



**CFMC BOARD RETREAT AGENDA**  
**Saturday, January 20, 2018 ~ 8:30 AM - 1:30 PM**  
**2354 Garden Road, Monterey**

<b>Continental Breakfast</b>	8:30
<b>Call to Order/Welcome</b> – Ken Petersen	9:00
<b>Introductions and New Board Members</b> Michael Reid, Loren Steck, Abby Taylor-Silva, Jan Vanderbilt, Maija West	
<b>Business Meeting</b> – Ken Petersen <ul style="list-style-type: none"> <li>• 2018 Meeting Dates <b>(on board portal)</b> <ul style="list-style-type: none"> <li>○ Legacy Society Luncheon – Tuesday, February 13, 2018</li> <li>○ Women’s Fund Luncheon – Tuesday, April 3, 2018</li> </ul> </li> <li>• Board Roster <b>(on board portal)</b></li> <li>• 2018 Committee Assignments <b>(sent electronically)</b> <ul style="list-style-type: none"> <li>○ Grants and Programs Sub-Committees</li> </ul> </li> <li>• Confidentiality Policy <b>(sent electronically)</b></li> <li>• Conflicts of Interest Policy and Form <b>(sent electronically)</b></li> <li>• Board Member Job Description <b>(on board portal)</b></li> <li>• 2018 Fund Allocations – Unrestricted, Field of Interest <b>(sent electronically)</b></li> <li>• Approval of Star Foundation Grant</li> </ul>	9:20
<b>2017 Year in Review</b> – Dan Baldwin	9:40
<b>Break</b>	10:05
<b>Alphabet Soup: CRUTs, CRATs, CGAs, and DAFs</b> – Yikes! – Christine Dawson	10:15
<b>Foundation Scenarios (Board &amp; Staff Breakouts) &amp; Report Outs</b>	11:00
<b>Lunch</b>	12:00
<b>2010 vs 2018, And a look to the future</b> – Dan Baldwin	12:30
<b>Wrap-Up</b> – Ken Petersen <ul style="list-style-type: none"> <li>• Brief video</li> </ul>	1:15
<b>Executive Session (if necessary)</b>	1:30

**Mission**

To inspire philanthropy and be a catalyst for strengthening communities throughout Monterey County

**Strategic Priorities**

- **Community Impact** – Invest in developing healthy, safe and vibrant communities across Monterey County
- **Philanthropic Leadership** – Inspire and facilitate philanthropy throughout Monterey County
- **Community Leadership** – Recognize opportunities for facilitation of solutions to community issues
- **Organizational Excellence** – Optimize performance and stewardship for maximum impact

## **Board and Committee Meetings 2018**

**(The Board, Executive and Committee meetings locations are subject to change)**

### **Board Meetings-Tuesdays**

*\*Meetings held from 3:30pm-5:30pm the fourth Tuesday every other month.*

- |  |                              |
|--|------------------------------|
| • January 11                                     | <b>New Board Orientation</b> |
| • January 20                                     | <b>Board Retreat</b>         |
| • February 27                                    | <b>Monterey Office</b>       |
| • April 24                                       | <b>Monterey Office</b>       |
| • June 26  | <b>Salinas Office</b>        |
| • August 28                                      | <b>Monterey Office</b>       |
| • October 23                                     | <b>Salinas Office</b>        |
| • December 18th                                  | <b>Monterey Office</b>       |
| Holiday Social following the meeting 5:45 – 7:00 |                              |

### **Executive Committee -Tuesday's**

*\* Meetings held from 3:30 pm – 5:30 pm*

- |                |                        |
|----------------|------------------------|
| • March 27     | <b>Salinas Office</b>  |
| • May 22       | <b>Monterey Office</b> |
| • July 24      | <b>Salinas Office</b>  |
| • September 25 | <b>Monterey Office</b> |
| • November 27  | <b>Salinas Office</b>  |

### **Finance Committee -Tuesday's**

*\* All meetings held from 2:00 pm – 3:30 the fourth Tuesday every other month.  
(Before the Board meeting)*

