

**COMMUNITY PARTNERSHIPS
FOR CULTURAL PARTICIPATION:
CONCEPTS, PROSPECTS, AND CHALLENGES**

EARLY FINDINGS REPORT

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Overview

The Community Partnerships for Cultural Participation Initiative

Since its inception, the Lila Wallace–Reader’s Digest Fund (the Fund) has embarked on a broad-scale effort to extend arts and culture to more people in the United States. Currently, the Fund is pursuing a three-pronged strategy to enhance participation—working through leading cultural institutions, stimulating community-based initiatives, and using media and technology. The *Community Partnerships for Cultural Participation* (CPCP) Initiative is a component of the Fund’s community-based strategy. It is supporting nine community foundations, which are, in turn, helping art, culture, and other organizations in their communities to broaden, deepen, and diversify participation.

Giving the average person more opportunities to experience the benefits of arts and culture requires art and culture provider institutions to change the standard ways they now do business. Arts and culture supporters and funders also need to change their approaches. The Fund is targeting community foundations to be catalysts for these changes because of the unique role such foundations play in their communities. Through the CPCP Initiative, the Fund also hopes to spotlight the importance of arts and culture to community life, and strategies to enhance residents’ participation in these activities.

The nine community foundations in the CPCP Initiative are receiving four- or five-year grants, ranging in size from \$500,000 to \$1,500,000. Foundations must match these amounts, in part to create a permanent endowment to support arts and cultural activities. The community foundations each received a \$55,000 one-year planning grant to prepare proposals to implement expanded community participation. The initiative runs from December 1997 through December 2002.

Participating Community Foundations

The Boston Foundation
Community Foundation Silicon Valley
Community Foundation for Southeastern Michigan
Dade Community Foundation
East Tennessee Foundation
Greater Kansas City Community Foundation
Humboldt Area Foundation
Maine Community Foundation
New Hampshire Charitable Foundation

In January 1998, the Fund commissioned the Urban Institute to evaluate its initiative. This document, the first report in that evaluation, reviews the progress of the participating community foundations during the first 10 months of the CPCP Initiative. The findings are based on very preliminary data and should be understood as a snapshot of the start of the initiative. In all of the sites, the initiative is evolving rapidly and has already progressed since the initial evaluation site visits in

May–July 1998. This report also presents a framework for understanding the outcomes of this initiative over the course of five years.

Diversity Stressed in the Selection of CPCP Sites

The Fund invited a select group of community foundations to participate in this initiative.¹ The selection was based on the “quality of the community foundation’s work overall, its track record in supporting cultural activities, its success in raising funds, and its capacity to lead community-wide planning and produce concrete results based on that planning.”² Importantly, the foundations represent diverse parts of the country. Each serves a different type of community, ranging from large urban areas, such as Boston and Detroit, to far-flung rural counties, including Humboldt County in northern California, and 19 counties in East Tennessee. The highest median household income among CPCP target areas (the town of Milpitas in Silicon Valley) is almost three times the lowest (the city of Detroit). Racial and ethnic compositions vary from Hancock County, Maine’s 97 percent white, to Boston’s 22 percent black, to Milpitas’s 35 percent Asian, to Miami–Dade’s 49 percent Hispanic. The economic base also varies by site, including Newport, New Hampshire’s industrial economy, Silicon Valley’s domination by the computer industry, and Miami–Dade’s focus on tourism. The specific geographic, demographic, and social dimensions of these communities have a significant impact on how the foundations implement expanded participation initiatives. The Fund is “encouraging the community foundations to develop plans that reflect the unique characteristics and assets of their geographic service areas and that address the interests and self-identified needs of local residents.”³ More details on the sites can be found in appendix 1 and in tables 4.1, 4.2, and 4.3.

The Fund’s Goals for the Community Foundations

To guide community foundations, the Fund established four goals. The foundations are being asked to exert strategic leadership, collect and analyze information, create sustainable financial resources, and work to raise the importance of arts and cultural activities in their communities. The CPCP Initiative contains special components to help community foundations achieve enhanced arts and cultural participation, including technical assistance.

¹ The Fund initially invited eleven community foundations to participate in this initiative. One foundation withdrew; one deferred participation. (See chapter 5.)

² Lila Wallace–Reader’s Digest Fund. 1996. “Lila Wallace–Reader’s Digest Fund: Grantmaking in the Arts and Culture: Recommendations for Refined Focus, 1996–2000.” New York: Lila Wallace–Reader’s Digest Fund, p. 8.

³ LWRDF. 1997b. “Overview of the Request for Proposals for an Evaluation of the Community Partnerships for Cultural Participation Initiative.” New York: Lila Wallace–Reader’s Digest Fund, p. 5.

Importantly, the CPCP Initiative stresses that being part of an audience at an arts or cultural event is only *one* aspect of participation. The Fund’s more ecumenical view of cultural participation incorporates artists, volunteers, donors, curators, production staff, and other cultural activities and professions. It includes individuals as well as organizations, and arts-and-culture focused groups as well as non-arts-and-culture groups that pursue arts or culture related activities to accomplish other goals.

Early Findings from the CPCP Initiative

One year into the Community Partnerships for Cultural Participation Initiative, it is too soon to draw definitive conclusions, but we can highlight some early observations and areas to follow in the next four years.

1. *Community foundations can act as intermediaries in the nonprofit art and culture system.*

Ultimately, the goal of the CPCP Initiative is to foster lasting change in local arts and culture systems that allow for broadening, deepening and diversifying cultural participation at all levels. Achieving these goals requires intermediation—mobilization of money, talent, and leadership.

Community foundations have shown that they can work with their communities to plan this initiative, even where this is their first major foray into funding art and culture. Many of the foundations never before played a leadership role in local arts and culture. Community foundations, however, have other organizational assets such as money, in-kind resources, expertise, and influence, that will allow them to lead.

Early Findings	
1.	Community foundations can act as intermediaries in the nonprofit art and culture system.
2.	Foundations have emphasized “community” in their cultural participation grantmaking.
3.	The planning year was invaluable to foundations, but it raised expectations within communities.
4.	Early grantmaking reflects a diversity of community foundation approaches.
5.	Permanent endowments are being raised, using a variety of approaches.
6.	Community foundations seem to value local evaluation, but are not sure what is expected of them.
7.	Technical assistance is needed by the community foundations and their grantees.
8.	Foundations have emphasized partnerships, but face difficulties creating and sustaining them.
9.	Community foundations are facing challenges in pursuing cultural participation goals. Some have responded by hiring staff and mobilizing board support.
10.	Community foundations are starting to change their internal grantmaking and advisory practices to become more strategic in their grantmaking.

Aspects of the CPCP structure have helped community foundations to strengthen their ability to act as leaders, brokers, facilitators, and funders. The long and participatory planning process built trust, forged relationships among arts and cultural supporters and providers, and elicited commitments for the implementation phase. Research activities helped foundations lead through their command of information. One indicator of community foundations' success in taking on intermediary tasks is their strong initial performance in raising at least \$4.5 million in matching funds thus far.

2. *Community foundations have emphasized “community” in their cultural participation grantmaking.*

In a departure from views traditionally held by many funders, researchers, and cultural organizations, community foundations have embraced notions of participation that go beyond simple increases in audience counts to include community involvement in all aspects of making, presenting, and supporting art and culture. Given their charge to act on behalf of the community to enhance quality of life, community foundations have tended to view arts and cultural activities as one of several ways of building stronger urban, suburban, and rural communities. For this reason, their early planning and grantmaking has accorded special attention to the needs of community-based arts and cultural organizations, though not to the exclusion of “major” institutions, such as art museums, symphonies, and ballet companies.

3. *The planning year was invaluable to the community foundations, but it also has raised high expectations within local communities.*

The Fund gave each participating community foundation a one-year grant to study cultural participation issues and develop plans for the implementation phase of the CPCP Initiative. Community foundations convened diverse participants, ranging from large institutions to neighborhood associations, to develop plans to study and address cultural participation issues, and help community foundations develop programs to address them. It is clear that the participatory planning process was a good way for foundations to explore the arts and culture community, and for the arts and culture community to learn more about the foundations' intentions and goals. All of the community foundations reported that having a year to research and plan this initiative was a luxury they do not often have, but sorely need. However, some of the diagnostic research has taken longer than anticipated, overlapping the implementation period.

In addition to researching their communities, the community foundations used the planning year to search for partners, develop plans, and begin raising matching funds. These steps helped the community foundations assess their own readiness to participate in the initiative. Already, participants

around the country credit the planning year with creating change in their communities by raising awareness of art and culture.

The planning year served to raise enthusiasm among arts and culture providers and supporters, but it also raised community expectations, which a few of the foundations found difficult to meet. In particular, the planning year called attention to the availability of arts and cultural funding, setting off debates among arts and cultural organizations over funding priorities.

4. *Early grantmaking reflects a diversity of community foundation approaches.*

In early grantmaking, community foundations gave financial support to leading examples of partnerships among arts and culture providers, as a way of illustrating the major concepts of the initiative to others. They also made grants to encourage more arts and cultural organizations to embrace expanded notions of participation, and encourage more non-arts and culture providers to sponsor arts and cultural activities, sometimes in partnership with one another. A salient initial finding from the CPCP Initiative is the appetite for cultural participation funding, particularly among community-based arts and cultural providers. Interest stimulated by the year-long planning process and strong, creative initial program outreach helped tap the unsatisfied demand for support.

Given a high level of interest from many grassroots organizations, and recognizing the limited organizational capacity of some of these arts and culture providers, several community foundations have started to create technical assistance networks by encouraging strong agencies to mentor fledgling organizations, providing access to technical assistance providers, and making capacity-building grants directly to arts and culture organizations. The community foundations' assumption is that as grassroots arts and culture agencies become stronger organizationally, they also become better able to partner with large arts and culture institutions. Moreover, larger mainstream arts and culture institutions can also learn from the smaller grassroots organizations, particularly with regard to serving minority and non-traditional participants.

5. *Permanent endowments are being raised, using a variety of approaches.*

All community foundations are raising money to be dedicated to permanent endowments for art and culture grantmaking in the future. Some foundations are targeting well-known local individual donors. Others are attempting to involve the business community. Some are targeting other foundations for funding, and at least one community foundation is working on increasing the use of planned giving for an arts endowment. The endowments will represent new resources for local art and culture initiatives. We suspect that even if the CPCP Initiative has no other effect on a community, the dedication of funds to art and culture will be a significant development.

6. *Community foundations appear to value the initiative's emphasis on local evaluation, but are not clear on what role they should play or how evaluation activities will help.*

Evaluation is one of the Fund's priorities, and the CPCP Initiative requires grantees to conduct their own local evaluations in tandem with the national evaluation. The Fund is also encouraging the community foundations to use more data and research in developing their programs.

At this early stage, the community foundations are anxious to know how they are doing so they can implement cultural participation strategies effectively. But although community foundations appear to be genuinely interested in the potential help evaluation results can provide, designing and implementing evaluation research is time consuming and occasionally confusing. In some sites, local evaluation plans are not well developed and community foundations are not clear on what the Fund expects; in other sites evaluation planning is underway, but foundation staff and evaluators are not sure how their work complements, or duplicates, the national evaluation. Each site is participating fully, and most have asked for technical assistance on evaluation to strengthen their own work.

7. *Technical assistance is needed by the community foundations and their grantees.*

The Fund is committed to supporting the community foundations in this initiative and recognizes that many aspects may be new. The initial site visits made by the Urban Institute evaluation team were opportunities to assess the community foundations' anticipated technical assistance needs. Most of the participating community foundations indicated a strong desire for help in evaluation, data collection, performance measurement and benchmarking, and other information collection and analysis activities.

Community foundation staff generally expressed an interest in receiving information on all kinds of programs that worked well in other places, not limited to the CPCP Initiative. Some asked for help with public relations and communications. They also requested a way to communicate among CPCP sites. The Fund is dealing with these issues in part by setting up a "Web Board" for Internet communications among sites.

Many of the community foundations were surprised by the amount of technical assistance needed by applicants and potential applicants. Especially in areas casting this initiative as "community-building," foundation staff are committed to working with smaller and non-arts based organizations, which requires additional work by staff. The foundations are providing assistance in a variety of forms. Several foundations have held application workshops. Other seminars, workshops, and materials are planned to address many of the same issues to be covered in assistance to the community foundations.

8. *Community foundations have emphasized partnerships in their planning and grantmaking, but creating and sustaining them appear to be one of the more difficult aspects of the initiative.*

Community foundations and local organizations are finding that creating and sustaining partnerships for this initiative is hard work. Almost every single respondent interviewed by the evaluation team agreed that partnership is essential to the success of the CPCP Initiative, while acknowledging the difficulty in developing collaborations with organizations different from their own.

Community foundations are partnering with other organizations as they implement their initiatives, trying out different kinds of working relationships. Although some foundations have retained sole control (Dade, Boston, New Hampshire, Tennessee), others are jointly implementing their initiatives (Kansas City, Silicon Valley, Maine), or convening multiple partners, then transferring day-to-day control to them (Michigan, Humboldt). The Urban Institute evaluation will examine different models over the course of the CPCP Initiative, with the understanding that the effectiveness of a partnership model is influenced by the culture of the local community.

One early emphasis across most sites is to encourage partnerships between different kinds of provider organizations; for example, between “major” arts and culture organizations and community-based arts and culture agencies. Foundation staff suspect these partnerships will offer considerable advantages, allowing partners to gain access to each other’s traditional participants, combine complementary artistic and other strengths, and tap alternative sources of financial support. But partners will have to bridge the divides that separate traditional arts and culture organizations and community-based arts and culture organizations. These divides pertain to issues of artistic and curatorial quality, the value of amateurs as artists and in other roles, the appropriateness of alternative venues for some types of arts and cultural presentations, differences in governing philosophies and styles, and tensions surrounding issues of finance and accountability. One of the most important early challenges to community foundations is to find ways to foster partnerships through grantmaking and technical support activities.

9. *Community foundations are facing unexpected challenges in communicating and pursuing cultural participation goals, and some have hired staff and mobilized additional board support.*

Many community foundations have found it difficult to communicate the goals of the initiative effectively to potential supporters, who may be skeptical of arts and cultural activities in the first place, and even less sure of the value of engaging communities in new ways. (Some have found it easier to speak about the initiative in terms of “community building,” instead of culture.) For some community

foundations discretionary grantmaking in the arts and culture field is relatively new. Several have found it difficult to carry out the initiative with small staffs and uncertain board support. In at least two sites, local activists are hoping to link CPCP initiatives to local tax referenda, but community foundation staff are being careful to avoid taking sides.

To overcome these difficulties, some of the foundations have begun to hire staff with arts and culture backgrounds. Many continued a process of board education begun in the initiative's planning phase, and they engaged consultants to work on selected aspects of institution building (such as technical assistance to providers, arts agencies, and other supporters) as well as on the evaluation research needed to support foundation decisionmaking. They have done this during a difficult period of program start-up and, by and large, appear to be meeting new challenges successfully.

10. *Community foundations are starting to change their internal grantmaking and advisory practices.*

One of the Fund's goals for this initiative is to help the community foundations take a new look at how they make grants in the arts and culture field. Some community foundation staff and directors are enthusiastic about the opportunities this initiative presents for transforming processes within the foundation. This initiative can be a useful tool for trying new grantmaking procedures, or even restructuring their boards of directors.

It is clear that for several foundations, the introduction of the CPCP Initiative is a change for their current arts and culture grantmaking. Boston, for example, has redesigned the grant review team with cross-department input into grantmaking. Others have been able to integrate the CPCP Initiative without much change, because they can use this initiative to further other goals. However, most community foundations have, at a minimum, expanded the number and types of advisors they rely on to plan and implement programs.

How This Report Is Organized

Chapter 1 - outlines the thinking behind the CPCP Initiative, key elements, program design, early implementation, and evaluation. It also highlights some of the changes arts and cultural systems will need to embrace to enhance cultural participation.

Chapter 2 - introduces the concepts underlying the framework we are using to understand and evaluate community foundations' performance in the CPCP Initiative.

Chapter 3 - examines the varied strategies that arts and culture providers are using to broaden, deepen, and diversify participation in arts and culture.

Chapter 4 - looks at the grantmaking and support system for arts and culture, highlighting how funders and other organizations within the system can undergird arts and culture providers as they implement cultural participation strategies.

Chapter 5 - reviews the role of community foundations in bringing about changes in the arts and culture systems, focusing especially on the foundations' role as intermediaries.

A Note on Language

The communities served by the CPCP Initiative are home to people from many different races, ethnic groups, and language groups. In this report, we use a variety of terms to describe people, because our site visits demonstrated that they use a variety of terms to describe themselves. For example, people who refer to themselves as “African American” are generally referred to as “black” in U.S. Census reports. In Humboldt County, most of the Hupa and Yurok people we met said that they prefer the term “American Indian” to “Native American.” However, native people in another part of the country may not share that preference. Similarly, Spanish-speaking people in Silicon Valley refer to themselves as “Latino” or “Chicano,” while Spanish-speaking people in Miami–Dade call themselves “Hispanic” as a group. This report will use many of these terms interchangeably, in recognition of different preferences. We hope no reader is offended by any of the terms.

Chapter 1

Overview of the Initiative — Principles, Design, and Evaluation

The Initiative and Evaluation in Brief

The Community Partnerships for Cultural Participation (CPCP) Initiative is a five-year program of the Lila Wallace–Reader’s Digest Fund (the Fund) to broaden, deepen, and diversify cultural participation in nine U.S. communities. The Fund selected community foundations to lead the effort, which will include community planning, grantmaking for a range of participation-building activities, endowment creation, and information and evaluation activities. The initiative runs from December 1997 through December 2002.

The Initiative

The CPCP Initiative challenges communities to implement and sustain new collaborative relationships among funders, community-based organizations, and cultural institutions around building participation in the arts and culture. Invited community foundations each received a \$55,000 one-year planning grant to prepare a proposal for the implementation phase of the initiative.

Implementation grants range from \$500,000 to \$1.5 million over four to five years. Some of the community foundations are targeting selected urban neighborhoods; others are targeting multicounty rural or metropolitan areas.

All community foundations will raise matching contributions for programs and endowed funds, to enable them to support arts

and culture after this initiative expires. The total investment in the initiative, including Lila Wallace–Reader’s Digest Fund dollars and matching funds, is expected to be \$35 million, of which \$21 million is expected to be raised for permanent endowments.

Participating Community Foundations

The Boston Foundation
Community Foundation Silicon Valley
Community Foundation for Southeastern Michigan
Dade Community Foundation
East Tennessee Foundation
Greater Kansas City Community Foundation
Humboldt Area Foundation
Maine Community Foundation
New Hampshire Charitable Foundation

The Evaluation

In January 1998, the Fund commissioned the Urban Institute to evaluate the Community Partnerships for Cultural Participation Initiative. This document, the first report in that evaluation, presents our summary of early findings from a first round of field visits to each of the CPCP sites. We investigated baseline conditions, uncovered early implementation issues, and developed a framework for examining the outcomes and impacts as they unfold over the remaining four years of the initiative. A detailed summary of our methodology can be found in appendix 3.

Throughout the planning period of the initiative—December 1996 to September 1997—the Fund and participating community foundations worked together to develop a list of questions for the evaluation to address. Their basic evaluation question is: *How—and to what extent—does the CPCP Initiative lead to an expansion, deepening, and diversification of cultural participation within the sites?* The evaluation will answer this question in two simultaneous phases.

In Phase I, the evaluation team will examine how the CPCP Initiative is being implemented and its impact on the community foundations' programs, practices, and organizational relationships. Phase I questions include:

1. How do community foundations approach arts and culture grantmaking? How do they learn about audience participation in local arts and culture programs, and what do they find out about participation patterns and barriers to changing these patterns in the geographic areas they serve?
2. How do community foundations engage local organizations and individuals in dialogue and action on changing arts and culture participation in their communities? How do local arts and culture institutions perceive foundation efforts to build and diversify audiences?
3. What funding sources do community foundations or other CPCP actors identify to support participation-building activities and restricted endowments for arts and culture?
4. What changes occur within community foundations? What changes occur in the number and types of grants made to arts and culture institutions for participation-building purposes? What changes occur in the foundations' dedicated endowments for arts and culture grantmaking?
5. What do staff at the Fund, the community foundations, and the community foundations' partners learn from their early implementation experiences?

In Phase II, the evaluation team will examine the impacts of the CPCP Initiative on arts and culture institutions, on other community organizations, and especially on cultural participation within selected sites. Questions include:

6. What changes occur in the *overall* funding available to arts and culture organizations within the geographic areas served by the community foundations?
7. What changes do arts and culture institutions and community organizations make as a result of the CPCP Initiative?
8. What changes occur in the patterns of cultural participation over time? Does participation expand, deepen, or diversify—and in what ways? On which community segments does the initiative produce impacts? What activities are *most* effective in increasing attendance and diversifying audiences?

As a result of our first round of field investigations and our work on the conceptual framework presented elsewhere in this report, we developed additional questions to be answered in each phase. In Phase I, we will explore how well community foundations function as *intermediaries within the nonprofit art and culture “system:”* how do foundation cultures, community visibility, financial status, fundraising strategies and other functions affect their ability to act effectively as intermediary organizations? In Phase II, we will examine the effect of the CPCP Initiative on *partnerships and collaborations* within selected sites, and in turn, how these partnerships influence the structure and activities of participating arts and cultural organizations.

The Fund’s Early Cultural Participation Objectives and Activities

The Fund’s Mission

“The mission of the Lila Wallace–Reader’s Digest Fund is to invest in programs that enhance the cultural life of communities and encourage people to make the arts and culture an active part of their everyday lives.”⁴ This mission reflects the Fund’s belief that increased arts and cultural participation benefits people, arts and cultural organizations, and communities, alike. All of the Fund’s grantmaking, including the CPCP Initiative, pursues this fundamental mission.

⁴ LWRDF. 1999b. *1998 Annual Report*. New York: Lila Wallace–Reader’s Digest Fund.

Cultural Participation Goals

What does it mean to “enhance the cultural life of communities,” to “encourage people to make the arts and culture an active part of their everyday lives”? From its inception in 1986, the Fund has supported artists and presenting organizations as diverse as folklorists, modern dancers, playwrights, and musicians—of national renown and of only local note—to bring arts and culture to a wide range of people. The Fund has devoted funding primarily to artists and organizations dedicated to serving people who could not otherwise experience the best of American cultural offerings.

To increase cultural participation, the Fund has pursued “audience development” with a singleness of purpose unique among major arts funders.⁵ A retrospective look at the Fund’s first eight years described the variety of approaches taken by some of the Fund’s grantees to accomplish this:

For some, the importance of audience development lies in working more deeply with an existing audience, by creating supplementary activities to accompany an exhibit or performance, for example. For others, audience development is defined as a desire to increase the size of the audience; still others are more interested in changing the demographics of the audience without concern about a change in the numbers served.⁶

Lila Wallace–Reader’s Digest Fund’s Grantmaking Principle for Arts and Culture

Arts and Culture Program strengthens the cultural life of communities by:

- Broadening and diversifying participation in the arts and other cultural endeavors of high quality.
- Increasing connections among cultural institutions, artists, and their communities in traditional venues and new places, and through proven methods and innovative ways.
- Increasing people’s awareness and understanding of the country’s diverse heritage.

Source: Lila Wallace–Reader’s Digest Fund, *1997 Annual Report*, p. 6.

⁵ This is not to say that the Fund’s emphasis has been welcomed universally among arts funders or providers. Dwyer and Kleiber’s retrospective study of the Fund’s grantmaking found that some other arts funders believe the audience focus is too narrow. Dwyer, M. Christine, and Susan E. Kleiber. 1995. *Lila Wallace–Reader’s Digest Fund Retrospective Study*, Portsmouth, NH: RMC Research Corporation. (prepared for the LWRDF, January 1995), pp. 33–36.

⁶ *Ibid.*, p. 30. This view was based on interviews with “re-granting” organizations supported by the Fund. Regranting organizations select, fund, and monitor grant recipients on behalf of the Fund, typically within a selected “field of interest.”

Conceived narrowly, “audience” refers to those who attend an arts or cultural event (or who may be members of a television or radio audience). Indeed, a count of the number, demographic characteristics, or other features of audiences is the easiest and most common marker of arts and culture participation, but it is not the only one. As used by the Fund, “audience” has taken on a more inclusive meaning that spans a continuum of participation, which ranges “from indifference to awareness to episodic participation to consistent, active support.”⁷ Expanding participation—audience development—can include not only changes in direct participation in arts and cultural activities, but impacts on participants’ thinking or learning, attitudes toward cultural offerings or venues, and changes in membership, subscription, or other forms of support.⁸

Reflecting the Fund’s emphasis on strategies that move people toward active engagement and support, we will use the term “cultural participation” throughout the remainder of this report to refer to the broad range of activities that constitute participation; we will use “audience” only when it refers to simple attendance at cultural events or programs—one aspect of cultural participation. We also distinguish, as does the CPCP Initiative, among three types of cultural participation objectives:

- Broadening participation—increasing the number of people involved in arts and cultural activities;
- Deepening participation—building appreciation and understanding of arts and cultural activities among existing participants, as well as encouraging more active forms of engagement and support;
- Diversifying participation—encouraging those who are not traditional participants in art and cultural activities to start participating—which often entails diversifying across lines of race, ethnicity, and class.

Diversifying Participation to Include the Traditionally Disengaged

The Fund’s grantmaking has always reflected an a priori interest in reaching people who, for one reason or another, did not participate actively in arts and cultural activities. The Fund asked its grantees to identify target audiences, defined by relative levels of access to the arts. This access to participation opportunities could be influenced by a number of factors—economics, education, cultural familiarity, and geographic location—which often overlaps with race, age, language, and other

⁷ LWRDF, 1996, op. cit., p. 2.

⁸ Dwyer and Kleiber, op. cit., p. 30.

characteristics. Reflecting an increasing priority for diversification of participation, in the early 1990s the Fund “turned toward support for touring, artists residencies, arts education, and other programs that emphasized engaging rural and ‘less advantaged’ audiences wherever possible.”⁹

Engagement of Artists and Communities

Expanding cultural participation across a range of arts and cultural activities—from audience to more active forms of support—as well as bridging racial, economic, cultural, and geographic divides, is difficult work. The eight-year retrospective of the Fund reported some of these difficulties as viewed by the Fund’s grantees. One clear theme was the need to build “bridges between arts and culture organizations and communities” based on geographic location, ethnicity, age, and education characteristics.

Much of the Fund’s work has been devoted to building these bridges, as shown by initiatives in several disciplines. One example is the Arts Partners Program, which commissions new works from American artists and supports their extended residency in community settings, where they pursue community outreach and audience education activities.

A 1992 evaluation of this program noted that it had increased the availability of the arts in project communities, *created meaningful and continuing partnerships between presenters and community-based organizations* and supported the

Examples of Arts Partners Grants

- In 1995 two artists received a grant to plan residency activities to engage residents of Brooklyn and Harlem, New York in the development of The Harlem Nutcracker. The Harlem Nutcracker is a reinterpretation of the Nutcracker story using elements from the original ballet, jazz, and gospel music to examine the effects of the Civil Rights Movement on African American families and communities.
- In 1994, Anchorage Concert Association collaborated with UMOJA Community Association, Alaska Federation of Natives, and other community organizations to host a four-week residency with DanceBrazil to develop dance audiences in their 20s and 30s. The DanceBrazil Audience Development Task Force implemented activities such as capoeira, costume and mask-making sessions for teachers and community members, and jam sessions at a local coffee house with DanceBrazil percussionists and two local bands.
- In 1998, the John Michael Kohler Arts Center (JMKAC) [received a grant to] partner with Hmong Mutual Assistance Association, St. Andrew Lutheran Church, Lutheran Social Services, St. Clement Parish, and Grupo Arco Iris to host a residency with Pearl Ubungen Dancers and Musicians to develop new audiences for contemporary and traditional performing arts by actively engaging community members in the creation of an interdisciplinary work based on the life and cultural traditions of Sheboygan ethnic communities. Open rehearsals, performances of the new work, workshops, and lecture-demonstrations will be offered at JMKAC, senior centers, churches and factories.

Source: Arts Presenters Funding Opportunity website:
<http://www.artspresenters.org/p3712.html>.

⁹ Ibid., p. 10.

creation or reconstruction of important artistic works. [emphasis added]¹⁰

The same principle underlies other initiatives, as well. The Fund's program for American dance supported touring and residencies aimed at expanding people's understanding of the diversity of contemporary dance forms ("deepening participation," in the Fund's parlance) and bringing artists and audiences together to learn from one another. The Folk Arts Program also was intended to help cement relationships between artists and the communities that nurture their work.

Changes Needed in Organizations and "Systems"

Organizations attempting to engage communities in ways that are different than merely marketing programs and services encounter a number of challenges. Efforts to broaden, deepen, or diversify participation "may require the development of new capacities to attract audiences; new mechanisms for relating to audiences and communities; new program offerings; examination and realignment of organizational missions; reallocation of resources and search for new sources of funding; and attitude changes on the part of leadership, staff and Boards."¹¹ These changes are not easy to achieve.

Particularly important are changes in relationships with communities, often as reflected in relationships with community-based organizations. The eight-year retrospective noted that in the view of some regrantee organizations supported by the Fund, promoting cultural participation is more a challenge in relationship-building than a marketing effort.¹² In its assessment of the Fund's impacts on arts and cultural organizations, the

The Museum Initiative

At the end of 1991, the Fund began a program designed "to help make permanent collections more accessible to the broader public through improved physical presentation, creative thematic exhibitions, and increased public outreach and education activities related to the permanent collections. The Fund's support *has enabled museums to attract new audiences by involving community residents in their programs* [emphasis added]; initiating new exhibits, lecture series, publications, and other public programs; installing interactive technologies; marketing their programs more extensively and effectively, and tracking audience response to museum programs."

Dwyer and Kleiber, 1995., p. 17.

¹⁰ Ibid., p. 13.

¹¹ Ibid., p. 57.

¹² Ibid., p. 31.

retrospective concluded that one of the primary outcomes of grantmaking was various types of new collaborations and partnerships with other community organizations.¹³

To support the relationship-building needed to foster cultural participation, the Fund has sometimes supported the creation of new infrastructure in particular fields. The best example is its support for Regional Folklife Centers “that conduct research, undertake conservation projects, document traditions, develop public programs, and provide support and technical assistance to folk artists and folklorists in their respective regions. . . . [T]he Fund has undergirded the important but somewhat fragile field of folk arts with a network of institutions that will bolster its long-term development.”¹⁴

Evaluation

Consistent with the emphasis it has placed on evaluating its own programs, the Fund has stressed the value of information to arts organizations interested in broadening, deepening, and diversifying participation. Throughout its initiatives, the Fund has supported efforts by arts organizations to collect information on who participates in its programs, who does not participate, and why, expecting that grantees will use this information to craft education, outreach, programming, and other activities that are more responsive to the interests of communities.

The eight-year retrospective concluded that systematic learning about audiences by grantees is one of the least well-embraced aspects of the Fund’s emphases. Most organizations learn about people’s levels of interest in organizational offerings, barriers to participation, and social and demographic patterns through observation and informal conversation, not through systematic surveys. Nevertheless, the Fund has found some appetite for evaluation. The retrospective noted:

Grantees are strongly in favor of research that builds baseline information for the fields of interest and that addresses long-term indicators both of audience changes and organizational ability to sustain gains. . . . Grantees want to know what works, under what circumstances, and how and why. . . . Grantees are most pleased with evaluation activities when they feel the goals against which they are measured are self-imposed, even if those goals are very challenging ones.¹⁵

¹³ Ibid., pp. 80, 84.

¹⁴ Ibid., p. 20.

¹⁵ Ibid., p. 96.

Support for Large Institutions, Community Initiatives, and Information

The Fund's emphases noted above—audience development and the broadening, deepening, and diversification of participation, the connection between artists and communities, the changes needed in organizations and systems, and information to improve decisionmaking—are reflected in the Fund's 1995 shift to a new grantmaking framework. The Fund's 1996–2000 strategic plan recasts its programs into three broad areas, which crosscut the Fund's traditional distinctions among arts disciplines or types of arts institutions. These categories include:

1. *Expanding cultural participation through leading cultural institutions*, including funding organizational development and programming by exemplary institutions, encouraging networking among leading institutions through collaborative programming, exchange of information, and supporting innovative projects.
2. *Expanding cultural participation through community-based initiatives*, by encouraging specific localities to work more effectively on broadening and sustaining audience participation, and strengthening community-based arts organizations' ability to serve audiences.
3. *Expanding cultural participation through media and technology*, by using public radio and television to expand audiences for arts and culture, and exploring the use of new communications technology in building arts audiences.

Goals of the Community Partnerships for Cultural Participation Initiative

The Fund's history demonstrates its commitment to broadening, deepening, and diversifying cultural participation through initiatives that help artists and arts and culture organizations engage communities in new ways. The CPCP Initiative embraces these same objectives, and its design reflects this fundamental commitment, as well as other lessons learned in the Fund's first eight years of grantmaking. The CPCP Initiative is one of the first projects funded under its community-based initiatives rubric.

CPCP Grants: The Boston Foundation

STAGES:1998: The Huntington Theatre Company will link the youth and elders of South Boston with their counterparts from the central Boston neighborhoods of the Fenway, South End, Lower Roxbury, and Mission Hill, and with theater artists to transform unique personal histories into a staged theater piece exploring the universality of human experience. STAGES:1998, is a collaboration with the South Boston Neighborhood House, YMCA Elder Arts, the Oral History Center of Northeastern University, and the Boston Photo Collaborative.

Source: The Boston Foundation.

In late 1995, the Fund commissioned The Philanthropic Initiative to study the feasibility of developing a large-scale initiative with community foundations as partners. The researchers interviewed many community foundation representatives and concluded that such an initiative would be promising and welcomed by community foundations. In fact, The Philanthropic Initiative advised:

Successful initiatives acknowledge that every community is different and that national issues and models need to be translated into local terms for real ownership to occur. . . . Such an initiative should promote broader, more creative thinking about audience development, noting that there are no quick fixes.¹⁶

The selection of community foundations reflects the Fund's interest in creating relationships with, and acting through, institutions whose missions are closely aligned with the Fund's basic cultural participation objectives. In particular, the Fund's interest in encouraging participation in low-income, minority, or isolated communities, and in supporting new forms of engagement between artists and communities, fits very well the community foundations' local orientation and traditional interests.

Community Foundations as Change Agents

Why did the Fund choose community foundations as a point of entry into local systems of art and culture? One strength of community foundations is their ability to influence art and culture providers and supporters simultaneously. The Fund is trusting that community foundations are well equipped to act as intermediaries and to help design locally responsive initiatives.

As grantmakers, community foundations can work directly with arts and culture providers to help them make the changes necessary to

Why Community Foundations?

Community foundations may be ideally positioned to take part in a national initiative to increase public participation in the arts.

- Many have already extensively discussed the importance of arts and culture in their communities and have shown a strong commitment to arts and culture through their funding priorities and programs.
- Community foundations understand the needs and resources of their localities and have access to many different sectors and institutions.
- Community foundations are politically neutral, yet powerfully connected. They are known and respected in their communities for their ability to convene a wide range of players around an issue or problem.
- They are skilled facilitators. Community foundations have a long track record of guiding diverse groups and helping them achieve consensus, define realistic strategies, and implement solutions.

Source: LWRDF, 1997a, p. 10.

¹⁶ The Philanthropic Initiative. 1996. "Community Foundations and the Arts." A report to the Lila Wallace-Reader's Digest Fund. New York: Lila Wallace-Reader's Digest Fund, pp. 20-21.

increase participation. As members of the support system, they can forge partnerships and collaborations with other funders and civic leaders to encourage those institutions to support increased cultural participation. All of the community foundations in the CPCP Initiative are skilled intermediaries in their communities, although for several, this is the first opportunity to play such a role within the arts and culture community.

Changing an art and culture provider's focus to better serve its community requires more than a reorganization of that institution. Quite often, the supporters of art and culture must change as well. The community foundations in the CPCP Initiative are transforming the ways they develop initiatives, make grants, and relate to their wider communities.

