTF

Identify, fund, and support project and programs in support of the mission and vision of HCBF, using non-PCMTF funding sources.

## INSTITUTIONAL ADVANCEMENT

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### Public Relations

Foster community relations to establish a strong understanding of the needs and concerns of community stakeholders and expand public awareness of HCBF through a variety of media.

### Collaborative Relationships

Build and sustain productive relationships with governing authorities, civic leaders, professionals and academic leaders with relevant expertise. Collaborate with community stakeholders, form strategic alliances and partnerships, and establish advisory bodies to support the work of reducing cumulative environmental impacts on the communities HCBF serves

### Resource Development – Port of Los Angeles

Work with the Port of Los Angeles: 1) to renew the TraPac MOU for another five years, to May, 2021, with the support of the Appellants; and 2) to generate additional funding for the benefit of the communities of San Pedro and Wilmington.

## Organizational Sustainability/Resource Development – General

Develop and secure funding from a range of sources, including but not limited to governmental entities, businesses, foundations, associations, and individuals, to build and sustain HCBF and the projects and programs which embody its mission and vision.

## FINANCE & ADMINISTRATION

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### Financial Management

Develop and maintain fiscal policies and procedures to ensure financial stability of the organization, accurate financial records, timely reporting, and good governance.

### Information Management

Develop and maintain internal administrative policies and procedures, such as employee manuals and records, donor and grantee records, contract management, and electronic filing protocols, among others; in order to operate effectively and efficiently.

### Human Resources

Develop and support sufficient staffing levels, incrementally, and evaluate performance of staff to ensure efficient and effective delivery of community benefit projects and programs in service to the Foundation's mission.

## GOVERNANCE & LEADERSHIP

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### Board Leadership

Provide for strong board leadership that meets the obligations and responsibilities of the board as delineated in the HCBF Bylaws, including qualified replacements for individual director positions as terms conclude and vacancies occur.

### Compliance and Organizational Evaluation

Ensure compliance with governing documents, with periodic evaluation of the organizational functions: projects and programs, including but not limited to assessments, projects, and grant making; resource development activities, such as fundraising and community awareness campaigns; development and implementation of internal policies and procedures, particularly with respect to finance and budget, reporting, risk management; and employment practices, including the performance of the executive; and self-evaluation of the Board by the individual Board Members.

## #1: ADVANCE INITIATIVES TO IMPROVE THE COMMUNITIES OF WILMINGTON AND SAN PEDRO (SPECIFIC TO THE TRAPAC MOU)

Goal: Fund specific projects and programs to reduce off-port environmental impacts of the operations of the Port of LA and port-related operations, for the benefit of the harbor communities of Wilmington and San Pedro, from the Port Community Mitigation Trust Fund (“PCMTF”). These programs, identified in the TraPac MOU, will reduce off-port environmental impacts of the operations of the Port of LA and port-related operations, including but not limited to noise mitigation, air filtration, health care grants, career bound training, recreational access and wetlands protection for the benefit of the harbor communities of Wilmington and San Pedro, in compliance with the Tidelands Trust. (See Appendix A)

Strategy: Develop, implement, manage and regularly evaluate off port mitigation projects that enhance public health and quality of life for the harbor communities of San Pedro and Wilmington by addressing the cumulative off-port impacts related to the operations of the Port of Los Angeles.

### #1.1: PROJECT A – NOISE MITIGATION

Objective: Mitigate noise pollution to enhance the health and learning environment in schools and homes in Wilmington impacted by the operations of the TraPac Terminal.

#### Tactics

##### 1.1.1

Contract with and manage industry consultants, engaged to identify, assess, and initiate noise mitigation measures in schools and residences in the zones most significantly impacted by noise from the TraPac Terminal transportation corridors and port-related activities.

##### 1.1.2

Engage and educate the community, through public workshops.

##### 1.1.3

Pursue source, pathway, and receptor reduction strategies to eliminate or reduce noise, based on consultant recommendations, including strategic partnerships and advocacy.

##### 1.1.4

Determine priorities among proposed mitigation measures and evaluate their cost-effectiveness; dedicate funds from the PCMTF to address noise mitigation. (Exhibit A, Project A)

## #1.2: PROJECT B – AIR QUALITY

Objective: Improve indoor air quality in schools.

### Tactics

#### 1.2.1

Monitor the efforts of AQMD's air filtration program. Collaborate, when appropriate and feasible, with HCBF's noise mitigation efforts in the same schools.<sup>1</sup> (Exhibit A, Project A)

#### 1.2.2

Encourage AQMD to present periodic progress reports at HCBF board meetings, to engage and educate the community.

## #1.3: PROJECT C – HEALTH CARE

Objective: Mitigate health impacts to the communities of San Pedro and Wilmington by enhancing and promoting health services for their benefit, and by providing improved access to health education, diagnosis and treatment, medical supplies, and outreach.

### Tactics

#### 1.3.1

Solicit proposals from clinics, health service providers, health educators, and health-oriented public benefit organizations for innovative projects and programs designed to improve health in the communities served by HCBF by reducing the impacts of port-related pollution.

#### 1.3.2

Form an *ad hoc* Health Care Grant Committee to consider, review, and recommend submissions to the board for its consideration and approval.

#### 1.3.3

Conduct evaluations of projects and programs prior to each funding round. (Section 1.7)

#### 1.3.4

Dedicate funds from the Port Community Mitigation Trust Fund to address health impacts, known as Exhibit A, Project C.

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<sup>1</sup> Funded by the PCMTF before HCBF was formed, the AQMD-administered program includes the installation and maintenance of air filtration systems and/or HVAC air purifiers in schools in San Pedro and Wilmington impacted by port operations. (Exhibit A, Project B)

## #1.4: PROJECT D – WORKFORCE, JOB TRAINING & YOUTH DEVELOPMENT

Objective: Facilitate Workforce Development and Job Training Programs, including Career Bound Training for youth, to assist underserved and economically disadvantaged households of San Pedro and Wilmington.

### Tactics

#### 1.4.1

Collaborate with stakeholders, unions, employers and educational centers to implement and support employment training opportunities for residents of port communities.

#### 1.4.2

Facilitate local hire opportunities in conjunction with HCBF funded projects and programs. Require job creation and local hire data from HCBF consultants and grantees.

#### 1.4.3

Support programs dedicated to youth education and workforce development, including but not limited to maritime industries, and health and environmental fields, for the benefit of underserved households in San Pedro and Wilmington.

#### 1.4.4

Determine the feasibility of solicited programs and projects; track and report economic impacts to the board. Dedicate funds from the PCMTF to support workforce development projects and programs. (Exhibit A, Project D)

## #1.5: PROJECT E – WETLANDS AND PUBLIC RECREATION

Objective: Assess potential sites for wetlands restoration and public recreation in San Pedro and Wilmington; provide recommendations for action to the port.

### Tactics

#### 1.5.1

Dedicate funds from the PCMTF to identify potential sites and provide recommendations to the port. (Exhibit A, Project E)

## #1.6: ADDITIONAL (NON-EXHIBIT A) PROJECTS ENUMERATED IN THE TRAPAC MOU

Objective: Work with community stakeholders to undertake and complete assessments and studies described in the TraPac MOU to advance organizational knowledge through scientific study and inquiry.

## Tactics

### 1.6.1

Conduct stakeholder meetings in Wilmington and San Pedro to ensure community participation.

### 1.6.2

Initial Land Use Study: Facilitate completion of the initial study of off-port impacts on land use. Engage additional consultants, as needed, to provide project expertise and scientific results.

### 1.6.3

Health Impact Study: Define scope of work and issue an RFP for an assessment of off-port impacts on health as contemplated in the TraPac MOU.

### 1.6.4

Expanded Off Port Study: Define scope of work and issue an RFP for a follow-up to the Initial Land Use and Health Study, a more expansive study of off-Port impacts examining aesthetics, light and glare, traffic, public safety and effects of vibration, recreation, and cultural resources related to port impacts on harbor area communities, including Rancho Palos Verdes.

