

# The Foundation Roundtable: Common Grant Application

## Cover Sheet

Foundation you are applying to: The St. Francis Foundation  
Legal Name of Applicant Organization: Alzheimer's Association, California Central Chapter  
Project Name (if applicable): Family Services Program, Santa Barbara  
Funds will pay for: Caregiver training, education and support services for Alzheimer's families  
Full Mailing Address: 1528 Chapala Street, Suite 204, Santa Barbara, CA 93101  
Location(s) if different from above: \_\_\_\_\_  
Executive Director: Rhonda Spiegel  
Phone: (805) 892-4259 Fax: (805) 892-4250  
Email: rspiegel@alz.org Website: alz.org/cscentral  
Contact Person & Title: Mitchel Sloan Phone: (805) 892-4259

Tax-exempt Status:(Most foundations require 501(c)(3) status. You must check this requirement before applying.)

501(c)(3) Granted ☒ Tax I.D. Number: 77-0006745 Other: \_\_\_\_\_

**Type of Request:** *Check with individual foundations to determine the types of accepted grant requests.*

General Support ☐ Program Support ☒ Seed Funding ☐ Research ☐

Capital ☐ Endowment ☐ Multi-Year ☐ Other: \_\_\_\_\_

This Grant Request: \$ 20,000 Total Project Budget: \$ 443,944

Grant Period from: July 2014 To: June 2015

Total Organizational Budget for Current Year: \$ 1,564,855 Fiscal year begins: July

Summarize the organization's mission statement (two to three sentences):

The mission of the Alzheimer's Association is to eliminate Alzheimer's disease through advancement of research, and to provide and enhance care and support for all affected by this devastating disease. We also work to reduce the risk of dementia by promoting brain health. Our Chapter offers comprehensive caregiver support, education and other essential services needed by families throughout Santa Barbara County—all free of charge.

Summarize your grant request (two to three sentences):

We seek \$20,000 to support our core Family Services Program in Santa Barbara. Funding will allow us to train and educate more caregivers to meet the rapidly increasing demands of local families with loved ones affected by Alzheimer's; caregivers often provide round-the-clock care and assistance for up to 20 years on each step of the patient's journey. We are the only organization in Santa Barbara that provides critical and complete services free-of-charge to families coping with Alzheimer's.

### **Proposal Authorization**

We certify that the information in this application is to the best of our knowledge true and accurate and is submitted with our Board of Directors'/Governing Body's full knowledge and endorsement:

Danna McGrew, Chair, Board of Directors 3/26/14

Signature \_\_\_\_\_ Name & Title of Authorized Board/Governing Body Representative \_\_\_\_\_ Date \_\_\_\_\_

Rhonda Spiegel, Executive Director 3/26/14

Signature \_\_\_\_\_ Name & Title of Authorized Board/Governing Body Representative \_\_\_\_\_ Date \_\_\_\_\_

## **Common Grant Request from the Alzheimer's Association, California Central Chapter**

### **BACKGROUND**

#### **1. HISTORY AND ACCOMPLISHMENTS**

The Alzheimer's Association, California Central Chapter, is headquartered in Santa Barbara and was founded 31 years ago. We serve families caring for people with Alzheimer's disease and other dementias in the counties of Santa Barbara, Ventura, San Luis Obispo and Kern. We train caregivers, provide key emotional support and work closely with other local agencies to meet clients' needs for medical, housing and legal resources. We provide *free* vital support for those struggling with Alzheimer's during its often long and unpredictable journey, support that improves the quality of life of both the Alzheimer's patient AND their 24-hour caregivers. *No other organization in our four-county region provides such high-quality, comprehensive Alzheimer services at no cost.*

Between July 1, 2012 and June 30, 2013, we had 6,751 contacts with families in Santa Barbara County. Of those, 3,465 were with unduplicated families. Accomplishments include a Latino Outreach Program to serve a highly vulnerable and underserved population. We have a fully bilingual Care Specialist serving on our Santa Barbara staff and one Care Specialist in Santa Maria. We also have increased on-site presence in such underserved cities as Solvang, Lompoc and Carpinteria, and provide our ongoing free six-week interactive, educational Savvy Caregiver training in English and Spanish. This work has made a significant difference. Additionally, we have developed a partnership with the University of Southern California through their MSW program. This program has allowed us to have master level social work interns in our offices providing services for our families.