Many of the foundations in the CPCP Initiative are using this opportunity to “build community.” Consequently, community building through arts and culture will be an important thread throughout the CPCP Initiative evaluation. Many community foundations, says Lila Wallace–Reader’s Digest Fund President M. Christine DeVita, “are taking a fresh look at the contribution the arts can make in their efforts to build healthier communities.” “These foundations,” she says, “have come to understand that healthy neighborhoods and towns are not built of bricks and mortar alone. They also need a strong cultural life.”¹⁷

Much anecdotal evidence suggests the importance of arts and culture in community building, although this has not been well documented. (See, for example, Americans for the Arts 1997; Barber 1997.) We anticipate that the CPCP Initiative will add to the scant empirical data on the role of arts and culture in community life—a subject that is reviewed further in chapter 3.

If community foundations are well suited to be change agents, they also face risks. The CPCP Initiative requires community foundations to make considerable investments in both staff and resources. The foundations must work with a wide range of local organizations, many of which require substantial assistance and support to participate in this initiative, particularly where small, non-arts, community-based organizations are important potential grantees. Community foundations may also risk their position in the community. The Fund sees the community foundations as ideal “bully pulpits” from which to lead the art and culture community to increased participation. However, the neutrality that gives some foundations their strength may militate against a strong leadership role. For example, in many rural areas, the community foundation is one of the largest local institutions, and must maintain good working relationships with all sectors of the community—business, community-based

¹⁷ LWRDF, 1997a. “Strengthening Communities through the Arts: A Leadership Opportunity for Community Foundations.” New York: Lila Wallace–Reader’s Digest Fund, p. 5.

organizations, local government, and others. To promote actively one field of interest and not others may jeopardize the foundation's position as neutral convenor.

The community foundations participating in this initiative are not new to partnerships with national foundations such as the Lila Wallace–Reader's Digest Fund. As exhibit 1.1 shows below, each has participated in at least one other partnership. Exhibit 1.1 gives some examples of well-known partnership initiatives; there are doubtless other partnerships in which CPCP community foundations have participated that do not appear here.

Exhibit 1.1: Examples of Community Foundation and National Foundation Partnerships										
	# of C.F.s	Boston	Silicon Valley	SE Mich.	Dade	Tenn	K.C.	Humboldt	Maine	N.H.
Charles Stewart Mott Foundation "Community Foundations & Neighborhoods" (Round 2 — 1991–1994)	13		✓	✓	✓	✓				✓
National AIDS Fund	20	✓			✓				✓	
National Gay and Lesbian Community Funding Partnership 1993–present	11	✓		✓	✓				✓	✓
NEA Community Foundation Initiative 1984–1992	26					✓			✓	✓
Pew Charitable Trusts "Neighborhood Preservation Initiative" 1994–1997	9	✓					✓			
Rockefeller Foundation "Coalition of Community Foundations for Youth" 1992–present	50+	✓	✓	✓	✓		✓	✓	✓	✓
Ford Foundation "Community Foundation Leadership Initiative" 1987–1995	27	✓		✓	✓	✓			✓	
Ford Foundation "Changing Communities, Diverse Needs" 1993–1997	20	✓		✓	✓					
Ford Foundation "Rural Development Initiative" 1992–1999	4				✓	✓			✓	✓
Ford Foundation "Neighborhood and Family Initiative" 1990–1996	4			✓						

Source: Based on The Philanthropic Initiative. 1996. "Community Foundations and the Arts." A report to the Lila Wallace–Reader's Digest Fund. New York: Lila Wallace–Reader's Digest Fund, p. 19.

Goals for Community Foundations

The CPCP Initiative spells out four goals for community foundations to help them catalyze wider community participation in the arts.

Goal 1: Exert strategic leadership

The Fund's experience has shown that effective audience development requires leadership commitment. This initiative is cast as an opportunity to help community foundations become leaders in art and culture funding by virtue of their unique positions in the foundation world and in their communities. As funders, community foundations can promote the provision of locally relevant and accessible arts and culture opportunities.

The Fund deliberately did not assign particular definitions to the terms art, culture, and participation—recognizing instead that the breadth and depth of forms of art, culture, and participation vary in different areas and among different groups of people. The Fund also recognized the importance of allowing local community foundations to develop their own strategies, reflecting the needs of their particular community, to achieve CPCP Initiative goals.

Goal 2: Strengthen capacity to analyze information

The Fund hopes to enable community foundations to acquire better information with which to plan and implement their arts and culture programs. Research can be an invaluable tool in developing coherent programming, as it informs grantmaking and evaluation. The Fund is therefore encouraging participating community foundations to increase their reliance on communitywide data as one component of a community-centered approach to grantmaking. Community foundations were chosen as the vehicle for this initiative in large part because of their local focus. Community foundations are far better positioned to determine the needs of their communities than a national funder such as the Lila

Four Goals for Community Foundations

1. Exert strategic leadership to broaden, deepen, and diversify arts and culture participation within their communities.
2. Strengthen capacity to collect and analyze information about communitywide cultural participation, assets, needs, and opportunities, and to use these data in decision making.
3. Create or enhance sustainable financial resources to expand and diversify arts and culture participation.
4. Become part of a national consortium of community foundations working to broaden and diversify participation in arts and culture, and to raise the importance of arts and culture activities among public and private funders at the local, regional, and national levels.

Source: LWRDF, 1997b, p. 1.

Wallace–Reader’s Digest Fund. Therefore, the Fund expects the community foundations to carefully research the needs of their communities, and use that information when setting funding priorities.

Many community foundation staff indicated that they do not have the time or staff to use research as a tool for grantmaking. They did, however, find the research conducted during the CPCP planning year to be extremely useful.

Goal 3: Develop sustainable financial resources

Because the Fund wants participating community foundations to continue increased funding of arts and culture after the CPCP Initiative, each foundation is required to build an endowment dedicated to arts and culture. The Fund requires a minimum level of endowment (one-half the total project cost, which is the grant plus the required match) to be raised and dedicated over the five years of the initiative. Several community foundations have set higher goals. The amounts that community foundations are attempting to raise for endowments range from \$500,000 to \$10 million.

The Lila Wallace–Reader’s Digest Fund believes that “the ability of cultural groups to sustain effective audience development rests, in part, on the level and quality of support for their efforts among local funders.”¹⁸ New endowments cannot help but increase the level of support for art and culture. Staff at several community foundations interviewed by the evaluation team indicated that they welcome the opportunity to build an endowment for art and culture as a way to work past the image of community foundations as simply pass-throughs for donor-advised funds. While all community foundations hold donor-advised funds, they welcome the opportunity to enhance discretionary funding.

Goal 4: Raise the importance of arts and culture to supporters and participants

The Fund hopes that the community foundations will encourage increased funding of arts and culture at local, regional, state, and national levels. This is an opportunity for the community foundations to lead through example. In addition, community foundations are expected to highlight the importance of broadening, deepening, and diversifying cultural participation. Community foundations are doing this through their explanations of the importance of the CPCP Initiative to their communities. Several of the foundations are finding “community building through the arts” a useful concept for engaging funders and participants who may not otherwise focus on art and culture. The societal value of arts and culture is discussed briefly in chapter 2.

¹⁸ LWRDF, 1997c. “Board of Directors’ Summary of the CPCP Initiative,” p. 1.

The Lila Wallace–Reader’s Digest Fund wants the CPCP to be a model to other funders. In the words of Fund President M. Christine DeVita:

We hope this collaboration will create a groundswell of ideas and effective models of practices for broadening and diversifying audiences for the arts in the 21st century and, at the same time, for strengthening the health of our communities.¹⁹

The CPCP Initiative’s “Theory of Action”

In collaboration with the participating community foundations, the Fund created a schematic of the CPCP Initiative, detailing the steps to be taken and how they relate to one another (see figure 1.1 on the next page). This “Theory of Action” highlights the importance of organizational change within the community foundations, civic and community organizations, and art and culture institutions. This change process is iterative: each of the three stages—program planning, implementation, and impacts on organizations and communities—builds on the previous ones to create a continuously evolving initiative.

Program Planning. The program planning stage consists of the activities that occurred prior to and during the 1997 planning year. The Fund developed the initiative through research and consultation with the community foundations, who then secured approval to participate from their boards of directors.

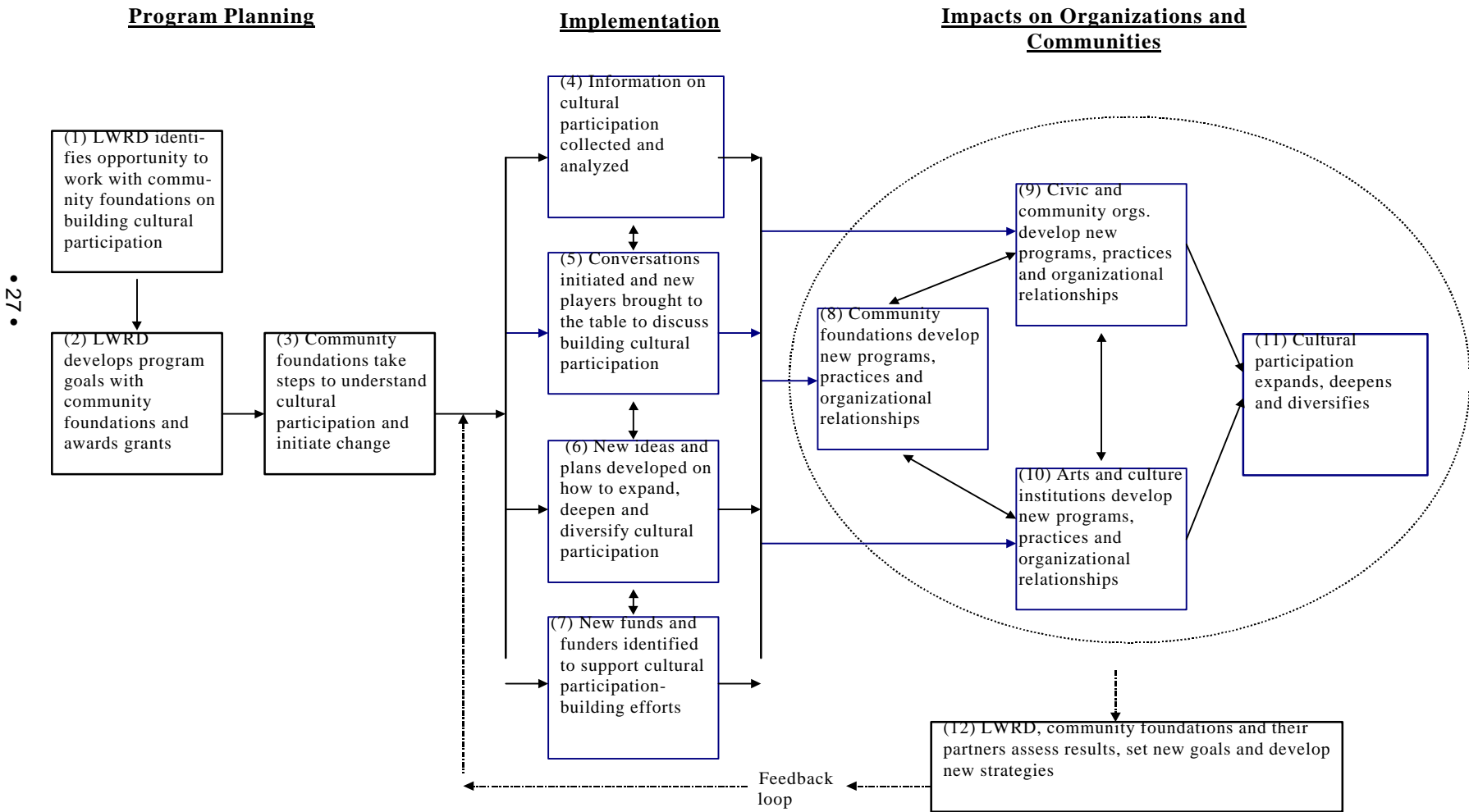
Implementation. The implementation stage consists of four steps: (1) gathering information, (2) convening participants, (3) developing new ideas, and (4) identifying additional funders. The steps can take place in succession or concurrently, and each draws on and adds to every other step. As explained by the Fund:

The vertical arrows on [figure 1.1] are intended to show that these implementation activities are interactive and mutually reinforcing. For example, information collected on arts and culture participation may be used to set the agenda for meetings between arts groups and other community representatives, and may provide a rationale for funders to support participation-building activities.²⁰

¹⁹ LWRDF, 1997a., p. 6.

²⁰ LWRDF, 1997b., p. 9.

Figure 1.1
Theory of Action Underlying
the Community Partnerships
for Cultural Participation
Initiative



The implementation stage was to begin with the receipt of implementation funds, but many activities began during the planning year, and continue. It seems likely that the steps outlined as part of the implementation stage will continue throughout the CPCP initiative, and beyond.

Impacts on Organizations and Communities. The third stage has three steps: (1) developing new programs and practices among all participants, (2) expanding cultural participation, and (3) evaluating initiatives. The Fund expects community foundations, civic and community organizations, and art and culture institutions to develop new programs, practices, and organizational relationships in order to implement this initiative. Organizational changes should lead to new practices and programs, which, in turn, should lead to increased participation among community residents. The Fund explains the impact stage:

As a result of activities undertaken during the implementation stage, the community foundations may develop new practices and programs (for instance, a change in the nature and size of their arts and culture grantmaking) and establish new or different kinds of relationships with arts and culture institutions and other community organizations. Similarly, arts and culture institutions and other community organizations may develop new programs, practices, and organizational ties. Such changes are expected to lead to expansion, deepening, and diversification of cultural participation.²¹

As demonstrated in the above quote, the Fund hopes that the initiative will lead to positive changes within the community foundations, as well as among arts and culture providers and other organizations they fund. For example, the Fund expects the participating community foundations to increase their use of research in developing programs, technical assistance to grantees during implementation, and evaluation of programs once complete.

The final step of the theory of action is evaluation and feedback. In addition to the Urban Institute's evaluation of the entire initiative, each community foundation, with its partners, is expected to continually assess the state of the local initiative in relation to local cultural participation. This process will inform the initiative as it proceeds, providing valuable feedback which can be used to adjust initiatives mid-course if need be.

²¹ Ibid., p. 9.

Five Elements of the CPCP Initiative

The Fund's history of grantmaking is reflected in the design of the CPCP Initiative. Here we highlight five elements of the theory of action, which we believe will be key to the initiative's success.

1. The initiative was designed through a participatory process with the community foundations.

The Fund consulted with community foundations in developing the implementation stage of the initiative, including the theory of action. This process helped the participating community foundations and the Fund come to a shared understanding of goals and expectations of the initiative. The Fund's emphasis on the importance of initiatives reflecting the needs of local areas is demonstrated in its commitment to involving the community foundations in the initiative design. The CPCP Initiative design is still ongoing, especially in the area of technical assistance.

Five Elements of the CPCP Initiative

1. Participatory design process among the Fund and community foundations
2. A planning year for research, partnership-building, planning, and initial fundraising
3. Research and matching fund requirements
4. Concurrent evaluation and dissemination activities
5. Extensive technical assistance throughout implementation

2. The community foundations had a year to plan.

The Fund's retrospective report found that planning grants are "very important" to grantees' efforts for "learning about the views and interests of target groups."²² The CPCP Initiative's planning year gave the community foundations an opportunity to learn about the needs of their communities, search for partners, develop plans, and begin raising matching funds. Participants credit the planning year with raising awareness of the initiative and helping to foster connections between organizations.

3. The initiative emphasizes the value of research and matching funds.

The Fund expects community foundations to demonstrate an increased reliance on research, and the ability to mobilize other funders in the community. These are steps in both the planning and implementation phases of the Fund's theory of action.

²² Dwyer and Kleiber, op. cit. p. 27.

Research. The Fund is expecting an emphasis on research to make community foundations more informed about local issues related to cultural participation, which will help them to develop program strategies tailored to local needs and interests.

Matching Funds. The matching requirement ensures that the total investment in the CPCP Initiative will be larger than the Fund's seed money. It also prods the community foundations to create new relationships with or secure new commitments from other funders and donors.²³

4. The initiative design includes a concurrent evaluation and dissemination component.

Evaluation is one of the Fund's priorities, as publicized on their website: "By assessing the results of its grantmaking, the Fund is able to contribute to the knowledge base of effective practices in its areas of commitment as well as refine and strengthen its own work."²⁴ The Fund has therefore contracted the Urban Institute as an external evaluator. The Urban Institute's evaluation will provide feedback to the community foundations as they develop and implement their initiatives, so that learnings from the early stages of implementation can be reflected in actions taken during the later stages. One mechanism for sharing the lessons of the CPCP Initiative is the annual meeting of the community foundations convened by the Fund, where community foundation staff and Fund staff can touch base with each other as a group.

CPCP Initiative findings will be disseminated beyond just the participating foundations. The Fund has commissioned policy papers by the evaluation team, and it also plans to share the evaluation reports with a wide audience of funders, the arts and culture community, and national policymakers.

5. The Fund will provide extensive technical assistance to the community foundations.

The Fund's retrospective reported that Fund grantees require technical assistance as they try to broaden, deepen, and diversify audiences. The initial site visits made by the Urban Institute evaluation team were opportunities to assess the community foundations' anticipated technical assistance needs.

Most of the participating community foundations indicated a desire for help in evaluation, data collection, performance measurement and benchmarking, and other information collection and analysis

²³ "For each dollar that the Fund invests up to \$800,000, community foundations must raise one dollar; for each dollar that the Fund contributes above \$800,000, community foundations must raise *three* dollars. This means that the total amount of money devoted to the initiative will be at least two times larger than the implementation grants community foundations receive from the Fund." LWRDF, 1997b, p. 2.

²⁴ From the Lila Wallace-Reader's Digest Fund web site: <<http://lilawallace.org>>.

activities. Community foundation staff also expressed an interest in receiving information on programs that worked well in other places, not limited to the CPCP Initiative. They also wanted a way to communicate among CPCP sites. Some requested help with public relations and communications. The Fund is dealing with these issues in part by setting up a “Web board” for Internet communications among sites.

Implementing the CPCP Initiative

This first evaluation report reviews the progress of the participating community foundations during the first ten months of the CPCP Initiative. The findings are based on very preliminary data and should be understood as a snapshot of the start of the initiative. In all of the sites, the initiative is evolving rapidly and has already progressed since the initial evaluation site visits in May–July 1998. Much of the rest of this report describes the analytic framework and plan to be used throughout the evaluation.

Exhibit 1.2: CPCP Initiative Timeline through 1998	
1996	The Fund invited community foundations to participate in the initiative.
December 1996	Planning grants of \$55,000 each were made to the community foundations.
September 1997	Community foundations submitted their proposals for four-or five-year implementation projects.
December 1997	The Urban Institute was selected to conduct the evaluation.
January 1998	Implementation grants for the first year were disbursed.
Summer 1998	The Urban Institute made field visits to each site. Most of the site status reports in appendix 1 are based on information learned during the field visits. There have been some updates, especially in terms of grants made, but this report should be read as the early findings from the first ten months of implementation work.

Evaluation Design Is Still Evolving

Evaluation of the CPCP Initiative is expected to proceed in two phases. In Phase I, the evaluation team examines how the CPCP Initiative is being implemented and its impact on the community foundations’ programs, practices, and organizational relationships in *all* the sites. In Phase II the team will examine the impacts of the CPCP Initiative on arts and culture institutions, on other community organizations, and especially on cultural participation within selected sites.

Both evaluation phases are taking place simultaneously. To collect baseline data and choose which sites to include in Phase II, the evaluation team made three-day visits to each site, interviewing community foundation staff at length and conducting 20 to 40 additional interviews per site. The evaluation of Phase I will be based on field interviews, archival materials, and data on financial trends among nonprofit art and culture organizations in each site. Phase I will also encourage all participating community foundations to increase data collection, including the use of audience surveys. The evaluation will use the database of the National Center for Charitable Statistics, located at the Urban Institute, which contains revenue and expense data for all nonprofit organizations in the country that report to the IRS. We will use this database to identify the distribution of organizational funding by type of arts and cultural organization, size of budget, and other characteristics.²⁵

Phase II has several components. After the first field visits, it was agreed to break Phase II into two modules: participation and system-building. We will study the impact of the CPCP Initiative on participation in Humboldt County, Greater Kansas City, and Silicon Valley. To assess the impact on cultural participation at the household level, we will conduct a telephone survey of 600 randomly selected households each in Humboldt and Greater Kansas City, and 400 households in each of Silicon Valley's three target areas, at three different times during the initiative: baseline, midpoint, and the final year. The first wave was conducted in November–December 1998. To assess the impact of system building, we will study the partnerships formed to implement the CPCP Initiative in southeastern Michigan and Boston, through surveys and interviews. Note, however, that we also expect to examine system change in Humboldt, Greater Kansas City, and Silicon Valley, and changes in participation levels in southeastern Michigan and Boston, to a small degree. Phase II selections were based on progress made within the first few months of implementation, thereby including sites that got the fastest start on their initiatives. However, all sites will be evaluated as part of Phase I for the duration of the initiative.

Before describing the development of the initiative and the progress of the first year, we introduce some terms that will be used and defined further throughout this report.

²⁵ Nonprofit organizations with annual gross receipts of less than \$25,000 are not required to file with the IRS. Thus, most small organizations are not captured within the IRS database. This can have the effect of excluding many organizations in rural areas. We will work with the community foundations to find small organizations significant to their initiatives.

Glossary of Terms	
<i>Community Foundations</i> ²⁶	Community foundations support charitable activities focused primarily on "local" needs—those of a particular town, county, or state. They raise a significant portion of their resources from a broad cross-section of the public each year, and they provide an array of services to donors who wish to establish endowed funds without incurring the administrative and legal costs of starting independent foundations. There are over 500 community foundations in the United States, with market values ranging from less than \$10,000 to over \$1.5 billion.
<i>Cultural participation</i>	The act of being involved in the creation, presentation, and/or appreciation of artistic or cultural activities, offerings, or performances. There are many forms of participation, and several degrees of involvement in which a person may engage with art and culture.
<i>Broadening participation</i>	Increasing the numbers of people involved in arts and cultural activities.
<i>Deepening participation</i>	Building appreciation and understanding of arts and cultural activities among existing participants, as well as encouraging more active forms of engagement and support.
<i>Diversifying participation</i>	Encouraging those who are not traditional participants in art and cultural activities to start participating—which often entails diversifying across lines of race, ethnicity, and class.
<i>Nonprofit arts and culture system</i>	The roles of, and relationships among, nonprofit arts providers, arts supporters, and individual participants in art and culture in a given community.
<i>Arts and culture providers</i>	Artists, teachers, producers, directors, marketers, production staff, and others directly involved in producing cultural opportunities on a professional or voluntary basis.
<i>Arts and culture supporters</i>	Institutions and individuals who fund and provide assistance to arts and culture providers, or directly assist individuals to participate more actively in arts and cultural activities.
<i>Individual participants</i>	Audience members, consumers, and students, as well as people engaged privately in art-making or cultural activities.
<i>Intermediary organizations</i>	Organizations that work with arts and culture providers and supporters as convenors, facilitators, and communication vehicles, while providing a variety of services.
<i>Larger arts and culture providers</i>	Organizations with at least \$500,000 in annual expenses, as reported to the IRS. These providers perform or present the traditional art forms as classified by the National Endowment for the Arts (NEA)'s Survey of Public Participation in the Arts. The art forms are jazz, classical music concerts, opera, musical plays, plays, ballet, and art museums.
<i>Smaller arts and culture providers</i>	Organizations with budgets under \$500,000 that produce or present works across a range of artistic disciplines—most of these organizations are community based.
<i>Sponsoring Organizations</i>	Organizations that are not arts and cultural providers but sometimes sponsor arts and cultural activities as part of another social purpose. Includes community service organizations, schools, senior centers, and youth centers.

²⁶ Sources: Council on Foundations website: <http://www.cof.org/basics/glossary.html> and The Columbus Foundation "1997 Community Foundation Survey:" <http://www.columbusfoundation.org>.

Chapter 2

Cultural Participation: An Analytic Framework for Understanding Community Foundations' Goals and Strategies

The Lila Wallace–Reader’s Digest Fund is asking community foundations to develop local initiatives to broaden, deepen, and diversify cultural participation. The Fund sees as the strength of community foundations their grounding within local systems. They bring to the CPCP Initiative an understanding of the local community—its strengths as well as its problems, tensions, resources, and opportunities. Each community foundation in the CPCP Initiative is part of a unique arts and culture system at the local level. To assess the initiative as it unfolds, we first need to understand how community foundations define cultural participation, what the local systems of art and culture are like, and how community foundations function as intermediaries within these systems.

This chapter provides an overview of the concepts anchoring our evaluation of the CPCP Initiative. Concepts introduced in this chapter are described and explored in more depth in the subsequent chapters of this report. Specifically, here, we present an analytic framework that describes how people participate in cultural opportunities. We outline the basic elements of local systems of art and culture, including organizations not typically viewed as arts and culture providers. Finally, we introduce community foundations as intermediaries within these systems, showing how that role influences their understanding of cultural participation.

Premises Underlying an Analytic Framework for Examining Cultural Participation

Because its strategy is anchored in local institutions, the Fund has not prescribed precisely how community foundations should accomplish CPCP goals—nor has it rigidly predefined the concepts of art, culture or participation. Instead, the Fund is relying on the community foundations themselves to identify and address the needs of their localities, assess the relationships among the people and institutions involved in systems of art and culture, and adopt effective strategies to influence those systems.

The strategies will necessarily be dynamic. The framework we have devised to assess the CPCP Initiative, which we elaborate throughout the remainder of this report, rests on four interrelated premises:

1. Cultural participation refers to the engagement of individuals in *all* facets of art and culture production, appreciation, and consumption, for both nontraditional and traditional art forms and types of cultural expression.

2. Production, appreciation, and consumption of cultural activity takes place within a three-level system that includes individual participants, arts and culture providers, and supporters of arts and culture providers.²⁷
3. Community foundations operate within arts and culture systems as grantmakers and as intermediaries. They mobilize financial and nonfinancial resources to catalyze, broker, and sustain new relationships among existing and potential system actors in support of the CPCP Initiative’s charge to broaden, deepen, and diversify cultural participation.
4. To change current players’ modus operandi in art and culture systems—and to engage new participants—community foundations must articulate multiple meanings of art and culture, in terms that these players understand and find relevant.

Expanding the Concepts of “Participation” and “Arts and Culture”

Prior to launching CPCP, the Fund focused most of its efforts to enhance cultural participation by targeting audience development. The Fund has emphasized other forms of involvement, too.²⁸ People can engage in a wide range of arts and culture activities, not only as part of an audience but also as creators and artists, students and teachers, volunteers and donors—at levels of sophistication ranging from the amateur to professional, as the box to the right indicates.²⁹

Who Participates in Arts and Culture?

Audiences are not the only participants in arts and culture. The Humboldt Area Foundation’s “Living Biographies” project, supported with CPCP resources, is an intergenerational effort that involves area residents in the preservation and transmittal of culture through oral histories focusing on community elders. Adult volunteers will interview elders. Teens, who are being trained in the technical aspects of videography, will record the interviews. The goal is to complete 300 oral histories in four years. Clips will be aired between public television programs. Also, they will be circulated among local high schools and shown on local news broadcasts. Partners in this effort include professional historians, ethnographers, and videographers from the Humboldt Historical Society, public television, the U.S. Library of Congress Folklife Division, and the University of California at Berkeley.

²⁷ As mentioned in chapter 1, the most significant limitation of this evaluation is that it does not include the for-profit portion of the arts and cultural sector, for example, private art galleries. It also does not measure the flow of talent into the system, including, for example, the role of universities in supplying talent to local arts and cultural organizations.

²⁸ The Fund’s mission is “to invest in programs that enhance the cultural life of communities and encourage people to make the arts and culture an active part of their everyday lives. To this end, the Fund supports the efforts of a wide variety of cultural groups to broaden and diversify audiences and deepen people’s participation in the visual, literary, performing, and folk arts.” LWRDF, 1997b, p. 1.

²⁹ A discussion of expanded definitions of cultural participation that informed our analysis appears in Jackson, Maria-Rosario. 1998. *Arts and Culture Indicators in Community Building Project: January 1996–May 1998, a Report to the Rockefeller Foundation*, Washington, D.C.: The Urban Institute, pp. 38–43.

Promoting cultural participation can include support for all of these forms of participation. The interviews and community discussions conducted through the initial round of field visits to CPCP communities confirm that community foundations have embraced this expanded definition of participation, as have administrators of community-based arts and culture agencies, which often rely on residents and others to help carry out their work.

Looking at participation beyond audience attendance is, for most funders, researchers, and cultural organizations, a new approach. Earlier, narrower, interpretations have driven a significant portion of cultural grantmaking, research, and data collection on how Americans participate in arts and culture.

By emphasizing an expanded concept of cultural participation, the Fund can set an important precedent for the field. In the initiative, community foundations have embraced a broad concept of participation, but many arts and culture presenting organizations in their communities remain wedded primarily to audience development as the sole definition of participation. We found that community foundations have found it difficult to communicate what an expanded concept of participation means and what its benefits are. This lack of common vocabulary has hampered progress in the initiative.

As community foundations have started to promote broadening, deepening, and diversifying cultural participation, they are facing challenges related to serving larger and more diverse pools of participants. They are learning that to motivate wider participation, cultural providers must offer quality programs that reflect the values and tastes of potential participants—values and tastes that are defined, in part, by diverse ethnic, age and interest-specific sensibilities. Public awareness of cultural opportunities must be raised. In fact, information

Examples of Expanded Cultural Participation

- The CPCP steering committee of the Maine Community Foundation in Waterville has expressed an interest in reviving arts and cultural practices in the Franco-American and Lebanese communities, among others, through festivals and celebrations. Participants will include Waterville residents as artists, tradition bearers, organizers, and audience.
- The Boston Foundation made a grant through CPCP to Community Glue, Inc., a neighborhood-based arts magazine that serves as a venue for community residents to share poems, stories, essays, photographs, and drawings about their lives.
- In Kansas City, the Starlight Theatre received a CPCP grant to develop an arts business program with a local high school to teach students how to run a musical production at the professional outdoor theater. Students will operate every department, including accounting/finance, fundraising, ticketing, marketing/advertising, administration, Board/community relations and production.

campaigns are an explicit component in many CPCP initiatives. Moreover, cultural opportunities must be funded sufficiently to be accessible to the average citizen.

“Participation” is not the only term being stretched in the CPCP Initiative. So, too, is the whole notion of “arts and culture.” Many arts and culture programs—and participation measures, as well—consider art and culture to be limited primarily to European-based high art and culture forms. As a result, research has found that participants are typically white, well-off, and well educated.³⁰ Low-income groups, especially minority groups that do not generally participate in European-based high art forms have frequently been marginalized as “underserved” communities. Of course, some nonparticipants are deterred by costs, distance, and other factors. But lack of participation is also the result when cultural offerings fail to reflect legitimate group values and preferences or when narrow views of art and culture exclude the types of artistic production embraced by underserved groups.³¹ In this evaluation, we will monitor various forms of cultural participation mentioned in chapter 1.

What Are the Primary Components of Art and Culture Systems?

To enhance participation, community foundations must devise strategies to influence three different components of art and culture systems: individual participants, arts and culture providers, and arts and culture supporters. In chapters 3 and 4, we describe various entities that operate as arts and culture providers and supporters. We also examine more closely how community foundations encourage arts and culture providers and their supporters to change cultural offerings as a way to enhance individual participation. The three basic levels of art and culture systems are described briefly below.³²

Individual participants include audience members, consumers, and students, as well as people engaged privately in art-making activities.

³⁰ DiMaggio, Paul, and Francine Ostrower. 1992. *Race, Ethnicity and Participation in the Arts, Research Division Report #25, National Endowment for the Arts*. Washington, D.C.: Seven Locks Press, pp. 101–112.

³¹ Jackson, Maria-Rosario. 1998. *Arts and Culture Indicators in Community Building Project: January 1996–May 1998, a Report to the Rockefeller Foundation*. Washington, D.C.: The Urban Institute, p. 37.

³² Also influencing arts and culture systems are membership and interest organizations providing member services, advocacy, research, and other functions that support arts and culture organizations and artists. Examples at the national level include Grantmakers in the Arts, National Association of State Arts Agencies, Americans for the Arts, National Association of Artists’ Organizations, Theater Communications Group, and American Association of Museums. Some of these national organizations also have local affiliates or counterparts.

Arts and culture providers include individual artists, curators, teachers, producers, directors, marketers, production staff, and others directly involved in producing cultural opportunities on a professional or voluntary basis. Providers also include organizations that explicitly identify themselves as arts and culture presenters—for example, museums, symphonies, and ballet companies—as well as those that do not identify themselves primarily as cultural organizations, but sometimes promote cultural activities as a means of carrying out a social mission. Such groups could include social service providers, economic development organizations, and other community-building agencies.

Arts and culture supporters include public and private funders of the arts, ranging widely from foundations, corporations, churches, public arts councils, and municipal cultural affairs divisions to individual donors, policymakers, and civic leaders who can direct resources for cultural offerings. Art and culture supporters also include institutions that fund groups that are not primarily arts and culture organizations but that embrace arts and culture as part of their larger mission. Such funders are often unaware of the extent to which the work they support is based in art or culture; although arts and culture funders and supporters of other activities involving arts and culture are becoming more aware of the multiple roles of art and culture in society.³³

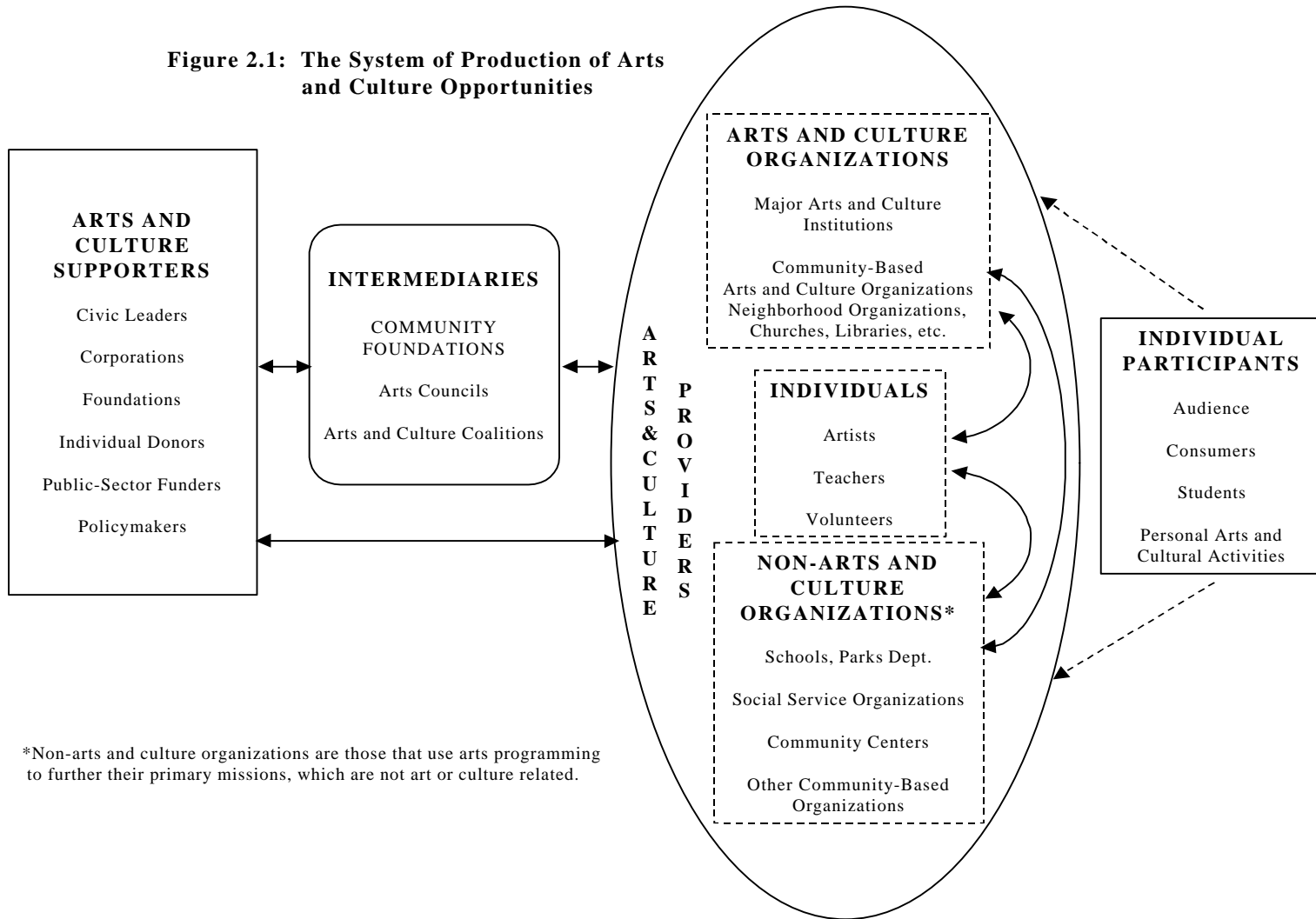
Community Foundations as Intermediaries

Figure 2.1 on the next page depicts a general view of a nonprofit arts and culture system and the community foundations' potential role within that system. Throughout the remainder of this report we identify the roles various members play within art and culture systems. As the evaluation unfolds, we expect to concentrate much more on the relationships among system actors and how they contribute to, or interfere with, efforts to expand cultural participation.