### 1.6.5

Engage an outside consultant, as needed, to provide expert oversight, verify adequacy and accuracy of methodology, and analyze scientific results.

## #1.7: INTEGRATE PROGRAM EVALUATION ACROSS ALL PCMTF-FUNDED PROJECTS

Objective: Determine effectiveness of projects and programs to inform future grant guidelines, priorities, and funding levels.

## Tactics

### 1.7.1

Conduct ongoing evaluation of projects and programs with evidence based measures.

### 1.7.2

Assess and modify ongoing funding programs (future rounds), as needed, to match funding availability and priorities set by the Board.

## #2: PROCEED WITH INITIATIVES TO IMPROVE THE COMMUNITIES OF WILMINGTON AND SAN PEDRO WITH TRUST FUNDS (PROJECTS NOT SPECIFICALLY IDENTIFIED IN THE TRAPAC MOU)

Goal: Identify and fund projects and programs in support of the mission and vision of HCBF, to reduce off-port environmental impacts and enhance safety, health, beauty, education, employment, and recreation in the harbor communities of Wilmington and San Pedro. These programs, not specifically identified in the TraPac MOU, will be funded from the PCMTF, and developed in compliance with the MOU and the Tidelands Trust.

Strategy: Solicit and fund proposals for innovative projects and programs for the benefit of the communities of San Pedro and Wilmington, including but not limited to the health, safety, education, training, and employment of the residents; and beautification of the area.

### #2.1: COMMUNITY INITIATIVES

Objective: Identify, develop, establish and implement innovative community initiatives and programs.

#### Tactics

##### 2.1.1

Identify feasible on- and off-port projects and programs underway by other coastal communities and port agencies across the United States. Initiate best practices and proven models to benefit the communities served by HCBF.

##### 2.1.2

In conjunction with the Off-Port Impact on Land Use Study, solicit community input to identify potential community benefit projects.

##### 2.1.3

Develop a process by which proposals are regularly solicited and considered.

##### 2.1.4

Prioritize projects and programs designed to benefit the communities of San Pedro and Wilmington, based on the criteria set forth in Appendix B.

##### 2.1.5

Form a board Grants Committee to prepare and recommend proposals to the board for its consideration and disposition.

## #2.2: OFF-PORT AESTHETIC MITIGATION

Objective: Enhance community buffers and initiate beautification projects.

### Tactics

#### 2.2.1

Collaborate with stakeholders and funding partners to promote, launch and fund programs and projects designed to create open space, add beauty, combat blight, create buffers from port related operations, and ameliorate conflicting land uses.

#### 2.2.2

Prioritize projects and programs designed to benefit the communities of San Pedro and Wilmington, based on the criteria set forth in Appendix B.

## #2.3: YOUTH DEVELOPMENT – EDUCATION AND INNOVATION

Objective: Promote educational opportunities to advance environmental awareness and support the development of innovative green technologies.

### Tactics

#### 2.3.1

Collaborate with local academic institutions, businesses, and experts in the appropriate educational, scientific and technical fields.

#### 2.3.2

Support job development and training, particularly in the realm of technical assessment and development.

## #3: PURSUE INITIATIVES SUPPORTED BY FUNDS OTHER THAN THE PCMTF

Goal: Identify, fund, and support project and programs in support of the mission and vision of HCBF, using non-PCMTF funding sources.

Strategy: Pursue funding from other sources to execute HCBF's mission and vision; collaborate with stakeholders and experts in the appropriate scientific and technical fields to combine resources; and leverage funding for projects and programs.

### #3.1: FUNDRAISING

Objective: Maximize resources to initiate and complete HCBF projects and programs.

#### Tactics

##### 3.1.1

Pursue funding from foundations, agencies, private and public sources described in greater detail in Sections #5, 6 and 7.

### #3.2: COMMUNITY BENEFIT PROJECTS

Objective: Initiate community enhancement initiatives (such as those identified in #2.1 to 2.3).

#### Tactics

##### 3.2.1

Consider, review, and fund qualified proposals for community benefit projects and programs submitted in accordance with HCBF Grant Funding Guidelines. (Appendix B)

##### 3.2.2

Pioneer community environmental programs, including grants to encourage innovative efforts with a meaningful impact.

### #3.3: COLLABORATIONS

Objective: Collaborate with groups and entities whose mission parallels or complements that of HCBF.

#### Tactics

##### 3.3.1

Investigate opportunities for entering into agreements with other groups and organizations – commercial, governmental, and nonprofit – whose strategic goals coincide with those of HCBF and for whom HCBF can function effectively as an operating partner.

##### 3.3.2

Pursue and enter into agreements with groups and organizations whereby HCBF functions as an operating partner to effect programmatic activities which serve the mission of both HCBF and the partner entity.

## #4: FOSTER AWARENESS THROUGH PUBLIC RELATIONS

Goal: Foster positive community relations and expand public awareness of HCBF through a variety of outreach and communications strategies.

Strategy: Develop and implement a diverse, community focused, outreach and communications plan that will inform the community and set HCBF apart as a respected leader in and for the harbor community.

### #4.1: COMMUNITY EDUCATION AND ENGAGEMENT

Objective: Engage and educate the community.

#### Tactics

##### 4.1.1

Increase the environmental and health education awareness of area residents through workshops, forums, conferences, classes, and youth programs.

##### 4.1.2

Develop outreach and marketing methods that focus on building regional awareness around HCBF's various off-Port mitigation projects and grant opportunities to solicit responses from potential contractors and grant recipients.

### #4.2: COMMUNITY LEADERSHIP

Objective: Establish HCBF as a community leader in environmental, health and resource development efforts by and for the community.

#### Tactics

##### 4.2.1

In collaboration with community stakeholders, initiate, coordinate and advocate for efforts in the community to identify and resolve pressing environmental and health issues, as well as, seek the resources needed to address these issues.

## #4.3: PRINT AND SOCIAL MEDIA

Objective: Engage and educate the community through print and social media.

### Tactics

#### 4.3.1

Maintain a vibrant, informative website. Establish and sustain an ongoing and evolving social media presence aimed to broaden and diversify the HCBF audience.

#### 4.3.2

Maintain a current database of news outlets. Distribute press releases in a timely fashion. Seek supportive coverage in all forms of media.

#### 4.3.3

Grow and maintain a distribution list that will be used to engage HCBF's stakeholder base, and will foster relationship growth.

#### 4.3.4

Prepare and publish an annual report of the foundation's operations, projects and programs, and circulate it to external stakeholders.

## #5: BUILD COLLABORATIVE RELATIONSHIPS

Goal: Build and sustain productive relationships and partnerships with governing authorities, civic leaders, and professional and academic leaders to support the work of reducing cumulative environmental and health impacts on the communities HCBF serves.

Strategy: Collaborate, in mutually productive relationships, to develop and maintain synergy. Work together with strategic partners to reduce environmental and health related impacts of the Port and the goods movement industry.

### #5.1: RELATIONSHIPS WITH EXTERNAL STAKEHOLDERS

Objective: Develop and sustain relationships that keep external stakeholders engaged with the Foundation, its mission and operations.

### Tactics

#### 5.1.1

Cultivate relationships with founding and key stakeholder organizations, including local government officials, the Port of Los Angeles, the Appellants, community and residential associations, public health and academic institutions, and environmental groups. Jointly promote

the formation of HCBF as a historic collaboration of environmental groups, labor, the City, and the Port of Los Angeles; a model response to Port-related environmental impacts.

#### 5.1.2

Ensure that community stakeholders and agencies are well informed through HCBF's print and social media efforts.

#### 5.1.3

Involve the community to solicit creative input as well as critical feedback on HCBF's projects and programs.

### #5.2: STRATEGIC ALLIANCES AND PARTNERSHIPS

Objective: Leverage resources as much as possible.

#### 5.2.1

Strategically coordinate with stakeholders to leverage resources, including communication efforts.

