

TECHNICAL  
ASSISTANCE  
RESOURCE  
DIRECTORY

**ADVANCEMENT '90**

A PROGRAM OF  
THE NATIONAL ENDOWMENT FOR THE ARTS

© M. Melanie Beene, 1990.

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Melanie Beene

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## TECHNICAL ASSISTANCE RESOURCE DIRECTORY

### INTRODUCTION

What follows is a reference book for organizations participating in the NEA Advancement Program that provides:

Section One - A listing of consultants.

Section Two - An annotated bibliography of arts management publications.

Section Three - A listing of other resources that includes regional and national service organizations and other technical assistance providers.

The aim of this directory was to be straightforward, helpful and available as soon as possible for use by the participants. Given these criteria, it was not envisioned to be scholarly or complete. The entries have been provided by the current year's Advancement consultants or collected from information that the Advancement Office has compiled over the years.

It is our hope that this directory will save you and your organization time in selecting possible specialist consultants that you want to engage with your Special Needs Allowance; in obtaining background information on specific needs your organization may be facing; and in identifying other available resources.

We would be interested in whether this or other directories are of use to Advancement Participants and would appreciate it if you could fill out and return the Technical Assistance Resource Directory evaluation form that follows this directory. If you have entries to add to the directory -- consultants, publications, or other resources that have been helpful to your organization -- please send them along so that they can be included for next year's participants.

# CONSULTANTS



# TECHNICAL ASSISTANCE RESOURCE DIRECTORY

## CONSULTANTS

ALEXANDER, ROBERT  
505 E. Huron St., #301, Ann Arbor, MI 48104  
313-769-7300

Specialization: Development

ANDREW, JANE  
807 NW 56th Street, Seattle, WA 98107  
206-789-4295

Specialization: Dance

ARTS DEVELOPMENT ASSOCIATES  
2510A Lyndale Ave., South Minneapolis, MN 55405  
612-872-6600

Specialization: Marketing, Organizational Development

ARTS DEVELOPMENT ASSOCIATES/BRADLEY MORISON  
2510-A Lyndale Avenue South, Minneapolis MN 55405  
612-872-6600

Specialization: Long-range Planning, Audience Development

ARTS MARKET CONSULTING/LOUISE STEVENS  
670 Front Street, Marion, MA 02738  
617-748-1578

Specialization: Marketing, Planning

ARTS, INC./MARK ANDERSON, CATHERINE RUDINSKY, DAVID PLETTNER  
315 West Ninth Street, Suite 201, Los Angeles, CA 90015  
213-627-9276

Specialization: Non-profit management and planning

BECKER, ALAN  
399 Grove Street, San Francisco, CA 94102  
415-553-8063

Specialization: Board Development

BENDER, MATTHEW  
111 Washington Avenue, Room 204, Albany, NY 12210  
518-434-4996

Specialization: Publishing

BOOTH, LISA  
276 Riverside Drive, New York, NY 10025  
212-662-7256

Specialization: Dance Company Management

BRANNIGAN-LORELLIA ASSOCIATES  
62 Cooper Square, New York, NY 10003  
212-420-8787

Specialization: Facilities Planning

BRECHER & ASSOCIATES  
25 W. 43rd Street, New York, NY 10036  
212-869-4646

Specialization: Development

BRUCE, CHRISTINA  
2451 Brickell Avenue, #9-M, Miami, FL 33129  
305-895-7573

Specialization: Marketing

BUKI, LINDA CONSTANT  
40 5th Street, Frenchtown, NJ 08825  
201-996-6895

Specialization: Folk Arts, Education, Museums

C. WILLIAM WEBB & ASSOCIATES  
2433 Beretania Circle, Charlotte, NC, 28211  
704-366-4476

Specialization: Management Effectiveness

CENTER FOR NON-PROFIT RESOURCES/ROGER HARDY  
1713 Geary Road, Walnut Creek, CA 94596  
415-256-1347

Specialization: Finance, Fundraising, Computer Software and Systems, Personnel Administration,  
Non-profit legal affairs



CHOUINARD, CLAUDIA  
172 W. 79th St., #16A, New York, NY 10024  
212-799-7944

Specialization: Marketing

CLINES, SUSAN  
1560 Broadway, Suite 600, New York, NY 10036  
212-840-8400

Specialization: Board Development, Developing Budgets

COCKE, DUDLEY  
Roadside Theatre, P.O. Box 743, Whitesburgh, KY 41858

Specialization: Touring, rural arts programming, cultural policy development/issues

COE, LINDA  
10 Avon Street, #3, Cambridge, MA 02138  
617-354-3118

Specialization: Fundraising

COMMUNICATIONS FOR THE ARTS  
32 Gansevoort Street, New York, NY 10014  
212-255-2031

Specialization: Design, Brochures

COSLER, CHARLES  
240 W. 98th Street #2F, New York, NY 10025  
212-316-5031

Specialization: Theater Building, Space Design

CRAWFORD, BOB  
P.O. Box 252, Dorset, VT 05251  
802-867-4465/805-683-3251

Specialization: Board Development, Long Range Planning, Retreats

DAVIS, JOHN  
Majestic Theater, 1925 Elm Street, Dallas, TX 75201  
214-670-3777

Specialization: Development, Strategic Planning, Board Development

DAWSON, WILLIAM  
1209 Minton Road, Madison, WI 53711  
608-271-0345

Specialization: Audience Development, Audience Surveys, Marketing

DELGADO, JANE  
140-24 Darrow Place, Bronx, NY 10475  
212-671-0191

Specialization: Advancement Consultant

DUNN & ASSOCIATES/STEPHEN DUNN  
1422 Washington Blvd, Venice, CA 90291  
213-392-8591

Specialization: Marketing

EATON, JOHN  
100 Peachtree Street, Suite 2500, Atlanta, GA 30303

Specialization: Organizational Development, Legal

ENRIQUE, VERONICA  
Centro Cultural de la Raza, P.O. Box 8251, San Diego, CA 92102

Specialization: Volunteer Development, Program Development

FINNEGAN, D.B.  
P.o. Box 634, Topanga, Ca 90290  
213-455-1692

Specialization: Marketing; Fundraising; Planning; Artist Run Organizations

FOCKE, ANNE  
911 Western Avenue, #307, Seattle, WA 98104  
206-343-0769

Specialization: Project Coordination, Planning, Organizational Development

FREUND, GEORGE  
345 East 80th St. , New York, NY  
212-517-5096

Specialization: Development



GARCIA, ED  
20 Madison Drive, Plainsboro, NJ 08536  
609-799-5433

Specialization: Program Planning, Human Resource Development

GONG, STEPHEN  
5707 Oakgrove Avenue, Oakland, CA 94618  
415-654-4877

Specialization: Media Arts

GRAHAM, JOHN  
Southern Methodist University, Center For Arts Administration, Dallas, TX 95275  
214-692-3425

Specialization: Non-profit Management

GREEN, LAURA  
437 Bergen Street, Brooklyn, NY 11217  
718-638-3218

Specialization: Long-range Planning

GUTHRIE, BOB  
6002E Curtier Drive, Alexandria, VA 22310  
703-971-3786

Specialization: Non-profit Management

HARDER & KIBBE/BARBARA KIBBE  
330 Townsend, San Francisco, CA 94107  
415-243-9940

Specialization: Long-range Planning

HARDY, CYNTHIA  
1790 Watertower Drive, Columbus, OH 43235  
614-761-8141

Specialization: Organizational Development, Board Development, Long-range Planning, Program Evaluation

HART, E. RICHARD  
P.O. Box 1224, Hailey, ID 83333

Specialization: Folk Arts

HATCHER, TOM  
5200 W. 73rd Street, Minneapolis, MN 55435  
612-835-7729

Specialization: Long-range Planning, Fundraising, Marketing

HAWORTH, JOHN  
Department Of Cultural Affairs, 2 Columbus Circle, New York, NY 10023  
212-686-5693

Specialization: Board Retreats

HOBSON, MICKI  
1600 Hollindale Drive, Alexandria, VA 22306  
703-765-1459

Specialization: Marketing, Public Relations, Image Definition, Positioning

HORTON, JERRY  
175 Dearing Street, Athens, GA 30605  
404-548-0642

Specialization: Marketing

INSTITUTE FOR NON-PROFIT MANAGEMENT/CALVIN MCCANTS  
2025 I St., NW, Ste. 1111, Washington, DC 20006  
202-785-6662

Specialization: Computer Systems, Fiscal Management, Strategic Planning, Leadership Development

JOHN BOSS & ASSOCIATES  
1686 Oak Street, NW, Washington, DC 20010  
202-232-6674

Specialization: Planning

JONES, LAUREL  
1337 Third Avenue, San Francisco, CA 94122  
415-681-7369

Specialization: Advancement Consultant

JOSEPHSON, LARRY  
1 West 89th Street, Apt. 5E, New York, NY 10024  
212-595-1837

Specialization: Radio Production



KEENS COMPANY/BILL KEENS  
2211 N. Quantico St., Arlington, VA 22205  
703-237-2900

Specialization: Writing, Meeting Documentation

KEMP, BARBARA  
1277 Lombard St., San Francisco, CA 94109  
415-776-4214

Specialization: Finance, Planning

KLUGER, RONA B.  
100 Beekman Street, New York, NY 10038  
212-608-2705

Specialization: Organizational Development, Fundraising

LASKO, SUZANNE  
1305 West Magnolia Ave., Fort Worth, TX 76104  
817-924-1987

Specialization: Fundraising

LAWLER, MARGARET  
2111 Milford, Houston, TX 77098  
713-528-5524

Specialization: Fundraising, Marketing

LEEMOUI, SIDNEY  
616 W. 207th #1E, New York, NY 10034  
212-233-3900

Specialization: Development

LEGGE, NANCY  
187 Hillside Drive, Fairfax, CA 94930  
415-459-2544

Specialization: Advancement Consultant

LERNER, RUBY  
604 Seminole Avenue, Atlanta, GA 30307  
404-659-3084

Specialization: Marketing, Audience Development

LESSER, WENDY  
P.O. Box 9131, Berkeley, CA 94709  
415-849-4545

Specialization: Advancement Consultant

MACDOUGALL, LAURIE  
306C Lily Street, San Francisco, CA 94102  
415-255-1104

Specialization: Advancement Consultant

MAGIE, DIAN  
3142 Avenida Cresta, Tuscon, AZ 85746  
602-624-0595

Specialization: Long range planning

MANAGEMENT CONSULTANTS FOR THE ARTS, INC./GREG KANDEL  
280 Railroad Avenue, Greenwich, CT 06830  
203-661-3003

Specialization: Advancement Consultant

MANAGEMENT CORNERSTONES  
4753 N. Broadway, Suite 800, Chicago, IL 60640  
312-271-5453

Specialization: Corporate Structure, Planning, Board Development, Feasibility Studies, Board Retreat Facilitation.

MANCHESTER, ELLEN  
627 Alvarado, San Francisco, CA 94114  
415-648-2684

Specialization: Board Development, Fundraising

MARCOTTE, KENDIS HEFFLEY  
2617 E. Glenoaks Blvd., Glendale, CA  
818-240-2688

Specialization: Organizational Development

MARKGRAF, DICK  
430 Oak Grove, Minneapolis, MN 55403  
612-870-8550

Specialization: Marketing, Advertising

MARTIN, SUZANNE  
1243 31st Street, NW, Washington, DC 20007  
202-333-3046

Specialization: Fundraising

MCCANN, JOHN  
1600 Hollindale Drive, Suite 1000, Alexandria, VA 22306  
703-765-1459

Specialization: Advancement Consultant

MEEK, VICTORIA  
705 Lowell Street, Dallas, TX 75214  
214-821-0075

Specialization: Visual Arts, Arts In Education

MESA-BAINES, AMALIA  
333 Precita St., San Francisco, CA 94110  
415-821-0291

Specialization: Arts In Education, Visual Arts

MICKEY SHEPARD & LEONARD GOINES  
P.O. Box 277, Garden City, NY 11530  
212-678-7484

Specialization: Audience Development, Work With Large And Mid-size Organizations

MOORE, DONALD J.  
599 Broadway, Suite 800, New York, NY 10012  
212-226-4545

Specialization: Computer Systems and Programming

PAUL, JIM  
1170 Guerrero, San Francisco, CA 94110  
415-641-5730

Specialization: Writing, Editing, Development, Publicity, Desktop Publishing

POLLARD, BARBARA  
83 Brite Avenue, Scarsdale, NY 10583  
914-472-4026

Specialization: Museum Education, Program Development

POTEET, FRANCES  
55 Gilbert Place, Sandia Park, NM 87047

Specialization:

POWELL, PATRICE  
8201 16th Street, #725, Silver Spring, MD 20916  
301-495-0116

Specialization: Advancement Consultant

RAINE, NANCY  
67 Cazneau Avenue, Sausalito, CA 94965  
415-331-1346

Specialization: Advancement Consultant

REEVES, WALTER E.  
338 Commonwealth Ave., Boston, MA 02155  
617-536-7617

Specialization: Fundraising

RIBITS, LAWRENCE A.  
944 Abbey, Birmingham, MI 48009  
313-642-7357

Specialization: Budgeting, Financial Reporting and System Development, Policy Drafting and Implementation

ROGER MORGAN STUDIO, INC.  
245 West 52nd Street, New York, NY 10019  
212-765-4144

Specialization: Theater Design

ROSS, NAN  
Storm King Art Center, Old Pleasant Hill Road, Mountainville, NY 10953  
914-534-3115

Specialization: Collections Management

SECTOR, STEWART  
2639 Mulberry Lane, Greenville, NC 27858  
919-355-0363

Specialization: Marketing, Audience Development

SOLLOD, T. ELLEN  
724 Blemont Place East, Seattle, WA 98102  
206-684-7171 (w) 324-7644(b)

Specialization: Advancement Consultant

SORIN, GRETCHEN  
P.O. Box 149, Springfield Center, NY 13468

Specialization: Program Development

SPECTRA COMMUNICATIONS  
312 Fairview Avenue North, Seattle, WA 98109  
206-624-2151

Specialization: Organizational Development

SPRAY, TOM  
110 E. Seventh St., Charlotte, NC 28202  
704-372-9664

Specialization: Facilities Development, Program Development, Monitoring Rapid Organizational Growth

STEWART, ANDREW  
133 Chevy Chase Dr., Wayzata, MN 55391  
612-475-2580

Specialization: Financial Systems and Analysis, Computer Systems, Feasibility Studies

SUSAN BERGHOLZ LITERARY SERVICES  
340 West 72nd Street, New York, NY 10023  
212-799-6973

Specialization: Literature

TERRY, BILL  
779 Riverside Drive, B65, New York, NY 10032  
212-781-6315

Specialization: Advancement Consultant

THE KREISBERG GROUP, LTD  
127 W. 56th Street, New York, NY 10019  
212-307-5921

Specialization: Public Relations



THE NORTH GROUP/HALSEY NORTH  
322 West 57th Street, #31-S, New York, NY 10019  
212-581-1961

Specialization: Advancement Consultant

THE WOLF ORGANIZATION/TOM WOLF, JANE CULBERT, MARC GOLDING  
8 Francis Avenue, Cambridge, MA 02138  
617-492-2167

Specialization: Research, Long Range Planning, Management Assessment

THORN, GEORGE  
201 Performing Arts Bldg, Virginia Tech, Blacksburg, VA 24061  
703-231-4670

Specialization: Retreats, Other Facilitated Discussions

TURNER, LARRY  
45 First Avenue, Apt. 4B, New York, NY 10003  
212-420-0158

Specialization: Financial Planning and Analysis, Long Range Planning, Fundraising

WAGNER, SHERRY  
33 Richdale, #226, Cambridge, MA 02140  
617-661-5813

Specialization: Advancement Consultant

WARSHAWSKI, MORRIE  
6364 Forsyth Blvd., St. Louis, MO 63105  
314-727-7880

Specialization: Advancement Consultant

WEISSENSTEIN, HERB  
120 W. 58th Street, New York, NY 10019  
212-315-3703

Specialization: Development

WESSEL O'CONNOR LTD/JOHN WESSEL  
580 Broadway, 8th Floor, New York, NY 10012  
212-219-9524

Specialization: Advancement Consultant

WORDEN, PAMELA  
P.O. Box 20, Groton, MA 01450  
508-433-9793

Specialization: Public Art

YAMAMOTO, CAROL  
1651 No. Dayton, #300, Chicago, IL 60614  
312-943-9387

Specialization: Advancement Consultant

YUEN, CHERYL  
312 Malden, La Grange Park, IL 60525  
708-352-2548

Specialization: Advancement Consultant

ZEIGLER, JOE  
62 Tuxedo Road, Montclair, NJ 07042

Specialization: Planning

ZIFF MARKETING/CHARLES ZIFF  
126 Fifth Avenue, New York, NY  
212-645-4100

Specialization: Marketing

ZUROFSKY, RENA  
240 East 79th Street, New York, NY 10021  
212-737-9433

Specialization: Marketing, Licensing and Product Development

# BIBLIOGRAPHY

## TECHNICAL ASSISTANCE RESOURCE DIRECTORY

### ANNOTATED BIBLIOGRAPHY

American Council for the Arts      Effective Corporate Fundraising  
American Council For The Arts, 1982  
1285 Avenue Of The Americas, 3rd Floor, New York, NY 10019  
Price:  
Comments: Practical guide to corporate support.

Andrews, Kenneth R.      The Concept Of Corporate Strategy  
Dow Jones-Irwin, 1980  
Homewood, IL  
Price:  
Comments:

Bacon, Barbara Schaffer, ed.      Evaluating Data Base Software: A Guide for Nonprofit Agencies  
Natl. Assembly of Local Arts Agencies, 1986  
1420 K Street, NW, Ste 204, Washington, DC 20005  
Price:  
Comments:

Barkas, J.L.      Become More Productive -- Creative Time Management  
Prentice Hall Press, 1984  
New York, NY  
Price: \$8.95  
Comments: Guide to organizing and becoming more effective.

Barry, Bryan      Strategic Planning Workbook  
Management Support Services, 1986  
919 Lafond Avenue, St. Paul, MN 55104  
Price:  
Comments: Practical guide to long range-planning.

Brown, Fleissig, Moorish

Building For The Arts

WESTAF, 1989

236 Montezuma Avenue, Santa Fe, NM 87501

Price: \$29.95

Comments: Assistance in developing facilities needs assessments and building programs, particularly for the performing arts.

Center For Safety In The Arts

Health Hazards In The Arts/Health Hazards In The Visual Arts

Center For Safety In The Arts,

5 Beekman Street, New York, NY 10038

Price:

Comments: Solid, useful data on health hazards, particularly as it relates to visual arts. Also available in spanish.

Clifton, Roger L., Richard L.  
Reinert, Louise K. Stevens

The Road Map To Success -- A Unique Development Guide For Small Arts Groups

Massachusetts Cultural Alliance, Inc., 1988

33 Harrison Avenue, Boston, MA 02111

Price:

Comments: Good for understanding how and why small arts organizations develop as they do.

Council Of Literary Magazines  
And Presses

Directory Of Literary Magazines

Moyer Bell Limited, Annual

Colonial Hill RFD 1, Mt. Kisco, NY 10549

Price: \$9.95

Comments: Useful list of leading non-profit literary magazines, with editor names, addresses, ad info, etc.

Crawford, Robert

In Art We Trust

FEDAPT, 1981

165 W. 46th St., New York, NY 10036

Price:

Comments: Practical information on board structure and operations.

Crimmins And Keil

Enterprise In The Nonprofit Sector

Partners For Livable Places, 1983

1429 21st Street, NW, Washington, DC 20036

Price: \$7.00

Comments: Has examples of enterprises undertaken by non-profits to produce earned income.



Fahey, Liam

The Strategic Planning Management Reader

Prentice-Hall, Inc., 1989  
Englewood Cliffs, NJ 07632

Price:

Comments: Well organized, concise articles on all aspects of strategic planning written by many of today's leaders in the for-profit sector.

FEDAPT

Market The Arts

FEDAPT, 1983  
270 Lafayette St., #810, New York, NY 10012

Price: \$19.95

Comments:

FEDAPT

The Challenge Of Change

FEDAPT, 1987  
270 Lafayette St., #810, New York, NY 10012

Price:

Comments:

Fisher, Roger And Ury, William Getting To Yes: Negotiating Agreement Without Giving In

Penguin Books, 1981

Price: \$7.95

Comments: How to come to a mutually acceptable agreement on almost any kind of dispute.

Flanagan, Joan

The Grass Roots Fund Raising Book

Contemporary Books, Inc., 1982  
180 No. Michigan Ave., Chicago, IL 60601

Price: \$12.95

Comments:

Flanagan, Joan

The Successful Volunteer Organization

Contemporary Books, 1982  
180 No. Michigan Ave, Chicago, IL 60601

Price: \$13.95

Comments: Practical advice on planning, management and fundraising.

Hickman, Craig And Michael  
Silva

Creating Excellence

New American Library, 1984  
Ontario

Price: \$15.95

Comments: Candid and organic discussion on the fact that excellence is an outgrowth of people and the choices they make.

Hopkins, Bruce R.

Starting & Managing A Non-profit Organization: A Legal Guide

John Wiley & Sons, 1989  
605 Third Avenue, New York, NY 10158

Price:

Comments:

Jacobs, Eva--NEA Office of  
Planning

Bibliography Of Books, Papers And Articles On Cultural Diversity

NEA - Office of Policy Planning and Research, 1989  
1100 Pennsylvania Avenue, NW, Washington, DC 20506

Price: Free

Comments: Helpful to those who want various perspectives on the issue of cultural diversity. Includes broad range of authors of all races and ethnicities.

Jennings, Harry

The Non-profit Guide To Creating An Effective Governing Board

Jennings, Hood & Associates, 1984  
913 Westham Parkway, Richmond, VA 23229

Price:

Comments:

Keens, W. And Rhodes, N.

An American Dialogue: The National Task Force On Presenting And Touring The Performing Arts

Association Of Performing Arts Presenters, 1989  
1112 16th Street, NW, Suite 620, Washington, DC 20036

Price:

Comments:

Knutson, Joan R.

How To Be A Successful Project Manager

American Management Association, 1988  
Boston

Price:

Comments: General guide.

Mai, Charles

Secrets Of Major Gift Fund Raising

The Taft Group, 1987  
5130 MacArthur Blvd, Washington, DC 20016

Price: \$24.95

Comments: Information, plus do's and don'ts for deferred giving campaigns.

Mancuso, Joseph

How To Prepare And Present A Business Plan

Prentice Hall Press,  
New York, NY

Price: \$11.95

Comments: For more sophisticated companies. Approaches the planning and money raising process from the for-profit angle.

Marrus, Stephanie K.

Building The Strategic Plan: Find Analyze And Present The Right Information

John Wiley & Sons, 1984  
New York

Price:

Comments:

Media Alliance

Taking Charge: Management & Marketing For The Media Arts

Media Alliance, Inc., 1986  
c/o WNET, 356 W. 58th Street, New York, NY 10019

Price:

Comments:

Miaoulis, George And David W. Lloyd

Marketing The Arts In A Rural Environment

Wright State University, 1979  
Dayton, OH

Price:

Comments: Understanding the rural arts community, developing marketing strategies for rural arts. Includes market research from Monadnock Arts Study, demographics, leisure activities and attitudes towards arts.

Michaels, Caroll

How To Survive And Prosper As An Artist

Holt, Rinehart And Winston, 1983  
521 Fifth Avenue, New York, NY 10175

Price: \$7.95

Comments:

Oleck, Howard L.

Nonprofit Corporations, Organizations & Associations

Prentice-Hall, Inc., Fifth edition, 1988  
200 Old Tappan Road, Old Tappan, NJ, 07675

Price: \$79.95

Comments: Broad, general reference with chapters on bylaws, trustees and directors, financial management, and other aspects of nonprofit organization and management.

Panas, Jerold

Mega Gifts: Who Gives Them, Who Gets Them

CASE Publications Order Dept., 1984  
80 S. Ehrly St., Alexandria, VA 22304

Price: \$30.95

Comments: Profiles of mega-donors and solicitors.

Paquet, Marion A.

A Handbook For Cultural Trustees

Waterloo Arts Research Group, 1987  
Faculty Of Arts, University Of Waterloo, Waterloo, Ontario, Canada

Price: \$22.95

Comments: Materials, worksheets and text on board roles, responsibilities and functions; planning; board recruitment; effective meetings; board assessment/evaluation; board-staff partnerships.

PEN American Center

Grants And Awards Available To American Writers

PEN American Center, 1987  
568 Broadway, New York, NY 10012

Price: \$6.00

Comments: Useful for writers and anyone dealing with writers.

Peters, Tom

Thriving On Chaos

Excel/Alfred A. Knopf, 1987

Price: \$19.95

Comments: Introduction to dealing with the '90s hectic pace and the need for defining objectives and then delivering services as promised.

Poets & Writers, Inc.

Directory Of American Poets And Fiction Writers

Poets & Writers, Inc., Annual  
72 Spring Street, #301, New York, NY 10012

Price: \$19.95

Comments: Organized geographically and alphabetically.