#### **2. PROGRAMS AND ACTIVITIES**

Programs address the unique demands and relentless responsibilities of the Alzheimer caregiver. Caregiver skills needed include: nurse, cook, bather, guardian, behavior manager, physician/ medicine liaison, financial overseer, exercise/activity planner, safety supervisor, companion, comforter and decision-maker, all for the Alzheimer patient who, as the disease progresses, can do none of this alone. Our core **Family Services Program** offers complete caregiving training to family members, friends and others, thereby providing a better quality of life for the loved one despite the ravages of this progressive, debilitating and always fatal disease.

Caregiver training comes through professional consultations, individual training sessions, support groups, educational presentations and special events such as retreats. We also provide key resources to families who need legal, medical or other community services. These activities provide families with needed emotional support, education, understanding of their loved one's disease and situation, and the likely progression of the disease – all at the most stressful and trying times of their lives. This work is critical: *Eighty percent of those with Alzheimer's are cared for by family members at home.*

#### **3. THE ALZHEIMER'S ASSOCIATION'S RELATIONSHIPS**

We provide critical information on Alzheimer's disease and work closely with numerous local organizations to share referrals and information, including the Area Agency on Aging, Solvang Friendship House, Caregiver Coalition, Rehabilitation Institute, Visiting Nurse & Hospice Care, Coast Caregiving Resource Center, Goleta Senior Center and Santa Barbara Senior Housing. In concert with our national organization, we also offer a professionally staffed, toll-free 24/7 Helpline that answers calls from families in our Chapter's service area in desperate need of information and referrals for medical diagnoses.

## **Funding Request**

### **1. What need or problem does your project work to address?**

We know that family caregivers who come to us are not prepared for the extreme challenges that Alzheimer's brings, nor for the family transitions that will play out in the years to come. The emotional upheaval of tending for a family member with Alzheimer's frequently fractures families. Caregiving becomes a 24-hour job: Care manager, nurse, cook, bather, guardian, behavior manager, physician/medicine liaison, financial overseer, exercise/activity planner, transporter, safety supervisor, companion, comforter and decision-maker, all for the Alzheimer patient who, as the disease progresses, can do none of this alone. Caregivers deal with doctors, insurance companies and lawyers, and must develop skills to mediate inevitable family conflict. They have to hold it all together around the clock, year after year after year.

Because family caregivers are unprepared and untrained, the mounting toll of demands can be devastating. As Alzheimer's strips loved ones of personality, memories, and physical and mental abilities, caregivers experience an overwhelming cycle of grief, sadness, exhaustion and confusion.

Our **Family Services Program** addresses these needs. The program provides *free* vital assistance, beginning with professional *Care Consultations* with families in crisis—families that face the harrowing diagnosis of a loved one's disease. Our staff provides extensive *Information & Referrals* to these families, referrals that include agencies to help with medical, legal, housing and other concerns. Based on information from the initial *Care Consultations*, we design plans of care for Alzheimer's families, which include *Support Groups*, *Educational Initiatives* and *Safety Services* -- a system established with the Santa Barbara County Sheriff's Office to assist in the safe and timely return of people with Alzheimer's disease who wander or become lost.

Through training, education and resource referrals, family caregivers become more skilled and confident, and their chronic stress from an overbearing workload eases. Our program leads to a greater sense of well-being in both caregivers and the Alzheimer patient, and it protects against the devastation that often accompanies this disease. We need funding to enable our professional Care Specialists to train the increasing number of family caregivers who come to us at one of the most intense and painful times of their lives. *These services are so important, especially for moderate to low-income local families who cannot afford institutional care: Eighty percent of Alzheimer patients are cared for at home by family members.*

Alzheimer's is not a normal part of aging: it is a fatal brain-attacking disease. Still, most of the people affected by Alzheimer's are older than 60. In Santa Barbara County, there are more than 80,000 people age 60 or over. In 10 years, this number is predicted to top the 100,000 mark. The number of Latinos with Alzheimer's is expected to grow at a more rapid pace, and the number of diagnoses in younger people is also rising. These expectations mean we must not only answer the needs of the community today but must prepare to meet the increasing needs of Alzheimer families each year until a cure is found.