#### 5.2.2

Engage other partners in government, the private sector, and the nonprofit sector, to advance the mission and vision of HCBF.

### #5.3: ADVISORY COUNCILS

Objective: Incorporate into HCBF's decision-making process needed expertise and community knowledge.

#### 5.3.1

Create advisory councils of residents and representatives of businesses, agencies, and community organizations who support the mission and vision of HCBF, to enhance public participation, as needed.

#### 5.3.2

Create consultative committees and working groups of experts and residents to help identify and address important community issues, as needed.

## #6: PURSUE RESOURCE DEVELOPMENT WITH THE PORT OF LA

Goal: Work with the Port of Los Angeles: 1) to renew the TraPac MOU for another five years, to May, 2021, with the support of the Appellants; and 2) to generate new funding beyond the TraPac MOU.

Strategy: Engage the Port of Los Angeles to support and commit to HCBF's long-term sustainability efforts.

### #6.1: EXTENSION OF THE TRAPAC MOU

Objective: Extend the terms of funding from the Operating Agreement of the TraPac MOU from May 2016 to May 2021, to support organizational stability.

#### Tactics

##### 6.1.1

Collaborate with Port Staff, the City Attorney and the Appellants to extend the terms of the MOU.

### #6.2: COMMUNITY-PORT PARTNERSHIP MODEL

Objective: Partner with the Port of Los Angeles to generate additional funding, to be administered by HCBF, for the benefit of the communities of San Pedro and Wilmington.

#### Tactics

##### 6.2.1

Identify funding opportunities for projects and programs in line with the mission and vision of HCBF, in collaboration with the Port of Los Angeles.

## #7: DEVELOP RESOURCES FOR ORGANIZATIONAL SUSTAINABILITY

Goal: Develop and secure funding from a range of sources, including but not limited to governmental entities, businesses, foundations, associations, and individuals, to build and sustain HCBF and the projects and programs which embody its mission and vision.

Strategy: Pursue sustainable funding for program expansion.

## #7.1: GRANTS

Objective: Develop a base of institutional support from other sources, to advance the projects and programs of HCBF that benefit the underserved households of Wilmington and San Pedro.

### Tactics

#### 7.1.1

Identify and pursue compatible funding possibilities from foundations.

#### 7.1.2

Identify and pursue compatible funding possibilities from governmental entities.

## #7.2: BUSINESS & ASSOCIATION SPONSORSHIPS

Objective: Develop a base of support from businesses and associations.

### Tactics

#### 7.2.1

Identify and solicit funding from corporate and business sponsors in support of HCBF's mission and vision.

#### 7.2.2

Develop a base of support among neighborhood coalitions and voluntary associations.

## #7.3: BOARD INVOLVEMENT IN FUNDRAISING

Objective: Attain individual and fundraising support from board members on an annual basis.

### Tactics

#### 7.3.1

Board members lead fund raising efforts by making personal donations.

#### 7.3.2

Assist in identifying and raising funds for the foundation,<sup>2</sup> including but not limited to soliciting contributions from donors, businesses, associations, and seeking support from governmental entities.

#### 7.3.3

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<sup>2</sup> This is a requisite of service stated in the bylaws.

Form a Volunteer Advisory Board to assist in fundraising efforts.

#### #7.4: CULTIVATION OF ONLINE CONTRIBUTIONS

Objective: Make donating online through HCBF's website as easy as possible.

##### Tactics

##### 7.4.1

Facilitate online donations via HCBF's website to increase charitable donations.

#### #8: ENSURE SOUND FINANCIAL MANAGEMENT

Goal: Develop and maintain fiscal policies and procedures to ensure financial stability of the organization, accurate financial records, timely reporting, and good governance.

Strategy: Develop, adopt, and adhere to standard policies and procedures.

#### #8.1: DEVELOPMENT OF POLICIES AND PROCEDURES

Objective: Ensure that proper accounting checks and balances are in place, with oversight by the board.

##### Tactics

##### 8.1.1

Prepare, adopt, and adhere to accounting policies and procedures in accordance with generally accepted accounting principles (GAAP). Update as appropriate.

#### #8.2: ACCURATE AND TIMELY FINANCIAL RECORDS

Objective: Observe best practices in financial record keeping and filings.

##### Tactics

##### 8.2.1

Maintain separate bank accounts for: 1) restricted operations; 2) restricted program expenditures; and 3) unrestricted funds.

##### 8.2.2

Maintain electronic financial records; continuously monitor and regularly reconcile all bank and trust accounts.

### 8.2.3

Prepare and present in-house financial reports, for review by the Audit Committee and Finance Committees.

### 8.2.4

Prepare and present an annual operating budget for consideration and approval by the HCBF board; submit to the Board of Harbor Commissioners for approval and funding from the PCMTF.

## #8.3: ACCURATE AND TIMELY COMPLETION OF AUDITS & FILINGS

Objective: Facilitate timely completion and review of an annual audit and corporate filings.

### Tactics

#### 8.3.1

Engage independent CPA, facilitate completion of audited financials within 120 days of the end of the calendar year, to be submitted to the HCBF Audit Committee, the HCBF Board, and the Board of Harbor Commissioners.

#### 8.3.2

Facilitate completion and timely filing of requisite corporate reports, state and federal taxes.

## #9: PROVIDE FOR SECURE INFORMATION MANAGEMENT

Goal: Develop and maintain internal administrative policies and procedures, such as employee manuals and records, donor and grantee records, contract management, and electronic filing protocols, among others; in order to operate effectively and efficiently.

Strategy: Support the work of HCBF through proper management of HCBF's corporate and administrative records including efficient and effective storage and exchange of information

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## #9:1: HUMAN RESOURCES POLICIES

Objective: Observe good employee practices in adherence to local, state and federal laws.

### Tactics

#### 9.1.1

Maintain accurate and timely employee records, with timely filings of employee forms and payroll taxes to local, state, and federal agencies.

### 9.1.2

Develop an employee manual which reflects human resources best practice standards; update periodically.

## #9.2: MAINTENANCE OF APPROPRIATE GRANT AND GRANTEE-RELATED DATA

Objective: Manage HCBF grant awards (to us) and grantee contracts/agreements (to others). Monitor timely submittal of periodic evidence-based reports. Administer grantee funds, in accordance with agreement terms and distribution schedules.

### Tactics

#### 9.2.1

Develop an evaluation process/plan to determine if: 1) the program is reaching the specified targeted population or target area; 2) the activities are happening as planned; 3) appropriate resources are being directed at the program; 4) the program is effective in achieving its intended goals; and 5) the program is an efficient use of resources; make modifications to future grant guidelines based on findings.

#### 9.2.2

Develop and continuously expand the distribution list of potential grant recipients and referral sources, to attract a wide array of applicants for HCBF funded projects and programs.

## #9.3: FUNDRAISING DATABASE

Objective: Maintain records of all contributions, use contributor information for the purpose of soliciting future contributions, exceptions for anonymous donors.

### Tactics

#### 9.3.1

Develop and periodically update an electronic database of contributors and contributions.

#### 9.3.2

Maintain and reconcile records of unrestricted funds.

## #10: DEVELOP AND EVALUATE HUMAN RESOURCES

Goal: Develop and support staffing, sufficient to ensure efficient and effective delivery of community benefit projects and programs in service of the foundation's mission.

Strategy: Conduct ongoing evaluation of human resources, including staffing levels and performance. Monitor and adjust staffing levels to deliver projects and programs; support staff development and training.

## #10.1: ORGANIZATIONAL STAFFING CAPACITY

Objective: Attain and maintain efficient and effective staffing levels.

### Tactics

#### 10.1.1

Develop a strategic staffing plan that ensures appropriate, incremental, levels of staffing to support the projects and programs adopted by the Board of Directors, and to ensure that the organization can carry out its functions effectively and efficiently.

#### 10.1.2

Periodically monitor workloads and work product of staff; adjust staffing levels, incrementally, to ensure effective, efficient, and high quality delivery of projects and programs.