Figure 2.1 classifies community foundations as arts and culture supporters. In fact, they are much more. As intermediaries charged with influencing a multilevel system of arts and culture, the CPCP community foundations confront formidable tasks that were not anticipated fully by the Fund or the foundations themselves. A more complete analysis of community foundations as intermediaries, and the special challenges they face, appears in chapter 5. Here we introduce the concept of intermediation as used in this evaluation.

³³ Jackson, 1998, p. 30.

Figure 2.1: The System of Production of Arts and Culture Opportunities



*Non-arts and culture organizations are those that use arts programming to further their primary missions, which are not art or culture related.

As intermediaries, community foundations set out to secure commitments from others to provide a variety of resources—money, expertise, information, power, and influence—in support of shared cultural participation goals. In order to achieve these goals, the community foundations must first establish a shared vision for change. That is, in communities fractured by class, race, ethnicity, politics, geography, or age, community foundations must first make the case for why people should be concerned at all with enhancing cultural participation. They must offer convincing reasons to sustain and expand the existing players in the system, as well as engage new players. Next, community foundations must establish a common agenda. They must set action priorities to support their stated purposes, and they must clearly define the problems or opportunities they seek to address, devising acceptable solutions and rules for addressing them. Third, they must obtain commitments from key players to achieve objectives within their overall goal. Specifically, the community foundations must secure new resources (monetary and other) and influence the reallocation of existing resources.

To carry out these steps, the community foundations must engage in a number of intermediary functions. They must exercise leadership, broker resources, convene players, and inform and advocate in decisionmaking processes that support the desired changes. They must also provide direct financial support to various groups that can advance the shared agenda and monitor the results of their investments. To be effective, community foundations will need to tap their own organizational assets, which include money and other in-kind resources, expertise, and influence. By using these assets strategically, they can influence arts and culture systems in meaningful ways.

A fundamental factor in each community foundation's success will be its capacity to communicate the value of cultural participation in terms that new supporters, arts and culture providers, and individual participants will understand. Otherwise, the foundation cannot play its essential mobilizing role. At the same time, a foundation must also sustain the interest of existing players, who may not readily accept the need to change the system or the values that new players bring to it.

Do Arts and Culture Have a Role in Improving Society?

Some community foundations may be able to promote enhanced cultural participation without having to defend the value of arts and culture. Most, however, are not in this position. To attract new participants—individuals, providers, and supporters—they must appeal to motivations for participation that are not cultural or artistic, but tied to broader societal values.

In recent years, many arts funders, administrators and researchers have become interested in better understanding the societal value of art and culture.³⁴ People sympathetic to arts and culture often contend that “the more arts and culture opportunities there are, the better off society will be,” reports RMC Research Corporation. In fact, RMC continues, “little is known or questioned about this assumption.”³⁵ In a similar vein, Margaret Wyszomirski, a noted arts policy scholar, identified four arts impacts in her research: audience, economic, education, and social utility. She found that research on social utility impacts is the least developed.³⁶

Theories and hypotheses about the social utility of the arts have yet to be well developed and tested. However, there is emerging research in this field and the topic is gaining momentum in national forums.

A review of arts-related practices among community-building organizations shows that such groups do ascribe important societal values to the arts. This view is supported in interviews and focus groups conducted by the Urban Institute for the Arts and Culture Indicators in Community Building Project (ACIP).³⁷ In many cases, art is embedded in other aspects of community life, including worship, economic development, education, and celebrations.

Community-Building Values Attributed to Arts and Culture

- Bridge racial/ethnic/cultural divides
- Preserve cultural heritage
- Promote pride in ethnic/cultural identity
- Transmit heritage intergenerationally
- Create group memory and group identity
- Worship
- Interpret or reinterpret the present, past, or future environment
- Promote civic participation
- Improve the built environment
- Promote ownership and stewardship of place
- Promote public safety
- Encourage economic development
- Develop life skills and problem solving
- Educate

Source: Jackson 1998, p. 40.

³⁴ This is evident in a number of research efforts launched, in part, to better understand and document the possible societal contributions of arts and culture. These include the work of the Fordham Institute for Innovation in Social Policy through its Working Group on the Arts and Humanities, The Social Impact of the Arts Project at the University of Pennsylvania School of Social Work and the Arts and Culture Indicators in Community Building Project at the Urban Institute, among others.

³⁵ RMC Research Corporation. 1997. *Reconnaissance Report of Existing and Potential Uses of Arts and Culture Data*, A product of the Arts and Culture Indicators in Community Building Project. Washington, D.C.: The Urban Institute.

³⁶ Wyszomirski, Margaret Jane. 1996. *Revealing the Implicit: Searching for Measures of the Impact of the Arts*, Prepared for the Independent Sector Conference on Measuring the Impact of the Non-Profit Sector on Society, Washington, D.C.

³⁷ Launched in 1996 with support from the Rockefeller Foundation, the ACIP is an effort to create arts and culture indicators of neighborhood health that capture the values of the residents, artists, arts administrators, and community builders who live and work in low-income communities.

Focus group discussions conducted for a study on museum visitors' attitudes and expectations sponsored by the Getty Center for Education in the Arts and the J. Paul Getty Trust revealed other important themes. Museum visitors indicated that through their individual experiences in going to art exhibits or cultural activities, they learned about and became more interested in other cultures, identified common threads in human experiences, and learned about other historical eras. They also said that the museums provided opportunities for self-discovery, critical inquiry, and reflection.³⁸

In 1997, artists, arts administrators, critics, foundation representatives, academics, researchers, politicians, and policymakers, concerned with both for-profit and nonprofit arts, came together for the 92nd American Assembly entitled "The Arts and the Public Purpose." Participants gathered for three days to examine the arts as a sector and the extent to which the arts serve public purposes. They concluded that the arts should and do address four public mandates. First, the arts help to define what it is to be an American. Second, the arts contribute to quality of life and economic growth. Third, the arts help to form an educated and aware citizenry. And fourth, the arts enhance individual life.³⁹

The CPCP Initiative interviews and document reviews revealed related values ascribed to cultural participation. Nearly all of the community foundations made reference to the role of their CPCP initiatives in building community. Community Foundation Silicon Valley, Humboldt Area Foundation, and Maine Community Foundation use arts and culture to address youth development. In Humboldt, New Hampshire, and Maine, arts and culture are a means of getting people in touch with their history and heritage. The Dade Community Foundation views arts and culture as a means of bridging Miami-Dade's race, ethnicity, class, political, and geographic divisions. Several other foundations also view arts and culture as a bridge-building mechanism among divided communities.

Throughout this evaluation, the Urban Institute will examine the values attributed to art and culture and how these values enable and shape partnerships among new and old players in local arts and culture systems. The site visits conducted to date provide baseline information about how components of these systems interrelate. Over time, we expect that as a result of the community foundations' influence and their ability to convey multiple values ascribed to arts and culture, the systems currently in place will change. People in the system will embrace broader concepts of art, culture, and participation. New players and partnerships will emerge, and there will be new rules governing decisionmaking and implementation as well as new resources directed to support expanded cultural opportunities.

³⁸ Getty Center for Education in the Arts and the J. Paul Getty Trust. 1990. *Insights: Museums, Visitors, Attitudes, Expectations, a Focus Group Experiment*. Los Angeles: J. Paul Getty Trust, pp. 13–17.

³⁹ American Assembly. 1997. "The Arts and the Public Purpose: the 92nd American Assembly, May 29–June 1, 1997." New York: Columbia University, pp. 1–6.

Chapter 3

Arts and Culture Providers and Their Strategies

A major premise of the CPCP Initiative—as in other aspects of the Fund’s work, is that arts and culture providers have to pursue broader forms of participation if they are to survive and prosper. To do so, most will need to change the way they do business.

In our first round of field research, we found that quite a few arts and culture providers had embraced new views of participation. While we did not conduct a comprehensive survey, several themes emerged from our interviews. First, different kinds of providers place different emphasis on broadening, deepening, or diversifying cultural participation. Second, regardless of participation goals, providers have a common set of strategies available to them to help promote cultural participation. Third, collaborations appear to be one of the more promising ways to implement cultural participation strategies. But, fourth, collaboration also introduces tensions within and between organizations. As a result, community foundations find that one of the most challenging aspects of the initiative is the promotion of effective partnerships among organizations.

In this chapter, we examine art and culture providers and their strategies, policies, and programs to boost participation. We explore differences in providers’ views of cultural participation, the strategies available to them to expand participation, the use of collaborations to foster new forms of participation, and the organizational changes needed to implement cultural participation strategies effectively.

Cultural Participation Issues and Goals

As stated in chapter 1, the CPCP Initiative calls for “broadening, deepening, and diversifying” cultural participation:

- *Broadening* means increasing the numbers of people involved in arts and cultural activity, based on the belief that whatever meanings individuals assign to participation, its expansion enriches individuals and communities and is intrinsically worthwhile.⁴⁰

⁴⁰ From a policy analysis standpoint, ensuring the broadest possible participation in arts and cultural activity is conceptually the same as ensuring access to other public goods, such as parks or libraries.

- *Deepening* means encouraging individuals who already participate in arts and culture to do so more frequently, in multiple ways (that is, not just as audience members), and in a manner that enables them to reap richer rewards from the experience.
- *Diversifying* means encouraging those who are not traditional participants in art and cultural activities to start participating—which indirectly helps share America’s multiple cultural heritages more broadly among races, classes, and other groups.⁴¹

These goals interrelate. Broadening participation in most communities also means diversifying. For example, many cultural institutions that present traditional European arts and culture want to expand audiences, which often means attracting patrons not of European origin. To do this, institutions have found it valuable to present works with roots in African American, Hispanic, Native American, or Asian cultures and to involve individuals or organizations from those groups in artistic and cultural production and interpretation. Similarly, many groups with African American, Hispanic, Native American, or Asian roots seek to reach white audiences, which may require different kinds of outreach, education, marketing, and other activities.

Efforts to diversify cultural participation may simultaneously deepen it. For example, presenting works from non-Western traditions to diversify audiences may also encourage people who already participate to do so more frequently if the works contribute to better appreciation of the art form among traditional patrons.

Because of the overlap in cultural participation goals, arts and culture organizations, community residents, and civic leaders may describe the same phenomenon in very different ways. We found many arts and cultural events and programs that could simultaneously be described as broadening, deepening, or diversifying cultural participation. As a result, categorizing providers’ participation goals as one or another of the Fund’s three goals is difficult. Some provider activities can be assigned relatively easily to one or another participation category; others cannot.

⁴¹ Diversification also can be thought of as a response to equity issues in cultural participation policy—to ensure that access to cultural resources is commensurate with people’s interest in arts and cultural activities, unaffected by their race, class, or other characteristics.

Even so, members of the arts and culture system in each community do articulate participation goals consistent with the Fund's emphasis on broadening, deepening, and diversifying. They may pursue these goals throughout the communities they serve or only in targeted areas. For example, the Greater Kansas City Community Foundation seeks to broaden participation throughout the Greater Kansas City metropolitan area; while Community Foundation Silicon Valley pursues various participation goals in the cities of Milpitas and Gilroy and in the Mayfair neighborhood of San Jose. Exhibit 3.1, on the next page, summarizes each community foundation's goals for the initiative as described in its proposal and other written materials.

Project Goals of the East Tennessee Foundation

- Link the cultural community with other community-building efforts.
- Explore the fundamental relationship between artists and community members.
- Offer communities equal opportunities for self-expression, overcoming barriers to cultural participation, protecting minority interests, and facilitating communication across cultural differences.
- Expand awareness within arts organizations of the importance of community relationships to their survival, success, and audience development while increasing their knowledge of participatory and primary audience research.
- Enhance financial resources dedicated to diversifying cultural participation.

Source: East Tennessee Foundation, 1998.

Exhibit 3.1: Community Foundation Cultural Participation Goals	
CPCP Site	Community Foundation Participation Goals
Boston	Increase capacity of small organizations to attract new audiences. Broaden reach of “major” organizations into communities.
Silicon Valley	Increase availability of art and cultural activities in target areas of Milpitas, Gilroy, and the San Jose neighborhood of Mayfair. Increase use of art and culture by neighborhood- and community-based groups.
SE Michigan	Increase cultural participation in southeastern Michigan. Strengthen organizations that provide cultural programming.
Dade	Increase participation among African Americans and Hispanics, particularly in target communities of East Little Havana and Hialeah, Liberty City, and Deep South Dade. Build new audiences, overall, by attracting youth and families. Use arts as a bridge across cultures.
East Tennessee	Encourage active participation in community life. Offer communities equal opportunity for self-expression and facilitate communication and cooperation across cultural differences. Increase value of arts and culture to civic leadership. Preserve indigenous regional cultural heritage.
Kansas City	Increase participation in community-based cultural organizations, as well as increasing the use of arts by community-based non-arts organizations.
Humboldt	Each of the four initiatives has specific goals. In general, foundation staff want to increase participation in art and culture by connecting art to life experiences. Initiatives include connecting youth workers and troubled teens with arts providers, creating videographic life histories, and preserving the heritage of Native Americans.
Maine	Start by improving the arts infrastructure, especially in terms of organizational capacity, collaborations, community arts agencies, and deepening the understanding of the role of arts in communities.
New Hampshire	Increase participation through connections between local residents, arts providers, and local history.

We found differences between community foundations’ and providers’ cultural participation goals in our field interviews. In the remainder of this chapter, we will allude to differences among various types of provider organizations. Important distinctions are between:

- Larger arts and cultural organizations (with annual operating budgets of at least \$500,000) that produce or present works in the seven “classical” arts disciplines as defined by the NEA’s Survey of Public Participation in the Arts: jazz, classical music concerts, opera, musical plays, plays, ballet, and art museums. We also include prominent historical, natural history or other museums, historical parks, or other cultural facilities.

- Smaller arts and cultural organizations (with budgets under \$500,000) that produce or present works across a range of artistic disciplines or cultural interests—many of these organizations are community based.
- Organizations that are not arts and cultural providers but sometimes sponsor arts and cultural activities as part of another social purpose.

Most communities in the initiative contain each of these three types of organizations. In exhibit 3.2 at the end of this chapter, we list a selection of the larger arts and cultural organizations—those with annual operating expenses greater than \$500,000—in each of the nine sites of the CPCP initiative, as well as a selection of the smaller organizations—those with expenses below \$500,000. (Of all arts and culture organizations in the nine CPCP site that report to the IRS, 18 percent have expenses of at least \$500,000, and account for 90 percent of the total operating expenses of arts and cultural organizations in the nine sites.) Data in the exhibit are drawn from the National Center for Charitable Statistics’ database of nonprofit organizations.

Participation Goals of the Larger Arts and Cultural Organizations

In our discussions, representatives of local arts and cultural communities often spoke about “major” arts and cultural organizations, by which people commonly meant the larger arts institutions in their communities that were devoted to presenting works in the “classical” disciplines of visual arts, ballet, theater, and classical music. (This understanding of “majors” is narrower than the list presented in exhibit 3.2 at the end of the chapter, which is not limited to the classical arts disciplines.)

The “major” arts and cultural organizations in CPCP communities typically present works from the European American canon. Most rely primarily on paid professionals to carry out principal functions—although most use volunteers to act as ticket-takers, docents, and marketing representatives. The larger arts and cultural organizations are generally housed in cultural facilities, although these vary considerably in quality. Typically, governing boards are composed of civic, political, corporate, and private philanthropic leaders. In some communities, board members have international stature. The “major” arts and culture organizations are highly specialized, usually separating artistic or curatorial and management functions.

Almost all of the representatives we interviewed from larger arts and cultural organizations reported a need to increase attendance at their events, activities, and programs. Apart from other participation objectives, each saw audience development as an important organizational challenge. Most appeared to be concentrating very much on broadening participation, without necessarily linking this to deepening or diversifying it, particularly in communities with clear economic and social

boundaries between central city and suburbs. “Major” arts and cultural institutions in center city Detroit and Kansas City, with several exceptions, portrayed their participation issues in terms of attracting suburban residents, who typically shunned central city institutions.

Some large institutions in Boston, Dade, and Knoxville appear to view participation goals in terms of deepening and diversifying. For example, Knoxville arts and cultural organizations perceive a relatively thin market of well-educated patrons in the region, dispersed across central city, suburbs, and rural areas. Fifteen of the 19 counties in the East Tennessee region are predominantly rural. This almost certainly means an emphasis on inducing more frequent participation among those already inclined to participate—and encouraging participation in ways beyond mere audience attendance, for example, through volunteer and other forms of support, and among a more diverse group, including rural and working-class whites and racial and ethnic minorities.

No matter how organizations characterized their participation goals in terms of broadening, deepening, or diversifying, they typically offered social rather than artistic reasons for increasing participation. Few seemed to view expanded participation in terms of increasing artistic excellence. Some expressed concern that artistic excellence would be sacrificed if participation goals were pursued too aggressively or inappropriately.

Participation Goals of Smaller Arts and Cultural Organizations

In our field research, we spoke with over 100 individual artists and representatives of arts and cultural organizations that are not “majors” according to the definition noted above (based on size and presentation of work in traditional arts disciplines). (See our interviewee list in appendix 4.) These organizations often presented culturally specific works and performed in venues used most often for other purposes. Although these groups tended to use professional staff to produce and present art or cultural activities and perform management tasks, they relied on volunteers more heavily than the “majors.” This was certainly true in the creation of art and presentation of culture. Some organizations, especially those devoted to cultural preservation, primarily presented works by amateur, not professional, artists.

The smaller arts and cultural organizations also would like to broaden their audiences. But depending on their types of programming, most recognized the inherent limits of this strategy, given the kinds of artistic and cultural activities they present. For example, we interviewed artists and representatives of organizations that made and presented art and cultural works that were unlikely to have a broad appeal across communities—including the preservation of Native American regalia, interpretation of the social meanings of the machine-tool industry, and the presentation of Appalachian a capella balladeers. For these organizations, participation objectives typically focused on deepening

the understanding of the art or cultural form among their natural communities of support, and broadening support from within.

Some organizations, however, cared very much about diversifying their audiences. For example, a number of organizations in Miami–Dade County framed participation issues in terms of breaking down the cultural barriers between Hispanics, African Americans, and whites, and among subgroups of the Hispanic community. If successful, such organizations could diversify and broaden their audiences considerably.

Community-based organizations generally think about participation goals in terms of the artistic and cultural value of their work, although most were concerned (if not preoccupied) with broadening their base of financial support. This often meant seeking validation for their works from larger arts and cultural organizations, and certainly from the broader arts and cultural system.

Participation Goals of Non-Arts and Cultural “Sponsoring” Organizations

An important group of arts and cultural providers are organizations that sponsor arts and cultural activities, but do so in pursuit of other goals. In our site visits, we spoke with high school teachers and administrators, social service providers, public housing residents, community-based development organizations, and others devoted to activities only tangentially linked to the production and consumption of arts and culture.

These organizations do not have participation objectives as arts and cultural organizations understand them. Rather, they view arts and cultural participation in terms of community-building, education, therapy, or fundraising. For example:

- Community-based organizations view arts and cultural activities as tools for strengthening community fabric, celebrating cultural heritage as an aspect of group identity, developing a community economic base, or advocating for social change.

CPCP Grants: The Boston Foundation

Codman Square Health Center, the first non-arts agency funded under the Arts and Audience Initiative, understands health in the broadest sense and seeks to improve the individual well-being of its clients as well as the social and economic health of its community. Seeing the arts as an essential tool in addressing this mission, the Health Center takes its neighbors as the starting point in designing a series of musical performances, visual arts exhibits, and lecture/demonstrations that appeal to residents' varied cultural interests. By beginning with the intended audience, the Health Center is building a platform for ongoing community dialogue and participation in cultural and civic affairs.

Source: The Boston Foundation.

- Educators view arts and cultural activity as contributing to intellectual development, self-awareness and self-esteem, recognition of the value of diverse cultures, civic education, and skills development.
- Social service providers view arts and culture therapeutically, as an effective intervention strategy to promote appropriate resolution of conflicts, prepare youth for jobs, build life skills, or encourage entrepreneurship, among other functions.

Factors Influencing Individual Decisions to Participate in Arts and Culture

Individuals decide whether or not to participate in arts and cultural activities—but to broaden, deepen, or diversify cultural participation, arts and culture providers must influence these choices. Over the past 10 years, much has been learned about the characteristics of those who tend to participate in arts and culture most frequently. The national Survey of Public Participation in the Arts, conducted approximately every five years by the NEA, has shown the influence of education, income, family status, race, and upbringing on the frequency of artistic participation. In addition, the field as a whole has learned much through the accumulated efforts of museums and arts and culture presenters.

While earlier research has suggested that income levels, education, and related factors do influence cultural participation, we also suspect that participation is a function of the range of opportunities available. We have therefore found it helpful to think about participation in terms of resources, motivations, and opportunities.⁴²

- *Motivations* are the values and interests that individuals express when they choose to participate. These can be aesthetic, intellectual, social, political or civic, and religious.
- *Resources* contribute to an individual's capacity to participate. These include money, free time, and information about arts and cultural offerings, as well as individuals' knowledge of arts and cultural styles and contexts, intellectual skills, openness to new experiences, and connectedness to neighborhoods.
- *Opportunities* are the number and quality of programs and events available in a community, their accessibility in terms of language or times of operation, and the pathways that connect individuals to possible participatory experiences.

⁴² The triad of resources, motivations, and opportunities is drawn from research on political participation. See Verba, Schlozman, and Brady (1995).

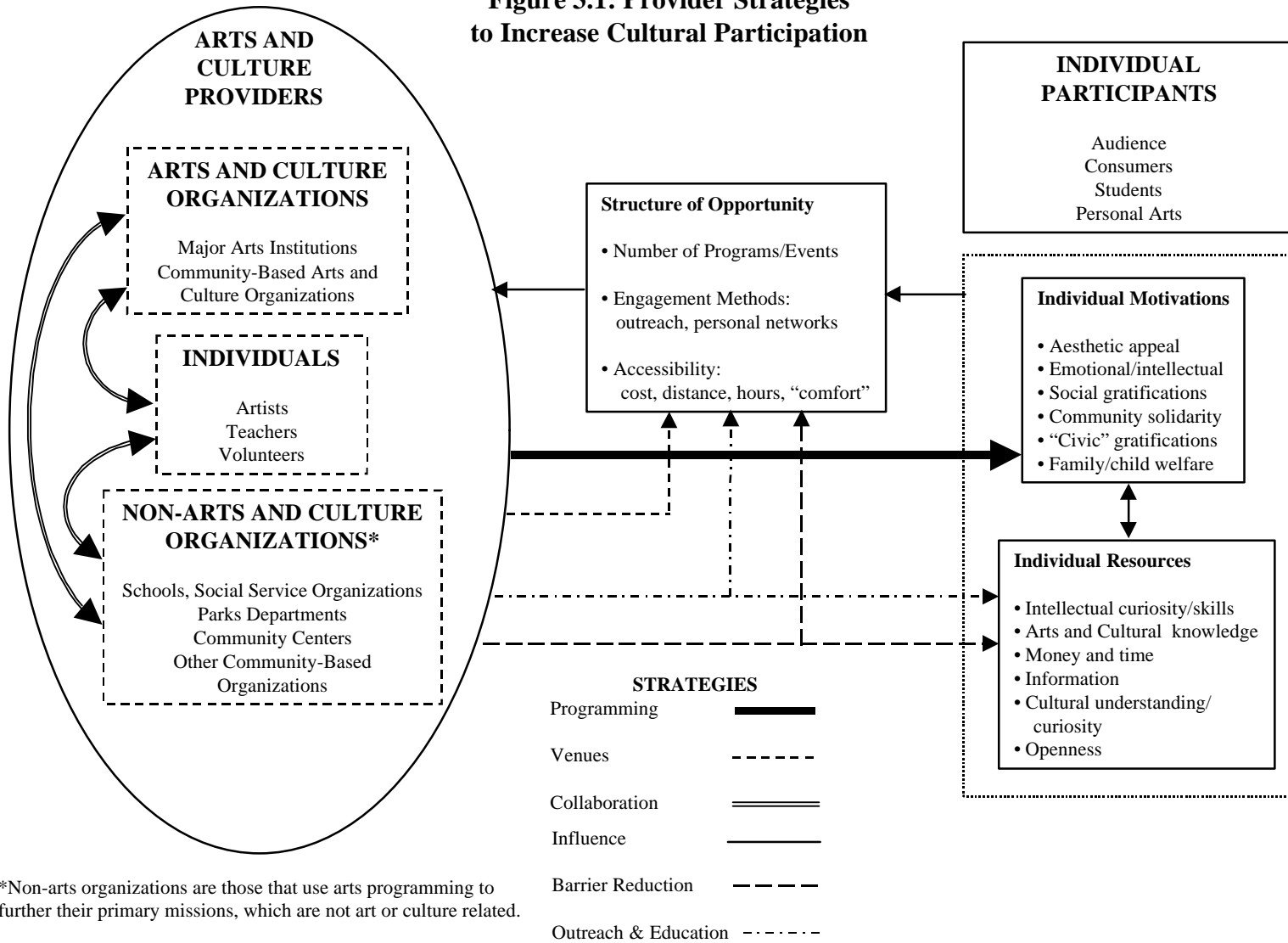
Figure 3.1 on the next page examines the relationship among motivation, resources, and opportunities in influencing individual participation. The exhibit shows that individual resources and motivations contribute to an individual's decision to participate—but that these are mediated by the structure of participatory opportunities. All things being equal, a highly motivated individual with resources sufficient to satisfy any participatory interest will participate more frequently than one with fewer resources. But two identically motivated and resource-rich individuals will not participate at the same rates if the opportunities to do so are quite different.

The relationships among motivation, resources, and opportunities are complex and not that well understood in political research, or in research on cultural participation. We have quite a lot of information on why people decide to participate in arts and cultural activity, but this information is qualitative and cannot be analyzed statistically.⁴³ Consequently, we do not know if people more often participate primarily for aesthetic reasons (to experience the artistic beauty of a well-performed aria or saxophone riff) or social ones (to simply have fun with some friends) or for other reasons. We also do not know very much about the effects of education or other personal resources on motivations and vice versa, though we know that participation rates do go up with education levels.

Although much research remains to be done, we suspect that the framework of motivation, resources, and opportunities provides the right beginning point for an analysis of provider strategies and, ultimately, community foundation strategies to increase cultural participation. Whether providers are interested in broadening, deepening, or diversifying participation, they must address one of these three influences on participation.

⁴³ For example, see the Getty Center for Education in the Arts and the J. Paul Getty Trust. 1990. *Insights: Museums, Visitors, Attitudes, Expectations, a Focus Group Experiment*. Los Angeles: J. Paul Getty Trust. The Survey of Public Participation in the Arts allows us to predict who will participate, but not why, because it does not ask questions about motivations.

Figure 3.1: Provider Strategies to Increase Cultural Participation



*Non-arts organizations are those that use arts programming to further their primary missions, which are not art or culture related.

How Arts and Culture Providers Try to Influence Cultural Participation

Arts and cultural providers in CPCP sites have devised a variety of strategies to broaden, deepen, and diversify cultural participation. At this stage of our research, we have no data to show whether or not these strategies actually have produced the intended results. We have grouped these strategies into four categories:

- Programming
- Outreach and Education
- Venues and sponsors
- Barrier reduction

Programming Strategies. These are changes in the providers' offerings, usually to motivate participation among those who would not do so otherwise. The goal is to widen the appeal of arts and cultural offerings by expanding the range of values and interests they satisfy. For example, the Knoxville Museum of Art's "Bessie Harvey" exhibit, which presented works of a regional folk artist, appealed to those interested in the works themselves, as well as people who wished to support the work of organizations that contributed to the show (including a local high school), and those interested in African American cultural history. We grouped programming strategies into two categories.

Popular programming	For example, almost every large ballet in the country performs the <i>Nutcracker Suite</i> each year around Christmas. Even though this might not be a preferred choice on artistic grounds, it responds to the social and community interests of patrons.
Diverse programming	This includes presentation of arts and cultural forms that may not reflect the dominant "classical" orientation of a collection or repertory, such as an exhibition of Indonesian puppetry at an art museum. It also includes nontraditional casting, as when African American actors play traditionally white roles.

Outreach and Education Strategies.

Many arts and cultural providers seek to market themselves to schools, voluntary associations, and community organizations. This outreach takes many forms, from traditional marketing methods to cosponsorship arrangements. For example, by partnering with schools on a particular exhibit, a provider attracts students, faculty, and parents. Providers may perform part of a play or dance in a local high school and distribute free tickets, thus enticing

students to the full performance. Another typical marketing strategy is to give away a few tickets to voluntary organizations, which in turn use them as promotions, such as a door prize. Providers can also influence participation by creating a market for the performance simply by informing schools, voluntary associations, and other community organizations about the upcoming work.

Venue Strategies. These include performances in venues that are not traditional for the art or cultural form or the provider organization. (This could be thought of as another form of outreach strategy.) We have many examples. Symphony orchestras and Shakespearean theater companies, for example, now commonly present an annual summer series in city parks. Orchestras, dance companies, and theater companies also present touring versions of their work, including performances in rural areas, poor neighborhoods, or suburban shopping malls.

Like programming strategies, venue strategies attempt to influence participation by appealing to those whose motivations may be different from traditional patrons. If the venue of an orchestra performance is changed from a symphony hall to a city park, those motivated by social or community values and interests may be more likely to participate. Venue shifts can also respond to differences in individual resources. By performing chamber works in a senior citizen home, for example, an orchestra can overcome seniors' limited ability to participate in arts activities due to such factors as health or income.

CPCP Activities: Humboldt Area Foundation

Youth Arts Alive!: An event where 45 arts and community organizations supplied program information and hands-on activities in conjunction with a children's art show. 639 youngsters and adults attended, with a local television channel broadcasting live from the scene.

Source: Humboldt Area Foundation.

CPCP Grants: Greater Kansas City Community Foundation

Musiconnection: The Friends of Chamber Music will create a series of music education sessions with selected audiences from the inner city to suburban schools to corporations and senior citizen communities, taking place at venues chosen by the audience. In addition, a complementary longer performance session will take place at the concert hall, complete with a lively and engaging presentation and question-and-answer session.

Source: Greater Kansas City Community Foundation.

Barrier Reduction Strategies. These strategies are designed to overcome individuals' limited resources and directly expand the opportunities available. (Outreach also is a kind of barrier reduction, if the barrier is lack of information or difficulty of access.) Arts and culture providers attempt to address such barriers as lack of transportation, inconvenient location of venues, or high prices. Some potential participants avoid coming to events where they may feel inappropriately dressed or where they do not know how to comport themselves.

Providers can address these issues in a variety of creative ways. They can provide buses to take patrons to the venue from convenient locations or offer door-to-door transportation in low-income neighborhoods or for elderly patrons. They can establish a “pay-what-you-want” day or a free day of the week or permit students to buy “walk-up” tickets for a low fee on the day of the event. Or they can hold informal days or family days when casual dress and children are welcome. Although we did not come across any examples of providers addressing the comportment question directly, focus groups did raise this as something they would like addressed. One group suggested that common concerns and questions be identified and addressed in the schools as a classroom exercise.

Provider Collaborations to Enhance Participation

Not all organizations are equally capable of undertaking programming, venue, education and outreach, and barrier reduction strategies. To help build broader, deeper, and more diverse audiences, some have found it helpful to collaborate with other organizations. Collaboration is given a central role in the CPCP Initiative.

Benefits from Collaboration.

Collaborations can range across a broad landscape—from partnerships between large and small providers to alliances between arts and culture providers and community organizations. For example, the Handel and Hayden Society in Boston has joined with five African American churches to jointly perform choral works in

Some Examples of Collaboration between Arts Providers and Other Organizations

- In Knoxville, the “Witness and Legacy” Exhibition, is a multidisciplinary investigation into the meaning of the Holocaust. Students from two high schools, one largely African American and one largely white, compiled oral histories and created interpretive displays to accompany exhibit photographs from concentration camps.
- East Boston Social Centers leads a six-agency collaborative in Cultural Connections, an arts engagement project to link youth with adults, and new immigrants with life-long residents. Zumix will coordinate 30 indoor and outdoor performances, three community festivals, four intergenerational arts education projects, and at least one public art project. The project aims to foster multiple types of cultural participation, including performance, art making, volunteering, and attendance.
- In the Miami Light Project’s “Drummin,” individual drummers from different cultures were paired with musicians from the New World Symphony and a dance company.

neighborhood churches. The Society could not have implemented this strategy without the active participation of the congregations.

Collaborations may be particularly effective ways to implement cultural participation strategies. The people we spoke with expected benefits from collaboration for several reasons:

- *Partner organizations connect to potential participants.*
Individuals' decisions whether or not to participate in arts and cultural activities are influenced by their friends, co-workers, and fellow members of professional, social, educational, or religious groups. By collaborating with other organizations, arts and cultural providers can reach people whose participation decisions are influenced by others within an organizational network.
- *Partner organizations bring complementary expertise.*
Individual providers do not always have the organizational skills needed to implement programming, venue, outreach, and barrier reduction strategies effectively. Rather than build these capacities internally, it is often more efficient to partner with an organization with the needed skills.
- *Together, partner organizations can bring more diverse sources of support to arts and cultural activities than they could acting alone.*
Different individuals, organizations, and communities value arts and culture differently. This is also true of funders. We found numerous examples of foundation support for arts and culture activities that was motivated by a desire to satisfy another social purpose; for example, funding for a drama program intended to give youth an alternative to "hanging out."

Not all of the partnerships we found were between arts and cultural organizations and non-arts and culture providers. Quite often, collaborations were among arts and cultural organizations themselves, and sometimes only among large arts and cultural organizations.

**CPCP Grants: Greater Kansas City
Community Foundation**

Metropolitan Performing Arts Collaborative is an equal collaboration between Johnson County Community College (JCCC), the Kansas City Symphony, the Lyric Opera of Kansas City, Missouri Repertory Theatre, and the State Ballet of Missouri. Four major performing arts events will take place at the Johnson County Community College campus to attract an estimated 6,000 attendees, 30 percent of whom have never attended a performance in Johnson County Community College's Cultural Education center. The collaborative has set as its goal to increase attendance at JCCC by 2,000 each season.

Source: Greater Kansas City Community Foundation.

Noteworthy Forms of Collaboration. While collaborations can be distinguished by the groups in the partnership, we found it more helpful to think about collaborations by function, in particular, programming, professionalism, venues, governance, and finance. Because our emphasis in this chapter is on participation strategies, we focus here on functional collaborations in the areas of programming, professionalism, and venues—although we also found examples of collaboration between providers’ governing bodies and advisory groups, as well as among fundraising and management professionals across organizations.

Programming collaborations among different artistic disciplines and traditions. In most instances, artists and arts and culture organizations create and present primarily within a single artistic or cultural form, whether it is music, painting, photography, poetry, or theater. To broaden and diversify audiences, some arts and culture organizations have embraced works that cross artistic disciplines, requiring collaborations among artists in different traditions. For example, musicians from Miami–Dade’s New World Symphony joined with drummers from different cultures to perform works incorporating strands of both European and non-European cultures. In another example, the Shipyard Project in Portsmouth, New Hampshire, featured a collaboration among a dance company, oral historians, and a poet and performance artist to interpret the experience of shipyard workers. Cross-disciplinary collaboration can foster broader and more diverse participation by drawing together patrons from different artistic and cultural forms.