- |                |                                   |
|----------------|-----------------------------------|
| • February 27  | <b>Monterey Office</b>            |
| • April 24     | <b>Monterey Office</b>            |
| • June 26      | <b>Salinas Office</b>             |
| • August 28    | <b>Monterey Office</b>            |
| • October 23   | <b>Salinas Office</b>             |
| • November TBD | Special finance committee meeting |
| • December 18  | <b>Monterey Office</b>            |

**Investment Committee – Monday’s**

*\* All meetings held from 3:00 pm – 5:00 pm the second Monday, of the second month, of each quarter at the CFMC **Monterey office**.*

- Monday, February 12, 2017 3:00 – 5:00PM
- Monday, May 14, 2017 3:00 – 5:00PM
- Monday, August 13, 2017, 3:00 – 5:00PM
- Monday, November 12, 2017, 3:00 - 5:30PM (extended meeting)

**Resource Development Committee –**

*\* All meetings held quarterly from 3:30 pm – 5:00 pm at the CFMC’s **Monterey Office**.*

- Monday, March 12, 2018
- Wednesday, June 27, 2018
- Monday, August 27, 2018
- Wednesday, December 12, 2018

**Grants and Programs Committee - Wednesday’s- held quarterly**

*\* All meetings held from 9:00 am –10:30 am at the CFMC’s **Salinas office**.*

- Wednesday, February 7, 2018
- Wednesday, May 2, 2018
- Wednesday, August 1, 2018
- Wednesday, October 3, 2018

**Additional dates of interest to the Board:**

- **February 13 - Legacy Society Luncheon – Monterey Plaza Hotel**
- **The CF Fundamentals Course –**
- **April 3, 2018 Women’s Fund Luncheon TBD**
- **Past Chairs Luncheon - Early June**
- **League of CA CF’s CEO/Chair Retreat**
- **October – CFMC Annual Celebration of Philanthropy, Corral de Tierra Country Club**



## 2018 Confidential Board Roster



### CHAIR

**Kenneth B. Petersen**

Monterey Private Wealth, Inc.  
2340 Garden Road Suite 202  
Monterey, CA 93940

President,  
Monterey Private Wealth, Inc.

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Home: 831-455-0102  
[ken@montereypw.com](mailto:ken@montereypw.com)



### VICE CHAIR

**Birt Johnson, Jr.**

1256 Castro Road  
Monterey, CA 93940

Former General Manager, ATT

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### TREASURER

**Teri Belli, CPA**

Belli Architectural Group  
235 Monterey Street, Suite B  
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Owner, tBelli Business Consulting & Advising

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### SECRETARY

**Jeff Eikenberry**

43716 Via Canada  
King City, CA 93930

Former Senior Vice President  
Jackson Family Wines

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**Betsy Buchalter Adler**

153 Acacia Avenue  
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Trustee and Program Officer  
Claire Giannini Fund ; retired  
attorney

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**Ida Lopez Chan**

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Senior Vice President, Wells Fargo  
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**Nolan Kennedy**

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Attorney at Law,  
Kennedy, Archer & Giffen

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## 2018 Confidential Board Roster



**Steve McGowan**  
22 Miramonte Road  
Carmel Valley, CA 93924

Former CFO, Sun Microsystems

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**Fred Meurer**  
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Owner, Meurer Municipal Consulting;;  
former city manager of Monterey

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**Bill Mitchell**  
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**Erica Padilla-Chavez**  
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Executive Director  
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**Betsey Pearson**  
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Retired, United Way of Monterey County  
Consultant to Non-Profits

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**Anna Marie Ponce**  
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**Michael Reid**  
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## 2018 Confidential Board Roster



**William Sharpe**  
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**Loren Steck**  
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**Abby Taylor-Silva**  
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**Jan Vanderbilt**  
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**Maija West**  
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**Community Foundation for Monterey County  
2018 Board Committees**