#### 10.1.3

Identify relevant training opportunities for staff, provide financial assistance to enable staff to take advantage of these opportunities.

## #10.2: RECRUIT, EVALUATE AND RETAIN STAFF

Objective: Attract and retain talent, and ensure a high standard of work product.

### Tactics

#### 10.2.1

Perform periodic employee performance evaluations to maximize creativity, ensure a high standard of work product, and to provide administrative oversight.

#### 10.2.2

Informed by workload, budget considerations, and comparisons with similar organizations, review staffing levels, compensation, and benefits, annually, and adjust as prudent.

## #11: MAINTAIN STRONG BOARD LEADERSHIP

**Goal:** Provide for strong board leadership that meets the obligations and responsibilities of the board as delineated in the foundation's governing documents, including qualified replacements for individual director positions as terms conclude and vacancies occur.

**Strategy:** Prepare a board development plan that addresses proper rotation and continuity of knowledgeable and capable leadership, and enhance the governance effectiveness of the board of directors.

### #11.1: BOARD DEVELOPMENT PROTOCOLS

**Objective:** Enhance the effectiveness of the board of directors through training and planning sessions, as well as, periodic reviews and evaluations of all governance activities.

#### Tactics

##### 11.1.1

Hold at least one annual event for the purpose of cultivating camaraderie among the board's membership.

##### 11.1.2

Conduct periodic training sessions focused on enhancing Board effectiveness, understanding Board responsibilities, and/or implementing best governance practice for HCBF's organizational performance.

##### 11.1.3

Conduct an annual self-evaluation of the board annually, comprised of both collective and individual components.

### #11.2: BOARD OPERATIONS

**Objective:** Maintain the current standard of excellence concerning board operations, particularly with respect to regularity of meetings, preparation of agendas, documentation of proceedings, and mandates of committees.

#### Tactics

##### 11.2.1

Hold board meetings monthly that are open to the public for attendance and comment.

## 11.2.2

Post the agenda for regular board meetings.

## 11.2.3

Update the Board Manual as needed and distribute to all directors. Orient new board members before they are seated and include review of pertinent governing documents and policy statements.

## #12: PROVIDE FOR COMPLIANCE AND REGULAR ORGANIZATIONAL EVALUATION

Goal: Ensure compliance with governing documents, with periodic evaluation of the organizational functions: projects and programs, including but not limited to assessments, projects, and grant making; resource development activities, such as fundraising and community awareness campaigns; development and implementation of internal policies and procedures, particularly with respect to finance and budget, reporting, risk management; and employment practices, including the performance of the executive; and self-evaluation of the Board by the individual Board Members.

Strategy: Establish and implement evaluation protocols for HCBF's projects, programs and community based efforts.

### #12.1: GRANTEE PROJECT EVALUATION

Objective: Document evidence-based results of community investments.

#### Tactics

##### 12.1.1

Require interim reports from grantees to document program fund expenditures and report evidence-based results. (See Appendix C)

##### 12.1.2

Monitor and compile grantee reports, designed to evaluate the effectiveness and efficiency of grant-funded projects.

## #12.2: EXECUTIVE PERFORMANCE

Objective: Actively engage the Board in on going performance evaluation of Executive Director, to provide support and constructive feedback in order to maximize the success of the organization, its projects and its programs.

### Tactics

#### 12.2.1

Develop and formalize a process for HCBF's Board of Directors to review the performance of its executive director.

#### 12.2.2

Conduct annual performance reviews of Executive Director. Evaluate and update project and program goals to support the strategic plan. Informed by comparison with similar organizations, review compensation, including benefits, annually, and adjust as prudent. Identify and facilitate participation in relevant industry and executive training opportunities.

## #12.3: BOARD SELF-EVALUATION

Objective: Explore current best practices in nonprofit governance and review HCBF's current board structure, operations, and composition.

### Tactics

#### 12.3.1

Work with Governance Consultant to: a) research best practices in governance; b) review HCBF's current board structure, operations, and composition, including performance evaluation of the board overall and individual board members, terms of officers and members, and committee structure; and c) prepare a report of findings and recommendations for consideration by the board.

## APPENDICES

### APPENDIX A: PCMTF DISBURSEMENT SCHEDULE

#### DISCLOSURE: THIS SECTION MAY BE UPDATED ANNUALLY

The following Port Community Mitigation Trust Fund (PCMTF) Disbursement Schedules support the priorities of the Board of HCBF as of January 2013, as set forth in this Strategic Plan, based on current funding streams. As new funding is developed, the relevant schedules will be updated.

**Contributions to the PCMTF:** In 2008, the TraPac MOU set forth a mechanism for contributions from the Port of LA to the trust fund. Section V describes the initial funding of \$11.24 million (shown below). With future contributions linked to projected economic growth at the Port of LA, Exhibit B of the MOU provides a list of 13 projects and Exhibit C provides a formula based on passenger services and shipping volume.

**Timing** - The Harbor Department is *obligated* to make payments to the PCMTF if an EIR is certified for Exhibit B projects during a 5 year period, beginning with the first board meeting on May 31, 2011 through May 2016; with an option for one 5-year extension (Section #6.1).

However, **EIR certification does not guarantee funding.** Contributions occur only *after* one of the following: 1) award of a construction contract or procurement contract for the project, or 2) commencement of construction of the expansion project, or 3) determination by the BOHC to transfer funds, even if construction has not been initiated. Economic conditions impeded most of the projects named in Exhibit B. As of 2012, only Exhibit B - 5. China Shipping, Berths 97-109 has contributed to the PCMTF. The following table recaps the contributions (MOU), and funding committed by the Board toward the MOU Exhibit A projects, **excluding earnings on fund investments, non-profit formation expenses, or annual operations.**

TRAPAC MOU - RECAP AS OF DECEMBER 2012		
MOU SECTION		TRUST FUND      SUBTOTALS
<b>CONTRIBUTIONS: MOU STATED – FOR EXHIBIT A PROJECTS</b>		
SEC V.B.ii.a	PCMTF (Port of LA/Air Filtration in Schools) <sup>3</sup>	\$6,000,000
SEC V.B.ii.b	PCMTF (TraPac expansion)	\$5,239,584
SEC V.B.ii	SUBTOTAL 2009 INITIAL MOU CONTRIBUTION	<b>\$11,239,584</b>
<b>COMMITTED: MOU Exhibit A Projects - as of December, 2012</b>		
Ex A Proj A	Noise Mitigation Program	\$185,000
Ex A Proj B	Air Filtration in Schools (AQMD administered) <sup>1</sup>	\$6,000,000
Ex A Proj C	Health Care Grants (Wilmington & San Pedro)	\$1,100,000
	SUBTOTAL COMMITTED TO EXHIBIT A PROJECTS	<b>\$(7,285,000)</b>
<b>MOU CONTRIBUTION FOR EXHIBIT A PROJECTS – NET</b>		<b>\$3,954,584</b>
<b>EXHIBITS B &amp; C - contributions post MOU execution</b>		
EXHIBIT B. 5	B97-109 China Shipping	\$4,017,300
SUBTOTAL		<b>\$7,971,884</b>

<sup>3</sup> Air Filtration Program (Project B) was funded directly from PCMTF to AQMD prior to formation of HCBF

## **Committed Funding**

The TraPac MOU introduces projects and programs to be funded from the PCMTF, including, but not limited to, those listed in Exhibit A. In 2009, the initial contribution of \$11.24 million (shown above) included \$6 million for Project B, air filtration for schools impacted by the Port of LA. Prior to the formation of HCBF, the port transferred the allocated funds for Project B directly from the PCMTF to AQMD. As noted in Section #1.3, HCBF is working with AQMD to implement the school based air filtration program. The remainder of the initial contribution, \$5.2 million, is administered by HCBF.

As of 2012, the HCBF Board has committed a total of \$1.3 million for a) Noise Mitigation, Phase I, Section #1.1 (\$185,000) and b) Health Care Grants, Section #1.3 (\$350,000 in Round 1, awarded and funded; plus \$750,000 in Round 2, obligated by HCBF, but not yet awarded or funded).

