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Building Coalitions for Implementing Strategic Plans: Lessons for Oakland

Anibal Hernandez Santana

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Acknowledgments

This issue brief arose from a request by Oakland - Sharing the Vision, Inc., a nonprofit organization incorporated in 1991 with the purpose of guiding a community-wide strategic planning process for the City of Oakland, California. The process has attracted in excess of 1,000 concerned citizens in their individual capacity or as representatives of various community and business organizations. The Strategic Plan is divided into five key areas of concern with a citizens task force assigned to each area. Each task force is charged with the task of developing a mission statement, goals and objectives, as well as a set of strategies to reach those goals and fulfill a vision for the year 2015. The Building Coalitions Task Force (BCTF) entrusted the University-Oakland Metropolitan Forum with the requirement to research and publish this position paper. Thus one of the initial objectives in the Plan is now complete.

We are grateful for the excellent opportunity to learn about a fascinating subject. Our thanks go to the Task Force Co-chairs, Jose Arredondo and Richard Cowan, who were so accommodating during the initial stages that defined the project, and to Felina Nwadike and other members of the O-SV staff for providing clerical and research support.

A Note on Methodology

The literature search was primarily conducted using the different databases available at the University of California at Berkeley. As part of an interdisciplinary course sponsored by the School of Library and Information Studies, the University provided access to the on-line database *Dialog*℠. Through this mainframe data system it was possible to search a multitude of academic and popular literature indexes, including national and local newspapers, and also a foundation directory and grants index. This is only one of many research tools used for this paper, but it is worthy of special mention because it required special access.

In the literature, definitions were not as rigorous as those outlined this paper. The best search results were obtained by looking for cities that formed coalitions or public-private partnerships to aid economic or community development, or even to develop a strategic plan.

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BUILDING COALITIONS: OVERVIEW

The purpose of this paper is to provide a comprehensive perspective on the art of "*coalition building*" by drawing lessons from similar efforts undertaken in Oakland and other parts of the country. The analysis is primarily a classification of the different kinds of partnerships or coalitions found across the United States and a discussion of the most commonly observed factors of success or failure. A strong historical perspective provides a better foundation on which to base generalizations or comparisons, and allows one to observe the long-term maturing process of organizations. After this type of analysis is well understood, community leaders still confront the more difficult task of adapting a set of general principles to particular circumstances within their organization, neighborhood, or city. The intent of the Building Coalitions Task Force (BCTF) in this position paper is to better prepare Oakland's leaders for such eventual decisions by explaining the basic *what's* and *how's* of coalition building; or more formally, to provide a systematic framework for thinking about coalitions. Such a framework will be useful in making decisions about: (1) the most appropriate role for a given coalition; (2) its organizational structure; and (3) the various techniques to develop, maintain, and if desired, terminate a coalition. The author reiterates, however, that because each agency and every coalition is different, readers must adapt, modify, or develop their own set of strategies for reaching their goals.

The generalizations to be presented were derived from four main sources: theoretical or practitioners' debate published on the subject; case studies, either from secondary or primary sources; personal interviews with executive directors or department heads leading collaborative efforts; and the collective comments from the general public recorded during ten months of task force and subcommittee meetings. The form of presentation is to summarize all conclusions in an effective format without describing in detail the history of each coalition.

Why Study Coalitions?

> *Today the responsibility for local economic planning lies with local jurisdictions and private organizations, because there is only a minimal federal commitment to ease the plight of communities suffering from the negative impacts of fundamental economic re-structuring (emphasis added).*
>
> —Weaver & Dennert (1987), *APA Journal*

The conditions mentioned above will remain with us in the foreseeable future, so communities must learn how to cope and take control of their destiny. In addressing this issue it was discovered that, although coalitions or public-private partnerships are not a new concept, only in the last few decades have they become an increasingly popular and widely accepted means of helping various organizations and/or communities offer comprehensive services in a more coordinated and cost-effective way. Governments, businesses, universities, and communities have come to see coalitions or public-private partnerships as a way to meet the challenges of the 1990s and beyond. Especially after Proposition 13, local jurisdictions have increasingly relied on public-private partnerships to improve the infrastructure of cities and counties.[1] Other nonprofit and civic agencies have come to realize that coalitions are in a unique position to bring together the views of different groups and, because they have access to all these groups, are also efficient channels for funnelling ideas to the decision makers. Even those who initially resisted these alliances have increasingly recognized the value of sharing ideas, problems, and solutions.

Scholars cited by Weaver and Dennert ([1987] e.g., Peters 1987; Breen 1987; Hernes and Selvik 1979) argue that public-private partnerships are a "form of *third-party government* based on the principle of *local neocorporatism*" (p.433). In their journal article, third party government was simply defined as the "transfer to the private sector of activities that were formerly associated with government" (p.435). Corporatism, Weaver and Dennert explain, historically meant the

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[1] At the national level one also finds coalitions like *Rebuild America*, a public-private partnership that brings together both sectors to "find solutions for America's infrastructure problems. "Members include the National League of Cities, the National Association of Home Builders, and the National Association of Counties, all in Washington, D.C., among 30 other public and private entities" (Licht 1990, 72).

recognition of big business or organized labor as legitimate actors at the national scale, and associating those groups with government officials in public policymaking. The New Deal partnerships of the Roosevelt era were based on government leadership. But nowadays, the demands of neocorporatism require the private sector to be the senior partner, and the institutions are usually formed at the state or local level.

Coalitions or partnerships can be formed from an infinite number of combinations between different organizations. Those formed as partnerships with public agencies, however, present additional challenges. It calls into question "conventional conceptions of government in the United States—especially ideas [about] government accountability and democratic representation" (p.435). Weaver and Dennert optimistically argue that with adequate *public involvement, participatory and self-management incentives*, and a devotion to the *elusive public interest*, "public-private institutions may provide a 'third way' into the 21st century for the United States" (*Ibid.*).

What is a Coalition?

The working definition of a coalition adopted by the Task Force uses the term in its broadest possible sense, as a <u>strategically planned, voluntary association of two or more organizations which share one or more common objectives</u>.[2] Coalitions are formed primarily in order to enhance the likelihood of achieving their shared objectives. This rationale is based on the supposition that coalitions can attain greater credibility and influence, as well as increased efficiencies through the pooling of various resources. (The emphasis of the paper will be on the second part of the definition, devoting a small section to strategic planning in Part III which

[2] There is no clear consensus on the definition of the term "coalition" in the literature. Originally the author attempted to draw a distinction between coalitions, alliances, collaborations, and partnerships, according to their level of formal structure. However, in order to avoid further confusion, the paper will use the term in its broadest sense and instead explain the "growth" of a coalition as a continuous progression to more formal and complex structures.

enumerates various characteristics of success). Coalition building is viewed by the many participants in the strategic planning process as "*an essential ingredient to citizen participation in Oakland's future.*" More importantly, the expectation is that coalitions will serve as "*new ways to forge consensus within the community*" and as "*vehicles that could reduce the size of government and place increasing power [in] the community*" (OS-V 1991, challenging session).

Under this working definition, public-private partnerships (PPPs) are considered as one form of coalition. PPPs are worthy of separate study because a complete analysis would have to include the recent literature about matching public policies with business strategies, the emerging new roles for government and corporations, and the interaction between the public, private, and nonprofit sectors. (Baumol; Clark; Drucker; Haar; Reich: 1984)[3] However, since the basic management and organizational development needs are largely the same, this manual may serve to answer many of their questions. The final recommendations will discuss specific arrangements as they relate to Oakland-Sharing the Vision and its proposed implementation strategies.

Why Build Coalitions?

Coalitions can and do offer many advantages which will be enumerated in more detail here. However, it is important to note that they may not always be the most effective way to deal with a given problem.

It is the belief of the BCTF (O-SV Jan 1992, intro) that the extended use of coalitions helps to accomplish the following:

- Reduces duplication and redundancy

[3] For a good, comprehensive treatment of the subject, see Brooks, Liebman, and Schelling, eds. *Public-Private Partnership: New Opportunities for Meeting Social Needs.* Cambridge: Ballinger, 1984. See also, National Office for Social Responsibility (NOSR) of Alexandria, VA, *Involving the Private Sector in Public Policy and Program Planning*, published in cooperation with the Dept. of Justice, (U.S. GPO: 1988).

- Encourages networking which provides:
  - — shared information — problem solving assistance
  - — shared resources — other support systems
- Promotes consensus building
- Reduces organizational conflict/competition
- Promotes cooperation
- Broadens vision
- Simplifies information dissemination
- Increases likelihood of success

Additional benefits discussed by Croan (1979) include:

- Potential for expanded scope and range of service delivery.
- Systematic avoidance of service duplication and gaps through coordinated efforts.
- Potential for simplified referral and intake procedures.
- Improved opportunity for experimental or pilot projects.
- Growth of political clout in advocacy and for increased funding [city programs].
- More community visibility for recruitment and increased funding [private contributions].
- Enhanced position advantage in the competition for funding, based on size and increased service-delivery capacity.
- Increased possibility for advancing both the state-of-the-art and the state-of-the-practice of coalitions [i.e., create new models].

One of the main incentives for public-private partnerships is that it can "address difficult and complex issues by drawing on the best expertise and skills of both sectors" ("In Pursuit of Public-Private Partnerships," Rose Licht, Association Management April 1990, 71).

Success or Failure?

Defining criteria for success is the most difficult question posed by the citizens of Oakland. As a practical matter, it is very hard to quantify relevant outcomes; more often than not social scientists lack the tools to measure qualitative data. Even when a quantitative technique is devised, two harder questions arise: how definitive can such conclusions be and what threshold level should we apply to rate given outcomes as a success. The best we can hope for at this juncture is to suggest relevant questions that begin to frame the most important *elements of judgement* needed to *subjectively* decide when success has been achieved. The practitioners and consultants of program evaluation have traditionally divided their field of work into two components, according to a distinction introduced by Michael Scriven: "*formative* and *summative evaluation*." (Weiss 1972; 1980) However, a casual inspection of evaluation reports reveal that as a general rule, very few consultants categorically declare their subject of study as a total failure or total success. Owing to the nature of such inconclusive evidence, the criteria suggested next assumes a very liberal definition of success. First, as long as either component is deemed an improvement over the *status quo ante*, then one should call it a success; second, even when negative or unforeseen consequences arise as the result of deliberate or unintended actions, those must be weighed against any other produced benefits (namely, conduct a cost/benefit analysis) before an integral policy is condemned. At the most basic level, the first recourse available for program evaluators is to evaluate success based on the goals that were formulated by the organization(s) under study. In essence then, the premises stated above raise the following questions:

Formative Evaluation — Were the members of the group able to organize themselves? Are meetings being conducted as scheduled and is attendance adequate for quorum? Did the organization get funded? Are the grants being renewed year after year? On a multi-year basis? Do members feel like something of importance is being accomplished? Does the planning document offers enough guidance for action?

Summative Evaluation — Are the stated goals or objectives being met? Are monitoring mechanisms in place and are adjustments being made as needed? Are decisions made in a timely manner as to affect internal operations or external actions? Is implementation moving forward? Is the agreed timeline relatively adhered to? Is the community better off now than before?

If unforeseen consequences are so negative that it counteracts most of the good outcomes brought about by the intervention, then it is safe to say that the effort was not successful—unless the same organization is able to correct the error and carry on its work (then the action would be called a single "mistake" but not a total failure). By contrast, if the organization is dissolved before its intended lifetime, or without achieving any significant objectives, then it was a failure.

In a sense, this relaxed definition is intuitively reasonable and entirely congruent with the rational planning model. Because no plan will ever be completely implemented as originally intended, monitoring and feedback mechanisms become extremely important. The role of any agent of change is to adjust its actions in reaction to the environment and to keep trying until results are achieved. If results are not met according to a prescribed schedule, that is to be expected. The important question here is whether the organization is flexible enough to deal with an organic state of affairs and dynamic social processes.

In her survey of neighborhood-based initiatives, Eisen (1992) explains the view that "just as support for neighborhood initiatives breaks with mainstream grantmaking tradition, evaluation of these initiatives must also break with tradition." Rejecting the scientific model with its "control" and "experimental" group, she mentions Van der Eyken, from the *Bernard van Leer Foundation*, who recommends

> the development of a new methodology based largely on qualitatively data, borrowing more from cultural anthropology than from experimental psychology. For example, to assess new self-management skills, community and family initiatives, and improved relationships, one must ask people how they feel and listen carefully to their answers. Van

der Eyken argues that unless an evaluation is useful to the project, it will not be useful to the funder. (p.10.)

Eisen notes two other references to qualitative evaluation,

> ...To distinguish rigidly between process and outcome when trying to understand empowerment, is to miss the generative quality of that process.
>
> Others point to the need for community members—those impacted by the project—to participate in designing and implementing evaluations. Such commitment requires a time-consuming, labor-intensive process. (*Ibid.*)

Eisen's first point is critically important, and it goes along with the suggestions made before. In sum, both process and outcomes are relevant factors for program evaluation; granted, outcomes should be given more weight, but without overshadowing their importance it is entirely proper to evaluate how well the development of an organization has advanced.

Under this approach, a benevolent (and some will say fairer) managerial style would call for granting the benefit of the doubt to a middle-level manager or executive director. For example, if at the end of the year an agency accomplishes meaningful results but the staff did not follow the methods agreed by the plan, the plan suddenly becomes secondary. (In the words of Dwight D. Eisenhower: "The Plan is Nothing, Planning is Everything!") On the other hand, if no tangible results were forthcoming but a lot of secondary benefits were achieved (e.g., progress in laying down institutional agreements or the community becoming better organized and united), then it would be an injustice to characterize the efforts as a failure. As long as there are no pernicious effects ("The operation was a success but the patient died!"), the efficiency of the process is a justifiable measure of success. Depending on how the situation develops, the Board of Directors (or its equivalent) should rate staff executives according to the criteria that is most advantageous to the manager that is being rated. That doesn't mean that the organization cannot be more demanding on itself as an agent of change, but the point is not to make individuals bear the brunt of the blame unnecessarily. If there are areas that need improvement, as there always will be, they can be dealt with effectively through one-to-one performance counseling or through group critique and feedback.

The goal is to be Effective, Efficient, and Competent, in that order. Another important consideration is that not every member must agree with all the points in the organizational agenda. "Agreeing to Disagree" is a critical element in the smooth operation of successful coalitions.

FORMATION OF COALITIONS [4]

Coalitions do not spring to life fully developed. The main point of this paper is that coalitions evolve slowly and that the degree of formality or structure will depend on the purpose and expected duration of a coalition, and the commitment of its members.