<b>BOARD</b>	<b>Executive</b>	<b>Finance</b>	<b>Audit</b>	<b>Resource Development</b>	<b>Investment</b>	<b>Grants &amp; Programs</b>	<b>Govern.</b>	<b>Endow. Oversight</b>	<b>Impact Investing</b>	<b>Grant Comm. 1</b>	<b>Grant Comm. 2</b>	<b>Stanton</b>	<b>Siembra Latinos</b>	<b>WF Advisory</b>	<b>R/E Advisory</b>
Betsy Adler	x			Chair				x		Chair					
Teri Belli	x	Chair	x		x										
Ida Lopez Chan						x					Chair		Vice Chair		
Jeff Eikenberry	x	x	x												
Birt Johnson	x					Chair	x			x					
Nolan Kennedy					x				Chair						x
Steve McGowan	x		x		Chair		Chair								
Fred Meurer		x					x		x						
Bill Mitchell						x				x					x
Erica Padilla-Chavez				x									x		
Betsey Pearson				x							x				
Ken Petersen	Chair	x	x	x	x	x	x	x	x						x
Anna Marie Ponce						x				x			x		
Michael Reid				x											
Bill Sharpe					x						x				
Abby Taylor Silva						x									
Loren Steck					x						x				
Jan Vanderbilt		x													
Maija West				x			x							x	
Ken Wright		x				x	x				x				
<b>NON BOARD</b>															
Kurt Gollnik				x											
Hansen Reed				x											
Bill Doolittle					x										
David Benjamin					x										
Steve Dart					x							x			
Craig Johnson					x										
Sharon Gish										x					
Oscar Flores										x					
Paulette Bumbalough										x					
Meg Clovis										x					
Mark Verbonich										x					
Trinidad Gomez										x					
Kathy Cain											x				
Sandy Hale											x				
Patricia Gomez											x				
Kim Bui-Burton											x				
Ramona Smith												Chair			
Iathan Annand												x			
Mary Wright												x			
J.Breck Tostevin												x			
Kip Hudson												x			
Blanca Zarazua													Chair		
Raul Rodriguez													x		
Daniel Rodriguez													x		
Chris Barrera													x		
Jose Luis Alvarado													x		
Frank Ramirez													x		
Jim Heisinger, Legal Counsel															x
Rick Kennifer, Legal															x
Greg Chilton															x
John Mahoney															x

**COMMUNITY FOUNDATION FOR MONTEREY COUNTY**  
**CONFIDENTIALITY POLICY**  
**Approved October 25, 2016**

Through the course of employment, service on the Board, or volunteering at the Community Foundation for Monterey County you will have access to and become acquainted with information of a confidential, sensitive and/or proprietary nature. The protection of confidential, sensitive, and proprietary information is of utmost importance to the continued viability and success of the Community Foundation. The information may pertain to present or future clients, donors, prospective donors, grantees, prospective grantees, wealth advisors and their firms, other Board members, business associates or past or current employees.

The Foundation's Board has adopted this Confidentiality Policy to assist the Foundation's directors, officers, employees, agents, fiduciaries and volunteers in fulfilling their confidentiality obligations and commitments. While the policy addresses some common confidentiality concerns, it is not an exhaustive list of all situations where a confidentiality obligation may arise. Questions about whether information is confidential or about situations in which confidential information may be released or discussed should be directed to the foundation's president/CEO, the board chair, and/or the chair of board committees. As used in this Policy, the term "Foundation personnel" includes the Foundation's directors and officers, employees, agents, fiduciaries, consultants and volunteers.

**General Rule:** The Community Foundation respects the privacy rights of its employees, both past and current, and maintains its personnel matters and records in the strictest of confidence. While serving on the Board, Foundation Board members may have access to or become acquainted with information concerning past and current Foundation employees, personnel matters, salary and pay scale information. Such information shall not be communicated, disclosed or otherwise utilized for any unauthorized purpose, whether such information was gained within or outside the scope of the member's service on the Board.

Individual Board members should not respond to inquiries or requests for information concerning past or current Foundation employees, personnel matters or records, or information concerning Foundation salaries or pay scales. Any such inquiries or requests for information shall be referred to the President/CEO. Board members who receive such inquiries or requests for information shall immediately notify the President/CEO.

**Confidentiality of Donor Information:** Except as required by law, the Foundation will not disclose information about a donor or a donor's gift. However, unless otherwise requested by the donor, the Foundation may publish the names of individual donors in the Foundation's Annual Report and other reported listings. In the case of memorial gifts, the Foundation will provide the names of donors to members of the immediate family unless the donor has requested anonymity. The Foundation will not disclose the amount of any gift without the donor's consent. The Foundation may accept anonymous gifts.



