

Organization / Agency Information

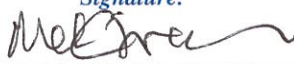

Organization/Agency Name: Ocean Institute		
Physical Address: 24200 Dana Point Harbor Drive		City/State/Zip Dana Point, CA 92629
Mailing Address: same		City/State/Zip
CEO or Director: Mary Lawson		Title: Vice President, External Affairs
Phone: 949 496 2274	Fax: 949 248 5557	Email: mlawson@ocean-institute.org
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Web Site Address: www.ocean-institute.org		Tax ID: 33-0203488

Program / Grant Information

Interest Area: ☐ Animal Protection ☐ Education ☒ Environment ☐ Health ☐ Human Dignity

Program/Project Name: Watershed Program			Amount of Grant Requested: \$25,000
Total Organization Budget: \$6,859,443	Per 990, Percentage of Program Service Expenses (Column B/ Column A x 100): 79.1%	Per 990, Percentage of Management & General Expenses Only (Column C / Column A x 100): 8.2%	Per 990, Percentage of Management & General Expenses and Fundraising (Column C+D / Column A x 100): 20.8%
Purpose of Grant Request (one sentence): We will educate 2,000 primarily underserved fifth graders aiming to create proactive ocean stewards who promote environmental protection while we raise their level of science knowledge and interest.			
Program Start Date (Month and Year): August 2017		Program End Date (Month and Year): June 2018	
Gimbel Grants Received: List Year(s) and Award Amount(s) August 2014 - \$25,000 and June 2015 - \$25,000 Thank you.			

Signatures

Board President / Chair: (Print name and Title) Mel Chambers, Chairman	Signature: 	Date: January 10, 2017
Executive Director/President: (Print name and Title) Mary Lawson, Vice President	Signature: 	Date: January 14, 2017

2017 S.L. Gimbel Foundation Fund APPLICATION

Narrative

I. Organization Background

- A) What are the history, mission and/or purpose of your organization? How long has the organization been providing programs and services to the community?

The Ocean Institute is entering its 40th year of using the ocean as its classroom to inspire students to learn. Long before Science, Technology, Engineering, and Math became popularly known as STEM, the Ocean Institute immersed K-12 students in Standards-based marine science and maritime experiences, taking advantage of a natural fascination with the ocean to drive life changing learning opportunities. We educate, enlighten, and inspire young minds through authentic-learning programming; at the Ocean Institute, *Experience is the Teacher*. Discovery here is very real and often done in collaboration with prestigious research institutions. Programs range from reenactors on our tall ships bringing early California and American history to life to students building robots for undersea exploration. Our scientific, hands-on, participatory approach is the key to what makes the Ocean Institute second to none. Science is in *the doing*, filled with endless questions, constant experimentation, exciting discoveries, and unimagined possibilities.

Since 1977, the Institute has used the ocean's mystery and allure to engage students and public visitors, giving youngsters from underserved communities their first adventures with the ocean, instilling confidence in students sailing historic tall ships, inspiring thousands to become critically-needed ocean advocates, and deepening society's appreciation for how global oceans impact us all. Our research vessel, historic tall ships, seaside learning center, laboratories, and aquariums are all designed for hands-on exploration. We encourage curiosity and serve as an important resource for teachers and communities by providing transformative academic opportunities.

The Ocean Institute sows the seeds for a lifetime of discovery by capitalizing on ubiquitous fascination with the ocean to impart scientific knowledge and instill passion for the environment. Our participants become well-equipped to make informed choices, taking The Ocean Project's "together we can" approach that will heal our oceans.

- B) What are some of your past organizational accomplishments (last three years)?

K-12 Programming:

- Launching a unique floating teaching platform, the Maddie James Seaside Learning Center
- Reaching a milestone of 10,000 Adopt-A-Class, Title I students in one year
- Piloted a Remotely Operated Vehicle program with Boys & Girls Clubs with STEM content.
- Developed a requested teaching techniques strand for Watershed's teachers to build confidence with science content, the scientific method, and inquiry-based teaching skills
- Increased the real-world focus of our Earth's Changing Climate collaboration for Anaheim's ninth graders
- Continuing to add STEM programming such as Ocean Engineers and Earth Scientists that explores the physical dynamics of the ocean's surf zone
- Increasing Ocean in Motion outreach to special needs and underserved students guided by a strategic plan
- Developing school-wide programming for our local RH Dana Elementary that takes advantage of the Pacific Ocean and provides practical professional development for teachers
- Asked to create environmental programming for all grades at Marblehead Elementary

- Partnering with the nearby, new Community Roots Academy to integrate environmental science into all classes
- Developing STEM outreach programming for the oceanography-focused Museo Katsuo at the Universidad Autonoma de Baja California
- Collaborating on an ocean science enrichment academy for underserved students in Anaheim's Magnolia High's STEM Club and Dale Junior High's STEM and ROOTS Club

Public Programming:

- Opened *Headlands & Beyond*, exhibits highlighting local ecosystems that inspire new ocean and environmental stewards
- Presenting Themed Weekdays: *Marine Impacts Monday*, *Tidepool Tuesday*, *Whale Wednesday*, *Tall Ship Thursday*, and *Fintastic Friday*
- Serving families with interactive programming such as our series Tiny Tots: Parent and Me
- Leading tours of our adjacent Native Plant Preserve with knowledgeable high school interns
- Creating Family Science Nights: Sharks!, Science Behind Fireworks, The World of Waves
- Hermit Crab Labs for families
- Kayaking through Dana Point Harbor's ecosystem

C) What are your key programs and activities? Describe the communities you serve. Include populations, geographic locations served, and relevant statistics.