The above PCMTF recap **does not include** earnings on fund investments, pre-plan expenses or annual operations.

## **Spending Plan**

Given the organization is newly formed, the attached Disbursement schedules begin with historical data through Dec 2012 (Pre-Plan HCBF Obligated), followed by a 5-year projected Spending Plan, with operating expenses, to reflect the priorities of the board. Note, the **operating expenses** for calendar year 2013 (Plan Year 1) have been approved by the HCBF Board (\$499k). Subsequent plan years project an increase in operating expenses of 2.5%.

Two disbursement schedules are presented for the reader – Schedule 1 reflects only the contributions to the PCMTF received as of 2012. Schedule 2 includes a forecasted contribution for Exhibit B Project 7. (Berths 302-305: APL Project) considered “probable” within the next four years. Both plans include an allocation subject to Board Discretion for 1) off-port impact studies contemplated in the TraPac MOU (Sec #1.6), 2) community benefit projects to address the health, safety, education, training, and/or employment of the residents, and/or beautification of the area, as described in Section #2, and/or 3) additional funding of projects described in Section #1. In all cases, PCMTF funded programs will be consistent with the TraPac MOU.

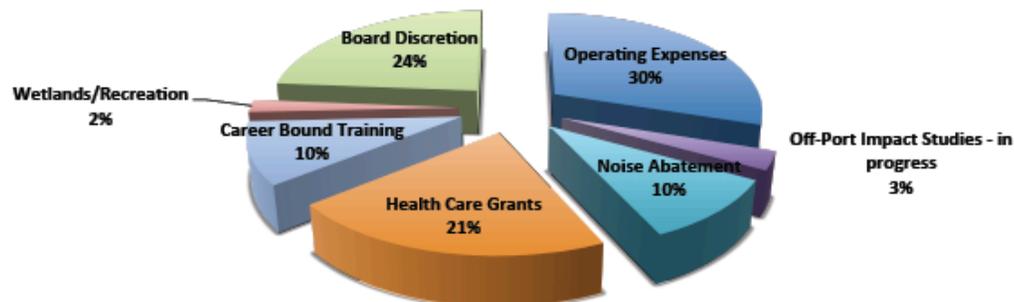
## **Fund Development / Future Plan Updates**

As described in the strategic plan, it is a high priority to form strategic partnerships to help develop new resources, and to achieve sustainability for the organization. As indicated in Section #3, HCBF's staff and Board will seek out a wide array of stakeholders and funding partners, large and small, to develop, pursue, and implement initiatives in support of HCBF's mission and vision. As new sources are identified and developed, over time, the relevant schedules of this Strategic Plan will be updated.

### SCHEDULE 1: PCMTF DISBURSEMENT SCHEDULE - INITIAL \$10 MILLION

	May 2011 -Dec 2012 PRE-PLAN HCBF Obligated	thru Dec 2013 Plan Year 1	thru Dec 2014 Plan Year 2	thru Dec 2015 Plan Year 3	thru Dec 2016 Plan Year 4	thru Dec 2017 Post Plan	Totals	
<b>Port Comm Mitigation Trust Fund</b>	\$9,977,813	\$8,020,313	\$6,420,313	\$4,820,313	\$3,220,313	\$1,620,313		
<i>Excludes Income/Trustee Fees</i>								
<b>Operating Expenses</b>	\$372,500	\$499,200	\$511,700	\$524,500	\$537,600	\$551,000	\$2,996,500	30%
<b>Projects &amp; Studies</b>								
Off-Port Impact Studies - <i>in progress</i>	\$300,000	tbd					\$300,000	3%
A Noise Abatement	\$185,000	\$250,000	\$200,000	\$200,000	\$165,000	tbd	\$1,000,000	10%
C Health Care Grants	\$1,100,000	\$250,000	\$250,000	\$250,000	\$250,000	tbd	\$2,100,000	21%
D Career Bound Training		\$250,000	\$250,000	\$250,000	\$250,000	tbd	\$1,000,000	10%
E Wetlands/Recreation		\$50,000	\$50,000	\$50,000	\$50,000	tbd	\$200,000	2%
* Board Discretion		\$300,800	\$338,300	\$325,500	\$347,400	\$1,049,000	\$2,361,000	24%
Disbursed from PCMTF	\$1,957,500	\$1,600,000	\$1,600,000	\$1,600,000	\$1,600,000	\$1,600,000	\$9,957,500	70%
Funds Available at End of Period	\$8,020,313	\$6,420,313	\$4,820,313	\$3,220,313	\$1,620,313	\$20,313		100%

#### Allocation by Program through December 2016 with Board Discretion thru 2017



Annual Spending: \$1.6 Million

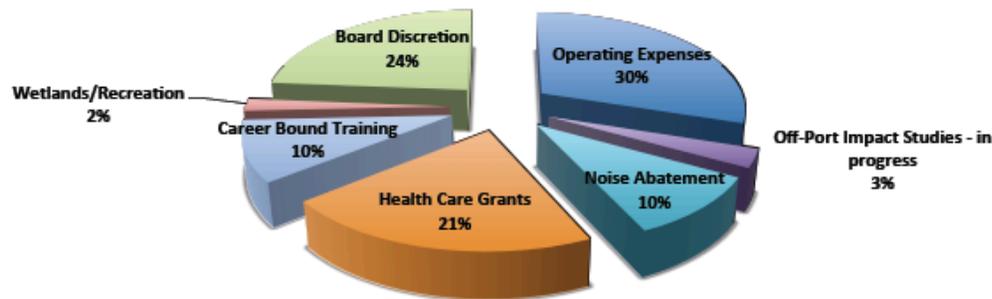
\* Board Discretion Programs include 1) off-port impact studies contemplated in the MOU, 2) community benefit projects to address the health, safety, education, training, and/or employment of the residents, and/or beautification of the area. 3) additional funds toward any Exhibit A Projects

Post Plan: Board to reassess priorities with new strategic plan.

**SCHEDULE 2: PCMTF DISBURSEMENT SCHEDULE - INITIAL \$10 MILLION PLUS NEW CONTRIBUTION**

	May 2011 -Dec 2012 <b>PRE-PLAN HCBF Obligated</b>	thru Dec 2013 Plan Year 1	thru Dec 2014 Plan Year 2	thru Dec 2015 Plan Year 3	thru Dec 2016 Plan Year 4	thru Dec 2017 Post Plan	Totals	
<b>Port Comm Mitigation Trust Fund</b>	\$9,977,813	\$8,020,313	\$6,420,313	\$4,820,313	\$3,220,313	\$5,868,613		
<i>PROBABLE CONTRIBUTION : APL Excludes Income/Trustee Fees</i>					<b>\$4,248,300</b>			
<b>Operating Expenses</b>	\$372,500	\$499,200	\$511,700	\$524,500	\$537,600	\$551,000	<b>\$2,996,500</b>	<b>30%</b>
<b>Projects &amp; Studies</b>								
Off-Port Impact Studies - in progress	\$300,000	<i>tbd</i>					<b>\$300,000</b>	<b>3%</b>
A Noise Abatement	\$185,000	\$250,000	\$200,000	\$200,000	\$165,000	<i>tbd</i>	<b>\$1,000,000</b>	<b>10%</b>
C Health Care Grants	\$1,100,000	\$250,000	\$250,000	\$250,000	\$250,000	<i>tbd</i>	<b>\$2,100,000</b>	<b>21%</b>
D Career Bound Training		\$250,000	\$250,000	\$250,000	\$250,000	<i>tbd</i>	<b>\$1,000,000</b>	<b>10%</b>
E Wetlands/Recreation		\$50,000	\$50,000	\$50,000	\$50,000	<i>tbd</i>	<b>\$200,000</b>	<b>2%</b>
* Board Discretion		\$300,800	\$338,300	\$325,500	\$347,400	\$1,049,000	<b>\$2,361,000</b>	<b>24%</b>
Disbursed from PCMTF	\$1,957,500	\$1,600,000	\$1,600,000	\$1,600,000	\$1,600,000	\$1,600,000	<b>\$9,957,500</b>	<b>70%</b>
Funds Available at End of Period	\$8,020,313	\$6,420,313	\$4,820,313	\$3,220,313	\$5,868,613	<b>\$4,268,613</b>		<b>100%</b>

**Allocation by Program through December 2016  
with Board Discretion thru 2017**



**Annual Spending: \$1.6 Million**

\* Board Discretion Programs include 1) off-port impact studies contemplated in the MOU, 2) community benefit projects to address the health, safety, education, training, and/or employment of the residents, and/or beautification of the area. 3) additional funds toward any Exhibit A Projects

New funding from APL is not guaranteed.

