

2007

**THE HEINZ ENDOWMENTS PROGRAM AND APPLICATION GUIDELINES**

2008

**1 THE ENDOWMENTS' MISSION**

**2 ORGANIZATIONAL GOALS & VISION**

**3 STRATEGIC ALLIANCES**

**4 PROGRAM GOALS & STRATEGIES:**

4 Arts & Culture

6 Children, Youth & Families

8 Education

10 Environment

12 Innovation Economy

**14 APPLICATION GUIDELINES**

**17 BOARD OF DIRECTORS**

The Heinz Endowments was formed from the Howard Heinz Endowment, established in 1941, and the Vira I. Heinz Endowment, established in 1986. It is the product of a deep family commitment to community and the common good that began with H. J. Heinz, and which continues to this day.

The Endowments is based in Pittsburgh, where we use our region as a laboratory for the development of solutions to challenges that are national in scope. Although the majority of our giving is concentrated within southwestern Pennsylvania, we work wherever necessary, including statewide and nationally, to fulfill our mission.

That is to help our region thrive as a whole community—economically, ecologically, educationally and culturally—while advancing the state of knowledge and practice in the fields in which we work. Our fields of emphasis include philanthropy in general and the disciplines represented by our five grant-making programs: Arts & Culture; Children, Youth & Families; Education; Environment; and Innovation Economy.

In life, Howard Heinz and Vira I. Heinz set high expectations for their philanthropy. Today, the Endowments is committed to doing the same. Our charge is to be diligent, thoughtful and creative in continually working to set new standards of philanthropic excellence. Recognizing that none of our work would be possible without a sound financial base, we also are committed to preserving and enhancing the Endowments' assets through prudent investment management.

## **ORGANIZATIONAL GOALS**

### **To further its mission, The Heinz Endowments seeks to:**

- Help bring about a regional transformation by facilitating demonstrable progress in areas critical to the community's future.
- Have a material and systemic impact on our grant-making priorities.
- Promote the advancement of a sustainable, diverse and inclusive society.
- Preserve our ability to sustain philanthropic impact over time by continuing the prudent and long-standing practice of living within our means and managing our assets for the long term.
- See our work stand as national benchmarks for foundation effectiveness, ethics, regional focus and general excellence in philanthropy.

## **VISION**

Our vision is for southwestern Pennsylvania to prosper as a premier place to live and work; as a center for learning and educational excellence; and as a home to diversity and inclusion.

## STRATEGIC ALLIANCES

All of the Endowments' grant making comes through its five program areas. The priorities of those programs are identified in the pages that follow.

The five programs also are collaborating on three strategic initiatives that we believe have the potential to usher in a new era of growth in our region. Here are descriptions of these three "strategic alliances"; more information about them can be found under "special initiatives" at our Web site, [www.heinz.org](http://www.heinz.org).

### **Downtown Now**

The vision for the Downtown Now Strategic Alliance is to enable downtown Pittsburgh to fully realize its potential as a vibrant center for culture and commerce in the region, and to provide support for residential and educational activities. This effort will build on the Endowments' earlier successes in downtown development, starting in the 1980s with the creation of the Cultural District and followed by our more recent work in civic design that began in the late 1990s. The alliance team will expand upon these earlier investments through grants directed to promote cultural vitality and diversity; high-quality, inspiring design; diverse and welcoming neighborhoods; economic strength; environmental sustainability; public art; green-space improvements; and other amenities. The team also will pursue new grant-making opportunities created from the more than \$1.2 billion in public-private investment in downtown.

### **Sustainable Innovation**

Technologies and practices that show potential for lessening climate change, reducing toxins, decreasing dependence on fossil fuels and foreign oil, or otherwise generally benefit the environment, are emerging as promising opportunities for economic growth. The Endowments' Sustainable Innovation Strategic Alliance uses grant making through its existing programs to stimulate regional economic growth while at the same time enabling environmentally sustainable development in southwestern Pennsylvania.

### **Pathways to Educational Excellence**

The Endowments recognizes the importance of high-quality education in improving children's lives and the importance of high-performing schools in improving Pittsburgh's economic viability. The foundation established the Pathways to Educational Excellence Strategic Alliance to work with Pittsburgh Public Schools Superintendent Mark Roosevelt and the community in providing high-quality education to all city students while advancing academic performance among African-American children. Roosevelt's ambitious reform agenda includes the creation of eight Accelerated Learning Academies that employ innovative educational initiatives to boost student achievement. Recognizing that schools alone cannot meet the learning needs of children, the Pathways team seeks to bolster reform efforts, particularly the work of the academies, by offering "complementary learning" opportunities. The team believes that in order for the district to reach the reform plan goal of having all its students academically proficient by 2014, it is essential that students and their families participate in complementary learning activities. This strategy provides programming and services through the schools, out-of-school organizations, community groups, early childhood centers, and arts and cultural organizations.