Key K-12 programs include marine science and maritime history offerings: *Watershed*, *Tall Ship Overnight*, *A House for Hermit Crab*, *Sea Floor Explorers*, *Life in the Abyss Overnight*, *Human Impacts on Coastal Ecosystems Lab and Cruise*, and *Living Systems Lab and Cruise*. Demographics of students in Orange County - our largest audience - are 62% Hispanic, 23% Caucasian, 7% Asian, and over 2% African American. In grant-funded initiatives, upwards of 90% are on the federal free meal program and, for 80%, English is not the first language. Our public programming serves interested families, individuals, and tourists from California and beyond seven days a week.

II. Project Information:

A) Statement of Need

1. Specify the community need you want to address and are seeking funds for.

Our Watershed Program carries no fee and helps teachers in underserved schools meet the need for truly engaging educational programming. Science is the basis for ocean and environmental experiences that are truly transformative for the ten-year-olds, many of whom are seeing the ocean for the first time. We encourage the children's curiosity, any nascent interest in science, and their growing concern for protecting their environment. The program not only creates proactive environmental stewards, it connects students to science in a way that can influence their academic futures.

B) Project Description

1. Describe your project. How does your project meet the community need? What is unique and innovative about this project?

Watershed's goal is to use science, the ocean, and environmental concerns in students' own communities to create proactive environmental stewards who influence peers, families, and community leaders to take action with them. The program prepares teachers then immerses students in real-world science, making far deeper impact than classroom-based, textbook science by sparking informed behavior and encouraging curiosity. While discovering the interdependency of watersheds and oceans, students deploy scientific equipment on the *R/V Sea Explorer* and conduct experiments in our learning

labs. Each class conducts scientific investigations of community environmental issues, uses those project findings to create presentations that they present at Kids' Conference. Continuing to mirror professional scientists, impact is multiplied as community leaders invite students to present their projects to raise environmental awareness. Watershed is unique in how it engages over several months and in its level of immersion. Components are:

- Teacher Workshops: To prepare teachers for the program and provide training on inquiry-based science teaching, confidence-building in teaching science, scientific method practice, and elements of research protocol
- In-class Preparation: Institute instructors conduct pre-trip activities for 2,000 students in class
- Field Trips: Research at sea on the *R/V Sea Explorer* and authentic-learning in science labs
- Research Projects: Student-scientists research an environmental issue and create presentations of their scientific findings
- Kids' Conference: Students present projects to peers and professionals
- School and Community Presentations: Students build environmental awareness, commitment, and action through their community presentations

C) Project Goal, Objectives, Activities and Expected Outcomes – Note that Objective, Outcomes and Evaluation must all be based on the same quantifiable criteria. State ONE project goal. The goal should be an aspirational statement, a broad statement of purpose for the project.

- To educate 2,000 underserved fifth grade students about the health of their environment through hands-on, science-based programming on the ocean and watersheds.

State ONE objective. Objectives should be specific, measurable, verifiable, action-oriented, realistic, and time-specific statements intended to guide your organization's activities toward achieving the goal.

- Over five months, use marine science, ocean and local watershed issues to inspire 2,000 underserved fifth graders to become environmental stewards.

Specify the activities you will undertake to meet the objective and number of participants for each activity.

- All 2,000 students will participate in Watershed's field day of environmental science activities, labs, experiments, and ocean research. The students then will work together as a class with our guidance to choose a local environmental issue to research and document findings. Then they will create scientific presentations and present them at Kids' Conference, at school, and in their communities.

Expected outcomes are the individual, organizational or community-level changes that can reasonably occur during the grant period as a result of the proposed activities or services. What are the key anticipated outcomes of the project and impact on participants?

- Intended outcomes during the grant year include 2,000 fifth graders taking ownership of their ocean and learning to promote environmental protection. Participants will also explore local watersheds and how theirs connects to the ocean, understanding that behavior in their communities directly impacts the ocean. We engage students in science throughout Watershed, naturally building their confidence with its complex content. This leads to improved test scores and awareness that science might well be for them.

Evaluation How will progress towards the objectives be tracked and outcomes measured? Provide specific information on how you will collect relevant data and statistics that meet your objective and validate your expected outcomes as you describe your evaluation process.

- To track the impact on 2,000 fifth graders, our instructors and participating teachers will measure baseline pre-trip knowledge and then evaluate progress through observation and surveys. We will measure at these specific stages: post-field trip, post-Kids' Conference, and post-community presentations. Evaluation methods include:
 - * Administering pre-program tests to determine baseline science and environmental knowledge
 - * Documenting the understanding of concepts during pre-trip classroom activities
 - * Using teacher observation to assess changes in science aptitude in class
 - * Administering post-field trip evaluation to determine impact on students
 - * Gaining insight into student retention of science knowledge during research projects
 - * Observing project success and taking a survey of progress after the presentations will gauge environmental knowledge and interest in its protection
 - * Administering post-program questionnaires as summative evaluation

D) Timeline

Provide a timeline for implementing the project. State the start date and ending date of the project, include timeframes for specific activities, as appropriate.

Teacher Training Workshop – August 2017

In-class Preparation and Follow-up – September (pre-field trip) and October (post-field trip)

Student Field Trips - September and October, four-hour science labs and ocean research voyages

Environmental Research Projects - October through December, in local communities

Kids' Conference – January 2018, ten days of student presentations at the Ocean Institute

School and Community Presentations - February through June, as invited by community leaders and citizen action groups

E) Target Population

Who will this grant serve? How many people will be impacted? Provide a breakdown:
Number of Children, Youth, Adults, Seniors, Animals.