Compromise and trade-off is an integral part of the game when forming coalitions. "All members must accept the fact that the horizontal structure of coalitions and the cooperation so essential to making them work usually means loosing some autonomy or power as an individual agency. As the minutes from O-SV aptly describe, "*'learning to give up some turf' in exchange for a more powerful playing field is one of the possible outcomes of effective coalition building*" (emphasis added). This possibility may be one of the principal motivators for coming to the negotiating table in the first place.

Feasibility versus Desirability

Despite all its advantages, formal networks require a lot of effort to properly develop; hence, undertaking such a task can be time-consuming, expensive, and frustratingly slow (Croan 1979). Therefore, it behooves any organization that considers forming or joining a coalition to think about the following factors. The reasons for failure are closely related to coalitions which did not think through all the factors listed below. The author of this paper subdivided what one might call "obstacles" to coalition building in three areas: Philosophical, Administrative, and Fiscal. The ideas were ranked in order of importance by the author, others may disagree.

Philosophical or Empirical Support

(1) Evidence of a need for a collaborative or coordinated service or program activity.

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[4] This section draws heavily from the manual *Building Effective Coalitions: Some Planning Considerations*, by Gerald Croan. Prepared for the U.S. Department of Justice, Law Enforcement Assistance Administration, and Office of Juvenile Delinquency and Delinquency Prevention. U.S. Government Printing Office: 1979. A copy of this manual is available from the University-Oakland Metropolitan Forum.

(2) Community recognition of the need for a coalition.

(3) Compatibility of member groups with the philosophy and purpose of the coalition.

Administrative or Organizational

(1) Possibility of avoiding duplication of programs.

(2) Probability of providing for member groups increased membership or expanded services.

(3) Possibility of effecting change in existing agencies.

Fiscal or Financial

(1) Availability of resources such as organizational expertise, staff, and funds.

(2) Cost-effectiveness.

(3) Probability of providing for member groups additional funding.

(4) Necessity for avoiding depletion of resources for existing programs.

Some redundancy is efficient in reaching a wider audience or covering gaps in service delivery. So how can we tell when not to eliminate duplication? Very simply, when the cost of abating redundancy will exceed the possible benefits to be derived from increased coordination and consolidation.

Initial Process

Once the group is satisfied that the formation of a coalition is needed, the actual formulation process begins. The way in which a coalition is initiated will have definite implications on the structure and function of the group.

Main Actors. Croan (1979) divides the initiators of these efforts into three basic actors: (1) grass roots organizers, (2) outside stimulus, such as a funding source, and (3) official or governmental body. In our own city we can see real cases of each.

Grass Roots **-** The Loma Prieta earthquake of 1989 mobilized the West Oakland community to form The Citizens Emergency Relief Team (CERT) in order to react in unison to the problems created by the collapse of the Cypress Freeway. This community had long been "struggling for survival," as their brief historical document likes to point out, "when catastrophe arrived" (CERT). The earthquake—as it happens with many other natural disasters—"seemed to galvanize the community." CERT's formation is explained in the following passage:

> Beginning on the evening of the earthquake, West Oakland Community leaders began to form a broad coalition organization to address both the short and long term recovery for West Oakland. The Community seemed to sense that this tragedy represented an opportunity—perhaps the last opportunity—to begin the long hard, serious solutions to its decade-old problems.
>
> By early November 1989, hundreds of West Oaklanders and their neighbors were meeting weekly to orchestrate the community's recovery. By the time CERT filed its incorporation papers as a California 510(c)3, on December 8, 1989, over 300 persons were involved with CERT. (p.2)

This account is representative of many other grassroots mobilizations. As Croan explains,

> Usually an ad hoc or steering committee is formed to explore the possibilities of a formal linkage in which they and others to be recruited might participate. These "grass roots" groups tend to be enthusiastic and fairly cohesive, at least during their initial formation. (p.5)

Funding Source **-** East Bay Funders (EBF) is a partnership of local and national grantmaking institutions which share the belief that "comprehensive, neighborhood-based initiatives will empower economically disadvantaged communities to better meet the needs of their children, youth, and families." EBF emerged in 1988 as an alternative to the piecemeal funding cycles that support individual programs on a yearly basis, but do not seem to significantly improve the overall condition of low-income communities. Therefore, its funding criteria is limited to collaborative community efforts in delimited geographical areas. Their approach has been to circulate "requests for concept papers" and later "requests for proposals" to fund original efforts in the East Bay. So far, their funded projects include: The Castlemont Corridor

Substance Abuse Prevention Project (CCSAP), The Sobrante Park Consortium, and The Fruitvale Community Collaborative (Howell, 1992).

According to Croan (1979), and verified by the author's personal experience with the Fruitvale Collaborative and EBF, coalitions brought together in this manner "form more quickly in a more deliberate manner." In addition, "the agency initiating the collaborative effort usually becomes the lead agency and assumes major responsibility for organization, administration, and funding distribution" (p.5).

Official Body - The Emergency Services Network of Alameda County (ESN) was formed initially as part of a governmental initiative designed to bring together all service providers that work to eliminate homelessness and hunger. However, when a public agency takes the first step, the trend has been that the group chooses its own leadership rather quickly, in keeping with the principle of letting the private sector be the senior partner. Public-private partnerships are more sensitive to the need for a "coordinated decision-making mechanism" and require a "central administrative home" (Lurcott and Downing 1987). ESN recruited a staff of four full-time personnel and a number of standing committees were formed to carry out the work of the coalition.

Defining a Purpose. "No coalition can be effective unless the purpose is clearly defined and well understood by all participants from the outset" (p.6). The phrase *from the outset*, however, may be too strong depending on how one defines it. Certainly many preliminary discussions are needed before a sufficiently clear understanding is reached; even after initial agreements, the purpose of the organization may have to be reevaluated further along in the process. Still, there is no doubt that the primary responsibility of the initial meetings is to define the coalition's purpose. s will be demonstrated in the next section, "the purpose of the coalition will dictate the structure and function of the coalition."

Croan says that few coalitions can manage effectively many purposes at the same time. Although this is generally a true statement, differing functions often overlap; in order to engage in planning and coordinate services, for example, a dose of advocacy may be necessary. The most clear example is that of technical assistance, which can be a component of any other form of coalition. In other words, the functions to be described next are not mutually exclusive. They do indicate, however, the main priority of the organization. Croan allows that

> if the implications of each purpose are fully explored and the problems of each anticipated, it is possible to do multiple things; however, the division of labor must be clear and the tasks differentiated. If a new purpose just "slips in," the chances for success diminish greatly. (p.6.)

So far, the discussion seems to equate purpose with function. This is satisfactory in describing the work plan for coalitions, but at a more abstract level the purpose of urban coalitions may follow three social agendas: <u>Political</u> (electoral or public policy), <u>Quality of Life concerns</u> (environmental, physical, or social), and <u>Economic Empowerment</u> (more control or more opportunity).

TYPOLOGY OF COALITIONS

There are three general ways of classifying coalitions: by function, by governance structure, and by the composition of its members. For example, in a previous Forum document, Rafael Fischler (1990a) found it convenient to categorize school-community coalitions using a single criterion: "the partner with whom the school or school-system collaborat[es]" (p.1). However, since OS-V is more interested in the "method" of forming coalitions, and any evolving theory should apply to the thousand different agencies based in Oakland, the function and structure of coalitions will shed more light on a systematic way of thinking about coalitions.

Functions of a Coalition

A federal manual published by the Department of Justice (Croan, 1979) identifies five different models of coalitions:

Information and Resource Sharing — Primarily serves as a clearinghouse and gathers and disseminates information relating to issues of particular interest to its members; may also serve as the resource center in which members may sponsor group discussions, conferences or seminars, to deal with common problems or coordinate the sharing of facilities.

Technical Assistance — "Emphasizes the delivery of technical service, on a resource-sharing or fee-for-service basis to its members, to help them improve their services or operating capacities; may also directly or indirectly assist in the technical training of the members, as well as in the development and distribution of resources, skill, and expertise available within the coalition.

Self-Regulating — May have functions similar to those of regulatory agencies; that is, this type of coalition may design minimum standards by which all members agree to abide; the group may be charged with the creation of standards and an overall evaluation system to assist its members in functioning effectively.

Planning and Coordination of Services — Serves as a coalition which communicates a possible changed vision of what the future might be; may also concentrate on the planning and coordination of activities of the group members or act as liaison between the coalition and other agencies.

Advocacy — May work towards enhancing its power and resources or act as the lobbyist of its members; may act to increase public attention to specific issues of interest to the group and may do so via mass media.

Croan makes a useful distinction between internal and external functions. He characterized the first three types of coalitions as those which in general "work internally to improve the capacity of their member agencies" (e.g. Emergency Services Network). The latter two, by contrast, "do the majority of their work externally" (p.7), that is, they deal more directly with clients or neighborhood residents rather than just their own members.

Structure of Coalitions

"The expected life span of the coalition should be kept in mind in determining its structure. Some coalitions—usually advocacy groups—intend to put themselves out of business as soon as possible. Others, such as information and resource sharing, expect to continue indefinitely. Even a short-term, single-task coalition must have a defined structure, but this need not be so elaborate nor so formalized as that of a long-term, direct services delivery group."

The structure of governance has been suggested as the difference between being community-governed, self-governed, or foundation-governed (Eisen 1992). Croan, on the other hand, did not present a formal classification but rather talked about implications for the key issues mentioned above. The most explanatory classification is one based on the complexity of the structure of governance. Such a classification will allow coalitions to identify where the pressure points exist along the organizational development ladder. Ideally, this will help potential and existing members to make decisions fully aware of its implications (e.g., whether to form part of a coalition, limit involvement to the sharing of information, or create a full staff to take over coordination), perhaps within a shorter time.

There are two other elements that affect the governance of a coalition: the decision-making style, the relative autonomy (of the Board or the core staff) and the leading agency. The BCTF has expressed a normative preference for *democratically led coalitions* and *consensus-driven models* (O-SV, c1992, intro). These two value-laden terms also carry the connotation of being ethnically and culturally diverse in composition, and accountable to the larger group. Such characteristics have certainly proven to work adequately among the many community organizations in Oakland and many other parts of the country. There are some who argue, however, that even if decision by consensus is the preferred method, some stipulations must be spelled out in advance in case a formal vote is inevitable because of impasse or deadlock (Croan 1979). This is a prudent step which should not cause any problems as long as the rules were agreed upon by everyone.

In this regard a word of caution is necessary: depending on the function of the coalition it may be desirable to proceed with caution when adding members. If new groups are brought in just to satisfy some notion of "cultural diversity" or "political correctness," the invited group may soon feel as the "token" agency of the group and resentment will build quickly (FCC, 1991). There must be some rational basis for membership in the group. This is less problematic with advocacy groups since getting as many members as possible, as soon as possible, is their *sine qua non*.

Accountability is the other side of the relative autonomy issue. This is a big concern for large coalitions with a full professional staff conducting the day-to-day operations of the organization. One of the main points stressed by different coalition leaders (e.g., Zenobia, 1991) is that coalition staffers need to be trained to recognize the scope of their authority. In other words, what type of decisions are routine, and when must facts be brought to the attention of the

Board or the full membership? The research did not uncover any specific guidance for determining how autonomous the Board or the staff should become, but as a general rule "external" coalitions (i.e., advocacy, or planning and coordinating) should enjoy relatively less autonomy. The reasoning being that once an action affects the public directly it becomes more difficult to reverse a wrongful decision, whereas internal-function coalitions can better assess and correct the situation among themselves with less public scrutiny.

Friedman (1973) identified four different "styles of allocative planning behavior: command, policies, corporate, and participant" (pp.49-84). More recently, Ahlbrandt and Weaver (1987) identified a fifth "corporate/transactive style of planning behavior" (p.451) in their case study of advanced technology in Southwestern Pennsylvania. Their opinion is that this type of planning and decision style is probably typical of local level partnerships and they define it as

> decision-making under conditions of power that is decentralized among a relatively small number of corporate actors and whose predominant method of acting is by way of normative compliance with evolving agreements reached through mutual learning, bargaining, and negotiation. (p.457.)

In this definition, the first half of the concept—the corporate aspect—is overemphasized, which applies more to foundations or associations like East Bay Funders (a partnership of local and national grantmaking institutions). In contrast, an alternate definition explains that *transactive* "connotes a style in which processes of mutual learning are closely integrated with an <u>organized capacity and willingness to act</u>" (p.451). The last phrase bears a striking resemblance to the vision statement of the BCTF (O-SV, 1991). Indeed this style accurately describes much of the internal organization of coalitions in Oakland.

The above description is also akin to the concept of "negotiated partnerships" advanced by Weiss and Merger (1987) in their report about the Oakland neighborhood of Pittsburgh. In that case, an existing community organization was adept at gaining visibility as a "force to be reckoned with" through the hiring of a consultant to conduct a "technological impact analysis," thereby earning a seat on the discussion table to decide the city's future economic strategy and define a role for its own constituents. However, this particular concept does not explain what is going on in Oakland.

Relative autonomy also is treated within the context of public-private partnerships. In this context, autonomy is even a more relevant issue because it is directly related with how far the partnership can carry out its recommendations if it depends on city agencies to take some unilateral action in order to make it happen, or if the partnership is only an "advisory" body or otherwise is not given sufficient authority to carry out its own implementation steps.

O-SV's concept intrinsically tries to overcome that by having the City Council officially adopt the Plan. The challenge then becomes to build broad-based support for the Plan, and to protect the strategies agreed upon by the partnership members from being sabotaged by overzealous bureaucratic units or other powerful players.

Key issues to consider during this stage area:

Coalition membership

Board composition

Board's role and responsibilities

Interagency agreements

Staffing of coalition

Funding of coordination

MODELS OF LEADERSHIP

Three basic models have been observed in the Bay Area that reflect the governance structure and the interaction between decision-making style, principal members, and relative autonomy. They are: Top-down model, Bottom-up model, and Geographically or Neighborhood-based model. The third one is a hybrid or can take any of the first two forms. It is mentioned separately because its innovative concept is being promoted by various foundations (e.g., Ford, Piton, NY Community Trust, Riley; Eisen 1992).

Despite widespread antipathy towards top-down models, this type of leadership approach has its place among the most indigent or helpless sectors of society, for example, mental health services, children's advocacy, and homeless, prostitutes, or drug addicts. Assisting these latter groups may call for unconventional approaches like the neighborhood-based initiative [hereafter called NBI].

In empirical terms, the experience in Oakland correlates these three models with Croan's categories of initiators of coalitions (see page 12). That is, the top-down approach is initiated by official or governmental bodies; the bottom-up model is initiated by grass roots organizers; and the NBI model as defined by East Bay Funders has been tried only recently, instigated by their funding proposal. In defining the categories, it is assumed that churches and nonprofit human service organizations are part of the grass roots.