The Arts & Culture Program is the Endowments' longest-standing grants area, tracing its roots back to the late 19th century when H. J. Heinz began a tradition of support to the community's most visible cultural organizations. Since that time, the program has steadily broadened its definition of the arts and of building participation in the arts. We have evolved from serving primarily as a "patron" of major cultural institutions, adding the roles of "investor" in Pittsburgh's downtown Cultural District; "developer" of alternative arts activity; and "catalyst" in helping to seed cultural activity.

A key strategic review of the program has found that these expansions represent efforts to increase our philanthropic effectiveness while responding to shifts in the environment in which the Endowments works. They also are rooted in the Heinz family ethic that embraces not only the intrinsic value of the arts, but also the contribution that a dynamic cultural scene can make to learning, economic development and community vitality. The challenge now is to determine the appropriate resources for each of these roles and how they should be balanced. Our commitment is to serve, as best we can, all aspects of southwestern Pennsylvania's "arts ecology," a term referring to the region's cultural life that encompasses not only its cultural institutions but also its artists, arts education and arts in civic life.

**ARTS & CULTURE STAFF**

Janet L. Sarbaugh *senior program director*

Mary A. Navarro *senior program officer*

Justin D. Laing *program officer*

Cindi A. Stueber *administrative secretary*

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**The Arts & Culture Program works to promote the overall vitality of Pittsburgh’s cultural sector and its relevance to civic life. Its goals are to:**

*Expand opportunities for arts learning and participation.* The program supports the development of quality arts education programs in schools and community settings, and efforts to enrich the experiences of arts audiences.

- Develop regional initiatives to ensure that all Allegheny County students are engaged in arts-based learning.
- Support neighborhood- and community-based cultural programs for children and youth.
- Stimulate efforts to enrich the experiences of arts audiences and participants in cultural activities.

*Build creative capital.* The program promotes the creation of an environment conducive to the creative process, which includes supporting the community’s small arts organizations and programs that provide resources to local artists.

- Support the development and presentation of local artists’ work.
- Encourage artistic innovation and experimentation at local cultural organizations.
- Support the tangible needs of artists.

*Advance Pittsburgh as a cultural center.* The program seeks to strengthen Pittsburgh’s status as a vibrant cultural center and to increase the role of the arts in regional revitalization efforts.

- Support the continued growth and development of the Cultural District.
- Promote artistic excellence, creative management, fiscal responsibility and cultural citizenship among Pittsburgh’s diverse cultural organizations.
- Broaden ongoing efforts that strengthen the cultural sector as a whole.

The Children, Youth & Families Program has had a long-standing commitment to improving the lives of families and children, with a particular focus on the disadvantaged. The program helps children become stronger, more capable learners; assists families to become better nurturers; and guides youth to evolve into more successful, more productive citizens.

There are many challenges to meeting these goals. Not enough children are receiving the indisputable benefits of high-quality early care and education or health care. Many parents, particularly those with low incomes, are not able to connect to economic-improvement opportunities or parenting information that would boost the quality of their family lives. For adolescents in the region, there are few opportunities to participate in non-school-hour programs.

If these deficiencies in community infrastructure are not addressed, a significant percentage of the population will be left behind. The Children, Youth & Families staff is dedicated to supporting initiatives that eliminate these deficiencies, which affect the health of the entire region.

**CHILDREN, YOUTH & FAMILIES STAFF**

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**The Children, Youth & Families Program seeks to ensure that children and adolescents are fully prepared to succeed in school and in life. Its goals are to promote:**

*Children as learners: Birth through 8.* The program supports efforts to improve the education and development of young children in Pennsylvania, emphasizing the creation of a coherent, high-quality learning continuum for children in this age group.

- Improve the quality of child care and early education.
- Continue supporting the statewide system that focuses on addressing the needs of children in the “birth-to-3” age group.
- Strengthen professional development and early childhood leadership development for teachers, caregivers, families and school administrators.
- Increase collaborations between pre-kindergarten programs and primary grades.
- Develop financing mechanisms to expand quality early childhood care and pre-kindergarten programs.
- Support advocacy and public awareness efforts for early learning issues.

*Adolescents as citizens.* The program seeks to increase meaningful learning opportunities and positive youth development for school-age children during non-school hours.