Collaborations among professionals and amateurs. Many arts and cultural providers in CPCP communities have started exploring collaborations among professional artists, arts organizations, and amateur artists. In some instances, such as the drummers and the New World Symphony, crossing disciplines and traditions also involves breaching the professional and amateur distinction as well.

Collaboration in choral works seems particularly common. We also have examples of amateur artists collaborating with professionals in the visual and dramatic arts. In Newport, New Hampshire, professional painters and poets worked with community residents on a mural that celebrated the multi-ethnic history of a mill community. In Knoxville, the symphony collaborated with local church choirs in a presentation of *Carmina Burana*. In a number of communities, arts and culture organizations have partnered with schools to involve students in a variety of arts presentations.

Including amateurs in producing artistic works enables arts and cultural providers to broaden, deepen, and diversify audiences in a variety of ways—particularly when amateur talent is supplied by organizations. For example, collaboration with amateurs in a church choir allows presenting organizations to reach all members of the church community, not just the choir members. The same is true of professional collaborations with schools, hospitals, senior centers, youth groups, neighborhood associations, and public housing residents.

Collaborations between artists and presenting organizations. Collaborations between artists and presenting organizations are common. Dance companies, orchestras, theatrical companies, and other types of arts and culture organizations often present their work in performance spaces owned and maintained by another organization. Multiple types of arts and culture organizations, such as symphony orchestras and opera companies, frequently share space.

To broaden and diversify cultural participation, arts and culture organizations have often performed in spaces not specifically designed for arts or culture presentations, such as city parks. In other instances, arts and culture organizations may cooperate with neighborhood organizations in presenting their work at community or ethnic festivals. Groups that typically show work from “major” arts and cultural organizations may also collaborate with community arts groups to present their work.

Differences among Collaborating Provider Organizations

In making the distinction earlier between large arts and cultural providers and other providers, we included as “majors” only those organizations with at least \$500,000 in annual expenses that perform or present traditional art forms. “Majors” typically present the work of professional artists whose work has been validated by prevailing national and international standards of artistic value. In effect, this limits the “majors” to professional symphony orchestras, art museums, ballet and opera companies, and national and regional repertory theaters.

In practice, the distinction between “major” and “non-major” arts and cultural organizations is not always meaningful. It makes more sense to compare arts and cultural organizations across multiple dimensions. And for each dimension, we can place an organization along a continuum, rather than into one fixed category. We have found it helpful to distinguish arts and cultural organizations according to the dimensions outlined in exhibit 3.3 on the next page.

Exhibit 3.3: Dimensions for Comparing Arts and Cultural Organizations

Programming

Focus on “universal” works validated by specialized members of cultural elite.

Focus on place- or culturally-specific works validated by community members.

Professionalism

All artistic, production, and presentation functions are performed by full-time paid professionals.

All artistic, production, and presentation functions are performed by amateurs.

Venues

All activities take place in venues designed and maintained for arts and cultural events only.

All activities take place in venues designed and maintained for religious, social, or commercial purposes.

Governance

Important decisions are made by a board selected from local financial, professional, and civic elite.

Important decisions are made by artists themselves, or a board of community residents, business-people, and artists.

Financing and Management

Professional management and systems to handle finance, human resources, artistic direction, and production.

Volunteer management, with little or no specialization of artistic, marketing, finance, or production functions.

In theory, an organization could be placed at any point along any of these dimensions. In practice, however, groups often fall at similar places from one dimension to another.

- Organizations tend to think about participation goals differently depending on where they fall on the continua in exhibit 3.3.
- Organizations often respond to the need to broaden, deepen, and diversify participation by shifting their activities to the left or right on one or more dimensions.
- Shifts along one dimension often are accompanied by (or followed by) shifts on another.

To continue an example from before, organizations with a traditional emphasis on classical European works often try to broaden participation by de-emphasizing this aspect of their programming and including more culturally specific works in their repertory—moving from left to right on the Programming continuum. This may be accompanied by a shift in other categories, too, such as presenting works in neighborhood venues.

Issues and Tensions in Collaboration among Partners

We have not begun to collect the data to determine what changes are needed or induced by collaborations. However, insights from our first round of field research outline some of the significant issues and tensions. We conclude that one of the most significant challenges of the initiative will be how to encourage partnerships among groups not accustomed to doing so in the past. Indeed, community foundations reported this as one of their most pressing technical assistance needs.

Tensions between “Universal” and Culturally-Specific Validation. All curatorial and artistic decisions are based on a set of standards accepted by a particular community. In the case of the “majors,” these decisions are made by a curatorial staff based on a highly self-conscious and academically validated set of standards. For community-based providers, by contrast, artistic and cultural decisions are made by individual artists or community members whose standards of artistic or cultural excellence derive from community, traditional practice, or other non-academic sources. Mainstream arts and culture organizations sometimes believe that they risk sacrificing artistic standards if they embrace alternative

The Difficulties of Partnership Promotion

The experience of [the] first round of funding also made clear that . . . to promote long-term relationships among organizations, they will require significant guidance and support. The tendency was for an organization to look only at its needs and then seek a partner that could fill its needs, as opposed to being willing to engage in a two-way process of determining . . . more mutually beneficial arrangements. There was also the tendency to assume that if one simply offers new programming in a new community, people will come, as opposed to critically thinking about what it will take to forge new inroads in unfamiliar territory.

Source: Dade Community Foundation, 1998, p. 4.

programming, or collaborations with community-based arts and cultural providers or non-arts or culture organizations. On the other hand, community-based groups may feel they are risking authenticity by collaborating with “major” or mainstream arts and cultural organizations. The challenge is to ensure that the legitimate values of each are not compromised.

Tensions between Professionals and Amateurs. Many collaborations we found required professionals and amateurs to work together in arts-making, production, marketing, and outreach. Professional artists and presenters tend to view the value of the artwork or cultural experience, taken alone, as superior to other possible meanings. They also work within a community of artists or presenters of cultural expression that share certain habits of work, standards of practice, and even union- or equity-defined work rules, compensation requirements, and other labor standards. Amateurs tend to accept non-artistic values as competitive with artistic ones. They tend to more often accept the contributions of community members as legitimate, even if they do not adhere to the same standards of excellence.

Tensions around Venues. One way to encourage cultural participation is to reduce costs—not only ticket prices but also the demands of distance and comfort level that can deter the weakly motivated. Presenting arts and cultural productions in nontraditional venues can overcome all three costs simultaneously. For example, Shakespeare-in-the-Park festivals often are free, are in neighborhoods that are outside of downtown, and have minimal standards of dress.

However, not all arts and cultural productions travel well. Performances in spaces that are not designed for the purpose can impose costs on the presenting organization and risk diminished artistic merit or cultural authenticity. An obvious example is ballet, where the dance surface is particularly important and cannot be replicated easily in nontraditional venues. Organizations accustomed to making do in the spirit of community service express frustration that arts and culture organizations place what are considered to be unnecessary demands on organizations unprepared to accommodate them.

Tensions around Governance. The governing bodies of mainstream arts and cultural organizations tend to be composed of members of the social, civic, and financial elite. These major donors and other supporters can be counted on for fundraising. They tend to embrace the pure artistic or cultural standards of the organization as they understand them and are episodically engaged in governance issues as crises demand their attention. Members may be inclined to see their role as safeguarding the artistic integrity of the institution, as well as its prominence among local or national organizations.

Board members of community-based arts and cultural organizations are more inclined to view the boards and policies of the mainstream institutions as exclusionary, backed by a claim to artistic or cultural merit that devalues alternative arts and cultural activity as a way of maintaining preferred access to financial and other support. Relationships among organizations with very different kinds of boards—which in turn reflect very different kinds of programming and professional status—are understandably difficult.

Tensions Surrounding Finance and Management. Large institutions have built considerable organizational infrastructure, represented by a highly specialized internal division of labor. Operating departments can include artistic direction, financial management, human resources management, education, marketing and public relations, development, and other functions. Community-based arts organizations, on the other hand, tend not to be internally specialized. They are most often thinly staffed, with individual members taking on a variety of jobs to suit the occasion. Indeed, the boundaries between staff, board, and community volunteers often blur as resources are mobilized to present individual works. External support tends to be highly variable and dependent on small contributions, admissions, fundraising events, and other methods that do not require sophisticated fundraising.

Additional financial tensions exist between potential partners where there is the perception of competition for resources. Because of the low levels of funding for arts and culture in general, representatives from organizations we spoke to around the country mentioned the scarcity of funds as a reason to partner (to share administrative resources) as well as an argument against partnering (having to share the funding).

Finally, the tensions around finance, programming, venues, and other dimensions can also reflect, or lead to, tensions around audience. The Fund's eight-year retrospective spoke of conflicts between mainstream arts and cultural organizations that embark on programming and other strategies to diversify audiences, and ethnic or culturally-specific arts organizations that fear increased competition for their own traditional patrons.

As the remainder of the initiative unfolds, we expect to pay particular attention to the role of partnerships among provider organizations. These partnerships may be expected to increase overall system capacity to create arts and cultural opportunities, but tensions among actual and potential partners may be reflected in tensions among segments of the participant community, and the funder community, as well. Ultimately, this may be a thorny area of community foundation policymaking, a subject to which we turn in the next chapter.

Exhibit 3.2: Selected Nonprofit Arts and Culture Providers in CPCP Communities		
Examples of arts and culture providers in each site; not all organizations listed are participating in the CPCP Initiative.		
	A Selection of Providers with Annual Operating Expenses Above \$500,000	A Selection of Providers with Annual Operating Expenses Below \$500,000
Boston	Arts Boston Ballet Theatre of Boston Boston Ballet Boston Center for the Arts Boston Conservatory of Music Boston Lyric Opera Company/Opera New England Boston Symphony Orchestra Children’s Museum Dance Umbrella First Night, Inc. Handel & Hayden Society Huntington Theater Company Institute of Contemporary Art Isabella Stewart Gardner Museum Museum of Fine Arts Museum of Science New England Conservatory Wang Center for the Performing Arts	Amaya Flamenco Sin Limites American Society of Russian Style Ballet Art Connection Asia on Stage Boston Children’s Theatre Boston Gay Men’s Chorus Boston Photo Collaborative Cambridge Performance Project Charlestown Working Theater M. Harriet McCormack Center for the Arts (The Strand Theater) Museum of Afro-American History Neighborhood Children’s Theatre of Boston Poobley Greegy Puppet Theater Pro Arte Chamber Orchestra of Boston Revolving Museum Spanish Dance Theatre Theater Offensive UrbanArts
Silicon Valley San Jose	American Musical Theater of San Jose Opera San Jose San Jose Symphony San Jose Repertory Theater San Jose-Cleveland Ballet San Jose Dance Theater San Jose Museum of Art San Jose Children’s Discovery Museum Tech Museum of Innovation Villa Montalvo (Montalvo Association)	Abhinaya Dance Company of San Jose American Museum of Quilts and Textiles Arte Flamenco de San Jose Grupo de Carnaval Cultural Portugues de Sao Jose Mexican Heritage Corporation San Jose Children’s Musical Theater San Jose Shakespeare Festival San Jose Center for the Performing Arts Teatro Vision San Jose Jazz Society
Gilroy		Gavilan College Theater Gilroy Museum Mexican American Community Service Agency (MACSA) New Renaissance Center South Valley Civic Theater South Valley Symphony
Milpitas		Calaveras Repertory Theater Fancy Dancers Milpitas Alliance for the Arts Milpitas Community Theater Sunnyhills Improvement Association

Exhibit 3.2 cont'd: Selected Nonprofit Arts and Culture Providers in CPCP Communities		
Examples of arts and culture providers in each site; not all organizations listed are participating in the CPCP Initiative.		
	A Selection of Providers with Annual Operating Expenses Above \$500,000	A Selection of Providers with Annual Operating Expenses Below \$500,000
SE Michigan	Charles H. Wright Museum of African American History Detroit Historical Society Detroit Science Center Detroit Symphony Orchestra Michigan Opera Theatre Music Hall Center for the Performing Arts Purple Rose Theatre Company University Musical Society	Ann Arbor Civic Theater Black Theatre Network Chamber Music Society of Detroit Center for Creative Studies Cranbrook Museum of Science and Art Detroit Institute of Arts Grosse Pointe Theatre Henry Ford Museum & Greenfield Village Meadow Brook Theater Mosaic Youth Theater of Detroit Motown Historical Museum Oakland Festival Ballet Company Paint Creek Center for the Arts River Raisin Centre for the Arts Stagecrafters Village Potters Guild
Dade	Coconut Grove Playhouse Florida Grand Opera (Greater Miami Opera) Florida Philharmonic Orchestra Florida Shakespeare Theater Miami City Ballet Miami Art Museum Miami Youth Museum New World Symphony	Actor's Playhouse African Heritage Cultural Arts Center Area Stage Artz-N-The-Hood Bakehouse Arts Complex Bass Art Museum Black Archives Florida Museum of Hispanic and Latin American Art Homestead Arts Center Inner-City Children's Touring Dance Company Lowe Art Museum Maximum Dance Miami Light Project Museum of Contemporary Art (MOCA) New Theater South Florida Art Center Teatro Avante The Wolfsonian

Exhibit 3.2 cont'd: Selected Nonprofit Arts and Culture Providers in CPCP Communities		
Examples of arts and culture providers in each site; not all organizations listed are participating in the CPCP Initiative.		
	A Selection of Providers with Annual Operating Expenses Above \$500,000	A Selection of Providers with Annual Operating Expenses Below \$500,000
East Tennessee	Bijou Theater City Ballet (Knoxville) Hands On Museum Knoxville Museum of Art Knoxville Symphony Orchestra Knoxville Opera Company Clarence Brown Theater/The University of Tennessee, Knoxville	A-1 Alternative Arts Space Abraham Lincoln Memorial Museum African American Appalachian Arts Appalachian Ballet Company Carpetbag Theater Children's Museum of Oak Ridge East Tennessee Children's Dance Ensemble Johnson City Symphony Orchestra Jubilee Community Arts Museum of Appalachia Nathaniel Greene Museum Newport Theatre Guild Oak Ridge Civic Music Association Oak Ridge Playhouse Oak Ridge Civic Ballet Rose Center and Council for the Arts Sweetwater Valley Citizens for the Arts Tennessee/Overhill Heritage Association Tennessee Stage Company The Little Theater of Greeneville
Kansas City	Friends of Chamber Music Guadalupe Center Kansas City Art Institute Kansas City Ballet Kansas City Jazz Festival Committee Kansas City Symphony Kemper Museum of Contemporary Art Lyric Opera of Kansas City Missouri Repertory Theater Nelson-Atkins Museum	American Youth Ballet Bruce R. Watkins Cultural Heritage Center Chameleon Theater Children's Museum of Kansas City City in Motion Dance Theater Great Midwest Melodrama & Vaudeville Theatre Heart of America Shakespeare Festival Jackson County Historical Society Kansas City Blues Society Kansas City Chamber Orchestra Negro Leagues Baseball Museum Storytellers

Exhibit 3.2 cont'd: Selected Nonprofit Arts and Culture Providers in CPCP Communities Examples of arts and culture providers in each site; not all organizations listed are participating in the CPCP Initiative.		
	A Selection of Providers with Annual Operating Expenses Above \$500,000	A Selection of Providers with Annual Operating Expenses Below \$500,000
Humboldt	Dell'Arte	CenterArts at Humboldt State University Eureka Symphony Orchestra Feet First Dancers Ferndale Repertory Theater Humboldt Arts Council Humboldt Community Concert Association Humboldt County Historical Society Humboldt Folklife Society Humboldt Light Opera Company Ink People Center for the Arts Mateel Community Center North Coast Repertory Theater Old Creamery Dance Center Pacific Art Center Redwood Coast Dixieland Jazz Festival Redwood Concert Ballet
Maine Portland	Children's Museum of Maine Maine Historical Society Portland Stage Company Portland Museum of Art Portland Maine Symphony Orchestra State Theater for the Performing Arts	Children's Theater of Maine Mad Horse Theatre Company Oak Street Theater Portland Conservatory of Music Portland Lyric Theater Portland Opera Repertory Theater Portland Ballet
Waterville		Waterville Opera House
Hancock County		Abbe Museum Arcady Music Society Hancock County Auditorium Maine Crafts Association Mount Desert Festival of Chamber Music Wendell Gilley Museum of Bird Carving

Exhibit 3.2 cont'd: Selected Nonprofit Arts and Culture Providers in CPCP Communities		
Examples of arts and culture providers in each site; not all organizations listed are participating in the CPCP Initiative.		
	A Selection of Providers with Annual Operating Expenses Above \$500,000	A Selection of Providers with Annual Operating Expenses Below \$500,000
New Hampshire Newport		Library Arts Center Opera House
Portsmouth	Seacoast Repertory Theater Strawbery Banke	Ballet New England Children's Museum New Hampshire Mime Company New Hampshire Theatre Project Pontine Theater Portsmouth Arts and Historical Collaborative Portsmouth Women's Chorus Prescott Park Arts Festival Wentworth-Coolidge Mansion
Manchester	Currier Gallery of Art New Hampshire Performing Arts Center New Hampshire Symphony	Federated Arts Manchester Choral Society Manchester Community Music School New Hampshire Philharmonic Orchestra Opera League of New Hampshire

Sources:

1. IRS Form 990 Return Transaction File, 1997, as adjusted by the National Center for Charitable Statistics. Includes nonprofit organizations classified as operating public charities that report to the I.R.S. (file Form 990) and are required to do so. Excludes private foundations, foreign organizations, government-associated organizations, and organizations without state identifiers. Organizations not required to report include religious congregations and organizations with less than \$25,000 in gross receipts. The operating expenses of the organizations were drawn from the same IRS Form 990 Return Transaction File.
2. Community foundation staff also identified some of the organizations listed in this exhibit.

Chapter 4

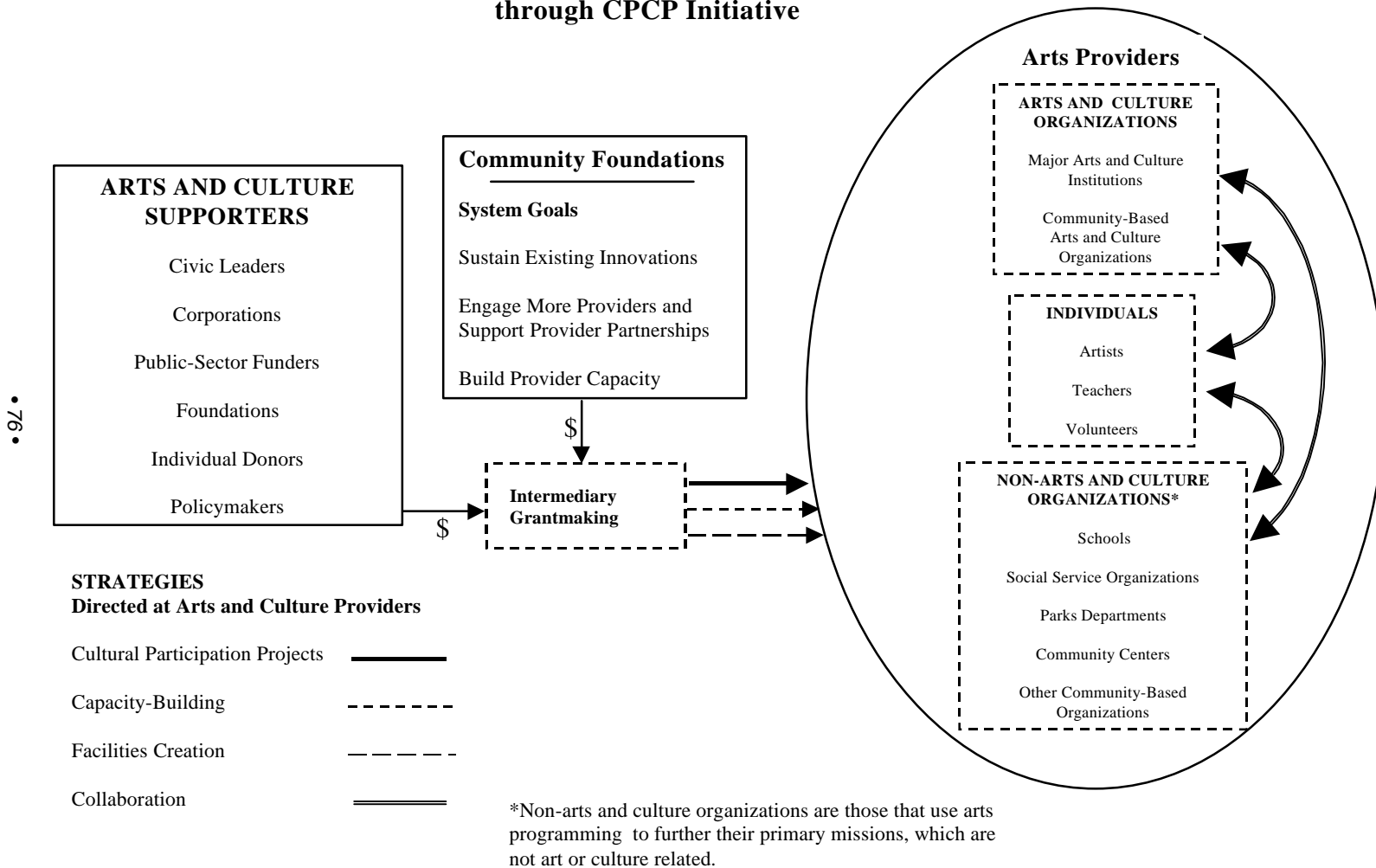
Community Foundation Support for Arts and Culture Providers

Arts and culture providers do not operate in isolation. Rather, they are part of a broader art and culture system. How aggressively this system supports programs to enhance cultural participation will determine the difference between piecemeal results and genuinely broad engagement. The CPCP Initiative can promote lasting changes in participation only by sustaining and expanding existing initiatives and encouraging other organizations to embrace cultural participation objectives for the first time.

This chapter examines how community foundations and their partners can encourage systemwide change at the provider level. They can do so through their grantmaking and other activities—particularly through cultural participation projects, capacity-building efforts, and facilities creation. To encourage the kinds of changes needed to sustain cultural participation objectives, some foundations have already made grants in ways that further partnership formation among arts and cultural organizations and community-based organizations.

Relationships among arts and culture supporters, community foundation goals, and strategies to encourage change within the provider community, are summarized in figure 4.1, on the next page. It shows funding channeled through the community foundations to individual providers. (The next chapter will show in more detail how the intermediary function is performed.)

Figure 4.1: Supporters' Strategies to Influence Providers through CPCP Initiative



Encouraging Change in the System of Arts and Culture Providers: Goals

Community foundation staff typically want to change the character of the provider community as a whole. Few would consider their efforts successful if they merely funded isolated projects that conveyed no longer-term changes in the larger arts and culture community. Changing the cultural participation objectives in the larger provider community can be pursued using a variety of approaches. Through grants, technical assistance, and outreach programs, foundations and other supporters of cultural participation can attempt to:

- Support and expand existing innovative approaches as examples to the whole community;
- Encourage more arts and cultural organizations to embrace new cultural participation efforts and encourage more non-arts and cultural providers to sponsor or adopt arts and cultural activities; and
- Build the capacity of community-based arts and cultural providers to continue their work in communities.

Support and expand existing innovative approaches as examples to the whole community. In all of the initiatives we reviewed, community foundations readily pointed to one or two prominent examples of what enhanced participation could mean in their communities. Foundation staff believe that sustaining and expanding these lead examples is a good way to promote larger system change. This can be done by calling attention to past performance, validating approaches not widely practiced, and encouraging adoption by others.

Encourage more arts and cultural organizations to embrace new cultural participation efforts, and encourage more non-arts and cultural providers to sponsor or adopt such activities. In almost all communities, at least some arts and cultural organizations have embraced new ways to foster more participation. Supporters have helped more organizations take such steps by drawing on promising initial approaches and encouraging more partnerships throughout the provider community.

Build the capacity of community-based arts and cultural providers to continue their work in communities. Community-based providers often appeal to people and families who do not participate in mainstream arts and

CPCP Grants: Dade Community Foundation

Tigertail Productions, Inc. received a planning grant to bring together a number of small contemporary and ethnic dance companies to explore needs, opportunities, and strategies for expanding audiences and community support for programming.

Source: Dade Community Foundation.

culture activities. Foundation staff believe that helping these organizations improve the amount and quality of cultural offerings is another way to promote participation goals. This can range from underwriting new presentations to building basic organizational capacity and creating endowments.

Some community foundations have been explicit about their objectives for the provider community—either through the activities they specified in their proposals to the Fund or through their own grantmaking guidelines. Although the record is incomplete, they appear to lean as a group toward fostering involvement of non-arts and cultural providers in the sponsorship of arts and culture activities, and within the provider community, tilt toward community-based arts and culture organizations. Exhibit 4.1 summarizes community foundations’ participation strategies for arts and culture providers.

Exhibit 4.1: Community Foundation Goals and Strategies to Support Arts and Culture Providers		
	Goals	Strategies
Boston	Foster community building throughout Boston. Support small arts providers and community-based organizations that want to branch out into the arts.	Many grants throughout the area. 5-7 grants per quarter each year. Technical assistance workshops. Some grants are going to new organizations.
Silicon Valley	Build greater public support of the arts. Reach new audiences. Strengthen understanding of arts in building communities. New alliances among providers.	Sustained support in three communities—one partner in each. Arts Council to conduct workshops on arts in community building and fund ideas generated. Mentor programs between larger and emerging arts groups. Grants to underwrite short-term neighborhood cultural events or activities in three neighborhoods.
SE Michigan	Increase cultural participation in Southeastern Michigan. Strengthen organizations that provide cultural programming.	Cultural Forum: Activities aimed at increasing knowledge and interest needed to increase participation. Celebration of Culture: Public information campaign and joint marketing initiative. Venture Fund: Competitive grants to support promising strategies to increase cultural participation.
Dade	Use arts as a bridge between diverse cultures. Encourage participation by residents in cultures other than their own. Support existing partnerships among organizations. Increase participation in areas with few cultural resources.	First-year implementation grants are only for established partnerships. Planning grants to encourage organizations to think strategically about art and culture. Technical assistance workshops for all organizations.
East Tennessee	Support programs that link institutions, communities, artists and other community building efforts; create and/or build upon permanent restricted funds for arts and cultural participation; build arts and cultural providers’ institutional capacities; and increase audience development in arts and cultural activities.	Small grants to encourage collaboration. Technical assistance through two regional coordinators. Agency endowment creation for organizations engaged in arts and cultural programming and expansion of the Foundation’s current endowment for arts and cultural programs and organizations.

Exhibit 4.1: Community Foundation Goals and Strategies to Support Arts and Culture Providers (cont'd)		
	Goals	Strategies
Kansas City	Increase participation throughout the metropolitan area. Bridge racial, geographic, and class divisions through arts and culture.	Incorporate art and culture into the celebration of Kansas City's 150th anniversary. Creation of Metropolitan Arts Council as a bistate advocate for the arts. Tiered structure of grants to encourage organizations of all sizes to participate. Many grants to community-based organizations for innovative programming.
Humboldt	Creation of four specific initiatives to address participation among different segments of the county. Encourage residents to deepen their participation in, and knowledge of, their cultural heritage. Encourage use of art as a tool for many purposes.	Few grants, as most of the resources are going into named initiatives. Some funding for building or renovating of cultural venues. Also funding collaborations between arts organizations and youth workers, development of oral history video library, creation and preservation of American Indian ceremonial regalia. Regalia-making grants to be distributed through the Seventh Generation Fund.
Maine	Start by improving the arts infrastructure. Work with cultural organizations in three pilot sites to build partnerships across sectors and to provide them with technical assistance on marketing, audience development, and evaluation. Strengthen ties between cultural opportunities and community priorities.	Hancock County: Involve arts organizations and artists as partners in a county cultural plan. Provide small grants to community and arts groups that address community priorities. Portland: Develop grants program for arts and non-arts collaborations to reach middle-school youth and families. Waterville: Inventory community cultural assets. Joint marketing of cultural opportunities. Local committee will recommend infrastructure grants.
New Hampshire	Increase participation through connections between local residents, arts providers, and local history.	Newport: No grants. Continue of several projects that connect local residents to artists and local history, including public murals and poetry. Portsmouth: Grantmaking program is planned, but not underway yet. Involve community organizations and residents in developing programs. Manchester: Yearly grants to arts organizations, especially for projects that involve youth.

Community foundations are at different stages in the design and implementation of their projects, and the completed designs feature a variety of goals for increasing participation. Some are expressed as quantitative goals, for example, increasing the number of neighborhood events to 300 in Greater Kansas City, or training 100 intervention specialists and 35 arts workers to apply arts as an intervention strategy for youth in Humboldt County, or recognizing and engaging 400 regional cultural organizations in a public education campaign in southeastern Michigan.

Foundations have also set out qualitative goals for enhancing participation. These include, for example, increasing the awareness of the cultural programs available in southeastern Michigan, and

linking the cultural community with other community-building efforts in East Tennessee. In sites that have not yet set goals, approaches can already be discerned. In New Hampshire, for example, community foundation staff would like to relate arts and culture more closely with business, government, and community groups. In their grant guidelines, some community foundations are also encouraging organizations seeking to enhance participation to forge partnerships with other groups that may be quite different from themselves. Grant guidelines for Dade and Silicon Valley require partnerships.

Diversity of Communities in the CPCP Initiative

The goals set by the community foundations for this initiative are directly related to the physical and social environments in each site. The CPCP sites vary by size, population density, economic base, racial and ethnic makeup, and population wealth. Table 4.1 on the next page displays some demographic data from the 1990 Census to illustrate this point. What is desirable in one community may not be desirable in another. The choices community foundations make will explicitly and implicitly reflect these aspects of the local communities. For example, the Dade Community Foundation is specifically trying to use art and cultural expression as a bridge between different cultures, while Community Foundation Silicon Valley's Mayfair Neighborhood Improvement Initiative uses art as one element of a comprehensive neighborhood revitalization project. It is not possible at this early stage to evaluate the effects of community foundations' choices in light of what they are trying to accomplish or the values they wish to promote, but we will examine these dimensions further as the initiative progresses.

CPCP Grants: Dade Community Foundation

Historical Association of Southern Florida: to conduct a monthly series featuring lectures, performances, film screenings, and a culminating festival in collaboration with other organizations to tie into the new Gateway of the Americas permanent Exhibit, designed to showcase the multicultural growth and evolution of Miami-Dade County.

Source: Dade Community Foundation..

Table 4.1: Demographic Characteristics of the CPCP Sites

	Square Miles	Population Urban %	1990 Population	% White	% Black	% Asian	% Am. Indian	% Other	% Hispanic [†]	1989 Median HH Income	1989 Mean HH Income
Boston	59	100%	663,906	66%	22%	5%	*	6%	11%	\$29,399	\$37,600
Santa Clara County:	1,291	98	1,497,577	69	4	17	*	9	21	\$48,115	\$57,912
Milpitas			50,686	52	6	35	1.2	6	18	\$55,730	\$60,467
Gilroy			31,487	70	*	4	*	26	47	\$40,955	\$46,730
Mayfair			6,000	No Census data available on this small area. Foundation staff state Mayfair is 1% White, 5% Black, 19% Asian, and 75% Hispanic							
SE Michigan: Total	4,521	89	4,590,468	76	21	1.5	*	1	1.8	\$36,890	\$42,427
Detroit		100	1,027,974	22	76	*	*	1.5	2.6	\$18,742	\$25,601
Outer Counties		86	3,309,084	93	4.5	1.7	*	*	1.6	\$41,781	\$47,456
Dade County	1,945	99	1,937,094	73	21	1.3	*	4.9	49	\$26,209	\$37,903
East Tennessee	7,942	53	1,080,885	95	4.5	*	*	*	*	\$21,417	\$30,157
Greater Kansas City (5 counties)	2,050	94	1,361,557	83	14	1	*	1.4	3	\$33,383	\$39,332
Humboldt County	3,573	63	119,118	91	*	2	5.5	1.1	4	\$23,586	\$30,984
Maine: Portland			64,358	97	1.2	1.5	*	*	*	\$26,576	\$33,559
Waterville			17,096	98	*	*	*	*	*	\$22,617	\$29,655
Hancock County	1,589	20	46,948	99	*	*	*	*	*	\$25,247	\$30,844
New Hampshire: Newport			3,772	97	*	2.4	0.00	0.00	0.00	\$26,484	\$28,658
Portsmouth			25,925	92	5	1.6	*	*	2.3	\$30,591	\$37,549
Manchester			99,567	97	*	1.2	*	*	2.2	\$31,911	\$36,813

* = less than one percent. † Note: Hispanic origin includes people of all races.
Source: 1990 Census, U.S. Department of Commerce. Blank spaces indicate data not available.

Arts and Culture Communities in the CPCP Initiative

The arts and culture provider community is also diverse. It includes elite institutions such as art museums and symphony orchestras, as well as groups that pursue arts and cultural activities for broader social purposes. Individual artists are also part of the provider community.

Larger arts and culture organizations tend to think very differently about participation issues than smaller arts and culture organizations or community-based groups that sponsor arts and culture activities—even though they may collaborate with one another on efforts to broaden, deepen, and diversify arts and culture participation. We suspect that the whole system of arts and cultural production in each place may face very different participation issues, and behave differently in general, depending on its mix of large institutions, other arts and cultural organizations, and non-arts and cultural organizations.

One way of characterizing differences among CPCP sites is by examining the relative importance of larger arts and cultural organizations in the mix of providers. As exhibit 3.2 in the last chapter suggests, some communities have a full range of traditional “majors”—symphony, ballet, opera, art museum, and large theater—while others have only one or two. Boston, for example, has some of the most renowned arts and culture organizations in the country. By contrast, according to our definition, Humboldt County has only one “major” nonprofit arts organization.

Table 4.2 on the next page shows recent-year expenses of *nonprofit* arts and cultural organizations in the nine CPCP communities, including many small organizations not shown on exhibit 3.2. Excluded are profit-making arts and cultural organizations, and nonprofit organizations that are not primarily producers or presenters of arts and culture, but do so as part of some other social purpose.

Table 4.2: Annual Expenses of Nonprofit Arts and Culture Providers in CPCP Communities, Circa 1996

CPCP Site ⁴⁴ (Population in Millions)	Number and Total Expenses of Nonprofit Organizations with Expenses of: (Dollars in Millions)								Expenses Per Capita (Actual Dollars)
	Less than \$100,000		\$100,000 – \$499,999		\$500,000 or More		Total		
	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)	
Boston (0.65)	56	\$2.7 (1.0)	55	\$12.3 (4.5)	37	\$257.2 (94.5)	148	\$272.2 (100)	\$421.90
Silicon Valley (1.60)	65	\$3.3 (5.7)	27	\$5.6 (9.7)	24	\$48.9 (84.5)	116	\$57.8 (100)	\$36.10
SE Michigan (4.67)	111	\$5.4 (4.1)	62	\$12.9 (9.8)	27	\$114.1 (86.2)	200	\$132.4 (100)	\$28.40
Dade (2.08)	41	\$1.9 (2.7)	37	\$7.7 (10.9)	21	\$61.2 (86.4)	99	\$70.8 (100)	\$34.10
East Tennessee (1.22)	24	\$1.1 (6.2)	14	\$3.4 (19.1)	11	\$13.1 (74.7)	49	\$17.6 (100)	\$14.40
Greater Kansas City (1.45)	46	\$2.1 (2.8)	27	\$6.6 (8.8)	17	\$66.4 (88.5)	90	\$75.1 (100)	\$51.90
Humboldt (0.12)	6	\$0.3 (11.8)	6	\$1.0 (43.5)	1	\$1.0 (44.6)	13	\$2.3 (100)	\$19.00
Maine (0.42)	32	\$1.8 (10.8)	26	\$5.0 (29.6)	9	\$10.1 (59.6)	67	\$16.9 (100)	\$40.50
New Hampshire (0.66)	28	\$1.2 (7.9)	19	\$3.9 (25.5)	10	\$10.2 (66.5)	57	\$15.3 (100)	\$23.30

Note: Numbers may not add correctly due to rounding.