Many times the goal is to make the group a community-led coalition, but the residents lack the ability, will, or resources to take control of the process. Because of these real constraints, many coalitions devote an entire component of their actions to leadership development training and technical assistance with the intent of turning over the coalition or at least sharing the governance of such at the earliest opportunity. Expectedly, this is a controversial approach even if no major difficulties are experienced along the way. However, it is the only alternative available at this point that attempts to develop community empowerment from the ground up. One way to assuage the potential for agency or bureaucratic control is to form effective mechanisms of citizen participation during the formulation process, and through the use of informant interviews and community organizing techniques, identify the natural leaders in the community who would be willing to become part of a governing board or executive committee, or in the less formal coalitions, part of a discussion group. This alternative has the advantage of being less intimidating, ergo, more prone to elicit full participation from community leaders.

Note: The Coalition Training Institute proposed by BCTF would alleviate some of these agencies from the burden of raising the level of competence of its grass roots members, while warding off potential accusations of too much control by the agency.

Growth Stages of a Coalition

Phase I. ***Networking*** is the initial step in coalition building and it rises from the recognition that some benefits can be accrued from sharing information and, perhaps, reducing duplication of efforts. The main purpose is information sharing; coordination activities are not too demanding.

Phase II. ***Collaboration*** increases the need for coordination because the activities now are greater in scope and usually more deliberate. Substantial task division begins to take shape. There is no lead agency or executive board making decisions but the full membership meets periodically to discuss matters and devise policy and coordinate future actions. Some kind of memorandum of understanding is usually needed.

Phase III. ***Shared governance*** is a formal structure with a clear-cut division of tasks. If the coalition size is large enough, a staff is usually hired to take care of the routine activities of the coalition. This structure may or may not be incorporated as a nonprofit. The central administrative home may be housed in a separate facility or it may share the facilities of the lead agency.

Phase IV. ***Merger or Consolidation*** is the last step in the process and it is usually not reached unless the danger of losing funding—perhaps to competitors—is too great. It is always incorporated since the purpose is precisely to merge legally into another organization that has more prestige, resources, or a more ambitious agenda. This structure is actually simpler than the previous one because institutional intermediaries are eliminated. Expect an initial period warming-up during which the management styles and bureaucratic procedures of each organization are fully integrated.

COMPOSITION OF MEMBERS

This dimension of variables is not emphasized in this paper. Suffice it to say that the composition of the members will have a bearing on their actions and the strategies to be delivered by the coalition. Historically, coalitions and alliances have been formed by a plethora of social actors and agendas:

Nonprofit Organizations (NPOs)

Nongovernmental Organizations (NGOs)

Grantmaking Organizations (GMOs)

Community or School Based Organizations (CBOs or SBOs)

Citizens/Residents/Immigrants

a) Property owners b) Nonproperty owners

Public-private partnerships (PPPs)

Private/Civic Organizations (PCOs)

Higher Education Institutions

Professional Volunteer Associations (PVAs)

Religious Organizations (ROs)

Youth Services Organizations (YSOs)

"Nonprofit organization is an incorporated entity that is not required to pay federal income taxes and, in most places, is exempt from state and local taxation as well." In practice, it is quite a broad category. "For example, it includes local bar associations and chamber of commerce, as well as credit unions, labor unions, and political parties. It includes important community institutions such as hospitals and universities as well as small community groups that run entirely on volunteer labor."[5]

"It is useful to divide the entire nonprofit sector into four parts: (1) organizations that especially function to help their own members, such as professional associations and social clubs; (2) churches, synagogues, mosques, and other sacramental religious organizations; (3) funding organizations, including foundations, United Way, and religious federations such as Catholic Charities and the Jewish Federation; and (4) organizations that provide charitable or educational services designed primarily to help others, not simply the members of the organization." Truly charitable or philanthropic and educational portions of the nonprofit sector actually provide services.

"This [fourth group] corresponds closely with the organizations classified under Section 501(c)3 of the Internal Revenue Code, exclusive of funding organizations and religious congregations. Included here are child care centers, senior citizen centers, nutrition programs, mental health clinics, nonprofit hospitals, job counseling and training programs, private schools, research institutions, private colleges and universities, nursing homes, shelters for the homeless, drug abuse programs, neighborhood revitalization groups, legal aid services, advocacy groups, symphonies and orchestras, dance companies, museums, YMCAs, and many more." (Gutowski et al., 1984, 3-4.) <u>Nonprofit human service organizations</u> exclude hospitals and higher education institutions.

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[5] <u>The Pittsburgh Nonprofit Sector in a Time of Government Retrenchment</u>, Gutowski et al., The Urban Institute Press; 1984, 3.

CITIZEN PARTICIPATION TECHNIQUES

Citizen participation has become a commonplace, "politically correct" buzzword used by neighborhood groups and community-based organizations, especially in America's urban context. It is fair to say that the vast majority of concerned citizens and advocates for involvement in local government decision-making see citizen participation as an end in itself. In the words of James J. Glass (1979, APA), citizen participation is often seen as something that "need[s] no other justification than its congruence with the principles of democracy" (p.180). While this approach is enough for citizens to demand to be heard, it has not helped at all in defining the form or shape that the participation should take nor the desired outcome that should result from the process. No other proof for this statement is needed than to hear the dissatisfaction that both government planners and citizens alike feel toward the participatory process. The main reason for the failure of citizen participation as we know it is that up until know the coordinators of town hall meetings, public hearings, and other participatory forums have not tried to design the process around the objective that they are trying to achieve.

In his article Glass identified five objectives: information exchange, education, support building, supplemental decision making, and representational input. Depending on the specific objective, several different techniques may be applied to facilitate the process.

Part of the academic debate over the last 40 years has revolved around understanding distinctions between citizen participation construed as merely the fulfillment of some bureaucratic requirement, participation vulnerable to skillful manipulation and used to promote the goals of local government, or alternatively, citizen participation that is really open and stakes a difference in policy decisions. Warren (1977) calls the first two *citizen involvement,* in contrast to the latter, *citizen action.*

"The labels differ, but the characteristics of the two purposes of citizen participation remain similar to those identified by Selznick. One purpose (the administrative perspective, citizen involvement, and the democratic model) is to involve citizens in planning and other governmental processes and, as a result, increase their trust and confidence in government, making it more likely that they will accept decisions and plans and will work within the system when seeking solutions to problems (Crenson 1974, pp.357-358). The other purpose (the citizen perspective, citizen action, and the race conflict model) is to provide citizens with a voice in planning and decision making in order to improve plans, decisions, and service delivery (Benz 1975, Rossi 1969)." (p.181.)

This begs the question: "Is the purpose of citizen participation then, to serve the interests of government by producing well-behaved and trusting citizens who, realizing the limitations and resources and the competition among interests, will continue to work within prescribed channels even when their demands are not met? Or, is the purpose to serve citizens in their demands for plans that incorporate their needs and result in new or improved services, regardless of whether they have trust and confidence in their govt?" (p.182.) Actually neither. The consensus of participants in the *Building Coalitions Task Force*, and most community-based organizations in Oakland, agree with the suggestions made by Cole and Hallman (1972, 1975) that both purposes are not mutually exclusive. As summarized by Glass, "A participatory program is more likely to be judged as successful by both planners and citizens when a balance between the two purposes is achieved." (p.182.)

Owing to the limitation of space, only a summary of James Glass exposition will be presented here. The typology advanced by Glass is based upon the degree of structure actualized across four categories: unstructured, structured, active process, and passive process techniques. The term unstructured refers to "the lack of structure surrounding the act of participation" itself, without implying lack of preparation. Even so, his choice of labels may be subject to criticism because the terms "active" and "passive" are somewhat misleading. Under Glass' definition, passive techniques are the most structured of all because it relies on scientifically-based methodologies such as representative surveys.

The author decided to ignore Glass' distinction between the administrative perspective and citizen perspective across the four categories (the first two being "administrative" and the last two "citizen" perspectives), mainly because any claims on an honest perspective is such a subjective matter and entirely dependent on the intent and trustworthiness of public officials or the controllers of the participatory process. In other words, a complaint among the more sophisticated community groups is that surveys many times *do not accurately represent the community's view*. Even assuming a truly representative sample, social scientists will admit that interpretation of findings is always vulnerable to influence by the researcher's personal values or various institutional interests, or in the worst case, to outright manipulation. Similarly, the design of survey questions may predetermine the type of forthcoming answers from respondents; extreme care should be exercised to protect the validity and impartiality of the survey instrument.

Leadership Qualities

One of the most common causes of failure among voluntary activities and collaborative efforts is the lack of effective leadership. Leadership is an intangible attribute that is vastly misunderstood but seriously needed. Unfortunately, our society shows signs of a widespread crisis in leadership. In a self-evolving initiative such as coalition-building efforts, the function of leadership is absolutely crucial. Leaders are the glue that keep coalitions together. In order to maintain interest and guide the participants through the process, the leader must be able to visualize the final outcome, constantly making sure that the proper perspective does not get lost in the multitude of prerequisite details necessary to reach the final goal. Evidently, the selection of a chair, executive director, or community leader will have a great impact on the chances of success of the coalition.

The perennial debate between 'expertise' and 'leadership' is one that deserves some consideration. Information and expertise are always in demand, and when available, may make a great difference in bargaining power or in the final outcome of any crisis or community action. However, as the example of the Oakland neighborhood of Pittsburgh shows, expertise can be purchased if the information gap cannot be filled from in-house resources. Leadership, on the other hand, is much more difficult to ascertain. Albeit the need for substantive knowledge in any endeavor pursued by the coalition, the analytical thinker will admit that leadership is the more important of the two, for the simple reason that the first purpose of a coalition is to bring people and organizations together (presumably because the pooling of resources will then allow them to do a better job at whatever they do). Expertise is always helpful, and may serve to better shape final outcomes, but when forming coalitions the principal focus must be placed on the process itself, instead of worrying too soon about outcomes. If the members are not successful at forming the coalition, nothing else will be accomplished—at least not by explicit design.

From this line of argument, it follows then that expertise is more important for each organization in its individual capacity and that the importance of leadership is compounded by the formation of coalitions. Since collaborations are so delicate structures, leadership continues to be an ongoing concern during maintenance of the coalition and throughout its useful life. In the usual private or nonprofit world, an already established institution may survive the tenure of a particularly bad manager; unluckily, a coalition would most likely not survive the same threat. "For example, in the San Juan dispute, the Vallecito group almost fell apart the first day; they had assumed that they all shared the same interests. When they discovered rifts within the coalition, they had to call an emergency meeting to uncover and clarify their mutual interest, and then develop an acceptable joint strategy." (EDS, 170)

LEGITIMATE AUTHORITY versus CHARISMATIC LEADERSHIP

Keep in mind that leadership need not be exercised solely by one leader. It is advisable to rotate leadership positions for the following reasons:

1) precludes burn-out or plain boredom

2) avoids resentment between leaders with opposing views

PEOPLE WANT ANSWERS, NOT DEBATE — make it clear from the start that the process requires time, effort, and commitment. If the reader will pardon a gross generalization, Americans are by nature impatient. So in a sense, coalition-building goes against the grain of the American psyche.

Leadership is a skill that is acquired and developed over time.

ROLE OF PUBLIC AGENCIES AND COMMUNITY-BASED ORGANIZATIONS

Perhaps nothing awakens a citizen more to the regulatory powers of a city than attempting to construct a new addition to a detached single-family dwelling or requesting a variance to the Zoning Board of Adjustments.

One of the areas where the city could forge a role for itself as a coalition partner and gain the trust of more citizens is in the creation of "community planner" positions to help citizens become involved with development decisions that affect them. The city of Pittsburgh embarked on such an effort in 1970. The community planning division assigned seven community planners to specific districts. As described by Weiss and Merger (1987) "those early planners worked with community-based organizations on a variety of tasks. They had to be versatile enough to juggle many roles—technician, liaison, advocate, and coordinator." (p.461.)

The FCC came up with a similar concept in its recently approved three-year work plan. Dividing their field of community concerns into four areas, one of which is physical development, the Collaborative designed a staff position that devotes time to community organizing while possessing the technical ability and knowledge to guide other people through the development process and take their case to the Planning Commission or the City Council as necessary.

There is, however, a danger with this approach that has hitherto not been mentioned. That is, the acquisition of knowledge and skills by the neighborhood residents may have the unintended effect of consolidating their opposition to locally-unwanted land uses (LULUs), an opposition that could prove <u>too</u> effective. What is wrong with that, the reader may ask? Simply put, that even though the affected group's indignation may be understandable at a personal level, the predominance of this type of reaction among the majority of neighborhoods may then leave a *bona fide* social function (e.g., shelter for unwed teen mothers, etc.) with no alternative but to relocate outside of town. That is not what the city's Strategic Plan is about—the plan for

Oakland is about being inclusive, and embraces the moral obligation to assume a fair share of social or environmental burdens. In the view of BCTF this would be the degeneration and corruption of a well-intended principle. That is why a Human Relations Organization is so important as a joint strategy to counteract such a pernicious side-effect. At the time of printing of this document, O-SV and the BCTF are finalizing the details to present a recommendation to city council to charter a human relations commission, and subsequently form a human relations organization. In addition, these organizational structures, as currently proposed, would temporarily remove such controversies from the political arena and put it first where it belongs: the domain of interpersonal relations and human nature.

Another idea that has been tried in many cities is the creation of a community technical assistance center. In the case of Pittsburgh, the city funded the major part of the costs out of CDBG grants, during the first two years (1980-82), stemming from resident demands for a specific kind of assistance. The purpose of the TAC was to assist groups with organizational development issues, including management, goal setting, legal procedures, and accounting. In the Bay Area there are several organizations that work toward similar goals. Particularly in Oakland, OCCUR, the Conciliation Forum, and the newly formed Nonprofit Center serve the same purpose. The BCTF has proposed to enlarge the role of these groups by teaching the art of coalition-building through the operation of the nonprofit management center and a Coalition Training Institute that will incorporate the talent from all those organizations in a comprehensive curriculum. This would be one of the functions of the Human Relations Organization, to be incorporated as a nonprofit to carry out that task.

A cautionary note: The potential competence of the disenfranchised and powerless sectors of the city will inevitably pit—if not now, later—poor sectors of Oakland against more wealthy neighborhoods, or possibly against one another, in debates about the siting of infrastructure facilities, hazardous waste dumps, or public investments that may benefit the local neighborhood.

The intent behind this warning is not to shy away from "opening a can of worms," but to point out the reality that any measure of social progress brings about a certain degree of initial instability, which demands that a conflict management mechanism be in place and functioning properly.