Rowe, Alan J. , Richard O.  
Mason And Karl Dickel

Strategic Management And Business Policy: A Methodological Approach

Addison-Wesley, 1982  
Reading, MA

Price:

Comments:

Schaffer, Robert

Breakthrough Strategy

Ballinger Publishing Co., 1988  
10 East 53rd Street, New York, NY 10022

Price: \$15.95

Comments: How to define strategies that will lead to breakthrough results.

Seymour, Harold I.

Designs For Fund-Raising

Fund-Raising Institute, 1988  
Box 365, Ambler, PA 19002

Price:

Comments:

Smithsonian Information Office

Latino Resources At The Smithsonian

Smithsonian Information Office, June, 1989  
Smithsonian Institute, Washington, DC 20560

Price: Free

Comments: Bilingual. Generally good resource guide, especially in folk arts.

Steiner, George

Strategic Planning: What Every Manager Must Know

The Free Press, 1979  
New York

Price:

Comments:

Stewart, S.S., J.L. Schumacher  
and P.D. Martin

Charitable Giving And Solicitation

Prentice Hall Information Services, 1988  
235 Frisch, Paramus, NJ 07652

Price: \$362.00

Comments: Detailed current analysis of the legal aspects of charitable giving with changes in the codes and laws updated monthly.



- Topor, Robert S.                      Institutional Image: How To Define, Improve And Market It  
C.A.S.E., 1986
- Price:            \$23.25  
Comments:    Framework for institutional image building.
- 
- Trost, Arty And Judy Rawner      Gaining Momentum For Board Action  
Marlborough Publications, 1983  
P.O. Box 16406, San Diego, CA 92116
- Price:  
Comments:    Practical handbook for board members.
- 
- Turk, Frederick J. And Robert P. Financial Management Strategies For Arts Organizations  
Gallo
- ACA Books,  
Department 30, 1285 Avenue Of The Americas, 3rd Floor, New York,
- Price:            \$12.95  
Comments:
- 
- Vogel, Frederick                      No Quick Fix (Planning)  
FEDAPT, 1985  
270 Lafayette St., Suite 810, New York, NY 10012
- Price:            \$9.95  
Comments:
- 
- Warshawski, Morrie                  Where the Rubber Meets the Road: A Report of the Proceedings of the  
Director's Study Group on Presenting the Performing Arts in California  
California Arts Council, 1989  
1901 Broadway, Suite A, Sacramento, CA 95818
- Price:            Free  
Comments:
- 
- Warshawski, Morrie, Editor        The Next Step: Distributing Independent Films And Videos  
AIVF, 1990  
625 Broadway, 9th Floor, New York, NY 10012
- Price:            \$19.50  
Comments:    For any individual or non-profit organization thinking about making and distributing a videotape.

# OTHER RESOURCES

# TECHNICAL ASSISTANCE RESOURCE DIRECTORY

## OTHER RESOURCES

### American Arts Alliance

1319 F Street, NW, Washington, DC 20004  
202-737-1727

Consortium of nonprofit arts organizations that serves as principal advocacy organization for the professional arts community.

### American Association Of Museums

1225 Eye Street, NW, Washington, DC 20005  
202-289-1818

National service organization for museums.

### American Council For The Arts

1285 Avenue Of The Americas, New York, NY 10019  
212-245-4510

National service organization that promotes artistic activity through advocacy, education, conferences and forums. Extensive catalogue of arts management publications and monthly newsletter.

### American Dance Guild Technical Assistance Project

570 7th Avenue, 20th Floor, New York, NY 10018  
212-302-6709

Membership organization focusing on assistance in technical production.

### American Film Institute

P.O. Box 27999, Los Angeles, CA 90027  
213-856-7725

Workshops, seminars, reference library.

### American Music Center

30 West 26th Street, New York, NY 10010  
212-366-5260

National service organization for contemporary composers and those interested in performing their work.

### American Symphony Orchestra League

777 14th Street, NW, #500, Washington, DC 20005  
202-628-0099

National service organization for symphony orchestras.

Association Of Independent Video And Filmmakers

625 Broadway, 9th Floor, New York, NY 10012  
212-473-3400

National organization providing advocacy and professional services for the independent media community.

Association Of Performing Arts Presenters

1112 16th Street, NW, Washington, DC 20036  
202-833-ARTS

National membership association for presenters. Services include publications, analysis of current trends, job referral service, workshops, seminars, annual convention.

ATLATL

402 West Roosevelt St., Phoenix, AZ 85003  
602-253-2731

Focuses on interests and needs of native american arts organizations.

Business Volunteers For The Arts

130 E. 40th Street, New York, NY 10016  
212-683-5555

Works with communities nationwide to create local affiliates with local business volunteers to provide management assistance to arts organizations.

CASE Publications

80 S. Early St., Alexandria, VA 22304  
800-336-4776

Books, guides related to fundraising, public relations, communications.

Center For Creative Leadership

P.O. Box P-1, Greensboro, NC 27402

Nonprofit organization with centers in North Carolina, Colorado and California. Training programs and publications on leadership development.

Chronicle Of Philanthropy

1255 23rd St., NW, Washington, DC 20037

Bi-weekly tabloid about activities in the philanthropic sector.

Grantsmanship Center

P.O. Box 6210, Los Angeles, CA 90014  
800-421-9512

Provides assistance through group training sessions held throughout the country on fundraising; biannual newspaper.

Independent Feature Project/West

5550 Wilshire Blvd, Ste. 204, Los Angeles, CA 90036  
213-937-4379

Dedicated to supporting/promoting quality American independent film. Publishes "Montage".

Independent Sector

1828 L Street, NW, Washington, DC 20036  
202-223-8100

Coalition of corporate, foundation, and non-profit organizations with an interest in philanthropy. Services include publications, conferences, and information.

Mid-America Arts Foundation

912 Baltimore Avenue, Kansas City, MO 64105  
816-421-1388

Regional organization for Arkansas, Kansas, Oklahoma, Missouri, Nebraska, Texas.

Mid-Atlantic Arts Foundation

11 East Chase Street, Suite 1-A, Baltimore, MD 21202  
301-539-6656

Regional organization for Delaware, District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Virginia, Virgin Islands, West Virginia.

National Arts Job Bank

207 Shelby St., Suite 200, Santa Fe, NM 87501  
505-988-1166

Job listing service.

National Assembly Of Local Arts Agencies (NALAA)

1420 K Street, Nw, Suite 204, Washington, DC 20005  
202-371-2830

Professional membership association serving local arts agencies. Provides information, advocacy, and development of national arts policy through monthly and quarterly publications, computerized data, referrals, regional workshops, and annual convention.



Opera America

777 14th Street, NW, Washington, DC 20005  
202-347-9262

Membership organization that assists in developing resident professional opera companies. Offers management training seminars, community education workshops, publications.

Partners For Livable Places

1429 21st St., NW, Washington, DC 20036  
202-887-5990

Resource center for information on community improvement projects and issues. Includes research and referral services, publications, technical assistance, and library of 15,000 books, magazines.

Pentacle

104 Franklin Street, New York, NY  
212-226-2000

National service organization for modern dance artists and organizations.

Southern Arts Federation

1293 Peachtree Street, NW, Atlanta, GA 30309  
404-874-7244

Regional organization for Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee.

Special Events Report

213 W. Institute Place, Chicago, IL 60610  
312-944-1727

Bi-weekly publication with news about corporate sponsorships and special events.

Support Centers Of America

1410 Q Street, NW, Washington, DC 20009  
202-462-5333

Centers located throughout the country provide workshops/seminars on nonprofit management; direct management assistance; information and referrals. Publishes "Nonprofit Times".

The Taft Group

12300 Twinbrook Parkway, Rockville, MD 20852  
800-877-TAFT

Publishes giving directories, monthly newsletters, and books and manuals on fundraising.

**NATIONAL ENDOWMENT FOR THE ARTS  
ADVANCEMENT PROGRAM**

**TECHNICAL ASSISTANCE RESOURCE DIRECTORY EVALUATION**

1. Overall, how would you rate the Technical Assistance Resource Directory?

Too Detailed

Helpful

Need more information

Other:

2. How would you rate the format of the Directory?

Confusing

Easy to Find Information

Need more cross-references

Other:

3. How would you rate the content of the Directory?

Too Detailed

Useful

Not Detailed Enough

Other:

4. Other entries you feel should be included in the Directory:

5. Comments, Suggestions, Criticisms: (Use back of this page if needed)



## I M P O R T A N T

### EXPANSION ARTS PROGRAM GUIDELINE CHANGES

Read the attached guidelines carefully. There have been some changes regarding application requirements and eligibility in some categories. If you have questions after reviewing these guidelines, you may contact the Expansion Arts Program staff at 202/682-5443.

- October 9, 1990 is the application postmark deadline for the Expansion Arts Organizations category. Late applications will be rejected.
- An organization may submit only one application to the Expansion Arts Organizations category per fiscal year.
- All Expansion Arts Organizations category applicants must submit a one page artistic statement by the artistic director that describes the aesthetic and philosophy of creating, performing, or exhibiting their artform. This statement is an opportunity to speak directly to the panel. Refer to page 11 of the guideline booklet.
- Services to the Field applicants should note that funds are no longer available for general operating support. This category supports projects offering technical assistance and services to expansion arts organizations and artists. Refer to page 14 of the guideline booklet.



Applicable Federal Laws

Please be aware that the appropriations act for Fiscal 1990 which provides funding for the Arts Endowment states that:

None of the funds authorized to be appropriated for the National Endowment for the Arts ... may be used to promote, disseminate, or produce materials which in the judgment of the National Endowment for the Arts ... may be considered obscene, including but not limited to, depictions of sadomasochism, homo-eroticism, the sexual exploitation of children, or individuals engaged in sex acts and which, when taken as a whole, do not have serious literary, artistic, political or scientific value. (Passed the Congress in September 1989)

If the recipient of a grant from the National Endowment for the Arts "substantially fails to satisfy the purposes for which such financial assistance is provided" and has not satisfied the criteria of excellence, exceptional talent and significant literary, cultural or artistic merit, as determined by the Chairperson of the Endowment, the Chairperson may —

- "for purposes of determining whether to provide any subsequent financial assistance, take into consideration the results of the post-award evaluation...
- "prohibit the recipient of such financial assistance to use the name of, or in any way associate such project, production, or program with the Endowment; and
- "if such project, production, or program is published, require that the publication contain the following statement: 'The opinions, findings, conclusions, and recommendations expressed herein do not reflect the view of the National Endowment for the Arts...' (Public Law 89-209 as amended through December 1985)

ADVANCEMENT'90

July 20, 1990

Dear Advancement Participant,

Enclosed are copies of the Participant's Manual for your attendees at the Participant's Orientation (August 10 and 11). We recommend reviewing the manual in advance of the orientation so you can anticipate any questions you may have regarding your participation in this year's Advancement Program. You might want to note the meeting agenda under Tab 1. Please bring the manuals to the Washington meeting; there will be no extra copies available.

By now you should have completed your travel arrangements. Instructions for travel reimbursement are included in the manual. Please be sure to include the receipt (last page) of your plane ticket. If, for some reason, you should be unable to attend, please obtain a cancellation number from the hotel otherwise you will be charged for your unused room.

We are eager to meet you and your colleagues and look forward to a challenging year together.

See you in Washington!

Sincerely,

  
Melanie Beene

  
Juliana Grenzeback

P.S. Bring your swimsuit. The Marriott has a great pool, sauna, jacuzzi and exercise room.

Tel: (415) 331 0168  
Fax: (415) 331 5865

Suite 101  
1505 Bridgeway  
Sausalito, CA 94965

*Melanie Beene & Associates*  
A R T S C O N S U L T A N T S

Get for Ellen:

- City Budget appropriation
- Board List ✓
- Planning Committee
- Organizational chart
- City memos
- Bylaws
- Brochures
- List of community resources



# ADVANCEMENT

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A program of THE NATIONAL ENDOWMENT FOR THE ARTS

Sal Busby  
Interstate Firehouse Cultural Center  
5340 N. Interstate  
Portland, OR 97217

Dear Sal,

June 7, 1990

Welcome to the Advancement program! We are about to embark on a year long adventure that, hopefully, will prove very beneficial for you and your organization.

We will begin this process at the Participants' Orientation, which will be held in Washington, D.C. on August 10 and 11, 1990. Your organization is invited to send two people who will play a key role in your Advancement process to this Orientation, with your travel and hotel expenses to be paid by the Advancement program. It is important to note that both people MUST stay over Saturday, August 11 in order to obtain substantial airfare reductions.

Enclosed is detailed information about making travel arrangements for the Participants' Orientation. We ask you to take the following action as soon as possible:


1. Please make your airline reservations through Lena Hollis at ProTravel International, 1-800-227-1059. Do this immediately. We have two very full days planned for Friday, August 10 and Saturday, August 11. You will not be able to depart until Sunday, August 12.
2. Call the J.W. Marriott, 1-800-228-9290, to confirm your hotel reservations in your own name no later than July 1. They are holding a block of rooms for us, but they need your confirmation by that date to guarantee your room.

As part of the Orientation, you will have an opportunity to meet in a group with your Program Director from the NEA. Many groups choose to arrange an individual meeting as well. If you plan to do this, it will affect your travel arrangements, so I urge you to do it soon. Please note that the Advancement Program cannot pay for additional hotel costs that may be incurred, so make your plans accordingly.

Over the next two months you will be receiving additional information from us to help make your trip to Washington and your orientation to the Advancement Program as easy and uncomplicated as possible. In the meantime, if you have any questions or concerns, please do not hesitate to call either Juliana, my assistant, or myself at (415) 331-0168.

We look forward to working with you over the next year.

Sincerely,



M. Melanie Beene

MMB:jhg

Managed by Melanie Beene & Associates

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1505 Bridgeway, Suite 101 Sausalito, CA 94965  
(415) 331-0168 FAX 331-5865

# **ADVANCEMENT**

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A Program of THE NATIONAL ENDOWMENT FOR THE ARTS

## **PARTICIPANTS' ORIENTATION**

**AUGUST 10 - 11  
WASHINGTON, D.C.**

Airline Reservations: Airline reservations should be booked through Lena Hollis, ProTravel International, New York City; **1-800-227-1059** or **(212) 755-4550**. Reservations must be made more than two weeks prior to your flight, in order to ensure the lowest available fares. Please tell Lena to bill your tickets to the account of Melanie Beene and Associates. Flight reservations for the August meeting in Washington, D.C., must be booked through Lena Hollis, because a group rate has been negotiated.

Hotel Accommodations: Hotel accommodations for the August meetings in Washington, D.C. have been reserved at the J.W. Marriott Hotel at National Place, 1331 Pennsylvania Avenue, NW, Washington, D.C. 20004; **1-800-228-9290** or **(202) 393-2000**. The hotel is centrally located, within walking distance of the National Endowment headquarters and a number of museums and national monuments. The hotel has a pool and spa facilities. Check-in time is 4:00 p.m.; check-out time is noon. Participants are responsible for contacting the Marriott and making their own reservations. Please make reservations in your own name, followed by Melanie Beene and Associates, NEA Advancement. Reservations must be made by July 3. Cancellations must be made through the Marriott 24 hours prior to arrival or the room will be charged to the participant.

### Meeting Schedule:

The Participants' meeting will be held at the Marriott, starting at 9:00 a.m. on Friday, August 10. The last meeting will end at approximately 5:00 p.m. on Saturday, August 11. Meetings will last all day Friday and Saturday; evenings will be free. A complete schedule for the two days will be sent to you prior to the August meeting.

Managed by Melanie Beene and Associates

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1505 Bridgeway, Suite 101 Sausalito, CA 94965  
(415) 331-0168 FAX (415) 331-5865

Local Transportation: Please make the most reasonable travel arrangements from the following options. The J.W. Marriott is three blocks northeast of the Metro (subway) stop designated "Metro Center", which is serviced by the blue, orange and red lines. If you are arriving at Washington National Airport, you can get a blue-line Metro directly to "Metro Center" (about the 9th stop after boarding, and two blocks north of the Marriott). Take the F Street or 12th Street exit out of the subway.

If you are arriving at Dulles Airport, you can get reasonably priced shuttle buses into Washington (the Washington Flyer lets passengers off at the Marriott and runs every 30 minutes from 5:20 a.m. to 9:50 p.m.). If several participants are traveling together from these airports, your group may want to share a taxi. The distance from the airport to the hotel is about 35 miles. You will need receipts for cab and shuttle bus reimbursement, so please remember to request them from your drivers.

Union Station, the main rail terminal, is located about 15 blocks east of the Marriott. It is served by the Metro red line.

Money Matters: The per diem is \$127, <sup>per day per person</sup> to cover food and lodging expenses. Transportation costs, including local public transportation, are not included in that amount. Your lodging expense at the J.W. Marriott, to be deducted from your per diem, will be \$104.37 (\$93 plus tax) per night for a single room, or \$126.93 (\$113 plus tax) for a double.

The government requires that the program assess participants \$7 for each meal furnished during our meetings, so please calculate a \$7 charge against your per diem for lunch on Friday and Saturday. To allow participants to sample local restaurants, we plan to have individuals make their own dinner arrangements. A list of restaurant options will be provided, along with other information on Washington sights, when you arrive in Washington. Breakfasts should also be arranged individually. There are a number of coffee shops and restaurants in and around the Marriott and the adjoining complex of shops known as National Place. Please remember receipts are required for all reimbursements.

Problems/Questions: Contact **Karen Kostyal at (703) 548-9866, 9:00 a.m. to 5:00 p.m., Eastern Standard Time.** She will be handling general meeting arrangements.

# NEA ADVANCEMENT PROGRAM

*Sub Copy*

## Breakout Session: The Plan and the Planning Process

August 11, 1990

### I. How to Get Started - The Mechanics

#### A. Personnel for planning:

1. Executive Director, Artistic Director
2. Key staff
3. Board members
4. Artists
5. "Outside wildcard"

- \* patron, audience member
- \* representative of other groups

#### B. Considerations:

1. Meeting schedule; time commitment
2. "Homework" preparation before meetings
3. Ownership of the Plan and process
4. Information gathering:

- \* Organizational self-assessment
- \* Board/Staff Retreats
- \* Focus groups, surveys, interviews
- \* Town meetings
- \* Task forces on special issues

5. Determine writer, editor(s), format
6. Interim deadlines
7. Revisions; maintaining momentum

#### C. Use of Advancement Consultant and Special Needs Allowance

### II. The Process--Suggestions & Techniques

#### A. Mission of organization

1. Why does the organization exist?  
What would happen if you went out  
of business? who would notice/care?
2. Artistic philosophy
3. What is the organization's scope?

#### B. History, current programs and resources.

1. Review the past to capitalize on  
strong areas from the past; keep from  
making past mistakes.
2. Provide continuity in strategic thought.
3. Assess strengths and weaknesses.

The Plan and the Planning Process  
page 2

C. Environmental trends and issues for next 3-5 years.

1. Opportunities and threats
2. Changing factors that may impact you
3. Community needs
4. Potential new revenue sources and support
5. Strategic alliances
6. Competition

D. What/Why/Who/When/How

1. What should the priorities be for the next 3 years?
2. What will the organization look like in 1994?
3. What will be different in the community because you are doing it?
4. Given your resources, mission, scope, what strategies should you consider; what is feasible?

- \* long range goals, annual objectives, action plans
- \* responsibility assignments
- \* timelines and completion dates

E. Table of contents of document  
(not necessarily in order)

1. Cover sheet
2. Table of Contents
3. Executive Summary
4. Acknowledgments
5. Indication of Board approval
6. Brief organizational history or background statement to put Plan in context
7. Mission statement; artistic philosophy
8. Plan for:
  - \* programs and services
  - \* marketing, public relations, audience development
  - \* fundraising
  - \* personnel (artistic, administrative, Board, other volunteers)
  - \* facilities and equipment (artistic, rehearsal, office)
  - \* finances
  - \* budgets: last 2 years actual  
this year's current  
3 plan years  
assumptions/footnotes
  - \* appendices (opt.)  
Organizational chart (current; planned)  
Responsibility assignments and timelines  
additional artistic information

The Plan and the Planning Process  
page 3

III. Final Drafts of Document

- A. Committee approval and recommendation to Board
- B. Board discussion and approval
- C. 1 copy to Melanie Beene & Associates by 6/30/91.
- D. 3 copies with Application for Advancement Grant to NEA by 8/16/91.

IV. Using the Plan after Advancement Phase I

- A. Evaluation and continuing the process
  - 1. Who is responsible for evaluation? How?  
What criteria? How often?
  - 2. Who is responsible for continuing long range planning and updating financial projections?
  - 3. Annual Workplans
  - 4. Staff and/or Board turnover
  - 5. Multi-year funding; leveraging regional or national support

## **How to Develop A Fundraising Plan**

**Presented by Halsey M. North  
Consultant Orientation in Washington D.C.**

**National Endowment for the Arts  
1989 Advancement Program**

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# **NORTH GROUP**

**The North Group Inc.**  
322 West 57th Street #31-S  
New York, New York 10019 USA  
Telephone: 212.581.1961  
Fax: 212.581.1963



## HOW TO DEVELOP A FUNDRAISING PLAN -- OUTLINE

=====

### 1. Identify Needs.

- A. Determine how much you think needs to be raised based on artistic, programmatic, administrative, and earned income plans.
  - B. Total Cost Less Earned Income = Contributed Income Need.
- =====

### 2. Conduct Internal Audit.

#### A. Identify Internal Resources.

- \* Board and other support groups.
- \* Staff -- time and experience.
- \* Volunteers.
- \* Constituency.
- \* Donors.
- \* Prospects.

#### B. Evaluate the Strength of Each of These Resources.

#### C. Select Appropriate Fundraising Options.

- \* Board gift campaign.
  - \* Individual gift campaign.
  - \* Fundraising benefits.
  - \* Local business campaign.
  - \* Government support advocacy/grant writing.
  - \* "Friends of . . ." campaign.
  - \* Corporate cultivation and proposal writing.
  - \* Foundation cultivation and proposal writing.
- =====

(PARTIAL)  
SUMMARY OF FUNDRAISING PLAN  
To Increased Contributed Income

for the  
CAPITAL CITY DANCE COMPANY

=====

TAX-BASED INCOME:

1) NEA: We are expanding the number of professional groups we are presenting in disciplines other than dance. Thus, we are now eligible for funding from both the Inter-Arts and Dance Programs. The Dance Program staff has evaluated our dance series and commented positively on the quality and type of the groups we present.

Strategy: In the spring of each year, the Artistic Director and Executive Director will travel to Washington, D.C. and meet with the Dance and Inter-Arts Programs staffs. On a timely basis, the Development Associate will consult with Executive Director and submit grant requests to both the Dance and Inter-Arts Programs.

<u>Staff Time:</u>	Artistic Director	2 Days
	Executive Director	3 Days
	Development Associate	10 Days

<u>Direct Cost:</u>	Travel Expenses	\$1,200
---------------------	-----------------	---------

<u>Projected Income:</u>	<u>1989-90</u>	<u>1990-91</u>	<u>1991-92</u>
	\$7,500	\$10,000	\$10,000

2) State Arts Council: Our programs are proving to be quality presentations, and the comments of State Council staff have changed in tone from skeptical to enthusiastic. Furthermore, newly increased funding to the State Arts Council will make more money available for grants. Due to both factors, we project a 25% increase in grant support from the State Arts Council.

Strategy: Continue to invite State staff to performances with personal invitations followed up by phone calls. Continue to offer complimentary tickets to State Arts Council Board members. Start inviting staff and Board to special cultivation events. Submit grant requests to both Dance and Presenting Programs on a timely basis.

<u>Staff Time:</u>	Executive Director	3 Days
	Development Associate	8 Days

The North Group Inc.  
Fundraising Plan  
Page 5

Volunteer Time: Chairman 1 Day a week - 1st year  
5 Hours a week thereafter  
18 Committee Members 4 Hours a week each  
(9 couples)

Direct Cost: Includes artist fees, food, flowers, office supplies,  
decorations, publicist, part-time help, printing, etc.

First Year \$82,000  
Each Year thereafter \$60,000

Timetable: Establish Committee in January, 13 months ahead of  
the Valentine's Day event, so each new Committee can be  
analyzing event prior to the one for which they are  
responsible while it happens.

<u>Projected Net Income:</u>	<u>1989-90</u>	<u>1990-91</u>	<u>1991-92</u>
	\$19,000	\$38,000	\$57,000 +

=====

**BOARD SOLICITATION:** Our 18 Board members have been pushed hard to  
give to their maximum over the last 5 years. They have given to the  
capital campaign and contributed to the start-up operating costs. There  
is little room for improved giving. The Chairman is our major donor.  
Each Board member is required to give to the best of his/her ability.

**Strategy:** Continue to have the Chairman solicit the Executive Committee  
members and to have the Executive Committee members solicit the other  
Board members. All solicitations will be made in person.