Watershed is an annual authentic-learning experience that impacts 2,000 underserved fifth graders. We launched the program in 2004 for ten-year-old students facing barriers to accessing the ocean and the natural environment. The annual program engages 2,000 children, their peers and family members, and 70 teachers in scientific exploration of the environment. We track data on www.ed-data.k12.ca.us, a state website that confirms demographics of Watershed students as high as 90% on the federal free/reduced meal program and 80% from families where English is not the first language.

F) Projects in the Community

How does this project relate to other existing projects in the community? Who else in the community is providing this service or has a similar project? Who are your community partners (if any)? How are you utilizing volunteers?

OC Coastkeeper and the Cabrillo Marine Aquarium offer science field trips aligned with classroom curriculum. However, Watershed lasts several months and captivates with first-hand exposure to the ocean and students' own watersheds. Watershed completely immerses children in science, explores real-world issues, and mirrors professional scientists at work. It provides opportunities for scientific research, using findings to create environmental presentations, and presenting at Kids' Conference and

to community leaders. Institute partners include Miocean Foundation as the presenting sponsor and SIMA Environmental Fund as a founding funder. The teachers partner with us by committing to complete the entire program for the benefit of their students. Water quality professionals and environmental experts partner as role-model keynote speakers at Kids' Conference who motivate new stewardship. Experts come from Get Inspired, Surfrider, Algalita, Laguna Ocean Foundation, OC Coastkeeper, and Scripps Institution of Oceanography.

G) Use of Grant Funds

How will you use the grant funds?

We would be very grateful for a \$25,000 grant to provide twenty-five ocean research voyages on the *R/V Sea Explorer* that are a fundamental and fun component of Watershed. The ten-year-old students become oceanographers and the impact of these voyages is extraordinary. Many of the children are on a boat at sea for the first time.

III. Project Future

A) Sustainability

Explain how you will support this project after the grant performance period. Include plans for fundraising or increasing financial support designated for the project.

This flagship program is popular with a waiting list of Title I fifth grade teachers so we are committed to sustaining it. Repeat teachers are a testament to the program's effectiveness. Watershed is grant-funded; underserved schools would not be able to participate if there were a fee. Our education staff updates content to meet State educational objectives and seeks grants and scientific partners to sustain the program. Our Board of Directors makes Watershed a priority and:

- Seeks out colleagues who are business and community leaders and who could be sources of support individually, through family foundations, or through their companies
- Cultivates potential donors by hosting them at Kids' Conference, showcasing its impact
- Helps identify prospective funders including foundations with relevant guidelines
- Uses a compelling Letter of Inquiry to introduce the program through timely submissions

IV. Governance, Executive Leadership and Key Personnel/Staff Qualifications

A) Governance - Describe your board of directors and the role it plays in the organization. What committees exist within your board of directors? How does the board make decisions?

The Board of Directors, comprised of business leaders who want to make a difference for education and the ocean, provides strategic governance and votes on key organizational issues. The Executive Committee meets monthly to cover timely action items, and the full Board meets quarterly. Other committees are Education, Finance, Major Gifts, and Board Governance.

B) Management - Describe the qualifications of key personnel/staff responsible for the project.

Jonathan Witt joined the staff in 2004 to manage the then-emerging Watershed program he now oversees as Senior Education Director. Previously he was with the CA Environmental Project and on the education team of the Conservancy of Southwest Florida. Karen Jhavar, Director of Environmental Programs, ensures Watershed's curriculum components stay current and relevant to teachers' needs and manages all aspects of Watershed's delivery. Karen, here since 2009, has a BS in marine science and her teaching credential from CSU Long Beach.

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V. Project Budget and Narrative

A) Budget Table:

Line Item Request	Line Item Explanation	Support From Your Agency	Support From Other Funders	Requested Amount From Gimbel/TCF	Line Item Total of Project
Field trip programs including ocean research cruises	Program fee @ \$1,825/class for 70 classes, includes \$1,000/ocean research cruise	0	102,750	25,000 for 25 <i>R/V Sea Explorer</i> ocean cruises	127,750
School bus trips	2 round trips to Ocean Institute, 70 x 2 @ average of \$393 each	0	55,000	0	55,000
Kids' Conference wages	Ten days, 6 instructors, \$15 per instructor for 8 hours, \$720 per day	7,200	0	0	7,200
Director, Environmental Programs	Four months of \$45,000 annual salary to lead Watershed	15,000	0	0	15,000
Teacher Workshops	Develop and conduct workshops	0	6,500	0	6,500
Mentor Visits	2 visits during research project phase to 70 classes @ \$200/visit	0	28,000	0	28,000
Community projects	\$200 for each of 70 classes for research project and presentation materials	0	14,000	0	14,000
TOTALS:		\$22,200	\$206,250	\$25,000	\$253,450

B) Narrative:

1. Watershed Field Trip Programs: \$1,825 program fee for 70 field trips, includes research cruises at \$1,000 per class.
2. School bus: Two round trips to Ocean Institute from schools, one for field trip and one for Kids' Conference, 140 trips @ \$393
3. Kids' Conference wages: ten days of student presentations in January, six instructors, \$15 per hour for 8 hours, \$720 per day total
4. Director salary: Four months of \$45,000 annual salary to manage all aspects, \$15,000
5. Teacher Workshops: To develop and provide teaching techniques workshops to increase quality of in-class science for students
6. Mentor Visits: Our instructors go to the classes to mentor teachers on science by assisting with student research projects
7. Community Projects: Funding for materials needed to conduct environmental research projects and for community presentation materials

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VI. Sources of Funding: Please list your current sources of funding and amounts.