Successful neighborhood-based coalitions run the additional risk of becoming too powerful and eventually loosing touch with the grassroots that compelled them to action. It is conceivable that if a coalition becomes really effective at getting things done at city hall, the neighbors may soon feel that nothing gets accomplished unless they go through the CBO first. This is not a problem necessarily, but some neighbors may perceive that another layer of bureaucracy has been added without their consent, especially when individual residents hold different values than the ones espoused by the coalition or are in complete disagreement with a particular action taking place in the neighborhood. Given the high value that our society attaches to individual freedom and prerogative, imposing the neighborhood's majority vision of "community-life" could make a lot of people uneasy.

The preceding warnings notwithstanding, <u>the Need in Oakland today</u>, as we confront the urban crisis and the deterioration of America's social fabric, <u>is to go in the direction of community-based action</u>. This is confirmed by multitude of interviews and comments at public forums, by the testimonial experience of community organizers and alienated citizens, and through the long list of accomplishments by community agencies.

From a politico-sociological standpoint, even the popular culture agrees with the perception that Americans are more individualistic now than our grandparents, and that perhaps the pendulum has swung too far to that extreme.[6] This is a difficult question because it presents a paradox or dialectic relationship between two concepts: tradition and modernization. The individual and entrepreneurial spirit has been accredited as the dynamo behind innovation,

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[6] For a very recent exposition of this view and a more academic assessment of modern America, see Robert Bellah's *The Good Society*.

technology, and modernization as we know it today, however, that same individualism has proven inept at dealing with the social ills that are at least influenced, if not caused by, the increasing complexity and size of that same modern society. One thing is certain, concerned citizens have tried for too long to cure urban problems without a comprehensive community strategy and great results have not been forthcoming.

POLITICS: PROTEST IS NOT ENOUGH

"The basic resources relevant to incorporation are size of minority population (the number and percent black and Hispanic), supportive white population, and minority demand-protest and electoral mobilization. These resources facilitate the formation and success of multiethnic liberal challenging coalitions. What are the trends in our cities on each of these dimensions?" (p.256.)

MOBILIZATION

"The decline of the national civil rights movement discussed earlier obviously makes local minority mobilization more difficult. The growth of a black and Hispanic middle class may also increase the likelihood of splits within the groups and hinder mobilization."[7] (Joint Center, 1980, pp.240-41.)

Organizational resources and leadership developed during the past twenty years are continuing to be used to organize minority political effort in the eighties. Even in the face of declining federal funds, community-based organizations continue to adopt a wide range of tactics and supply a cadre of leaders linked by informal networks. Electoral leadership, often connected with CBOs, continues to organize candidacies and campaigns." (p.257.)

INCORPORATION

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[7] Despite some scant evidence to the contrary (Hamilton 1980, 1982), namely, that middle-class blacks continue to identify with black concerns and are sometimes more liberal than lower-class black voters, the author is inclined to believe that the potential for rifts across economic classes is greater than along racial lines (for the interested reader I will simply point to the existence of a vast literature on the cultural attributes of class). For one, the studies by Hamilton were conducted (i.e., not published) before the conservative renaissance of the 1980s was in full swing. Certainly, even if liberal attitudes on national policy were to be similar among African Americans of disparate incomes in Oakland, there is something almost mystical, for lack of a better word, about becoming a homeowner that tends to develop in people a more territorial and overprotective attitude about property values and neighborhood issues. Obviously, this range of concerns has more relevance within a local urban context than any remote abstractions about social equality and federal policy on the problem of poverty.

Oakland is a city with a sizeable African American population that has achieved "strong incorporation and policy responsiveness." Nevertheless, "minority groups ... need to develop unified efforts to maintain and even strengthen that incorporation to meet present threats, but splits among minority leaders after electoral success at times make that difficult." (p.259.)

CO-OPTATION

"Differences in political ideology that were de-emphasized during the electoral challenges become more visible after victory. Black elected officials in Oakland disagree over the best means for promoting black interests, particularly over the priority that should be given for economic development as opposed to traditional social service and neighborhood development programs. ... A united effort would appear also to be needed and feasible in Oakland. The explicit inclusion of Hispanics [which just occurred with the election of councilmember *Ignacio de la Fuente*] might increase the size of the supportive majority in Oakland." (p.259.) The same could be said about the Asian ethnic groups. The School Board shows the greater advancement in this regard with the election/representation of two Asian American women and a Latino to the Board.

COALITION

"The key vehicle of incorporation has been the formation of multiethnic coalitions." In Sacramento and S.F., white liberal challenging coalitions including both blacks and Hispanics demonstrate that black and Hispanic coalitions are possible, if fragile. "Blacks and Hispanics were important components of the successful electoral coalitions of mayors in both cities. In spite of the intense antagonisms between the two minority groups as they compete for the same limited benefits, coalitions are possible and desirable (Garcia and de la Garza, p. 125).[8]

Environmental Dispute Settlement

The Malden, Mass, negotiated investment strategy (NIS) "was a proactive policy-making process." Much like O-SV, it was "an attempt to bring together diverse groups within a community to discuss issues of mutual concern in order to jointly chart a course for the city's future." "These groups had seldom collaborated in the past. In situations such as this one, keeping the process together is even more difficult because there is no common issue, crisis, or dispute to pull people together." O-SV faces the same challenge.

MAINTAINING OPTIONS

"It appears that citizen groups that abandoned their adversarial strategies—lawsuits, petitions, demonstrations—when they began negotiating through the EDS process were less effective than groups that did not. Maintaining several strategic options help[ed] give citizens flexibility and power during the EDS process." However, a caution from citizen representatives is warranted, other parties may walk out if they feel that the citizen group is not negotiating in

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[8] [For discussions of the antagonism between older and new immigrants like the Irish and Italians, see Wilson (1960, p.24); Wolfinger (1974). Interviews in our cities revealed a great deal of mistrust between blacks and Hispanics. Blacks said: "Hispanics want us blacks to do it for them." "The Chicano style is 'me too,' to watch blacks do it, but hold back until the blacks had won something, and then come in and demand a part of the winnings." Hispanics felt that blacks talked as if they favored cooperation but actually were preventing Hispanics from getting what they deserved.]

There is also antagonism between older and new immigrants of the same ethnic group. From anecdotal experience, the author heard a U.S. soldier of Mexican descent say, "Keep those Mexicans in Méjico; the lesser number of 'them' crossing the border, the better economic opportunities for me." (Similar comments were heard from a Filipino woman in Oakland, with the added element of disdain for those who do not master the English language). The majority population may not be sensitive to this issue, but the truth is that some minority citizens see new immigrants as less deserving, and even resent lawful permanent residents for obtaining a few government benefits that they feel should only be entitled to U.S.-born nationals. There is also a tendency, among both legal and illegal aliens, to "compare lots" despite strong family ties, and a subtle preference to see immigrant newcomers "struggle" just as they did when they first arrived in this country.

good faith but "merely participating to buy time or establish an opening to establish a different strategy." (p.156.)

POWER AND RESOURCES

"Citizen power can take many forms. In traditional decision-making forums, citizen power is often reactive—the ability to delay or prevent projects or legislation through appeals, litigation, and lobbying. In an EDS process, citizens need to be able to garner economic power, political legitimacy, mobilized constituents, and information and expertise to use proactively to protect their interests." (p.162.)

Power dynamics can also come into play within the coalition of citizen groups. Wisconsin groundwater citizen participants noted that there were complicated power dynamics within the environmental community. The smaller groups felt overshadowed by the largest environmental organizations. There was a fragmentation within the environmental community; consequently, they were not as effective in presenting strong, unified front during negotiations.

Suuskind and Cruikshank have found in their experience mediating and researching different types of conflict management processes that power can be quite 'fluid':

> You may well sit down at the table with a relatively small and seemingly inadequate measure of power. But that allocation is not fixed. The fact is that there are a number of things you can do to enhance your bargaining power. (1987, p.211.)

They suggest that groups can bolster their influence in negotiation-based process "by developing a stronger and more convincing claim that you can do pretty well away from the table." They have also observed a group's power strengthened when that group came up with an "ingenious way of meeting the concerns of the other parties" while still achieving their own concerns (1987, 211).

Similarly, Carpenter and Kennedy have found from their intervention experience that:

> the familiar theoretical argument that a 'balance of power' must be achieved before meaningful negotiations can begin seems irrelevant. The issue is not one of 'balance' but whether or not one party can influence the behavior of another. (1988, p.218.)

Illustrating that parties often "underestimate their own resources for influencing decisions, " Carpenter and Kennedy tell us that:

> ...Attention solely to size of financial resources or legal staffs gives insufficient weight to such intangibles as ingenuity, obstinacy, moral indignation, and standing in court. Seemingly weak parties can achieve instant attention by suing. Anyone can sue. (1988, pp.216-217.)

A WORD OF CAUTION: THREATENING TO SUE IS NEVER THE SAME AS SUING. AN AGGRESSIVE OR SHREWD NEGOTIATOR MAY CATCH YOUR BLUFF IF YOU ARE NOT TOTALLY SERIOUS.

In some instances, there are other groups with which the organization would have to be in coalition for the negotiation to occur. Sometimes, this coalition-building is workable and can save the organization's resources, while other times it is not possible without sacrificing core objectives. (p.5.)

THE DECISION TO EMBARK ON EDS IS MUCH LIKE DECIDING TO JOIN A COALITION. As Gerald Corwick has observed:

> This is a hard, tough process, full of pitfalls and dangers. It takes work, organizations, clear thinking and stamina. Groups that don't have a clear idea of the process, of what they want and how much they can actually get, are in for a disappointment. Those that are together and know how to stay that way may have the best chance to succeed. (1977, p.10.)

To become involved and to be effective in environmental negotiation and mediation require that an organization's leadership and membership understand these processes, support their use, and are skilled or willing to become skilled in using these tools. Members' time and energy and organizational communication processes must be such that they can regularly receive information on the negotiations from their representatives and provide them with reactions and directions as to what the organization will and will not accept. (p.6.)

USING COALITIONS AND NETWORKS

Networking and coalition-building can significantly contribute to citizen power and effectiveness in the EDS process. Groups often used coalitions to consolidate their resources in the beginning of the process, and to support their strategies during the EDS process. The coalitions were able to keep the citizen constituency mobilized around the disputed issues, and provided an essential vehicle for communication between citizen interests. (p.169.)

Managing a coalition places additional demands on organizations—again in terms of time, energy, and money. Not only must citizen representatives devote time to problem-solving sessions within their own organizations and within the actual group of disputants, but also with members of other citizen groups in order to maintain the strength and unity of the coalition. (p.170.)

Maintaining a mobilized constituency can be difficult during a long negotiation process. As Susskind and Cruikshank have observed:

> The power of coalitions is enormous—provided, of course, that the members of the coalition share a commitment to the same outcome. Remember that coalitions ebb and flow during a negotiation. <u>You must constantly check to be certain that your coalition is holding together</u>. (1987, p.212; emphasis added.)

If the representatives and leadership of a citizen or environmental organization are focused on the process itself, the everyday communication and other maintenance tasks, required to keep an organization effective, can be neglected. ... Citizen representatives usually comment that when meetings spread out over months, motivation dwindles and their membership becomes less enthusiastic about the whole process.

Either a formal coalition or a loose alliance of citizen organizations can support an active constituency during an EDS process. However, organizations will have to develop an effective networking strategy and have individuals in each organization committed to the disputed issues, the negotiation and problem-solving process, and to mobilizing their respective memberships.

These contacts provided background information, give the citizens insight into the views held by other stakeholders, and build a network of allies. Overall, the networking holds the alliance together, creates power for these citizen organizations, and provides information on a far larger political context—resources that can be used for future issue work. (p.171.)

Example Coalitions

Name: Dudley Street Neighborhood Initiative
Planning began: 1984
First Grant: 1985
Present stage of development: Implementation
Size of Grant: Averages $100,000 per year to DSNI and an additional $321,000 per year in complementary grants in the neighborhood. All grants in the Neighborhood total 30% of the Riley's Foundation's grantmaking.
Contact: Executive Director
Dudley Street
Neighborhood Initiative
513 Dudley Street
Roxbury, MA 02119
tel. (617) 442-9670
fax: (617) 427-8047

Name: Bushwick Geographic Targeting Project/The New York Community Trust
Mission: The Trust makes grants across four broad categories: (1) children, youth, and families; (2) health and people with special needs; (3) education, arts and the humanities; and (4) neighborhood development and the environment. At this stage, "the Bushwick Project aims to improve the quality of life of residents by fostering a comprehensive human services program." Along with a group of twelve funders, the Trust met with 65 leaders within the target community—service providers, activists, priests and ministers. Their strategy consists of strengthening the nonprofit organizations in the area by "assisting them in developing their capacity, coordinating and expanding their programs. The assumption is that these efforts will stimulate reinvestment in Bushwick by both public and private sectors."
Present stage of development: Implementation
Planning began: 1987
First Grant: 1989
Unusual Features: The Trust played an important leadership role during the initial stages and still serves as fiscal agent for the Project. A Trust representative sits as a member of the Community Task Force.
Size of Grant: $750,000.
Contact: Elwanda Young
Interim administrator,
Bushwick Geographic
Targeting Project
144 Bleecker Street
Brooklyn, NY 11221
tel. (718) 574-5100
fax: (718) 574-6090

Name: <u>Community Building in Partnership/The Enterprise Foundation</u>

Mission: "The Foundation and its partners intend to enable a long-term process whereby all public and private support systems, including housing, education, human services, health care, economic development, public safety, sanitation and recreation are redirected to empower neighborhood residents to realize their highest capabilities."

Description: CBP is currently a partnership of the Enterprise Foundation, the Mayor's office and community organizations—especially SWIA and BUILD. The Sandtown/Winchester Improvement Association (SWIA) and Baltimoreans United in Leadership Development (BUILD) are strong organizations committed to developing the neighborhood. "Neighborhood residents, led by BUILD and SWIA, persuaded the Mayor that [new] housing grants provided the ideal opportunity to consider a comprehensive initiative to transform an entire neighborhood.

Present stage of development: Planning.

Planning began: 1990

First Grant: 1991

Distinct Features: A new Interim Advisory Committee was recently organized to broaden community involvement and consult experts. Its 15 members include 7 residents and 7 nonresidents and a representative from the Mayor's Office. Their charge is to translate the recommendations of the community planning process into innovative programs and a strategic plan that can be implemented.

In response to declining budgets and population, the City of Baltimore is studying ways to restructure all of city government to *take advantage of community-based planning and to integrate service delivery*. The chairperson of CBP has become the lead staff for this government restructuring effort and many of the proposals reflect the Sandtown/Winchester experience.

(Author's note: The EF is the effective fiscal agent for Community Building in Partnership. CBP as a legal entity with its own office, director and staff has yet to emerge from the community planning process.)

