



Dear Building Healthy Communities Partners,

All of you currently are at work on the Building Healthy Communities (BHC) plan in your respective sites across the state. Many of you are engaged in setting priorities, while others are devising specific strategies and tactics to use over the coming years to improve your community's health. We here at The California Endowment (TCE) deeply appreciate all of your hard work and commitment and look forward to seeing your logic models and narratives at the conclusion of your planning process.

1000 North
Alameda Street
Los Angeles
CA 90012
213.928.8800
FAX 213.928.8801
800.449.4149

As you know, BHC is a bold vision for civic collaboration toward ten important outcomes. A key lesson from other community change initiatives is the importance of maintaining a "hub" at each site while the plan is being implemented. A hub is essentially the infrastructure and staffing for keeping community partners together to guide and monitor the progress of the plan, and to continue to evolve the plan in response to changing conditions and opportunities.

After considering the importance of this type of underlying support, TCE has decided to fund a hub at each of our 14 sites. What follows is a description of how we are conceptually viewing the hub, how we propose it should function and be supported in each site, and how each site should apply to TCE for funding of it.

TCE's grants for each hub will be in addition to grants we will make to support key aspects of your BHC plan. We will provide two years of initial funding for the hub, and expect to continue funding a hub at each site for the duration of the BHC plan. As with the planning grant RFP, we will consider only one request per site for hub support. Your program officer can provide additional guidance, and I encourage you to work with him or her in completing the hub application.

Sincerely,

Dr. Tony Iton
Senior Vice President for Healthy Communities

Building Healthy Communities Funding for Site Hubs

Introduction

Because building healthy communities requires action on multiple fronts and by different partners and stakeholders, The California Endowment (TCE) believes it will be essential for each site to establish a venue for learning, linking, and coordinating the various strands of work during implementation of the Building Healthy Communities (BHC) plan. Put simply, we view the hub as the “central table” where youth, adult residents, organizational leaders, and other stakeholders can continue to oversee the BHC vision and shape ongoing strategy over time.

The hub concept is based on research, including the Community Coalition Action Theory (CCAT),¹ which states that coalitions cycle through three stages: formation, maintenance, and institutionalization. Coalitions go through these stages on an ongoing basis as groups take on new issues, bring in new members, and identify new strategies for action. A report on CCAT found that “several...factors have been shown to facilitate implementation, operationalized as the number of activities completed, including: coalition vision, skilled staff with adequate time to work on coalition activities, frequent and productive communication, cohesion or sense of belonging, and complexity of coalition structure, such as the presence of task forces or subcommittees.”² The hubs therefore are intended to provide the infrastructure and staffing necessary to support each BHC collaborative during plan implementation.

In that context, each BHC hub is expected to be inclusive, help individual citizens exercise their own power, and help create a big-picture view of the place’s future. The collaborative hubs will embody the concepts of inclusion, civic engagement, relationship building, flexibility, and nurturing of a shared vision of community health. They also will promote the values of respect for differences in traditions, ideas, beliefs, needs, and aspirations, and will consider these differences to be a resource for improving the community.

¹ Butterfoss FD, Kegler M: The Community Coalition Action Theory. In *Emerging Theories in Health Promotion Practice and Research*. Edited by DiClemente R, Crosby R, Kegler M, San Francisco CA: Jossey-Bass; 2009; 237-276.

² Osmond, J. Community Coalition Action Theory as a Framework for Partnership Development. Texas Department of State Health Services. www.dshs.state.tx.us/wellness/PDF/ccat%2010.29.08.pdf.

Background

A review of BHC efforts so far shows that although sites are in different stages of engaging youth, adult residents, and systems leaders, all are dealing to some degree with how to effectively manage the work of those involved in the process. Successfully engaging participants comes with challenges related to power sharing and a need for both the community at large and organizational leaders to educate each other about their views on community issues and change.

BHC participants who were interviewed during the planning phase generally believed that successfully working together over the next ten years will require ongoing development and support for their BHC collaborative. Participants stated a need for:

- Improved systems for communicating among participants in the BHC collaborative as well as with the broader community;
- Assistance with community organizing, including specific help with youth organizing;
- Support for dealing with longstanding conflicts and tensions (e.g. between races and cultures; between government leaders and community residents);
- A two-way information loop whereby local challenges and successes can be lifted up to inform TCE's statewide BHC strategies, and progress and results from TCE's statewide and federal efforts in turn are shared with local BHC sites; and
- Ongoing training, technical help, and other activities that support the BHC work.