Secured/Awarded

Name of Funder: Foundation, Corporation, Government	Amount
SIMA Environmental Fund	\$11,000

Pending

Name of Funder: Foundation, Corporation, Government	Amount	Decision Date
S.L. Gimbel Foundation	\$25,000	May
Miocean Foundation	\$50,000	June
SDG&E	\$25,000	October
Norris Foundation	\$10,000	November
Wells Fargo	\$5,000	November
Edwards Lifesciences Foundation	\$2,500	November
The Boeing Company	\$50,000	November

Diversity of Funding Sources: A financially healthy organization should have a diverse mix of funding sources. Complete those categories that apply to your organization using figures from your most recent fiscal year.

Funding Source 2015 Audit	Amount	% of Total Revenue	Funding Source	Amount	% of Total Revenue
Contributions	\$1,126,996	17	Program Fees	\$2,874,765	43.4
Fundraising/Special Events	\$289,602	4.3	Interest Income	\$7,839	.1
Corp/Foundation Grants	\$1,122,955	17	Book/Gift Shop	\$346,739	5.2
Government Grants	\$0	0	Rental & Raffle	\$858,204	13

Notes:

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VII. Financial Analysis

Agency Name: Ocean Institute

Most Current Fiscal Year (Dates): From: 1/1/15 (990) **To:** 12/31/15

This section presents an overview of an applicant organization's financial health and will be reviewed along with the grant proposal. Provide all the information requested on your **entire organization**. Include any notes that may explain any extraordinary circumstances. Information should be taken from your most recent 990 and audit. **Double check your figures!**

Form 990, Part IX: Statement of Functional Expenses (2015)

1) Transfer the totals for each of the columns, Line 25- Total functional expenses (page 10)

(A) Total Expenses	(B) Program service expenses	(C) Management & general expenses	(D) Fundraising expenses
\$ 6,859,443	\$ 5,427,244	\$ 568,013	\$ 864,186

2) Calculate the percentages of Columns B, C, and D, over A (per totals above)

- Program services (B) – A general rule is that at least 75% of total expenses should be used to support programs
- Management & general administration (C) – A general rule is that no more than 15% of total expenses should be used for management & general expenses
- Fundraising (D) – A general rule is that no more than 10% of total expenses should be used for fundraising

(A) Total Expenses	(B) Program service expenses	(C) Management & general expenses	(D) Fundraising expenses
	Columns B / A x 100	Columns C / A x 100	Columns D / A x 100
Must equal 100%	79.1%	8.3%	12.6%

3) Calculate the difference between your CURRENT year budget for management & general expenses and your previous management & general expenses per your 990 (Column C)

Percentage of Organization's <u>Current</u> Total Budget used for Administration (from cover page)	Column C, Management & general expenses per 990 above	Differential
15.3%	8.3%	<u>7%</u>

If the differential is above (+) or below (-) **10%**, provide an explanation: The planned figure of 15.3% is higher than it will be at the end of the year because our CFO is conservative in his financial approach to budgeting and each year the actual administrative overhead comes in lower.

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Quick Ratio: Measures the level of liquidity and measures only current assets that can be quickly turned to cash. A generally standard Quick Ratio equals 1 or more.

Cash '15 audit	+ Accounts Receivables	/Current Liabilities	= Quick Ratio
\$1,126,384	\$19,165	\$1,348,575	.85

Excess or Deficit for the Year:

Excess or (Deficit) Most recent fiscal year end 2015	Excess or (Deficit) Prior fiscal year end 2014
- \$508,870	- \$1,071,251

Notes: The Current Liability figure was high because it included over \$500,000 in home raffle prize winnings that were owed to the winner.

VIII. Application submission check list:

<u>Submit FOUR (4) Copies: 1 ORIGINAL (WITH ORIGINAL SIGNATURES) and 3 copies, collated and stapled together of the following:</u>	<u>Submit ONE (1) Copy:</u>
Completed Grant Application Form (cover sheet, narrative), budget page and budget narrative (see sample) and sources of funding, financial analysis page	A copy of your current 501(c)(3) letter from the IRS
Your current operating budget and the previous year's actual expenses (see sample Budget Comparison)	A copy of your most recent year-end financial statements (audited if available; double-sided)
Part IX only of the 990 form, Statement of Functional Expenses (one page). If you completed a 990-EZ, fill out the attached Part IX, Functional Expenses of the 990 form using figures from your 990-EZ	A copy of your most recent 990 (double-sided)
For past grantees, a copy of your most recent final report.	A list of your Board members and their affiliations


OCEAN INSTITUTE	2016 PLAN	2015 EST. ACTUAL
UNRESTRICTED / OPERATIONS REVENUE		
Total Educational Programs	\$ 4,252,685	\$ 4,126,592
Total Retail	650,401	613,555
Total Fundraising	1,716,500	1,968,515
Total General and Administrative	-	149
Home Raffle	2,550,000	2,093,850
Contra Revenue (Grants/AAC)	(973,458)	(1,094,026)
TOTAL UNRESTRICTED REVENUE	8,196,128	7,708,634
Cost of Goods Sold	158,580	160,088
GROSS OPERATIONAL PROFIT	8,037,548	7,548,546
OPERATIONAL EXPENSES		
Total Educational	4,050,898	3,901,404
<i>as % of Educational Revenue</i>	<i>95.3%</i>	<i>94.5%</i>
Total Retail	285,433	252,293
<i>as % of Retail Revenue</i>	<i>43.9%</i>	<i>41.1%</i>
Total Fundraising	520,908	642,286
<i>as % of Fundraising Revenue</i>	<i>30.3%</i>	<i>32.6%</i>
Raffle Expenses	1,933,769	1,526,696
<i>as % of Raffle Revenue</i>	<i>75.8%</i>	<i>72.9%</i>
Total General and Administrative	1,227,406	1,265,607
<i>as % of Gross Profit Revenue</i>	<i>15.3%</i>	<i>16.8%</i>
TOTAL OPERATIONAL EXPENSES	8,018,414	7,588,285
<i>as % of Gross Profit Revenue</i>	<i>99.8%</i>	<i>100.5%</i>
TOTAL NET INCOME BEFORE DEPRECIATION	19,133	(39,739)
Depreciation	800,000	759,378
NET UNRESTRICTED INCOME (LOSS)	(780,867)	(799,117)
RESTRICTED REVENUE		
Capital Campaign	-	461,200
Endowment - Permanently Restricted	29,100	24,230
TOTAL RESTRICTED REVENUE	29,100	485,430
RESTRICTED EXPENSES		
Restricted Expenses	8,400	84,620
TOTAL RESTRICTED EXPENSES	8,400	84,620
NET RESTRICTED INCOME (LOSS)	20,700	400,811
NET INCOME (LOSS)	\$ (760,167)	\$ (398,307)