Size of Grant: The Enterprise Foundation has raised $1.3 million for planning and start-up.

Contact: Diane Bell-Mckoy
Office of the Mayor
City of Baltimore
100 N. Holliday St.
Baltimore, MD 21002
tel. (301) 396-3815

COALITIONS IN OAKLAND

ADAPT (Accessible Disability)

Bay Area Literacy Network

Berkeley-Oakland Support Services

Castlemont Corridor

Citizens Emergency Relief Team

Coliseum Commerce Advisory Committee

Commission for Positive Change

COOS - Park Bond Measure

East Bay Funders

East Oakland Fighting Back

Elmhurst Presbyterian Church

Elmhurst Neighborhood Associations

Emergency Services Network

First Amendment Coalition

Fruitvale Community Collaborative

Grizzly Peak Neighborhood Assoc.

The Hoover Coalition

MacArthur Coalition

New Oakland Committee

North Oakland Churches

North Oakland District Council

Oakland Community Organizations

Oakland Community Housing, Inc.

Oakland Housing Organization

Oakland Citizens Committee for Urban Renewal

Pamil

PICO Network

Police Activities League

Police Review Board (coalition that made it happen)

Progressive Way

PUEBLO

RCPC

Rockridge Community Council

Save the Hills

Sobrante Park Coalition

Temescal Merchants/Telegraph Merchants/Fruitvale Merchants

COALITIONS OUTSIDE OAKLAND

Friends Making a Difference
9871 Broadmoor Drive
San Ramon, CA 94583
(510)255-6628

Gay Coalition of S.F.

Homeless Coalition
National Urban Coalition
8601 Georgia Avenue #500
Silver Spring, MD 20910
(301)495-4999

MECA Mission Economic Cultural Assoc

North of Market Planning Coalition

The Pig's Eye Coalition, formed between St. Paul Audubon, St. Paul League of Women Voters, and MECCA, united in a struggle against River Mile 834.0 barge fleeting.

Rainbow Coalition

Lobbying by Nonprofits —A Checklist

Lobbying isn't a very complicated process. If you can pick up a pen or a phone, you can lobby. This checklist will help you skim quickly through the main subjects covered by this book and know what will be most helpful to you. While you are skimming, keep in mind that most how-to books, including this one, tell you much more than you'll ever need to know about how to get the job done.

YOU NEED TO KNOW ONLY A *LITTLE* ABOUT THE FOLLOWING TO GET STARTED LOBBYING

1. The legislative process
2. Organizing your group's government relations committee
3. Setting up a legislative network
4. The law governing lobbying by nonprofits

THE NONPROFIT LOBBYIST'S SKILLS AND THE LEGISLATIVE PROCESS

1. You don't need a paid lobbyist—a volunteer lobbyist can do the job.
2. What your lobbyist needs and needs to know
   - A few basics about the legislative process
   - Several main arguments for the bill you are supporting
   - Your group's organizational structure and how it communicates with its grass roots
   - Strong interpersonal skills

SELECTING YOUR LEADER IN THE LEGISLATURE

1. You'll need a strong advocate for your bill in the legislative committee that has jurisdiction over your legislation
2. Skills and commitment of the legislative staff person assigned to your measure

THE LEGISLATIVE PROCESS

1. The legislative process is controlled by people, not by institutions.
2. In both chambers of a legislature, legislation usually moves from subcommittee to full committee to a floor vote, and then to conference between the two chambers. At each step of the process, it is possible to influence the outcome of the legislation, but the best chance is at the subcommittee level.
3. All members of a legislature are not equal. Majority party members have more power than minority members. Senior members are usually more influential than newer members.
4. The legislative process is run by people. Put yourself in your legislator's shoes.
5. Don't take a legislator's vote against your proposal personally. Maybe the legislator will be with you next time.
6. Staff people are important. Senior staff people may wield enormous power. They can assist you greatly in guiding your legislation to enactment.

LOBBYING THE ADMINISTRATION

1. Your group's success in enacting legislation can be lost through restrictive regulations.
2. Nonprofits often have modest influence on the executive branch when lobbying them directly, but the executive branch can be moved with the aid of legislators.
3. Media support for your position, and criticism in the media of the government's position, can have an enormous impact.

EFFECTIVE WRITTEN COMMUNICATIONS

1. Be accurate. You, your legislator, and your cause all lose from the fallout of inaccurate information.
2. Be *brief.* Almost no one wants to read more than one page.
3. Be *clear.* Even those who are new to your subject shouldn't have to struggle to understand your communication.
4. Be *timely.* Your communication must arrive with sufficient lead time for grass-roots recipients to contact legislators before a vote.
5. Follow up with a telephone call. Most people don't respond to written communications without a follow-up call.

GRASS-ROOTS ACTION THROUGH A LEGISLATIVE NETWORK

1. A grass-roots network is an organized, systematic means of communicating on short notice with volunteers at the local level who have agreed to contact their legislators on behalf of your issue.
2. Grass-roots networks don't have to be elaborate.
3. Volunteers are more influential with legislators than nonprofit staff are.
4. Setting up a network
   - Get a list of legislators you want to contact.
   - Recruit volunteers who can establish contact with those legislators.
   - Develop a means of communicating very quickly with members of your network, including telephone calls.
   - Work at it. Networks are absolutely essential, but they atrophy quickly if you do not give them top priority.

HIGHLY EFFECTIVE LOBBYING TECHNIQUES AND COMMUNICATIONS

1. Site visits by legislators
2. Personal visits by constituents
3. Spontaneous, individually composed letters from constituents
4. Telephone calls from constituents
5. Articles in major daily newspapers
6. Editorials in major daily newspapers

LETTERS TO LEGISLATORS

1. Write on your personal or business letterhead.
2. Keep your letter to one page, and put your message in your own words.
3. Ask the legislator to reply, and ask very directly whether he or she will support your position.
4. Like everyone else, legislators don't like a threatening tone.
5. Don't overstate your organization's influence.
6. Be certain that your legislator receives your letter before the vote.
7. Thank the legislator.

MEETING WITH YOUR LEGISLATOR

1. You may be nervous, but remember that you probably know more about the subject than the legislator does.
2. Make an appointment.
3. It's acceptable to bring a delegation.
4. Discuss your issue from the legislator's perspective.
5. If you can't answer a question, don't bluff.
6. Leave a fact sheet.
7. Write to say thanks and to remind the legislator of agreements reached.

PRESENTING TESTIMONY

1. Keep your statement brief, and provide a one-page summary.
2. A high-ranking, well-informed volunteer should be the presenter. A senior staff member is a second choice.
3. Get other groups to sign your testimony.
4. Plant questions with friendly legislators.
5. Oral statements should not be read.
6. It's perfectly acceptable to be direct in your response to a hostile question, but be courteous.
7. If you can't answer a question, say so, and offer to get the information.

TELEPHONING YOUR LEGISLATOR REGARDING A VOTE

1. If you can get through, a telephone call can be very persuasive.
2. Keep your call brief.
3. If you can't get through to the legislator, ask for the aide assigned to the issue.
4. If you can't reach the aide, leave your message with the person who answered the phone.
5. Calls to the district office of a legislator are second best but much better than nothing.

OTHER WAYS TO COMMUNICATE WITH LEGISLATORS

1. Invite them to visit your facility.
2. Have legislators speak at a public meeting sponsored by your organization.
3. Invite legislators to meet with your board of directors.
4. Sponsor a breakfast meeting at the Capitol.

LOBBYING IN COALITION

1. Almost all major legislation is enacted as a result of coalitions' efforts.
2. Coalitions are always fragile but have a potentially enormous influence over legislation.
3. A main function of coalition leaders is to build a sense of trust and openness, with honesty and "no surprises" paramount.
4. Every coalition must have an organization that serves as a clearinghouse.
5. The clearinghouse function—getting information to coalition members quickly—is critically important.
6. Coalition membership may change markedly over time, depending on other issues important to some of your coalition's members.
7. In coalition action, it can take as many as four steps in the process to get information from the coalition to the person being asked to take action at the grassroots, so plan carefully.
8. When a coalition effort is successful, make certain that all members are aware of the important role they played in the success.

KEY POINTS ABOUT A GOVERNMENT RELATIONS COMMITTEE

1. The biggest mistake made by government relations committees of nonprofits is to take on more than one top priority.
2. The committee can have twenty issues on its priority list, but all must be ranked.
3. A committee member may push the staff hard to emphasize his or her pet priority, even though the committee has decided otherwise. Don't give in.
4. The committee should delegate authority to a small group for decisions on legislation when time doesn't permit consultation with the parent group.
5. The committee should broadly represent the organization's constituency.
6. According to the size of the organization, much of the government relations committee's work should be delegated to task forces or other subgroups.
7. At meetings, pay attention to process:
   - Agendas are important.
   - Set a cordial tone.
   - Pay attention to the physical arrangements of the table and the meeting room.
   - Don't let the chair, the staff, or anyone else dominate.
   - Save everyone embarrassment by using name tent cards at each place.

LOBBYING THROUGH THE MEDIA

1. Legislators take note of organizations that the media quote in news stories on key legislative issues.
2. Congressional staff rank news articles and editorials in daily newspapers very high as forces that influence members of Congress.
3. A person with experience in media relations (he or she may be a volunteer) can save your group much time by helping you target your media efforts.
4. Points to keep in mind
   - Send only newsworthy information to the media.
   - There is a herd instinct in the media, which can help your media campaign snowball if you get one story in the influential media.
   - Reporters look for quotable sources. Have your off-the-cuff remarks well rehearsed.

- Keep a list of media people who have contacted you or written or spoken on your issue—they represent a future resource gold mine!
- A press release should give the most important information in the first paragraph, and the rest in descending order of importance. The first page of the release should answer who, what, when, where, and why.

5. Press conferences
   - In most major metropolitan areas, it is difficult to get good press conference attendance because there are always so many competing issues.
   - Know the hour and day that the press are most likely to attend.
   - Know the location that will attract reporters.
   - Know how far in advance the press must be notified and how best to do so.
   - Give a reminder call on the day of the press conference.
   - Have a well-written press statement and background.
   - Be certain that your audio system is flawless. Keep it short, and leave time for questions.
   - Keep a list of attendees for follow-up.
6. Letters to the editor
   - Keep the letter tightly composed.
   - Use specific examples.
   - Address one point per letter.
   - Use accurate, up-to-date information.
   - Don't attack the opposition.
   - Always sign your name, and include your address and telephone number.
7. Radio and television
   - Radio and television still offer public service time.
   - Don't forget news directors of radio and television stations when circulating your press release.
   - It helps greatly to have a visual angle for your television news story.
   - Keep your public service spots short: for TV, nine to ten seconds; for radio, twenty to thirty seconds.
   - Get a well-briefed spokesperson for your group on a radio or television talk show.
   - Give local radio or television your ideas for editorials.

APPENDIX 3

Questions and Answers Regarding the Law and Lobbying by Nonprofits

1. Q: Is lobbying legal?
   A: It's not only legal but also encouraged by Congress and the IRS.
2. Q: How much can I spend on lobbying?
   A: A generous amount: 20 percent of your organization's first $500,000 of annual expenditures, 15 percent of next $500,000, 10 percent of the next $500,000, and so on, up to $1 million.
3. Q: Can all nonprofits spend that much?
   A: No, only those that elect.
4. Q: Elect what?
   A: Elect to come under the generous provisions of the 1976 lobby law.
5. Q: How do I elect?
   A: It's simple. Have your organization's governing body vote to come under the 1976 law and file IRS form 5768.
6. Q: Will the IRS "red flag" us for audit if we elect the lobby law?
   A: Absolutely not. The IRS has made that clear.
7. Q: That's all there is to it?
   A: Yes. Sign IRS Form 5768, and send it to the IRS.

THE "INSUBSTANTIAL" RULE

1. Q: What if we don't elect?
   A: You are subject to the vague "insubstantial" rule.
2. Q: What does the "insubstantial rule" mean?
   A: If you engage in "more than insubstantial" lobbying, you lose the right to receive tax-deductible contributions and lose your exemption.
3. Q: What is "more than insubstantial"?
   A: That's not clear. Several court decisions have addressed the definitions.
4. Q: What did the courts find?
   A: In 1955, that 5 percent of total activities is not substantial; in 1974, that each case must be evaluated according to "facts and circumstances"; and in 1972, that a percentage test is inappropriate, since a single official position statement could be considered substantial.
5. Q: How can I avoid this confusion?
   A: Elect to come under the 1976 lobby law.

WHAT IS LOBBYING UNDER THE 1976 LOBBY LAW?

1. Q: If I elect to come under the 1976 lobby law, which of my activities will be lobbying?
   A: Any attempt to influence any legislation through communication with any member or employee of a legislative body or with any government official or employee who may participate in the formulation of the legislation (called *direct lobbying*), and any attempt to influence any legislation through an attempt to affect the opinions of the general public or any segment thereof (called *grass-roots lobbying*).

2. Q: Can you make that less confusing?
A: Maybe. Direct lobbying occurs when a nonprofit organization (including its members who reside at the grass roots) contacts a policymaker on behalf of legislation. You are doing direct lobbying in your communications only if you refer to specific legislation and reflect a view of its merits. Grass-roots lobbying occurs when a nonprofit organization contacts the general public and urges people to contact policymakers in support of legislation. You are doing grass-roots *lobbying* if, in communicating with the general public, you refer to specific legislation, reflect a view of its merits, and encourage the general public to contact legislators.
3. Q: May I spend all of my total allowable lobbying expenditures on grass-roots lobbying?
A: No. Only 25 percent may be spent on grass-roots lobbying.
4. Q: Is there a similar limitation on direct lobbying?
A: No. You may spend 100 percent of allowable expenditures on direct lobbying.
5. Q: How do the new IRS regulations affect lobbying?
A: They provide helpful details regarding what is and is not treated as direct and grass-roots lobbying.
6. Q: What are some other key issues covered by the lobbying regulations?
A: For grass-roots lobbying, there is a special rule for paid mass-media messages. The regulations also define when materials developed in the previous six months and used in lobbying are a lobbying expenditure. They also explain how to allocate the costs of a communication that includes both a lobbying and a nonlobbying expenditure. They make clear when nonpartisan analysis study or research is not a lobbying expenditure.
7. Q: Is that all I need to know about the regulations?
A: It depends. If you plan to do what you consider extensive lobbying, you should read Chapter Nine. If your lobbying is limited, simply keep in mind that the lobbying latitude under the law is generous.

OTHER LOBBYING LIMITS

1. Q: What is self-defense lobbying?
A: Lobbying on legislation affecting the existence of the organization itself, its powers and duties, its tax-exempt status, or the deductibility of contributions to it.
2. Q: What are the limits on self-defense lobbying?
A: There are no limits on self-defense direct lobbying. Grassroots lobbying isn't protected by the self-defense provision.
3. Q: What are examples of self-defense lobbying?
A: Lobbying in support of charitable-contribution tax deductions or to change the law regarding lobbying rights of nonprofits.