Through the hub, residents and systems leaders will come together regularly to refine the vision for a healthy community, to understand the work from a collaborative and comprehensive point of view, and to ensure that the various BHC efforts and strategies do not function in fragmented silos but rather move towards synergy, coherence, and impact. Participants also will play a critical role in linking local work with TCE's broader BHC efforts regionally, statewide, and nationally. The hub will do this by offering a safe and consistent space for the people involved to measure and celebrate their progress, renew their vision, and work through tensions and difficult issues.

Functions of the Hub

The hub is expected to be in place throughout implementation of the BHC plan in each site. As issues and circumstances change, it will serve as an important venue for responding to those changes and keeping the plan on track. It will help to ensure that stakeholders are accountable to each other, and that there is local coordination. The logic models developed during the 2009-10 planning phase will be approved by

the hub members and will be examined and updated regularly. Logic modeling for outcomes not addressed in the initial planning phase will need to be incorporated into the overarching plan within the first two to three years of implementation. The hub also will identify training and education needs of participating community members and groups and help arrange for that assistance to be made available.

While each of the 14 BHC sites likely will have different hub structures and unique functions, each site will develop core principles to guide their own hub. This will include principles related to membership and promoting residents' understanding of and commitment to their local plan. Each hub will have a steering committee³ composed of youth, adult residents, and organizational leaders who are chosen based on the core principles. Both the hub and the steering committee will be open to "new" members over time as well as the participation of others who can help advance the vision of the plan.

An important additional function of the hub will be to use the arts and culture to get youth involved in the BHC plan. This could include youth expressing their viewpoints in photography, creative writing, and "poetry with a purpose." Through these media, youth are able to capture and comment in constructive ways on the social realities that they experience in their communities. At the same time, youth can develop positive self-identities and connections with their communities through the arts.

There are limitations, however, to the hub's functions. It will *not*:

- represent TCE;
- play a formal decision-making role regarding TCE's grantmaking;
- have authority over individual organizations participating in the BHC plan; or
- be the only venue that brings people together for collaborative work.

The hub *will*, however, be a very important leadership body and partner for TCE to accomplish the local, regional, and statewide work of the BHC plan.

Hub Participants

The participants of the hub should reflect the characteristics (e.g., age, race, ethnicity, income levels, spoken languages) of residents in the BHC site. Sharing these characteristics of a community will help participants in the hub better understand the community that is being served. Participants will include:

- *Youth* - both those with and without ties to community organizations.
- *Adult Residents* - both those with and without ties to community organizations.

³ BHC sites may choose to use different terms for this group, such as leadership committee, facilitation team, etc.

- *Local and Regional Systems Leaders* - at a minimum, public health department and educational leaders, but also other representatives of health, safety, housing, planning, and legal services agencies in the community.
- *TCE Grantees* - their participation will be built into each grant work plan.
- *Non-Grantee Organizations* - those with a stake in the BHC work will be encouraged to participate.
- *TCE Program Officers* - they will not organize the hub, but will support relationships so that it functions smoothly.

The participants of the hub must agree to learning along with and from other BHC sites so that knowledge and strategies are shared. TCE will assist by providing technical help, facilitators, a means for participants to network (including CalConnect), and rotated meetings at different BHC regions. All participating groups, except TCE, will be asked to sign a Memorandum of Understanding (MOU), which spells out the agreement to work together on BHC activities and at meetings. Though not legally binding, all parties will be expected to honor their promises to each other in the document.

Elements of the Hub

For the hub to function well, there will need to be a convener/fiscal agent able and willing to serve in the capacity of the “host agency”. This organization will be responsible for the hub’s fiscal management and for carrying out TCE reporting requirements. It also will be responsible for ensuring that the key functions outlined above are tended to, but will rely on the hub’s steering committee for BHC management and decision-making support. Note: the host agency for the hub also will be eligible for TCE grants to implement various strategies in the site’s BHC plan.