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐**Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.**

	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	0	0		
2 Grants and other assistance to domestic individuals. See Part IV, line 22	0	0		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16	0	0		
4 Benefits paid to or for members	0	0		
5 Compensation of current officers, directors, trustees, and key employees	487,787	19,723	280,971	187,093
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	0	0	0	0
7 Other salaries and wages	2,784,613	2,494,906	43,169	246,538
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	0	0	0	0
9 Other employee benefits	232,028	180,012	6,212	35,804
10 Payroll taxes	209,052	187,604	3,211	18,237
11 Fees for services (non-employees):				
a Management	0	0	0	0
b Legal	22,250	0	22,250	0
c Accounting	2,251	0	2,251	0
d Lobbying	26,000	17,917	3,789	4,284
e Professional fundraising services. See Part IV, line 17	0			0
f Investment management fees	8,142	0	8,142	0
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)	186,767	111,948	13,100	61,719
12 Advertising and promotion	199,055	182,435	1,926	14,694
13 Office expenses	1,084,016	1,016,641	12,054	65,321
14 Information technology	0	0	0	0
15 Royalties	0	0	0	0
16 Occupancy	485,579	368,135	44,755	72,689
17 Travel	48,644	40,537	2,340	5,767
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0	0	0	0
19 Conferences, conventions, and meetings	11,309	6,104	229	4,976
20 Interest	47,174	38,482	1,016	7,676
21 Payments to affiliates	0	0	0	0
22 Depreciation, depletion, and amortization	767,024	538,511	106,862	121,651
23 Insurance	247,752	214,289	15,726	17,737
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a				
b				
c				
d				
e All other expenses	0	0	0	0
25 Total functional expenses. Add lines 1 through 24e	6,859,443	5,427,244	568,013	864,186
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720)				

 The Community Foundation	S.L. Gimbel Foundation Fund Grant Evaluation Form
Grant Period:	June 1, 2015 – May 31, 2016

Organization: Ocean Institute

Contact Name: Jane Birmingham

Title: Director, Grants

Phone Number: 949/496-2274 x 410

Grant Period: June 1, 2015 – May 31, 2016

Award Amount: \$25,000

Grant Number: 20150352

- Describe the project's key outcomes and results based on your goals and objectives. Provide the number of clients served and other relevant statistics.

The Watershed Education Program created passionate and proactive environmental stewards by hooking 1,540 primarily underserved fifth graders on the ocean and the environment through marine science-based experiences. Their first-time involvement with the ocean sparked a desire to be active stewards using newly-informed behavior. Twenty-one southern California schools participated as a result of your and other's generosity. Thank you.

As we wrote in the proposal, through this unique opportunity for a rich field experience in science, students become committed to value and take action to improve the health of marine, coastal, and land environments. The impact is increased when students promote science-based environmental stewardship in their communities, creating an informed citizenry. Outcomes are:

1. New fifth grade environmental stewards empowered and taking action to influence others
2. Students making an impact using newly-learned 21st Century skills of collaboration, communication, creativity, critical thinking, innovation, and problem solving
3. Through new exposure to the ocean and marine science, students developing new interest in opportunities to enter the front end of America's science pipeline
4. Students newly experienced and confident in making presentations to educate large audiences

- What were the challenges and obstacles you encountered (if any) in attaining your goals & objectives? How did you overcome and/or address the challenges and obstacles? What were the lessons learned?

The program's reach varies somewhat from year to year, depending on grant funding. We continue to face the challenge of raising sufficient funding to include teachers on the waiting list.

- Describe any unintended positive outcomes as a result of the efforts supported by this grant.

Teachers have asked for expanded engagement activities to support their teaching of this program. We have begun to address this request with training on inquiry-based science teaching techniques, confidence-building in science, and exploring research protocol.

Feedback from teachers is always welcome. One positive example is:

"As a fifth grade teacher, I know how difficult it is to have 100 percent engagement of a class of ten year olds. Watershed engages all students and sparks interest in the environment in students who never thought about it before. At Kids' Conference, I watched as my students' confidence in their new knowledge and their new courage to present scientific data to peers and professionals skyrocketed. Thank you for giving my students the opportunity to excel."

- Describe the overall effect this grant has had on your organization.

Your grant makes an enormous difference at the Ocean Institute and for the children we serve. We thank you. Watershed has become a flagship program of the Ocean Institute; its high quality level reflects on the entire organization. Your grant funding helps make that possible by supporting its key elements that provide such a valuable educational experience to fifth graders throughout the region. The program also uses the grant wisely to ensure Watershed sets the standard we strive for in programs we offer to the community.

Your grant's endorsement of Watershed directly advances our mission. Fourteen years of the program continue to put the Ocean Institute "on the map." Ten year old students from low-income families would never have the opportunity to come to the Ocean Institute without your funding; through this initiative, your partnership with us changes lives. Because of you, the Ocean Institute is able to provide students with their first ocean experience, first opportunity to conduct authentic research, first time to develop and make presentations in front of large audiences, and first time taking action to improve their communities.