Staff Time: Executive Director 5 Hours to help with  
rating and screening  
Secretary 10 Hours

Board Time: Chairman 6 Hours  
Executive Committee Members 4 Hours each

Direct Cost: Minimal

Timetable: Board solicitation is to be completed within the month of  
September.

<u>Projected Income:</u>	<u>1989-90</u>	<u>1990-91</u>	<u>1991-92</u>
	\$37,100	\$38,200	\$39,000 +

=====

# RATING AND SC. .ING WORKSHEET

NAME OF ORGANIZATION: \_\_\_\_\_

PAGE \_\_\_\_ OF \_\_\_\_

COMPLETED BY: \_\_\_\_\_

DATE \_\_\_\_\_

PROSPECT	GIVING HISTORY	CAPABLE OF A GIFT OF	LIKELY GIFT	BEST SOLICITOR	COMMENTS
1. Name: Address:  Telephone:					
2. Name: Address:  Telephone:					
3. Name: Address:  Telephone:					
4. Name: Address:  Telephone:					
5. Name: Address:  Telephone:					
6. Name: Address:  Telephone:					

SAMPLE FUNDRAISING TIMETABLE WORKSHEET  
FOR INDIVIDUAL SOLICITATION CAMPAIGN

<u>Task</u>	<u>Assigned To:</u>	<u>Start Date:</u>	<u>End Date:</u>
1. Do an internal fundraising audit.			
2. Develop the fundraising strategy.			
3. Identify staffing needs.			
4. Develop job descriptions and hire and train staff.			
5. Develop Board/volunteer job descriptions.			
6. Develop prospect lists.			
7. Begin rating and screening.			
8. Identify volunteer leadership.			
9. Recruit campaign Chairman.			
10. Review and verify needs.			
11. Set goal.			
12. Develop the case statement.			
13. Develop the campaign materials: Pledge cards/forms. Volunteers' information sheets. Sample personalized letters. Receipt forms. Sample thank you letters. Control sheets.			
14. Solicit the Board.			
15. Solicit the campaign leaders.			
16. Solicit major gifts.			
17. Recruit other volunteers.			
18. Educate volunteers.			
19. Solicit volunteers.			
20. Assign prospects to solicitors.			
21. Kick-off the campaign.			
22. Hold report meetings.			
23. Do follow-up on calls.			
24. Do "clean up."			
25. Thank each donor.			
26. Thank each solicitor.			

FY 90 Advancement Review Process  
Applications for Phase I

September 1989 - January 1990

Applications are reviewed by both the Advancement program staff and the staff of the appropriate Arts Endowment program areas for compliance with the guidelines.

Panels are convened in each of the program areas to review applications and make recommendations to the National Council on the Arts.

Organizations which have not submitted the required audited financial statements by January 5, 1990 (pp. 7, 15 and 25 of the Advancement Guidelines) will be rejected, and notified at this time.

January - February 1990

Applications and panel recommendations are forwarded to the National Council on the Arts for review, and to the Chairman of the Arts Endowment to determine whether an applicant will remain in consideration for program participation.

February - March 1990

Applicants that are not recommended will be notified.

Applicants that are recommended to receive management assessments and continue in the review process will be notified. An independent contractor will provide assessments of these applicants' organizational and financial status, capacity to implement change and degree of commitment to organizational development.

An interdisciplinary Advancement Review Panel will review the applicants and the management assessments to recommend a final list of participants for FY 90 Advancement Phase I.

April - May 1990

Recommendations are forwarded to the National Council on the Arts for further review, and then to the Chairman of the Arts Endowment for final decision.

May 1990

Applicants will receive official notification whether or not they have been accepted as FY 90 Advancement participants.

# **Advancement Program Application Form B2: Financial Data**

See instructions on page 27

## **TOTAL OPERATIONS: EXPENDITURES AND FUND BALANCE**

Applicant organization: IFCC City Portland State Oregon

Organization's Fiscal Year Ending: June (Month) 30 (Day)

Fiscal Year Ending:	19 <u>87</u>	19 <u>88</u>	19 <u>89</u>	19 <u>90</u>	19 <u>91</u>
Total Support and Revenue (from Form B1)	\$ <u>147,812</u>	\$ <u>160,841</u>	\$ <u>180,222</u>	\$ <u>219,180</u>	\$ <u>262,150</u>
<b>EXPENDITURES AND FUND BALANCE</b>					
<b>5. Program/Service Delivery Expenditures</b>					
(a) Artistic Personnel	\$ <u>41,003</u>	\$ <u>43,486</u>	\$ <u>37,843</u>	\$ <u>21,500</u>	\$ <u>45,000</u>
(b) Presentations, Performances, Exhibitions, Productions	\$ <u>21,985</u>	\$ <u>25,000</u>	\$ <u>31,028</u>	\$ <u>31,400</u>	\$ <u>65,000</u>
(c) Educational Services					
(d) Promotion, Marketing					
(e) Auxiliary Sales					
(f) Other (describe) <u>2nd theatre season costs</u>					\$ <u>40,000</u>
Total, Program/Service Delivery (Items 5.a-f)	\$ <u>62,988</u>	\$ <u>68,486</u>	\$ <u>68,871</u>	\$ <u>52,900</u>	\$ <u>150,000</u>
<b>6. Management and General Administrative Expenditures</b>	\$ <u>79,802</u>	\$ <u>90,378</u>	\$ <u>80,502</u>	\$ <u>108,550</u>	\$ <u>105,000</u>
<b>7. Fundraising Expenditures</b>					
(a) General Fundraising Expenditures	\$ <u>25</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>
(b) Expenditures Associated with Special Fundraising Events/Benefits as shown on 1(e) of Form B1	\$ <u>100</u>	\$ <u>500</u>	\$ <u>-</u>	\$ <u>10,000</u>	\$ <u>10,000</u>
Total, Fundraising Expenditures (Items 7.a-b)	\$ <u>125</u>	\$ <u>500</u>	\$ <u>0</u>	\$ <u>10,000</u>	\$ <u>10,000</u>
<b>8. In-Kind Goods or Services (must equal Item 2 on Form B1)</b>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>
<b>9. Other (describe) <u>miscellaneous</u></b>	\$ <u>4,700</u>	\$ <u>2,955</u>	\$ <u>3,000</u>	\$ <u>14,560</u>	\$ <u>10,000</u>
(1990) Bldg. upgrade; computer supplies; tech booth equip.	\$ <u>147,615</u>	\$ <u>162,319</u>	\$ <u>152,373</u>	\$ <u>186,010</u>	\$ <u>275,000</u>
Total Expenditures (Items 5-9)	\$ <u>147,615</u>	\$ <u>162,319</u>	\$ <u>152,373</u>	\$ <u>186,010</u>	\$ <u>275,000</u>
<b>10. Surplus (Deficit) for the Year (Result of Operations for Year)</b>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>-</u>
<b>11. Fund Balance at Beginning of Year</b>	\$ <u>14,322</u>	\$ <u>16,299</u>	\$ <u>151</u>	\$ <u>28,000</u>	\$ <u>61,170</u>
<b>12. Change(s) in Fund Balance (explain below)</b>					
<b>13. Fund Balance at End of Year</b>	\$ <u>16,299</u>	\$ <u>151</u>	\$ <u>28,000</u>	\$ <u>61,170</u>	\$ <u>52,660</u>



# Advancement Program Application Form B1: Financial Data

See instructions on page 26.

## TOTAL OPERATIONS: SUPPORT AND REVENUE

Applicant organization: IFCC City Portland State OregonOrganization's Fiscal Year Ending: June (Month) 30 (Day)

### SUPPORT AND REVENUE

Fiscal Year Ending:

19 8719 8819 8919 9019 91

#### 1. Contributions

(a) Board Members	\$ <u>100</u>	\$ <u>175</u>	\$ <u>200</u>	\$ <u>200</u>	\$ <u>250</u>
(b) Other Individuals	<u>203</u>	<u>254</u>	<u>424</u>	<u>300</u>	<u>400</u>
(c) Corporations	<u>11200</u>	<u>2500</u>	<u>3812</u>	<u>27580</u>	<u>28000</u>
(d) Foundations	<u>9275</u>	<u>12896</u>	<u>41125</u>	<u>40500</u>	<u>27500</u>
(e) Gross Income from Special Fundraising Events/Benefits	<u>100</u>	<u>389</u>	<u>—</u>	<u>25,000</u>	<u>35,000</u>
(f) Other (describe) <u>new funding source for 2nd theatre season</u>	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>	<u>15,000</u>

Total, All Contributions (Items 1.a-f) \$ 20905 \$ 16,204 \$ 45611 \$ 93580 \$ 106150

#### 2. In-kind Goods or Services (describe)

Total, All In-Kind (Item 2) \$ — \$ — \$ — \$ — \$ —  
(must equal Item 8 on Form B2)

#### 3. Government Grants

(a) Local	\$ <u>84802</u>	\$ <u>88502</u>	\$ <u>84002</u>	\$ <u>67000</u>	\$ <u>67000</u>
(b) State or Regional	<u>3900</u>	<u>8450</u>	<u>6000</u>	<u>9200</u>	<u>7000</u>
(c) Federal (excluding Arts Endowment)	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
(d) Arts Endowment Program Support	<u>5000</u>	<u>5000</u>	<u>5,000</u>	<u>5000</u>	<u>5000</u>
Total, All Government Grants (Items 3.a-d)	\$ <u>93702</u>	\$ <u>101952</u>	\$ <u>95002</u>	\$ <u>81,200</u>	\$ <u>79,000</u>

#### 4. Revenue (Earned Income)

(a) Program Revenue (e.g., tickets, admissions)	\$ <u>27406</u>	\$ <u>36254</u>	\$ <u>31893</u>	\$ <u>30600</u>	\$ <u>65,000</u>
(b) Investment Income	<u>2500</u>	<u>2910</u>	<u>3041</u>	<u>7100</u>	<u>5,000</u>
(c) Rental Income	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
(d) Gross Income (Loss) on Sales	<u>3326</u>	<u>3521</u>	<u>3670</u>	<u>5700</u>	<u>6000</u>
(e) Other Revenues (describe) <u>class fees</u> <u>PDS/Audience Dev.</u>	<u>—</u>	<u>—</u>	<u>1000</u>	<u>1000</u>	<u>1000</u>

Total, All Revenue (Items 4.a-e) \$ 33232 \$ 42685 \$ 39604 \$ 44400 \$ 77000Total Support and Revenue (Items 1-4) \$ 147,812 \$ 160,841 \$ 180,217 \$ 219180 \$ 262150



INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER

P.O. Box 17569  
5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

12-19-89

Memo to: NEA Advancement Program

From: IFCC

Re: Financial Statement  
FY 1988-89

Summary  
Explanation

for our city audit  
IFCC 9091 by Sept 30

The City of Portland acts as the financial manager for the IFCC under the guidelines of the original granting source, the Federal Dept. of Parks and Recreation.

The City oversees three accounts for the IFCC:

① \$180,502

Enclosure #1: Statement of General Fund Expenditures.

Explanation - This money is contributed to the IFCC from the City of Portland for Admin/Operating costs.

Ending balance: \$2,226.44

Enclosure #2: IFCC Trust Fund.

Explanation - This money is raised by the IFCC for programming and operating costs.

Ending balance: \$1,870.06

Enclosure #3: IFCC Fred Meyer Charitable Trust Grant.

Explanation - This money reflects a grant received for special programming costs: IFCC portion equals \$31,000.

The IFCC acts as fiscal manager for a grant received by the N.W. Theatre for the Deaf (an IFCC resident group) from the same funding source: NWTD portion equals \$10,000.

Ending balance: \$39,000

Enclosure #1

FS52

DATE PREPARED- 08/17/89

\*\*\*THIS REPORT IS ON THE CASH BASIS\*\*\*

CITY OF PORTLAND  
FINANCIAL MANAGEMENT SYSTEM

PAGE 2055

BUC CASH REPORT

ACCOUNTING PERIOD- 13  
ENDING DATE- 06/30/89  
0% OF YEAR REMAINING

REPORT NO- FS5201

RESPONSIBILITY UNIT- 191 COMM #4 PUB SAFETY

--BASIC--		--ORIGINAL--	---	CURRENT---	-----EXPENDITURES-----					
UNIT CODE	DESCRIPTION	APPROPRIATION	APPROPRIATION	CURRENT PERIOD	YEAR-TO-DATE	ENCUMBRANCES	BALANCE	PCT		
19100057	INTRST CULTURAL CTO1	80,502.00	80,502.00	110.85	78,246.56	29.00	2,226.44	2%		
RESPONSIBILITY UNIT TOTAL		80,502.00	80,502.00	110.85	78,246.56	29.00	2,226.44	2%		
EXPENDITURE SUMMARY										
CODE	DESCRIPTION	APPROPRIATION	---	CURRENT---	-----EXPENDITURES-----					
		APPROPRIATION	APPROPRIATION	CURRENT PERIOD	YEAR-TO-DATE	ENCUMBRANCES	BALANCE	PCT		
110	FULL-TIME EMPLOYEES	29,023.00	29,023.00	0.00	0.00	0.00				
111	FULL-TIME POSITIONS	0.00	0.00	0.00	24,893.16	0.00				
GROUP TOTAL 110 - 119		29,023.00	29,023.00	0.00	24,893.16	0.00	4,129.84	14%		
169	BENEFLEX BENEFITS	0.00	0.00	0.00	4,230.85	0.00				
170	BENEFITS	11,609.00	11,609.00	0.00	0.00	0.00				
171	FICA	0.00	0.00	0.00	2,144.08	0.00				
173	PENSION	0.00	0.00	0.00	3,910.01	0.00				
177	PERS PICK-UP	0.00	0.00	0.00	1,712.99	0.00				
GROUP TOTAL 166 - 179		11,609.00	11,609.00	0.00	11,997.93	0.00	-388.93	-3%		
181	VACATION	0.00	0.00	0.00	1,225.44	0.00				
182	SICK LEAVE	0.00	0.00	0.00	1,428.44	0.00				
183	HOLIDAY	0.00	0.00	0.00	1,003.04	0.00				
GROUP TOTAL 180 - 189		0.00	0.00	0.00	3,656.92	0.00	-3,656.92	0%		
TOTAL PERSONAL SERVICES		40,632.00	40,632.00	0.00	40,548.01	0.00	83.99	0%		
220	UTILITIES	7,000.00	7,000.00	0.00	0.00	0.00				
221	ELECTRICITY	0.00	0.00	112.31	4,572.95	0.00				
222	WATER/SEWER	0.00	0.00	0.00	473.04	0.00				
223	NATURAL GAS	0.00	0.00	-1.46	1,581.50	0.00				
GROUP TOTAL 220 - 229		7,000.00	7,000.00	110.85	6,627.49	0.00	372.51	5%		
260	MISC SERVICES	17,970.00	17,970.00	0.00	15,371.00	29.00				
GROUP TOTAL 260 - 289		17,970.00	17,970.00	0.00	15,371.00	29.00	2,570.00	14%		
310	OFFICE SUPPLIES	500.00	500.00	0.00	0.00	0.00				
GROUP TOTAL 310 - 319		500.00	500.00	0.00	0.00	0.00	500.00	100%		

DATE PREPARED- 08/17/89

\*\*\*THIS REPORT IS ON THE CASH BASIS\*\*\*

## BUC CASH REPORT

REPORT NO- FS5201

ACCOUNTING PERIOD- 13  
ENDING DATE- 06/30/89  
0% OF YEAR REMAINING

RESPONSIBILITY UNIT- 191 COMM #4 PUB SAFETY

CODE	DESCRIPTION	--ORIGINAL-- APPROPRIATION	---CURRENT--- APPROPRIATION	-----EXPENDITURES----- CURRENT PERIOD	YEAR-TO-DATE	ENCUMBRANCES	BALANCE	PCT
320	OPERATING SUPPLIES	750.00	750.00	0.00	254.48	0.00		
325	JANITORIAL SUPPLIES	0.00	0.00	0.00	380.02	0.00		
GROUP TOTAL	320 - 329	750.00	750.00	0.00	634.50	0.00	115.50	15%
490	MISCELLANEOUS	1,000.00	1,000.00	0.00	0.00	0.00		
GROUP TOTAL	490 - 499	1,000.00	1,000.00	0.00	0.00	0.00	1,000.00	100%
SUBTOTAL M & S EXTERNAL		27,220.00	27,220.00	110.85	22,632.99	29.00	4,558.01	16%
512	POOL VEH TRIP TICKET	0.00	0.00	0.00	95.30	0.00		
GROUP TOTAL	510 - 519	0.00	0.00	0.00	95.30	0.00	-95.30	0%
520	PRINT/DISTRIBUTION	7,000.00	7,000.00	0.00	0.00	0.00		
521	DUPLICATING	0.00	0.00	0.00	2,937.11	0.00		
522	GRAPHICS	0.00	0.00	0.00	1,408.32	0.00		
523	PHOTOGRAPHY	0.00	0.00	0.00	21.84	0.00		
526	MAIL PROCESSING	0.00	0.00	0.00	1,448.20	0.00		
528	POSTAGE	0.00	0.00	0.00	4,305.93	0.00		
529	COPY SERVICE	0.00	0.00	0.00	140.94	0.00		
GROUP TOTAL	520 - 529	7,000.00	7,000.00	0.00	10,262.34	0.00	-3,262.34	-46%
540	ELECTRONIC SERVICES	4,000.00	4,000.00	0.00	0.00	0.00		
544	BILLABLE TELEPHONE	0.00	0.00	0.00	2,635.48	0.00		
GROUP TOTAL	540 - 549	4,000.00	4,000.00	0.00	2,635.48	0.00	1,364.52	34%
580	INTRA-FUND SERVICES	1,650.00	1,650.00	0.00	2,072.44	0.00		
GROUP TOTAL	580 - 589	1,650.00	1,650.00	0.00	2,072.44	0.00	-422.44	-25%
SUBTOTAL M & S INTERNAL		12,650.00	12,650.00	0.00	15,065.56	0.00	-2,415.56	-19%
TOTAL MATERIALS/SERVICES		39,870.00	39,870.00	110.85	37,698.55	29.00	2,142.45	5%
RESPONSIBILITY UNIT TOTAL		80,502.00	80,502.00	110.85	78,246.56	29.00	2,226.44	2%

Enclosure #2

CITY OF PORTLAND  
TRUSTEE DETAIL & BALANCE REPORT  
PERIOD 13 ENDING 06/30/89

BUC #: 48250153 DATE OF ACCTGNT: 03/30/84

ACCT-NO NAME & ADDRESS

AUTHORIZED SIGNATURES

B&O AND PA INFORMATION

K-00550 INTERSTATE FIREHOUSE  
C/O. CULTURAL CENTER

DICK BOGLE  
AL JAMISON

ADDITION:

00000

LOGSDON, DAVID

BLOCK: LOTS: LIENS: 00/00/00  
LIEN: .00 FLAG: .00

	DATE	CODE	NUMBER	RECEIPTS	DISBURSEMENTS	BALANCE
BEGINNING BALANCE						2,945.14
	06/15/89	D	66719	.00	700.83	2,244.31
	06/19/89	D	66723	.00	2,005.12	239.19
	06/27/89	R	68840	2,597.50	.00	2,836.69
	06/29/89	D	66745	.00	1,185.00 *	1,651.69
	06/30/89	D	66746	.00	81.63	1,570.06
ENDING BALANCE						1,570.06

300 SB  
from m00555  
adj 10-12-89  
J Alcid  
Beaver

Enclosure #3

CITY OF PORTLAND  
TRUSTEE-DETAIL & BALANCE REPORT  
PERIOD 13 ENDING 06/30/89

BUC #: 49201153 DATE OF ACCOUNT: 00/00/00

ACCT NO NAME & ADDRESS

AUTHORIZED SIGNATURES

B&O AND PA INFORMATION

K 00555 FRED MEYER CHARITABLE TRUST  
C/O:

ADDITION:

BLOCK: LOTS: LIENS: 00/00/00  
LIEN: .00 FLAG: .00

00000

	DATE	CODE	NUMBER	RECEIPTS	DISBURSEMENTS	BALANCE
BEGINNING BALANCE						31,000.00
	06/15/89	R	68552	10,000.00	.00	41,000.00
	06/27/89	D	66741	.00	2,000.00	39,000.00
ENDING BALANCE						39,000.00



February 9, 1990

Dear Evonne:

I followed your advice. We submitted grants to Advancement and Inner Arts. Nefertiti Burton just finished a site session with us. What a treat to get a reviewer who has ~~hyper~~ cultural experience. She shared her experience with our staff which is always starving for the opportunity to hear her kind of information. I know you had something to do with making all of this happen.

Please know that your efforts are affecting even those of us as far away as Oregon!

Sincerely,

Sue Busby,  
Executive Director

NATIONAL  
ENDOWMENT  
FOR  
THE ARTS

WASHINGTON  
D.C. 20506

A Federal agency advised by the  
National Council on the Arts



September 26, 1989

Ms. Sheryl Warren  
President  
Interstate Firehouse Cultural Center  
5340 N. Interstate  
Portland, OR 97217

Dear Ms. Warren:

The National Endowment for the Arts has received your FY 90 Advancement application. During the next six months your application will be reviewed by NEA staff, Arts Endowment panels, the Presidentially appointed National Council on the Arts and the Chairman of the Endowment. We are committed to providing the most thorough review possible for Advancement applications; an outline of the process is enclosed for your information.

Because of the length of time allowed for the review of these applications, you may need to communicate with this office concerning changes within your organization. Please feel free to call the Advancement program specialist Nicki Silverman, or program assistant Staige Davis, at (202) 682-5436 whenever changes occur or questions arise.

Organizations which have not submitted audited financial statements for their most recently completed fiscal year (prior to the application date) are required to submit two copies no later than January 5, 1990. The audits must be in our office by close of business January 5. This is not a postmark date. Applicants unable to comply with this eligibility requirement will be rejected at this time.

Official notification of whether or not your organization will continue in the Advancement review process will occur in February, 1990. Thank you for your interest in the Advancement Program.

Sincerely,

  
Jeanne B. Hodges  
Director  
Challenge and Advancement Programs

Enclosure

cc: Susan Busby

NATIONAL  
ENDOWMENT  
FOR  
THE ARTS

WASHINGTON  
D.C. 20506



A Federal agency advised by the  
National Council on the Arts

January 16, 1990

Mr. Al Jamison  
Commissioner Assistant  
The City of Portland  
1220 S.W. 5th Avenue, Room 404  
Portland, OR 97204

Dear Mr. Jamison:

I am pleased to inform you that the FY 90 Advancement application submitted by City of Portland for the Interstate Firehouse Cultural Center has been recommended by the Expansion Arts Advancement panel for further consideration.

Although your application has been recommended for further review by the panel, it must also be reviewed by the National Council on the Arts during their meeting in February, and lastly by the Chairman. Concurrently, time constraints require that a few organizations be assessed prior to the Council meeting.

If you have not already been contacted, you will hear shortly from a representative of the independent contractor selected by the Endowment to assess your organization and advise the Endowment whether your organization is ready to take full advantage of the planning and consulting support you would receive during Phase I of Advancement. You will be visited for a full working day, during which the non-artistic aspects of your organization will be reviewed in detail. The field assessor will want to interview selected members of your board and staff to discuss issues such as finance, management, personnel, facilities and organizational and long range planning.

The task of performing assessments has been given to a team coordinated by the University of Southern Maine in Portland. The assessors are working to minimize the impact of their visits on your schedule and to make the encounter pleasant and instructive.

You should remember that Advancement is an organizational development program. Applicants considered "ready" for the program often exhibit organizational problems and barriers to growth or stability. However, they have a strong commitment to address and resolve them. Our search is not for fully established organizations that have put all their problems behind them. At the same time, Advancement is not intended for those whose operations are in crisis. The candidates selected to participate will have achieved sufficient stability and resources to be able to address the problems confronting them and prepare for a period of artistic and organizational development.

Page Two

The USM team member will have reviewed your application and will use this field visit to deepen his or her understanding of the organizational issues you hope to address during Phase I of Advancement. Your candor will help to assure a balanced and accurate portrayal of your circumstances and prospects. You should feel free to ask your interviewer how information developed during the discussion will be treated and to explain the ways in which assessment reports are prepared.

If you have any questions, please contact the Advancement Program at (202) 682-5436. While the number of organizations which can be accepted into Advancement will be limited, we hope that you will find this stage of the review process helpful. We wish you continued success with your important programs over the coming months.

Sincerely,

Jeanne B. Hodges

  
Director  
Challenge and Advancement  
Programs



NATIONAL  
ENDOWMENT  
FOR  
THE ARTS

WASHINGTON  
D.C. 20506



A Federal agency advised by the  
National Council on the Arts

February 5, 1990

Mr. Dick Bogle  
Commissioner of Public Safety  
The City of Portland for the  
Interstate Firehouse Cultural Center  
1220 S.W. 5th Avenue, Room 404  
Portland, OR 97204

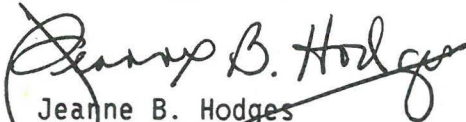
Dear Mr. Bogle:

This letter is a follow up to a letter I sent last month notifying you that your FY 90 Advancement application had been tentatively recommended for further consideration. At that time, your organization's application had to be forwarded to the National Council on the Arts and then to the Chairman of the Endowment. This has now occurred.