As noted in the attached sample budget, TCE expects its grant for each hub to support the following elements:

- *BHC Hub Manager* - the lead staff person focused on supporting the hub’s work and moving the BHC plan forward day to day. This mid-career professional will have high-level skills and experience, including project management, group facilitation, community organizing and development, conflict resolution, and data and research. As an employee of the host agency, the hub manager will be the primary point of contact for overall site communications with TCE (this does not exclude other points of contact for TCE communications, but it does make the manager the leader in this function) and is responsible for assuring all members of the hub receive TCE communications and guidance. The hub manager also will assume a high level of responsibility for connecting people from diverse constituencies broadly within the community as well as across the BHC network.

- *Project Coordinator* - will organize and set up BHC meetings and related activities and work with stakeholders around the logistics of various BHC components.
- *Media Coordinator/Online Community Organizer* - the lead communications coordinator for each place to share stories, lessons learned, and promising practices, and to frame the community's collective approach to health improvements. This person (or persons, if split among different people) will be responsible for supporting and promoting local storytelling aligned with the BHC plan, identifying communications technical assistance needs for community organizations (e.g., messaging, media relations, digital media training), serving as a media contact and spokesperson for the BHC, serving as liaison to TCE communications staff to identify compelling local stories that can be promoted regionally or statewide, and overseeing and promoting the local CalConnect site across the community.
- *Evaluation and Learning Specialist* - this person (or persons) will be expected to use available data in their community as well as research on what has worked in other, similar communities. Such data and research won't simply be static numbers, but rather active tools to help communities understand the processes contributing to the conditions that children, youth, and families experience in their everyday lives. The data and research function of the hub may be performed either by an employee of the host agency or by a hub member selected for having expertise in data and research.
- *Various Operating Costs* - to cover meeting expenses, translation and interpretation services, communications, travel, training, stipends, incentives, and child care.
- *Local Discretionary Projects* - a small-grants program that will be administered by the hub to support community involvement and readiness for larger systems changes. By providing funds to support new strategies, and/or public recognition and awards to successful local collective efforts, the hub can encourage the development of new, experimental programs and the wider adoption of already successful local programs. Arts and cultural projects for youth also can be supported through this small-grants program.
- *Capital and Equipment* - limited support to cover the costs of a computer, projection equipment, translation equipment, or other one-time charges to support the work of the hub.

Note: While TCE expects each hub to perform a broad range of functions, TCE does not need to be the sole source of funding. Sites are encouraged to leverage other funding and secure in-kind commitments from partner organizations where feasible. Written agreements documenting the commitment of such complementary resources are recommended.

Hub Grant Application

Attachment One is the template for the hub proposal. *As with the planning grant, we will accept only a single, collaboratively developed hub grant application from each site.* TCE will provide two years of initial funding for each site's hub, and we expect to continue funding a hub at each site for the duration of the BHC plan. Attachment Two includes a sample budget for the hub application, and Attachment Three is the template for the hub workplan.

Preferably, the applicant organization will be:

- Tax-exempt under Section 501(c)(3) of the Internal Revenue Code;
- Experienced in facilitating a community change initiative with a diverse group of stakeholders;
- Physically located in the place or currently working and/or providing services in the place; and
- Able to administer the grant funds on behalf of the collaborative, including hiring and paying consultants, paying stipends for community residents, etc.

Racial and ethnic minority-led community-based organizations are encouraged to serve as the host agency for the hub. These are organizations that: (1) have an explicit mission to serve racial and ethnic minority populations, and (2) are led by staff and boards representative of those racial and ethnic minority populations.

How to Apply

A complete hub proposal must include:

- TCE application coversheet (available on the web at www.calendow.org/grant_guide/);
- Completed proposal materials:
 - Attachment One: Proposal Narrative
 - Any accompanying documents (e.g., Memoranda of Understanding (MOUs), workplans, resumes);
- A proposed line-item budget (see Attachment Two for example) with an accompanying narrative budget justification;
- A proposed workplan (see Attachment Three for template);
- List of the board of directors of the applicant organization;
- IRS determination letter of 501(c)(3) status or certification of entity status, if a public agency;
- A copy of the latest IRS Form 990 and Schedule A filed for the applicant organization; and
- A copy of the latest audited annual organizational financial statements for the applicant organization. (If no audit has been completed, most recent financial statements are acceptable.)