Source: IRS Form 990 Return Transaction File, 1997, as adjusted by the National Center for Charitable Statistics.⁴⁵

As table 4.2 shows, there is considerable diversity across CPCP communities in terms of total spending by nonprofit arts and cultural organizations—and that spending is concentrated in large

⁴⁴ All data were aggregated based on the county FIPS codes in which target areas are located.

⁴⁵ Includes nonprofit organizations classified as operating public charities that report to the IRS (file Form 990) and are required to do so. Excludes private foundations, foreign organizations, government-associated organizations, and organizations without state identifiers. Organizations not required to report include religious congregations and organizations with less than \$25,000 in gross receipts.

organizations. For example, Boston organizations, at \$267 million, spent more than 2.5 times the \$94 million spent by groups in southeastern Michigan, the next-largest arts and cultural community. Greater Kansas City, Dade, and Silicon Valley constitute a mid-sized group of arts provider communities, with total spending ranging from \$58 million to \$75 million. The rural sites had far smaller arts and cultural communities, including Humboldt County (\$2 million), Maine (\$17 million), and East Tennessee (\$18 million).

Across all communities, however, the bulk of organizations involved in arts and cultural production are small. In Boston, 107 of the 142 arts and cultural organizations spend under \$500,000 per year. In southeastern Michigan, 171 of 195 organizations are below this figure. The table also shows that spending is more concentrated in larger organizations in the biggest communities. At the extremes, large organizations account for 95 percent of total spending by arts and cultural organizations in Boston; they account for only 45 percent in Humboldt County.

Many arts and cultural activities in CPCP communities are sponsored by organizations that do not directly make or produce art and culture, nor present arts and cultural programs, as their primary activity. These organizations—neighborhood and religious groups, social services organizations, educational institutions and others—sponsor arts and cultural activities to accomplish other goals. We did not inventory non-arts and cultural organizations that sponsor arts and culture activities, or offer them implicitly through the conduct of other activities, although we spoke with representatives of these groups in our site visits. To suggest the potential scale of such activity in CPCP communities, we compiled IRS information for those organizations not classified as arts and cultural organizations, but which self-identify arts and culture as one of the activities they pursue.

Table 4.3 on the next page provides information on predominately *non-arts* and cultural organizations that report arts and culture as one of the organization's activities.⁴⁶ The data suggest that, in the smaller CPCP communities, of the nonprofit organizations filing with the IRS, a larger share of the organizations providing arts and culture are non-arts providers. For each community, we compared the number of organizations in table 4.3 to the number of groups in table 4.2. (Not shown on table.) In the three smallest communities—Humboldt, Maine, and East Tennessee—the share of organizations that are not arts and culture providers, but which sponsor or present arts and culture activities, exceeds 25 percent. Except for Boston, the remainder are under 25 percent. However, foundation staff in the smaller communities have noted that many of their arts and culture providers are so small they are not required to file returns with the IRS.

⁴⁶ Only religious organizations that file voluntarily are included on the table because they are not required to file a tax return. Because of the imprecision of the coding procedures used to create these data, the table should be considered suggestive, not definitive.

**Table 4.3: Annual Expenses of Non-Arts Nonprofit Organizations That Self-Identify Arts and Culture as Activities They Pursue in CPCP Communities, Circa 1996
(Dollars in Millions)**

CPCP Site ⁴⁷ (Population in Millions)	Number and Total Expenses of Nonprofit Organizations with Expenses of:							
	Less than \$100,000		\$100,000– \$499,999		\$500,000 or More		Total	
	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)
Boston (0.65)	22	\$0.8 (1.1)	14	\$3.3 (4.8)	15	\$64.1 (94.1)	51	\$68.1 (100)
Silicon Valley (1.60)	10	\$0.5 (18.6)	4	\$1.0 (35.1)	1	\$1.3 (46.3)	15	\$2.8 (100)
Southeastern Michigan (4.67)	32	\$1.4 (16.3)	9	\$1.8 (22.0)	6	\$5.1 (61.7)	47	\$8.3 (100)
Dade (2.08)	10	\$0.5 (1.4)	2	\$0.5 (1.5)	3	\$33.6 (97.0)	15	\$34.6 (100)
East Tennessee (1.22)	10	\$0.5 (6.9)	4	\$0.6 (7.9)	3	\$6.7 (85.2)	17	\$7.8 (100)
Humboldt (0.12)	5	\$0.2 (100)	-	-	-	-	5	\$0.2 (100)
Greater Kansas City (1.45)	12	\$0.4 (1.5)	7	\$1.4 (5.8)	6	\$23.0 (92.7)	25	\$24.8 (100)
Maine (0.42)	13	\$0.7 (8.0)	15	\$2.6 (31.9)	3	\$4.9 (60.0)	31	\$8.1 (100)
New Hampshire (0.66)	5	\$0.3 (1.8)	5	\$1.1 (7.1)	3	\$13.8 (91.1)	13	\$15.1 (100)

Note: Numbers may not add correctly due to rounding.

Source: IRS Form 990 Return Transaction File, 1997, as adjusted by the National Center for Charitable Statistics.⁴⁸

Grantmaking Strategies to Support Change

Grantmaking is the basic tool for change available to community foundations and other supporters of the arts and culture. We found it helpful to think about grantmaking in support of three types of initiatives: cultural participation projects, technical assistance, and facilities creation.

⁴⁷ All data were aggregated based on the county FIPS codes in which target areas are located.

⁴⁸ Includes nonprofit organizations classified as operating public charities that report to the IRS (file Form 990) and are required to do so. Excludes private foundations, foreign organizations, government-associated organizations, and organizations without state identifiers. Organizations not required to report include religious congregations and organizations with less than \$25,000 in gross receipts.

Cultural Participation Projects and Programs

Program Demand. One of the clearest initial findings from the CPCP Initiative is the strong demand for cultural participation funding in each of the communities. Foundation staff almost universally report an enthusiastic reception to the initiative among community-based arts and cultural organizations, in particular.

Part of this early demand has resulted from community foundation efforts to aggressively market their grant programs. Regardless of underlying demand, each funder has to make a market for grants—to encourage submission of quality proposals from organizations with a clear commitment to programmatic objectives and the capacity to pursue them effectively. Our field interviews show that:

Strong Demand for Cultural Participation Grants

- The Boston Foundation received 90 applications for funding in the first two quarterly grant cycles.
- The Dade Community Foundation received 54 letters of intent to apply and 34 applications for funding.
- The Greater Kansas City Community Foundation received 52 applications for funding.

- The year-long planning process, involving conversations among a wide variety of arts and culture providers, stimulated considerable interest in the initiative;
- Initial conferences to announce the program and provide technical assistance to potential applicants demonstrated the strong appeal of the initiative, particularly to community-based arts and culture providers, and other community-based organizations; and
- Demand for the initial round of grants where there is a competitive process has been very strong, although several foundation staff reported disappointment with the few proposals received from community-based organizations that were not arts providers.

All of the community foundations that completed the planning stage and were ready to make grants offered some form of project initiation conference to advertise the goals of the CPCP Initiative and the availability of funds to potential applicants. These conferences had the derivative benefit of providing a networking opportunity to arts and cultural organizations and community-based organizations interested in possible collaborations. One particularly successful conference sponsored

by the East Tennessee Foundation led to a number of collaborations among arts and cultural organizations.

Technical Assistance. In addition to marketing and outreach linked to competitive grant programs, foundation staff provided technical assistance linked to their grant programs. These have been focused both on grant-writing and substantive issues.

For example, the Greater Kansas City Community Foundation convened four grantwriting workshops and commissioned the Partners for Livable Communities in Washington, D.C., to provide on-demand technical assistance on program design and grantwriting. The foundation paid special attention to partnership training, including a partnership workshop and monthly lunches with planning grant recipients.

Humboldt County's initiative emphasizes youth and families, including the use of arts in youth intervention projects. Because agencies' staff are not always sure how arts can be an effective strategy, the foundation has planned for basic training, supported by a subsequent round of mini-grants. The foundation created a database of artists and arts programs, community organizations, and youth arts programs nationwide.

Not all efforts to connect organizations have been so well received. According to the Dade Community Foundation's first year report to the Fund: "There were instances during the grantmaking process when the foundation's efforts to connect organizations with an interest in establishing programs in the same community were met with deep suspicion."⁴⁹ Very often these suspicions arise because of competition for limited funds. Many organizations resent encouragement to create partnerships if they feel they could implement a program by themselves, without having to share the funds.

CPCP Activities: The East Tennessee Foundation

Project Launch Conference: On May 21, 1998, the East Tennessee Foundation held a conference to launch the local initiative. Designed as a "celebration of the cultural fabric which unites East Tennessee communities and people," the conference attracted 200 artists, community people, social service providers, and arts organizations.

Small group sessions that contained a mix of volunteers, directors, artists, and others discussed challenges and successes, as well as case studies of model cultural participation initiatives. The groups reported out the results of cross-disciplinary discussions, furthering the foundation's goal of encouraging new relationships across very different orientations toward participation.

Source: East Tennessee Foundation.

⁴⁹ Dade Community Foundation. 1998. *Annual Report to the Lila Wallace-Reader's Digest Fund*, p. ii.

Grant Structure and Purposes. Grants for cultural participation activities can be made via competitive solicitations—where all applicants satisfying general eligibility criteria can apply—or through “negotiated” projects, directed toward specific, often unique, initiatives. (The grant programs of the community foundations as of September 1998 are summarized on exhibit 4.2, at the end of this chapter.)

- The Greater Kansas City Community Foundation has explicitly tiered its grantmaking to respond to three kinds of initiatives: small neighborhood cultural projects, mid-sized collaborative projects, and large projects sponsored by well-established art and cultural providers.
- Small grants to encourage innovative participation efforts include the Boston Foundation’s Vision Fund, which makes grants up to \$2,500 for projects “designed to generate new thinking about ways to improve an organization’s ability to serve the community.” The Greater Kansas City Community Foundation’s Jump Start grants and Community Foundation Silicon Valley’s Art Attacks program are two more examples of grants programs which distribute small sums to a relatively large number of groups to help promote new forms of cultural participation.

Because CPCP Initiative grant awards are so recent, it is too early to draw clear insights from experience. The Greater Kansas City Community Foundation has drawn some lessons based on initial demand for grants and the quality of the proposals it has received. The high demand for the mid-sized grant program and the strong quality of the proposals received have prompted the foundation to move more funds into that category. To finance the shift, the foundation has limited its grants for large arts organizations to only one grant per year, thus heightening competition in that category and indirectly encouraging stronger commitments to cultural participation goals on the part of applicants.

Cultural participation projects need not be competitive. Some community foundations in the CPCP Initiative have selected organizations for grants without open competition, choosing instead to design innovative programs in partnership with other intermediaries, funders, or provider organizations. This approach enables the foundation to intervene strategically in the arts and cultural provider community or take on projects that cannot be sponsored by more than one or two providers. Examples are the voucher or coupon programs designed to discount the price of admission to arts and cultural events, including a corporate voucher program planned by the Greater Kansas City Community Foundation in collaboration with the Greater Kansas City Chamber of Commerce, as well as the Community Foundation for Southeastern Michigan’s planned Culture Card program, allowing holders to gain discounted admissions to participating institutions.

Within the education and outreach category (described on pages 53-54), grants appear to go most often to large arts and cultural organizations because the “majors” have sufficient capacity to sustain a solid program and have turned their attention to audience development goals.

Community foundations may also provide operating support for poorly funded organizations that serve targeted—often neglected—populations and neighborhoods. Some community foundations have adopted a strategy of getting small program grants out quickly to start building an appetite for, and appreciation of, opportunities for arts and cultural participation. The Greater Kansas City Community Foundation, for example, created a category of small grants for neighborhood-based organizations, which will support street fairs, festivals, and other community projects.

Capacity Building⁵⁰

Arts and culture providers face a range of capacity-related challenges in enhancing participation. Mainstream organizations, for example, may have to adapt to racial and class changes in potential audiences, board members, curatorial staff, and performers. Community-based cultural organizations may confront the heightened demands of both audiences and funders as they step up their level of production.

Community foundations have found it helpful to support arts and cultural organizations through grants to build basic organizational capacity. Technical assistance includes grant workshops and conferences.

Aspects of Provider Capacity

Effective planning. Strong providers know what current and potential participants want—and they develop a plan to respond to market demand. Cultural planning should include opportunities for community members to participate. The provider should plan to match its assets, programs, partnerships, and skills with its vision for community cultural participation.

Ability to secure resources. Providers need considerable external support—contributions and technical help included. A capable provider can gather resources from a variety of places. Its funding should be relatively stable, without wide annual fluctuations.

Strong internal management and governance. Providers must be able to manage resources effectively and account for funds and programs. They need systems that reflect principles of accountability and can support multiple types of programs—presentation, education, outreach. Boards should represent their community, govern competently, and interact well with staff.

Programming and artistic capacity. A provider has to sustain artistic quality according to the standards of its community. Providers should be able to estimate programming results reliably.

Ability to partner with other entities. A provider must be able to partner with other organizations, ranging from local and state governments to community groups. Providers must maintain sound relations with the community, including residents and business, whose engagement in art and culture is a desired objective.

Based on Walker & Weinheimer, 1998.

⁵⁰ These aspects of capacity are based on Walker and Weinheimer, *Community Development in the 1990s*, an examination of the role of nonprofit organizations in building stronger communities, September 1998.

One of the most systematic capacity-building initiatives is the program of the East Tennessee Foundation, which has earmarked a portion of CPCP funding for a technical assistance program operated through two regional intermediaries. Most groups in the East Tennessee initiative are small grassroots organizations in largely rural areas. Although local artist talent is not in question (it is one of the region's strengths), organizations are accustomed to working on shoestring budgets, without predictable sources of support, solid ideas on how to raise funds in poor communities, or a good handle on potential external funding sources.

The Rose Center and Tennessee/Overhill have committed to providing on-demand technical support to groups needing technical support. Assistance will be provided directly by the regional coordinators and through foundation-supported consulting and follow-up workshops. Through the advocacy efforts of the East Tennessee Foundation, the state has set aside a portion of state arts commission funding for technical assistance grants to support Tennessee arts organizations.

The Cultural Forum in Southeastern Michigan is another effort to create a network of potential assistance providers. Other community foundations have piggybacked on other technical assistance efforts in specialized areas. For example, Dade Community Foundation intends to support the information collection and analysis needs of arts and cultural organizations by working with the Arts and Business Council, which received a grant to provide assistance around marketing issues. Other foundations have made direct capacity-building grants to individual organizations:

- The Boston Foundation granted \$25,000 to the Boston Lyric Opera (a full-season, professional company) to support its merger with Opera New England, which focuses on youth educational programs.
- The mentor program of Community Foundation Silicon Valley supports mentoring relationships between well-

The Southeastern Michigan Cultural Forum

The Cultural Forum is a broad capacity-building initiative designed to support arts and cultural organizations as a group. (Lead organizations for each goal are noted in parentheses.) The Forum's goals include:

1. Improve communications and cooperation among cultural organizations (Cranbrook Institute of Science);
2. Assist organizations in engaging young people in cultural programs (Wayne State University);
3. Involve social service, health, and community development organizations in arts and cultural programming (YMCA of Metropolitan Detroit);
4. Review national examples of cooperative marketing plans for cultural organizations and participate in pilot projects (Arts League of Michigan);
5. Build the marketing capacity of cultural organizations (ArtServe Michigan); and
6. Support a media campaign for Celebration of Culture Campaign (Detroit Zoo, with Cultural Coalition of Detroit Renaissance).

Source: Community Foundation for Southeastern Michigan.

established and new arts groups to build the capacity of fledgling organizations.

- East Tennessee Foundation has created an Endowment Challenge program to encourage community-based organizations to establish permanent, restricted funds for cultural participation.

Endowment creation for arts and cultural organizations serves the interests of both arts organizations and community foundations. On the one hand, arts and culture organizations can establish a vehicle for fundraising that will yield predictable revenues over the long run. On the other hand, community foundations can earn income—and show asset growth—if they are the managers of the funds. Both the Kansas City and the Southeastern Michigan community foundations have embraced organization endowment creation as a foundation growth strategy.

Project grants, too, can actually help build organizational capacity through an increase in earned income. The Greater Kansas City Community Foundation noted that small organizations receiving grants had reported better visibility in their communities, which had helped produce an increase in revenues from admissions fees, together with the heightened ability to create and present art as a result of the grant.

Facilities Creation

In our field interviews, community residents, artists, and arts and culture organizations commonly decried the poor quality of performance or presentation spaces. In some instances, large organizations were forced to perform in facilities that were outdated or inappropriate for the art or cultural works being presented. In other instances, the facilities of the “majors” were adequate. Residents of low-income neighborhoods made negative comparisons between the vibrant cultural life of a generation ago and today’s shuttered theaters.

Most community foundations in the CPCP Initiative have participated in planned creation of new performance spaces, either directly or indirectly. In Silicon Valley and

Humboldt County, facilities creation is part of planned activities under the initiative. In Miami-Dade

CPCP Activities: Maine Community Foundation

Waterville: Waterville Arts and Culture Steering Committee received a grant from the Maine Arts Commission to conduct a cultural assessment. The “Discovery Research” project will engage community members in identifying the cultural resources of the community. The inventory was launched with a town meeting called “Discover the Arts.” More than fifty people attended, and many more will participate in the inventory process.

Source: Maine Community Foundation.

County and Greater Kansas City, new performance spaces may contribute substantially to participation objectives. These initiatives have the promise of being highly visible attractions to draw new participants and new arts and culture providers, so long as they have the support of the community, including those traditionally excluded from arts and cultural planning, and can be supported financially over the longer term.

Support for Partnerships and Collaboration

Community foundations in the CPCP Initiative encourage partnerships among arts and cultural providers and between such providers and community-based organizations. Some foundations, such as the Dade Community Foundation, have made the promotion of partnerships a core principle; others have encouraged partnerships through outreach, grantmaking, and capacity-building assistance.

There appears not to be much history of collaboration among arts and culture organizations, especially between arts and cultural organizations and non-arts organizations, or, for that matter, between the “majors” and grassroots arts and culture organizations and individual artists. Nevertheless, there is a clear preference for partnerships among funders and providers alike. The lack of experience in collaboration has been an issue in early program planning and outreach in some areas.

The project launch conferences seem to have been quite valuable as tools to encourage networking among participants. Several community foundations noted the importance of initial meetings in bringing potential partners together, and claim to have seen emerging partnerships among parties who met for the first time at the initial outreach session. At the same time, some “majors” resist the diversion of arts and culture money to non-arts organizations and resent being forced into partnerships to gain access to these funds. These institutions resent the implication that the “majors” cannot enhance participation adequately on their own. In fact, some large institutions have been strong advocates of new participation strategies but have not found funders willing to support them.

The grantmaking efforts of some foundations have directly contributed to partnerships:

- The Boston Foundation’s Vision Fund made a grant to the Boston Arts Millennium Group, an affiliation of artists, scholars, and community activities. The funds will be regranting, in turn, to community organizations collaborating with artists. This is an important example of how grantmaking can support system-change goals by building participation at higher levels of the system—in this instance, among system supporters.
- The Greater Kansas City Community Foundation’s Creative Communities program requires collaboration between arts and community-based organizations.

- The Dade Community Foundation's first round of implementation grants were restricted to existing collaborations.

In promoting collaborations, however, more than one community foundation has been disappointed with the response from non-arts and culture organizations. In response, some capacity-building assistance has been devoted specifically to partnership formation:

- The Greater Kansas City Community Foundation emphasizes partnership formation in grant-related technical assistance (Partnership Planning Workshops).
- Silicon Valley's Mentor Program pairs experienced arts and cultural organizations and community-based groups in a "learning community." The idea is for the larger organizations to transfer their technical knowledge and for the smaller groups to share their understanding of underserved communities. Participants will convene three or four times in the first year to share insights from the work.

Early results suggest that collaboration can encourage change in arts and culture providers toward enhanced participation. A prime example is the engagement of the Humboldt County Historical Society in a Living Biographies project. This oral history video project involves youth and elders in the white and Native American communities. It has already helped expand the historical society's membership and will almost surely result in an increased cultural diversity of its collections.

The grantmaking strategies adopted by community foundations are intended to produce change in the policies, practices, and programs of arts and cultural providers. These changes probably cannot be sustained unless community foundations mobilize support for them among other actors in the system. How community foundations do this is the subject of the next chapter.

Exhibit 4.2: Characteristics of CPCP Cultural Participation Grant Programs, 1998

Foundation	Program Title	Purpose	Structure	Eligible Activities	Eligible Applicants	Special Requirements	Grant Size(s)
Boston	Arts and Audience Initiative	Innovations linking artists, institutions, and communities to expand and deepen cultural participation.	Competitive proposals, grants awarded quarterly.	Projects that involve literary, visual, folk, performing, or other art activities.	Nonprofits in Greater Boston area (or community groups or individuals with nonprofit fiscal agent). Open to non-arts groups.	Artists should be included in project. Groups are able to write a concept paper for feedback before submitting full proposal. General policy against funding endowments. Grant guidelines are in English and in Spanish.	\$10,000–\$75,000
Silicon Valley (Arts Build Community Initiative, includes three distinct grant programs)	Art Attacks	Seed projects to increase participation of new audiences in arts and culture programs, establish new links with arts and non-arts institutions, and strengthen art-based approaches to community building.	Competitive proposals, one grant round in 1998.	Projects that involve historically underserved or new groups working in arts-related community building.	Area nonprofit organizations.	Target communities are Gilroy, Milpitas, and Mayfair neighborhood of San Jose.	\$1,000–\$2,500
	Mentor Program	Supports mentoring relationships between well-established arts groups and new arts groups.	Competitive proposals, one grant round in 1998.	Technical assistance to new/emerging groups in a variety of areas.	Large area nonprofit organizations paired with smaller nonprofit organizations	Target communities are Gilroy, Milpitas, and Mayfair neighborhood of San Jose.	\$10,000 for mentors and up to \$5,000 for those mentored.
	Great Idea Fund	Fund good ideas derived from the Arts Build Community conference.	Competitive proposals, one grant round in 1998.	Projects generally in line with overall initiative.	Santa Clara County organizations who attend the Arts Build Community conference.	Recipients invited to attend conference following year and present the results of their “Great Idea.”	\$5,000–\$10,000
SE Michigan	The Venture Fund for Cultural Participation	Increase cultural participation in southeastern Michigan. Strengthen organizations that provide cultural programming.	Competitive grants of two types: Enterprise grants and New Initiative Grants. Each type has one grant round in 1999. One grant round will be added in 2000 depending on available funds.	Projects that increase audience/visitors for cultural programs, engage underserved or underrepresented groups, extend the geographical reach of programs, or otherwise increase cultural participation.	Nonprofit organizations located in one of seven counties (Wayne, Oakland, Macomb, Washtenaw, Livingston, St. Clair, or Monroe).	Enterprise grants must be regional in scope with direct impact on two or more counties of southeastern Michigan. New Initiative grants must have direct impact on a clearly defined target population. For both grant types, target populations must be involved in planning and implementing the project.	Grants of two types: Enterprise grants (up to \$250,000 for projects of up to three years in duration) and New Initiative grants (up to \$50,000 for projects of up to two years in duration).

Foundation	Program Title	Purpose	Structure	Eligible Activities	Eligible Applicants	Special Requirements	Grant Size(s)
Dade	Community Partners for Arts and Culture	Foster cultural participation and enhance organizations' ability to serve diverse community.	Competitive proposals for planning or for implementation, one funding round per year.	Planning grants can be for convening, needs and current activities assessments, audience research, new alliances, collaborative planning, new ideas for building participation, etc. Implementation grants can be for existing collaboration projects of two or more organizations.	Both arts and cultural nonprofit organizations that incorporate arts and culture into their programming.	Implementation grant proposals must demonstrate substantive, two-way project planning process that includes the collaborative partners and target audiences and/or communities. The implementation grant is potentially a two year grant, with the second year funding at 50% and a required 1-1 match.	Planning grants up to \$7,500 and implementation grants up to \$25,000.
East Tennessee	Community Partnerships for Cultural Participation Initiative	Increase participation in arts and cultural activities in local communities throughout 19-county service area.	Letters of intent leading to select invitations for competitive proposals, one grant round in 1999.	1) Projects rooted in local community life or issue, building on long-term artists/community collaborations; 2) Collaborative projects between organizations with different audiences or constituencies; or 3) Projects that help to develop community media for East Tennessee.	Nonprofits located in the 19-county service area. Applicants must have attended the Project Launch Conference in May 1998.	Grants must be matched on a 1:1 basis. Grantees will be convened midway through grant and invited to share learning and project outcomes with second round applicants. Agency Endowment Challenge Grants Program must be matched 2:1 and contain a written plan for increasing cultural participation. Renewal grants will be contingent upon implementation of the plan and ability to raise the match. A small pool of funds are available (\$5,000) for technical assistance that can be applied for using a simple form. In addition, on-site technical assistance is available at no charge to organizations.	\$500–\$10,000
Kansas City Community Arts Fund—three categories	Jump Start	Foster new connections between communities and the arts, promote the arts and the creative approach to building new audiences. Especially oriented towards communities under-represented in arts audiences.	Competitive proposals, awarded semi-annually.	Short-term neighborhood cultural events.	Any nonprofit organization.	Foundation offered free grant writing workshops for each grant category and an “800” number for prospective grantees to call for assistance. New Venture grant awarded to only one large group. Highly competitive grant process, including a required interview.	Jump start: \$3,000–\$5,000
	Creative Communities			Joint projects by arts and community organizations.	Any nonprofit organization.		Creative Communities: \$10,000–\$50,000
	New Venture			Community programming.	Established arts organizations.		New Venture: \$10,000–\$75,000

Foundation	Program Title	Purpose	Structure	Eligible Activities	Eligible Applicants	Special Requirements	Grant Size(s)
Humboldt	North Coast Cultural Trust Project Grants to Artists	Offer artists opportunities to connect their work to their communities, and to recognize artistic achievement and excellence.	Competitive proposals, one funding round each year.	1999 grants are for performing arts, 2000 grants for visual arts, and 2001 grants for written word and media arts.	Artists of all disciplines (depending on the grant year—see “Eligible Activities”). Artists with primary residence in the area for last three years.	Projects must be completed within one year of award. Application can be no more than two pages long and must include a video or audio cassette of a work sample.	\$1,000–\$5,000
Maine	pARTners: The ART of Building Community	Test best practices in audience development, increase community engagement in arts and cultural opportunities, and link the cultural community to community-building efforts.	Conduct pilot projects, non-competitive—as developed by each community’s lead agency or steering committee.	These categories do not apply to Maine’s program. Use of pilot project funds varies as determined by individual community. Portland: Eligible activities will be a grants program to focus on providing arts and cultural learning opportunities for youth through collaborations. Grants up to \$15,000 will be awarded in 1999 and 2000, with technical assistance for evaluation. Waterville: No grants program is planned. Current focus is on community meetings and cultural assessment technical assistance to providers. Hancock County: One round of planning grants is available to work on full grant applications for pool of \$20,000 that to be granted on a competitive basis in Oct. 1998.			
New Hampshire	Art Builds Community! Project in three sites: Newport (no grant guidelines), Portsmouth (guidelines currently being developed), and Manchester (guidelines reflected here).	Support innovative and creative arts collaborations in community settings that expand and deepen cultural participation in Manchester.	Competitive proposals, one grant round in 1998.	Collaborations with artists, arts institutions, and non-arts institutions; programs for young people; programs for new or underrepresented audiences.	Manchester-based nonprofit organizations.	Applicants are encouraged to include working artists as partners in projects. Applicants can submit a concept letter to receive feedback from foundation staff.	Up to \$5,000, with larger, multi-year grants also considered.

Chapter 5

Community Foundations as Intermediaries

Community foundations cannot change their local arts and culture systems alone. Rather, they must enlist the support of others by acting as intermediaries. In this way, they secure commitments of money, expertise, and influence in support of shared goals. They make sure all participants in the process arrive at a shared vision for change, establish a common agenda, and carry it out. To participate effectively as an intermediary, community foundations play a variety of roles. They exercise leadership, disseminate information, broker relationships, convene multiple parties, pledge their support to collective decisions, and help to hold other parties accountable for results.

In this chapter, we examine how community foundations have begun to play an intermediary role to accomplish the Fund's objective of enriching community participation in arts and culture. We find that foundations have adopted a variety of approaches to intermediation with different styles of leadership, strategy, and tactical choices. Some show considerable merit in the early stages. Not surprisingly, each foundation brings its own unique mixture of assets to the intermediary role.

Strategies Designed to Change Established Arts and Culture Systems

Each community foundation in the CPCP Initiative is becoming more involved in an already-established local arts and culture system. Changing these systems involves intervention in three fundamental ways:

- Mobilizing new money and other forms of support for arts and culture providers. This includes securing both additional commitments from traditional supporters and new commitments from new supporters.
- Allocating support in ways that advance cultural participation goals. This can be achieved by sustaining model initiatives, encouraging new providers to embrace cultural participation initiatives, and expanding the capacity of providers, including access to information and technical assistance.
- Creating new institutions, including partnerships, collaborations, advocacy organizations, councils, and others, to expand and sustain support for participation goals.

The community foundations in the CPCP Initiative have embraced all three strategies, but with different emphases, reflecting their own unique institutional settings, experience, and community. In every case, however, enhanced participation requires cooperation with other members of the arts and culture support system, especially major funders and political and civic leaders.

Intermediary Goals

Effective intermediation requires that multiple parties arrive at a shared vision for change, establish a common agenda, and implement it. These are difficult goals to achieve. The interests of those within the support system almost always conflict at some point or another.

Establishing a Shared Vision for Change. What do members of the arts and culture system aspire to? How do these aspirations differ from what the world looks like now? Some system participants have very settled notions about the arts and their challenges. Others advocate change in ways that may or may not support the goals of community foundations in the CPCP Initiative. There are often disputes over the definition of excellence or authenticity, as well as competition for turf and funding. Some respondents from community-based organizations decried the “ingrained arrogance of culture” that they perceived in their arts and culture systems, where “major” institutions seem to be there to provide superior offerings to elite families, while other arts and culture providers engage in “primitive” art for the masses. Some are troubled by the push of the market, where serious art and culture may lose out in the competition for venues to pop culture events. Some believe that arts and culture are amenities for those who can pay for them, while their opponents believe arts and culture are intrinsic to life and should be available for everyone.

If these disputes were not difficult enough to broker, community foundations seeking enhanced participation must also typically forge consensus across ideological, racial, ethnic, and class lines. Minorities may voice very different views of the relevance of arts and culture to their neighborhoods and groups. Some contend that arts and culture are more important to daily life in minority communities, as opposed to mainstream culture where arts and culture are more often viewed as commodities. Among some interviewees, there was a sense that minority and poor children are being shortchanged and denied access to important opportunities available in more affluent areas.

Establishing a Common Agenda. This second important task for an intermediary requires forging agreement around how problems and challenges should be defined, what options are available for addressing these issues, and how priorities are to be assigned. Establishing an agenda also means agreeing to a common set of rules for deciding on a course of action. Community foundations can use a variety of agenda-setting methods. We are watching carefully the brokering and convening role that community foundations are playing, especially the advisory structures in the CPCP Initiative.

Implementing the Agenda. In our review of early practices, we find two basic models of implementation among community foundations in the CPCP Initiative. The first is demand-driven grants made through a structured, competitive process—as exemplified by the Boston Foundation. The second approach is foundation-directed implementation based on strategic investments, as in southeastern Michigan.

In Boston, the community foundation created quarterly deadlines for grant applications from arts and culture providers, and began making grants in March 1998. The advisory committee consulted on the general initiative, but was not actively involved in the grant review process. The Boston Foundation did change the membership of its grants review committee (to be discussed later in this chapter), but the committee is still internal to the foundation.

In southeastern Michigan, the community foundation sought partners to design *and* implement the significant programmatic thrusts of the initiative. A Partners Committee assumed leadership for planning sessions and recommended implementation steps, including the identification of implementing organizations. The implementation phase involves grants to these same partners. While the foundation delegates responsibility for implementation, it remains accountable for results. Significantly, goals are attached to the initiative, not the particular implementing agencies. There may be future issues of commitment and capacity as the agenda-setting process moves to implementation. Finding partners has taken time, and as new implementing agencies are needed, the Partners Committee expands. To ensure success of this participatory model, the community foundation used a skilled negotiator to bring the parties together and then hired a staff person to oversee and facilitate the implementation phase.

Intermediary Tasks

Effective intermediaries also must exercise leadership, inform and advocate, provide support, and help monitor implementation. The CPCP Initiative is designed to strengthen the capacity of the selected community foundations to undertake these functions. It specifically requires that they:

1. Exert strategic leadership to broaden, deepen, and diversify arts and culture participation within their communities;
2. Strengthen their capacity to collect and analyze information about communitywide cultural participation, assets, needs, and opportunities, and to use these data in decision making;
3. Create or enhance sustainable financial resources to expand and diversify arts and cultural participation; and

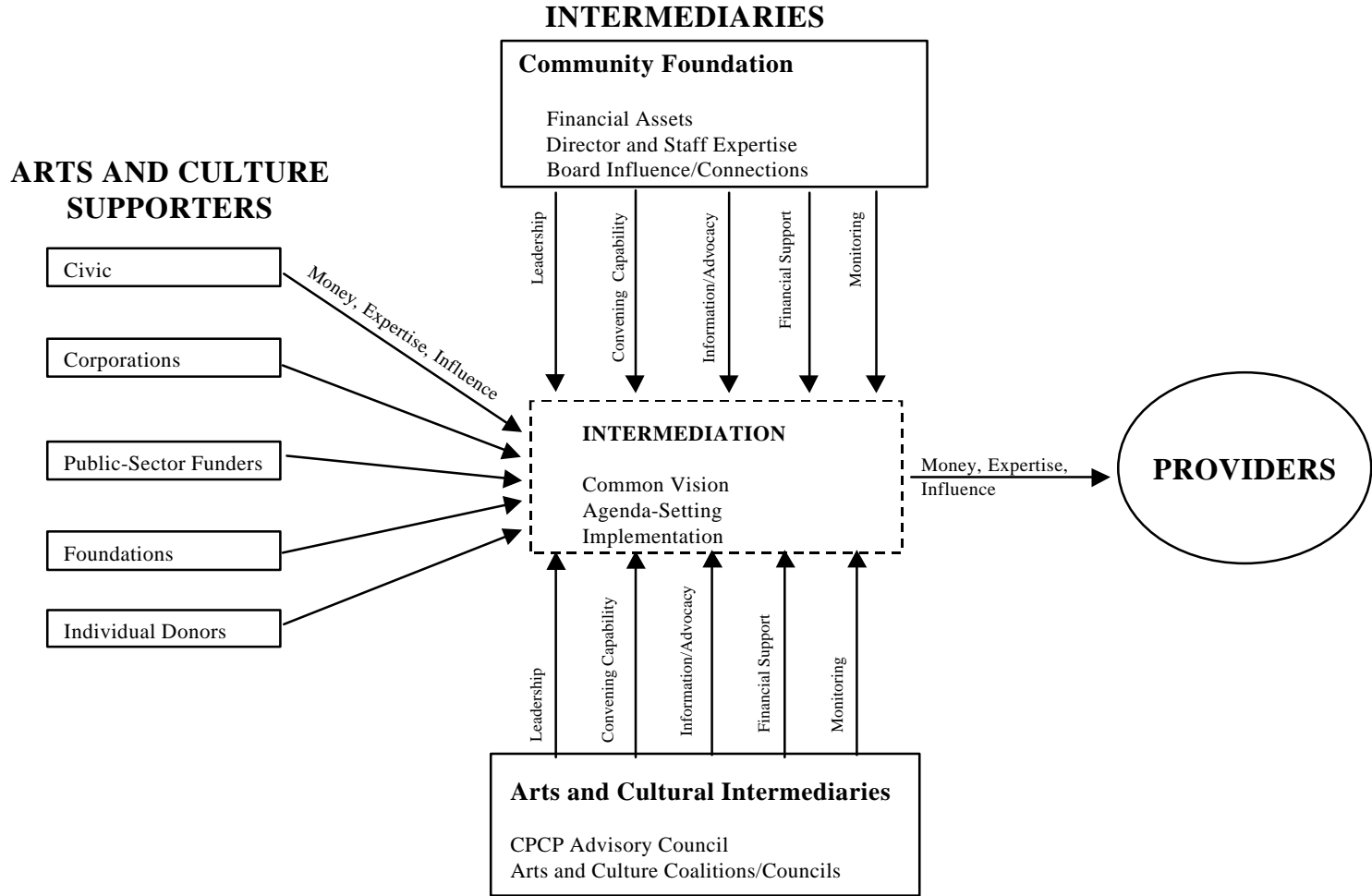
4. Become part of a national consortium of community foundations working to broaden and diversify participation in arts and culture, and raise the importance of arts and culture activities among public and private funders at the local, regional, and national levels.