- Tell us a few success stories that made an impact on your organization and/or community as a result of this grant.

Participating teachers tell us success stories about their students that show the impact of the Watershed program. A school's fifth grade science test scores improved significantly, one class project won a City award, and one class persuaded a major fast-food corporation to redesign, reduce, and eliminate its product packaging that was polluting their beach and ocean.

This year, one group of students tested gray water to see if it could be used to water plants during the current California drought. They discovered that the water with the most dissolved chemicals produced the smallest plant growth, but they also wisely concluded that using gray water is cost effective because a slower rate of growth leads to less landscaping expense!

Another group explored the reality that, in an effort to conserve water due to the drought, households are rerouting the water that is released from their washing machines into their gardens. They researched if this water would cause changes in the soil over time affecting the groundwater. Although the assumption was that gray water would be harmful to the environment, their research found that plants actually benefit from the nutrients found in gray water. But, yes, gray water does affect the soil.

- Provide a financial report on the use of your grant funds with a narrative.

Financial Report on Use of \$25,000 Grant

We are very grateful for your \$25,000 grant to Watershed that makes a meaningful difference for many youth. This funding helps provide arguably the most inspiring and memorable aspect of the program – open-ocean cruises on our research vessel. Without this grant, many fewer students would participate in Watershed overall because we would

not be able to provide as many trips to sea on the research vessel. We would never omit this impactful component of the program for any student.

The grant was used for ocean research cruises on the *R/V Sea Explorer* at \$950 per cruise. Twenty-six cruises were provided. Line-item expenses for each of the twenty-six cruises include fuel; wages for Captain, Tech Staff, Instructors, and Floating Lab Specialists; insurance; maintenance and depreciation.

Thank you.

- ❖ Please send copies of publicity and other promotional materials.
- ❖ All variances or time extensions must be approved by The Community Foundation's Grant Committee. Please contact us at 951-684-4194, ext. 114 immediately if a variance or extension becomes necessary.

Please return the completed form to:

Celia Cudiamat, Executive Vice President of Programs
3700 Sixth St., Suite 200, Riverside, CA 92501
ccudiamat@thecommunityfoundation.net

S. L. Gimbel Foundation Application Checklist

Date: 1.24.17

Docket # (Grant Cycle): 1

Conducted by: A. VALDERICEDA

Organization Name: OCEAN INSTITUTE

Amount Requested: \$25,000

	<u>Submit FOUR (4) Copies: 1 ORIGINAL (WITH ORIGINAL SIGNATURES) and 3 copies, collated and stapled together of the following:</u>		<u>Submit ONE (1) Copy:</u>
✓	Completed Grant Application Form (cover sheet, narrative (4 pages maximum), budget page and budget narrative (see sample) and sources of funding, financial analysis page	✓	A copy of your current 501(c)(3) letter from the IRS
✓	A list of your Board members and their affiliations	✓	A copy of your most recent year-end financial statements (audited if available; double-sided)
✓	Your current operating budget and the previous year's actual expenses (see sample Budget Comparison)	✓	A copy of your most recent 990 (double-sided) <i>FORM 990-EZ SUBMITTED</i>
✓	Part IX only of the 990 form, Statement of Functional Expenses (one page). If you completed a 990-EZ, fill out the attached Part IX, Functional Expenses of the 990 form using figures from your 990-EZ		
✓	For past grantees, a copy of your most recent final report.		

NOTES:



**2016
Board of Directors
Roster**

Supervisor Lisa Bartlett
County of Orange Board of Supervisors
5th District
333 W. Santa Ana Blvd., 5th Floor
Santa Ana, CA 92701

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Charles C. (Cliff) Bream III
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Dana Point, CA 92629

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Scott Connella – **Treasurer**
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Robert E. Harris Insurance Agency
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Costa Mesa/Irvine, CA 92606
Assistant -

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President
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Email: Michael.torcaso@tabs.toshiba.com

2016 Board of Directors Roster

John Tomlinson
Mayor- City of Dana Point
33282 Golden Lantern, Suite 203
Dana Point, CA 92629

Assistant – Jackie Littler
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WK (949) 248-3500
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Wave Hospitality Advisors
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Laguna Niguel, CA 92677
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Direct Line (402) 680-6000

Email: alans@omahasteaks.com

Alternate to Board of Directors
Richard Viczorek
Mayor Pro Tem
City of Dana Point

Internal Revenue Service

Department of the Treasury

P. O. Box 2508
Cincinnati, OH 45201

Date March 24, 2000

Person to Contact:
Kathy Masters #31-04015
Customer Service Representative
Toll Free Telephone Number:
8:00 a.m. to 9:30 p.m. EST
877-829-5500
Fax Number:
513-263-3756
Federal Identification Number:
33-0203488

Ocean Institute
P.O. Box 69
Dana Point, CA 92629-0069

Dear Sir or Madam:

This letter is in response to your request to change the name of your organization from Friends of the Marine Institute of Orange County to Ocean Institute as shown in your amended articles dated November 23, 1999.

Our records indicate that a determination letter issued in July 1997 granted your organization exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. That letter is still in effect.

Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes.

Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Ocean Institute
33-0203488

Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on the Form 990-T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

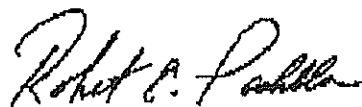
The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. You are also required to make available for public inspection a copy of your organization's exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the organization's permanent records.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

This letter affirms your organization's exempt status.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert C. Padilla". The signature is fluid and cursive, with the first name "Robert" being the most prominent part.