To maintain momentum and avoid any gaps in funding, it is TCE's intention to provide each of our 14 BHC sites with a grant to support the hub before the conclusion of each site's planning process. Each BHC collaborative is on a different timeline, with some projecting conclusion of their planning by the end of March, and others by the end of June. This variation was expected. No site will be penalized for applying for a hub grant sooner or later than any other. Most important is for each site to be in frequent communication with their local program officer regarding the hub grant application. *Please plan on a minimum of six weeks between the date that TCE receives the hub proposal and disbursement of hub grant funds.*

Proposals must be mailed or delivered to:

Grants Administration
The California Endowment
1000 North Alameda Street
Los Angeles, CA 90012

Note: While TCE invites hub proposals from all 14 BHC sites, we will exercise our grant-making discretion in reviewing and approving these funding requests.

Building Healthy Communities Attachment One

Proposal Narrative

Your hub proposal should not exceed five pages in length. The narrative should describe:

- Your site's proposed BHC collaborative organizational structure.
- The process you will use for determining individual and/or organizational participation on the hub.
- Your collaborative's proposed decision-making and governance structure.
- How you will develop your hub's core guiding principles.
- How your collaborative will address conflict and tension.
- Your collaborative's approach over the next two years to ensure:
 - Youth and adult resident leadership;
 - Diversity and inclusion of differing viewpoints;
 - Cultural competency and language access;
 - Participation of local and regional systems leaders;
 - Ongoing planning and priority setting;
 - Coordination of community events and collaborative activities;
 - Implementation and sequencing of BHC strategies;
 - Training and capacity building for hub participants;
 - Neighborhood and local-level communications;
 - Evaluation and learning;
 - Tracking and measuring impact;
 - Timely BHC plan modifications and adjustments; and
 - Acknowledging and celebrating progress and success.
- How you will learn from the best practices and policy changes accomplished by other BHC sites and from other community change initiatives across the country.
- How you will lift up the innovation and policy improvements from your own site so that it can benefit other BHC sites and other community change initiatives across the country.
- Your ideas for using the arts and culture as a means to engage youth.

Building Healthy Communities Guidelines for Potential Conflicts of Interest in Hub-Related Contracting Attachment Three

Introduction

To ensure productive partnerships within the Hub, The California Endowment (TCE) recognizes that organizations and residents will need to work together and, at times, contract with one another to achieve the goals they establish. The Endowment also recognizes that it is vital to maintain integrity throughout the contracting process to ensure trust and the highest ethical standards among the Hub's Partners. Therefore, to assist organizations and residents (hereinafter referred to as Partners) in the contracting process, The Endowment has developed guidelines to identify and resolve potential conflicts of interest.

The primary purpose of these guidelines is to assist Hub Partners in the performance of their duties. The guidelines recognize that Partners may have been selected for their strong involvement in their communities - an important part of which is close, interrelated connections - and therefore encourages broad disclosure of affiliations. They also suggest steps that Partners may take to disclose and resolve potential conflicts of interest. Conflicts of interest occur when personal interests are at odds with the duty of loyalty owed by Partners to their communities and their fellow Partners. Even the appearance of a conflict of interest can damage credibility and compromise the work of the Hub.

These guidelines do not represent any contractual obligation of any Partner, nor do they impose a duty on any Partner. Rather, they are recommendations to ensure that all Hub-related contracting is conducted openly, honestly, and with broad public accountability.

Guidelines

Definitions

For the purposes of these guidelines, a potential conflict of interest is defined as:

- a close relationship (such as serving as an employee, trustee, director, committee member, consultant, advisor, shareholder, beneficiary, partner or student)
- between a Partner staff or Board member (or family member) and

- an organization or person seeking a contract from a Partner on behalf of the Hub, or
- when a Partner staff or Board member (or family member) has a material financial interest in a Hub-related contract to which a Hub Partner is a party.

Recommendations for contracting when potential conflicts of interest exist

The Endowment recommends that Hub Partners establish processes to remove potential conflicts of interest in Hub-related contracting. The processes established should include opportunities for Partners to disclose potential conflicts, and procedures to ensure Partners' duty of loyalty is fulfilled when potential conflicts exist.

Disclosure

Disclosure should be an obligation of all Partners that are party to the contracting process. The Endowment encourages Partners to fully and regularly disclose all material facts relating to any potential conflict of interest that they or their family member may have. Disclosures may encompass current affiliations as well as affiliations for the prior two years. Depending upon the frequency, size, and complexity of the contracting that Hub Partners conduct, Partners may want to require written disclosure of potential conflicts. If written disclosure is required, such disclosures could be communicated annually to Hub members, and as soon as possible after a new affiliation begins, but no later than at or prior to action on contracts.