To meet future demand, we remain focused on our Strategic Plan to increase capacity ***administratively, financially and programmatically.*** We continue to meet key benchmarks for each of these critical focus areas:

Administratively, we are developing and training teams of volunteers Chapter-wide to effectively help with programs such as support groups and fundraising events.

Financially, we are working hard to increase revenue streams by growing our Walks to End Alzheimer's, The Longest Day, Alzheimer's Women's Initiative, foundation and corporation involvement, and major gifts.

Programmatically, we are sustaining and expanding initiatives for early stage Alzheimer patients and for Latino families using outreach strategies, including implementing the parish-nursing model in Santa Barbara.

The Family Services Program is unmatched by any other organization in Santa Barbara. Without our Chapter, local residents would have nowhere to turn for the essential Alzheimer's services.

**2. In a short paragraph, tell us your project's (or organization's) goals and the specific outcomes you project for the grant period (i.e. numbers served, behavior or attitudes changed, capital project completed, etc.).**

Our goal in the current July 2014 to June 2015 year is to maintain our current level of services for Santa Barbara County, thus reaching many more unduplicated families. We anticipate the following specific outcomes:

- Information and Referrals: 1,30 unduplicated contacts (Baseline FY 2013: 1,360)
- Care Consultations: 200 contacts (Baseline FY 2013: 294)
- Support Groups/Alzheimer's Café: 70 contacts (Baseline FY 2013: 70)
- Education Opportunities: 1650 contacts (FY 2013: 1668)

**3. Describe your project or the capital items requested, including:**

**• Whether the project is new, ongoing or an expansion**

This is a request for an ongoing program.

**• Target audience, including specific demographic information**

Our Chapter targets each family in Santa Barbara County faced with a loved one's Alzheimer diagnosis regardless of socio-economic status, age or ethnic distinction. The majority of people with Alzheimer's are seniors, age 62 and older, although the incidence of younger-onset disease is advancing swiftly. Most of the families who benefit from our services are low- to moderate-income, and most clients are women. Our program strives to meet the needs of those who are underserved, in the most need of support, are at the greatest risk of caregiver burnout, or face premature institutionalization of the patient.

**• Activities/strategies that will be used to meet your stated outcomes**

Our Chapter continues to pursue its Latino Outreach Program, using many strategies to attract families from the Latino community—a community holding strong cultural reluctance to trust established Western healthcare organizations. We also are stepping up our work with Latino and English-speaking media to further publicize the availability of our free Family Services Program.

In addition, our Early-Stage Initiative is drawing families to important social and cultural interactions soon after a patient's Alzheimer diagnosis. This initiative introduces families to our services before they hit crisis mode, alleviating fears about not being able to provide competent caregiving to their mother, father or spouse.

**• General timeline for the main objectives of your project**

Funding to support this work would be applied to our July-June 2014-2015 fiscal year.

**4. If this is a request for General Support, what are your organization's most pressing needs?**

N/A



**5. How do you plan to evaluate the effectiveness or impact of the project?**

We anticipate using two new evaluation tools from our national headquarters to report results achieved from this grant request. These tools are defined below.

- The Core Services Quality Evaluation Initiative (CSQEI) is a Chapter-guided initiative that established a uniform system of measuring the quality of core services. It involves periodic surveys of our program users to measure program satisfaction, outcomes and service quality. (Qualitative)
- Leadership and Solutions Reporting (LASRmetrics) is a measurement tool used to collect and report the Association's overall capacity, performance and goal attainment by measuring key indicators of performance nationwide from each functional area including the number of programs delivered and the number of people served. (Quantitative)

**6. Summarize the skills and relevant experience of key staff/volunteers essential to the project's success. If other organizations are collaborating on this project, note which ones and in what ways.**

Rhonda Spiegel, Executive Director, has spent more than 30 years in health care, starting as an Oncology Registered Nurse. Rhonda went on to earn a Master's in Public Administration while doing an Executive Fellowship with the CEO of the UCLA Medical Center. She has been with our Chapter for more than four years.

Donna Beal, MPH, MCHES, is our Vice President, Program Services & Advocacy. Donna came to the Chapter three years ago after 15 years as the Program Director of the American Lung Association in Santa Barbara. She received her Master's in Public Health at Tulane University and is a Master Certified Health Education Specialist (MCHES). Donna has been recognized by the Society for Public Health Education as one of two California health policy promotion experts in the state.