Participating community foundations are not equally well-positioned to perform all of these activities. In particular, foundations have displayed various levels of previous commitment to arts and culture. They also vary in the other attributes critical to intermediation. Analyses of other national partnership initiatives that involve community foundations suggest that community foundations have skills that can be used to implement this program.⁵¹ The endowment goals of CPCP do not seem overly ambitious, nor do they seem to worry the participants at present.

In this section we discuss the five activities that community foundations must carry out to function as effective intermediaries: (1) exercise leadership, (2) broker and convene, (3) inform and advocate, (4) fund arts and culture, and (5) monitor implementation. Figure 5.1 on the next page graphically displays the functions of intermediary organizations in relation to arts supporters and providers.

⁵¹ In the NEA-funded Community Foundations Initiative, however, community foundations experienced difficulty in raising the local matching funds to support small and medium-sized arts organizations. The first ten community foundations in that program did not raise large enough endowments to sustain giving levels through interest earnings. Source: The Philanthropic Initiative, 1996. *op. cit.*

Figure 5.1: Community Foundations as Intermediaries



Exercising Leadership. One definition of leadership is the ability to convince others to commit to a plan of action they might not otherwise choose. To lead effectively, community foundations must accomplish the whole range of tasks reviewed in this chapter. This is no small undertaking. While foundations may have been active grantmakers in the past, few were required to leverage this relationship into a broader leadership role within the arts and culture sector. Issues typically arise in four areas:

Values. Community foundations tend to come from a very different orientation than most arts and cultural providers and their mainstream supporters. The foundations see arts and culture funding generally as one aspect of a broader community-building commitment. Among the foundations themselves, arts and culture mean different things depending on local political and economic circumstances. The CPCP Initiative stresses consensus. The nonpolitical nature of community foundations makes it difficult for them to advocate for arts and culture in ways that involve them in politics. For example, community foundations are not vocal supporters of efforts to introduce taxes to support arts and culture in Detroit and Greater Kansas City.

Interests. Community foundations in the CPCP Initiative are viewed by some arts and culture organizations as competitors for scarce arts resources, since they must raise funds to match the Fund's grants. For the most part, however, arts and culture groups are engaged in the initiative as a result of its participatory design, the promise of new money, and the potential for a new and sustained effort to raise the visibility of the arts. In several sites, however, the lure of dollars hindered progress in the planning phase as groups became impatient to get to the grantmaking part of the project.

Selection Process. Community foundations had to allay fears that they are trying to usurp the leadership of the arts and culture community. All of the foundations previously made some grants for arts and culture activities, but few were actively involved in coalitions and other efforts to strengthen arts and culture institutions or increase participation. In several sites, the community foundation is viewed as a latecomer; some in the arts and culture community doubt that the foundations know the issues well or view arts and culture as important in their own right.

Performance. Community foundations had to convince arts and culture organizations of their value as partners. They are doing so by drawing on their credibility as politically neutral agents that will bring more visibility and dollars to the arts. Not all foundations are comfortable in this role. Nor are they equally well-connected to other members of the arts and culture support system.

Leadership by the community foundations is evident at each of the nine sites, but it is based on different factors. Some foundations are more visible because they are significant grantmakers in the region, including the Humboldt Area and East Tennessee Foundations. Others are long-term

community leaders, such as The Boston Foundation. Some foundations are fast-growing and hard-charging agenda setters, as in Kansas City and southeastern Michigan. As a result of their differences, these foundations have widely varying philosophies and strengths as both funders and intermediaries. Some are more political and take a stronger role in community decisionmaking. Each foundation's leadership role depends to a great extent on the personality and characteristics of its executive.

Brokering and Convening. Community foundations are accustomed to playing a convening role—providing a neutral forum to debate ideas and programs, establishing where interests agree or conflict, and facilitating collective decisions. Most have evolved a network of relationships with other local institutions. In the CPCP Initiative, each foundation has had to play a very active role in building the relationships needed to convene others in pursuit of the project goals.

Early brokering efforts received a considerable boost because the CPCP Initiative called for a participatory planning process conducted under the aegis of the community foundation. The Fund's backing was an important factor in getting groups to the table, as was the promise of more resources and an opportunity for organizations to have a say in how those resources would be deployed. Beyond those obvious incentives, community foundations used their leadership positions, board members, and networks, and generally seem to have done their homework well. They knew the makeup of the arts community and were strategic in selecting participants and partners who would facilitate the project's goals.

In most sites, this planning process provided an early success that generated trust, fueled expectations, and produced commitments for implementation. The process also forged relationships among arts groups that often did not talk to each other or recognize common agendas. Many did not see themselves as part of an overall arts and culture system, or as part of a larger community of interest in which they have a stake. The planning phase set the stage for creating and expanding links between arts groups and other types of community organizations, and helped establish the legitimacy of community foundations as conveners in the arts

Examples of Convening Practices

- In Knoxville, Tennessee, a major new downtown planning initiative was launched to build on the commercial real estate successes of the mid-1990s. Members of the arts and culture communities have seen this as an opportunity to begin conversations around the role of arts and culture in the region through a possible Arts, Culture, and Entertainment Master Plan.
- The Boston Fellows program and a similar effort by Community Foundation Silicon Valley send community leaders on research trips to places that illustrate innovative cultural participation strategies.
- Community Foundation Silicon Valley intends to convene people from each of its three target communities to discuss the progress of the initiative and to suggest ways in which performance could be improved.

and culture arena. Exhibit 5.1 on the next page gives examples of some community leaders in the CPCP sites.

For example, the Greater Kansas City Community Foundation played a leading role in convening its 23-member Leadership Team and holding community sessions with arts, community, civic, and other leaders to craft a business plan for a new Metropolitan Arts Council. The council will continue the convening role around arts and culture adopted by the foundation and embark on joint marketing, technology, and specialized training for the arts. The CPCP Initiative Advisory Board of the East Tennessee Foundation contains broad regional representation from “arts and community organizing disciplines and arts and cultural organizations.” The intent is “to support regional networking and collaboration among groups committed to building cultural participation.”⁵²

⁵² East Tennessee Foundation. 1998. *Annual Report on the CPCP Initiative to the Lila Wallace–Reader’s Digest Fund*, p. 2.

Exhibit 5.1: Some Leaders in the Arts and Cultural Support System in CPCP Communities

Taken from lists of organizations for the evaluation team to interview during 1998 site visits.

CPCP Community	Civic and Neighborhood Leadership	Public and Nonprofit Cultural Support Organizations
Boston	Codman Square Health Center United South End Settlement House Dudley Street Neighborhood Initiative The Boston Globe	Massachusetts Cultural Council Mayor's Office on Cultural Affairs
Silicon Valley	San Jose Office of Cultural Affairs Mexican Heritage Center	Arts Council of Santa Clara County Milpitas Alliance for the Arts Gilroy Parks and Recreation Dept. New Renaissance Center
SE Michigan	New Detroit Detroit Renaissance	Arts League of Michigan ArtServe Michigan Michigan Assn. of Community Arts Agencies City of Detroit Cultural Affairs Department Oakland County Office of Arts, Culture, and Film
Dade	Performing Arts Center Trust	Metro Miami-Dade Cultural Affairs Council Miami-Dade Parks and Recreation Dept.
East Tennessee	Cornerstone Foundation of Knoxville— Arts, Culture and Entertainment Initiative (ACE Initiative) Center for Neighborhood Development	Tennessee Arts Commission Rose Center and Council for the Arts Tennessee Overhill Heritage Association Athens Area Council for the Arts Etowah Arts Council
Kansas City	150th Anniversary Committee Kansas City Neighborhood Alliance Greater Kansas City Chamber of Commerce	Arts and Humanities of Johnson County Kaw Valley Arts and Humanities Metropolitan Arts Council of Greater Kansas City (created in Sept. 1998)
Humboldt	Indian tribal leaders Public Television Station KEET	Humboldt Arts Council
Maine	Portland: Planning and Urban Development Waterville: Kennebec Valley Council of Governments Hancock County:* Hancock County Planning Commission	Portland: Portland Arts and Cultural Alliance Portland Performing Arts Maine Humanities Council Waterville: Maine Arts Commission
New Hampshire	Newport: City Manager Portsmouth: City Manager Neighborhood associations Manchester: For Manchester In-Town Manchester	Newport: Newport Opera House Association Portsmouth: Portsmouth Arts and Historical Collaborative Manchester: Federated Arts
* Maine: In October 1998, the Hancock County Planning Commission was replaced as local partner with the Hancock County Cultural Network, a partnership newly formed through a community meeting.		

Most foundations established formal entities to help them convene the parties for agenda setting. These are typically advisory bodies, though some have evolved toward an implementing role. In Miami-Dade County, the advisory committee for planning completed its work, and a new implementation advisory committee was formed. The implementation advisory committee will review proposals and make recommendations on grants. In other sites, various partners are set to take on implementation and management roles. In southeastern Michigan, the advisory process began with planning and consensus building around the goals of the initiative, the priorities, and benchmarks of success. The foundation then found partners to implement the consensus agenda. Exhibit 5.3 at the end of this chapter details the structure of the advisory committees and partners for each site.

The councils established to help implement the CPCP Initiative are not the only arenas where agenda setting takes place. Indeed, where they exist, local arts agencies can be important intermediary institutions. Several foundations have used the CPCP Initiative to encourage arts agencies to play strong roles in furthering cultural participation goals.

Brokering a common agenda does not always go well. Some of the tensions that commonly arise in forging a united vision reappear when the task shifts to setting the agenda. The battle over artistic standards and authenticity, in particular, may be present, and may reflect the underlying competition among “major” organizations, non-“majors,” and community-based groups.

Smaller groups are always looking for funding, venues, and attention. They typically run into barriers involving quality of products, perceptions of community benefit, and financial instability. One small arts provider told us that she did not have time to be involved, but that she participated to make sure that the “sharks” (the large organizations) did not control the process and monopolize resources. “Majors” also fear “their” money will be redistributed to less deserving organizations.

The near absence of universities from the agenda-setting process is also noteworthy. Universities were rarely in the partnerships we observed, despite their significant resources, venues, productions, and money. Involving them is something the community foundations may want to

Involvement of Local Arts Agencies

- The Humboldt Arts Council has begun to collaborate more actively with other arts organizations and has diversified its board to reflect a reorientation toward the broader community.
- In East Tennessee, the arts council might play a more active role in helping advocate for, and shape, support for the arts and cultural community, but the council has tended to remain insulated from a policy role.
- In Greater Kansas City, creation of a metropolitan, bistate arts agency is the linchpin of a strategy to draw previously isolated supporters and providers into an agenda-setting process, backed by the CPCP Initiative, to support new cultural participation objectives.

explore. The engagement of local businesses and civic interests could also be pursued more aggressively. These entities are potential partners, but according to several informants, the CPCP Initiative will first have to prove itself by having some products or successes before businesses will commit serious resources. In Maine, one respondent suggested that a potential economic impact of the arts would be as a tool for attracting corporations to a locality.

Information and Advocacy. The CPCP Initiative gives a higher profile to information collection than other national partnerships. Gathering information in an organized and systematic way can bring important benefits to community foundations as they move forward into a new area of funding and intermediation. Moreover, as a field, arts and culture has not yet adopted the evaluative methods that are standard in other disciplines. Improving information practices will be important as arts and cultural organizations work to articulate their value in the face of eroding political support.

Public Information. Foundations are faced with the demanding task of articulating why this initiative is important and why they are involved. Some are trying to convince public agencies to support arts and culture, using data to demonstrate the economic, social, and educational benefits of arts and culture. Others describe the potential role of arts and culture in bringing communities together to revitalize distressed neighborhoods across the divide of race and class. Still others appeal to civic pride and to the enhanced quality of life offered by a strong arts and culture sector, in particular arguing for their value in corporate recruitment.

A number of participating community foundations expressed real concern that, although they understood the Fund's goals, they found it difficult to communicate these to others. As the East Tennessee Foundation noted: "We have yet to develop . . . a succinct way to describe the goals and aims of the initiative in a way that 'non-arts practitioners' and donors will understand. Until we are able to speak in a common language, we feel we will have less success in fundraising and 'partner-raising.'"⁵³

The Boston Foundation's support for public communication activities includes funding for a second season of a half-hour-long public television program, "Greater Boston Arts," as well as a grant to the Boston Art Dealers' Association for a year-long series of exhibitions of the work of Boston artists. The foundation contracted with a writer and videographer to document grantee activities. One of the foundation's first CPCP grants funded the Institute on the Arts and Civic Dialogue to raise the awareness of the public and press about "the role of the arts in civic discourse."

⁵³ Ibid., p. 8.

Public Advocacy. The different sites vary in who supports the arts and cultural infrastructure. Government support for the “majors” has dried up in southeastern Michigan, for example, and individuals do not have a history of large benefactions. What is the best strategy? Should community foundations support a regional tax or try to raise the level of philanthropy and endowment giving, as Community Foundation for Southeastern Michigan has chosen?

The need for tax support for arts and culture is acknowledged in some sites, as is the need for arts in the schools. Community foundations, however, are not always taking a leadership role to create these changes. Advocacy is risky for institutions that raise money primarily from wealthy individuals who may not wish to be associated with controversial positions. Outspoken leadership for political solutions will not be possible for many of these community foundations. The behind-the-scenes work that they do will be less visible and vulnerable to challenge. This aspect of the CPCP Initiative bears watching over the next four years.

Research and Evaluation. During the first year’s planning process, data collection through interviews, focus groups, and surveys provided invaluable information to build knowledge about the state of arts and culture organizations and participation in communities. This information helped community foundations make the case to civic leaders for the role of the initiative and for the value of arts and culture in their communities. One community foundation president reported that a once skeptical board member became a champion of the project and one of its most effective proponents after being exposed to new information and being introduced to activities in other cities through meeting with Fund staff and others.

Intermediary Tasks: Research and Evaluation

- The Boston Foundation contracted with the Technical Development Corporation to develop grantee reporting mechanisms and evaluate the “Arts and Audience” Initiative. The foundation has also linked the initiative with ongoing research efforts supported by the Urban Institute and the New England Foundation for the Arts.
- The Greater Kansas City Community Foundation involved staff of the Midwest Research Institute (MRI) throughout the planning phase of the initiative, and commissioned a local public relations firm to conduct a metropolitan area arts participation survey. MRI will continue to be involved in designing audience participation survey instruments for use by grantees.
- In 1998 the Maine Community Foundation was successful in its efforts to add an arts and culture indicator to the annual report *Measures of Growth*, prepared by the Maine Development Foundation. This report tracks performance measures in Maine’s long-term economic growth.

Judging by comments from interviewees, the research process engaged people in discussing issues and priorities for the projects and encouraged new connections and deeper thinking about the

role of arts and culture in communities. The research process also involved community foundations in new ways of knowing their communities. Surveys, interviews, and focus groups put staff in touch with neighborhoods they had never visited, artists and organizations they did not know, and residents that had never been contacted. These were important outreach tools and illustrated the value of such information collection.

Financial Support. Without the financial support that community foundations can provide to the CPCP Initiative, their intermediary role would be seriously compromised. But the financial resources they can offer vary enormously, as does the relative impact these resources convey. As a result, the potential for leadership in arts and culture may be very different as well.

As table 5.1 illustrates, foundation assets vary from \$522 million for the Boston Foundation with 30 staff to serve a population of 650,000 to \$26 million for the East Tennessee Foundation with nine staff to serve a population of 1,200,000. The Humboldt Area Foundation had \$28 million in assets in 1997, a fraction of the assets of the Boston Foundation.

Table 5.1: Community Foundation Assets and Grants							
	Year Ended	Assets	Expenses*	Contributions	Total Grants	Arts \$**	Arts %
Boston	6/97	\$522,052,973	\$26,151,238	\$37,640,167	\$21,162,203	\$2,556,886	12%
Silicon Valley	6/97	\$101,151,317	\$17,639,214	\$31,513,737	\$15,814,195	\$4,259,615	27%
SE Michigan	12/97	\$187,033,360	\$12,568,418	\$23,785,445	\$10,798,452	\$2,300,953	23%
Dade[†]	12/97	\$51,946,387			\$7,380,420	\$63,990 [†]	9% [†]
E Tennessee[°]	12/96	\$26,529,898	\$6,636,736	\$10,542,830	\$4,520,735	\$196,435 [°]	9% [°]
Kansas City[‡]	12/97	\$375,385,000	\$71,579,420	\$105,744,000	\$68,866,000	\$20,659,800	30%
Humboldt	6/97	\$27,700,885	\$1,543,703	\$3,400,000	\$1,345,433	\$138,129	10%
Maine	12/97	\$46,322,592	\$3,904,003	\$8,854,825	\$2,950,400	\$269,151	10%
New Hampshire	12/97	\$162,402,799	\$10,579,174	\$16,421,664	\$7,118,535	\$1,067,780	15%

SOURCES: All data in this table come from the annual report of each community foundation. Blanks indicate data not reported in the annual report. In some cases the percent of grants to the arts was known, and the dollars to the arts were calculated from the percent.

* Expenses include grants.
 ** These grants are listed as “Culture” by several foundations.
 † Half of the Dade Community Foundation’s grants went to a special initiative for hurricane relief. The arts grants and percent to arts listed here are *only for unrestricted and field of interest funds* (excluding donor-advised funds).
 ° Tennessee’s Arts Grants *do not include* donor-advised funds and arts-based “youth endowment” grants.
 ‡ The Kansas City figures are given for the Greater Kansas City Community Foundation only, and do not include the community foundation’s affiliated trusts.

In addition, the community foundations differ in the relative importance of their resources in their local arts and culture systems. Humboldt's assets were about 900 percent of the \$3 million in assets of the nonprofit arts and culture organizations in its area. But although much larger than Humboldt, the Boston Foundation’s assets were only 54 percent of the \$955.6 million in assets of the nonprofit arts and culture organizations in its area. As another example, the Greater Kansas City Community Foundation, with assets of \$375 million in 1996, has more than five times the \$68 million in assets reported for Greater Kansas City arts and culture nonprofit organizations. Several community foundations—East Tennessee, Humboldt, Maine, and Kansas City—received gifts in excess of the total public support for nonprofit arts and culture organizations in their communities. Table 5.2 at the end of this chapter shows total public support (individual donations, foundation grants, and government contributions) received by arts and culture providers in CPCP communities.

These differences among foundations suggest that the potential for leverage and leadership in the arts and cultural system may vary widely from site to site. For example, arts organizations receive a larger portion of nonprofit revenues in Boston than in other cities (3.4 percent compared to the national

average of 1.8 percent). The well-developed arts and cultural sector in Boston welcomed the Boston Foundation's initiative with delight but remains skeptical about its ultimate commitment. Given the size and financial base of the sector, the foundation had opted not to focus on arts and culture in the past. Table 4.2 in the previous chapter shows total annual expenses of arts and culture organizations in each CPCP site.

Across the nine CPCP sites, there are also different numbers of funders with varied resources. Exhibit 5.2 on the next page lists some of the funders of arts and culture in each site. While a simple listing is only suggestive, note the fairly impressive list of foundation funders in Greater Kansas City, Boston, Silicon Valley, and southeastern Michigan, and to some extent, Humboldt County (which garners support from foundations that are active statewide). By contrast, there are relatively few foundation supporters in East Tennessee, Dade County, Maine, and New Hampshire. A community foundation's ability to perform a leading intermediary role in the arts and cultural community is related to the number and size of other foundation funders in the system.

Exhibit 5.2: Some Significant Funders of Arts and Culture in CPCP Communities

This exhibit is a profile of the funding community in each site. It does not necessarily reflect funders of each initiative.

CPCP Site	Other Foundation Funders	Other Funders
Boston	“Arts Funders Working Group” (10 funders) LEF Foundation New England Foundation for the Arts Ratchesky Foundation Jessie B. Cox Foundation Boston Globe Foundation	Massachusetts Cultural Council Massachusetts Cultural Facilities Project Boston Cultural Council
Silicon Valley	Compton Foundation Hewlett Foundation Knight Foundation Packard Foundation	Arts Council of Santa Clara County City of Milpitas City of San Jose
SE Michigan	David M. Whitney Fund Ford Motor Company Fund Greyling Fund Hudson-Webber Foundation The Kresge Foundation McGregor Fund Sage Foundation The Skillman Foundation	Michigan Council for the Arts and Cultural Affairs Hudson’s NBD Bank Comerica Bank
Dade	BankAtlantic John S. and James L. Knight Foundation fifty over fifty	Miami–Dade Cultural Affairs Council Miami Beach Convention and Visitors’ Bureau Coral Gables Cultural Affairs Council Northern Trust Bank AT&T American Express
East Tennessee		Tennessee Arts Commission
Kansas City	Ewing Marion Kauffman Foundation Hall Family Foundation Muriel McBrien Kauffman Foundation	Arvin Gottlieb Foundation Enid and Crosby Kemper Foundation Francis Families Foundation Kansas Arts Commission Kansas City Power and Light Missouri Arts Council R. Crosby Kemper Foundation Sosland Foundation Sprint Foundation William T. Kemper Foundation
Humboldt	Hewlett Foundation Packard Foundation Seventh Generation Fund	Humboldt Arts Council Humboldt County Department of Probation
Maine	New England Foundation for the Arts Stephen and Tabitha King Foundation	MBNA America UNUM-Provident
New Hampshire	New England Foundation for the Arts	Bell Atlantic NH Arts Council NH Humanities Council Nynex Tyco, Inc.

Monitoring Implementation. Community foundations are faced with the daunting prospect of tracking the results of their own grants as well as monitoring whether or not supporters of the arts and cultural system adhere to the commitments they have made.

An ambitious evaluation plan has been adopted by the Greater Kansas City Community Foundation, although others have also committed to serious data collection and monitoring of outcomes. A number of the foundations in the CPCP Initiative, including in Kansas City, have expressed an interest in further developing their own capacity to undertake monitoring and evaluation activities.

Strategic and Tactical Choices

Because community foundations are in very different structural circumstances, they have made very different strategic decisions. We have not yet systematically collected information on these choices, in large part because strategies are still emerging. We can, however, outline the kinds of strategic choices community foundations face in the early stages.⁵⁴ As the initiative unfolds, we will pay close attention to strategy choices that seem to be particularly effective.

Greater Kansas City Community Foundation Evaluation Objectives

- Ongoing community foundation grant monitoring.
- Increased access to arts and cultural activities within neighborhoods, after-school programs, and youth agencies, as shown by grant requests, reports, and surveys.
- Increased earned income for artists or arts groups.
- Increased grantee skill in using funding programs and developing quality projects, as shown by decreased reliance on technical assistance.
- Increased quality of grant proposals.
- An increase in the percentage of households involved in arts and cultural activities, as shown by household surveys.

Source: Greater Kansas City Community Foundation.

The participating community foundations are faced with choosing between alternatives that are incremental or radical, short-term or long-term, safe or risky, product or process oriented, comprehensive or selective, consensual or conflictive, and narrow or broad. Each of these alternatives

⁵⁴ Early in the initiative, two of the community foundations invited to participate decided to postpone or withdraw from the initiative after carefully considering their organizational and contextual circumstances. Changes in the executive leadership deterred the San Francisco Foundation from taking on the commitment to CPCP. The Cleveland Foundation was already involved in an extensive communitywide cultural research and planning process, the Community Partnership for Arts and Culture. After the Cleveland Foundation participated in the CPCP planning process, it decided to withdraw as a result of difficulties in integrating the ongoing planning effort with the CPCP Initiative. Issues of timing, leadership, and competing fund-raising between the two efforts were not resolvable.

may be viewed as a continuum, and the community foundations may choose to operate anywhere on the continuum, given the particular circumstances of the foundations and the communities that they serve. Community foundations may also shift their emphases over time. The choices are described below.⁵⁵

Incremental or Radical. In efforts to provide more culturally relevant offerings in communities, should a community foundation set out to influence the ways in which an existing municipal arts council establishes its priorities for funding by facilitating the inclusion of new players and providing information to inform decisionmaking, or should it press to create an alternative agency that would supplant the existing council in its role of providing programming?

Short-term or Long-term. Is it more important to invest in direct programming and immediately provide new cultural opportunities to a target community that is bereft of cultural opportunities, or is it better to invest in developing cultural leadership among residents of the target community so that they may influence the system of cultural production in the long run? Should the foundations seek immediate or long-term impacts? Ideally, foundations would adopt both long- and short-term strategies simultaneously, provided that the short-term strategies do not militate against longer-term goals.

Safe or Risky. Is it more useful to try to implement strategies to increase cultural participation that have already been tested and proven successful, or should the community foundations seize the opportunity to experiment boldly with untried strategies?

Product or Process. Should the community foundations be focused on introducing particular programs and policies, or should they be facilitating collaborative processes whose outcomes they do not control?

Comprehensive or Selective. Is it more useful to attempt a multipronged strategy that deals with offering a wide array of cultural opportunities that are likely to meet the needs of a varied pool of potential participants, or is it more prudent, given resources and scale, to be more selective and focus either on a smaller group with multiple offerings or a larger group with fewer cultural options?

⁵⁵ These analytic categories were created to examine choices made by intermediary organizations charged with addressing urban poverty through institutional reform in various U.S. cities. Examples have been adapted for this analysis. Marris, Peter, and Maria-Rosario Jackson. 1991. "Strategy and Context: Reflections on the Community Planning and Action Program," a Report to the Rockefeller Foundation, p. 21.

Consensual or Conflictive. Should community foundations strive for broad consensus even if it means that agreement is likely to emerge slowly and some key issues may be diluted in the process, or is it better to take a firm stand, choose allies, and fight the opposition?

Narrow or Broad. While many of the community foundations have focused on discrete geographic communities and/or groups that are characterized by race, ethnicity, or age, is a focus on a narrow slice of the population more useful than a more universal focus? What are the implications of a narrow focus for developing political will to support the proposed agenda? Would a broader focus dilute the intent of the initiative?

Community Foundation Assets

Strong community foundations have recognized assets, money, staff, trustees and a varied donor base of families, individuals and corporations. They also play a legitimate leadership role in their communities, both as a result of their grantmaking, and the civic and corporate leadership on their boards. Community foundations have a public stature that few other institutions in the area have; they are usually viewed as committed to, and knowledgeable about, the community even if they are not always active on all important issues. They can articulate and sustain a vision for the community that can motivate support for change.

But as community foundations seek to achieve participation goals, they travel in territory that may be unfamiliar. The CPCP Initiative's theory of action anticipates that the first impacts will be on the organization and behavior of the community foundations in the initiative. Community foundations are expected to learn about the arts and culture fields. They must forge new partnerships that link arts and culture groups to one another and to other types of players. The CPCP Initiative calls on them to build consensus for change and achieve a positive impact on participation.

From our initial reading of the kinds of changes community foundations may need to make (and some are making), we focus on three assets: money, expertise, and influence.

Grantmaking and the Mobilization of Financial Assets

Raising money explicitly to benefit the arts is a new emphasis for the community foundations in most sites. The Boston Foundation, for example, is developing a fundraising strategy and visibility among potential donors. As in several other sites, the foundation consulted with a communications firm to attract press coverage for the announcement of the project. One result was a video message from the foundation's president and a description of the grantees. This video message, to be used in a variety of forums, is a new technique for showcasing arts projects funded by the Boston Foundation.

Prior to the CPCP Initiative, most of the community foundations' grants to arts and culture organizations were from donor-advised or designated funds that do not require much staff time to administer. A new study from the Council on Foundations shows that four-fifths of arts grants (6,843 of 8,551) went to organizations identified by the donors. Moreover, a small proportion of community foundation funding appears to be discretionary. Only 39 percent of the dollars reported by community foundations for arts, culture, and humanities grants were competitive or required a proposal. Competitive grants, however, were larger; they averaged \$20,975 compared with noncompetitive grants of \$7,753.⁵⁶

Community foundations tend to use their discretionary funds for projects donors are not likely to support through advised or designated gifts. Annual reports and grant records generally do not show how much discretionary grantmaking in the nine sites is devoted to arts and culture. However, it is clear from the site visits that significant resources, both advised and discretionary, are being devoted to the CPCP Initiative and that new resources are being raised for the match. The Boston Foundation, for example, made its first grant to an arts and cultural organization under its capacity-building program, marking a "first step towards expanding discretionary policy to include the arts and cultural sectors."⁵⁷

Sites have adopted quite different fundraising strategies to raise the CPCP match. Southeastern Michigan, for instance, avoided direct competition with arts and culture organizations by raising the required match from foundations, not individual arts patrons. It raised most of the dollars before the CPCP initiative was announced, so that the implementation phase could proceed in earnest. Some sites used money from their own reserves; others raised money from arts patrons.

With the development of an arts and culture endowment, as one community foundation staffer put it, "we are now into funding the arts forever." Community foundations will obviously have to pay closer attention to arts and culture to give away the CPCP grant money. But how much attention may depend on whether or not they can fund a staff position for arts and culture long enough to institutionalize the program and build a sufficient endowment to cover overhead for the program's operations. The endowment goals are modest in most sites and will provide limited support for CPCP goals after the project ends. The Fund requires that an endowment be created of a minimum of one-half the total initial budget for the initiative. Four sites will try to raise endowments of \$1 to 3 million and four plan to raise from \$500,000 to \$800,000. Only Humboldt and Boston plan to raise more significant endowments of \$10 million (and Humboldt's effort is expected to last through 2010).

⁵⁶ Council on Foundations. 1998. *Community Foundations in the United States: 1997 Status*. Washington, DC: Council on Foundations.

⁵⁷ The Boston Foundation. 1998. *Annual Report on the CPCP Initiative to the Lila Wallace-Reader's Digest Fund*, p. 8.

Despite the small size of the endowments, overall grantmaking for the arts in these foundations is likely to increase and be more strategic as a result of the initiative.

CPCP Initiative requirements could arguably change the community foundations' grantmaking, governance, fundraising, and management. There is evidence of new grantmaking practices, deeper board involvement, more targeted fundraising and increased cross-departmental communications. There may also be shifts in how the community foundation interprets its mission or program focus. Arts and culture might become integrated into an existing grantmaking orientation. Community Foundation for Southeastern Michigan, for example, recognizes that its primary focus on community economic development can be strengthened with an explicit component for arts and culture as a community-building and economic development tool.

Will community foundations accommodate the small arts, cultural, and community organizations voicing a strong desire for a simple one-page grant application? This bears watching. The small groups lack sufficient staff to jump through multiple grantmaking hoops. Working with small, fragile groups may be risky for community foundations. They may opt to create new mechanisms to inform such grantmaking and to invest more heavily in technical assistance. The Dade Community Foundation has a community advisory committee recommending grants, for example.

Expertise of Directors, Staff, and Boards

Staffing is clearly a community foundation asset, though there are differences between large and small foundations and not all employ staff with expertise in arts and culture grantmaking:

- Staffing is minimal in smaller foundations, which generally cover wider territories and may be barely adequate for needed coordinating and grantmaking work.
- Staff in smaller foundations will be challenged to manage the technical assistance, convening, and individual attention required by many of the potential grantees and partners, although some foundations (East Tennessee, for one) have arranged for technical assistance to be provided to those who need it as an important part of their initiative.
- Several community foundations have taken advantage of the initiative to invest in staff with arts or cultural backgrounds. These are Southeastern Michigan, Humboldt, Silicon Valley, Kansas City, and Boston.

Crafting well-focused and outcome-oriented grantmaking is especially challenging if staff do not have much experience in the arts and culture arena or in strategic grantmaking. Here again,

community foundations vary. Some may be more accustomed to using their leverage and influence to bring people together to identify problems. Many have only limited discretionary dollars and staffing to do in-depth, system-change work. This is not necessarily an impediment for the CPCP Initiative because the planning grant helped to pay for planning and research, and the project grant can be used for staffing, fundraising, and communications. But lack of staff experience with strategic grantmaking in several community foundations may help explain the tendency toward many small, one-year grants to various constituencies.

Another staffing issue is a perceived lack of diversity among community foundation employees. More than one interviewee noted that community foundation staff tended to be white women who did not venture into African American and ethnic neighborhoods very often. These respondents viewed the CPCP Initiative as a welcome opportunity to have staff come to organizations in their communities. As the initiative unfolds, community foundations may find they have to tap expertise in organizational and community development to implement the goals of the initiative.

The CPCP planning process, with its data collection requirements, did influence grantmaking in the sites. Staff went into diverse communities to attend focus groups and convene community meetings about arts and culture. Turning this information into programs is a new and more strategic style for some foundations. In some sites, this community-level activity was noted and appreciated. It appears to be a new operating mode for some of the foundations. In Humboldt, for example, it was through community meetings that the foundation staff learned about the needs of Native Americans that resulted in a program to support regalia making. Conversations with small arts organizations raised the need for technical assistance in Miami-Dade and Greater Kansas City. Community conversations had an impact on the grant guidelines for the projects in Portsmouth and Manchester, New Hampshire.

Advisory committees are overseeing the initiative in all of the sites and in all but one of the communities involved in the initiative. Exhibit 5.3, at the end of this chapter, identifies the structure of advisory committees in each site. These committees help connect to new networks, expose the community foundation to new people, and give the foundations visibility and a potential new source of board members and donations. Advisory committees, however, do require staff time to convene and manage. In Boston the initiative is causing changes at the board level, as board members gear up to help raise money and recruit new members.

New aspects of grantmaking operations are being designed for this project. Some sites are using requests for proposals with explicit grant guidelines. New to virtually all of the sites is the conscious outreach to arts and culture groups and to organizations that will offer arts and culture as part of larger programs. Targeting specific neighborhoods is also new for some foundations and is being undertaken in Boston, Miami-Dade County, and Silicon Valley. Such targeted grantmaking

requires different types of outreach and staff support. For example, Boston and Dade staffs report that they did not receive many strong and relevant proposals from targeted neighborhoods. As a result, they will undertake technical assistance and more intensive outreach. Targeting neighborhoods or population groups requires a more active grantmaking style. Outreach may be particularly difficult when neighborhoods have a limited number of potential grantees.

Program officers in the community foundations are mostly generalists. The CPCP Initiative has already prompted several sites to hire staff with arts and culture experience. Sustaining the initiative may be difficult if foundations do not assign experienced staff, since the project requires ongoing work to maintain the collaborations, provide technical assistance, and monitor grantees. Strategic grantmaking by its very nature is staff intensive. Several community foundations, including Boston, New Hampshire and Kansas City, have experienced significant staff turnover. Boards and staff are being stretched to take on new roles.

At the Boston Foundation, grants for the initiative are determined by a team consisting of the president, board chair, CPCP program officer, communications director, and development director. This new cross-departmental process seems to be working well. The Boston Foundation reports that one of the advantages of this structure is that grant decisions include more understanding of how the grants might be interpreted by donors and the larger community. In addition, the public relations and development departments are better able to communicate the impacts of the foundation's grants (and for that matter, the arts) to the wider community, including donors. Other sites also report more inter-departmental communications and planning. Foundation staff generally believe that working across departments is valuable for the long term, in addition to its utility in implementing the CPCP Initiative.

Several sites, including East Tennessee, Dade, Boston and Kansas City, will provide technical assistance, but how such assistance will be linked to grants is not clear for all sites. Monitoring small groups to ensure grant money is well spent will be a challenge. The CPCP Initiative requirement for measurable, evaluated results is new for most community foundations and probably for their grantees as well. The requirement that the grantees collect information and report back in some detail, on audience attendance for example, is also another new aspect of the grantmaking process.