VOTER EDUCATION BY NONPROFITS

1. Q: May nonprofits carry out voter education during a political campaign?
A: Yes, if it is strictly nonpartisan.
2. Q: What kind of voter education is legal?
A: It's legal to inform candidates of your position. If the candidate goes on record on your issue, the candidate may distribute the statement, but you may not. You may distribute the answers to a nonpartisan questionnaire and hold nonpartisan forums.

3. Q: What about questionnaires to candidates?
A: A nonprofit can disseminate responses from questionnaires, but the questions must cover a broad range of concerns, be framed without bias, and be given to all the candidates for an office.
4. Q: What about distributing voting records of candidates?
A: You may, if you distribute voting records throughout the year and not just during the campaign.
5. Q: May I invite candidates to a public forum to get their views?
A: Yes, if you invite all candidates, are evenhanded, don't state your views or comment on candidates' views; and give all candidates the opportunity to answer questions.
6. Q: May I publish information from the forum?
A: Yes, in your newsletter, if it is published regularly, and if its circulation is limited to your organization's members. Candidates should also be given equal opportunity to reply.

FOUNDATIONS AND NONPROFITS' LOBBYING

1. Q: May nonprofits use private foundation grants to lobby?
A: Private foundation grants that are awarded for general purposes may be used by nonprofits to lobby, but earmarked funds may not be used.
2. Q: May nonprofits use community foundation grants to lobby?
A: Nonprofits may receive grants from community foundations that *are* earmarked for lobbying.

OTHER ISSUES

1. Q: Is urging voters to put a proposal (an initiative) on a ballot lobbying?
A: Yes, it's direct lobbying. Is urging members of a legislature to put a law passed by the legislature (referendum) on the ballot lobbying?
A: Yes, it's direct lobbying.
3. Q: Can a Section 501(c)(3) organization lobby indirectly through a 501(c)(4) organization?
A: Yes.
4. Q: Why consider such an arrangement?
A: A 501(c)(4) organization may spend all of its funds on lobbying—but contributions to it aren't tax-deductible.
5. Q: Are there any cautions regarding such an arrangement?
A: Keep good records that show clearly how staff time, equipment, office space, costs, and so on, are divided between the groups, and be sure the (c)(3) doesn't provide financial support to the (c)(4).
6. Q: May a 501(c)(3) organization set up a political action committee (PAC)?
A: No.
7. Q: May a 501(c)(4) set up a PAC?
A: Yes.
8. Q: May nonprofits use federal funds to lobby?
A: No, with the exception of lobbying specifically authorized by federal law.
9. Q: May nonprofits use federal funds to provide technical assistance?
A: Yes, if requested to do so by legislators.
10. Q: May they use federal funds for self-defense lobbying?
A: Yes—for example, to avoid material impairment of the organization's authority to perform with respect to a grant, a contract, or an agreement.

11. Q: How are lobbying expenditures reported to the IRS?
    A: On IRS Form 990A Schedule.
12: Must nonprofits that don't elect to come under the 1976 law report lobbying expenditures to the IRS?
    A: Yes.
13. Q: Must nonprofits' lobbyists register?
    A: Yes, under some rather narrow conditions.
14. Q: How does one register as a lobbyist?
    A: By contacting the secretary of the United States Senate or the clerk of the U.S. House of Representatives.

How to Win the Advocacy Game:
"Rarified Air" by Doug Siglin

"You can lead these horses to water, but it's a lot harder to make 'em pass legislation."
— Doug's favorite hill staffer

I've been thinking a lot about trying to explain this business of successful issue advocacy with Congress.

Last night, as I watched my college alma mater play basketball on TV, a simple idea came to me. Although sports analogies are usually too facile to be of much real use, I'm going to put this one out for your consideration.

Here it is: successful basketball teams have to be able to play both a good *inside* and a good *outside* game. So do groups that are consistently successful at working with Congress.

In basketball, the inside game is generally the purview of the centers and forwards. They block off the middle of the court, reject opposing shots, get rebounds, and make the high percentage of field goals from under the basket. The outside game generally belongs to the guards. They pressure the other team, direct the offense, and make those 15-20 foot jumpers look easy. A team which doesn't have both good inside and good outside games may win, but it won't be consistently good.

In the congressional case, there is also an inside game and an outside game. The inside game is building trusting relationships, learning how the situation looks from those most intimate with it, and getting voluntary help. The outside game is "pressuring" members of Congress. The two must go together in order to win consistently.

THE INSIDE GAME

Despite the general impression to the contrary, being a member of Congress is an outrageously tough job. Most members are on the go six or seven days a week from sunrise to long past sunset. They are continually being asked to do things for people they barely know or don't know at all. They have groups of constituents to meet in their offices or take to the Capitol steps for pictures. They have dozens of joint committees, standing committees, select committees, subcommittees, state delegation, special caucus, and task force meetings to attend, usually simultaneously. They have to stay awake and look interested through boring technical hearings on arcane matters.

Moreover, they have to be continually dealing with the press and prepared to dispense witty new pearls of wisdom to groups during breakfasts, lunches, and dinners. They have to answer letters, make military academy nominations, write dozens of recommendation letters, battle with federal agencies, and fly back to their districts as often as they can hack it. They have to manage dual, triple, or quadruple offices and staffs, two residences, and their own families. They have to mind their political P's and Q's or they will find themselves jobless. And perhaps most annoying, they have to withstand constant abuse and have to be perpetually vigilant about what they say, even at their tiredest, crankiest moments. Just in terms of the energy it takes to be a member of Congress, these people are heroes.

When asked to take a position or some action on any given issue, a member of Congress will probably base a decision on a mix of at least six factors: (1) who is asking; (2) what they personally want to do; (3) what is good for the people they represent; (4) what is good national policy; (5) what their bosses, plus some other factors of their own, like their positions in the office and how much the boss delegates.

Being human, members of Congress and staff are far more inclined to try to work with people over time who are more than just a letter or a phone call—particularly people who understand the other five parts of the mix and tailor their requests accordingly. They are likely to give such people the straightforward information that is such a valuable commodity. And if the member of Congress one has built a trusting relationship with is a committee chair or has some other high-ranking position, important doors can be opened with a very few words.

The bottom line on the inside game is this: if you establish honest relationships with members of Congress and their staffs and respect the limitations they face, they'll be far more inclined to *voluntarily* give you a hand.

THE OUTSIDE GAME

The outside game is the pressure individuals and groups can put on members of Congress to somewhat less voluntarily do what is wanted.

The pressure game comes in many forms, but in the end it comes down to this: making members of Congress fear that they won't get reelected. Members of Congress almost always want to get re-elected (and more than 95 percent of them do). They often begin thinking about the next election well before the current one is wrapped up.

There is a lot of attention today about the role of money in politics, but the question of money is almost always ultimately a question of votes. Campaigns have become fantastically expensive—it's said that the average senator has to raise $10,000 dollars every working day to get reelected. Money equals TV time and billboards and yard signs and rallies and photo opportunities, and those equal votes. Groups that have lots of cash can play a great outside game.

But even those who don't have money can play a pressure game. The hunger lobbying groups RESULTS has figured out wonderful way to do this. It gets its supporters to convince local newspaper editorial boards to write editorials about hunger, and then it sends reams of them to members of Congress. It's a wonderful and original pressure technique, and it has been quite effective. Other pressure techniques are letters ... postcards, citizen press events and rallies, newspaper advertisements, and the like.

These outside game techniques get the attention of members of Congress, and if large or impressive enough can make them fear for their careers—and subsequently pay far more attention to the issues driving the pressure.

Last week's pay raise fiasco was a unique but interesting example of pressure. I don't think many lessons can be drawn from the case because of the intense public outrage at a 51 percent pay increase in a time of budget cuts, but do you know what eventually made the House change its collective mind? Tens of thousands of *tea bags!*

Here's what I think the point of all this is: both the inside game and the outside game are critical. Members will often respond to pressure techniques—particularly members who are less "safe" in their seats—but they do so unwillingly. Moreover, the "movers and shakers" have safe seats or they wouldn't be where they are. There are practical limitations to what pressure can do.

On the other hand, the *inside game* depends on an ability to establish a trusting relationship with members or their staffs: something which is often critical in the case of key individuals but isn't practical for all 538 members of Congress. This is also a limitation.

Just like basketball teams, nongovernmental organizations [NGOs] need to play both games to win consistently. RESULTS has invented a good outside technique and uses it effectively but doesn't have much inside game and therefore loses critical support of important players and makes unneeded mistakes. Other NGOs have a pretty good inside game but need to develop ways to work up a little pressure—or at least the threat of it. Letters, postcards, and the like would help a lot to achieve the ultimate end.

Last night, my team lost by one point in double overtime because the other team got a combination of (outside) three-point baskets and a game winning (inside) lay-up. I think there really is a lesson here.

Do NGOs have both the inside and the outside skills it takes to consistently win in this congressional advocacy game?

Doug Siglin is public policy director for InterAction.

YMCA of the USA
Washington Office
1701 K Street N.W., Suite 903
Washington, D.C. 20006
202-835-9043

Harold Davis
Chairman, National Board

David R. Mercer
National Executive Director

October 9, 1990

The Business Coalition For Fair Competition's Threatened United Way Boycott -- A YMCA Response

In a recent memo, the Business Coalition for Fair Competition (BCFC) urged its members to boycott their local United Ways until they are assured that no United Way funds will go to YMCAs or other tax-exempt agencies that compete with for-profit businesses. The YMCA of the USA strongly urges United Ways to reject the BCFC's threat to YMCAs and other nonprofit human care agencies.

The existence of for-profit providers of human care services does not eliminate the need for nonprofits. While the BCFC memo singles out YMCA health and fitness programs, the logic of the BCFC attack extends to any nonprofit agency offering services also provided by for-profits. This includes hospitals, nursing homes, child care centers, family counseling agencies, sheltered workshops, substance abuse treatment centers, and home health care agencies. Nonprofits pioneered each of these services. However, the BCFC apparently believes that as soon as for-profit firms enter a field, the need for nonprofits disappears. This simplistic (and self-serving) position ignores the fact that YMCAs and other nonprofits provide important community benefits that for-profit providers of similar services never will.

Important differences between nonprofit and for-profit providers of human care services justify their different tax treatment:

* For-profits serve only persons they can serve at a profit; nonprofits accept a responsibility to serve the whole community, including those who cannot pay the market rate. For example, YMCAs routinely provide financial assistance to needy adults and families who want to participate in YMCA health and fitness programs. YMCAs also provide specialized fitness programs for seniors, handicapped persons, and others with special needs. In all of these ways, YMCAs and other nonprofits bring diverse groups together and, in the process, help build stronger communities.

YMCA Mission:
To put Christian principles into practice through programs that build healthy body, mind, and spirit for all.

* For-profits entered the human care field to make a profit; nonprofits provide human care services to meet human needs. These different motives translate into very different operational behavior. For example, YMCAs have a hundred year track record of providing reliable, quality community fitness programs. By contrast, nearly 30 states have enacted "health spa" laws to protect the public against widespread consumer abuse in the commercial health club industry. Similarly, YMCAs have rigorous program design and staff training standards to insure high quality, medically-based programs.

* Nonprofits provide continuity of service in good times and bad. While for-profits have recently entered many human care fields, they can exit just as quickly when profits wane, as they have in home health care and in certain areas of hospital care. Because YMCAs and other human care nonprofits belong to their communities, they respond to long-term community needs -- not short-term profits.

* Nonprofits mobilize community resources to meet community needs. While for-profits depend solely on earned-income, nonprofit human care providers mobilize contributed support -- both money and volunteer services -- to meet needs that would otherwise go unmet. Thus, one of the clearest differences between YMCA adult fitness programs and commercial health clubs is that while for-profits ask for nothing beyond payment for services rendered, YMCAs challenge participants to support the overall community service mission of the YMCA through gifts of time and money.

YMCA adult fitness programs are exempt from federal tax and are also tax-exempt in every state. In the early 1980's the IRS conducted an intensive review of YMCA adult fitness programs. This review resulted in the current IRS "community access" rule under which a YMCA must demonstrate that its adult fitness programs serve all income levels in the community. To date, no YMCA has failed this test. YMCA adult fitness programs are also routinely exempted from tax in each of the 50 states. While for-profit health clubs have committed substantial resources to challenging YMCA tax-exemption, only two of the more than 2,000 YMCA facilities nationwide have been placed on the local tax rolls, and YMCAs are working to reverse both of these results.

Name: The Oakland Public Library (Science/Business/Sociology Department)

Address: 125 - 14th Street
Oakland, CA 94612

Phone: (415) 273-3138

Contact: Kevin Roddy

Directories Available:

1. The Bay Area Information & Retrieval System (BAIRS)
2. Ethnic Groups in California
3. Ethnic Organizations in the Bay Area
4. Resource List of Ethnic Nationality and Services in the Bay Area
5. Harbinger File (Environmental)
6. Catholic Directory
7. National Council of Churches Directory
8. Encyclopedia of Associations
9. Women's Yellow Pages

References to be used only at the library (cannot be checked out).

Hours: Monday - Thursday; 10 a.m. - 8:30 p.m.
Friday; 10 a.m. - 5 p.m.
Saturday; 10 a.m. - 5 p.m.

Name: Oakland Chamber of Commerce

Address: 475 - 14th Street
Oakland, CA 94612

Phone: (415) 874-4800

Contact:

Directories Available:

1. Membership Directory
2. Rich's-Spells Prospecting Directory: Businesses throughout Alameda County

References to be used only at the library (cannot be checked out).
Only members are allowed to use the Membership Directory. Rich's-Spells Prospecting Directory costs $75.00. This contains a list of businesses throughout Alameda County. Cannot be checked out.

Hours: Monday - Friday; 9 a.m. - 5 p.m.

Name: The Alameda County Business Library

Address: 2201 Broadway
Oakland, CA 94612

Phone: (415) 271-4292

Contact: David Weber

Directories Available:

1. Directories from different groups (ethnic, business, religious, cultural, etc.).
2. The Directory of Bay Area Associations (List of Business-Professional Trade Associations).
3. The Bay Area Directory of Clubs and Organizations

References to be used only at the Library (cannot be checked out).

Hours: Monday, Wednesday, Thursday, Friday; 9:45 a.m. - 5:45 p.m.
Tuesday; 1:00 p.m. - 9:00 p.m.
Closed on Weekends.