Robert C. Padilla
Manager, Customer Service



Strengthening Inland Southern California through Philanthropy

BOARD OF DIRECTORS March 28, 2017

Sean Varner
Chair of the Board

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Chief Financial Officer

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Secretary of the Board

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Meredyth "Charlie" Meredith

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Kathleen Sawa

Philip Savage IV
Immediate Past Board Chair

Dr. Henry Shannon

Tamara Sipos

Beverly Stephenson

Randall Tagami

Diane Valenzuela

Paula Myles
Interim President and CEO

Ms. Mary Lawson
Vice President, External Affairs
Ocean Institute
24200 Dana Point Harbor Drive
Dana Point, CA 92629

Dear Ms. Lawson:

Congratulations! A grant has been approved for **Ocean Institute** in the amount of **\$25,000.00** from the S.L. Gimbel Foundation. **The performance period for this grant is April 15, 2017 to April 15, 2018.** Additional funding beyond the performance period is not guaranteed. It is highly recommended that alternative funding sources be sought accordingly. The grant is to support the following as specified in your proposal:

To educate 2,000 underserved fifth graders to create proactive ocean stewards.

This grant is subject to the terms outlined in the enclosed Grant Agreement. After you have reviewed the terms and conditions of the Grant Agreement, **please sign and date the agreement and return with original signature to The Community Foundation by Friday, April 28, 2017.** Be sure copy the signed agreement for your records. Funds will be released upon receipt of the signed Grant Agreement.

A condition of this grant is that you agree to submit the Grant Evaluation Form which includes a narrative report and fiscal report. **The Grant Evaluation is due by May 15, 2018** and a copy will be available online.

We wish you great success and look forward to working with you during the grant performance period. If you have any questions, please call me at 951-241-7777, ext. 114.

Sincerely,

Celia Cudiamat
Executive Vice President of Programs

9735 Ocean Institute 20170151 GIMB





Strengthening Inland Southern California through Philanthropy

3700 Sixth Street, Suite 200

Riverside, CA 92501

P: 951-684-4194

F: 951-684-1911

www.thecommunityfoundation.net

**S. L. Gimbel Foundation Fund
Grant Agreement**

Organization: Ocean Institute

Grant Amount: \$25,000.00 **Grant Number:** 20170151

Grant Period: April 15, 2017 to April 15, 2018 (*Evaluation Due: May 15, 2018*)

Purpose: To educate 2,000 underserved fifth graders to create proactive ocean stewards.

1. Use of Grant Funds

Grant funds must be expended within the grant period, for the purpose and objectives described in your grant proposal. Grant funds may not be expended for any other purpose without prior written approval by The Community Foundation. If there are significant difficulties in making use of the funds as specified in your proposal, or if the grant funds cannot be spent within the grant period, notify us in writing promptly.

Formal requests for extensions or variances must be submitted to the Foundation's Board of Directors for approval a minimum of 60 days before the end of the grant period.

Requests for variances or extensions are reviewed on a case-by-case basis and approved by the Board of Directors. If a request is denied, unused funds must be immediately refunded to the Foundation.

Grant funds will not be expended for any political or lobbying activity or for any purpose other than one specified in section 170(c)(2)(b) of the Code.

2. Payment of Grant Funds

The grant funds will be paid in full by the Foundation upon receipt of the signed Grant Agreement. Challenge grant funds will be paid in full upon receipt of the signed Grant Agreement and upon receipt of documentation providing evidence that condition(s) of the challenge grant has/have been met.

3. Certification and Maintenance of Exempt Organization Status

This grant is specifically conditioned upon Grantee's status as an eligible grantee of The Community Foundation. The Foundation has obtained a copy of the Grantee's IRS determination letter. Grantee confirms that it has not had any change in its legal or tax-exempt status, and shall notify the Foundation immediately of any such change.

4. Final Report and Records

The Grantee will submit the Grant Evaluation report per the deadline set forth in the award letter. This report includes a narrative on outcomes based on goals and objectives set forth in the grant proposal and an expenditure report documenting use of grant funds. If equipment was purchased, copies of receipts need to be included.

5. Grantee's Financial Responsibilities

Grantee will keep records of receipts and expenditures of grant funds and other supporting documentation related to the grant at least four (4) years after completion of the grant and will make such records of receipts, expenditures and supporting documentation available to the Foundation upon request, for the purpose of conducting financial audits, making verifications, and investigations as deemed necessary concerning the grant.

6. Publicity

The Community Foundation appreciates publicity for the grant in all relevant published materials, such as brochures, newsletters and annual reports. The credit line of "Made possible in part by a grant from **"The Community Foundation, Strengthening Inland Southern California through Philanthropy"** is suggested. The Grantee will allow the Foundation to review and approve the content of any proposed publicity concerning the grant prior to its release, upon request. When your donors are listed in printed materials, include the Foundation in the appropriate contribution size category. Sending a brief press release to your local paper is appreciated. Please email Charee Gillens, our Marketing & Communications Officer, at cgillens@thecommunityfoundation.net with copies of any printed or publicity materials that highlight the grant. When publishing our name, please note the "The" at the beginning of our name is a legal part of our name. It should always be used and capitalized. Attaching a logo is also appreciated. Our logo can be downloaded on our website at www.thecommunityfoundation.net.

Grantee agrees to allow the Foundation to include information about this grant in the Foundation's periodic public report, newsletter, news releases, social media postings, and on the Foundation's website. This includes the amount and purpose of the grant, any photographs you have provided, your logo or trademark, and other information and materials about your organization and its activities.

7. Indemnification

In the event that a claim of any kind is asserted against the Grantee or the Foundation related to or arising from the project funded by the Grant and a proceeding is brought against the Foundation by reason of such claim, the Grantee, upon written notice from the Foundation, shall, at the Grantee's expense, resist or defend such action or proceeding, at no cost to the Foundation, by counsel approved by the Foundation in writing.