System Influence

The requirements imposed by the CPCP Initiative have strategically changed the positioning of community foundations in their communities. Large and small arts and culture organizations alike are now more explicitly a part of the community foundations' networks. While many might have been applicants or recipients in the past, the CPCP Initiative engages them as community assets to be strengthened and promoted through grants and technical assistance. Arts coalitions and councils are

often new partners. Disadvantaged populations are regarded as participants in, and consumers of, art and culture, not only as people to be served. New political relationships may emerge, and the project may affect government funding for the arts or new taxes to support arts and culture. Controversies might arise over support for certain types of arts and culture. Specific exhibits might raise questions of taste, values, racial, and ethnic issues. There are already questions about what is art and who decides what kinds of art and culture are worthy of support.

The networks created for previous initiatives may not be fully adequate to the challenges of this one—especially where the CPCP Initiative is being viewed primarily as a way to build low-income and minority communities. Some community foundation boards may not be optimally diverse for this initiative. In response, community foundation staff have used advisory committees and related groups to reflect diverse aspects of arts and cultural life. At least one foundation has made diversification of its own board a focus.

Community foundation board involvement in the CPCP Initiative is critical, especially for community foundations not already engaged in arts and culture, or in change-oriented philanthropy. The primary incentives for boards to become involved are the carrot of the Fund's support, coupled with the project's national visibility and its potential to enhance the community foundation's financial base. In Boston, Humboldt, southeastern Michigan, and Kansas City, boards are clearly well-educated and committed supporters of the project. In addition to the worthy goals of the CPCP Initiative, they recognize that the initiative could help to attract new donors and new organizations that might entrust the management of their endowments to the community foundations. In other sites, board commitment is less clear. In some sites, for example in southeastern Michigan, board members with strong interests in arts and culture have become champions. Their connections to the arts and culture system and their willingness to promote the project are potentially important assets.

If organizational change begins at the board level, as several leaders noted, ways must be designed to expose board members of arts and culture organizations to best practices, facilitate peer learning, and exert peer pressure for change. Involving the boards of the community foundations to influence their counterparts in arts and cultural organizations may be a risky strategy. Some board members may not be willing to get out in front on this issue. Even if they are willing, board members must be well informed. Boston and southeastern Michigan are explicitly educating members of their leadership advisory committees, as well as their boards, to be active proponents of the initiative among their peers and in their communities.

Conclusions

The CPCP Initiative is using and expanding the already considerable intermediation skills of the participating community foundations. The challenges of the projects are considerable, but in these early visits we saw extensive evidence of thoughtful and committed efforts to reach out and change existing patterns and relationships. Especially noteworthy is the level of excitement that the initiative has engendered in the foundations and in many of the arts and cultural organizations. This enthusiasm is a strong indicator of the potential of the project to engage and motivate people to work together to reach agreed-upon goals. Channeling and maintaining this enthusiasm through the implementation phase will be an important task in all of the sites.

Exhibit 5.3: Structure of Advisory Committees and Partnerships	
Boston	<p>Committee on the Arts: 100 arts providers, funders, community organization representatives. Convened yearly as promoters/ambassadors for initiative to larger cultural community.</p> <p>Fellows: Subset of 26 of the 100 who act as an advisory committee. Considered a link to the art and culture community for the foundation. They took trips for the foundation to look at other projects. Fellows meet three times per year. They have no direct vote in grants. Many are from organizations that have already received CPCP grants.</p> <p>Advisors: Further subset of 7, who meet with foundation president three times per year to advise on this initiative.</p> <p>Evaluation committee: Group of foundation staff and evaluators who meet twice a year to advise the evaluation of the initiative.</p>
Silicon Valley	<p>Overall: 15 people on overall advisory committee for CPCP, including residents of each target area, meeting on a quarterly basis.</p> <p>Partners: The partner agencies in each site will decide whether to create individual advisory committees.</p> <p><u>Mayfair</u>: Partner is the Mayfair Initiative Art and Culture Committee, which is composed of 15 residents and representatives of nonprofit organizations.</p> <p><u>Milpitas</u>: Partner is the Milpitas Alliance for the Arts, a nascent arts service organization, which convenes arts organizations and advocates for the arts. There is a 6-person board.</p> <p><u>Gilroy</u>: No partner agency identified for Gilroy yet.</p> <p>Mentor Program: Five organizations on overall advisory committee will become mentors to small arts organizations in the target communities.</p>
SE Michigan	<p>Partners Committee: 16-member committee consisting of heads of small, mid-size and large cultural organizations throughout the region. Committee members are helping to plan and implement the initiative.</p> <p>Advisory Committee: 39 members, including community foundation trustees, civic leaders, and the funders of the initiative.</p>
Dade	<p>Planning Advisory Council: For the planning year. About 25 members of art and culture community, community organizations, county government, and funders.</p> <p>Implementation Advisory Council: Similar to planning council, reconstituted to avoid conflict of interest for applicants. Three subcommittees: Grants (review proposals and make recommendations), Fundraising (raising matching funds), and Program (help design technical assistance and other aspects of the initiative).</p>
E Tennessee	<p>Advisory Board: Representatives of arts, cultural, community-organizing organizations and East Tennessee Foundation Board members. Recommend policy, develop grant guidelines, identify grants review panel, and establish fundraising committee.</p>
Kansas City	<p>Planning Year: During the planning phase, the community foundation convened a 28-member task force of community leaders, funders, and foundation donors to convene community discussions to develop the implementation plans.</p> <p>Partners: Two “strategic partners” have been identified thus far: the Muriel McBrien Kauffman Foundation and the Greater Kansas City Chamber of Commerce.</p>

Exhibit 5.3: Structure of Advisory Committees and Partnerships (cont'd)	
Humboldt	<p>Overall: Cultural Coordinating Committee is advisory committee for entire initiative. Includes representatives of arts community. <u>Grants to Artists</u> subcommittee has developed grant guidelines and will make grant decisions.</p> <p>Initiative Advisory Committees: Each committee helps make major decisions in each project, such as selecting the subjects for Living Biographies.</p> <p><u>Art as a Primary Resource</u> has advisors from the partnering organizations, including the probation department and the county school system, as well as participating arts organizations.</p> <p><u>Living Biographies</u> advisory committee includes members from the partnering organizations, such as the Humboldt Historical Society, and the public television station.</p> <p><u>Regalia Making</u>: Although technically a subprogram of Living Biographies, it has a separate advisory committee composed of artists and activists from the Indian communities.</p> <p>Partnerships: Humboldt Arts Council is the primary partner, helping to coordinate entire initiative. Humboldt Historical Society is running Living Biographies. Seventh Generation Fund is implementing regalia making. County Dept. of Probation is a primary partner for Art as a Primary Resource.</p>
Maine— Portland	<p>Lead Agency: Portland Arts and Cultural Alliance.</p> <p>Steering Committee: 22 members, representing arts organizations and local government. The committee has not decided between selecting partners to fund or issuing an RFP for partners.</p>
Maine— Waterville	<p>Lead Agency: Kennebec Valley Council of Governments.</p> <p>Steering Committee: Includes representatives of the arts community, the business community, local colleges, various ethnic groups, and the school system. The committee has received a grant from the Maine Arts Commission to conduct a cultural inventory and has hired a staff person to work on it.</p>
Maine— Hancock County	<p>Lead Agency: Hancock County Planning Commission.</p> <p>Steering Committee: Core group of residents and organizations interested in creating an action plan for the county.</p>
NH—Newport	<p>Executive Committee: Same as committee for New England Artists Trust Congress IV, composed of key community leadership.</p>
NH— Portsmouth	<p>Steering Committee: 16 members, representatives from arts community, business community, local government and school system, and foundation board members. Advising on development of initiative—several members want to develop an arts center; a subcommittee is developing grant guidelines.</p>
NH— Manchester	<p>Steering Committee: Arts providers, For Manchester representatives, and community leaders.</p>

Table 5.2
Total Public Support* Received by Nonprofit Arts and Culture Providers in CPCP Communities, Circa 1996
(Dollars in Millions)

Number and Total Public Support of Nonprofit Organizations with Total Public Support of:

CPCP Site ⁵⁸ (Population in Millions)	Less than \$100,000		\$100,000 – \$499,999		\$500,000 or More		Total	
	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)	Number	Amount (Percent)
Boston (0.65)	95	\$3.0 (3.1)	33	\$6.7 (6.8)	20	\$88.3 (90.1)	148	\$97.9 (100)
Silicon Valley (1.60)	83	\$2.3 (6.2)	20	\$4.1 (11.0)	13	\$31.1 (82.8)	116	\$37.5 (100)
Southeastern Michigan (4.67)	152	\$3.6 (4.2)	33	\$6.9 (8.0)	15	\$75.0 (87.7)	200	\$85.4 (100)
Dade (2.08)	61	\$2.1 (6.4)	23	\$5.9 (18.2)	15	\$24.2 (75.3)	99	\$32.2 (100)
East Tennessee (1.22)	31	\$1.0 (14.7)	15	\$3.3 (46.7)	3	\$2.8 (38.6)	49	\$7.1 (100)
Greater Kansas City (1.45)	65	\$1.9 (6.4)	13	\$3.3 (10.9)	12	\$25.2 (82.8)	90	\$30.5 (100)
Humboldt (0.12)	10	\$0.3 (23.8)	2	\$0.2 (23.1)	1	\$0.6 (53.1)	13	\$1.1 (100)
Maine (0.42)	53	\$1.6 (23.6)	11	\$2.6 (38.1)	3	\$2.6 (38.3)	67	\$6.8 (100)
New Hampshire (0.66)	47	\$1.4 (17.2)	7	\$1.5 (17.8)	3	\$5.3 (65.0)	57	\$8.2 (100)

* Public support includes individual donations, foundation grants, and government contributions.
 Note: Numbers may not add correctly due to rounding.

Source: IRS Form 990 Return Transaction File, 1997, as adjusted by the National Center for Charitable Statistics. Includes nonprofit organizations classified as operating public charities that report to the IRS (file Form 990) and are required to do so. Excludes private foundations, foreign organizations, government-associated organizations, and organizations without state identifiers. Organizations not required to report include religious congregations and organizations with less than \$25,000 in gross receipts.

⁵⁸All data were aggregated based on the county FIPS codes in which target areas are located.

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**EVALUATION OF COMMUNITY PARTNERSHIPS FOR
CULTURAL PARTICIPATION INITIATIVE**

**APPENDIX 1: SUMMARIES OF CPCP SITES
AND INITIATIVES**

Exhibit A-1.1: Initiative Summaries									
	Boston	Silicon Valley	Mich	Dade	Tenn	KC	Humb	ME	NH *
Length of Project (years)	4	5	5	5	5	5	4	4	4
Project Funding (in millions of \$)	1.2	1.135	1.0	.600	.500	1.5	.825	.575	.575
Type of Area/Focus: Urban General	✓		✓		✓	✓		✓	✓
Urban Neighborhoods	✓	✓		✓					
Small Towns		✓	✓	✓	✓		✓	✓	✓
Rural Areas			✓		✓		✓	✓	
Geographic Target Areas	✓	✓		✓				✓	✓
Grantmaking Plan:									
# of grant cycles per year	4	1	1	1	1	2	1		
Named Initiatives (other than grants)		✓	✓				✓		
10/98 Status: Programs Operating		✓	✓				✓		
Grants Made	✓			✓		✓			
Requested Proposals					✓		✓		✓M
Extended Planning								✓	✓N,P
Technical Assistance: Seminars	✓			✓		✓			✓
Staff Position			✓						
Outside Consultants	✓	✓			✓	✓			✓
T.A. Grants					✓			✓	
Training for Participants	✓						✓		
Standing Advisory Committees	✓	✓	✓	✓	✓	✓	✓	✓	✓
Matching Fundraising: Completed			✓						
In Process	✓	✓		✓	✓	✓	✓	✓	✓
Planned Surveys: of Organizations				✓	✓		✓	✓	
of Audiences / Public				✓		✓	✓	✓	✓
* In New Hampshire: M = Manchester, N = Newport, P = Portsmouth									

The Boston Foundation “Arts and Audience Initiative”

DEMOGRAPHICS

The Boston Foundation serves the Boston, Massachusetts, metropolitan area. In 1990, the population of the city itself was 663,906. The population is 66 percent white, 22 percent African American, 5 percent Asian, and 6 percent other races. Hispanics comprise 11 percent of all races. The 1989 median household income was \$29,399 and the average household income was \$37,600.

The Boston Foundation identified two neighborhoods within the city as targets of the CPCP Initiative. They are Codman Square and Four Corners, in the Dorchester section of the city. These neighborhoods are overwhelmingly poor and African American. Many of the residents with whom we spoke feel disconnected from the rest of Boston.

We can project a rough estimate of the size of the nonprofit arts and culture sector in Boston by examining the total expenses reported to the Internal Revenue Service by organizations which classified themselves as primarily arts organizations.⁵⁹ In 1996, these 142 organizations had expenses totaling \$266.9 million.

PROGRAM

The goals of the Boston Foundation’s Arts and Audience Initiative are to increase active cultural participation among all sectors of the Greater Boston community, to encourage the full integration of the arts into the community fabric, to broaden and diversify Boston’s audience for arts and cultural programming, to build an endowed Fund for Arts and Culture, and to integrate the grantmaking process in the arts and cultural community with other sectors of discretionary grantmaking. The foundation specifically targets the residents of the Four Corners and Codman Square neighborhoods. Six steps were laid out to meet these goals:

- Conduct research;
- Convene Committee on the Arts;
- Make grants;
- Develop a series of technical assistance seminars;
- Publicize the CPCP program broadly; and

⁵⁹ Source: IRS Form 990 Return Transaction File, 1997, as adjusted by the National Center for Charitable Statistics. Includes nonprofit organizations classified as operating public charities that report to the IRS. (file Form 990) and are required to do so. Excludes private foundations, foreign organizations, government-associated organizations, and organizations without state identifiers. Organizations not required to report include religious congregations and organizations with less than \$25,000 in gross receipts.

- Raise a permanently endowed fund.

Grants are awarded with quarterly deadlines starting December 1997. The first round of grants announced in March 1998. In the first two years, grants will total at least \$250,000, with most grants between \$10,000 and \$50,000. Small planning and capacity-building grants will also be given. Funds for a collaborative on management assistance, grants for consultant services to arts groups, and semiannual seminars of grantees and collaborators to encourage peer assistance and networking are also planned.

Project Implementation: The Boston Foundation has already implemented its quarterly grantmaking program under *The Arts and Audience Initiative*. After reviewing 90 proposals, the foundation awarded 13 grants ranging from \$10,000 to \$75,000 for a total of \$470,000 dispersed in FY 98. At its last FY 98 meeting, the Board added one capacity-building grant. The first two rounds of grants were made to a wide variety of programs, indicating a commitment to diverse forms of art and participation in the city of Boston. However, few grants were made within the target neighborhoods of Codman Square and Four Corners specified by the foundation as central to this initiative. A third grants program, the Vision Fund, makes grants of up to \$2,500 for projects designed to generate new thinking about an organization's ability to serve the community. One \$30,000 Vision Fund grant was matched and regranted to 18 organizations.

The foundation is also working beyond grantmaking, making "cause-related marketing investment" in projects that have the potential both to raise the profile of the foundation and promote the arts. Technical assistance for grantees was launched in October 1998 with a seminar on evaluation led by the foundation's evaluation consultants. Ongoing topics will be determined through a needs survey completed by grantees. A spring press lunch was held to announce the first grantees and solidify relationships with journalists. Subsequent quarterly press releases of new grants, monthly documentation, and video documentation of grantee projects have increased visibility of the initiative as well. The Boston Foundation contracted with Technical Development Corporation (TDC) to develop grantee reporting mechanisms and to evaluate the initiative.

ADVISORY COMMITTEES

The Committee on the Arts and the Fellows of the Foundation, a smaller and more active subset of that group, serve as two-way communications channels between the foundation and the arts community and act as project advisors and ambassadors.

FUNDRAISING

The Boston Foundation has set a goal of raising \$10 million towards an arts endowment over the four years of this initiative. The Fund for Arts and Culture has received two significant gifts of

\$50,000 each and several smaller donations, as well as \$250,000 from the first year of the Lila Wallace–Reader’s Digest Fund grant and a pledge of \$250,000 to be paid over the next five years. The foundation developed a fundraising case statement, published as the Fall/Winter report, that highlights activities of recent grantees and profiles early donors to the fund, and also planned a series of donor cultivation events. Fundraising efforts are ongoing.

RESEARCH

The Arts and Audience Initiative has linked with two research projects. Work on the Boston Arts and Culture in Community Building Project, a cultural indicators and database undertaking, has been completed. The foundation’s partnership with the New England Foundation for the Arts on the Building Communities through Culture project is ongoing in the Four Corners neighborhood of Dorchester. Work in Codman Square will begin in January 1999.

The evaluation team from Technical Development Corporation (TDC) met in October 1998 to begin to plan the evaluation. TDC is currently developing grantee baseline and final report forms to be reviewed by the committee and grantees before distribution in early November. Additional first-year work will include a review of the grantmaking process and a review of comparable efforts in other cities.

**Community Foundation Silicon Valley
“Arts Build Community”**

DEMOGRAPHICS

Community Foundation Silicon Valley serves all of Santa Clara County, California, an area of 1,291 square miles. In 1990, Santa Clara county had a total population of 1,497,577, which was 98 percent urban. The racial distribution is 69 percent white, 4 percent African American, 17 percent Asian, and 10 percent other races. Hispanics comprise 21 percent of all races. The 1989 median household income was \$48,115 and the average household income was \$57,912. The demographics of the Silicon Valley region are expected to be quite different in the 2000 Census. The region has had an influx of technology firms in the 1990s, bringing new residents.

The target areas that the community foundation has chosen vary considerably. Mayfair is a one-square-mile, low-income urban neighborhood in San Jose, with about 6,000 residents. Mayfair’s population is primarily Hispanic, with a large Asian population and a small percentage of African Americans. Milpitas, an affluent suburb of San Jose, has 50,686 residents, 52 percent of whom are white, 35 percent Asian, 6 percent African American, and 18 percent Hispanic. The 1989 median household income in Milpitas was \$55,730, with a mean of \$60,467. The third target community, Gilroy, is a rural town considered the “garlic growing capital of the world.” About half of the residents are Hispanic. The median household income in Gilroy was \$40,955 in 1989, with a mean of \$46,730.

In 1996, the 116 nonprofit organizations in Santa Clara County that classified themselves as primarily arts organizations, reported expenses totaling \$57.8 million.

PROGRAM

Within three target communities, CFSV plans to attract those not typically involved in arts, including seniors, the disabled, youth, and ethnic communities, focusing on family programs, culturally specific programs, and dance. The three target areas selected are very different communities. Mayfair is a low-income, urban, largely Latino neighborhood in the city of San Jose, where a \$25 million Mexican Heritage Center will open in 2002. Milpitas is an affluent bedroom community near San Jose, with a sizable Asian population. Gilroy is a small rural town, divided ethnically between whites and Latinos. Silicon Valley as a whole is home to many computer technology companies, whose

founders have a lot of new money and no real history of philanthropy. CFSV is hoping to tap into that wealth for this initiative. Its goals include:

- Increasing public support of the arts through programs that provide opportunities for participation;
- Developing new community outlets for arts and cultural organizations;
- Reaching new audiences by developing stronger connections between neighborhoods and cultural institutions and artists;
- Strengthening the capacity of local institutions to use research to improve audience development;
- Raising \$2 million over five years to match the Lila Wallace–Reader’s Digest Fund grant; and
- Building the Audience of the Future Endowment Fund.

An initiative to make existing facilities more available to arts and cultural activity and increase local access is planned. Other projects are to define strategies for the development and operation of neighborhood cultural centers, support organizational partners as liaisons between communities and CFSV, encourage community-oriented touring/artist residency programs and supports artists and groups offering cultural education, create partnerships between arts organizations and community and neighborhood organizations, and assist in the development of an annual “Arts Open House.” CFSV will provide technical assistance through workshops on cultural participation and use of indicators and marketing assistance for cultural groups.

Project Implementation: CFSV has a mini–cultural grant program, called “Art Attacks,” which provides small short-term grants (\$1,000 to \$2,500) to underwrite specific neighborhood cultural events in the three target communities. A Mentor Program has been established to pair younger non-profits with more mature organizations for helping the smaller groups reach their potential. Extending from the Arts Build Communities Conference (described below), CFSV created a “Great Idea Fund” to allow pioneering ideas developed by conference attendees to be funded and tested.

CFSV has funded a total of 20 arts and cultural activities in the three target communities in diverse locations including community centers, outdoor festivals, and traditional arts venues. It plans to fund an additional 20 activities. Total attendance at all 40 events is expected to reach 100,000. Fourteen of the funded projects have been collaborations between artists or art organizations and neighborhood institutions. The mentor program has connected three large arts organizations with five smaller groups in target communities. CFSV also cosponsored an “Arts Build Communities” conference in October 1998, and funded technical assistance workshops and research trips in the target communities.

ADVISORY COMMITTEES

CFSV established a special 13-member advisory committee for the initiative and recently expanded its membership to involve a greater number of members of the target communities.

FUNDRAISING

CFSV has a goal of raising \$2 million in matching funds for this initiative. The sum of \$200,000 has already been raised toward the \$1.6 million goal for the endowment fund, and additional potential donors have been identified.

RESEARCH

The foundation has conducted the Planning Study on Community and Neighborhood Development Initiatives through the Arts as well as a pilot study of minigrants to small groups.

Community Foundation for Southeastern Michigan
“Southeastern Michigan Community Partnership for Cultural Participation”

DEMOGRAPHICS

Community Foundation for Southeastern Michigan (The Foundation) serves seven counties: Wayne, Monroe, Washtenaw, Livingston, Oakland, Macomb, and St. Clair. The total land area covered by these counties is 4,521 square miles. Combined, these counties have a total population of 4,590,468, of which 89 percent is considered urban and 11 percent rural. The racial distribution across all seven counties is 76 percent white, 21 percent African American, and 1.5 percent Asian. Less than 2 percent of the total population is Hispanic. The 1989 median household income was \$36,890 and the average household income was \$42,427. These total demographics obscure the presence of the city of Detroit, which comprises Wayne County. Detroit has 1,027,974 residents, of whom 76 percent are African American. Detroit’s median 1989 household income was \$18,742, with an average income of \$25,601.

In 1996, the 195 nonprofit arts organizations in southeastern Michigan reported expenses totaling \$93.5 million. Most of the region’s 14 “major” arts institutions served by the community foundation are in Detroit. The foundation is concerned that the huge demographic difference between Detroit and the outer counties keeps many wealthier suburban residents from coming into Detroit for events.

PROGRAM

The Community Foundation for Southeastern Michigan’s program, entitled “Southeastern Michigan Community Partnership for Cultural Participation,” plans to increase cultural participation in southeastern Michigan and strengthen the cultural programs and organizations that provide them through a multifaceted regional forum, an information network, and a public-awareness campaign. A grant program, called The Venture Fund for Cultural Participation, will support model cultural participation projects. An endowment will provide a continuing source of seed funds for cultural participation initiatives and establish new systems for tracking and analyzing arts audience and participation data.

Project Implementation: The foundation has completed a planning process for this program that involved significant input from the art and culture community. The partnership designed the program plan, agreed upon benchmarks for success, and is now embarking on implementation. The fundraising for the program is almost complete. A community cultural liaison has been hired to convene leaders, to assist in developing projects and resources, and to gather and disseminate information. The foundation published the first issue of a newsletter entitled *Cultural Communicator* in October 1998.

This biannual newsletter currently has a circulation of 1,500. The Venture Fund for Cultural Participation grant guidelines are scheduled to be formally announced in December 1998.

The next critical phase will be to fully implement the regional forum, the information network, and the public-awareness campaign. Partners have been identified to spearhead each portion: the regional “Cultural Forum,” the “Cultural Information Network,” and the “Celebration of Culture Campaign” for public awareness. Planning grants have been offered to several organizations who have agreed to take the lead in this implementation process.

ADVISORY COMMITTEES

The foundation organized a Partners Committee to assist in planning and implementing the overall program. The group has met monthly since January 1998. Ad hoc committees were formed in June to identify and recruit implementing organizations for the project components.

FUNDRAISING

As of September 30, 1998, \$2.9 million has been raised. Combined with the Lila Wallace–Reader’s Digest Fund contribution of \$1 million, the total funds for this program are \$3.9 million, leaving \$300,000 to be raised to complete the \$4.2 million budget. The foundation expects to complete fundraising during the coming year.

RESEARCH

The commissioned report “*Lessons from Detroit’s Community-Based Arts Programs: Culture as an Everyday Experience*” was completed.

The Cultural Information Network will include a market study on participation in arts and culture in southeastern Michigan.

Dade Community Foundation
“Community Partners for Arts and Culture”

DEMOGRAPHICS

Dade Community Foundation serves all of Florida’s Miami–Dade County, population 1,937,094, virtually all urban. In the 1990 Census, about half of the residents were Hispanic and 21 percent were African American. The 1989 median household income was \$26,909 and the average household income was \$37,903. Miami-Dade County covers 1,945 square miles of south Florida, including the Miami metropolitan area, and rural farm areas that grow tomatoes and tropical house plants. The western edge of the county borders a large portion of the Everglades.

1996 expenses reported by the 97 nonprofit arts organizations in Miami-Dade County totaled \$62.9 million.

PROGRAM

The Dade Community Foundation (DCF) plans to provide technical assistance as well as planning and implementation grants that create neighborhood collaborations and expand public programs in the traditional and contemporary arts. The initiative will be sustained beyond the period of the Fund’s support through the creation of a permanent endowment of \$800,000, the preparation of a community cultural census, and regular tracking and analysis of cultural participation data. DCF has targeted underrepresented racial and ethnic groups and youth and families in three areas: Deep South Dade County, Hialeah/Little Havana, and the North Central Corridor. These areas represent very different segments of the diverse population of Miami-Dade County. Planned steps include:

- Building connections among arts and culture organizations and community organizations through programs that enable partnerships for planning, problem solving, and program development;
- Increasing the use of informed approaches to audience development through programs that build organizations’ understanding of and information about audience development;
- Creating sustainable resources to expand cultural participation;
- Completing an inventory of arts and cultural assets in underserved target communities;
- Convening networks of key partners in these areas yearly; and
- Surveying levels of participation in target areas.

DCF planned to award six to 10 planning grants of \$2,500 to \$5,000 and three implementation grants (two to three year grants, up to \$30,000 for the first year with no matching funds required, up to \$15,000 for the second year with a 1:1 match, and up to \$10,000 for the third year with a 2:1 match) per year.

Program Implementation: DCF launched the initiative with an information workshop that drew nearly 100 participants. This opportunity allowed the foundation to present all components of the initiative, explain its goals, respond to questions, and provide networking opportunities for participants. DCF has completed the first round of grantmaking, awarding three planning grants and three implementation grants totaling \$70,000. It has also produced and disseminated 500 copies of a community report of the findings of the planning process to help inform local organizations. In the next year, the foundation plans to move forward with technical assistance activities, draw nontraditional arts and cultural organizations into the initiative, and capitalize on the first round of grants to leverage matching resources.

ADVISORY COMMITTEES

The Dade Community Foundation has relationships with many nonprofit organizations, and has invited broad participation in its initiative. The foundation has replaced its planning year advisory council with an implementation advisory council, which includes approximately 22 representatives of the arts and nonprofit communities. It has also utilized community forums and networks of partners in target areas to provide local insight on issues.

FUNDRAISING

DCF's goal is \$800,000, and it has already seeded the endowment with a gift of \$200,000 and thus is confident that it is well on its way. DCF has begun to raise endowment funds from new sources, especially the business community. An agreement with a corporation to make Community Partners the beneficiary of a charity event has been established, with the potential to raise \$40,000 to \$60,000. Other donors have contributed a total of \$5,200.

RESEARCH

DCF plans to conduct two countywide cultural participation surveys, community forums, and a survey of 150 organizations. In addition to distributing the report on the planning process to local organizations, DCF has surveyed organizations on their needs for technical assistance to develop future community programs.

East Tennessee Foundation
“Community Partnerships for Cultural Participation Initiative”

DEMOGRAPHICS

East Tennessee Foundation serves 19 counties spread across nearly 8,000 square miles: Anderson, Blount, Campbell, Claiborne, Cocke, Greene, Grainger, Hamblen, Jefferson, Knox, Loudon, McMinn, Monroe, Morgan, Roane, Scott, Sevier, Union, and Washington. Total population is 1,080,885, about evenly distributed between urban and rural. The population is 95 percent white and 4.5 percent African American. The 1989 median household income was \$21,417 and the average household income was \$30,157.

Forty-nine nonprofit arts and culture organizations reported \$17.6 million in expenses in eastern Tennessee in 1996.

PROGRAM

The East Tennessee Foundation (ETF) plans to provide organizations with technical assistance and training in program development, marketing, and promotion for any activities or organizations using the arts in programming. Grants of up to \$25,000 will support innovative projects that create opportunities for active participation in the arts through artist residencies, community performances, exhibitions, and workshops. A \$500,000 permanent endowment will also be created to support regionwide audience development beyond the period of the Fund’s grant. A two-day conference to encourage regional networking and collaboration, provide technical assistance, and offer grants for cultural development efforts and endowment building will help meet the following goals:

ETF will provide small technical assistance grants (entire pool is less than \$5,000) to organizations that wish to address key infrastructure needs identified in the planning phase, larger Community Partnerships for Cultural Participation project grants up to \$20,000 (matched 1:1), and Endowment Challenge grants of \$5,000 per year for three to five years (matched 2:1), to build an endowment at ETF. ETF also plans to promulgate the availability of technical assistance grants from the Tennessee Arts Commission. Grant applications are due in December 1998, and grants will be made in January 1999.

Project Implementation: ETF has successfully completed its project planning, public programming, partnership arrangements, and technical assistance benchmarks for the first, second, and third quarters of 1998. The “Project Launch” Conference held in May 1998 in Knoxville provided artists, community members, service providers, and patrons with networking opportunities. Over 200 individuals attended the conference. Forms to document technical assistance needs in the region have been developed, and the two regional coordinators will act as ETF’s primary technical assistance

providers. Finally, project and endowment challenge grant guidelines were developed and approved by the advisory board and have been disseminated to eligible applicants.

ADVISORY COMMITTEES

The Community Partnerships for Cultural Participation Initiative Advisory Board was formally established with broad regional representation from the arts and community-organizing sector throughout East Tennessee.

FUNDRAISING

ETF plans to raise \$250,000 through an Agency Endowment Challenge grant program. Another \$250,000 will be raised through the Foundation's James Agee Society and other fundraising efforts.

RESEARCH

ETF used consultants to do planning research (focus groups, interviews, surveys). Outreach, response, and reporting mechanisms have been established by ETF's regional coordinators.

**Greater Kansas City Community Foundation
“Community Arts Initiative”**

DEMOGRAPHICS

The Greater Kansas City Community Foundation serves the Kansas City metropolitan area, including the counties of Johnson and Wyandotte in Kansas, and Jackson, Clay, and Platte in Missouri. The total population for this 2,050-square-mile area in 1990 was 1,361,557. More than 94 percent of the population is urban and 83 percent is white, with 14 percent African American, 1 percent Asian, and 1.4 percent other races. Some 3 percent of all races are Hispanic. The median household income in 1989 was \$33,383 and the average household income was \$39,332.

The 90 nonprofit arts organizations in the Kansas City metropolitan area reported \$75.1 million in expenses in 1996.

PROGRAM

The Greater Kansas City Community Foundation (GKCCF) targets families and young people in the entire Kansas City metropolitan area, which has a population of 1.5 million and includes five “major” art institutions. The goals of the initiative are to increase performances, exhibitions, and art educational opportunities to the target audience, galvanize the arts and culture community, and provide technical assistance to artists and art organizations to help them develop new skills and capacity to create programs to actively build and engage young audiences.

The foundation’s goals are funding ongoing cultural activities in six neighborhoods; developing 300 neighborhood events; creating cultural activities in churches, libraries, and after-school and youth agencies; dispersing information about upcoming arts and cultural activities to their target audience; creating a corporate voucher system for admission to arts events; and developing a dedicated source of public funding for the arts. GKCCF is connecting these initiatives with existing arts initiatives in the metropolitan area, including promoting the creation of a Metropolitan Arts Council, and planning a celebration of Kansas City’s 150th anniversary, in an effort to increase arts and cultural awareness throughout the area in many ways. Technical assistance to artists and arts organizations includes creation of a team of local professionals to conduct workshops on grant writing and other issues, development of a resource database of artists and arts organizations, and guidance for project development.

GKCCF’s grantmaking program includes three categories to be distributed semiannually: (a) small, easy access “Jump Start” grants (up to \$3,000) for community-based organizations to sponsor artists; (b) planning and implementation “Creative Communities” grants for arts providers and

community organizations; and (c) planning and implementation “New Venture” grants for established arts institutions (\$600,000–\$650,000 per year).

Program Implementation: The first round of grants, in July 1998, gave \$287,000 to 19 organizations. The funded programs were quite diverse, indicating a commitment to many forms of art and participation. The largest grants went to traditional arts institutions, but the foundation is clearly reaching out to community-based organizations. The initiatives funded include:

- Creation of a Metropolitan Arts Council;
- Celebration of Kansas City’s 150th anniversary;
- Four grant-writing sessions, with over 325 organizations attending;
- An ongoing reciprocal exchange between the State Ballet of Missouri and Grupo Folklorica Mixteco;
- An outreach and education program to bring chamber music ensembles to 11 to 14 weekly onsite sessions via Friends of Chamber Music;
- Twelve free nontraditional concerts by the Kansas City Symphony Orchestra in community settings;
- Youth art programs in two urban neighborhoods;
- Six after-school art programs (an estimated 2,800 youth will participate); and
- Development of an on-line calendar and database operational in 1999.

ADVISORY COMMITTEES

The GKCCF board serves as the overall advisory committee. Two members have been designated to focus on the initiative and report back to the entire board with recommendations. Each of the programs funded by the initiative have advisory boards that include members with a wide range of backgrounds.

FUNDRAISING

The foundation’s stated goal is \$2.5 million over the course of the initiative. Although fundraising is in process, there is concern about the reaching the goal.

RESEARCH

GKCCF conducted a survey of 600 households in 1997, has held group discussions with communities, and collected data on current participation rates. In the next year, it plans to create a survey instrument to track and measure audience attendance and participation.

Humboldt Area Foundation

DEMOGRAPHICS

The Humboldt Area Foundation serves California's Humboldt County. The northern boundary of the county is about 40 miles directly south of the Oregon border. Humboldt County covers 3,573 square miles, with a population of 119,118. About 63 percent of the county is urban. In the 1990 Census, 91 percent of Humboldt County residents were white, 5.5 percent were American Indian, 2 percent were Asian, and just under 2 percent were African American or other races. In 1990, 4 percent of the population was Hispanic, but that figure is expected to be considerably larger in the 2000 Census. The 1989 median household income for Humboldt county was \$23,586, with an average household income of \$30,984.

The Hoopa Indian reservation is in Humboldt county, populated largely with members of the Hupa and Yurok tribes. Several other tribes are represented among the Indians of the county, with the largest percentage of Indians living in the population centers of Eureka and Arcata, not on the reservation.

The 13 nonprofit arts and culture organizations in Humboldt County reported just \$2.3 million in expenses in 1996. However, this does not include the largest presenter of art and culture in the county, CenterArts, because it is part of Humboldt State University, which does not classify itself as primarily an arts organization.

PROGRAM

The Humboldt Area Foundation (HAF) plans to increase cultural participation with a four-pronged strategy with four initiatives on at-risk youth, oral histories, an arts endowment, and new arts venues. Artist residencies, educational programs to engage at-risk youth, collaborations by video artists and young people to capture the oral history of community members, and celebration of the region's Native American and local arts tradition are part of the strategy. Part of the newly formed endowment of \$185,000 will be used for grants to artists, arts and culture organizations, and public endeavors using the arts. The first initiative will involve training 100 law enforcement, health, education and human services personnel and 35 artists to work together to offer arts-related programs to troubled youth. In the second initiative, 50 students will be trained in videography, and another 50 in taking oral history, as they work with elders to create "Living Biographies" as a preservation of local culture. The third initiative will train fundraising professionals in planned giving, and the fourth will help fund the renovation and creation of cultural venues in Humboldt County.