I am pleased to inform you that the FY 90 Advancement application submitted by The City of Portland for the Interstate Firehouse Cultural Center has been officially recommended for further consideration. In the coming months, your organization will receive a management assessment from the University of Southern Maine, the independent contractor selected by the Endowment. The management assessment report as well as your organization's application will then be reviewed by an inter-disciplinary Advancement panel in April. You will not receive final word whether or not your organization is a participant in the Advancement program until after the May 1990 National Council on the Arts meeting.

If you have any additional questions in the meantime, please feel free to contact the Advancement program at 202/682-5436.

Sincerely,

  
Jeanne B. Hodges  
Director  
Challenge and Advancement  
Programs

cc: Al Jamison; Susan Busby, Project Director

# NATIONAL ENDOWMENT FOR THE ARTS

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## NEWS



A Federal agency advised by the National Council on the Arts  
1100 Pennsylvania Avenue, N.W.  
Washington, D.C. 20506

For further information contact:  
Katherine Christie/Virginia Falck  
202/682-5569 tel.

For Immediate Release:

### ARTS ENDOWMENT ADVANCEMENT PROGRAM TO ASSIST 50 ARTS ORGANIZATIONS

WASHINGTON, DC -- Fifty organizations of exceptional artistic merit that are striving to make administrative improvements to ensure their long-term stability, will receive a helping hand from the National Endowment for the Arts' Advancement Program.

Announcing the arts organizations selected to participate in the technical assistance phase of the Advancement program, Endowment Chairman John Frohnmayer noted that 200 arts organizations have benefited from the Advancement Program in the past seven years. Those selected recently as new participants will work on long-range planning over the next fifteen months with technical assistance provided by the Arts Endowment.

Frohnmayer said, "Many of these organizations have achieved widespread artistic recognition and are now balancing the demands of their art with those of growth. The Endowment's help in many instances comes at a crucial time, when these organizations must face problems of long work hours at low pay, high employee turnover and soaring costs. The Advancement Program is specifically designed to give them the tools for identifying such problems and creating solutions tailored to meet their individual organizational and operational needs."

He explained that the Advancement Program is two-pronged. During this first, technical assistance period, the Endowment works with the participants to analyze their situations and to develop cohesive plans for the future. Upon successful completion of a plan, the participants then become eligible to apply to the Endowment for a phase two matching grant from the Advancement Program to help implement it.

MORE...

Of the fifty organizations selected for the Program, seven will benefit from the shorter duration Target Technical Assistance effort under which the Endowment assists organizations to focus on and solve specific areas of management need. Target Technical Assistance is designed to strengthen such targeted operations so that the organizations can better qualify for the more complex, full program in subsequent years.

Jeanne Butler Hodges, Director of the Endowment's Challenge and Advancement Programs, said, "Willingness to explore new avenues for achieving a strong organizational structure is crucial to success in the planning phase. What makes Advancement work is that each organization is approached individually. Its technical assistance effort addresses fundraising, marketing, board and staff development, public relations, financial systems, programs and facilities needs. We look at the unique artistic mission, base of support, history, management and growth pattern of each organization as we work with them to develop a plan that will succeed over the long-term."

Melanie Beene and Associates in San Francisco, CA will serve as the managing consultant to the Advancement Program participants over the fifteen month period. She explained that the technical assistance will include several components: regularly scheduled on-site visits by a regionally-based consultant; a conference which will bring all participants together to share information; and additional, individual guidance as required from specialists in such areas as marketing, fundraising and board development.

The new Advancement Program participants come from seven arts discipline areas: Dance, Expansion Arts, Folk Arts, Literature, Media Arts, Opera-Musical Theater, and Visual Arts.

Following is a complete list of the new Advancement Program and Target Technical Assistance participants.

Advancement Program Phase One Participants:

African-American Dance Ensemble	Durham, NC
Austin Lyric Opera	Austin, TX
Ballet Omaha	Omaha, NE
Calyx, Inc.	Corvallis, OR
Capp Street Project	San Francisco, CA
Center for Exploratory and Perceptual Art	Buffalo, NY
Center for Photography at Woodstock	Woodstock, NY
Chinese American Educational and Cultural Center	Ann Arbor, MI
Cityfolk	Dayton, OH
Coconino Center for the Arts	Flagstaff, AZ
Colorado Dance Festival	Boulder, CO
Community Film Workshop of Chicago	Chicago, IL

MORE...



Cresson Lake Playhouse, Inc.  
(Allegheny Highlands Regional Theater)  
Dance Bay Area  
Dance Brigade  
DanceCleveland  
David Adler Cultural Center  
Diverseworks  
Foundation for Art in Cinema/  
San Francisco Cinematheque  
Friends of Olympia Station/  
Tandy Beal & Company  
Friends of Puerto Rico, Inc./  
Museum of Contemporary Hispanic Art  
Hostos Community Advisory Council/  
Hostos Culture and Arts Program  
Houston Center for Photography  
H.T. Dance Company/Chen and Dancers  
Interstate Firehouse Cultural Center  
Jomandi Productions, Inc.  
Lime Kiln Arts  
Mexican Museum  
Muntu Dance Theatre  
National Asian American  
Telecommunications Association  
National Institute of Art & Disabilities  
Pittsburgh Dance Council  
Pittsburgh Filmmakers  
Pyramid Arts Center  
Small Press Distribution/  
Serendipity Books Distribution, Inc.  
San Jose Taiko Group  
Sealaska Heritage Foundation  
Western Folklife Center  
World Music Institute  
The Writer's Voice/Y.M.C.A of Greater  
New York  
Writers & Books, Inc.  
Zenon Dance Company & School

Target Technical Assistance Participants:

Aljira, Inc.  
Alternate Worksite/Bemis Foundation  
American Poetry Review  
Caribbean Dance Company of the  
U.S. Virgin Islands  
Collective for Living Cinema  
Double Helix, Corporation  
Kulintang Arts, Inc.

Ebensburg, PA  
San Francisco, CA  
Oakland, CA  
Cleveland, OH  
Libertyville, IL  
Houston, TX

San Francisco, CA

Santa Cruz, CA

New York, NY

New York, NY  
Houston, TX  
New York, NY  
Portland, OR  
Atlanta, GA  
Lexington, VA  
San Francisco, CA  
Chicago, IL

San Francisco, CA  
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For further information about the Advancement Program, write

National Endowment for the Arts  
Advancement Program, Room 617  
1100 Pennsylvania Ave., N.W.  
Washington, DC 20506

JULY 1990



INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

Itinerary

Wednesday, Sept. 12<sup>th</sup> : 6:15 pm by Sue Busby  
airport pick-up  
Meet with Exec. Committee & Staff

Sherge Warren, Pres.

Teana Woolley, V. Pres.

Edith Kilbuck, Sec.

Peter Vlahos, Treasurer

Sue Busby, Exec Dir.

Judy Yeckel, Producing Dir.

Ellen Sallod, Consultant

Place: Home of Teana Woolley  
5006 NE. Mallory  
281-6229

Time: 7-9 pm

Agenda: - Complete Self-assessment  
- Draft work Plan  
- Complete Letter of agreement

Thursday, Sept. 13<sup>th</sup>

Meet with IFCC staff, 9-12 noon

Meet with IFCC Board, 12-1:30 pm

Meet with staff, 3-5 pm

Attend IFCC Theatre, 8-9:30 pm

(Opening nite of "For Better, Not For Worse")  
by So. African Selaelo Maredi

Fri. Sept 14<sup>th</sup> - Depart for Seattle, 6:45 am

Showing Portland's diverse cultural communities through the arts.

Commissioner in Charge, Dick Bogle

T. Ellen Sollod

724 Belmont Place East  
Seattle, Washington 98102  
206.324.7644

TO: Sue Busby, IFCC  
Felicia Dryden, CDF

FROM: T. Ellen Sollod

RE: Getting you started!

DATE: August 14, 1990

Enclosed you will find some materials which should help get you started and focused on the task before us. You will note that there are two packets prepared by The North Group relating to Boards and Fundraising. Let me suggest that you review them briefly and we can discuss them at greater length when I come for a site visit.

There is also a description of the planning process with a variety of items to consider as we embark on this venture. Finally, I have included an organizational self-assessment questionnaire. Consider this food for thought to assist us in preparing the self-assessment tool next month. Do not attempt to draft answers to these questions--just ponder them, discuss them with other staff and selected board members.

During our site visit, I would like to complete the organizational self-assessment, a draft workplan, and the letter of agreement. In preparation for this, let me suggest that you make a list of all the dates throughout the fall, winter and spring that may impact our timetable, and consider whether you will want me to conduct a board retreat. Ideally this will occur after we have drafted (or reviewed and reaffirmed) your organizational mission statement, artistic goals and objectives. Also, consider whether you wish to use a planning committee to complete this process and who might be the appropriate members (this could include board and nonboard members, staff, artists, or others intimately connected with the organization).

Currently, I am planning to arrive in Portland on the evening of Wednesday, Sept 12 and spend all day the 13th with IFCC (Sue, this is a slight modification to our conversation in Washington. Please let me know if this works for you). Depending upon flight schedules, I will either depart for Colorado on the evening of the 13th or the morning of the 14th. Felicia, I will plan to arrive in Boulder no later than noon on Friday and be available to work through mid-day Saturday.

I am looking forward to our work together. If you do not already have a copy, let me suggest that you order NO QUICK FIX: PLANNING from FEDAPT in NY. You can order by phone 212-966-9344. This is a very simple primer on planning which describes the process and gives a sample workplan. It is a good place to start from.

Take care and I'll see you soon.

\$9.95 + 2  
per copy

FEDAPT  
270 Lafayette St, #810  
NY, NY 10012



## 10. GUIDELINES FOR PREPARING A MULTI-YEAR PLAN

The Advancement Program encourages uniquely individual approaches on how you organize and present your Multi-Year Plan, but there are certain elements which should be included.

Every plan should deal with the fundamentals: 1) Purpose/Mission, 2) Population/Audience/Market, 3) Program, 4) Personnel, 5) Facilities, and 6) Finances.

For every component of the Plan, it is helpful to answer the following three questions -- What? Why? How? -- as illustrated below:

1. "What" may often be answered in a sentence or two, i.e. "We propose to enlarge our Board from the current twelve members to the maximum twenty-five permitted by our By-Laws."
2. The answer to "why," if it is well thought out, may not take much more space: "Right now we do not have enough Board members to move into a functioning committee system for the Board, and we definitely need more Board help if our fundraising goals are to be met."
3. "How" is the critical question and the most difficult to answer. How quickly are the additional thirteen to be added? How many to be added each year? How does this fit in with normal rotation of Board members? What are the criteria to identify qualified candidates? Who is going to recruit the candidates? What steps will be taken to integrate the "new Board members" with the historic Board members?

Good planning is figuring out the "how," which is the difference between having a viable plan and a fantasy plan. In any viable plan, "what" is important, "why" is essential, and "how" is absolutely critical. A plan which outlines this kind of specific action is what excites funding prospects, especially corporate and foundation sources.

Strive to have your Plan elicit this reaction in a reader: "I now understand this organization. I know what the group wants to do. I know why they want to do it, and they clearly know how they are going to accomplish it. AND IT ALL MAKES GOOD SENSE!"

The narrative of your plan, as outlined above, will require something like 12-15 pages. Quality is much more favored than quantity. Among other things, your document will include the following parts: 1) Cover page (letterhead with typed-in title works well). 2) Narrative. 3) Financials -- both actual and forecast. 4) Organization chart. 5) Excerpt from Board Minutes approving the Plan. The financials must be sufficiently detailed to show the income and expenses of all aspects of your operation. The financials should include the two most recently completed fiscal years, the current (budget) year, and three years of forecasts. Arts Endowment forms are a good model for the financials.

Your Advancement Consultant is there to help you, but the responsibility to produce a viable plan is yours. The application for Phase Two of the Advancement Program depends on your having developed a viable, realistic Multi-Year Plan. Now is the appropriate time to start work on it! Don't wait until January!

## 11. AN OUTLINE FOR STRATEGIC PLANNING

### A. WHY PLAN?

1. Improves your organization's ability to support the creation/presentation of the art.
2. Forces you to define your organization.
3. Creates uniformity of purpose:
  - a. Among Board.
  - b. Among staff.
  - c. Between Board and staff.
  - d. With funding sources.
  - e. With audience/constituency.
4. Develops a decision framework:
  - a. Operating plan.
  - b. Capital plan.
  - c. Resource requirements.
  - d. Budgets.
  - e. Performance evaluation.
5. Helps you avoid crisis management.
6. Helps build teamwork and expertise.
7. Sets priorities:
  - a. Matches resources to opportunities.
  - b. Assigns responsibilities.
  - c. Discourages unrealistic endeavors.
8. Helps solve major organizational problems.
9. Helps explain the organization to the public.
10. Helps explain the organization to itself.
11. Provides measures of success and failure.
12. Helps you take greater control over the environment -- "to be a mover and shaker rather than shaken and moved."

### B. WHAT IS STRATEGIC PLANNING?

1. The process to determine where your organization is going, what it is going to be, and how it is going to get there.

B. WHAT IS STRATEGIC PLANNING? (cont.)

2. The process of making choices about:
  - a. The purpose of the organization.
  - b. The programs and services to be offered.
  - c. How to attract the resources needed: people, money, expertise, space, etc.
3. Finding "a fit" among three sets of forces:
  - a. What you want to accomplish.
  - b. What is needed and feasible.
  - c. What you are capable of doing.

C. PLANNING INVOLVES:

1. Gathering information:
  - a. About your organization.
  - b. About the environment in which your organization operates.
2. Assessing the information gathered.
3. Developing strategies to deal with the situations thus revealed.

D. TIPS FOR PLANNING:

1. **Don't be afraid to guess** -- strengthen your accuracy by handling projections in bit-sized pieces.
2. **The process is as important**, if not more important, than the final document. Design the process to insure the involvement and commitment of key leaders. Everyone who is included in the process will "buy into" the dream.
3. **Start where you are**, dream into the future, and fill in how to get there.
4. **Create a first-cut plan** as a broad overview, a general guide from which more detailed and short-term plans are derived.
5. **Create a planning team** of five to ten people from the following:

Executive Director  
Fiscal Director

Artistic/Program Director  
Board members

Also consider:

Contributors  
Business People  
Volunteers

Audience Members  
Artists  
An "Outside Wildcard"

Representatives from Comparable Organizations

D. TIPS FOR PLANNING (cont.):

6. **Provide leadership:**

a. Procedure:

- 1) Executive Director prepares a document to which the Board responds.
- 2) Board must be given honest opportunity for input.
- 3) **Both parties must listen and respond.**

b. Nature:

- 1) Planning is not democratic but usually is Machiavellian.
- 2) **You only have as much power as you can give away.** Again, design the process to insure the involvement and commitment of key leaders. Everyone who is included in the process will "buy into" the dream.

7. **Gather information through:**

- a. Focus groups.
- b. Board retreats.
- c. Interviews.
- d. Knowledgeable and varied Board, volunteers, and staff.
- e. Surveys.

8. **Include both planning and projecting:**

- a. Projecting is the process of thinking through your group's objectives and translating them into income and expense projections.
- b. Planning is the process of working out the step-by-step.

9. **Know that the product of planning is the process, but that the process also produces:**

- a. 10-15 pages of narrative.
- b. Detailed budgets.
- c. A state of mind.
- d. A commitment to implement results.

E. THE PROCESS OF PLANNING:

1. **Get Ready!**

- a. Carve out the time to do it.
- b. Get top staff and Board leadership committed to the process.
- c. Determine how you will utilize the consultant.
- d. Choose a planning process which fits.
- e. Choose a planning team.



E. THE PROCESS OF PLANNING (cont.):

2. **Know the community and the community's needs:**

- a. Geography.
- b. Demographics: disposable income, education, age, ethnic mix, mobility.
- c. Sociographics: life-styles, occupations, recreational patterns.
- d. Psychographics: state of mind.
- e. Broader context: crime, rents, transportation, health, economy, recreation, technology, etc.
- f. Competition: for audience, funds, facilities -- are there any cultural needs or voids?

Key: Don't just project your needs and desires on the community. Let the community tell you what it needs and will support.

3. **Determine the purpose or mission or your organization:**

- a. Why should this organization exist?
- b. What business are you in?
  - 1) Central purpose.
  - 2) Peripheral purpose.
- c. What is your organization's philosophy?
  - 1) Artistic.
  - 2) Managerial.

4. **Conduct an internal audit, including:**

- a. **People** -- Who are we? Who do we know? Who loves us? What can we do?
  - 1) Staff: quality, stability, effectiveness, numbers, artistic ability, and talent (be honest now!).
  - 2) Audience: Who are they? What do they buy? How do they buy? Where do they live? How do they get to us?
  - 3) Funders: How many donors do we have? Why and for how long have they been giving? What interests them? What power do they have within the community? How loyal are they? How much can they afford to give?

Key: 5 to 15 committed volunteers will raise 75-95% of the money your organization will collect from 50 to 100 people.

E. THE PROCESS OF PLANNING/Conduct an internal audit/**People** (cont.)

- 4) Board: Are they involved? Do they care? Do they give? Do they work? Do they have power or access to power? Will they use the power they have on your organization's behalf?

b. **Programs and services**

- 1) Is the art good?
- 2) Do we present the art effectively?
- 3) Do we meet a true artistic need? a true community need?
- 4) Are our programs/services cost effective?
- 5) Are they current/obsolete/ahead of their times?

c. **Money**

- 1) Long- and short-term debt.
- 2) Cash flow and cash reserves.
- 3) Endowment.
- 4) Restricted funds.
- 5) Percentage of contributed vs. earned income.
- 6) Corporate/foundation/government/individual support.
- 7) Stability of funding base.

d. **Space**

- 1) Overall condition -- Can you live with it? Do you really need to move? Is it cheaper to pay higher rent than to move?
- 2) Level of technical equipment -- artistic, office, computers.
- 3) Location -- accessibility, image, perceived safety, audience travel patterns, visibility.
- 4) Cost analysis of move if desired -- purchase price, construction expense, debt service, fundraising costs, maintenance, repairs, mortgage costs, cost of equity, staff.

e. **Image** -- What is the public awareness or perception of the organization? Consider the following:

- 1) Location.
- 2) Artistry (quality and consistency of work).
- 3) Audience.
- 4) Confidence (strength of management).
- 5) Level of activity.
- 6) Reputation.

f. **What are your weaknesses:**

- 1) The obvious ones?
- 2) The hidden, gnawing ones?
- 3) What is outdated?
- 4) What needs to be re-styled or discarded?
- 5) What are the constraints and limitations on time, money, space, artists, leadership, and management?

E. THE PROCESS OF PLANNING/Conduct an internal audit (cont.)

g. What are your strengths:

- 1) What are you doing which is right?
- 2) What should be maintained or expanded?
- 3) What do you do better than other groups?

h. What is your fundraising ability:

- 1) How large is your donor base?
- 2) How loyal are your donors?
- 3) What is donor confidence in your organization?
- 4) Do you have a legitimate need/case for raising money?
- 5) Do you have demonstrated volunteer leadership with enough power, money, time, and access to effectively raise money?
- 6) Do you have the staff resources needed to mount a campaign?

i. Budget -- Develop three-year historical and current year:

- 1) Operating budget.
- 2) Capital budget.
- 3) Cash flow analysis.

Key: Use Arts Endowment form as a guide.

j. Ask: What would happen if your organization went out of business?

5. Study your external environment:

a. Macro environment:

- 1) Health of the economy.
- 2) The government's economic policy.
- 3) Occupancy and transportation costs.
- 4) Changing value of the dollar.
- 5) Changing funding patterns.
- 6) Higher education levels.
- 7) Increased disposable income.
- 8) Older audiences.
- 9) Technological developments.
- 10) Cheaper computers.
- 11) Dropping attendance, including effect of VCR's.

b. Micro environment:

- 1) Who is the competition?
- 2) What other organizations are doing the same thing?
- 3) What market are they serving? How well?
- 4) Who funds them and why?
- 5) What is their product and how does it differ from ours?
- 6) How do we compare with the competition?

E. THE PROCESS OF PLANNING (cont.)

6. **Develop strategies/goals:**

- a. Analyze trends in the environment:
  - 1) How do they effect us?
  - 2) How do we increase our capacity to respond?
  - 3) How do we lessen our exposure?
  - 4) What needs are surfacing?
  - 5) What opportunities are there for new markets and services?
  - 6) What is happening elsewhere that has meaning for us?
- b. What services are needed?
- c. What market do we intend to serve?
  - 1) Its size?
  - 2) How can it be segmented?
  - 3) Who are the customers and how are they attracted?
- d. Why can we serve the market better than the competition?
- e. What resources are needed to provide the new service?
  - 1) Artistic vision.
  - 2) Board/volunteers.
  - 3) Staff.
  - 4) Space.
  - 5) Money.
- f. What do we do better than anyone else?
  - 1) Can we charge more for it?
  - 2) How can we capitalize on it?
  - 3) Is it capable of being applied in new ways and to new users?
- g. What changes need to made to existing:
  - 1) Programming?
  - 2) Management?
  - 3) Community image/support?
  - 4) Funding?
- h. Are facility changes needed and what effect would they have?
  - 1) Type of change needed -- major renovation, minor remodeling, refurbishment?
  - 2) How will space changes affect programs, management, community image/support, operating costs, financing?
  - 3) Does the community perceive the need for a new facility?
  - 4) Who will benefit?
  - 5) If you can buy, what will the effect be on staff, audience, artistic mission, balance sheet, operating statement? What will it cost to move the audience/cultivate a new audience?

E. THE PROCESS OF PLANNING/Develop strategies/goals (cont.):

- i. Based on the historical budget developed earlier, project forward three to five years:
  - 1) Organization's operating budget -- dropping suspended programs, adding new programs, and adding debt service for capital expenses.
  - 2) Organization's capital budget -- adding equipment and technological expenses, facility expenses, and the cost of raising capital funds.

F. METHODS OF PLANNING:

1. **Scenario Approach** -- Quick, keeps people's interest, and helps you focus on "big picture" issues.
  - a. Develop several alternative pictures of how your organization might look in the future.
  - b. Select the best and most appropriate elements from each scenario.
  - c. Research and test the feasibility of the concepts.
  - d. Review each with staff, Board, and other appropriate "experts."
  - e. Finalize the plan based on additional input derived from testing the scenarios.
2. **Critical Issues Approach**
  - a. Using information from internal and external audit, define critical issues facing the organization.
  - b. Prioritize those issues.
  - c. Resolve each issue.
  - d. Test the ability, desire, and need for your organization to deal with the chosen issues as a group.
3. **Goal Approach**
  - a. Set several goals as targets for the organization.
  - b. Identify a variety of strategies for achieving each goal.
  - c. Determine the best strategy to achieve each goal.
  - d. Outline plans to implement the strategies.
  - e. Test the viability of implementing each strategies.

G. PLANNING STRUCTURES:

1. Planning teams.
2. Board committees.
3. Board retreats.
4. A combination of the above.
5. Staff writes plan (Note: This is not an option).

H. PLANNING SEQUENCES:

1. Board retreat over 2-3 days:
  - a. Establish mission.
  - b. Review history, market, finances, programs, staff, facilities.
  - c. Establish priorities.
  - d. Develop strategies.
  - e. After retreat, planning team writes plan for Board approval.
2. One-day Board retreat/planning team:
  - a. Board retreat to establish mission, review history/market/finances/programs/staff/facilities, and establish priorities.
  - b. Planning team does homework on strategy, develops strategy, drafts plan.
  - c. Board reviews and approves plan.
3. Planning team/Board committee:
  - a. Select team.
  - b. Define approach.
  - c. Hold 6 to 10 three- to four-hour meetings.
  - d. Report to Board at least four times.
  - e. Staff does homework for the committee.

I. EVALUATION AND IMPLEMENTATION:

1. Does your organization really have the leadership, expertise, clout, and money, to achieve what has been planned?
2. Have you given each anticipated change a budget? timetable? numerical goal?
3. Has each step of the implementation been clearly assigned and accepted by a member of the Board/staff? Have measurable results been defined?



NATIONAL ENDOWMENT FOR THE ARTS  
ADVANCEMENT '90/'91

ORGANIZATIONAL SELF-ASSESSMENT

Does everyone (governing body/staff/volunteers/constituency/ funders/public) understand what the **purpose of your organization** is? Is that mission statement available in writing? Does everyone understand what the artistic vision and philosophy is? Is there a written historical overview of the organization?

Who provides the **artistic (programmatic)** leadership? Does the artistic (programmatic) leadership communicate the vision/direction adequately to the artists? to the governing body? to the staff? to volunteers?