## COMMUNITY FOUNDATION FOR MONTEREY COUNTY CONFIDENTIALITY POLICY

**Confidentiality with respect to Grant Applicants and Grantees:** The Foundation will not disclose the identity of grant applicants except as necessary to process the application and will protect financial and personal information that applicants submit to it. This includes information provided by applicants for grants to individuals such as scholarships and hardship assistance. Except in the case of hardship assistance grants to individuals, and scholarships, the Foundation will generally disclose the identity of grantees and the amount awarded.

**Confidentiality of Foundation Business:** Except as authorized by the Foundation's board, or by an appropriate board committee, discussions and records of the Foundation's operations are generally not to be disclosed. This includes information about the Foundation's financial operations, fundraising, investments, personnel, grantmaking, and contractual relationships. The positions of individual directors, officers, employees, agents, fiduciaries, and volunteers should not be discussed, even within the Foundation, except in the course of official Foundation meetings and processes where those subjects are discussed.

**Exceptions:** This policy does not apply to disclosures to attorneys, accountants and other professionals providing assistance to the foundation. It also does not apply to disclosures to tax authorities, government agencies, courts, or as otherwise required by law. The following are considered public documents and information contained in them is not subject to the confidentiality requirements of this policy:

- The Foundation's annual report or audited financial statement once it has been accepted by the board.
- The Foundation's Form 990 as required to be publicly disclosed. This does not include the names and addresses of donors as that information is not required to be disclosed.
- The Foundation's investment portfolio holdings and performance
- The Foundation's investment and spending policies

**Protection of Confidential Information:** Foundation personnel who have executed a copy of this policy may access confidential information necessary to the performance of their functions. Foundation personnel are expected to exercise sound judgment in securing information taken outside the Foundation's offices or copied from its network. Any information so removed should be returned as soon as possible and deleted from laptops or other personal devices.

**Children's Online Privacy Protection Act:** The Foundation will comply with all laws as they relate to the Children's Online Privacy Protection Act (COPPA).

**COMMUNITY FOUNDATION FOR MONTEREY COUNTY  
CONFIDENTIALITY POLICY**

**I have read the Policy on Confidentiality and agree to comply with it.**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Print Name**

**I am a:**    \_\_\_\_\_ **Board Member**    \_\_\_\_\_ **Staff Member**    \_\_\_\_\_ **Volunteer**  
              \_\_\_\_\_ **Consultant/Contractor**

# **COMMUNITY FOUNDATION FOR MONTEREY COUNTY**

## **CONFLICTS OF INTEREST POLICY**

Approved June 28, 2005  
Amended October 25, 2016

The Community Foundation for Monterey County consistently follows a policy of avoiding any conflicts of interest, or appearance of conflicts of interest, on the part of its Board, staff and community volunteers serving on Foundation committees in the review of grants and all other aspects of the Foundation's operations.

It is recognized that Board, staff and volunteer committee members are actively involved in other charitable, business, and community affairs throughout Monterey County. Pursuit of these experiences is generally encouraged and often provides perspectives that enhance Board, staff and volunteer committee members' ability to serve the Foundation's goals. However, in some cases, these experiences may create a duality or conflict of interest that needs to be disclosed and addressed.

This Conflicts of Interest Policy sets forth the Foundation's considered judgment regarding the best approach to balancing the following goals: (1) ensuring that the Foundation's decisions benefit from the fullest input of its Board, staff and volunteer committee members, drawing on their accumulated experiences in

Monterey County; (2) avoiding both the reality and the appearance that the objectivity of the Foundation's decisions is compromised by any conflicts of interest by a Board, staff member or volunteer committee member; (3) avoiding both the reality and the appearance that any Board, staff or volunteer committee member benefits from decisions made by the Foundation; and (4) avoiding both the reality and the appearance that any Board member's objectivity when dealing with Foundation personnel issues is compromised by his or her relationship with any staff member.