Mitchel Sloan is the Vice President of Development & Communications. He joined the Chapter 2 years ago and oversees the outreach and fund development efforts. He has more than 15 years of development and communications experience in the California Central Coast and holds a Bachelor's degree from the University of Southern California.

Other key **Family Services Program** staff includes bilingual Alzheimer's Care Specialist Luciana Cramer. Additionally, we have developed a partnership with USC through their online MSW program. This program has allowed us to have master level social work interns in our offices providing services for our families.

**7. If full funding is not available, what is the contingency plan for securing additional support and/or how can you modify your proposal.**

If full funding is not available from this grant, we will continue to work to secure additional grants from other private local and regional foundations, major donors and corporations, as well as fundraising from various initiatives such as our Walks to End Alzheimer's. Since our **Family Services Program** is free-of-charge, we rely on generous local support from foundations such as yours. Any reduction in funding would hinder our ability to meet the growing surge in demand for Alzheimer services in Santa Barbara.

**Applicant name: Alzheimer's Association, California Central Chapter**

**Board of Directors**

Name	City	Affiliation/Profession	Board Position	Yrs. of Service
Danna McGrew	Montecito	Certified Public Accountant	Chair	4
Robert Short	Montecito	Retired Business Executive	Vice Chair	2
Simone Lagomarsino	San Luis Obispo	Bank President	Treasurer	1
Michael Hellman	Goleta	Attorney	Secretary	1
Robert Hirsch	Santa Barbara	Retired Business Executive	Immediate Past Chair	7
Sharon Bick	Ventura	Health Services Executive	Member	3
Dana Newquist	Santa Barbara	Senior Care Facility Owner	Member	3
Steve Lew	Santa Barbara	Retired Film Company Executive	Member	1
Kenneth Kosik, M.D.	Goleta	Neuroscience Professor and Researcher at UCSB	Member	1
William Vasquez	Goleta	CEO of Local Media Group	Member	1
Lol Sorensen	Ojai	Attorney/Mediator	Emeritus	14
Sharon Kennedy	Goleta	Estate Management	Emeritus	11
Lew Watkins	Solvang	Retired Business Executive	Members	6 months

How often does the Board / Governing Body meet?

Quarterly plus an Annual Business Meeting

As of 7/15/13

# PROJECT BUDGET

Organization Name: Alzheimer's Association – California Central Chapter

Name of Project (if different): Alzheimer's Family Services Program – Santa Barbara County

Budget dates for grant period: 7/1/13 – 6/30/14

## **INCOME**

*Possible categories: Government grants, foundation grants, individuals, business support, events, fees for service, etc.*

Source	Total Project (\$)	Pending (\$)	Secured (\$)	Notes
Contributions	114,400	55,340	59,060	
Events	178,931	50,720	128,211	
Corporation	4,000	2,905	1,095	
Foundation Grants	132,000	122,442	9,558	
Fees for Service/Other	14,613	13,187	1,426	
<b>TOTAL INCOME</b>	443,944	244,594	199,350	

List the In-Kind (non-cash) contributions: \_\_\_\_\_

## **EXPENSES**

*Possible categories: Salaries, professional fees, rent and utilities, travel, publicity/outreach, events, capital items, etc.*

Item	Total Project (\$)	This Request (\$)	Notes
Personnel Costs	293,000	\$20,000	Alzheimer's caregiver counselor/educators for Southern Santa Barbara County
Supplies/Equipment/Telecommunications	32,000		
Occupancy	41,000		
Printing/Publications/	13,411		
Conference, Events, Travel	40,325		
Professional Fees	12,208		
Respite	12,000		
<b>TOTAL EXPENSES</b>	443,944	\$20,000	

## Alzheimer's Association Financial Summary

Organization Name: Alzheimer's Association, California Central Chapter, Inc.  
Fiscal Year Dates: 7/1/2013 to 6/30/2014

### **INCOME**

*Possible categories: Government grants, foundation grants, individuals, business support, events, fees for service, etc.*

Source	Prior Year's Actual 6/30/2013	Projected Annual Budget FY14	YTD Actual (\$) 7/1/13 – 2/28/14
Contributions	382,805	306,080	187,002
Events	520,717	548,800	423,485
Investment Income	115,800	112,000	60,040
Foundation Grants	310,050	315,000	188,664
Government Grants	19,110	5,000	7,000
Conferences & Education	44,165	62,425	18,525
Misc Income	144	25,000	0
In-Kind Donations	25,596	80,000	46,329
From Agency Reserves	236,420	110,550	0
<b>TOTAL INCOME</b>	<b>1,654,807</b>	<b>1,564,855</b>	<b>931,045</b>