Is there an annual **program planning** process? Is the annual plan written? How is it communicated? How/when is it reviewed/evaluated?  
Is there a multiyear planning process in place? Is the multiyear plan written? How is it communicated? How/when is it reviewed/evaluated?

How does the artistic leadership get critical feedback on what they are doing? How do they evaluate the work? Where/how do they seek new material? How does your organization determine whether your programs meet your constituent's needs?

Do you feel your organization is doing too much programming? too little? Why? Do you have adequate rehearsal/preparation time? Why not?

Do you have a system for regularly analyzing the cost-effectiveness of each program (production, etc.)? How is this information used in making decisions?

How are artists treated in your organization? Is their pay scale competitive with similar organizations in your market area? Are they employees or independent contractors? Do they receive any benefits? Do they feel an ownership stake in the organization? Are there different categories of artistic (program) staff? Do they have input into decisionmaking?

Does the artistic/technical staff have adequate space to create/rehearse/perform? Do they have adequate time? equipment?

Who is legally the **governing body** of your organization? Do they understand their function and duties? Is there something in writing that tells them what their role is? How are members of the governing body recruited? oriented? utilized? evaluated? Are there terms of office? do they rotate?

Are you fulfilling all the legal requirements of a nonprofit corporation? Are your bylaws current and used? How often does your governing body meet? Do they keep adequate written minutes? Do you file the appropriate state and federal tax and reporting forms (e.g. Form 990)? Do you pay withholding tax?

How effective is the governing body at fulfilling its stated functions? How involved are they in the organization? Do they reflect the diversity of the community you serve? of the community you live in?

Does the governing body formally review: regular financial statements? the annual budget? the auditor's report? the annual program review and plan?

Do members of the governing body: make annual cash donations? attend meetings & events? advocate the organization in the community? recruit new audience members (constituents)? recruit new donors?

Does the governing body hire/fire: the executive director? the artistic director? Do they conduct annual performance reviews? Set executive salaries? Do other staff report to the governing body?

How would you characterize the relationship/communication between the governing body and the staff, if they are separate?

Do other groups have input in decisionmaking? For example, artists, an advisory committee, or a volunteer council? What are the roles of any auxiliary groups?

Does the governing body feel involved? informed? a sense of accomplishment? How effective are they at fulfilling their assigned functions?

Does your structure of governance work for your organization? Have you tried other ways of doing business?

Does the **staff** have written job descriptions that reflect what they actually do? Does the staff understand how the organization is structured, i.e., to whom they are responsible, and who does what within the organization? Do they get regular feedback on how they are doing? formal performance reviews? Do they have a written personnel policy?

Who is the administrative leadership? How effective is their communication with staff? How effective is communication between staff members? between administrative staff and artists? between the governing body and artists?

Is the staff large enough for the work that needs to be done? What is slipping? Is the staff trained/experienced in their specific job assignments? Are there opportunities for them to get additional training? to attend professional meetings? How are job openings announced? advertised? filled?

How would you characterize your work environment? What, if anything, would you want to change? How is staff morale?

Is the salary scale for administrative staff competitive in the marketplace for your size/type organization? What benefits do they receive? Do you utilize outside contractors/consultants? Do you have enough physical space for all your staff to work? How adequate is your office equipment? What else do you need?

How are volunteers used in your organization? How do you recruit them? train them? acknowledge them? How effectively are they working?

In **marketing** terms, what products do you have for sale? Who buys them? Who is the competition for similar products in the marketplace? How is your organization distinguished from "the competition"?

Is your constituency all you want it to be? in size? in composition? Who would you like more of?

Do you regularly (annually):

- track ticket sales/attendance/product sales?
- conduct market research and analysis?
- review pricing policy relative to the competition?
- survey your constituency?

Do you devise an annual strategy for increasing the sales of your product? Do you have a written annual plan for increasing the sales of your product? Do you know (per unit) how much your organization spends to sell each product? Do you know the actual number of customers (rather than the number of ticket sales)? Do you know your renewal rate (repeat customers)?

Who in your organization executes the marketing functions? Are they experienced? Do they have enough time to do the job satisfactorily? Do you use outside consultants in this area? Is the budget for marketing adequate? Do community volunteers help with the sale of products?

How do your printed materials look? Do they represent the organization's desired image? What would you change? How big is your mailing list? Is it maintained in-house? computerized? purged annually? updated regularly?

How do you go about establishing your earned income goals/projections? How consistently do you meet them?

Do you think your customers are satisfied? Do you have a mechanism for handling their questions/complaints? What might you do to give better customer service?

In what other ways, does your organization **relate to your community**? to the general public? to the media? to the critics? Do you communicate a clear and consistent image? Do you devise an annual strategy for public relations/community outreach? Is there a written plan? Who in the organization executes these tasks? Are they trained/experienced in this area? Do they have help from outside consultants/advisors? Is the budget for public relations adequate?

What mechanisms do you have for receiving/evaluating/responding to feedback from various sources? How effective are you in representing your organization to its constituencies? Do you have any publications? How is information communicated within the organization? Do people involved with your organization find out its news first through the newspaper?

What percentage of your annual operating budget comes from contributed income? How do you go about setting annual **fundraising** goals? How consistently do you meet your budgeted fundraising projections? Who on staff executes development functions? Are they trained/experienced? Do they have input in setting the fundraising goals? Does the governing body have input?

Do you devise an annual strategy for where the contributed money will come from and who will ask for it and when? Is this plan written?

Who writes the grants? Is this process systematized? Is it adequate? Are the grant requests created/submitted with input from the artistic staff? with the awareness of the governing body? Is ongoing research conducted on government/foundation/corporation funders? Are you regularly applying to all the available sources in your area? What percentage of your annual operating budget comes from government sources? from foundation sources? from corporate/business sources?

Do you do annual special events? Who produces them? What do they routinely net (as a percentage of total income to the event)? What percentage of your budget does this cover? What is the impact of producing events on the organization? How is the governing body involved? volunteers?

Do you regularly ask individuals for donations (annual fund drive)? How? How large is your individual donor base? What is your renewal rate? Who does most of the asking? the staff? the volunteers? Are volunteers trained in making personal requests for support? How involved is the governing body? How do you decide who to ask? Do you do any research of potential individual donors? What percentage of your budget do individual gifts cover?

What do your development materials look like? Are your grants proofread by an uninvolved person before sending? What sort of computer support is there for development functions? Are gift records and acknowledgments systematized? computerized? Is the budget for fundraising expenses adequate?

How are **finances managed** in your organization? What parts, if any, are computerized? How does your annual budget get created? Who keeps the books? Are they trained/experienced? Does someone on the governing body have expertise in this area? To what extent are they involved? Are outside consultants used? Is the financial management team adequate to the task? How often do you create financial reports? Are they reviewed by the governing body? How current are you in bookkeeping? in paying accounts payable? in collecting accounts receivable? Do you make cash flow projections? are they monitored regularly? Do you have any cash flow problems?

Who signs the checks? Who is authorized to make expenditures? Are there any formalized cost controls? What is your current debt? long-term debt? Have you missed a payroll in the last year? Do you have a line of credit? How do you manage debt/debt repayment? Does your auditor issue a management letter? Does your governing body formally review the audit? How would you rate your staff's understanding of your financial system? your governing body's understanding?

Do you have an endowment/restricted fund/cash reserve? How are they invested? Do you have a formal, written policy re: their use? If you have a subscription season, do you segregate subscription income in an escrow account?

How many **physical spaces** do you use? Are they adequate for artistic staff? technical staff? administrative staff? volunteers? Any room for expansion? Do you have adequate storage? Do you maintain archival material on your company? Do you own or lease your space? How long is your lease for? terms?

What image do your various facilities communicate to your constituents? What is the space's ambience for staff and volunteers?

Do you have a current strategic plan in place? How is it used? What period does it cover? Has it been reviewed/updated annually with board and staff?

In general, how efficient and effective is the operation of your organization? What are its immediate needs and priorities? Other observations?

Date Completed:  
Participants:

## QUESTIONS TO ASK WHEN EVALUATING THE BOARD

### Characteristics of Board Members

- A. Is there a written statement of Qualifications for Board Members?
- B. Are new members selected from an existing pool of interested and qualified candidates who are representatives of the community?
- C. Is there a combination of experienced and new members to guarantee both continuity and new thinking?
- D. Is there a specific limit on tenure of board membership?
- E. Is new leadership emerging constantly from the board and its committees?

### Orientation and Training of Board Members

- A. Is there a written plan of training and orientation for new board members:
- B. Is there a board manual outlining the duties and responsibilities of board membership as well as an up-to-date constitution and by-laws?

### Board Operation

- A. Are there regularly scheduled board meetings which begin and end on time?
- B. Is there adequate preparation of materials in advance of meetings (agendas, study documents)?
- C. Is there a simple, concise set of by-laws which provide clear duties for board officers and spell out the procedures by which the board transacts its business?
- D. Do board members regularly attend meetings and give adequate time to committee assignments?
- E. Does the board have working committees through which work is channeled with clear written assignments?

Board Management Systems

- A. Is the majority of board time properly spent on long-term rather than short-term matters (i.e. the Board stays out of the administrator's job)?
- B. Does the board concern itself more with the policy implications of a problem than the specific details of the problem?
- C. Are working relationships between the board and the administrator clearly defined and understood?
- D. Are committee assignments reviewed and evaluated periodically and regular reports of committee work made to the board?
- E. Does the board have a long-range plan and annually modify the plan in light of evolving community needs?

Relevance of the Organization

- A. Are community needs received and reviewed on a regular basis?
- B. Are the programs of the organization well understood and widely accepted in the community?
- C. Does the community feel responsible for the success of the organization?

(This material has been adapted by Halsey North from material developed by June Spencer, Opinion Research Associates, Inc., Madison, Wisconsin)



# The Rights and Rituals of Fund Raising

by Carl W. Shaver

Strong demand for services coupled with increasing costs for programs leave most not-for-profit institutions facing significant operating deficits year in and year out. Careful expense management is an important obligation of non-profit institutions, but equally important is the continued delivery of vital services. One way to meet necessary expenses, and avoid the deterioration of important programs, is for trustees and management to carry out serious efforts to raise private gifts and grants, not only for the annual operating budget, but for capital projects and for endowment.

## Comprehensive Financial Planning

The first step in achieving effective fund-raising results is for management and trustees to bring into sharp focus all elements of an organization's programs and activities, and in turn translate this information into financial statements clearly defining operating and capital needs. The next step is to analyze the potential from all sources of income, and devise a thoughtful, comprehensive financial development plan with specific objectives and step-by-step procedures to obtain necessary results.

Such a plan should pinpoint the organization's mission, the program by which the mission will be achieved, and the facilities, people and money needed to carry out the program. It should provide an estimate of total funding needs and should indicate the expected sources of income as well as set forth a time frame within which the effort is to be accomplished.

Most non-profit organizations, large or small, are funded from one or more of four sources of income:

- a. income from endowment or investments;
- b. gifts and grants from private sources—individuals, foundations, corporations, auxiliary committee activities and other special events;
- c. tax-based revenue or grants;
- d. ticket sales, admission or exhibition fees, memberships, shop sales, fees for tuition and services, etc.

Direct income for services, merchandise, publications, etc. should be classified as earned income. Preparation of a financial plan from a fund-raising perspective does not mean that earned income can be ignored. Rather, clear evidence should be presented that the organization expects to generate earned income at reasonable and appropriate levels. Remember, a dollar earned is a double dollar. It pays for

services, and will encourage gift dollars to follow.

...clear evidence should be presented that the organization expects to generate earned income at reasonable and appropriate levels.

Many people in business, thoughtful foundation executives, and major individual donors, although sympathetic to the needs of non-profit organizations, sometimes view their budgets skeptically. There is increasing insistence on the part of thoughtful donors to know the whole story about an institution's program of services, income and expenses, and financial needs. They want to see the impact of capital expenditures on operating budgets and they want to be in a position to gauge the effect of new or expanded programs on capital needs. They want to see operating budget projections five years ahead and understand the long-term impact of today's decision. An organization must be prepared to address these issues in a concrete way—armed with facts which will justify a favorable decision on a request for funds.

It is crucial that an organization

document its case for support with credible and complete financial statements. The preparation of a comprehensive financial development plan, which brings into focus both income and expenses, is an essential beginning for fund-raising efforts.

### Planning and Projecting

An institution's plan must define its objectives; it must project expenses and income; and it must indicate the specific steps necessary to reach objectives.

There is a great difference between projecting and planning. Projecting suggests the process of thinking through the institution's objectives, and translating them into income and expense projections. Planning suggests the process of working out the step-by-step procedures that will produce the projected results.

Institutions that have not worked out long-range plans often end up engaged in exercises of hope or fantasy. Without a thoughtful plan of action, few organizations can embark on any kind of a fund-raising campaign and expect to attain the best results.

### Ingredients of Fund Raising

There are four essential ingredients that go into every fund-raising effort. The first element is *confidence in the organization*. A prospective donor must have a sense of confidence that his or her gift will be well used. This confidence is generated by how an organization manages its programs, how it manages its finances, by the

strength and leadership of its board, the quality and distinction of its staff, and by what it has done in the past, and certainly by what it hopes to do in the future.

The second element is the *urgency and importance of the case for which the organization is seeking support*. Keep in mind that any request for funds is usually in competition with hundreds, or possibly thousands of other requests. An organization should ask others for funds only after it has asked itself some important questions: Are we doing something important? Is it urgent? Is it relevant? To whom? Does it meet a need? Does it present a truly new idea? Ask another question. Is the project a toy of the well-to-do, or the privilege and the responsibility of the entire community?

The third essential element is the *development of a constituency*

of potential donors. Most institutions can identify certain potential contributors—trustees, membership, subscribers, certain foundations, some corporations that have given in the past—but an organization also needs to develop definite information on new prospects, to determine interest, to determine gift potential, and to determine their willingness to give and their willingness to work.

The fourth essential is *dedicated volunteer leadership*. An organization must have leaders who are committed to its success, and who will give the time and resources necessary to help achieve that success. Fund-raising professionals have learned that in most major capital campaigns it is usually only five to fifteen truly committed leaders who raise 75–95 percent of the money. Contributions usually will come from less than five percent of an organization's constituency, and very frequently from somewhere between 50 and 100 donors. This means that inciting strong leadership is most important.

## Fund Raising from the Inside

Where does an institution find strong leadership? Start with the board of directors. There an organization may very well find the person who will agree to serve in a key fund-raising position. Fund-raising leadership should come from the inside. Cultivate those on the inside to accept this responsibility, and raising money from prospects outside the organization will become an easier task.

Perhaps the most difficult fund-raising situation arises when there is an arm's length relationship between the solicitor and the prospect.

In this situation, the prospect feels and considers himself to be just that—a prospect being solicited for something in which others are interested.

Success in fund raising is best achieved when the prospect is brought inside the issues. Sit down with the prospective donor and quietly, meditatively, thoughtfully examine the problem the institution faces. Then jointly find a solution to the problem. If this is done in the right way, the prospect will usually discover in the course of the discussion that part of the solution to the problem is his or her gift.

The best people in the world to solicit prospects are the prospects themselves. They know better than anybody else how much they can really give. So part of fund-raising technique is to identify the range of gifts that are needed to help make

the project succeed and to find out how the prospective donors fit in. As a prospect examines the situation, he or she will become committed to the solution of the problem. At that point a prospective donor will find that his or her gift, and possibly his or her leadership as well, will offer a solution to the problem.

## The Five Rights

There are five rights in securing satisfactory gifts, and these require very substantial research of an organization's constituency. Results in fund raising are achieved when the right person asks the right prospect for the right amount, for the right reason, at the right time. The whole package of fund raising is really wrapped up in those five rights. The more an organization does its homework, and brings each of these rights into perspective, the more effective and successful fund-raising efforts will be.

## The Base of Support

We are all familiar with the old fund-raising axiom of broadening the base of support. Membership drives, for instance, are an important part of a total program. But if an organization is going to meet all of its funding needs, it won't do it with twenty-five dollar memberships. If an institution is going to broaden its base of support, do it where the money is.

Concentrate efforts on identifying the 50 to 100 people who can make a difference in the campaign. Give them the arithmetic and thoughtful back-up material to engender confidence in the organization, and in its future.

## Fundamentals of Fund Raising

In capsule form, here are some of the fundamentals of successful fund raising:

1. Isolated fund-raising objectives should be related to the organization's whole financial plan. For instance, when attempting to raise a sum of money for a new building, reflect construction costs, operating expenses, and the impact of capital funds solicitation on other fund-raising activities in the overall financial projections. Carry those projections as far ahead as the organization can reasonably see, hopefully five years.

Win the donor's confidence by showing him or her that the organization has thought through the whole financial development picture—that it knows what operating and capital funding requirements

are likely to be three to five years ahead. Tell the whole story, in writing.

2. The larger the goal, the smaller the key steering committee should be. If the organization needs to raise a lot of money, enlist a few key men and women to assume the leadership and responsibility. This is one technique that will bring success. As mentioned before, chances are that five to fifteen people will raise 75–95 percent of the money from 50–100 donors. This would give each member of a committee of 15 a list of five or six prospective donors each to contact. Three to seven people on the committee are likely to raise most of the money.

Campaigns are made and broken in terms of having a small effective committee. And as the size of the objective goes up, boil the committee down to the really key people who can and will be effective.

3. The size of the gift is directly related to the size of a valid objective. In other words, if an organization has a \$100,000 goal for a program, it can reasonably expect that its prospects will give at a certain level. People have a way of wanting to do their fair share if presented with valid campaign objectives. I used the word "valid" because if the valid campaign objective is \$1 million instead of \$100,000, prospects may very well be giving 10 times as much.

We know of one situation where the objective went from \$4 million to \$10 million based on a study which demonstrated that the organization had a valid objective. Five people sitting on the committee at the inception of the campaign had already made up their minds what they were going to give towards the \$4 million goal. One person was going to give \$250,000, another per-

son agreed to match him, a third was going to give \$100,000 and the other two were going to give \$50,000 apiece.

When the consultant came back to them with hard arithmetic projecting the needs over a five-year period, the valid objective jumped from \$4 million to \$10 million. What happened to the giving? The person who was going to give \$250,000 decided that she and her family would give \$1 million. Another person who had previously agreed to give \$250,000 went up to \$1 million. The third person pledged \$500,000 and the other two gave \$250,000 apiece.

Now the resources were there all the time. The donors all wanted to do their fair share. The thing that had to be demonstrated to them was that the valid objective was really \$10 million.

4. Many people think that pre-campaign publicity brings results. In general, premature announcements

of campaigns can be one of the great mistakes affecting the success of a fund-raising effort. Having made a decision in the executive offices or in the board room that the organization will enter into a campaign, don't immediately rush to the press. Announcing that the organization is in dire straits and needs to immediately raise several million dollars is not the best way to begin a fund-raising campaign.

First identify, and sit down with 15 to 50 prospects who constitute an inside group and bring them inside the problem. Speak to them privately and then, once their key leadership gifts are positioned, it is fine to announce the campaign—but only when success is in sight.

A successful fund-raising program is very often described as a continuing series of disappointments punctuated by a few brilliant successes, seemingly unexpected. The difference between a well-planned and implemented effort and an amateur one lies in the word "seemingly."

### **A Gift is the Result of:**

1. Attitude—Interest—Conviction
2. Participation or relationship
3. Leverage of solicitor
4. Method of solicitation
5. Personal Factors: Gain (social, economic), Recognition, Prestige, Moral Obligation

### **The Size of the Gift is the Result of:**

1. Capacity to give (resources)
2. Leverage of solicitor
3. Method of solicitation (personal call, telephone call, letter, meeting)
4. Size of valid objective for which gift is sought
5. Length of payment period
6. Tax considerations

### **Shaver's Laws of Fund Raising**

1. Successful fund-raising programs start with the concept of the mission.
2. The larger the goal, the smaller the committee.
3. The best time to raise money is before the campaign is announced.
4. The size of gifts is directly related to the size of a valid objective.
5. An isolated fund-raising objective should be related to a total financial development plan.
6. Peers should solicit peers; do not embarrass people by assigning them inappropriate prospects.
7. Success in raising endowment funds can be directly related to the ability to interpret the use of endowment income into the solution of problems; endowment is dynamic, not static.
8. In the long-term, success in raising endowment funds will be directly related to the success in the management of endowment funds.
9. A matching challenge grant is not a reason to raise funds, but it provides five important considerations for donors: it helps to dramatize the need; it offers a stamp of approval; it provides incentive to give more; it provides incentive to give now; and it does provide funds to help meet the need.

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## I. WHY HAVE A BOARD OF DIRECTORS ANYWAY?

Every nonprofit organization needs a board of directors, for two main reasons: (a) to register as a tax-exempt corporation and (b) to manage itself effectively.

When incorporating, any requirements specific to your state can be determined by checking with the state Secretary of State, a lawyer familiar with applications for tax-exempt status (many lawyers are not), or an organization which provides management support for nonprofit organizations. In general, state law requires that a tax-exempt organization be incorporated and that the corporation be managed by a board of directors or trustees. In the District of Columbia, New York and many other states, at least three directors are required before an organization can be recognized as a nonprofit tax-exempt corporation.

In practice nonprofit organizations often move ahead, even after incorporation, under the leadership of one or more persons who are not themselves members of the board. These leaders are normally those who have had the insight and initiative to begin the organization, and they are often responsible for its incorporation. This practice creates the illusion that these administrators are solely responsible for the organization. Whatever the illusion, legal responsibility for the organization rests with the board of directors.

The board may remain at three, it may meet only infrequently, and board members may not even be aware of their legal responsibility. Nevertheless, as directors of a nonprofit corporation they will be responsible for the governance of the organization and for its adherence to state and federal law. They will be expected to discharge their duties--in the language of the New York state law--"in good faith and with a degree of diligence, care, and skill which ordinarily prudent men would exercise under similar circumstances in like positions (New York Non-for-Profit Corporation Law, §717[a]).\* It is t

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\*Ed. note. The extent of legal responsibility for board members has in the been unclear. Much of the fog in this area seems to have been blown away, however, by Judge Gesell of the Federal District Court for the District of Columbia, writing in the Sibley Hospital case (Stern v. Lucy Webb Hayes National Training School for Deaconesses and Missionaries et al., 381 F. Supp. 1003 [D.D.C. 1974]). This case raised the question whether hospital trustees could be held liable for mismanagement of hospital funds because their "failure to supervise permit(ted) negligent mismanagement by others to go unchecked". The case and its implications for board members are discussed fully in the "From Boardroom" section of the Harvard Business Review for Jan.-Feb. 1976. The central implication seems to be that something more specific is required of trustees than the general standard of due care, at least where management of money is concerned. As Charles T. Stewart says, Judge Gesell's guidelines for the trustees of Sibley Hospital imply that trustees who miss meetings or pay only casual attention to financial reports may find themselves subject to suit by members of the organization's constituency, which for many organizations is a large, varied group.

board of directors that local, state, and national government agencies will turn to ultimately if the organization's administrators do not meet regulations or reporting requirements.

The second major reason for a board of directors is managerial: a board can be a powerful tool for achieving effective management throughout an organization. Moreover, there are basic organizational functions which, in most nonprofit organizations, a properly designed and managed board is far more likely to perform with maximum effectiveness. These will be discussed in Section II.

## II. THE DUTIES OF A BOARD OF DIRECTORS

Many nonprofit organizations, particularly small ones, have a continuing concern about what it is the board is "supposed to do". Regrettably, there is no permanent or complete answer to the question. The role of a board changes as the needs of the organization change; what a board did two years ago may not be what it is expected to do today. The problem the organization is working on may have changed, or the organization may have learned through its work to see the problem in a different way. The organization's goals and program may have to change to accommodate these new perceptions. Changes in staff or in the availability of money may also shift the focus of board members' concerns. A financial crisis may force the board to probe deeply into the areas of budgeting, cost control, and fiscal accountability; it may require, as well, active fund raising by the board to keep the organization alive and functioning. At other times, substantive review and evaluation of projects and programs may be the most important aspect of the board's work. But this, too, can be superseded by the need to search for a new executive director, to improve the personnel system, or to establish a grievance procedure.

Regardless of this variety and change of emphasis in a board's activity, any board of directors has certain basic duties. These duties follow from the organizational functions which make a board necessary.

In most organizations the board of directors finds that the only practical way to meet its ultimate responsibility for effective management of the organization is to delegate that responsibility to a chief executive officer and his or her staff. In delegating this day-to-day responsibility, however, the board necessarily retains certain functions which every organization needs to have performed:

- 1) reviewing program plans and budgets;
- 2) evaluating organizational effectiveness;
- 3) evaluating the top administrator and selecting a new person for this role when necessary;
- 4) representing the public need and interest to the organization;
- 5) representing the organization to the public, especially to

The board must retain these organizational functions for two main reasons. First, to do most of these things effectively, it is usually an advantage if you can be actively committed to the organization's purpose but remain uninvolved in day-to-day program tasks. The advantage of commitment is obvious: without it both the motivation and the credibility needed to do these things well may be lacking. Freedom from program tasks is important both because it encourages a broader, long-range view and because it makes possible the objectivity necessary for review, evaluation, and representation of the public interest. Ironically, the more committed staff members are, the more their involvement in operations is likely to interfere with their ability to review, evaluate, and represent the public interest in relation to their own work. On the other hand, the combination of commitment and relative objectivity is exactly what a nonprofit board is designed to provide.