- Strengthen statewide efforts to ensure quality and accountability of programs conducted during non-school hours.
- Support efforts to strengthen local youth-development programs, with three areas of priority:
  - Support strong school–community partnerships in providing non-school-hour programs for Pittsburgh Public Schools students.
  - Develop a local system that will create a policy and advocacy agenda on behalf of programs serving youth.
  - Provide limited support to programs that offer safe and engaging places for at-risk youth in high-need areas to go, with attention to ensuring the sustainability of these efforts.

*Parents as teachers.* The program promotes parental responsibility and the active involvement of parents and caregivers in the education of their children.

- Support parent leadership and advocacy, especially within health care systems and the Pittsburgh Public Schools.
- Continue to invest in family-support networks and other high-quality parenting programs.
- Develop health care models that connect hospitals and the community in addressing the needs of adolescent mothers and other high-risk families.
- Integrate financial literacy education into job-readiness, welfare-to-work and family-support/parent-education programs.

The Education Program’s mission is to increase student achievement in the Pittsburgh region by helping schools and community-based organizations improve instruction and learning. This requires effective, consistent leadership; engaging learning activities; a rigorous curriculum; high expectations for student success; and parent–community involvement.

To support such efforts, the Endowments’ education staff uses two related approaches. One involves working within mainstream public education to provide training that will help improve principal leadership and the quality of instruction in reading, math and science. Included in this is providing technology to increase students’ interest in learning and to better engage parents and community organizations as partners in education.

The other strategy, external to public education systems, creates opportunities for families, especially those with low incomes, to choose schools that work best for their children. This market-based approach is designed to expand school choice and introduce competition to public school systems as a way to improve quality. The expectation is that school choice will take hold in several area districts as they provide high-quality options for the families they serve.

**EDUCATION STAFF**

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**The Education Program seeks to influence an emerging school-reform agenda in the region to improve academic achievement through effective instruction, enterprising school and community leadership, and energetic determination to help students succeed. Its grant making is guided by a three-pronged approach:**

*Schools that work.* The program seeks to ensure that Pittsburgh-area schools will make continuing progress toward increasing the achievement of all students, especially those with the greatest challenges to their success.

- Use a multi-faceted strategy to help improve school quality that includes supporting school officials' systematic approaches to building strong and enterprising leadership; investing in the ongoing development of teachers; supporting programs designed to ensure that highly challenged students succeed; routinely monitoring school progress; and involving parents and community organizations as partners.
- Encourage effective implementation and community support for quality school choices that enable students, especially those from disadvantaged families, to achieve academic success.

*Principals and teachers for the future.* The program supports efforts to provide students with broad access to schools that have highly effective school principals and teachers.

- Promote high-quality training of principals and teachers with ongoing support for their professional development.
- Encourage high certification standards and requirements for principals and teachers.
- Support incentives for strong performance by principals and teachers, especially those who enable highly challenged students to succeed.

*Technology for learning.* The program works to increase the capability of Pittsburgh's schools and communities to improve learning and achievement through effective use of technology.

- Support research-proven technology that increases students' success in reading, math and science.
- Ensure that disadvantaged children and low-income families have greater access to complementary learning through technology.
- Enable greater use of effective database technology to help guide teachers' instructional decision making.

The Environment Program focuses on a range of issues, recognizing that southwestern Pennsylvania is highly complex ecologically, economically and politically. Once known globally for both industrial production and pollution, Pittsburgh went through several cleanup renaissances after World War II. But it also suffered a brutal economic downturn in the 1980s with the collapse of the steel industry and related manufacturing.

As the Pittsburgh region continues to recover economically, it also has made more strides on the environmental cleaning and preservation front. That reality frames a regional grant-making strategy that includes addressing legacy issues such as high lead exposure, policy issues such as poor land-use planning and infrastructure issues such as a crumbling sewer system. It also incorporates supporting opportunities for technological innovation, such as projects that have helped the region become a leading green-building center in the United States.

The Environment Program funds work designed to *transform systems* so that environmental problems are not created in the first place. It also supports efforts to *reduce the damage* currently being done by unsustainable practices, especially where people and nature are directly affected. Staff looks for programs and initiatives that help *repair the damage* caused by unsustainable practices. This is especially important in cases where pollutants and toxins from damaged ecosystems threaten the health of future generations. Staff also looks for situations where other sources of capital investment are not available to correct an environmental problem, and where health consequences disproportionately affect minority or other vulnerable and disenfranchised groups.