BUSINESS LIBRARY

ALAMEDA COUNTY LIBRARY

COUNTY OF ALAMEDA
CALIFORNIA

HOW TO FIND COMPANY INFORMATION

In order to map out a search plan for company information, consider whether your company is:

Public or Private
National or Local
Nationally Advertised
Manufacturer or Service
Parent or Subsidiary

Begin your search by consulting appropriate sources from this basic list:

IN-HOUSE FILES:

Local Business File: clippings from Oakland Tribune, SF Chronicle, San Francisco Business Times
Annual Report Files: current only; top 1000 U.S., 500 California

DIRECTORIES:

NATIONAL:
- Dun & Bradstreet Million Dollar Directory
- Standard & Poor's Register of Corporations
- Thomas Register of American Manufacturers
- Directory of Corporate Affiliations
- Standard Directory of Advertisers
- Corporate Technology Directory

GEOGRAPHIC:
- Business Prospector (Bay Area)
- Manufacturers directories for each state

TRADE: Directories for over 200 different products/services/professions listed in Directory Index

PERIODICALS:

Business Library subscribes to 450 magazines/trade journals and newspapers; look up your company name in:

Business Index or Predicasts F & S Index

INVESTMENT SOURCES:

Financial information for publicly owned companies may be found in:

- Moody's Manuals
- Standard & Poor's Stock Reports
- Valueline Investment Service
- Wall Street Transcript

Feel free to consult with the Reference Librarian at any point in your search. We are here to help you find what you need.

2201 BROADWAY • OAKLAND • CALIF. 94612-3044 • (415) 271-4291

Name: Eden Information & Referral, Inc.

Address: 570 "B" St.
Hayward, CA 94541

Phone: (415) 537-2710

Contact: Mary Weinstein

Directories Available:

1. Directory of Human Services for Alameda County - Health/Human Service Organizations in Alamaeda County.

Hours: Monday - Friday; 8:30 a.m. - 5:00 p.m.

Notes on EDEN I & R, Inc. and the Bay Area Information and Retrieval System

The BAIRS program is an area-wide referral system that includes a homeless hotline, 911 translation, attorney referral, and provides the support and coordination for more localized systems from the counties of Alameda, Contra Costa, Marin, San Francisco, and San Mateo.

Eden I&R, Inc. publishes the Directory of Human Services for Alameda County. This is the most comprehensive resource manual on the myriad of health and human services available through governmental and nonprofit organizations in Alameda County.

1) **What the "Blue Book" is lacking is community information like clubs and organizations in local communities (i.e. garden & hobby clubs, business clubs, community groups, and professional organizations).** The counties of San Mateo, Marin, and Contra Costa have this service, but Eden has not been able to come up with the funds to add this section.

2) The database includes about 1,000 agencies in Alameda county. BAIRS has close to 8,000 agencies in the database.

3) The charge for on-line access is usually $1,000 subscription plus fees. NPOs may get a six-month trial period for $250. It works by way of a memorandum of understanding which outlines the specifics of your network system and the service to be provided by BAIRS. The Blue Book cost for NPOs is $60 (w/ binder).

As a side note, CompuMentor specializes in guiding NPOs through the process of starting an information database. CompuMentor is located at 89th & Stillman in San Francisco, phone: 415-512-7784.

4) Some other services include specialized searches and prints that are charged per item. By contract they can publish specialized directories such as one which PG&E requested for Southern Alameda County.

BAIRS

BAY AREA INFORMATION AND RETRIEVAL SYSTEM

ANNOUNCING PRE-SALE OF THE 1992-93 EDITION OF THE *DIRECTORY OF HUMAN SERVICES FOR ALAMEDA COUNTY* (also known as "The Big Blue Book")

Eden I&R, Inc. publishes the *Directory of Human Services for Alameda County.* This is the most comprehensive resource manual on the myriad of health and human services available through governmental and nonprofit organizations in Alameda County.

We are now accepting prepaid orders for the new edition of the *Directory,* scheduled to be released in January 1992. Prepaid orders will be sent out in early January.

Special Offer: Anyone wishing to purchase the 1992-93 edition by November 1, 1991 is eligible to receive the 1990-91 Directory and all the Update Bulletins issued for this edition *free of charge.*

To take advantage of this special offer, please complete the form below and mail it to: Eden I&R, Inc. 570 B Street, Hayward, CA 94541

Qty		List Price	Nonprofit Price*	Amount Enclosed
___	Directory with binder	$75	$60	__________
___	Directory without binder	$70	$55	__________
		(Prices include tax)	SUBTOTAL	__________
___	Shipping	$3.00 per directory		__________
___	Please send me my complimentary copy of the 1990-91 Directory. Enclosed is $3.00 to cover shipping.			__________
			TOTAL ENCLOSED	__________

(* Must be a nonprofit agency with an annual budget of under $800,000 to qualify for the Nonprofit Price)

(Shipping address -- cannot be PO Box)

Name	Name
Organization	Organization
Department	Department
Street	Street
City/State/Zip	City/State/Zip
Phone	Phone

Eden I & R, Inc. (920)
570 B Street
Hayward CA 94541

PHONE(S) AND/OR TDD/TTY	DAYS & HOURS
510-537-2710 (Administration)	Monday-Friday, 8:30-5
510-537-7536 (BAIRS)	
510-582-0091 (Attorney Referral, Hayward)	
510-352-8040 (Attorney Referral, San Leandro)	
510-537-2552 (Homeless Phone Line)	Monday-Friday, 10-3

PERSON(S) IN CHARGE AND TITLE(S)

Barbara Bernstein (Executive Director)

AREA SERVED

For BAIRS program, homeless information - Alameda County. For 911 translation - Alameda County, Contra Costa County, Marin County, San Francisco County, San Mateo County, Santa Clara County, statewide

---

TARGET GROUPS

ELIGIBILITY REQUIREMENTS

None

ORGANIZATIONAL TYPE

Private nonprofit

SOURCE OF FUNDS

State, county, grants

FEES

None for telephone services. Fees for BAIRS products and services vary

PAYMENT SOURCES ACCEPTED
Cash, check

APPLICATION PROCEDURE
Not necessary to receive services

WAITING LIST TO APPLY
No wait

WAITING LIST TO RECEIVE SERVICE
No wait

PERSON(S) TO CONTACT
Whoever answers the phone

TRANSPORTATION
Not necessary for service

ACCESSIBILITY FOR DISABLED PERSONS
Wheelchair accessible with assistance

LANGUAGES
Chinese (Cantonese), Spanish, Vietnamese (For 911 translation service only)
Spanish (For Homeless Phone Line)

SERVICES
Provides information and referral services that enable people to access and benefit from community resources.

The HOMELESS PHONE LINE provides information and referral on shelter, permanent housing and other human services in Alameda County to both individual clients and agencies. Collect calls are accepted.

Eden I & R, as a member of the BAIRS (Bay Area Information and Retrieval System) consortium, manages the computerized database of human services in Alameda County, which is a part of the regional (six county) database. Products and services available include: the 'Directory of Human Services for Alameda County', on-line access to the regional database, specialized program lists and directories, and pre-sorted mailing labels.

Offers 24-hour translation service for callers to the statewide 911 emergency telephone number who speak little or no English. Provides translation in Cantonese, Vietnamese, and Spanish. Teletype device for the deaf (TDD) is also available to 911 callers.

Services to Alameda County residents include referrals for the Attorney Referral Service of Southern Alameda County (described separately). Also provides after hours phone service for Alameda County Children's Protective Service, Public Guardian's office, and the Alameda County Housing Authority (described separately).

Prison Health Services contracts with Eden I & R to provide translation services for health screenings of Vietnamese and Cantonese inmates.

SOURCES FOR THE GRANT SEEKER

1. The California Nonprofit Corporation Book, 1989.
2. Catalog of California State Grant Assistance, 1989.
3. Catalog of Federal Assistance, 1990.
4. The Foundation Directory, 1991.
5. The Foundation Directory, Part 2, 1991-92.
6. The Foundation Grants Index, 1990-91.
7. Guide to California Foundations, 6th ed. 1985.
8. LRC newsletters.
9. National Directory of Corporate Giving, 1989.
10. National Directory of Non-profit Organizations, 1990.

DIALOG

FOUNDATION DIRECTORY

Information Retrieval Service

FILE DESCRIPTION

FOUNDATION DIRECTORY is a comprehensive directory providing descriptions of more than 32,000 grant makers, including private grant-making foundations, community foundations, operating foundations, and corporate grant makers. Records from NATIONAL FOUNDATIONS (formerly DIALOG File 78) are now included in FOUNDATION DIRECTORY as well as entries from the following Foundation Center print publications: *The Foundation Directory*, *The Foundation Directory*, part 2, *The National Databook*, *New York State Foundations*, *New and Emerging Foundations*, and *National Directory of Corporate Giving*. The center defines a foundation as a nongovernmental, nonprofit organization with its own funds (usually from a single source, either an individual, family or corporation) and program managed by its own trustees and directors.

SUBJECT COVERAGE

Included are descriptive entries on the following types of grantmakers:

- Private Grant-making Foundations (independent and company-sponsored foundations)
- Community Foundations
- Operating Foundations
- Direct Corporate Giving

The file includes two subfiles: (full (subject-indexed) and brief (no subject access) records.

SOURCES

Principal sources of information are voluntary reports by many grant makers directly to the Foundation Center and information obtained from public information returns filed each year with the Internal Revenue Service by private foundations.

DIALOG FILE DATA

Inclusive Dates:	Current, covering one year's data based on the most currently available fiscal year
Update Frequency:	Annual reload
File Size:	Approximately 32,000 grantmakers as of February 1991

ORIGIN

FOUNDATION DIRECTORY is produced by The Foundation Center. Questions concerning file content should be directed to:

Online File Support
The Foundation Center
79 Fifth Avenue
New York, NY 10003

Telephone: 212/620-4230

DIALOG

FOUNDATION GRANTS INDEX

Information Retrieval Service

FILE DESCRIPTION

FOUNDATION GRANTS INDEX contains records describing grants that have been awarded to nonprofit organizations by the larger private, philanthropic foundations (over 800 in 1991) located in the United States. This file cumulates grant records published in the *Foundation Grants Index Annual* and *Foundation Grants Index Quarterly* issues. Designed primarily to serve grant-seeking nonprofit organizations in determing private grantmakers' funding interests, it also serves grantmakers and researchers as a repository of historic information about private philanthropic activity. In-depth information about the grantmakers represented in File 27 is available in File 26 (FOUNDATION DIRECTORY), which contains addresses, year-end financial and board membership information, etc., as well as application guidelines.

SUBJECT COVERAGE

Grants recorded here reflect a full range of nonprofit interests. Beginning in 1989, the Foundation Center adopted a new grants classification scheme based on the National Taxonomy of Exempt Entities (NTEE). Grants made by the larger private and community foundations are included, but not those awarded by public foundations (grant-making public charities, which also solicit funds from the public). The NTEE classification scheme provides access to both the purpose of each grant and the major activity of the recipient through the following 26 broad areas:

A Arts, Culture, Humanities
B Educational Institutions & Related Activities
C Environmental Quality, Protection & Beautification
D Animal-Related Activities
E Health — General & Rehabilitative
F Mental Health, Crisis Intervention
G Disease/Disorder/Medical Disciplines (Multipurpose)
H Medical Research
I Public Protection: Crime/Courts/Legal Services
J Employment/Jobs
K Food, Nutrition, Agriculture
L Housing, Shelter
M Public Safety/Disaster Preparedness & Relief
N Recreation, Leisure, Sports, Athletics
O Youth Development
P Human Service — Multipurpose/Other
Q International Foreign Affairs & National Security
R Civil Rights, Social Action, Advocacy
S Community Improvement/Capacity Building
T Philanthropy, Voluntarism & Grantmaking Foundations
U Science Research Institutes/Services
V Social Science Research Institutes/Services
W Public Affairs/Society Benefit — Multipurpose/Other
X Religion Related/Spiritual Development
Y Mutual Membership Benefit Organizations — NEC (not elsewhere classified)
Z Unknown, unclassifiable

SOURCES

The Foundation Center solicits information about their grants directly from the foundations whenever possible. Other information sources include: newsletters, grants lists, annual reports, news releases, financial statements, other foundation publications and/or public information returns filed annually with the IRS by private foundations (Form 990 PF).

DIALOG FILE DATA

Inclusive Dates:	1984 publications to the present
Update Frequency:	Quarterly (minimum of 5,000 records per update; minimum of 20,000 additional records added on a one-time annual basis)
File Size:	431,320 records as of August 1991

ORIGIN

FOUNDATION GRANTS INDEX is produced by The Foundation Center. Questions concerning file content should be directed to:

Online File Support
The Foundation Center
79 Fifth Avenue at 16th Street
New York, NY 10003

Telephone: 212/620-4230
Fax: 212/691-1828
DIALMAIL: 14030

CALIFORNIA GOVERNMENT INFORMATION SOURCES
A PARTIAL LIST

State Government

Official State Govt. Publications

California State Telephone Book, Publications Section, General Services.

Analysis of the Budget Bill, Office of the Legislative Analyst, Legislature.

Governor's Budget, Dept. of Finance.

California Roster, Secretary of State.

California State Publications (monthly list), State Library.

California Statistical Abstract, Publications Section, General Services.

Data Source Handbook, Dept. of Finance.

Records Inventory Schedules, (required from each department; not a published document; on file at State Archives).

Other: Legislative Documents (your local legislators); Publication Lists (sometimes available from the specific department).

Non-Official State Govt. Publications

Guide to California Government. League of Women Voters, Sacramento.

The California Handbook, by Ted Trzyna, California Institute of Public Affairs.

California Journal, (periodical)

Golden State Report, (periodical)

California Regulatory Law Reporter, (periodical), Center for Public Interest Law, Univ. of San Diego School of Law.

The Public Records Acts of California: Applications, policies & exceptions; cross-indexing of the codes, the administrative code and public agency policies, George H. Morris, Southwestern Univ. School of Law. (sold thru George Brand, Calif. FOI Committee, 3565 S. Higuera, San Luis Obispo, CA, 93401, ph: 805-544-8711. $50)

Local Government

Official City or County Govt. Publications

Telephone Directory (internal)

Annual Report

Annual Budget

Minutes of Meetings

General Plan

Charter

Codes

Non-Official Local Govt. Publications

Telephone Directory (local phone company)

California County Fact Book, County Supervisors Assn. of Calif.

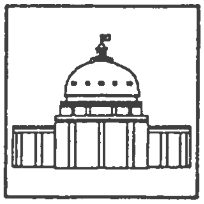
League of California Cities, (misc. publications).

Index to Current Urban Documents, Greenwood Press, N.Y.