The second reason the board must retain these functions is just as fundamental as the first: because the board has delegated day-to-day operational responsibility to others, the board's attention to these remaining functions is critical. These functions become the only way left for the board to meet its overall responsibilities, and so these functions become the board's primary duties.

To avoid confusion, a point is worth emphasizing: to say that the board's primary duties are review, evaluation, and representation is not to lessen the board's responsibility for long-range planning, policy-making, and even current programming and budgeting, whether or not any of these has been delegated to some degree. But it is necessary to distinguish between those responsibilities which a board can delegate responsibly and those which it cannot. For example, ideally a board would provide the major direction and initiative for long-range planning and goal-setting. In practice, though, it is often easier for a well-managed staff to conceive alternative programs, develop a preferred option, and seek the board's approval. It is not irresponsible for a board to allow its staff to show such initiative in program development. Staff--chief executive officers in particular--are often selected for just this kind of skill. However, it would be irresponsible for a board to allow confidence in its staff to excuse it from thoroughly reviewing and evaluating what that staff does.

#### A. Reviewing Program and Budget

The board reviews programming to make sure that program plans are consistent with the organization's purpose and goals, and that these plans are organized and detailed enough so that objectives will be met within the anticipated limits of resources (people, time and money). A budget is part of a complete program plan, and so review of the budget is part of determining whether objectives are likely to be met by the programs designed for them. Until the board has considered a program's objectives and the plans to meet them--whether proposed by staff or by a committee of the board--it is in no position to make a final judgment on the wisdom of the budget. The cost-effectiveness of a proposed program, after all, must be measured by the values placed on the expected effects. On the other hand, it is far easier to propose an apparently effective program if no thought has to be given to costs; for this reason, close review of the budget can provide an important guide to the thoroughness of program planning, especially in making reasonable allowances for contingencies.

Well before plans are presented to it for review--in fact even before these plans are made--a board must decide what its criteria will be in re-reviewing the program. It is both poor management and unfair to those doing the planning, whether they are staff or board members, to have plans developed before it is clear what standards those plans are supposed to meet. These criteria should be based both on an awareness of what makes good planning and on an up-to-date evaluation of the organization's current and future needs.

Although the budget cannot be meaningfully reviewed except in the light of the program it is designed to support, it is no accident that many boards have tended to pay far more attention to budget than to program. The budget is usually presented in terms more difficult to dispute than the terms of a program plan, and a budget therefore seems easier to judge. But even if boards tend to concentrate on budgets in part because they seem easier to review than they are, there are nevertheless good reasons to pay a lot of attention to the budget in reviewing a proposed program. The budget provides a different kind of framework for understanding the options and priorities for the year, and for gauging, at least in a preliminary way, the likely success of program plans. And most important, of course, serious errors in the program budget's plans for income and expenses can prove devastating to organizational morale and effectiveness when they appear in the midst of a program already under way.

In reviewing the budget the board will want to make sure it understands the significance and priority, in terms of the program plans, of major budget items. The board will also want to be fully aware of the basis for income estimates, and to pay particular attention to the obligations board members themselves are assuming for achieving income goals.

The board's review of program and budget is a far more significant and substantial activity than the word "review" might imply. This is not a task that can be done by skimming through a sheaf of papers just to see that all major questions have been addressed, income and expenses balanced, attractive charts and schedules included, and everything giving the appearance of order and control. The task of the board is to find out if orderly planning and fiscal control exist where they appear to. This task takes time and the concentrated use of one's best analytical skills.

Although logically the design of a program comes before consideration of the budget for that program, the tendency to plan program on an annual basis probably comes from the obvious advantages of working with an annual budget. Since almost all organizations will budget annually (even if they also budget for longer or shorter periods), the board will have to plan an annual schedule for (a) evaluating the success of previously approved programming (see below); (b) reviewing organizational goals; (c) considering proposed programming for the new year; and (d) reviewing the budget.

#### B. Evaluating Organizational Effectiveness

The board's review of program and budget discussed in the previous section is essentially a review of planning, and therefore occurs before action has been taken on those plans. This review should always occur, however, in the context of an up-to-date evaluation of programs already under way or complete



Evaluation of the effectiveness of programs is a crucial activity for the board, since it is only on the basis of such an evaluation that the board can decide intelligently about the need for any changes in long-term goals or in the shape of programs being proposed.

There are two kinds of evaluation, based on when they occur in relation to the program being evaluated. From time to time, but at least every year, the board will have to evaluate the organization's overall success. This means examining completed programs or program periods in the light of organizational purpose, goals, and the final costs of any benefits achieved. The point of this kind of evaluation is to measure the impact of what has been more or less finished, to determine whether something must be done to adjust long-range goals or plans. This kind of evaluation is needed to provide the context within which new programs will be proposed and approved. But during the course of any program year, the board will want to know whether the program and budget it has approved for that year are on target, that is, whether they are operating as expected with regard to both achievements and costs. This means another level of evaluation for the board, an evaluation which is accomplished chiefly by seeing that each program approved includes criteria by which its progress can be measured. When the board approves a program and budget for the year, it should specify appropriate times for reports on what has been done, and what income and costs have been, to date. The frequency of board meetings varies according to organizational needs, but one of the things that determines it is the need to evaluate the progress of current activity on the basis of these "feedback" reports.

The evaluation of current program activity has two functions in the organization. The chief executive officer and the staff need the results of this evaluation more than the board does, since the evaluation is designed to signal the need for any immediate changes in levels or kinds of activity to reach current program objectives. But this evaluation in the midst of activity is the chief device for enabling the chief executive and other staff members to benefit from consultation with the board about problems that arise in implementing the program. The board also benefits, however, from getting and responding to feedback on current operations. This information tells the board whether its decision to approve a program is working out as expected, and so gives the board its own early warning signals in case it should have to step in to provide extra help along the way. This regular feedback also helps keep the board informed about organizational activity so that it does not have to do a major job of self-education every time it begins the annual process of overall evaluation, reviewing proposed programs, and budgeting.

### C. Changing Top Management

Probably the most important activity a board ever undertakes is the hiring and firing of its president or chief executive officer. Before hiring a board must review the organization's goals and its future needs, in order to outline for itself and for prospective candidates the kind of leadership the organization requires. Even if the board establishes a small search or selection committee, the board should keep in close touch with this committee and make the final selection itself.

Once the new officer is in place, the board should expect him or her to manage the organization: to create or revise the organizational structure, to hire and fire staff as necessary, and to develop the systems required to keep the organization running smoothly. The processes of reviewing program and budget and evaluating organizational effectiveness will give board members an opportunity to judge the quality of the management of the organization. Yet the board may need to ask for more information about organizational structure and management systems, particularly when staff problems or complaints have come to the board's attention. Moreover, the board should not hesitate to act when it has reason to think the organization is not being managed effectively for the achievement of organizational goals. A strong executive may be able to save an organization from many of the problems caused by a weak board. But a board which allows a weak executive to continue because it does not do a good job of evaluating top management's performance is dooming the organization to mediocrity. A board should never assume that an executive, once chosen, will automatically do the kind of job that relieves them from regular attention to theirs. The board should not interfere in day-to-day operations; but it must nevertheless have clear standards of performance for the chief executive officer, as well as a procedure for seeing that that performance is in fact evaluated by those standards.

D. The Community Connection: The Public Interest, Public Relations, and Fund Raising

Most boards have to participate, to some degree or other, in fund raising, community relations, and public relations. Unfortunately this work of the board is often thought of negatively, as though it had little to do with the moral purposes and respectable work of the organization. The truth is that the director's development role follows naturally from his or her public responsibility as a nonprofit director.

The legal responsibility of the board of directors of a nonprofit organization is, after all, ultimately a responsibility to the public interest, for it is in the name of the public interest that the organization seeks and is granted its tax-exempt status. Thus a primary function of the board is to represent within the organization the interests and needs of the public at large as well as of the particular constituency the organization is pledged to serve. This public interest function of the board is fulfilled partly when board members bring to discussion of organization goals and programs their awareness of developing needs in the community. But this awareness is of little use if the community is not aware of what the organization offers or if the organization lacks the funds to continue to serve its constituents. In short, it is absolutely essential to the public's interest in the organization that the organization not only be well-managed internally, but that it also be well-known in the community for what it does and that its reputation helps win for it additional financial support.

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\*To say this is not to imply that staff are unconcerned with or unaware of either the general public interest or the needs of their constituency. But board members, in contrast to staff, are often selected because, among other things, they hold positions in the community which help the board as a whole represent the broad array of public interests in the organization's activity.



All organizations "need" more money than they have; and board members who can afford it should be asked to support the organization financially, to ask others to support it, and to guide or at least assist in its fund-raising activities. Some will be better than others in actual solicitation, and some will have more to give than others. But everyone can help within his or her community to improve understanding of the organization's programs and needs.

The creation of a climate of support is part of development and fund raising. The task of clarifying and enhancing an organization's image and outlining the help it needs is an important community and public relations task every board member can help with to some degree or another. It is not that individual board members are expected to "represent" a particular community or clientele. However, every board member needs to understand that he or she interacts with several communities in his or her recreational, professional, and community life, and that he or she can help others in those communities understand the work and the importance of the organization which the board member helps govern.

### III. DESIGNING THE BOARD AND HELPING IT WORK

Designing a board of directors requires an understanding of (1) the kinds of knowledge, skills, and experience needed on effective nonprofit boards; (2) the importance of rotation and terms; (3) the value of the different perspectives board members bring to deliberations at the different stages of their participation on the board; and (4) the kinds of committees likely to be useful in board work. Each of these concerns will be discussed in a separate section below.

#### A. Putting Together a Good Board

All boards need people who are knowledgeable about the substance of an organization's work, who understand finances, who care about development and fund raising, who can help improve the organization's community and public relations, and who are interested in management and personnel questions. Inevitably, however, the people needed on a particular board will vary with the purpose and situation of the organization. In addition to people with the skills and interests already listed, many organizations may need persons who can lend credibility to the organization by their presence, their experience with other organizations, and their commitment. Some organizations will need more representation of the community or of consumers than others. And some organizations will need to pay more attention to the sexual make-up and to the adequacy of minority representation of the board.

The requirements for various skills and qualities needed on a board can best be determined by reviewing carefully the purposes and needs of the organization itself. Once these are sorted out, present board members can be considered in terms of the skills and qualities they bring to the task of meeting the goals and needs outlined. Where there is a lack of those who represent credibility, the community, minorities, financial expertise, etc., plans can be made to seek such people in the next round of board nominations.

In considering board membership, it is important not to seek only those who are thoroughly conversant with the field in which the organization operates. The role of a director, as already mentioned, is to represent the public, to ask the questions and provide the oversight which the public has a right to expect--particularly when an organization is tax-exempt. It is wise, then, to reach out to people who bring qualities of judgment and common sense as well as a positive commitment to the organization's program.

Many books about boards of directors provide formulas which can help managers and chairmen of boards to think about the qualities, skills, and experiences needed if a board is to be effective. You will find some of these books listed on pp. 15-16.

#### B. The Terms of Board Members

Board members should serve terms of no more than three or, at most, four years. A board member could serve for more than one term, but it is probably not wise for him or her to serve more than two consecutive terms without at least one year's absence from the board. It is true that some people have served as much as 30 years as trustees of colleges, and served successfully; however, for most boards the values of regularly changing membership over the years are important. As members work year after year without new faces and new energies to be committed to the program, a board can become fatigued and less effective without being aware of it. At the same time, a board which presents the same faces term after term is missing the opportunity to increase awareness and understanding of the organization by developing new connections within the community. Each organization has to study its needs in these areas and to plan its board terms and method of rotation accordingly. This study and planning must begin with an appreciation of the different values board members represent to an organization at different times in their tenure on the board. These values are the subject of the next section.

#### C. New Faces and Old Hands--the Values of Balance

An important value of new board members is their willingness to ask what may be considered rather "dumb" broad questions about the policies and purposes of the organization. Being new to the organization, they can exercise their right to ask basic questions like, "What are the policies and purposes of this organization?" or "Will someone explain to me exactly what this project is supposed to accomplish?" The new member can more easily say, "I don't really understand this program and how it fits into the policy of our organization", or "Since I don't understand the financial report, I would be very happy if the treasurer would please go through it again in more detail". As I mentioned in Confessions of a Board Member, "the board member who asks the dumb questions is one of the most valuable board members in creation". Not having the obligation of prior knowledge and experience, the new member feels free to ask questions which are on other people's minds but which older members feel they no longer should be asking. Often when the question is posed, more senior people will admit that the question needs to be answered. Many senior members no longer ask basic questions because they have learned more about,

and have come to accept, much of the organization's general policies and activities. Usually they are not impatient with the newcomer's questions, however, since they recognize the value of probing questions on basic issues.

Another value of new members is the enthusiasm and energy which they can bring to a board. The assignment is new to them; they have obviously been challenged by the idea of serving as a board member or they would not have agreed to serve. They are often willing to do much of the laborious committee work which may no longer challenge some of the more experienced board members. Certainly a potential board member's willingness to work and to spend time on committees should be probed before the person is asked to join not after.

The principal value of those who have served more than two and perhaps less than six years is the commitment and understanding which each brings to the organization. They have worked together for a number of years, they understand how the board works, and they make good committee chairmen. They often serve as officers and can be very persuasive in fund raising as they are usually well-informed and articulate spokesmen. They can provide intelligent oversight of the organization's programs, projects, and management because they have sufficient perspective to be able to judge operations. These people form the core of committed workers who can help senior board people (those who have served four to eight years) guide the work of the board.

Those who have served more than four or six years and are finishing their second terms comprise the board's senior citizens, serving as its memory and its history. Their value is in knowing what the organization has been doing, what it has tried in the past, some of the successes and failures encountered, and the organization's relationships with other groups and people in the same or similar fields. The experience and wisdom accumulated in the last years of service on the board give them balance and judgment about new ventures. They can recall for both board and staff the original purposes and goals of projects and programs which may now have shifted direction and changed in their rationale. Normally the principal officers of the organization are drawn from this group. This seems wise not only because they have developed a familiarity with the organization's work, but also because the board itself has had an opportunity to judge each member's effectiveness in handling committee assignments and assuming responsibility for major board activities.

After about eight years, board members may become too familiar with the organization's operations. They are often fatigued with hearing about the same problems over and over again, and the staff difficulties that have been part of the organization's history have begun to annoy them. There is a general lack of freshness and interest in being creative or in being supportive of new activities being proposed by either staff or board.

Even when principal board personnel, including the chairman of the board, seem to be indispensable to the work of the organization, the board and the staff owe themselves the opportunity to test that indispensability by insisting on at least one year off the board prior to an election for a third term.

When I departed as chairman of a board, for example, tears were shed and a sense of impending loss was sincerely felt by the staff and some of the board; but I was rarely contacted about the affairs of that organization during the next year. After a year away from the board, it was evident that the board was doing very well and that a number of members had forgotten who the previous chairman was!

Each board develops a style of its own, but only after members have had time together and been patient with one another. The board is a governing body and, like all bodies, grows, changes, and learns about the use of all of its members. Too rapid a change of members can cause disorientation and malfunction; but if nothing changes, then the body does not grow to meet new challenges. Most important is the understanding which members develop about the cares, skills, and yes, even the oddities and quirks of fellow members. Unless board members take time to be together there is no opportunity for them to learn how to work together to strengthen the board. Unless staff recognize the board's need to meet and discuss, from time to time, without the staff, board development will suffer and so will the organization.

#### D. The Size of the Board

In Managing the Board of Directors (Greater New York Fund, 1975), Joseph Weber says that "the general experience of most not-for-profit organizations suggests 30 to 36 as an optimum size" for a board. Weber reasons that any organization will require board members skilled in at least six major areas--administration, finance, personnel, program, public relations, and community relations. If each area is represented by three persons with skill in that area, the resulting total of 18 will leave at least 12 places for meeting the board's other needs.

To a degree, Weber's view is supported by the Greater New York Fund's study, Board of Directors: A Study of Current Practices in Board Management and Board Operations in Voluntary Hospitals, Health and Welfare Organizations (Oceana Publications, 1974). In querying 219 organizations in the New York area, the Fund discovered that the average board had 34 members. The variations on which the average is based are indicated in the chart below.

No. of Board Members	11-20	21-30	31-40	41-50	51-60
No. of Organizations	32	63	53	39	18

Despite this evidence, most nonprofit organizations (particularly those which are not service oriented or which don't have budgets as large as many hospitals and health and welfare organizations) can do with considerably fewer than 30. As Weber indicates, where there is a large board there must be a technique for determining how the real business of the board gets done. Weber suggests using a core group, perhaps an executive committee. However, in order to avoid excluding some part of the board from significant decisions, an



organization may prefer to restrict its board to 12-18 persons. Decision making is manageable in this size group. If additional people are needed for specific activities, they can become members of an advisory committee or can serve on various task forces as specific needs arise. The use of supplementary groups serves to identify good prospective board members and permits an organization to use talent for an identified purpose without diverting the board from its job of overall governance.

As a general principle, nonprofit organizations, like other corporations, cannot be governed by massive boards. To the extent that the board exceeds 20-25 people, almost inevitably actual governance and tough policy decisions will be left to a smaller group with a maximum number of 12-18. Whether or not there is a smaller governing group within the board, a large board will tend to have greater problems with attendance and full participation by all members. Board members always have other responsibilities, and a large board can lead to the feeling that there are plenty of others to do the job when one is too busy with other things.

#### E. Basic Board Committees

Probably every nonprofit board needs to have an executive committee which can act for the board between board meetings or in an emergency. Executive committee responsibilities should be such that actions taken need to be approved at the next meeting of the board. Executive committees should not be used as the general governance mechanism, unless, as suggested above, the board is unwieldy. If executive committees are so used, board commitment and involvement in the organization's affairs probably will be reduced.

A budget or finance committee seems to be useful on the boards of many organizations, since budget approval and fiscal control are necessary aspects of a board's work. Financial reports need to be reviewed by those responsible for overall governance, and the relationship between these reports and the organization's budget needs to be understood by the committee so that the board can be assisted in its decision making. It is a mistake, however, to separate budget matters from program planning, review, and evaluation, since it is the non-financial program information which determines the significance of budget figures. A separate finance committee may well be called for, however, if its function is only to raise funds to meet goals set by the committee on program and budget.

A nominating committee is an important fixture of any board. Frequently left to the last minute, nominations for the board of directors and its officers are extremely important for the life of the board. The kinds of questions a nominating committee asks of a board and a staff will often force greater clarity about purposes and activities and may very well suggest that other committees are needed to work on such areas as development, long-range planning, community relations, etc. A nominating committee needs to understand clearly the purposes of the organization, the nature of its activities, the skills, qualities and experiences of the current members of the board, and gaps in board membership which need to be filled. Therefore the committee probably should include the chief executive officer or members of the executive committee, at least as non-voting participants.

Many other committees relating to the substantive work of the organization, including long-range planning and specific program committees, can be comprised of board members and others who can bring particular skills or insights to the committee's work. Once again, the formation of committees mixing boards and outsiders provides an opportunity to evaluate individuals for future board membership. Adding members from outside the board also provides an opportunity to extend the network of people involved in the organization's work.

#### IV. BOARDS AND STAFF

What boards don't do in an organization, the staff does. Because a board usually must depend on its staff for doing most of what the organization is set up to do, the relationship between board and staff can determine the effectiveness of the entire organization.

The most important element in the board/staff relationship is the relationship between the chairman of the board and the top management of the organization--its president or executive director. If this relationship is good--if there is a frank exchange of views and an openness on the part of each--the board/staff relationship as a whole is much less likely to be hindered by unproductive conflicts. The chairman should be able to balance staff and board judgments. While not siding only with the staff, he or she should be alert to prevent capricious or arbitrary board actions. Even when the board is good and the staff leadership is fine, the chairman of the board and the executive officer must develop a good working relationship, have mutual respect, and create a balance of influence between them. If they don't, much of the value of both staff and board can be wasted.

Generally the kinds of problems that occur between boards and staffs are the result of confusion about the relations between board and staff responsibilities. The way to avoid confusion, and to deal with it when it occurs, is to think out carefully the areas of responsibility appropriate to both the board and the staff at that particular stage in the life of the organization, and not to be afraid to confront differences of opinion on this when they occur. A conflict patiently worked through can do much to strengthen an organization, but a conflict ignored because of the fear of unpleasantness can only sap organizational energy and reduce effectiveness in the long run. The following thoughts on the relations between board and staff may help your organization think through how it might best handle the crucial board/staff relationship.

##### A. Policy

The board of directors has final responsibility for all organizational policy. In practice, however, it is usually not effective for the board to determine policy without the involvement of lower management levels--the source of most of the information the board needs to make its decisions. Nor is it effective, on the other hand, for an experienced staff to be allowed to determine policy by defining program options narrowly, suggesting that the board merely accept or reject what is proposed. This unhealthy situation will not exist where a board is alert to its responsibilities, and particularly where



Whenever the board is engaged in review or revision of staff proposals, however, it must be careful not to give in to the temptation to change things just in order to have the feeling of doing something. What staff fear--often with good reason--is the tendency of a board to "stampede" in the direction of some suggestion or objection of a board member. The board may thus be led to set policy on the basis of an idea which, because it seems new or temporarily compelling, carries a weight all out of proportion to the thought that has gone into carefully designed staff proposals. A board which gives in to this tendency can quickly destroy much of a staff's energy and enthusiasm. Therefore it is important for a board to understand that recognizing good staff work (after an appropriately analytical review) is as much a contribution to organizational effectiveness as insisting on program or policy changes.

The responsibility for shaping the policies of the organization will almost always involve some balance of board and staff influence; generally it is only in crises of leadership or finance that a board's policy responsibility becomes absolutely clear and overriding.

#### B. Program Evaluation

As with the setting of policy, evaluation must be a shared responsibility of both board and staff. If the board has a relatively greater objectivity about the programs being evaluated, the staff has most of the information the board needs to make an intelligent evaluation. Staff are often reluctant to take the time to develop the materials needed for a board evaluation, at least partly because they feel defensive about having their effectiveness judged. The board can help win staff cooperation by taking care to see that evaluation is a process of getting information to improve organizational decision-making not an occasion to make categorical judgments about people. A non-threatening process of evaluation can win great enthusiasm from staffers since it provides an opportunity for them to learn how "outsiders" perceive what they are doing to see their own accomplishments in terms of the organization's broader purpose. The presentation or review of evaluation material at a board meeting is also an excellent opportunity for staff members to acquaint or even excite board members with what staff are doing. The fears of staff about having their work evaluated usually turn out to be unwarranted because board understanding and support is generally increased by a comprehensive, open discussion of the organization's successes and problems.

#### C. "Dynamic Tension"

All that has been said points to the complex, changing relationship between boards and staffs. As Conrad and Glenn illustrated vividly in The Effective Voluntary Board of Directors, the relationship between staff and board is "a delicate balance" which requires "dynamic tension".

It is difficult for most staffs to perceive that tension is necessary and useful. Staff may often choose not to bring up a difficult issue if tension or conflict with the board seems probable. Without tension at the board table, boards become disinterested and indolent, and lack the commitment which leads to participation and support. If the board is not a problem to the staff,

if there are not issues about which staff must develop more information and a better rationale because of board demands, it is probable that the board is not doing its job and that the organization will suffer over the long term.

Some boards and many staffs would like more harmony in their relationship but it is exactly when a sense of harmony and the lack of tension are most apparent that an organization may be imperiled. No matter how prosperous the organization or how effective its programs, the future of the organization is jeopardized when the staff has a following, passive board which always agrees or, conversely, when a board dominates and controls the staff. When either situation occurs, the board needs to force a review of both staff and board to see what has gone wrong.

To sum up, a board can and must help the organization if the organization is to survive. Board members must ask questions, informed and uninformed; they must become interested and committed; they must participate and support. If not, the inevitable crises of nonprofit life will occur more and more frequently and may not be weathered. Staff must be responsive to the board, listen carefully to the views of those who are selected to govern, answer their questions, and open up discussion, even at some risk to the staff's own idea of what policies and programs are "absolutely necessary".

A board is not a simple mechanism, to be kept running smoothly by an occasional oiling. On the contrary, it is a complex organism, requiring care and nurture to make it effective. With the variety of organizations, purposes and people, it is not easy to say just how much attention to pay to the board. Too much concern for the board, and an organization can lose some of its sharpness, its ability to focus clearly on meeting the needs of constituents. Too little concern, on the other hand, and the organization runs a double risk: it may lose valuable support and guidance, and it may find itself being directed casually, without knowledge or commitment. Finding the right balance is difficult, but it is worth the effort for the effectiveness of your organization.