Post Plan: Board to reassess priorities with new strategic plan.



## INTRODUCTION

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The following grant consideration criteria and approval process guidelines are **not** intended to be comprehensive in nature. Specific application, project, or documentation requirements will be provided in the notice of funding availability (NOFA) or the request for proposals (RFP) issued from time to time. The Board may also elect to receive a letter of interest for Discretionary Funds, outside of funding rounds. Interested applicants can sign up for funding alerts at [www.hcbf.org](http://www.hcbf.org).

In developing grant consideration criteria, the Foundation took a comprehensive look at best practices from other foundations and funding sources, to establish criteria designed to ensure HCBF's selected community benefit projects and programs are well aligned with the Foundation's strategic priority areas. Furthermore, evaluation criteria was established to ensure fairness to a wide range of applicants, including smaller organizations with limited resources. With guidelines in place, decisions are based on objective, thoughtful and comprehensive review.

The Foundation believes in a competitive funding process that is both public and open. Our grant invitation, whether through a Request for Proposals or a Notice of Funding Availability, is publicly available and disseminated widely. Because transparency is important to the Foundation, the selection and approval of grant awards is done in an open and public process. Furthermore, we believe that competition spurs innovation, demands organization efficiency and program effectiveness, thereby resulting in the presentation of the best programs for the community.

With the approval of Appendix B, the Foundation has clearly laid out its community investment policy.

### Eligibility

Eligible organizations include, but are not limited to, designated non-profits (such as 501(c)3 organizations), institutions, and community based organizations. Individuals, community groups, and other organizations may be eligible to apply under a fiscal sponsor that is classified as a non-profit, such as a 501(c)3 organization. HCBF Board members, organizational staff, and related parties are not eligible to apply for funding.

## **SPECIAL FUNDING RESTRICTIONS**

From time to time, HCBF funded projects and programs may be subject to restrictions imposed by the funding sources. For example, HCBF administered funding may be donor restricted. And, on occasion, grants may be awarded from unrestricted sources.

The use of Port Community Mitigation Trust Funds (PCMTF), administered by Harbor Community Benefit Foundation (HCBF), shall be subject to rules, restrictions, compliance, and monitoring imposed by the Tidelands Trust Doctrine<sup>4</sup>.

**Grantees will be advised of all funding restrictions.**

## **GRANT CONSIDERATION CRITERIA**

As described in the Strategic Plan, the Board may periodically elect to fund community benefit projects and programs to address health, safety, education, training, employment, wetland and recreation access, and beautification, among others. In all cases, PCMTF funded projects and programs will be consistent with the TraPac MOU.

In general, funding applications for Programs and Projects will be assessed based on the following criteria: Population Served, Addressing Community Need, Impact, Sustainability/Funding Partners, Organizational Accomplishments, Community Leadership & Engagement, Community Partnerships, Program Uniqueness, Budget Review, and Program Evaluation Tools, as described below.

### **Population Served**

The Port Community Mitigation Trust Fund was created to provide a benefit to the communities of San Pedro and Wilmington, communities impacted by the operations of the Port of Los Angeles. It is contemplated that future funding administered or controlled by HCBF may be used to serve a much broader community. All funding proposals should provide a quantitative and qualitative method to measure the service provided.

Grantees will be advised if priorities or restrictions are imposed by the funding source.

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<sup>4</sup> The Port of Los Angeles holds as trustee certain California tide and submerged lands. All revenue derived from these lands is subject to Tidelands Trust Doctrine. Any grant-funded program/project must be in furtherance of and as a benefit to the State Tidelands Grant and the trust created thereby. The utilization of grant funds will be at all times subject to the limitations, conditions, restrictions and reservations contained in and prescribed by the Act of the Legislature of the State of California entitled "An Act Granting to the City of Los Angeles the Tidelands and Submerged Lands of the State Within the Boundaries of said City," approved June 3, 1929 (Stats. 1929, Ch. 651), as amended, and provisions of Article VI of the Charter of the City of Los Angeles relating to such lands.

### **Addressing Community Need**

HCBF considers whether the organization clearly establishes a community need to be addressed and how the program/project will respond to the need. HCBF will assess whether there is a “good fit” with the proposed program/project activities and HCBF’s strategic plan, including but not limited to how the program/project might be significant for the communities served by the Foundation, and if the funding proposal addresses one or more enumerated priorities of the foundation.

### **Impact**

HCBF considers the expected outcome(s) of the efforts. Funding proposals should address how a program/project will: impact the community, serve as a model for other communities, provide direct and lasting impacts, bring about systemic change, and produce any economic benefit.

### **Organizational Accomplishments**

HCBF assesses the applicant(s) ability to complete and manage the program/project. HCBF will consider the organization’s programmatic capabilities and successful past performance. HCBF will assess whether the organization has both the capacity and capability (personnel, skills and resources) to carry out all phases of the program/project. What is the organization’s history, reputation, structure and management? Is the organization regarded as a provider of high-quality, relevant and meaningful service? Does the organization have the experience to adequately and timely achieve the proposed program/project?

### **Community Leadership & Engagement**

HCBF looks at experience, expertise, passion, commitment, and recognition, as well as professional and community reputation. HCBF compares the organization’s approaches and solutions to what others are doing. What level of community leadership does the organization have in the Harbor area and in the fields related to the grant program (e.g. environmental justice, public health)?

### **Community Partnerships**

Building partnerships and collaboration is an important tool. HCBF asks whether the organization is well integrated into the communities it serves. HCBF also considers whether the organization is collaborative and has developed strategic partnerships as an ongoing part of its work. HCBF asks to what extent the organization has considered other partners with similar efforts in the community and beyond to effectively perform the program/project. Although not mandatory, HCBF encourages public-private partnerships.

## **Innovation**

HCBF encourages innovative projects and programs, such as career bound training and the development of green technology, among others. Proposals may also be considered if the program/project has the potential to improve its respective field, establish a more efficient green practice, or simply improve how a specific population is being served. Proposals should describe any unique aspects that protect and enhance the environment, if applicable.

## **Budget Review**

A review of the budget will take into consideration both the reasonableness and the justification of expenditures. The budget and its narrative should include significant detail, tailored to the specific project or program. Matching funds, although not mandatory, are strongly encouraged. A budget narrative should identify the source of any matching funds (in-kind and other sources), whether these funds are committed (include a letter of commitment, when possible), and the terms of funding, if any. All Projects/Programs must be financially feasible.

## **Sustainability/Funding Partners**

HCBF considers the sustainability of both the proposed program/project and the applicant(s). HCBF assesses the stability and diversity of the organization's finances. At the program level, HCBF assesses whether the grant will have sufficient funding in subsequent years, and will be sustainable as proposed.

## **Program Evaluation Tools**

Performance measures are important to program effectiveness. HCBF considers whether the organization has an evaluation plan to effectively analyze and measure expected outcomes. Applications should contain specific, measurable, and time-bound benchmarks for achieving the proposed program/project.