List the In-Kind (non-cash) contributions: \_\_\_\_\_

### **EXPENSES**

*Possible categories: Salaries, professional fees, rent and utilities, travel, publicity/outreach, events, etc.*

Item	Prior Year's Actual 6/30/13	Annual Budget (\$) FY 14	YTD Actual (\$) 7/1/13-2/28/14
Staffing	1,091,853	995,181	606,206
Professional Fees	102,108	67,305	40,226
Supplies, Phone, Postage	43,751	49,595	18,843
Occupancy, Insurance	170,043	156,154	109,557
Printing, Promotion & Pubs	42,006	57,420	37,349
Conf, Events, Travel	117,185	91,900	32,860
Respite Grants	25,066	30,000	11,294
Depreciation	8,762	7,092	5,623
Other	9,519	11,475	13,264
Membership Dues	18,918	18,733	9,495
In-Kind	25,596	80,000	46,329
<b>TOTAL EXPENSE</b>	<b>1,654,807</b>	<b>1,564,855</b>	<b>931,045</b>
<b>NET PROFIT OR LOSS</b>	<b>0</b>	<b>0</b>	<b>0</b>

Total Capital Expenses	\$	\$	\$0
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*i.e., computers, vehicles, building improvements, etc.:*

Notes: \_\_\_\_\_



# Alzheimer's Association

## Organization Balance Sheet Summary

ASSETS	MOST CURRENT 2/28/14	PRIOR YEAR CLOSE (\$) 6/30/13
<b>Current Assets</b>		
Cash and Equivalents	416,597	377,708
Accounts Receivable	0	70,912
Prepaid Expenses	18,588	5,171
Inventory	0	0
Grants/Pledges Receivable	548,249	407,434
Other	0	7,465
<b>Fixed Assets (Net)</b>		
Property		0
Leasehold improvements	35,680	35,680
Equipment	31,046	32,479
Less: Accumulated Deprec.	(17,883)	(13,473)
<b>Net Fixed Assets</b>	48,843	54,686
<b>Investments</b>		
Donated Land	10,667	10,667
Investment in Limited Partnership	10,000	10,000
Investment in Perpetual Income Trust	2,670,793	2,670,793
<b>TOTAL ASSETS</b>	3,723,737	3,614,836
<b>LIABILITIES</b>		
<b>Current Liabilities</b>		
AP & accrued liabilities	87,598	95,330
Due to National	89,873	75,775
<b>Long Term Debt (over a year)</b>		
Loan	0	0
Other	0	0
<b>TOTAL LIABILITIES</b>	177,471	171,105
<b>Net Assets</b>		
Unrestricted	81,703	328,100
Temporarily Restricted	793,770	444,838
Permanently Restricted	2,670,793	2,670,793
<b>TOTAL LIABILITIES AND NET ASSETS</b>	3,723,737	3,614,836

Internal Revenue Service.

Department of the Treasury

District  
Director

Person to Contact: EO:TPA

ALZHEIMER'S DISEASE & RELATED  
DISORDERS ASSOCIATION, INC.  
ATTN: AKIN OMOTOSHO  
919 NORTH MICHIGAN AVENUE  
SUITE 1000  
CHICAGO, IL 60611

Telephone Number: 1-800-829-1040  
312-435-1040

Refer Reply to: 92-0347

Date: December 12, 1991

RE: ALZHEIMER'S DISEASE & RELATED  
DISORDERS ASSOCIATION, INC.  
EIN: 13-3039601

This letter is to verify exemption under IRC 501(c)(3).

Our records indicate that a group ruling letter was issued to  
Alzheimer's Disease & Related Disorders Association, Inc. and its named  
subordinate organizations in June, 1985.

Inasmuch as the organization named above is a named controlled  
affiliate of Alzheimer's Disease & Related Disorders Association, Inc.,  
you are covered by that group ruling and are therefore exempt under  
Section 501(c)(3) of the Code.

Sincerely,



R. S. Wintrode, Jr.  
District Director

Group Exemption Number (GEN): 9334