Grantee hereby agrees, to the fullest extent permitted by law, to defend, indemnify, and hold harmless the Foundation, its offices, directors, employees, and agents, from and against any and all claims, liabilities, losses, and expenses (including reasonable attorneys' fees) directly, indirectly, wholly, or partially arising from or in connection with any act or omission by Grantee, its employees, or agents in applying for or accepting the Grant, in expending or applying the Grant funds or in carrying out any project or program supported by the Grant, except to the extent that such claims, liabilities, losses, and expenses arise from or in connection with any bad faith act or omission by the Foundation, its officers, directors, employees, or agent.

8. Termination

The Community Foundation may terminate this agreement, modify or withhold payments under this grant award, require a total or partial refund of any grant funds, or all at any time, if, in the Community Foundation's judgment: a) The Community Foundation is not satisfied with the quality of the Grantee's progress toward achieving the project goals and objectives; b) the Grantee dissolves or fails to operate; c) the Grantee fails to comply with the terms and conditions of this agreement; d) the Grantee fails to comply with the requirements of any law or regulation applicable to you, the Foundation, or this grant.

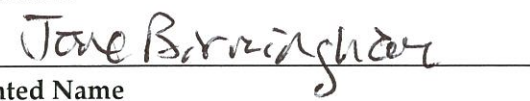
9. Limitation of Support

This Agreement contains the entire agreement between the parties with respect to the Grant and supersedes any previous oral or written understandings or agreements.

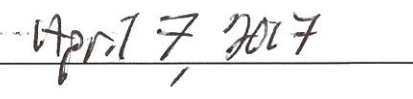
I have read and agree to the terms and conditions of the Grant Agreement.



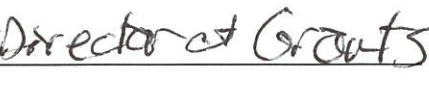
Signature



Printed Name



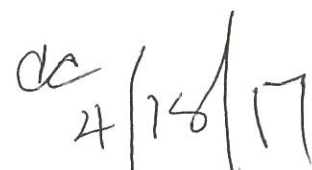
Date



Title

Grant Number: 20170151

Organization: Ocean Institute





Strengthening Inland Southern California through Philanthropy

BOARD OF DIRECTORS April 25, 2017

S. L. Gimbel Foundation Fund

Sean Varner
Chair of the Board

J. Sergio Bohon
Vice Chair of the Board

Pat Spafford, CPA
Chief Financial Officer

Dr. Paulette Brown-Hinds
Secretary of the Board

Rabbi Hillel Cohn

Paul Granillo

Stanley Grube

Dr. Fred Jandt

Andrew Jaramillo

Dr. Albert Karnig

Nefertiti Long

Kirtland Mahlum

Brian McDonald

Meredyth "Charlie" Meredith

Susan Ovitt

Teresa Rhyne

Kathleen Sawa

Philip Savage IV
Immediate Past Board Chair

Dr. Henry Shannon

Tamara Sipos

Beverly Stephenson

Randall Tagami

Diane Valenzuela

Paula Myles
Interim President and CEO

Ms. Mary Lawson
Vice President, External Affairs
Ocean Institute
24200 Dana Point Harbor Drive
Dana Point, CA 92629

Dear Ms. Lawson:

The Community Foundation is pleased to enclose a grant check for \$25,000 from the S. L. Gimbel Foundation, a component fund at The Community Foundation. By cashing the grant check, you are agreeing to the conditions stated under the *Terms of Grant* which you have signed and returned. **The completed Grant Evaluation form is due by May 15, 2018** and will be available online on The Community Foundations website under Grants/Forms. Please note that any grant variances or extensions must be requested in writing and in advance. Any remaining grant funds must be returned to The Community Foundation at the end of the grant period.

We greatly appreciate any help you can give us in publicizing the grant. Please use the following credit in any grant announcements or materials funded by the grant: *"Ocean Institute is supported by a grant from The S. L. Gimbel Foundation."* You may send us copies of articles printed in local papers, stories in your agency newsletter, annual report, press releases, and other publications for our files.

Please feel free to contact me or Angie Valdericeda, Grants Manager, at 951-241-7777 should you have any questions.

Sincerely,

Celia Cudiamat
Executive Vice President of Programs

20170151

42269

GIMB1



The Community Foundation
Strengthening Inland Southern California through Philanthropy
3700 SIXTH STREET, SUITE 200
RIVERSIDE, CA 92501
951-241-7777 / FAX 951-684-1911

CITIZENS BUSINESS BANK
A Financial Services Company
3695 Main Street, Riverside, CA 92501
90-3414/1222

Check Fraud
Protection for Business

42269

PAY * Twenty-Five Thousand and no/100 *

TO THE
ORDER OF

DATE

04/19/2017

AMOUNT

\$ ****25,000.00

Ocean Institute
24200 Dana Point Harbor Drive
Dana Point, CA 92629

Joe Sayre Bohan
AUTHORIZED SIGNATURE

⑈042269⑈ ⑆122234149⑆ 244124437⑈

The Community Foundation

42269

9735 Ocean Institute

04/19/2017 042269

20170151	03/28/2017	Educate 2,000 underserved 5th graders to create	25,000.00
GIMB	S.L. Gimbel Foundation Advised Fund		25,000.00

CHECK TOTAL: \$ ****25,000.00

The Community Foundation

42269

9735 Ocean Institute

04/19/2017 042269

20170151	03/28/2017	Educate 2,000 underserved 5th graders to create	25,000.00
GIMB	S.L. Gimbel Foundation Advised Fund		25,000.00

CHECK TOTAL: \$ ****25,000.00