## **The following documents may be required of applicant(s):**

- a) Internal Revenue Code Letter confirming non profit status (Exempt Acknowledgement)
- b) Audited and/or internal Financial Statements
- c) Staff Organizational Chart
- d) Board of Directors roster and Bylaws
- e) Letters of Recommendation
- f) Letters of Commitment (matching funds)

## **GRANT REVIEW & APPROVAL PROCESS**

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The Foundation may consider both solicited and unsolicited project proposals from eligible parties as described below. In general, HCBF will use its Grant Consideration Criteria to evaluate submitted grant applications, which may change from time to time.

### **APPLICATION PROCESS: SOLICITED COMPETITIVE PROPOSALS**

HCBF will periodically announce the availability of grant funds by releasing a Notice of Funding Availability (NOFA) or a Request for Proposals (RFP). Each NOFA or RFP may provide specific application, eligibility, program, project, or documentation requirements, among others. Typically, the notice will announce the maximum amount of funding available for each round, and may encourage moderate funding awards to a wide array of grant recipients.

Application materials will be made available on the Foundation's website. The Foundation may host an informational grant workshop or webinar prior to the application due dates. Whenever possible, the time and date of the workshop will be identified in the NOFA or RFP.

### **Deadlines - Electronic Submissions**

All proposals and attachments must be submitted electronically by the due date and time contained within the NOFA or RFP. Neither hard copy proposals nor late submissions will be considered. Applicants are encouraged to submit their proposals as early as possible.

Incomplete applications will not be considered for funding. It is the responsibility of the applicant to ensure completeness of their submittal.

### **Review and Evaluation**

Each grant program will have a tailored Grant Proposal Evaluation Form, prepared in conjunction with the NOFA or RFP, that lists evaluation criteria. Each application may be quantitatively scored and qualitatively evaluated based on these criteria.

Upon the closing of the grant solicitation period, Foundation staff shall review all submissions to determine eligibility, completeness, and responsiveness, based on the Grant Consideration Criteria and the Grant Proposal Evaluation Form specific to that project or program.

When appropriate, the Board of HCBF shall appoint an ad hoc grant selection committee to assist in the review and evaluation of funding proposals. As needed, the Grant Selection Committee may be convened, and, at any time, either the staff or the committee may request clarifications from an organization's designated contact person or may initiate a site visit.

### **HCBF Board of Directors Approval**

Recommendations for funding shall be made to the Board of HCBF for review and consideration in a public meeting. Grant Award Decisions, including the terms and conditions of any grant agreements, require approval by a majority vote of the Board.

### **Port Community Mitigation Trust Funds - Los Angeles Board of Harbor Commissioners (BOHC) Approval**

Projects and Programs funded from the PCMTF shall be subject to the review, consideration, and approval of the Board of Harbor Commissioners in a public meeting, typically held within 90 days of the approval by the HCBF Board of Directors.

### **APPLICATION PROCESS: UNSOLICITED - COMMUNITY BENEFIT PROPOSALS**

Between posted grant cycles, HCBF may accept a Letter of Inquiry (LOI) for consideration by the HCBF Board of Directors. Funding of unsolicited proposals is subject to denial, or, may be deferred to a posted grant cycle. Incomplete LOIs will not be considered for funding. It is the responsibility of the applicant to ensure completeness of their submittal. The LOI, including the budget, should not exceed four pages in length and must be submitted via email to: [info@hcbf.org](mailto:info@hcbf.org)

The LOI should include:

- Applicant name, address, email, contact person, Fed tax ID, and entity,
- Summary of the purpose and type of the project,
- The community benefit/need(s) it meets,
- Methods to be employed, and anticipated outcomes,
- Duration of the project,
- Organizational history and accomplishments,
- Partnerships (if any), with roles of partner(s),
- Project budget (sources & uses) and narrative including a) total budget, b) requested HCBF funds, and c) matching funds, with in-kind and additional sources, if any.

### **Electronic Submissions**

All LOIs, proposals, and attachments must be submitted. Hard copy proposals will not be accepted.

### **Grant Applications – by Invitation Only**

Organizations invited to submit formal proposals, based on approved LOIs, will be asked to complete a Grant Application Form, with all the requisite attachments, to be provided by the Foundation. **An invitation is not a guarantee of final approval.** Applicants will be notified regarding the status of their formal proposal within 120 days after it is received.

### **Review and Evaluation**

Between posted grant cycles, Foundation staff shall review all submissions to determine eligibility, completeness, and responsiveness, based on the Grant Consideration Criteria.

When appropriate, the Board of HCBF may appoint an ad hoc grant selection committee to assist in the review and evaluation of funding proposals. As needed, the Grant Selection Committee may be convened, and, at any time, either the staff or the committee may request clarifications from an organization's designated contact person or may initiate a site visit.

### **HCBF Board of Directors Approval**

Recommendations for funding shall be made to the Board of HCBF, for review and consideration in a public meeting. Grant Award Decisions, including the terms and conditions of any grant agreements, require approval by a majority vote of the Board.

### **Port Community Mitigation Trust Funds (PCMTF) - Los Angeles Board of Harbor Commissioners (BOHC) Approval**

Projects and Programs funded from the PCMTF shall be subject to the review, consideration, and approval of the Board of Harbor Commissioners in a public meeting, typically held within 90 days of the approval by the HCBF Board of Directors.

### **DISCLOSURES:**

**Identities of Interests.** Applicants must identify, in writing, any relationships, proposed or existing, with HCBF staff or members of the HCBF Board (past or present), any of HCBF Board or staff relatives or household members. Failure to disclose may immediately disqualify the applicant.

**Change to Grant Criteria and Approval Process.** The above grant consideration criteria and approval process is subject to change, by the Board of Harbor Community Benefit Foundation, without prior notice.



## **GRANT PROGRAM/PROJECT REPORTING AND EVALUATION GUIDELINES**

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The reporting and evaluation guidelines, contained here in Appendix C, are an important tool to measure and report success within the community. Data collected will be used to understand and communicate program/project impact, efficiency and effectiveness. These guidelines will allow the Foundation to insure investments in the community are aligned with the Foundation's strategic priorities, and, that community benefit projects and programs respond to the changing needs of the community.

Accordingly, the Foundation will monitor grantee activities, ensure that results are measured, assess an organization's financial performance in relation to their proposed budget, and ensure that needed corrective actions are implemented in a timely fashion.

For evaluation and validation purposes, the Foundation shall reserve the right, with notice, to request and conduct site visits. The Foundation also retains the right to audit the grant recipient's program/project records.

Grant recipients shall be required to notify HCBF, in writing, within 10 days of any substantial changes, including but not limited to: project team, management, partners, timelines, and any benchmarks.

Grant recipients are encouraged to leverage their funding, increase the scope of work, and increase the impact of their projects/programs. Grant recipients shall also provide written notice to the Foundation if significant changes or events occur during the term of this grant which could potentially impact the progress, delivery, timing or outcome of the grant, including but not limited to changes in Grantee's management, key personnel, partners, and/or increases or losses of matching funding.

### **Documentation**

The Foundation is interested in tracking outcomes of grant-funded programs/projects. Grant recipients will be required to submit documents demonstrating completion of the proposed project and/or program performance records. Documentation must be received within the time period and in the manner required by the contract between the grant recipient and the Foundation.

### **Progress Meetings**

Grant recipients will meet regularly with Foundation staff and all other grantees to provide a brief update on the progress of their grant efforts. Grant recipients will be required to report on program/project activities, barriers to implementation, financial position/performance, and names of current and hired program/project staff. When possible, joint a progress meeting with multiple grantees will be held to provide an opportunity for all grantees to communicate and collaborate with one another to discuss possible joint solicitation and promotional opportunities.

### **Periodic Progress Reports**

Grant recipients will typically be required to submit a Six-Month Progress Report to report their progress for the first six-month period of the grant year. Grant recipients will also be required to submit a 6-month financial report as an attachment. The Six-Month Progress Report will address the following:

- 1) Key objectives of the funded grant. The grantee will have to describe/quantify where they are in terms of meeting the key objectives outlined in the timeline and work plan.
- 2) Progress toward completion of planned activities to date, with comparison to original timeline.
- 3) Difficulties in implementing the program and/or adjustments that were made. The grantee will be asked to describe if there are any barriers or problems that are impeding their ability to meet their original objectives and how they plan to address them.
- 4) Proposed to actual expenses and proposed to actual revenues.