Associations of Governments, such as So. Calif. Assoc. of Govts, San Diego Assoc. of Govts, Sacramento Area Council of Govts, Siskiyou Assoc. of Governmental Entities, etc. (example: ABAG, Bay Area Directory of City and County Governments, looseleaf, govt. officials, phone, demographics)

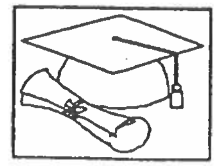
Other: Local Chambers of Commerce; League of Women Voters; County Law Libraries; Public Libraries; Newspapers (Bay Guardian "Resource Handbook", 1971).

January 17, 1991



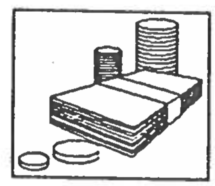
STATE DEPARTMENTS AS SOURCES OF AVAILABLE DATA

state education department



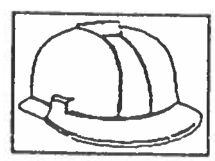
- ☐ directory information (e.g., numbers of schools, enrollments, numbers of days in session)
- ☐ personnel information (e.g., numbers of teachers, counselors, library media specialists, demographics on same, salaries)
- ☐ pupil information (e.g., numbers of pupils by grade by district, demographics on same, dropout statistics)

state revenue department



- ☐ income tax (e.g., numbers of individual & corporate returns, tax rates, liability, revenues)
- ☐ sales tax (e.g., retail sales, tax rates, revenues)
- ☐ property tax (e.g., assessed valuation, mill levies, revenues)

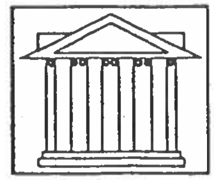
state labor department



- ☐ occupational employment outlook (e.g., current & projected employment, growth, separations, openings)
- ☐ occupational supply & demand (e.g., estimates of supply/demand imbalances, wage information)
- ☐ employment by occupation by industry group (e.g., estimates of occupational employment, percentages of employers reporting occupations)
- ☐ labor force participation, unemployment rates (usually available monthly, quarterly, annually)
- ☐ affirmative action (e.g., occupational employment by racial/ethnic group)

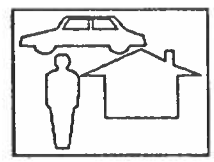
STATE DEPARTMENTS
AS SOURCES OF
AVAILABLE DATA
--continued

state/community development/local affairs department or office of planning and budgeting



- current population estimates (usually available for state, counties, incorporated places, and unincorporated areas of counties, sometimes school and other districts)
- costs of city & county government (total & by service)

state social services department



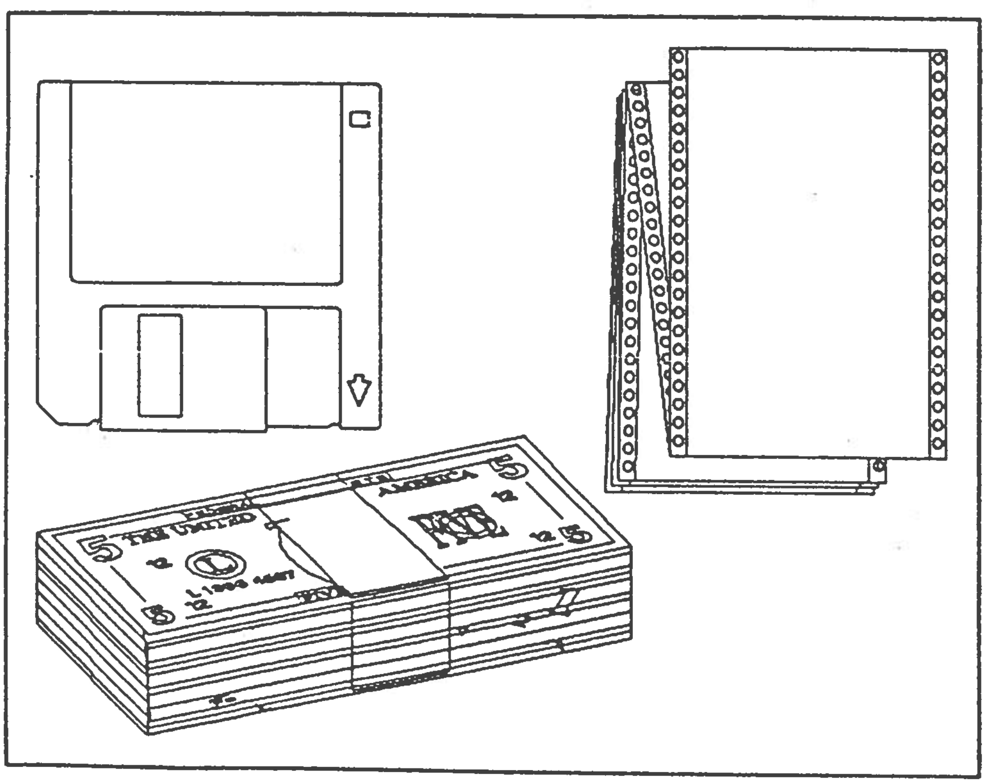
- developmentally disabled (e.g., learning disabled, mentally retarded)
- elderly (e.g., transportation disabled, home health/assisted living recipients)
- physically handicapped (e.g., deaf, blind, mobility-impaired)
- public assistance recipients (e.g., unemployment, aid to families with dependent children)
- refugees & immigrants (e.g., numbers by national origin, language)

Private Sector Sources of Demographic & Economic Data

In analyzing their communities, many library decision-makers wish to have current demographic and economic estimates and projections for zip codes, census tracts, and block groups. Generally, State Data Centers will only have information for these areas from the latest U.S. Census of Population. Annual estimates at these various levels may be available from regional and metropolitan councils of governments.

Names, addresses, and telephone numbers for several national firms that sell current estimates and projections for zip codes, census tracts, and/or block groups are listed below. Products vary in subject matter detail, "user friendliness," accuracy and price, so it is advisable to comparison shop.

American Demographics is a monthly magazine that covers consumer and demographic trends. Its name and address also appear below. It carries informative advertisements for many of these firms and has recently published An Insider's Guide to Demographic Know-How.



American Chamber of Commerce Researchers Association (ACCRA)
1 Riverfront Plaza
Louisville, KY 40202

National Demographics & Lifestyles, Inc.
1621 Eighteenth St.
Denver, CO 80202
303-292-5000

CACI
820 Willow Oaks Corporate Dr.
Fairfax, VA 22031
800-292-2224

National Planning Data Corp.
P. O. Box 610
Ithaca, NY
607-273-8208

Claritas Corporation
201 N. Union St.
Alexandria, VA 22314
703-683-8300

Quality Education Data (QED)
1600 Broadway, 12th Floor
Denver, CO 80202-4912
800-525-5811

Donnelley Marketing Information Services
70 Seaview Ave.
P.O. Box 1025
Stanford, CA 06904-2250
203-353-7474

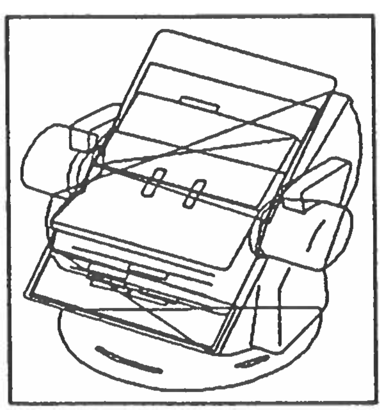
Urban Data Processing, Inc.
25 Linnell Circle
Billerica, MA 01821-3961
617-663-9955

Market Statistics
633 Third Ave.
New York, NY 10017
212-986-4800

Urban Decision Systems, Inc.
P.O. Box 25953
Los Angeles, CA 90025
800-228-7184

National Decision Systems
539 Encinitas Blvd.
Box 9007
Encinitas, CA 92024-9009
619-942-7000

American Demographics
108 N. Cayuga St.
Ithaca, NY 14850
800-828-1133



"An invaluable new tool...by far the most effective resource of its kind."
Frank McCulloch, Managing Editor, *San Francisco Examiner*

"Indispensable...anyone who has to get anything done in California needs this book."
Jeannette Glynn, Technology Library, Bank of America

"California's best-kept secrets are now an open book...this one!"
Michael Singer, News Director, KCBS-TV

From birth to death, California government agencies record hundreds of significant events in the lives of individuals, organizations and businesses. Yet few of us know how to penetrate the bureaucracy to obtain that information. With *Paper Trails*, everyone can now enjoy the same access to public records as veteran investigative reporters, private detectives and corporate researchers.

This 192-page handbook, compiled by the award-winning Center for Investigative Reporting and the California Newspaper Publishers Association, describes and indexes nearly 1,000 of the most important public records from state and local government.

Records covered include those for:

- Property ownership
- Civil and Criminal courts
- Marriage and Divorce
- Licenses and Permits
- Insurance and Banking
- Schools and Universities
- the Environment
- Birth
- Death
- Audits
- Budgets
- Contracts
- Agriculture

Please send me:

____ copies of *Paper Trails* @ $14.95: $______

California residents please add 7.25% sales tax ($1.08 per copy): ______

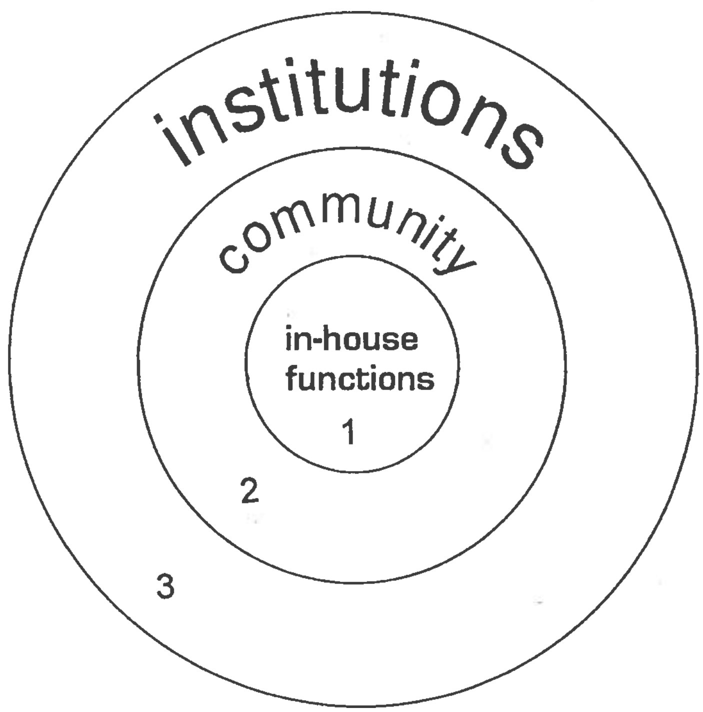
Postage & handling ($1.47 first book + $0.47 each additional): ______

TOTAL ENCLOSED: $______

Send check or money order to: Center for Investigative Reporting
530 Howard Street, 2nd floor
San Francisco CA 94105-3007
(415) 543-1200

Coalition Skills

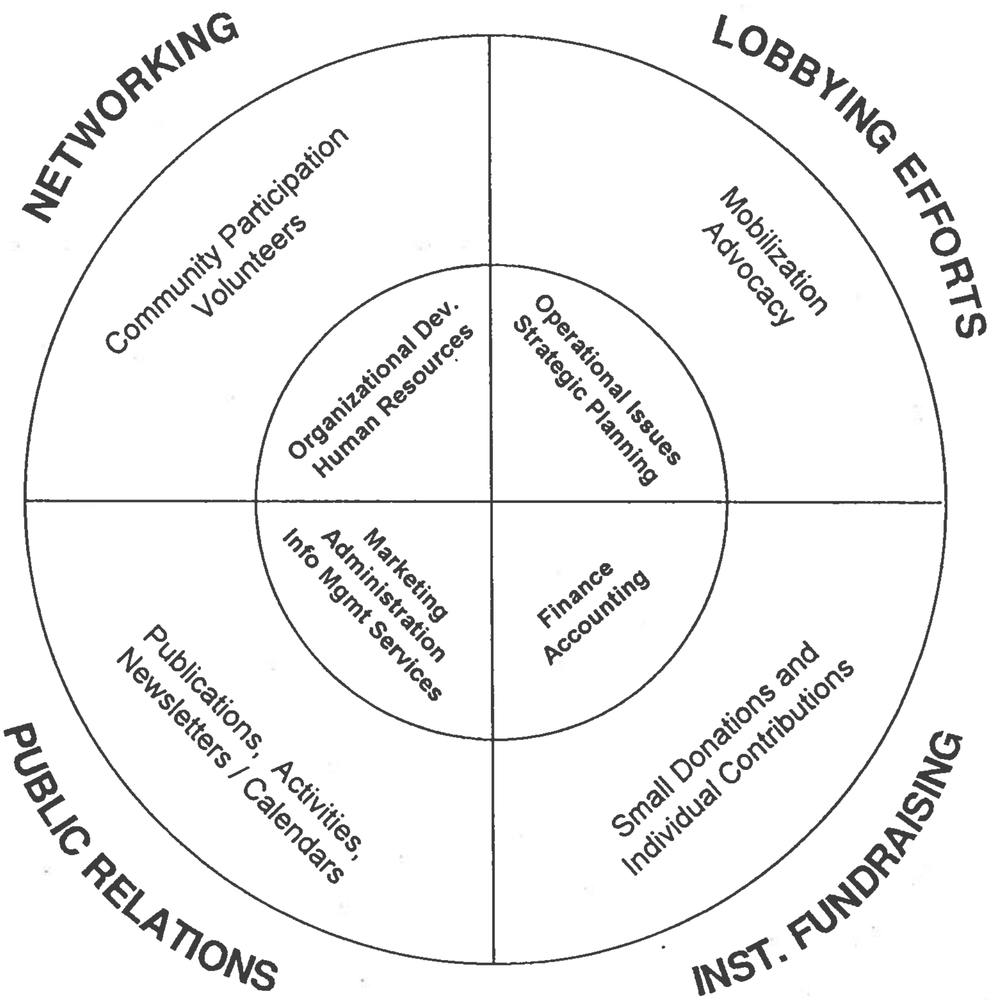
Primary domain of skills



1. Core skills	2. Community org. skills	3. Institutional skills
Finance & Accounting	Citizen participation & Volunteer	Fundraising
Strategic Planning	Newsletters/Calendars	Public relations
Marketing	Collaboration	Networking
Information Mgmt	Donations	Lobbying efforts

Coalition Skills

Detail and domain of skills



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Eisen (1992)

FCC (c1991)

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O-SV (Jan 1992)

O-SV, (c1992)

O-SV (c1991)

OS-V (1991)

Peters (1987)

Weaver & Dennert (1987), APA Journal

Weiss and Merger (1987)

Weiss (1972)

Weiss (1980)

Zenobia (1991)