Undisclosed potential conflicts

If a Partner becomes aware of an undisclosed potential conflict of interest of another Partner, it should be brought to the attention of the Partner with the potential conflict. Should the Partner discovering the potential conflict feel uncomfortable bringing the potential conflict issue to the other Partner's attention, he or she may bring it to the attention of an Endowment Program Officer (PO). In that instance, the Partner with the potential conflict of Interest should be informed by the Endowment's PO after a thorough inquiry.

Consideration of contracts involving potential conflicts

Hub Partners may make contracts where potential conflicts exist provided:

- the Contract meets the Hub's stated eligibility requirements and selection criteria and was found, after an objective review, to carry out the Hub's goals and objectives, and
- the potential conflict is disclosed to all those involved in the contracting process, and
- the Partner with the conflict is not involved in the presenting, reviewing, awarding, monitoring, or evaluating of the contract, and is not present when the decisions related to the contract are made

The Partner with the potential conflict may provide factual information, not advocacy, upon the request of other Partners, but otherwise may not be involved in the contracting process. The Partner with the potential conflict should also remove himself or herself from all meetings in which the contract recommendation is discussed.

Duty of loyalty

Partners shall not use their position as a member of the Hub to benefit the interests of a particular organization, constituency, or special interest group by any means. Activities not allowed include providing information that is not available to other contractors or potential contractors, lobbying the Hub or serving as a spokesperson to the Hub on behalf of an organization, constituency, or special interest group, or attempting to affect a decision through his or her position within the Hub.

Partners should maintain the confidentiality of internal information about the Hub. Information about the Hub's activities should be disseminated widely once it is determined to be available for public use, in order to promote equal opportunities for access. Conduct should not create preferential access nor create material benefit from any information regarding contract making, investment, or other business actions or decisions by the Hub that have not been fully disclosed to the general public by the Hub. Specifically, Partners may not derive personal financial benefit through the inappropriate use of investment information acquired through the Hub.

Partners should not directly or indirectly solicit or accept gifts (other than unsolicited gifts or tokens of nominal value where refusal would be impractical or imprudent) from persons or organizations doing business or seeking to do business with the Hub. If Partners received unsolicited gifts exceeding \$50 per year per source, the person or organization offering the gifts should be thanked and the gifts should be returned. Unsolicited gifts that cannot be returned should be donated to a nonprofit organization or disposed of in a manner that does not directly benefit the Partner.

Partners may accept meals, courtesy food, refreshments, or social invitations offered while conducting Hub-related business, if they are in keeping with good business ethics and do not influence the recipient in making any decision on behalf of the Hub.

Remedies

If a member of the Hub has reasonable cause to believe that a Partner has failed to disclose an actual or potential conflict of interest, he or she shall inform the Partner of the basis for such belief and give the Partner the opportunity to explain the alleged failure to disclose to all members of the Hub involved in the contracting process.

If, after hearing the Partner's response and after making further inquiry (if warranted by the circumstances), Hub members determine the Partner has failed to disclose an actual or possible conflict of interest, the Hub members will determine the appropriate disciplinary and corrective action.

Retaliation

Guidelines are intended to encourage and enable Partners to raise concerns within the Hub for inquiry and appropriate action. No Partner who in good faith reports a concern to a Hub representative or The Endowment should be subject to retaliation. Moreover, a Partner who retaliates against someone who has reported a concern in good faith should be subject to discipline to be determined by the Hub members.

Conclusion

The Endowment believes that to be productive, the partnerships that are vital to the Hub's success require the highest ethical standards. It encourages each Hub to establish policies, procedures, and practices that reflect those standards. With respect to contracting, The Endowment further encourages Hub Partners to establish processes by which potential conflicts of interest are disclosed and removed, and any other factor that might negatively affect the fairness of the contracting process - or simply the perception of its fairness - be identified and resolved. As ever, The Endowment stands ready to support the Hub in its effort to develop processes. Questions regarding these guidelines should be referred to the Hub's Endowment PO or The Endowment's Director of Monitoring & Compliance.