When required, Six-Month Progress Reports will be due no later than 30 days after the first six-month grant period elapses.

### **Final Report**

Grant recipients will be required to submit a Final Narrative Report on results of funded program/project, future of the program, and final program/project budget. More specifically, the report will address the following:

- 1) The grantee will be asked to discuss: (1) actual program results compared against projected program results; (2) any changes made to the program's initial concept and why; (3) how program was evaluated [questionnaires, surveys, focus groups, etc.]; (4) number of people actually served compared to original projection, including demographics of those served (e.g., residence, ethnicity, age, gender, special need, etc.); (5) the strengths and limitations of the program; and (6) any lessons learned.
- 2) The grantee will be asked, when possible, to share its findings in graphs, figures, tables, maps, or other formats that summarize program results in a manner easily understood by the general public (presentations, pictures, web resources, video, etc.).
- 3) The grantee will be asked to discuss whether they plan to continue the program. If so, in what format will it continue (present structure, expanded, reduce level) and how will it be funded?

- 4) The grantee will be asked to note any differences between the proposed and actual budget.
- 5) The grantee will be asked to share any co-benefits available due to the program (e.g. media coverage of program, increased web presence).

### **Program Evaluation**

The Foundation will conduct program evaluations to monitor program performance and implementation as well as to make needed programmatic changes. All programs are evaluated in relation to key program objectives. The Foundation will ensure that evaluation procedures address programmatic efficiency and effectiveness, include qualitative and quantitative methods, and include input from program/project participants. More specifically, the Foundation will:

- 1) [Implementation and Process] Examine the delivery of the program and the quality of its implementation, including its scale and the number of people served.
- 2) [Quality] Assess the quality of the program/service delivered.
- 3) [Coherence] Assess whether the ongoing and planned activities advance the grantee's objectives.
- 4) [Resources] Assess whether appropriate resources are being directed at the program.
- 5) [Target Population] Assess grantee's ability to reach target population or target area.
- 6) [Need] Assess grantee's ability to address the need or priority.
- 7) [Outcome Evaluation] Assess actual outcomes in terms of changes in awareness, attitudes, behaviors, skills, or characteristics of those that are the focus of the program, program activities, or other planned efforts.
- 8) [Cause and Effect] Assess whether the program or activity was the primary cause of the outcome.
- 9) [Cost-Benefit Analysis] Consider cost-effectiveness by measuring efficiency, that is, by assessing program outcomes in terms of their dollar costs and value.
- 10) [Input] Review any questionnaires, surveys, interviews and/or focus groups administered by the grantee.
- 11) [Pre- and Post-Test Assessment] To the extent possible, request an assessment of participants at the beginning of the program (baseline) and at the end of the program to determine what effect the program or program activities had on the individuals in a program.
- 12) [Compliance] Assess compliance with scope of work, timeline and budget.

From time to time, the Foundation may retain independent evaluators to further gauge program effectiveness.



## MANDATORY SIX-MONTH PROGRESS REPORT

DUE: [\_\_\_\_\_, 2013]

As part of the evaluation requirements for all grantees funded by the Harbor Community Benefit Foundation, please complete this mandatory progress report and email it **(along with any attachments)** to [arturo@hcbf.org](mailto:arturo@hcbf.org). Please be as descriptive as possible in all of your answers. If you need any assistance in answering any questions, please do not hesitate to ask us.

Thank you for collaborating with us to build a safe, healthy, and beautiful San Pedro and Wilmington!

*The completed document should not exceed **THREE PAGES** in length.*

### A) General Information:

- 1) Name of organization:
- 2) Program/Project title:
- 3) Contact information for follow-up if necessary (name, email and phone):

### B) Brief Program/Grant Update:

- 1) Which HCBF Program Priority Area(s) is/are addressed by the grant (*Diagnosis and/or Treatment, Medical Supplies and/or Pharmaceuticals, Education and/or Outreach*)? Are you on schedule to meet this/these priority area(s)?
- 2) What are the primary objectives of this grant? Please indicate if there have been any changes.
- 3) Describe the progress you have made in completing the planned activities outlined in the timeline and work plan of your grant agreement.
- 4) Please quantify (report your results numerically) your progress in meeting the key objectives outlined in the timeline and work plan (we encourage attaching data tables, spreadsheets, charts, or other data sheets):
  - a) Targeted population (age, gender, income, etc.):
  - b) Number of residents served to date (by zip code or neighborhood):
  - c) Number of hours (or % time) spent serving the Wilmington community:
  - d) Number of events, classes, or program-related activities held AND attendance at each activity:
  - e) Amount distributed (flyers, medication, pamphlets, kits, educational materials, webpage views, etc.):
  - f) Number of new staff and/or volunteers brought on specifically for this program:
- 5) Also, if applicable, describe access to and affordability of program and/or services offered.

**6) What program/project activities do you have planned for the next 6-month reporting period? Please list by month and note any changes to the original timeline:**

Month 7:

Month 8:

Month 9:

Month 10:

Month 11:

Month 12:

**7) Difficulties in implementing the program, adjustments that were made, other comments, etc:**

- a. Describe any problems or barriers encountered (e.g. changes in programmatic capability, key personnel, funding shortages) and how you plan to address them:
- b. Have you experience any unanticipated changes that have affected your ability to deliver services?
- c. What adjustments, if any, have you made to meet your original objectives?
- d. Are your collaborations, if any, working as envisioned? If not, please explain why.
- e. Are your funding partnerships, if any, continuing?
- f. Other Comments:

**8) Describe any unexpected enhancements to your program, such as a new partner or funding source:**

**9) Describe any success stories or inspiring moments that you or staff may have experienced during this program (we encourage attaching photos, videos, and personal narratives). What challenges did you overcome and what did you learn?**

**C) Brief Budget Update (Narrative AND a revised line-item budget required):**

- 1) Proposed to actual project or program expenses:** Please note and explain any changes between the budgeted items and the actual or projected actual expenditures. If the expenditures exceed the budget, demonstrate how you will cover the additional expense.
- 2) Proposed to actual funding sources:** What sources of funding were projected in the original proposal? Have these funds materialized? If not, explain how the program has changed.

❖ *Please attach documentation supporting your accomplishments this quarter. This documentation may include photos, videos, receipts, invoices, sign-in sheets, fliers, media coverage, educational materials, presentations, etc.*

**ATTACHMENT C2: PROGRESS REPORT - BUDGET VARIANCE**

for SIX-MONTH AND FINAL GRANTEE PROGRESS REPORT

**INSTRUCTIONS:**

You may modify the line items in the Budget to match your original Budget. The report should reflect any changes (+/-) in budget expenses or allocations that may have occurred in the **first six months** of HCBF funding. Please also **attach a budget narrative** that explains each change, including other funding sources. Thank you!

**ORGANIZATION NAME:**

**Prepared by:**

	Original Budget Total (A)	HCBF Funds (B)	Program Area Non-HCBF Funds (C)	Revised Total B + C = (D)	Variance From Original A minus D
<b>DIRECT COSTS:</b>					
<b>Personnel:</b>					
Salary					
Fringe Benefits					
<b>Total Personnel (A)</b>					
<b>Operating Expenses:</b>					
Rent					
Utilities					
Supplies					
Printing					
Travel					
Postage					
Insurance					
Equipment					
Fuel					
Subcontracts/Consultants					
Other Expenses					
<b>Total Operating (B)</b>					
<b>Total Direct Costs (C)</b>					
(A + B = C)					
<b>INDIRECT COSTS:</b>					
(up to 15% of Total Direct Costs) (D)					
<b>Total EXPENSES (C+D)</b>					

**NOTE:** Administrative overhead/indirects costs up to a maximum of 15 percent of direct costs will be allowed.