T. Ellen Sollod

724 Belmont Place East  
Seattle, Washington 98102  
206.324.7644

September 19, 1990

Sue Busby  
IFCC  
PO Box 17569  
5340 N. Interstate Avenue  
Portland, OR 97217

Dear Sue:

Enclosed is a Letter of Agreement for your signature and Sheryl's. Please note that it references the work plan that we drafted last week. You must complete that work plan, have it initialed by Sheryl, sign the enclosed letter and return both to me for my signature and forwarding to Melanie Beene. Please note that it is due to Melanie by September 30. If need be, please express mail it to me, so that we may meet the deadline.

I am also enclosing for you a copy of the self assessment that we completed during my recent trip.

Would a site visit on Saturday, October 6 work as well for you and Judy as October 8 to work on the artistic plan. If your schedule could accommodate this change, it would be very helpful to me. You may need to revise material in preparation of the Board retreat and I could well use the additional time for preparation as well. Also, I would like to receive from you as soon as possible a complete and current list of Board members, including affiliations and phone numbers, so that I may call them prior to the retreat. Finally, I need to know whether, the October 12-13 or the 26-27th is the preferred date for the retreat. (My gut feeling is that the latter date would be better because it would allow more prep time.) We should have a brief session with the Board Planning Committee during my next visit to review and agree upon the Retreat Agenda.

Let me hear from you soon.

Be well!



T. Ellen Sollod



INTERSTATE  
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5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

9-25-90

Memo to: Ellen Sollod

From: Sue Busby

Re: Enclosures

Enclosed are copies of the Work Plan, and the Letter of agreement for your signatures.

Also may we keep the Oct 8<sup>th</sup> site visit date. Judy has family coming so changing is not possible. The Board Retreat has been designated for October 26-27.

Also, on the 8<sup>th</sup> would you be staying in the evening or only coming during office hours. We need to know how to schedule the Exec. Committee to work on the Retreat Agenda.

Thanks



Sue's  
copy

## LETTER OF AGREEMENT

This Letter of Agreement between Advancement Consultant T. Ellen Sollod and the Interstate Firehouse Cultural Center (IFCC) outlines the terms and scope of consultant services to be provided and the obligations and commitments of the IFCC with respect to NEA Advancement Phase One.

As Advancement Consultant to IFCC, T. Ellen Sollod agrees to work with IFCC in the following capacities:

- 1) To facilitate a long range planning process involving the IFCC staff and Board of Directors and its committees;
- 2) To assist the IFCC in the preparation of a multiyear plan through on-site consultation and off-site written and verbal critiques of the plan;
- 3) To conduct a Board retreat;
- 4) To identify and recommend marketing consultant(s) to assist the IFCC in developing a marketing plan;
- 5) To assist the IFCC in developing a multiyear plan which includes these elements: artistic plan, financial plan, fundraising plan, marketing and community relations plan, governance plan, and administrative plan;
- 6) To assist the IFCC in analyzing the current governance structure and to assist in charting long term governance structure;
- 7) To advise the IFCC in the preparation of the NEA Advancement grant application, including referrals to Advancement staff for technical questions, through on-site consultation and off-site review of application drafts, if time remains in the Advancement Consultant's time allocation for the IFCC;
- 8) To provide on-site consultation and off-site assistance for up to 17 days (less days allocated to other Advancement Consultant(s) for marketing assistance) through August, 1991; and
- 9) To generally assist the IFCC with Advancement Program requirements.

As a participating organization in the NEA 1990 Advancement Program, the IFCC agrees:

- 1) To fulfill the requirements of the Advancement planning process as detailed in the work plan;
- 2) To meet the interim deadlines of the multiyear planning process, including the submission of NEA progress reports to the NEA and the submission of drafts of the various sections of the plan to Ellen Sollod, as specified in the work plan;
- 3) To submit materials, including plan drafts and application narrative to T. Ellen Sollod for off-site review in a timely fashion that allows adequate preparation for on-site meetings.

The attached Work Plan provides additional detail regarding the responsibilities of IFCC Board and staff and Advancement Consultant, Ellen Sollod, through the Advancement planning phase, September 1990 through August 1991, and shall be considered an Addendum to this agreement. The Work Plan is subject of revision as necessary and reasonable. Final due dates are fixed, including submissions to Melanie Beene and Associates and NEA progress reports.

---

Sheryl Warren  
Sheryl Warren, President  
IFCC Board of Directors

Date 9/25/90

Sue Busby  
Sue Busby, Executive Director  
IFCC

Date 9-25-90

T. Ellen Sollod  
T. Ellen Sollod  
Advancement Consultant

Date \_\_\_\_\_





**INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER**

IFCC page one of three

September 1990

To: Melanie Beene & Associates  
From: IFCC

Re: Advancement Grant Work Plan

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

<u>When</u>	<u>What</u>	<u>Who</u>
9-12&13	- Organizational Self-assessment - Work Plan Draft - Letter of Agreement	Executive Committee & Staff (JW & IFCC)
9-18	Planning Session: Mission & Artistic Vision	Staff
9-21	Letter of Agreement Draft to IFCC	Consultant
9-24-25	- Contact Marketing Volunteer Do. Consultant - Mail Lt. of Agreement & Plan to Ellen	Staff
9-26	Planning Session: Mission & Artistic Vision	Executive Committee & Staff (EK)
9-27	Planning Session: Mission & Artistic Vision	Community & Staff (IFCC)
	Planning Session: Articulate issues of IFCC/City relationship	Governance Committee
9-30	Mail Ltr. of Agreement & Work Plan to M. Beene	Consultant
10-03	Draft #1: Mission Statement, Goals & Objectives	Staff
10-08	Draft #2: Mission Statement, Goals & Objectives <i>Plan Retreat agenda</i>	Staff & Consultant <i>Exec. Comm &amp; Consultant</i>
10-13 <i>confirm</i>	Planning Session: FM match	Fundraising Committee
10-15	Review current By-laws & Articles, Board Job Descriptions, Board Committee Structure & Functions	Governance Committee & Staff

Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle

10-18	Regular Board Meeting	Board & Staff
10-26&27	Board Retreat: - Review & Approve Mission Draft - Discuss governance, roles & responsibilities of Board & Staff	Board, Staff & Consultant
11-08	Draft FM match fundraising plan	Fundraising Committee
11-15	Regular Board Meeting - Review Fundraising Plan	Board & Staff
11-30	Conduct review & complete assessment of IFCC/City relationship	Governance Committee
12-01	Draft #1 Mission Statement, goals & objectives plus 3-yr. Programming Plan	Staff
12-07	Site visit: Review draft in progress	Consultant & Staff
12-08	Draft #2 Mission Statement	Staff
12-13	Regular Board Meeting	Board & Staff
12-14	NEA Progress Report #1 due	Staff
12-15	Submit to consultant Draft #2 of Mission Statement	Staff
1-2,7,14	Develop 3 yr. Financial Projections	Staff
1-10&11	Site visit: Analyze Effectiveness of marketing/PR & make recommendations	Laurie MacDougal, Consultant & Staff
1-17	Regular Board Meeting	Board & Staff
1-27	Draft goals, objectives and strategies relating to governance	Governance Committee
2-01	Develop multi-year fundraising plan	Fundraising Committee
2-01	Develop multi-year projections for govt., foundations, corporations' grants	Staff
2-08	Review financial systems & develop recommendations to monitor & project	Finance Committee & Staff
2-14	Regular Board Meeting	Board & Staff
2-28	NEA Progress Report #2 due	Staff
3-08	Draft Fundraising Plan	Fundraising Committee & Staff
3-14	Regular Board Meeting	Board & Staff

4-12	Mail Fundraising Draft to Consultant	Staff
4-15	Develop marketing & PR plan	Marketing Committee & Staff
4-22,23,24	Assemble all aspects of Long Range Plan & draft	Staff
4-29	Mail Draft #1 to consultant	Staff
5-07	Board review Long Range Plan	Executive Committee & Staff
5-10	Draft #2 to consultant	Staff
5-16	Regular Board Meeting	Board & Staff
5-30	Receive recommendations on Draft #2 from consultant	Consultant
6-3,4,5,6,7	Finalize Draft of Plan	Staff
6-14	NEA Progress Report #3 due	Staff
6-18	Regular Board Meeting	Board & Staff
6-28	Mail Long Range Plan to M. Beene	Staff
7-04	Complete Phase 11 NEA application	Staff
7-12	Mail copy to consultant	Staff
8-09	Mail Phase 11 Application to NEA	Staff
8-30	Progress Report #4 to NEA	Staff

Approved:

---

Sheryl Warren, Board President

---

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## PROPOSED RETREAT AGENDA

### Friday Evening

Introductions: Review Evolution of the organization. Where are we today?

Mission Statement: Why do we exist? What is our purpose over the next 5 years?

Role of Board Members and Committees

### Saturday

#### ISSUES OF GROWTH AND CHALLENGES FACING OUR ORGANIZATION:

- Needs Assessment: strengths/weaknesses (what's working? what's not working?)
- Constituencies we serve: Who are the primary stakeholders? External? Internal? Secondary stakeholders? What are the most important and common stakeholder needs?
- Internal factors: What current conditions effect our growth? How does our current form of governance aid us in achieving our goals? Does it hinder us in any way? What factors must be considered in modifying current form or structure?
- Market and operating environment: What external circumstances currently exist that we anticipate may effect our ability to achieve our goals? Who is our competition in the marketplace? What are the major threats to be addressed in the next three to five years? What are the major opportunities?
- Identify key organizational issues (including management and administration)

Goals and Objectives

Programs and Services

What Constitutes Success?

Priorities

Board's Role in Developing and Implementing the Plan

What Next?

MISSION STATEMENT

DRAFT #2

Combination: Staff, E. C., Community

The IFCC is a community-based arts center committed to creating an environment in which people of every ethnic/cultural background come together as artists and audience to explore and celebrate their diversity.



## STATEMENT OF ARTISTIC PHILOSOPHY

The arts feed a human appetite for interaction that cannot be satisfied in any other way, and must emerge in direct response to pressing needs evidenced by the community. A community is never static, nor can the arts be. As we take our first tentative steps away from the homogenized "melting pot" towards a society able to embrace the integrity and value of many underrepresented cultures, the arts must lead the way, preserving the richness of our diverse heritage, taking risks, confronting our growing pains, celebrating our overriding humanity and articulating a vision of what we can become.

That, in essence, expresses the artistic philosophy of the IFCC; and characterizes the unifying and driving force behind the programming we develop, the artists from diverse ethnic/cultural backgrounds who work here, and the equally diverse audience that comes to use for sustenance. Profound respect for cultural and individual integrity infuses everything we do. We are actively dedicated to the philosophy of inclusion; fostering an environment in which energy can be directed towards creating and cultural differences enhance the creative process.

We are serious in our appreciation of both artists and audience, determined to pay artists a fair wage for their work and to make that work available to an audience at affordable prices. We are committed to the importance of supporting artists throughout the process of creation: providing resources, expertise, guidance and training so that our artists are empowered to pursue their work, stretching the limits of their vision from a secure foundation. We actively seek to work with a broad range of developing artists as well as those with extensive professional backgrounds, in the belief that artists of all levels of experience have much of value to contribute and can do so successfully, given an environment that nurtures their efforts.

We reflect the concept of inclusion in several other ways. Our physical facility is accessible to all people, but beyond that, we are continually open to artist-generated proposals for projects; open to input from the community, and open to cooperative projects with other organizations.

Our artistic programming is not imposed, it grows naturally out of the needs expressed by our constituency. This commitment to remaining sensitive to the needs of our community allows our artistic vision to encompass new possibilities as they arise, consequently inspiring our staff to develop programming and services that make a difference.

Ultimately, everyone involved in IFCC activities, from our Board of Directors, to our staff, our artists, and our audience, shares the belief that the arts can and must go beyond mere decoration or entertainment. We are committed to an artistic process that encourages risk-taking and celebrates inclusion fueled by an artistic philosophy that seeks to illuminate the universality of the human experience through the unique perspectives of diverse cultures.

## PROGRAMMING GOALS & OBJECTIVES

DRAFT #1

1. TO CREATE A HUMANISTIC ENVIRONMENT WHICH SUPPORTS THE INTEGRITY OF ARTISTS, USERS AND PATRONS.

OBJECTIVE: To pay artists the prevailing wage

OBJECTIVE: To train Staff and Board to be knowledgeable about the values of various cultures.

OBJECTIVE: To provide administrative resources, expertise and guidance to support artists throughout the creative process.

2. TO REMAIN OPEN AND RESPONSIVE TO IDEAS EMANATING FROM THE COMMUNITY.

OBJECTIVE: In 1991, to conduct the "open dialogue" conference to gather feedback on issues and concerns of ethnic/cultural artists, and provide information and resources for them.

OBJECTIVE: To preserve space in programming schedule for rental use by community groups whose projects reflect the IFCC mission.

OBJECTIVE: Gallery scheduling will ensure the possibility of taking advantage of unforeseen opportunities.

OBJECTIVE: To solicit artist-initiated proposals through an annual "call" in the newsletter and press releases.

3. TO FOSTER THE PARTICIPATION OF UNDERREPRESENTED ETHNIC/CULTURAL GROUPS IN THE ARTS.

OBJECTIVE: To provide regular opportunities for people of all levels of experience to use the arts for growth and development.

OBJECTIVE: To combine community, semi-professional and professional artists on projects.

4. TO PRESERVE AND EXPLORE THE ARTISTIC TRADITIONS OF VARIOUS CULTURES.

OBJECTIVE: To annually provide programming for children and youth which explores cultural traditions.

OBJECTIVE: To annually provide programming for adults which explores cultural traditions.

(Continued)

5. TO FOSTER THE NEW WORK OF ETHNIC/CULTURAL ARTISTS OR WORK THAT REFLECTS A CULTURAL PERSPECTIVE.

OBJECTIVE: To produce a script-reading series of new plays by ethnically and culturally diverse writers. (ongoing)

OBJECTIVE: To retain one programming slot per season for the production of a new script.

OBJECTIVE: (Visual arts)

OBJECTIVE: International collaboration/exchange

6. TO PROMOTE CROSS CULTURAL SHARING WHILE MAINTAINING CULTURAL INTEGRITY.

OBJECTIVE: To offer an annual production season featuring diverse cultures (ongoing)

OBJECTIVE: To continue a collaborative producing relationship with at least one emerging company which reflects the IFCC mission.

OBJECTIVE: To offer annual gallery exhibitions featuring artists of diverse ethnic/cultural backgrounds.

7. TO CREATE DIVERSE AUDIENCES.

OBJECTIVE: To continue to offer programming that is ethnically and culturally diverse.

OBJECTIVE: To develop a 1992-93 producing season which features music and dance along with theatre.

? OBJECTIVE: To coincide gallery openings with theatre schedule.

? OBJECTIVE: To feature work in the gallery that reflects the same culture being presented in the theatre.

October 15, 1990

GOVERNANCE COMMITTEE

Agenda:

1. Review - Current by-laws and articles

Board job description

Board committee structure

Board function

*IFCC/city*



**INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER**

Oct 22, 1990

Memo to: IFCC Board

Re: Board Retreat

Date: Friday, Oct. 26, 7-9:30pm  
Sat., Oct. 27, 9-3pm

Place: Pacific Power building  
3535 N.E. Fremont  
(503) 282-4335

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

**IFCC Staff:**

Sue Busby  
Executive Director

Al Jamison  
City Liaison

Judy Reckel  
Producing Director

Roberta Wong  
Gallery Coordinator

Henry Stack  
NWTD Liaison

PLEASE BRING WITH YOU:

- 1) IFCC binder
- 2) \$7 cash or check payable to IFCC for Saturday lunch & refreshments.
- 3) Any IFCC information related to the NEA Advancement grant

Please Note:

Ellen Sollod, NEA consultant, will facilitate this retreat. Please find an agenda enclosed for your perusal.

Thank you for taking the time to participate. Your input is very valuable and greatly appreciated!

10/11/90

Laurie McDougall, Marketing Consultant

306 "C" Lily St.  
SF, CA 94102

Theatre entry point

2 surveys: 1 + theatre  
1 organizational, general

Sell "Create environment that is  
familiar to everyone, safe to  
explore multicultural events

Incentives needed

Get list of People who come to a play —  
pull them list & offer \$5 incentive  
to come back & explore next play

Going straight to people who really know  
what you are talking about.

Get name of friend when offering 2 for





# INTERSTATE FIREHOUSE CULTURAL CENTER

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

## MISSION STATEMENT

DRAFT #2

Combination: Staff, E.C. Community

The IFCC is a ~~non-profit~~ <sup>arts</sup> community-based cultural center committed to creating an environment in which people of every ethnic/cultural background ~~feel welcome to~~ <sup>come</sup> come together as artists and audience to explore and preserve traditions, to recognize unique qualities, and ~~to~~ <sup>to</sup> celebrate and share the richness and universality of <sup>their</sup> cultural diversity through the visual, literary and performing arts.

Mission  
Goals  
Strategies  
Goals are words  
- Value statements  
Goals versus mission

The IFCC is a <sup>non profit</sup> community-based cultural center dedicated to celebrating & recognizing Portland diverse communities thru the arts  
participate, foster, celebrate

Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle



INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

MISSION STATEMENT  
DRAFT #1  
STAFF

The IFCC is a non-profit cultural center committed to creating an environment where people of many ethnic/cultural backgrounds can come together as artists and audience to preserve their traditions, celebrate their unique qualities and explore the richness of cultural diversity through the visual, literary and performing arts.



INTERSTATE  
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Portland, Oregon 97217  
(503) 243-7930

MISSION STATEMENT

DRAFT # 1

Community

The IFCC is a cultural center committed to creating a home where people of every ethnic/cultural background feel welcome to come together as artists and audience to preserve traditions, celebrate unique qualities and explore the richness of all cultures, through the visual, literary and performing arts.

Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle



**INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER**

P.O. Box 17569  
5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

**IFCC Staff:**

Sue Busby  
Executive Director

Al Jamison  
City Liaison

Terry Nelson  
Artistic Director

Charles Tyndall  
Production Manager

Kathy Eastman  
Gallery Coordinator

Henry Stack  
NWTD Liaison

Roberta Wong  
Box Office Manager

Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle



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Production Manager**

**Kathy Eastman  
Gallery Coordinator**

**Henry Stack  
NWTDL Liaison**

**Roberta Wong  
Box Office Manager**

*Excc. Community Notes on Mission*  
*Appear the variety of the place*  
*than the unique perspectives*  
*artistic expression*  
*ethnic/cultural topics*  
*interdependence*  
*Promote exposure to others*  
*Create opportunity for diverse culture*  
*groups to explore their value*  
*Portland, Oregon*  
*Communicate*

**Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle**



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Gallery Coordinator**

**Henry Stack  
NWTD Liaison**

**Roberta Wong  
Box Office Manager**

*Philosophy: professional  
is think/art  
is identity & the  
need to space  
that*

*Save for future person*

*See Comm 9-26 90 Niles*

**Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle**



1) Global community, beyond city,  
reflects

Arts as communication between  
all the communities of the world,  
arts powerful tool i.e.  
communication between cultures

Building bridges between

Ethnic/cultural groups together

Cross fertilization

Become an institution

C Reach out to

Educate

IFCC is a process to enrich  
educate, diverse issues + population



# INTERSTATE FIREHOUSE CULTURAL CENTER

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

## MISSION STATEMENT DRAFT #1 STAFF

*institution  
cultural landmark*

*created by accessible to  
community-based*

The IFCC is a ~~non-profit~~ cultural center committed to creating an ~~environment~~ <sup>home or place</sup> where people of <sup>every</sup> many ethnic/cultural backgrounds <sup>feel welcome to</sup> can come together as artists and audience to preserve their traditions, celebrate ~~their~~ unique qualities and explore the richness of <sup>all</sup> cultural ~~diversity~~ through the visual, literary and performing arts. *To explore each other's*

## Goals:

*nourishing  
home  
welcoming  
continuing education  
always something new  
works in progress  
developmental  
enriched by  
to enrich  
inspire others as result*

*under-represented*

*IFCC  
inspires to  
educate others*

Showing Portland's diverse cultural communities through the arts.  
Commissioner in Charge, Dick Bogle

## Staff Notes on Mission

- 1) Preservation of cultural heritage
  - 2) Audience development towards cross cultural appreciation
  - 3) Training, employment, opportunity
  - 4) <sup>promote</sup> Interaction between various ethnic groups and community at large
  - 5) Cross-over between ethnic/cultural groups
  - 6) Creating environment in which process of social change can occur
- The arts being one of the few <sup>non threatening</sup> environment in which people can exchange differences

## Mission:

A community based facility which provides an environ

The IFCC is a nonprofit cultural center  
~~designed~~ created to ensure the environment coordination of ethnic/cultural traditions through the C, U + P arts.

By creating <sup>an</sup> environ in which the process of social change is always an element  
The <sup>which</sup> longer focus is to <sup>provide</sup> create an environ

ELLEN

~~1-2~~

2

SEPT

3

OCT. SITE

1

PREPARATION FOR RETREAT

1

EARLY DEC. 7.

1-2

off-site review by JAN. 1.

1-2

LAURIE MAC DOUGAL

10 days.

~~1-2~~

~~1-2~~

~~1-2~~

~~1-2~~



## INTERSTATE FIREHOUSE CULTURAL CENTER

5340 N. Interstate  
Portland, OR 97217  
(503) 823-2000

October 1, 1991

Advancement Program, NEA  
1100 Pennsylvania Ave. N.W., Rm. 617  
Washington, D.C. 20506

**Board of Directors**

Jeana Woolley  
President

Sheryl M. Warren  
Vice President

Peggy C. Ross  
Vice President

Edith Kilbuck  
Recording Secretary

Bernadette Artharee  
Treasurer

Fritz Congdon  
Geneva Jones  
Peter Vlahos

Sue Busby  
Executive Director

Judy Yeckel  
Producing Director

Dear Ms. Benson:

Here is progress reprot #4 for the IFCC:

1) After meeting with the Executive Committee and confirming our direction for the summer, the Board took off for a month (July) and the IFCC staff took on an intern and proceeded to execute our annual Summerstage '91 production.

2) Our consultant joined us for 'final remarks', etc. in August, at the Board meeting. With the application process completed, everyone felt a great sense of accomplishment. Staff, consultant, and Board agreed to turn full effort toward the fundraising component. September has two events scheduled with full Board participation. and Staff has outlined grant writing assignments.

3) The commitment of this organization is stronger than ever. It is so good to have a plan written!

Sincerely,

*Sue Busby*  
Sue Busby,  
Executive Director

*Showcasing  
Portland's  
diverse  
cultural  
communities  
through  
the arts.*



INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER

March 5, 1991

Advancement Program, NEA  
1100 Pennsylvania Ave. N.W., Rm. 617  
Washington, D.C. 20506

5340 N. Interstate  
Portland, OR 97217  
(503) 823-2000

Dear Ms. Benson:

Here is Progress Report #2 for the IFCC.

1) The IFCC Board and staff experienced some jet-lag from the holidays. Our consultant also had a busy schedule. So frustration was booming during most of this particular interim period. By the end of January, the communication started to flow again between all of us. We anticipate this next three month frame to be our most productive period. We feel that the planning process is advancing satisfactorily.

Board of Directors

Sheryl M. Warren  
President

Jeana Woolley  
Vice President

Edith Kilbuck  
Secretary

Peter Vlahos  
Treasurer

Bernadette Artharee  
Kathryn Bogle  
Fritz Congdon  
Carol Edmo  
Geneva Jones  
Terry "T.J." Lowe  
Gloria McClendon  
Terri Naito  
Peggy Ross

Sue Busby  
Executive Director

2) Here are a few suggestions for consideration by the Advancement Program regarding consultants assigned to organizations in the field:

- A. Require the firm who gets the contract for hiring and assigning consultants, to have at least one Asian, one Black, and one Hispanic included in their personnel. Not necessarily because these cultural groups are among the organizations admitted to the program, but also because there are qualified people from these cultural groups who should be doing this kind of work in the field and building their resumes along with their European American peers;
- B. Every consultant, regardless of their heritage, be required to take a seminar, workshop, or course that educates them regarding the four largest ethnic groups in the U.S. and their particular cultural mannerisms. This information is relevant to the development of the *art &* cultural climate in America;
- C. Consultants should be screened for the ability to use discretion in helping the client feel comfortable in having access to them. For example, our consultant is professionally very busy. I am OK in working with someone of this calibre, but I wonder if most people would adjust.
- D. Could we receive a brief statement from the Advancement Program which states the IFCC has been accepted and has the potential to receive a grant that must be matched 3 to 1. We would like to attach this to funding requests. Obviously we already have this information but it is not on one sheet of paper.

Showcasing  
Portland's  
diverse  
cultural  
communities  
through  
the arts.





INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER

page 2

5340 N. Interstate Avenue  
Portland, Oregon 97217  
(503) 243-7930

3) Laurie McDougal, a specialist in marketing, met with staff and Board during January. We are extremely excited about the potential of our future plans as seen through marketing eyes! Laurie is good at her craft. We very much need the observation of an objective outsider.