**ENVIRONMENT STAFF**

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**The Environment Program promotes environmental quality and sustainable development by supporting efforts to eliminate waste, harness the power of the market, and create an economy that promotes environmental and social justice. Its goals are to:**

*Increase good environmental stewardship in the region at all levels and in all sectors.* The program seeks to promote environmentally responsible land use, site development and building practices, and to facilitate the adoption of greener business, organizational and individual behaviors.

- Transform physical infrastructure and the built environment to become more sustainable.
- Facilitate the adoption of green business practices and environmentally sustainable economic development.
- Increase environmental stewardship in individual choices and behaviors.

*Prevent human health problems linked to environmental factors.* The program encourages greater public- and private-sector involvement in environmental protection and health.

- Reduce the production and use of substances harmful to human and ecological health.
- Reduce human exposure to toxins in the built environment.
- Increase the market for more environmentally friendly products.

*Protect ecosystem health.* The program works to protect biodiversity, water quality and landscapes. In cases where there is ecosystem damage, the program funds repair efforts.

- Protect and restore terrestrial and aquatic ecosystems.
- Improve land-use patterns that contribute to ecosystem degradation.
- Improve regional water, sewer and storm-water infrastructure.

The Innovation Economy Program emphasizes ways in which the recognized strengths of the region’s major research institutions can drive sustainable economic development in southwestern Pennsylvania. Projects funded through the program contribute to a regional environment that enables innovative concepts to move toward commercial production with potential for high-quality job creation and industry growth.

Another important focus is to strengthen workforce preparation and training for career paths offered within an evolving, technology-based economy. Support for community colleges focuses on systemic change, including data-driven efforts to improve success rates for students from low-income, disadvantaged and disenfranchised groups. To help create a more hospitable business climate, the program also supports improvements in government structures and collaboration among the region’s jurisdictions in delivering services.

**INNOVATION ECONOMY STAFF**

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**The Innovation Economy Program works to support the growth of a vibrant regional economy that is anchored in southwestern Pennsylvania's innovation assets: the excellent work carried out within its major research universities, medical centers, corporate and government laboratories, and cultural organizations.**

*Innovation and Economic Growth.* The program supports early innovation and collaborative projects with outcomes that can drive regional economic development and job creation.

- Support promising projects that move research, innovation and technology creation effectively into commercial development that has strong potential for high-quality job creation.
- Provide leverage to attract private-sector investment and other resources to support the growth of innovation-based businesses.
- Participate in state and federal programs that stimulate innovation-driven business development and industry-cluster growth in southwestern Pennsylvania.

*Economic Opportunity.* The program works to enable the region's citizens, especially those from low-income, disadvantaged and disenfranchised groups, to pursue a range of high-quality career paths within an innovation-driven economy.

- Promote systemic change in community colleges focused on improving student performance, retention, graduation, completion of certificates and successful career placement. Also support efforts to improve the ability of students to transfer to four-year institutions and increase the number who do so.
- Emphasize workforce education and career literacy efforts that actively engage with potential employers in technology-based industry sectors so that these programs will be designed to meet regional industry needs.
- Support pilot projects that integrate entrepreneurship education within broader workforce training programs.
- Work to increase the participation of underrepresented demographic groups in the region's technology-focused employment base.

*Economic Climate.* The program promotes public policy and regional planning efforts that foster a competitive business environment for sustainable industry clusters.

- Support pilot projects that demonstrate productive collaboration among government jurisdictions for more effective economic development and delivery of government services.
- Engage in partnerships with government and the private sector to advance regional planning efforts and promote sustainable economic development aligned with the region's research and industry strengths.
- Support policy analysis and focused research that inform efforts to make Pennsylvania more competitive in attracting industry, and creating and retaining jobs.

## **APPLICATION GUIDELINES**

**The Heinz Endowments supports the efforts of nonprofit organizations active in the areas of Arts & Culture; Children, Youth & Families; Education; Environment; and Innovation Economy, with an emphasis on programs either in southwestern Pennsylvania or of clear benefit to the region.**

### **WHO MAY APPLY**

The foundation funds organizations classified as tax-exempt under section 501(c)(3) of the Internal Revenue Code and as public charities under section 509(a) of that code. Individuals and for-profit organizations are not eligible for funding.

### **ABOUT OUR REGIONAL FOCUS**

The Endowments concentrates its efforts and resources in southwestern Pennsylvania. Given this limited focus, the foundation is generally unable to consider applications for funding for projects outside Pennsylvania unless they have been specifically requested by the foundation.