Project Implementation: HAF has staged a number of arts events that received media coverage and expanded opportunities for participation. In one such event, "Youth Arts Alive," 45 arts and

community organizations displayed information on their programs and activities in conjunction with a children's art show. A total of 639 children and adults attended, and a local television channel broadcast live from the event. A newsletter for parents was given to 100 schools and service providers for distribution. The oral histories project has been well received by the public. A questionnaire was sent to over 300 potential interviewees, and 60 interview subjects were selected in October. Fifteen videographer trainees have been recruited, and oral history workshops drew over 100 attendees.

The Grants to Artists Subcommittee, a subcommittee of the Cultural Coordinating Committee, is working on raising funds through planned giving. The subcommittee has developed a grants process and criteria for grants to artists and is moving to fund the first round of requests.

ADVISORY COMMITTEES

HAF held a series of discussions and planning sessions to develop ideas for the four initiatives. Public meetings were held in 10 communities to identify crime risk factors and to plan a program using the arts to reduce crime. The Cultural Coordinating Committee is an umbrella advisory committee for the entire initiative. Each smaller initiative also has a separate advisory committee of representatives of organizations participating in the initiative. The foundation is partnering with many different organizations to make these initiatives work, including the probation department, the public television station, and the Seventh Generation Fund.

FUNDRAISING

The Humboldt Area Foundation's goal is to raise \$1.4 million over four years. An endowment fund, the North Coast Cultural Trust, has been set up at the Humboldt Area Foundation. Local matches totaled \$838,635 by September 1998. When this is added to the LWRDF contribution of \$588,950, the trust is slightly above its fundraising target.

RESEARCH

HAF is working with Humboldt State University researchers to develop a system to track children's progress using data on juvenile crime and community risk factors.

Maine Community Foundation
“pARTners: The ART of Building Community”

DEMOGRAPHICS

The Maine Community Foundation serves the entire state, but is targeting for this initiative the cities of Portland and Waterville, as well as Hancock County. Portland is Maine’s largest city, with a 1990 Census population of 64,358, 97 percent of whom are white, with sizable Lebanese and Franco-American communities. In 1989, the median household income was \$26,576, with a mean of \$33,559. Waterville is an industrial town, with 17,096 residents, 98 percent of whom are white. The 1989 median household income in Waterville was \$22,617, with a mean of \$29,655. Hancock County is largely rural, with a tourism-based economy. About 80 percent of Hancock County’s 47,000 residents live in rural areas. Hancock County is 99 percent white.

In 1996, the nonprofit arts and culture organizations in Hancock, Cumberland, and Kennebec counties, Maine reported a total of \$16.5 million in expenses.

PROGRAM

The primary goal of the Maine Community Foundation (MCF) under its “pARTners: The ART of Building Community” initiative is the creation of community partnerships to expand and enhance community cultural participation in Maine. The strategy consists of three components: pilot programs in three target communities; raising \$575,000 in new endowment funds for the arts; and research on patterns of participation and community benefits associated with arts and culture.

Three communities were selected as “learning laboratories” for this initiative by a statewide advisory committee, to reflect the variety of communities in Maine, from rural to urban: Hancock County, Waterville, and Portland. Hancock County is rural and dependent on tourism. Waterville is a small college town that has a lively arts community. Portland is the largest city in Maine.

Local steering committees in each community are able to develop goals, conduct local assessments, and evaluate projects. MCF planned to provide three rounds of grants (\$35,000 in the first year, \$55,000 in the second year, and \$45,000 in the third) to each target area.

Project Implementation: MCF is working on developing relationships before beginning grantmaking. It has identified lead agencies in each target area and is building capacity and infrastructure. The MCF steering committee met twice in 1998 and agreed to establish an “Arts and Audience Building Fund,” which will be the focal point of endowment building efforts. Committees with 15 to 25 members have been established in all three target communities, and all have met at least four times. All three have developed goals, strategies, and outcomes specific to their communities.

In Portland, the lead agency is the Portland Arts and Cultural Alliance (PACA), which convenes a steering committee to design the project called the “Partners Project.” The target group of the Portland effort will be youths ages 10 to 14 years, and the goal is increasing after-school arts activities and linking youth support systems with cultural organizations, activities, and opportunities. PACA is considering several neighborhoods to investigate, and discussing “mapping” where children spend their days, to offer insights in program development. Programs, including tasks to track and evaluate them, are expected to begin January 1999.

The Waterville Arts and Culture Steering Committee is convened through the Kennebec Valley Council of Governments as its lead agency, and has developed a goal of improving baseline information about arts and cultural activities, as well as developing coordination and marketing of existing cultural activities to increase cultural participation. The committee supported the first Maine International Film Festival, held in July 1998, and also received a \$7,000 grant to conduct a cultural assessment. In the future, it plans to develop a community cultural calendar and conduct a marketing workshop for cultural organizations.

In Hancock County, the local steering committee is focusing on the needs of year-round residents. Their goals include engaging the target audience by focusing on traditional arts, developing cultural facilities that can support year-round use, increasing coordination within the local arts community, and developing long-term local funding sources to support cultural programs for year-round residents. The Hancock County Planning Commission (HCPC) was chosen to serve as the lead agency, and a core group of interested people and organizations was identified. Grants were awarded to four groups to prepare proposals for local projects. The committee organized a community-wide “open space” meeting to creatively discuss and draw out ideas about participation in arts and cultural activities. Plans to create a county cultural center and increase funding for artists’ residencies in school and community settings were also developed, with subcommittees assigned to pursue these efforts. In the next year, the local steering committee in Hancock County plans to develop a multi-year action plan, evaluate existing programs, promote a county cultural identity by creating an arts directory and calendar, and work with another major funder to support art/artists in education and address other infrastructure needs.

ADVISORY COMMITTEES

MCF has made system building a top priority, first working with a statewide advisory committee. The committee decided on the three target areas, identified the lead agencies, and provided leadership on selecting members of CPCPI local steering committee in each community. Each individual steering committee may interpret the goals of the initiative as befits its community.

FUNDRAISING

MCF plans to raise \$575,000 over two years, for the 1:1 match required for the LWRDF grant. The MCF steering committee established an “Arts and Audience Building Fund” for endowment building efforts. To date, matching funds have not been raised. Meetings with prospective donors will begin in fall 1998, with plans to reach the endowment goal by the end of 2000.

RESEARCH

The foundation has convened a research team of practitioners to develop information about patterns of cultural resources and participation in each community. It has surveyed cultural organizations, interviewed leaders, conducted telephone surveys of potential participants, and created “community profiles” for target areas. Research on cultural indicators has resulted in at least one new cultural indicator (“Total Expenditures for Arts and Cultural Organizations in Maine”—source: National Center for Charitable Statistics, located in the Urban Institute) included in “Measures of Growth,” a statewide indicators project and annual report. The research is also being used to support state and cultural agency efforts with a major legislative initiative for increased state funding for the arts.

Market research data will be available after a survey is conducted throughout the state. The statewide steering committee has submitted questions for inclusion in a survey of Maine citizens and businesses, to be conducted by the Maine Development Foundation. The questions are about participation in arts and cultural activities, barriers to participation, volunteerism in arts and cultural activities, and perceptions about quantity and quality of arts and cultural opportunities.

New Hampshire Charitable Foundation
“Art Builds Community!”

DEMOGRAPHICS

New Hampshire Charitable Foundation also serves its entire state. Target areas for the CPCP Initiative are the cities of Manchester, Portsmouth, and Newport. Manchester is New Hampshire’s largest city, with a 1990 population of just under 100,000, 97 percent of whom were white, with approximately 1 percent each of African American, Asian, and other races; 2 percent of the population was classified as Hispanic. The 1989 median household income in Manchester was \$31,911, with a mean of \$36,813. Portsmouth, a seaport town with an economy based on tourism, had 26,000 residents in 1990, 92 percent of whom were white, with 5 percent African American, 1.6 percent Asian, and 2.3 percent Hispanic. The median household income in Portsmouth was \$30,591 in 1989, with a mean of \$37,549. Portsmouth had a large Navy Yard until the early 1990s and is home to an active arts community. Newport, with 6,000 inhabitants, is a former mill town, whose largest employer now is a gun manufacturer. Newport is 97 percent white, with a small Asian population. The 1989 median household income in Newport was \$26,484, with a mean of \$28,658.

The 50 New Hampshire nonprofit organizations classified as arts and culture providers in Hillsborough, Rockingham, and Sullivan counties reported \$12.5 million in expenses in 1996.

PROGRAM

The New Hampshire Charitable Foundation plans to use grantmaking, technical assistance, and strategic partnerships to target neighborhood audiences and young people. The foundation’s goal is to build on partnerships with local neighborhood and civic organizations to expand arts exhibitions, performances, and community celebrations. National and regional technical assistance providers will help local organizations develop new skills in the areas of program development, community engagement, marketing and promotion. Each of three target sites, Newport, Portsmouth, and Manchester, is developing its own plan.

Steering committees will plan how to spend funds in each community, with grants awarded in the first two years of the initiative. A technical assistance symposium for grantees will be held in fall 1998. The budget allows \$5,000 per year for technical assistance consultants, and grantees will also offer technical assistance to each other.

Program Implementation: Two of the three New Hampshire sites are behind on program implementation. The Newport site has created a community mural (500 to 700 people participated in the mural’s unveiling), published a book of seniors’ life stories entitled *Self Portraits in Newport*, and completed a lighting project at the Opera House. It is currently in the midst of planning to open a

satellite site of the Howard Sargent Museum in Newport and to establish a permanent site for the machine tool exhibit as well. The foundation provided a platform to document and evaluate the ongoing work of the New England Artists' Trust Congress IV, as part of its community outreach.

In Portsmouth, the foundation created a community presence and laid a solid community foundation for the work that will be undertaken in the next several years. A Portsmouth Steering Committee made up of community representatives from business, education, city government, and arts and culture have participated in site visits to learn about "best practices." Nine community focus groups were held in March and April 1998, and meetings with 25 Portsmouth community organizations to introduce the foundation's approach to community building through arts and culture are planned.

In the next year, the Portsmouth site will focus on grantmaking. The subcommittee of the Portsmouth Steering Committee is creating grant guidelines and a workshop for potential grantees will be held in December 1998. Final applications will be due in January, with awards announced in March 1999.

The Manchester site has developed a diverse steering committee and a communication list of over 500 local organizations. Manchester also held a grantwriting workshop in conjunction with the request for grant applications, which was recently released.

ADVISORY COMMITTEES

Each of the three sites has formed a steering committee of members of the community.

FUNDRAISING

All funds raised toward the \$800,000 goal for the endowment will be pooled and redistributed proportionally to each site. In Portsmouth, \$160,000 has been pledged to date, and the endowment campaign is expected to be completed by fall 1999.

RESEARCH

As a part of the planning process, the foundation held a series of community meetings and focus groups. Semiannual community meetings will be held at each site throughout the duration of the initiative.

**EVALUATION OF COMMUNITY PARTNERSHIPS FOR
CULTURAL PARTICIPATION INITIATIVE**

APPENDIX 2: EVALUATION PLAN

EVALUATION PLAN SUMMARY

Evaluation Goals and Methods

The Urban Institute is conducting an evaluation to find out how, and to what extent, the Community Partnerships for Cultural Participation (CPCP) Initiative broadens, deepens, and diversifies cultural participation within a community.

The CPCP Initiative allows grantees broad latitude to design and implement strategies to meet locally defined cultural participation goals. Although this has allowed a variety of goals, strategies, and relationships to emerge, with each requiring research on its own terms, there is need for a common conceptual approach to learn useful lessons for the field. Several conceptual themes are important:

- *Cultural Understandings.* Each community has very different “understandings” of arts and culture and their importance in everyday life. These differences, and their implications for program strategies, must be explored.
- *Participation.* People can participate in many ways—as audience members, performers, donors, volunteers, students, etc. Participation must be examined in different cultural contexts, to assess how various forms of participation relate to one another, and to examine how cultural participation can contribute to broader community change efforts.
- *Cooperation and Partnerships.* Partnership is at the core of the initiative, so the risks and rewards of collaboration must be examined, to show how views may be different for different partners, and to highlight opportunities for successful partnerships.

The Evaluation Process

The evaluation has two phases over the entire five years of the initiative. Phase I focuses on each community’s goals, strategies, challenges, and accomplishments. Activities are outlined on exhibit A-2.1 and summarized below:

- Interview staff of community foundations, other major funders of arts and culture, participating arts and cultural institutions and community groups, and selected board members to learn about implementation strategies, challenges, and accomplishments;

- Document planned changes in approach and definitions of cultural participation being adopted by the nine community foundations;
- Assist with the community foundations' data-gathering efforts; and
- Collect information to help assess changes in funding levels for arts and culture, changes in program priorities and descriptions, and new sources of funds raised by the participating community foundations.

Phase II will measure the change in arts and culture participation in five of the nine CPCP grantee sites. The Urban Institute team, along with its subcontractor, ICR, Inc., will:

- Conduct household surveys of participation in, and attitudes about, arts and culture in Humboldt County, Silicon Valley, and Greater Kansas City, and draw on information from grantee tracking efforts. Six-hundred interviews will be completed in Humboldt and Greater Kansas City; 1,200 will be completed in Silicon Valley (400 per target area); and
- Conduct in-depth interviews of a broader range of organization staff, to examine the effects of CPCP participation on the organizations involved, including sustained changes in organizational missions, funding levels, local partners, and others.

To assess the impact of system-building, we will study the partnerships formed to implement the CPCP Initiative in southeastern Michigan and Boston, through surveys and interviews.

Schedule

Exhibit A-2.1 summarizes the overall evaluation schedule. Exhibit A-2.2 shows the schedule for 1998, the initial year of the project.

Project Reports

Reports prepared for this project are designed to be useful to the staff and board of the Fund, the community foundations, and the field at large. The three formal reports, described below, will be supplemented by policy working papers.

- An **Early Findings Paper** (due November 1998) presents grantee plans and implementation strategies, use of information, fundraising efforts, organizational changes, and changes in

relationships with other organizations. One purpose is to discuss issues that will be useful as foundation staff implement their plans.

- The **Interim Report** (due June 2000) will contain a more fine-grained review of successes and challenges, and include a careful analysis of cross-site findings of interest to researchers and practitioners in the field. Program impacts might not be evident, but changing perceptions, new outreach efforts, and enhanced collaboration of the community foundation with community-based arts and culture organizations will be documented.
- The **Final Report** (due December 2002) will assess the outcomes of the initiative and the breadth of the changes in arts and culture participation observed over the five years. It will further explore the implications of successes and challenges for the field as a whole. The report also will present findings from survey research and other activities linked to Phase II data collection.

Short Practical Papers

The findings of this project will be distilled into several short practical papers for the field, on topics such as:

- *Using Nontraditional Arts and Culture Indicators to Understand Diverse Audiences.* This would present learnings gleaned from analyses of audience diversification strategies in low-income ethnic communities.
- *Strategies for Broadening Community Access to Arts and Culture.* This would summarize the most effective strategies for expanding participation in arts and cultural activities.
- *Models of Effective Collaboration for Community-Based Initiatives.* This would document the process of building successful collaborations among foundations, community-based arts organizations, and others.
- *Strategies for Expanding Arts and Culture Participation in Rural Communities.* This would focus on models that work in rural communities, an important constituency for many smaller community foundations.

The Urban Institute will disseminate these policy reports and public versions of the formal reports to ensure broad exposure within the community foundation field and the broader arts and culture community. We expect to do a variety of oral presentations and short pieces in vehicles such

as *Foundation News*, as well as scholarly presentations at the Association for Research on Nonprofit Organizations and Voluntary Action conference and in its journal, *Nonprofit and Voluntary Sector Quarterly*.

Exhibit A-2.1: Data Collection Methods, Description, and Timing by Evaluation Phase						
		Timing				
Collection Method	Description	Year 1 1998	Year 2 1999	Year 3 2000	Year 4 2001	Year 5 2002
Phase I	Interviews with community foundation staff and boards, staff of other major foundation funders for arts/culture, staff of arts and cultural institutions (participants), staff of community groups (participants)	X		X		X
Report-Year Field Interviews						
Interim-Year Field Interviews	Interviews with community foundation staff, staff of arts and culture institutions, selected community groups (participants)		X		X	
Telephone Survey of Nonparticipants	Semistructured survey of staff of arts and cultural institutions (nonparticipants)	X		X		X
Archival Data Collection	Review of mission statements, brochures, budgets and financial statements, press releases and clippings, etc.	X	X	X	X	X
Phase II Additional Tasks	Interviews with community foundation staff and boards, staff of other major foundation funders for arts/culture, staff of arts and cultural institutions (participants), staff of community groups (participants)	X	X	X	X	X
Field Interviews						
Supplemental Field Interviews	Interviews with staff of community groups (participants and nonparticipants)	X	X	X	X	X
Tax Data Analysis	Analysis of IRS Form 990 Data from the UI National Center for Charitable Statistics for community foundation area and control areas	X		X		X
Supplemental Archival Data Collection	Review of mission statements, brochures, budgets and financial statements, press releases and clippings, etc.	X	X	X	X	X
Community Participation Surveys	Telephone surveys of target populations	X		X		X
Audience "Surveys"	Event surveys using in-person interviews, audience counts, ticket sales, and others. Conducted by grantees.		X	X	X	X
Community Focus Groups	Focus groups with event participants, arts and cultural agency volunteers and staff, "resident" artists and other participants and non-participants	X		X		X
Survey of Arts and Culture Organizations	Mailed survey of arts and culture providers in Phase II sites. Conducted by UI.		X			X
Survey of Artists	Mailed survey of artists in Phase II sites. Conducted by UI.		X			X

Exhibit A-2.2

URBAN INSTITUTE SCHEDULE FOR EVALUATION—1998

March 1998:

- Complete initial calls to all grantee sites; and
- Mail detailed information on site visits to community foundations.

April, May, June, July 1998:

- Conduct all initial site visits; and
- Prepare initial reports on site visits.

August, September, October 1998:

- Complete site selection for Phase II sites;
- Design survey instrument for Phase II survey sites;
- Finalize baseline site reports on each community foundation; and
- Complete evaluation design and early findings report for LWRDF.

November, December 1998:

- Conduct baseline surveys in Phase II sites.

**EVALUATION OF COMMUNITY PARTNERSHIPS FOR
CULTURAL PARTICIPATION INITIATIVE**

APPENDIX 3: METHODOLOGY

EVALUATION METHODOLOGY

This report is the product of the Urban Institute’s first round of field research to evaluate the Lila Wallace–Reader’s Digest Fund’s Community Partnerships for Cultural Participation Initiative. This section details methodology for our research design, data collection, and analysis.

Research Design

An evaluation team (five senior researchers, a project coordinator, and four other staff) was assembled that blends the strengths of several program areas within the Urban Institute. Team members have expertise in nonprofits and philanthropy, collaborations and partnerships, community participation, and arts and culture in low-income communities. Team members are Elizabeth Boris, Project Director; Chris Walker, Principal Investigator; Maria-Rosario Jackson, Research Associate; Stephanie Scott-Melnyk, Research Associate; and Harry Hatry, Evaluation Specialist. The other staff who contributed to the research are Daryl Dyer, Marie Gantz, Robin Redford, and David Stevenson.

To provide guidance for this project, we established a ten-member Advisory Committee of nationally recognized researchers, policy makers, and administrators. The Advisory Committee reviewed our evaluation plans, protocols and reports, as well as advising the overall research design. Advisory Committee members are:

- Prudence Brown, Associate Director of the Chapin Hall Center for Children, University of Chicago
- Paul DiMaggio, Professor of Sociology, Princeton University
- Lee Friedman, Goldman School of Public Policy, University of California at Berkeley
- James Gibson, D.C. Agenda Project
- Nicolás Kanellos, Director, Arte Público Press, Houston
- Steven Lavine, President, California Institute of the Arts
- Mary Regan, Executive Director, North Carolina Arts Council
- John Robinson, Professor of Sociology, University of Maryland
- Jocelyn Russell, Marketing Director, Freedom Theatre, Philadelphia
- Margaret Wyszomirski, Graduate Program in Arts Policy and Administration, Ohio State University

The evaluation team developed the research design and materials with the guidance of the Advisory Committee. An Interview Protocol and the Community Group Discussion Guide were produced for the field research.

As described in the body of the report, ten communities were chosen by the Lila Wallace–Reader’s Digest Fund for inclusion in the first phase of the initiative. We visited each of the sites once during this phase of our work. A team of two or three researchers (at least one senior and one mid-level) visited each site for three days.⁶⁰ During each site visit, researchers interviewed key informants, collected relevant archival materials and reports, and conducted community discussion meetings.

The field research and other data collection for this report took place over a six-month period, from May through October (the evaluation began in January 1998). Design for other phases of the evaluation have been ongoing and continue as we compile this report.

Data Collection

In addition to key informant interviews, archival materials and reports, and community discussion meetings, we analyzed databases for this report.

Key Informant Interviews

Interviews with key informants in each locale were conducted to gather information on the arts and cultural environment of each community. Areas of investigation included community foundation policies and programs, programs and activities of other funders in the area, activities of “major” arts institutions and links between them, and activities of community arts and cultural organizations, non-arts organizations using arts in their programming, area artists, and other community leaders involved in the arts and cultural aspects of the community.

In each of the nine sites, we interviewed staff of the local community foundation and held approximately 20 to 40 personal interviews with other key informants. In addition to the community foundation staff and board members interviewed in each location, researchers interviewed key staff and/or board members of major funders of arts and culture, “mainstream” arts organizations, “alternative” arts organizations, and non-arts organizations that use arts in their programming; local artists, other leaders of the arts and cultural community, other community groups, civic leaders, and business leaders were interviewed as well. Exhibit A-3.1 below shows the types and number of groups represented by the interviewees in each site. A complete list of the organizations represented by key informants interviewed in each site appears in appendix 4.

⁶⁰ Two senior members of the evaluation team visited the Cleveland Foundation for two days in August to discuss the foundation’s April decision to withdraw from the initiative.

Interviews were arranged by community foundation staff. Each interview was conducted with the interview protocol developed by the research team; however, threads of conversation were followed through as they developed outside the protocol.

Exhibit A-3.1: Interviews with Local Organizations by Site

Site	Sub-site	“Major” Arts Institutions	Community-Based Arts Organizations and Artists	Community-Based Non-Arts Organizations	Funders	Civic Leaders and Municipal Cultural Agencies	Businesses	Other*
Boston	-	4	6	8	3	3	0	1
Silicon Valley	Gilroy	0	4	0	1	3	0	0
	Milpitas	0	2	1	0	2	0	0
	San Jose	1	5	0	1	3	0	0
SE Michigan	-	2	6	1	2	0	0	3
Dade	-	2	15	3	1	4	1	3
E. Tennessee	-	3	13	9	3	1	0	1
Kansas City	-	6	5	5	7	3	0	5
Humboldt	-	0	17	9	1	9	0	7
Maine	Hancock County	0	4	0	0	1	0	0
	Portland	2	4	2	3	3	0	0
	Waterville	0	5	1	0	1	0	2
New Hampshire	Manchester	1	4	1	0	3	0	2
	Newport	0	5	4	0	8	11	1
	Portsmouth	1	8	0	0	2	1	1
TOTALS		22	103	44	21	46	13	26
* The category “Other” organizations includes newspapers and media, universities and colleges, churches and temples.								

Archival Material and Reports

To obtain a more complete picture of the arts and cultural context in each city, we gathered information on community foundations’ planning processes, documents about foundation spending, local cultural policy issues, and area media coverage of art and culture programs and policies. For information about the history and purpose of the initiative we gathered internal Lila Wallace–Reader’s Digest Fund evaluations, grant reports, funding information, historical materials, and annual reports.

From the community foundations (and other interviewees where relevant), we acquired financial statements, budgets, program information, clippings, and other background documents. We reviewed previous CPCP program reports from community foundation staff. We also collected and reviewed information about other projects related to arts and cultural participation in each community—such as community surveys, local government planning documents, and reports written by other consultants and evaluators.

Community Discussion Meetings

We held exploratory community discussion meetings in each site to get a general understanding of how typical residents perceive the arts and cultural environment in their communities. The discussions were designed to help the research team (a) clarify and develop definitions of key variables and concepts, including terms such as “art,” “culture,” and “participation,” (b) identify appropriate language for crafting of household survey questions (to be administered at a later time), and (c) understand the local context in which the CPCP Initiative operates.

Groups included “representative” residents of CPCP target areas, and members of any special populations targeted by the grantee, for example, at-risk youth. Each discussion involved 6 to 15 participants, and lasted about one hour and a half. Participants were recruited by community foundation staff or a volunteer from a community group working with the community foundation. Participants were compensated \$25 for their time. Urban Institute evaluation staff conducted the community discussions, with one researcher acting as facilitator and the other as recorder. Each session was tape recorded with the knowledge and the permission of the participants.

The researchers used a discussion guide that focused on the following themes:

- Expanding Definitions of “Art” and “Culture”
- Expanding Definitions of Art/Cultural “Participation” and Identifying Current Practices
- Existing Venues for Arts/Culture Related Activities
- Motives for and Barriers to Participation

At the end of the discussion, each respondent was asked to fill out a brief questionnaire, with questions about the respondent’s age, race/ethnicity, education, occupation, neighborhood residency, length of residence in the neighborhood, and types of cultural activities participated in. All information and comments from focus group participants are confidential.

Nineteen community discussion meetings were held in nine states:

1998 Community Discussion Meetings for CPCP Evaluation		
5/7/98	Portsmouth, NH	11 participants
5/14/98	Boston, MA	12 participants
5/19/98	Kansas City, MO	12 participants
5/20/98	Kansas City, KS	6 participants
6/2/98	Waterville, ME	8 participants
6/3/98	Portland, ME	10 participants
6/17/98	Eureka, CA	10 participants
6/17/98	San Jose, CA	12 participants
6/18/98	Milpitas, CA	9 participants
6/19/98	Redway, CA	(two meetings) 22
6/19/98	Hoopa, CA	(two meetings) 34
6/25/98	Detroit, MI	12 participants
6/26/98	Mt. Clemens, MI	7 participants
6/29/98	Miami-Dade, FL	9 participants
6/30/98	Homestead, FL	7 participants
7/29/98	Etowah, TN	9 participants
7/30/98	Knoxville, TN	7 participants

Statistical Information

The sources of statistical data for this report are the National Center for Charitable Statistics' IRS Form 990 Database located at the Urban Institute, community foundation annual reports, and the 1990 U.S. Census.

Analysis

This report is based on analysis and compilation of field reports, quantitative, and qualitative data from the sources described above.

Field Reports

Upon return from the site visits, researchers compiled their observations into written reports (“field reports”). These reports were standardized using the interview protocol. From the visits to each site, researchers condensed responses from all interviewees into one report using interview notes, recollections, and notes taken during community discussion meetings.

Data Analysis

In the first stages of analyzing qualitative data collected in the field, the evaluation team held several debriefing sessions in which each site visit was reviewed, using field reports and verbal reports from researchers who visited each site. During these exchanges, researchers identified main themes, made cross-site comparisons, discussed similarities and differences and identified other points of interest for the evaluation. Issues needing further data collection or analysis were pursued where necessary. Field reports were used during the debriefing sessions to provide factual evidence for synopses and emerging trends.

For the findings contained herein, qualitative information provided by the field reports was augmented with statistical information and other data from each community. Census and IRS data were analyzed to produce information on nonprofit expenditures for the nine sites, for other control sites, and for national averages. Statistical analyses and data from community foundation materials were compared to the information collected in our field reports. When necessary, we had follow-up conversations with community foundation staff to verify data.

For the tables found in this report and other quantitative analyses presented, we compiled the information from all data at hand: field reports, statistical data, community foundation grant information, community foundation reports to the Fund and annual reports, and other archival material.

Throughout our analysis work, we consulted with the Fund in order to ground our understanding of community foundation activity in the historical context of the development of the CPCP Initiative.

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APPENDIX 4: KEY INFORMANTS

Key Informants

Each site visit began with a series of meetings at the community foundation's offices. The evaluation team members interviewed the directors of the community foundation, program officers, foundation board members, and other staff as appropriate, including communications, development, and publication specialists.

In addition to the staff and board members of the community foundation, evaluation team members interviewed or had group discussions with many other key informants in each site. Below are listed the organizations represented by key informants in each site. Organizations are listed in alphabetical order within each site.

It is important to note that several informants in each site represented more than one organization or group. For example, many community foundation board members are also directors of large arts institutions. Similarly, many community-based arts organizations are run by artists. A number of informants in each site were also members of advisory committees for the CPCP Initiative, in addition to and because of their duties as board members, civic and business leaders, and arts leaders. The list below is intended to convey the range of organizations that participated in evaluation site visits, but does not begin to cover the range of people with whom we met.

The site visits did not only include interviews and community discussion meetings. In some cases the evaluation team was able to personally observe events relating to the initiative. For example, in Boston one team member attended a prescheduled meeting of community residents working on a neighborhood arts indicators project, and two team members saw a preliminary screening of the promotional video. In southeastern Michigan, the evaluation team attended an advisory committee meeting and a Partners Committee meeting with Bruce Coppock and Walter Dallas as guest speakers at both. In Humboldt County, a community meeting on an Indian reservation became an opportunity for residents to ask the community foundation president about the initiative, and evaluation team members were treated to a feast of salmon cooked in a traditional manner. Thus, team members were able to engage with the initiatives at a different level than possible with one-on-one interviews alone.

Boston

Arts Media

Boston Council for Arts and Humanities
Boston Freedom Summer
Boston Symphony Orchestra
Civic Health Institute
Codman Square Health Center
Community Glue, Inc.
Dance Umbrella
Dorchester Center for Adult Education
Ella J. Baker House
Four Corners Action Coalition
Huntington Theatre Company
Hyams Foundation
Institution on Arts and Civic Dialogue
Isabella Stewart Gardner Museum
Massachusetts Cultural Council
Mayor's Office of Cultural Affairs
Museum of the National Center of Afro-American Studies
New England Foundation for the Arts
Ratchesky Foundation
Revolving Museum
United South End Settlements
The Wang Center for the Performing Arts

Silicon Valley

San Jose:

Arts Council of Santa Clara County
Calaveras Repertory Theater
City of San Jose
Hewlett Foundation
Mexican Heritage Corporation of San Jose
Villa Montalvo
Office of Cultural Affairs, San Jose
Teatro Vision

Milpitas:

City of Milpitas
City of Milpitas Recreation Services
Milpitas Alliance for the Arts

Gilroy:

Arts and Culture Committee
Community Services Department, City of Gilroy
Gilroy Foundation
Gilroy Parks and Recreation Department
New Renaissance Centre

Southeastern Michigan

ACCESS

Arts League of Michigan

Casa de Unidad

Detroit Historical Museum

Detroit Symphony Orchestra

Kresge Foundation

McGregor Fund

Observer and Eccentric Newspapers

Plowshares Theatre

The Arts Center

University Musical Society, University of Michigan

Wayne State University

In addition to personal interviews with representatives of the above organizations, evaluation team members spent one day attending sessions that involved the Partners Committee and the Advisory Committee. These were the first meetings of both entire committees. Thus, the evaluation team was able to observe important strides in the development of this initiative.

Miami-Dade County

African Heritage Cultural Arts Center
Alper Jewish Community Center
Arts and Business Council
Artz-N-The Hood, Inc.
Bakehouse Arts Complex
The Black Archives
Centro Campesino
Charles Drew Middle School
Cutler Ridge Mall
East Little Havana CDC
Emerging Caribbean Artists
Florida Museum of Hispanic and Latin American Art
Florida Grand Opera
Greater Miami Host Committee
Haitian Artists Alliance
Hispanic-American Lyric Theatre
Homestead Arts Center
John S. and James L. Knight Foundation
M Ensemble Theatre
Miami Art Museum
Miami Herald
Miami Light Project
Miami-Dade Cultural Affairs Council
Miami-Dade Parks and Recreation
Seminole Theatre Group
Teatro Avante

East Tennessee

A-1/Lab Art Space
African American Appalachian Arts
Barstow and Associates
Campbell County's Alliance for Youth
Circle Modern Dance
The City Ballet
Cocke County Violence Prevention Task Force
Community House Cooperative
Community Action Group of Englewood
Cornerstone Foundation of Knoxville
Dead Pigeon River Council
Del Rio Historic Preservation Society
Deva and Associates
Englewood Textile Museum
Historic Rugby, Inc.
Jubilee Community Arts
Knoxville Museum of Art
Knoxville Opera
Knoxville Symphony Society
Montgomery Village Ministries
Newport Theatre Guild
Rose Center and Council for the Arts
Rural Resources
Sexual Assault Crisis Center
Tennessee Arts Commission

Kansas City

Arts and Humanities Association of Johnson County

Azteca of Greater Kansas City

Chameleon Theatre

Congregational Partners

Dos Mundos

Fleishman-Hillard, Inc.

Friends of Chamber Music

Guadalupe Center, Inc.

H & R Block Foundation

Hall Family Foundation

Hallmark Cards, Inc.

Kansas Arts Commission

Kansas City Call

Kansas City Power and Light Co.

Kansas City Star

Kansas City Symphony

Kaw Valley Arts and Humanities, Inc.

Local Initiatives Support Corporation

Lyric Opera of Kansas City

Metropolitan Missionary Baptist Church

Midwest Research Institute

Missouri Repertory Theatre

Muriel McBrien Kauffman Foundation

Nations Bank

Nelson-Atkins Museum of Art

Project Neighborhood

State Ballet of Missouri

Storytellers, Inc.

Temple B'nai Jehudah

YouthFriends

Humboldt (group meetings)

Big Brothers / Big Sisters
Boys and Girls Club
Elders of the Hoopa and Yurok Tribes
Eureka Arts Commission
Eureka Times-Standard
Feet First Dancers
Former Mayor of Arcata, CA
Fortuna High School
Health Dye*Namics
Healthy Start
Humboldt State University Library
Humboldt Community Network
Humboldt County Schools
Humboldt County Probation Department
Humboldt Historical Society
Humboldt Arts Council
Humboldt Beacon
Humboldt County Board of Supervisors
Ink People
KEET-TV
Manila Community Services District
Mateel Community Center
Mateel Arts Co-op
Mayor of Eureka, CA
Minor's Voice Theater
North Coast Clinic Network
Northcoast Journal
Orick Healthy Start Collaborative
Planned Parenthood Teen Theatre
Pure Schmint Players
Redwood Art Association
Seventh Generation Fund
Yurok Tribe

Maine

Portland:

Center for Maine History
East End Children's Workshop
Maine Arts Commission
Maine Historical Society
Maine Humanities Council
Planning and Urban Development
Portland Arts and Cultural Alliance
Portland Museum of Art
Portland Performing Arts
UNUM Foundation

Waterville:

Colby College
Kennebec Valley Council of Governments
Maine International Film Festival
Railroad Square Cinema
REM
Thomas College
Waterville Opera House

Hancock County:

The Grand Auditorium
Theater Arts Works/TDC
Hancock County Planning Commission

New Hampshire

Portsmouth:

Ballet Theatre Company
Children's Museum of Portsmouth
Greenpages (Kittery, ME / Portsmouth, NH)
Local Neighborhood Associations
Pontine Movement Theater
Portsmouth City Council
Portsmouth City Hall
Strawbery Banke Museum
Wentworth-Coolidge Mansion

Manchester:

Currier Gallery of Art
International Institute of NH
Manchester City Hall
Manchester Chamber of Commerce
Methodist Church
Manchester Police Department
Temple Adath Yeshurun

Newport: (group meetings)

Doo Dah Designs
Dorr Woolen Mill
Economic Corporation of Newport
Gloenco-Newport
Lake Sunapee Bank
Latva Machine
LaValley Building Supply
Library Arts Center
M.J. Harrington's
Newport Board of Selectmen
Newport Chamber of Commerce
Newport Historical Society
Newport Middle High School
Newport Opera House
Newport Recreation Department
Newport Senior Center
Newport Town Planner
RDS Machine
Richards Free Library
Soonipi Lodge
South Congregational Church
Sugar River Savings Bank
Towle School
Town of Newport
Wicked Goods Calendar
Women's Supportive Services