To accomplish these goals, the Foundation hereby adopts the following policies:

1. Foundation Board member's affiliation with prospective grantees

Foundation Board members who currently serve on the board of an organization that might reasonably be expected to apply for a grant from the Community Foundation shall take care to avoid any actions that will favor the potential applicant in its relationship with the Foundation. Foundation Board members who are otherwise formally affiliated with an organization that might reasonably be expected to apply for a grant from the Community Foundation shall take care to avoid any actions that will favor the potential applicant in its relationship with the Foundation. For purposes of this policy, in addition to service on the board, formal affiliation includes current involvement in fundraising, significant volunteer activities, and service on an ad-hoc committee, on an advisory board, or as a

trustee emeritus. Therefore, unless specifically approved by the Board, Foundation Board members shall: (a) refrain from sharing nonpublic information obtained through the Foundation that would provide an advantage to the potential applicant organization; (b) refrain from active involvement in the organization's planning or preparation of any inquiry or grant request to the Foundation; (c) abstain from voting on any grant request submitted by the organization; and (d) refrain from contacting Foundation staff or speaking at the Foundation's Board meeting on behalf of the organization, although the Board member in question may respond to inquiries from the Foundation's Board or staff and may raise an issue in exceptional circumstances when failure to do so would be detrimental to the Foundation or the community.

Unless requested by the Board Chair to remain, Foundation Board members will leave the room during Board discussions of matters relating to other organizations on whose boards they currently serve.

A Foundation Board member who also serves on another organization's board shall carefully consider his or her obligations to each organization in matters related to fundraising and development.

## 2. Board member relationships with the board or staff of other organizations

The provisions of paragraph 1 above shall also apply to any instance in which the spouse of or someone with a similar relationship to a Foundation Board

member serves on the board or staff of a potential applicant organization. A Foundation Board member shall also apply the provisions of paragraph 1 when his or her relationship with any other person who is involved with a potential applicant organization could reasonably be perceived as compromising the Board member's objectivity. In making this determination, the Foundation Board member shall consider the nature of his or her relationship with the other person, as well as the nature of that person's involvement with the potential applicant.

### 3. Potential conflicts arising from business activities

Foundation Board members shall take all reasonable steps to avoid actual or perceived conflicts of interest arising from their business activities. Specifically, the provisions of paragraph 1 shall apply whenever Board members, their spouses, or someone with whom a Board member has a similar relationship has a business relationship with a potential applicant organization that could reasonably be viewed as affecting his/her objectivity in matters relating to that applicant organization. The provisions of paragraph 1 shall also apply whenever a Foundation Board member believes that the business relationships of other relatives or persons with a potential applicant organization could reasonably be perceived as compromising the Board member's objectivity.

Foundation Board members that engage in business activities with or provide more than nominal business services to staff members shall take all reasonable

steps to avoid actual or perceived conflicts of interest arising from their business relationship with the staff member. This includes without limitation (a) refraining from disclosing nonpublic information acquired through the Foundation to that staff member; (b) refraining from active involvement in any decision directly impacting the staff member's terms and conditions of employment; (c) refraining from speaking to the staff, the Board, or any individual Board member on behalf of the staff member; and (d) refraining from advising the staff member on any matter that relates to the terms and conditions of his/her employment.

In general, Board members or their businesses should not engage in any business relationship with the Foundation. Exceptions to this general rule include without limitation when there is no practical alternative supplier of the business to the Foundation, when the price or conditions offered by the Board member are distinctly more favorable than any practical alternative, or when the personal benefit inuring to the Board member from the business relationship with the Foundation is merely incidental.

Board members should also not engage in business relationships that result directly from a grant or other decision of the Foundation. In determining whether a business relationship results directly from a decision of the Foundation, the following factors should be considered: (a) the time that has elapsed since the Foundation's decision; (b) whether the Board member or his or her business will be paid with Foundation funds; and (c) the degree of overlap between the focus

of the Foundation's decision (e.g., awarding a grant or selecting an investment manager) and the content of the Board member's business.

In the course of their non-Foundation business or other activities, Board members shall not intentionally use their association with the Foundation to leverage favorable treatment or advantage from any business, organization, or person.

4. Avoiding conflicts of interest by non-Board Volunteers who serve on Foundation Committees

The provisions of paragraphs 1, 2 and 3 above shall also apply to non-Board Volunteers who serve on Foundation Committees.