### **HOW TO APPLY**

Prospective applicants are asked to review carefully the guidelines for the grant-making program from which they anticipate seeking support. Inquiries regarding funding should demonstrate a familiarity with the program's relevant goals and strategies.

There are two options for applying for a grant. One process involves completing the application available through our Web site, [www.heinz.org](http://www.heinz.org). Applicants will be notified if additional materials are needed to support the form.

The other option is to submit a concise letter of inquiry. After Endowments staff members review the letter, they will notify the applicant by telephone or in writing about whether the request meets the basic criteria for funding. If further consideration is merited, the applicant will be asked to submit a formal proposal.

## **LETTER OF INQUIRY**

The letter of inquiry, signed by the head of the applicant organization or board, should address the following questions:

- What is the nature of the proposed program, including its objectives, target population(s) and specific action plan?
- What is the need for the proposed program? Why is it important? How is it different from existing programs or projects?
- How does the proposed program advance the goals and strategies of the Endowments? How is it consistent with the foundation's work?
- What is the nature of your organization? What are its qualifications to carry out the proposed program?
- How will the program's effectiveness be monitored and evaluated?
- What are the implications of the program in terms of public policy and public awareness? How will the program's outcomes be communicated to relevant audiences?
- What is the estimated cost of the overall project and the amount of funding you are requesting?

Please do not send additional supporting materials, such as videotapes or publications, with the initial letter of inquiry. Given the large volume of requests received, Endowments staff will not be able to review these materials. Applicants should not develop and submit full proposals unless they have been asked to do so by a foundation representative.

## APPLICATION GUIDELINES

### WHAT THE ENDOWMENTS LOOKS FOR

The Endowments has adopted a set of principles to guide its grant making in all program areas. Prospective applicants should be aware of these principles as they consider applying for support. The Endowments seeks to support programs that:

- *Will have a significant and continuing impact.* The Endowments tends not to be interested in programs that are one-time events or are not integrated into a larger strategy for continuing change.
- *Intervene at the appropriate level.* The Endowments seeks to address the causes of problems rather than to simply ameliorate their symptoms.
- *Offer opportunities for leverage.* The Endowments seeks to amplify resources by forming partnerships with government organizations, other grant makers and the private sector.
- *Are grounded in the community.* An important aspect of the Endowments' mission is to develop models with potential application elsewhere while keeping southwestern Pennsylvania as the geographic focus of the foundation's grant making.
- *Are appropriate in relation to the work of other grant makers.* The Endowments seeks to support work that complements rather than duplicates the efforts of other foundations. Furthermore, we tend to limit support to programs that are consistent with our areas of expertise.

### WHERE TO SEND THE LETTER OF INQUIRY

Letters should be addressed to the attention of the appropriate program director at:

The Heinz Endowments  
30 Dominion Tower  
625 Liberty Avenue  
Pittsburgh PA 15222-3115

### WHEN TO SUBMIT AN INQUIRY

To be considered in time for the Endowments' spring board meeting, applications must be received by February 1. To be considered for the fall meeting, applications must be received by August 1. Written notification of decisions made on grants will be mailed within a few weeks of the meeting at which the proposal is considered.

## BOARD OF DIRECTORS

### THE HEINZ ENDOWMENTS

Teresa Heinz *chairman*  
James M. Walton *vice chairman*  
André Heinz  
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H. John Heinz IV  
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Barbara Robinson DeWitt  
Frederick W. Thieman  
Mallory Walker  
Konrad M. Weis  
S. Donald Wiley  
Drue Heinz *director emeritus*

### STATEMENT ON DIVERSITY

The Heinz Endowments values diversity in its many forms. We believe the future of our community depends on its ability to attract and retain an increasingly diverse population. As a foundation working to advance the common good in this community and in our broader society, we have a responsibility to embrace a commitment to inclusiveness as a fundamental operating principle. Therefore, through our grant making and business activities, we seek to promote inclusive practices that broaden the range of perspectives, opinions and experiences available to our grantees, our partners and ourselves.

Consistent with this philosophy, the Endowments is an equal opportunity employer. Ability and performance are the primary criteria for success at the foundation. Candidates for employment are considered on the basis of job qualifications without regard to race, religion, color, gender, age, national origin, sexual orientation or disability. Promotions and advancement opportunities are also based on the employee's actual performance, not on any of the above characteristics. Specific responsibility for enforcing this policy has been assigned to the president of the foundation.

## The Heinz Endowments

Howard Heinz Endowment

Vira I. Heinz Endowment

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Phone 412.281.5777

[www.heinz.org](http://www.heinz.org)