5. Avoiding conflicts of interest by staff

Except as specifically approved by the President/CEO after consultation, as appropriate, with the Board Chair, the staff shall avoid actual or perceived conflicts of interest by taking the following steps: (a) no staff member will accept a board or other position with an organization that could reasonably be expected to seek funding from the Foundation, and if such a position is approved, the staff member will play no role with respect to any request from the organization in question; (b) no staff member will play any role with respect to any request from an organization with which a family member is substantively involved; and (c) no



staff member will accept any gifts, meals, tickets, or other items with a value of more than \$50 from an organization that could reasonably be expected to apply for a grant or seek business from the Foundation.

Staff members shall not intentionally use their association with the Foundation to create any favorable treatment or advantage from any business, organization, or person.

6. Implementation of this Conflicts of Interest Policy.

The Foundation recognizes that the foregoing provisions do not cover all possible situations that might arise, and that the exercise of reasonable judgment will be necessary to apply this policy to specific situations.

Board and staff members shall immediately disclose to the Chair and/or President/CEO any specific circumstances (whether or not specifically addressed by the foregoing paragraphs) that could reasonably be considered a conflict of interest within the spirit of this policy. The Chair and/or the President/CEO will seek resolution of the issue, including, if appropriate, by means of engaging the full Board with respect to resolution.

Conflict of Interest disclosure forms are required at the beginning of your board term, or employment, and updated annually.

**COMMUNITY FOUNDATION *for* MONTEREY COUNTY**

**CONFLICT OF INTEREST FORM**

**Board and Staff Information Sheet for the year 2018**

**Board/staff member's name**\_\_\_\_\_

I have read the attached Conflicts of Interest Policy. In compliance with the policy, I state that I am currently involved with the following local organizations:

	<b>ORGANIZATION</b>	<b>CAPACITY</b> (Trustee, volunteer, counsel, etc.)
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____

My spouse is currently involved with the following local organizations.

1.	_____	_____
2.	_____	_____
3.	_____	_____

A foundation grant or loan would constitute a direct monetary benefit to me or an immediate family member if made to the following:

1.	_____	_____
2.	_____	_____
3.	_____	_____

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**BOARD ACTION ITEM**  
**January 20, 2018**

**Proposed Fund Allocations for CFMC Grant Programs - 2018**

**UNRESTRICTED FUNDS**

The beginning balance of the Unrestricted (which includes the General Endowment) and Field of Interest (FOI) funds available for grantmaking is: **\$2,404,032**.

- Available from FOI funds: \$1,839,751
- Available from Unrestricted funds (including \$337,507 from the General Endowment): \$564,281

After the following disbursements are allocated from the Unrestricted funds, **\$1,957,032** is available for Community Impact (CI) grantmaking.

**1. \$447,000:**

- \$100,000 for the Opportunity Fund -- the CFMC's grants program to support small grants (typically less than \$5,000) for organizational development, emerging ventures and urgent needs. Nonprofits can apply for an Opportunity grant any time during the year and funding decisions are made by the CFMC's President, generally within eight weeks.
- \$162,000 for the Next Steps for Small Nonprofits program.
- \$50,000 to the Neighborhood Grants Program – for small grants to grassroots, mostly voluntary associations of neighborhood residents coming together around community improvement efforts.
- \$50,000 for the CEO Discretionary Grants Program – for CFMC grants to support time-sensitive needs. Past grants include: Chinatown Storage Pilot Program (\$20,000), Southern Monterey County Foundation (\$5,000), Northern Monterey County Foundation (\$5,000), and other grants.
- \$50,000 to support Monterey Bay Economic Partnership's program expansion for affordable housing research and planning.
- \$15,500 for various grants (MC Gives! awards and match: \$14,500; Philanthropy Day awards: \$1,000).
- \$10,000 for the Distinguished Trustee Award – for designated grant to an organization to be chosen by the Community Foundation's 2017 Distinguished Trustee.
- \$9,500 for CFMC Employee Matching Gift program (\$500 allocated for each of 19 employees).



**BOARD ACTION ITEM: GRANTS AND PROGRAMS**  
**GRANTS OF \$50,000+**  
**January 22, 2018**

**Approve Donor Advised or Other Grants of \$50,000+**

1. Star Foundation of Monterey County Stewardship fund

Agency: S.T.A.R. Foundation

Amount: \$75,000

Purpose: reimbursement for recent grants and awards