*Sue Busby,*

ADVANCEMENT'90

Sue Busby  
Interstate Firehouse Cultural Center  
5340 N. Interstate  
Portland, Oregon 97217

July 5, 1991

Dear Sue:

Congratulations on being the ninth Advancement participant to complete the long range plan. You've done a good job here, especially under the trying circumstances your organization has had to cope with this year with unpredictable funding cuts!

Your plan is well written and has a good format -- I really like the look of your new computer! The programming, marketing and facilities sections are strong.

Most of my concerns center around how much increased income the organization can realistically raise and earn. You refer, in several places to becoming self-sufficient which is a goal that no not-for-profit arts group can aspire to -- you will still need outside support to survive. It seems that your challenge will be to replace dependence on government support with reliance on a diversity of community sources.

Below are some specific comments on individual sections of the plan. Both Juliana Grenzeback and I have read and commented on the draft itself which is enclosed. Please remember these are the immediate responses of outside readers, and you should incorporate them or not as you see fit. The plan is yours, and you are under no obligation to change anything that you don't want to change.

**Introductory background:** This section is very good and your priorities make a lot of sense. I would include in here the amount and purpose of your Phase II Advancement request.

**Programs:** Well thought-out with good detail. It was easy to read and understand -- a rarity that is much appreciated.

**Staff:** An organizational chart with titles would be helpful.

**Governance:** It is not clear enough to the reader why you are spinning off from the city of Portland. Do you have a choice?

**Fundraising:** These goals seem overly ambitious. There seem to be a lot of special events. Do you have the people power to implement them?

Tel: (415) 331 0168  
Fax: (415) 331 5865

Suite 101  
1505 Bridgeway  
Sausalito, CA 94965

*Melanie Beene & Associates*  
A R T S C O N S U L T A N T S

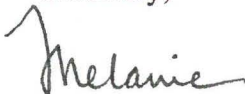
**Facilities:** The way this section and the marketing/visibility goals fit together is very nice. It's just unclear how it gets paid for and by whom?

**Financial Management:** Who will fulfill the bookkeeping functions? When you finally get the ToolBox that we are sending you, it should be of assistance in this area.

**Budgets:** Why a deficit this year? We need to be able to see, for each year, the beginning and ending fund balances. Some of the items in the building maintenance subcategory are traditionally carried under office expense or administration, for example: telephone, insurance, utilities. Why do you project individual donors declining? Good budget notes.

I'm really impressed with the job you did. With minor finetuning you have a very competitive plan. Let us know if you have any questions or we can assist you in any way.

Sincerely,

A handwritten signature in cursive script that reads "Melanie".

M. Melanie Beene

cc: Ellen Sollod

ADVANCEMENT'90

MEMO

DATE: September 20, 1991

TO: 1990-91 Advancement Organizations

FROM: M. Melanie Beene

RE: Consultant Evaluation

*M. Melanie Beene*

\*\*\*\*\*

Now that the plans are written, the applications are in, and you can (hopefully) breathe a little easier, I want to ask for your assistance. We would be most appreciative if you would take ten minutes to fill out the enclosed Consultant Evaluation.

In completing the evaluation we ask that you be honest and constructive. This evaluation is an opportunity for the 1990-91 Advancement Consultants to get feedback on their work this past year, as well as some suggestions as to how they might improve their work with other groups in the future. Your responses will be shown to the Consultants only on their request and only in aggregate form, i.e., they will not know the name of the group providing the feedback.

Thank you for your help and candor. We continue to seek ways to improve the Advancement Program, and your input is important to that process.

Tel: (415) 331 0168  
Fax: (415) 331 5865

Suite 101  
1505 Bridgeway  
Sausalito, CA 94965

*Melanie Beene & Associates*  
A R T S C O N S U L T A N T S

**NEA 1990-91 ADVANCEMENT PROGRAM  
CONSULTANT EVALUATION  
CONFIDENTIAL**

Name of Participant Organization: \_\_\_\_\_

Name of Advancement Consultant: \_\_\_\_\_

\*\*\*\*\*

Was this consultant a good match for your organization? Why/Why not?

Would you recommend the consultant continue to be used in the Advancement Program?  
Why/Why not? What types of organizations would be the best match for this consultant?

Other Comments? (Use reverse of page if necessary)



To help us make the best possible consultant/Advancement participant matches in the future, would you please indicate your organization's response to the following (where applicable):

	<u>Excellent</u>	<u>Satisfactory</u>	<u>Unsatisfactory</u>
Consultant's ability to work with--			
Executive Director(s)	_____		
Artistic leadership	_____		
Board of Directors/Volunteers	_____		
Staff	_____		
Other consultants	_____		
Consultant's ability to--			
Facilitate self-assessment	_____		
Facilitate Board retreat(s)	_____		
Guide planning process	_____		
Provide conceptual framework	_____		
Provide analytical tools	_____		
Provide resource materials	_____		
Identify and clarify issues	_____		
Provide positive feedback	_____		
Provide constructive criticism	_____		
Review & comment on plan drafts	_____		
Consultant's knowledge of--			
Discipline issues	_____		
Program development	_____		
Board development	_____		
Staffing and personnel	_____		
Fundraising	_____		
Marketing and P.R.	_____		
Financial management	_____		
Long-range planning	_____		
Facilities management	_____		

How would you rate the performance of Melanie Beene and Associates in managing the Advancement program?

Excellent

Satisfactory

Unsatisfactory



Based on your experience in Phase One of Advancement, do you have any comments or suggestions on how the program might be improved:

Overall Program Design

Consultant/Client Assignment Process

Participants Orientation

The Special Needs Allowance

The On-Site Consulting

The Plan Writing

The Phase II Application

Other comments/suggestions for improvement (use reverse of page if necessary):

## Consultant Narrative for The Interstate Firehouse Cultural Center

### 1. Describe the organization's participation in Advancement Phase I.

The IFCC began the Advancement process last fall with the creation of a Board Planning Committee (the Executive Committee served this function) and a careful assessment of the issues and opportunities facing the organization. The two full time staff members followed the process through with extended and regular discussions over mission, purpose and goals. A Board retreat was held in October at which time, a new mission statement was approved as were the goals and general program directions. Using this as the basis, the staff developed the programming plan. The Executive Committee reviewed this plan and made comments and suggestions. These were incorporated into the draft. The Executive Committee continued to be involved and took a leadership role in wrestling with issues of governance and fundraising. Laurie McDougall did a site visit in January to assist in the development of the marketing plan. As the Advancement Consultant, I made day long site visits almost monthly and would work intensely with staff during these times. The process involved the Board President and Vice President in in depth discussions about the future direction of the IFCC.

### 2. Comment on the participant's long range plan, including its appropriateness, and the organization's ability to implement the plan and their capacity to make the 3 to 1 match.

The plan is an ambitious one, one which some might believe to be too ambitious for an organization of this size. However, in actuality, it represents a refinement and focussed approach to programming which has, in the past, been diffuse. The scope of work outlined in the latter years of the plan may prove too ambitious but safeguards and processes are being put into place to evaluate the feasibility of full implementation. The organization will move from a government-based operation to a fully nonprofit, independent group by the second year of the plan. This will require that additional management and financial systems are put into place. The IFCC is anticipating this and beginning to develop these procedures. While fundraising is likely to be challenging, the IFCC occupies a unique niche in Portland and enjoys significant fundraising potential. I feel confident they will be able to make the Advancement match.

### 3. Describe the process that has (or has not) been put into place for continuing the planning process, and the organization's commitment to it.

The IFCC feels that the planning process has helped them wrestle with difficult issues facing the organization and that continued planning and monitoring will be necessary to ensure responsible implementation of the plan. As a result of Advancement, the IFCC

Board has moved from an informal advisory committee to a fully operating unit. The Executive Committee is a committed group of individuals who each personally care about the organization. This core group's continued involvement will be important for the group to make the transition that will be required. The IFCC envisions utilizing annual board retreats to update the plan and evaluate their progress. Expansion and strengthening Board members involvement should be a priority in the coming year. This will be necessary to effectively implement the 10th Anniversary Year envisioned by the organization.

4. Describe the strengths and challenges that you feel the participant faces as it enters Advancement Phase II.

The greatest challenge IFCC will face is effectively making the transition from a government based operation with a "safety net" to a fully independent 501 (c) 3. The City Ordinance passed last year, called Measure 5, will substantially reduce their city support by 1992. Increasing earned income and nongovernment fundraising will be important to their success. Because they do not serve an audience who has the ability to make significant individual contributions, they will need to substantially increase the number of individual contributors. The IFCC is uniquely positioned in Portland to meet certain arts/social service objectives which can be appealing to the business community. Raising their profile through effective marketing and public relations can assist significantly to this end. The greatest strength of the IFCC is their clarity of mission and the special function they serve in the Portland arts community. They are an organization which was founded on cultural diversity and their ideals are reflected in their programming philosophy. Corresponding to this clarity is the commitment of a core group of artists who are actively involved in the organization.

5. Comment on any managerial or artistic changes in the organization that may have affected the organization's artistic quality or activities.

The IFCC continues to operate under the direction of their founding director. The addition of a producing director in the past 18 months has strengthened their in house productions and contributed to the quality of community productions to which she provides assistance and guidance. I suspect that the IFCC is stronger artistically now than it was at the outset of Advancement. Nothing has occurred in the organization to negatively affect its operations, artistically or managerially.

6. Comment on the condition of the organization's financial and managerial systems at the beginning of technical assistance and at the time of Phase II application.

At the beginning of the Advancement process, the IFCC relied on the Office of the Commissioner in Charge (in city government) for many of their basic operating functions, including the use of a copier, all book keeping, and central services. The organization had no computer, no copier, and few in house systems for managing or tracking resources. While the IFCC had been very successful in securing press coverage, they had not developed marketing strategies designed to increase the number of paid audience members. Through Advancement they were able to purchase a computer and word processing, financial management and desk top publishing software. They also were able to acquire a copier so that many needless trips to Kinkos and to city hall were eliminated. In addition, through the assistance of consultant Laurie McDougall, they prepared a marketing plan which includes cosmetic improvements to the physical plant which are designed to make the facility more attractive and inviting. Because they are only now beginning the full transition to nonprofit operating status, they are still putting into place the management and financial systems they will need to make the transition.

Advancement Phase II comes at a critical time for the IFCC. This infusion of funds will enable them to begin to address the compensation issues for staff other than the executive director and will help them make the called for transition.

July 18, 1991

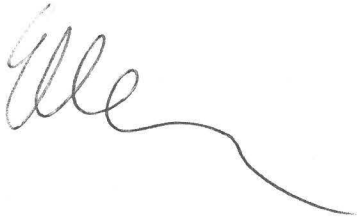
Dear Sue,

Enclosed is a draft of my consultant's narrative. Please give me a call after you have reviewed it to let me know your comments, whether you feel it accurately reflects where you are, etc. I am supposed to have you sign a final copy and send it on to Melanie by July 22. Needless to say, I'm running a little late.

Since I haven't heard from you, I am assuming you are moving ahead on the Advancement Phase II application. Let me know if you want me to schedule a trip to Portland or whether you would like me to review this by phone and fax. I still have some time available for you and could make one more trip if you feel it would be necessary or helpful. I cannot come the weekend of August 10 (my studio mate is getting married!)

Hope you and Judy are getting along. *(I mean getting some rest!)*

Regards,

A handwritten signature in cursive script, appearing to be 'Al', followed by a long, sweeping horizontal line that extends to the right.

## Consultant Narrative for The Interstate Firehouse Cultural Center

### 1. Describe the organization's participation in Advancement Phase I.

The IECC began the Advancement process last fall with the creation of a Board Planning Committee (the Executive Committee served this function) and a careful assessment of the issues and opportunities facing the organization. The two full time staff members followed the process through with extended and regular discussions over mission, purpose and goals. A Board retreat was held in October at which time, a new mission statement was approved as were the goals and general program directions. Using this as the basis, the staff developed the programming plan. The Executive Committee reviewed this plan and made comments and suggestions. These were incorporated into the draft. The Executive Committee continued to be involved and took a leadership role in wrestling with issues of governance and fundraising. Laurie McDougall did a site visit in January to assist in the development of the marketing plan. As the Advancement Consultant, I made day long site visits almost monthly and would work intensely with staff during these times. The process involved the Board President and Vice President in in depth discussions about the future direction of the IECC.

### 2. Comment on the participant's long range plan, including its appropriateness, and the organization's ability to implement the plan and their capacity to make the 3 to 1 match.

The plan is an ambitious one, one which some might believe to be too ambitious for an organization of this size. However, in actuality, it represents a refinement and focussed approach to programming which has, in the past, been diffuse. The scope of work outlined in the latter years of the plan may prove too ambitious but safeguards and processes are being put into place to evaluate the feasibility of full implementation. The organization will move from a government-based operation to a fully nonprofit, independent group by the second year of the plan. This will require that additional management and financial systems are put into place. The IECC is anticipating this and beginning to develop these procedures. While fundraising is likely to be challenging, the IECC occupies a unique niche in Portland and enjoys significant fundraising potential. I feel confident they will be able to make the Advancement match.

### 3. Describe the process that has (or has not) been put into place for continuing the planning process, and the organization's commitment to it.

The IECC feels that the planning process has helped them wrestle with difficult issues facing the organization and that continued planning and monitoring will be necessary to ensure responsible implementation of the plan. As a result of Advancement, the IECC



Board has moved from an informal advisory committee to a fully operating unit. The Executive Committee is a committed group of individuals who each personally care about the organization. This core group's continued involvement will be important for the group to make the transition that will be required. The IFCC envisions utilizing annual board retreats to update the plan and evaluate their progress. Expansion and strengthening Board members involvement should be a priority in the coming year. This will be necessary to effectively implement the 10th Anniversary Year envisioned by the organization.

4. Describe the strengths and challenges that you feel the participant faces as it enters Advancement Phase II.

The greatest challenge IFCC will face is effectively making the transition from a government based operation with a "safety net" to a fully independent 501 (c) 3. The City Ordinance passed last year, called Measure 5, will substantially reduce their city support by 1992. Increasing earned income and nongovernment fundraising will be important to their success. Because they do not serve an audience who has the ability to make significant individual contributions, they will need to substantially increase the number of individual contributors. The IFCC is uniquely positioned in Portland to meet certain arts/social service objectives which can be appealing to the business community. Raising their profile through effective marketing and public relations can assist significantly to this end. The greatest strength of the IFCC is their clarity of mission and the special function they serve in the Portland arts community. They are an organization which was founded on cultural diversity and their ideals are reflected in their programming philosophy. Corresponding to this clarity is the commitment of a core group of artists who are actively involved in the organization.

5. Comment on any managerial or artistic changes in the organization that may have effected the organization's artistic quality or activities.

The IFCC continues to operate under the direction of their founding director. The addition of a producing director in the past 18 months has strengthened their in house productions and contributed to the quality of community productions to which she provides assistance and guidance. I suspect that the IFCC is stronger artistically now than it was at the outset of Advancement. Nothing has occurred in the organization to negatively affect its operations, artistically or managerially.

6. Comment on the condition of the organization's financial and managerial systems at the beginning of technical assistance and at the time of Phase II application.

At the beginning of the Advancement process, the IFCC relied on the Office of the Commissioner in Charge (in city government) for many of their basic operating functions, including the use of a copier, all book keeping, and central services. The organization had no computer, no copier, and few in house systems for managing or tracking resources. While the IFCC had been very successful in securing press coverage, they had not developed marketing strategies designed to increase the number of paid audience members. Through Advancement they were able to purchase a computer and word processing, financial management and desk top publishing software. They also were able to acquire a copier so that many needless trips to Kinkos and to city hall were eliminated. In addition, through the assistance of consultant Laurie McBougall, they prepared a marketing plan which includes cosmetic improvements to the physical plant which are designed to make the facility more attractive and inviting. Because they are only now beginning the full transition to nonprofit operating status, they are still putting into place the management and financial systems they will need to make the transition.

Advancement Phase II comes at a critical time for the IFCC. This infusion of funds will enable them to begin to address the compensation issues for staff other than the executive director and will help them make the called for transition.

NATIONAL  
ENDOWMENT  
FOR  
THE ARTS

WASHINGTON  
D.C. 20506



A Federal agency advised by the  
National Council on the Arts

July 22, 1991

Ms. Susan Busby  
Executive Director  
Interstate Firehouse Cultural Center  
5340 N. Interstate  
Portland, OR 97217

Dear Ms. Busby:

Please be advised that the Advancement Progress Report #3 deadline was in June. As of yet we have not received your organization's report.

We understand how hectic this time in the Advancement process is for you; however, we would appreciate receiving an update as soon as possible for our information and records. If you have any questions concerning the #3 Progress Report or Advancement, do not hesitate to call myself or Vickie Benson, the Program Specialist, at (202) 682-5436.

Best wishes as you prepare your Phase II applications.

Sincerely,

Karen E. Leies  
Advancement Program Assistant

**ADVANCEMENT'90**

DATE: February 11, 1991  
TO: Advancement Groups  
FROM: M. Melanie Beene  
RE: Progress Report #2

\*\*\*\*\*

I just want to remind you that your second progress report is due on March 1. These reports should be sent to the Advancement program office at the National Endowment for the Arts. **You do not have to send us a copy of this report.** This report is an opportunity for you to comment on your experiences in Advancement (what you like, what you would like to see done differently), and to give feedback directly to the program office.

Please call me if you have any questions or concerns.



Tel: (415) 331 0168  
Fax: (415) 331 5865

Suite 101  
1505 Bridgeway  
Sausalito, CA 94965

*Melanie Beene & Associates*  
A R T S C O N S U L T A N T S

Subcopy

## Create a Board that Works for You!

Workshop on Recruiting and Training  
Boards of Directors

Western Alliance of Arts Administrators  
Conference at San Diego, CA  
September 6, 1988

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# **N** **RTH GROUP**

Submitted by:

**The North Group Inc.**  
322 West 57th Street #31-S  
New York, New York 10019 USA  
Telephone: 212.581.1961  
Fax: 212.581.1963

**The North Group Inc.**  
**Board Development**

**CREATE A BOARD THAT WORKS FOR YOU!**

**Introduction**

1. Board members do not know how to be Board members.
  - a. Little or no experience.
  - b. No frame of reference.
  - c. We must provide learning opportunities.
  - d. We must provide training on role, responsibilities, and legal responsibilities.
  - e. Board members do not know how to help!
    - \* Anger.
    - \* Frustration.
    - \* Inaction.

**BOARD MEMBERS USUALLY DROP AWAY FROM BOREDOM  
NOT BECAUSE THEY HAVE BEEN OVERWORKED.**

2. Create a common set of expectations to develop a truly effective working Board.
3. Current expectations may be:
  - a. Staff's view of the Board:

Keep your hands off the operations!  
Just raise money!
  - b. Board's view of itself:

We are here to give advice!



4. Old truths:

- a. No one wants to be known just for their money.
- b. If a Board is to work and give, they must feel a sense of ownership.
- c. Everyone wants to be a worthwhile member of a worthwhile organization.
- d. People's self-concepts are in part defined by the organizations with which they are affiliated -- we label ourselves.
- e. Everyone wants to be an expert.

5. What it means to be a Board member.

Old Belief: The Board creates policy and the staff implements it.

Reality: The Board creates policy with staff help, and the staff implements policy with Board help."

THINK ABOUT THE BOARD AS A COLLECTIVE MIND AND BODY.

6. Legal role of the Board of Directors.

- a. A Board is a legal entity.
- b. The Board holds an organization in trust.
- c. Board members may not be passive.
- d. Board members can be sued.
- e. "Prudent man" concept.
- f. Board members are assumed to approve all actions unless otherwise recorded.
- g. Permanence -- the Board continues.
- h. The Board holds all legal power.

7. Moral role of the Board.

- a. To remain informed.
- b. To be committed to the central purpose of the organization.
- c. To understand the budget and all its financial and programmatic implications.
- d. To commit time:
  - \* To attend Board meetings.
  - \* To be an active committee member.
  - \* To attend events.
- e. To subscribe, pay dues, or, in other way, become a "member."
- f. To give and raise money.
- g. To represent and be an advocate for the group.
- h. To think about the group in an active manner and integrate ones involvement in one's everyday life.

## THE ROLES & RESPONSIBILITIES OF BOARDS OF DIRECTORS

1. Purpose: It is the job of the Board of Directors to establish, clarify, and modify the purpose of the organization. The Board must state clearly what kind of services are to be offered and it must make certain that this role is fulfilled. It will become necessary for the Board, at times, to modify the purposes and adjust the services to satisfy changing conditions.
2. Planning: It is the responsibility of the Board to insure that the formal organization and structure is in place to accomplish the stated purpose. It must also make sure that all relevant laws are being adhered to. In addition, it is the responsibility of the Board to make certain that comprehensive plans are in place, charting the future of the organization.
3. Resources: The Board has a major responsibility for seeing that the organization has the necessary funding, facilities, and staff needed to conduct the programs of services it has defined. This means approving budgets, securing money, and insuring the proper expenditure of funds.
4. Policy Making: The Board must prescribe the conditions under which services will be provided as well as the basic policies for the entire operation of the organization. Policy making is a continuous process. As conditions change, policies must be revised, reformulated, and restated.
5. Staffing: The Board is responsible for employing the executive and defining his/her duties and compensation. After employment, the Board must delegate to the executive the necessary authority to administer the work of the organization. The Board must evaluate, on a regular basis, the performance of the executive.
6. Community Relations: The Board has major responsibility for interpreting the services of the agency to the community. In this respect, Board members are in a position to exercise considerable influence towards helping the community understand what the organization is trying to do. Conversely, the Board must represent the community viewpoint and make certain the organization is sensitive to and responsive to community needs.

5. Policy Development

- establishes policy for board operations, fiscal management, programs and personnel.

6. Planning

- responsible for development of long-range plans for commitment of resources (facilities, property, personnel, finances, etc.) to meet the changing needs and values of community.
- promotes development and improvement of services.
- these are expressed in a statement of mission or purpose, goals and objectives.

7. Perpetuation of the Effectiveness of the Agency Through

- hiring of a competent director
- orientation and training of board members.
- providing good salary scale and fringe benefits for agency employees.
- encouraging professional development of staff
- attendance at/and membership with state and national board associations.

8. Financial Management

- reviews the annual budget to determine its adequacy to meet goals and objectives.
- actively works for public and official support of the budget.
- secures funds for operation of the agency and its service programs, exploring all possible revenue sources.

5. Policy Development

- develops policy analysis papers to support board activities in policy development.
- develops procedures for implementation of policies.
- carries out procedures.

6. Planning

- staff supports board's long-range planning by projection of needs and trends.
- responsible for development of intermediate and short-range commitment of resources.
- these are expressed in contingency and operational plans, annual budgets, etc.

7. Perpetuation of an Effective Agency Through

- careful administratives and professional staff selection.
- orientation of staff.
- in-service training.
- supervision or coaching
- recommends improvements in working conditions, salaries, fringes, etc., to board.
- membership in professional associations.

8. Financial Management

- develops annual budget to achieve annual objectives identified by the board.
- prepares and presents monthly financial statements to the board in a format that is easily analyzed.
- negotiates and researches contracts according to procedures.

## Sample Job Description for a Board Member

Mr. John Maxcett  
Manager of Community Affairs, WAAQ-TV  
Capital City, State 06161

Dear John,

It was a pleasure to see you again last Thursday. We are very excited that you have agreed to serve on the Board of the Rotunda Dance Company. To confirm our earlier conversation, I would like to outline briefly your role as a Board member.

John, we would like you to use your considerable talents and experience in marketing to help the Company reach its three-year goal of expanding earned income from ticket sales by 50%. We ask that you chair the Marketing Committee for the next three years, develop the plans and strategies to reach the ticket sales income goal, coordinate your committee's efforts with the rest of the Board, and work with Sharon Quill on the staff, who will be able to commit fifteen hours each week to help implement the strategies that you and your committee develop. The Company's marketing budget for next year is \$14,500.

In addition to the Marketing Committee, we would like you to serve as a member of the Board Development and Evaluation Committee, which is responsible for determining the talents we need in new Board members, recruiting new Board members, evaluating the service of current Board members, and preparing Board job descriptions.

We ask all Board members to:

- 1) Purchase a season subscription.
- 2) Attend at least five Board meetings a year.
- 3) Attend at least 75% of all meetings of committees on which you serve.
- 4) Help solicit at least five gifts as part of our annual fund drive.
- 5) Attend the annual benefit.
- 6) Give an annual gift each year commensurate with your ability to give.
- 7) Act as an advocate on behalf of the Company at every opportune moment in your everyday life.

We estimate that your involvement with the Rotunda Dance Company will take an average of about twenty hours a month to accomplish your work as Marketing Committee Chairman, as a member of the Board and the Development and Evaluation Committee, and as a volunteer on Company efforts such as the benefit and annual fund drive.

John, we know we are asking a lot from you, but the work of the Company is important. We very much appreciate the contribution of time, energy, money, and enthusiasm you have agreed to give. We look forward to your joining us on the Board. Your special marketing expertise and love of dance will really help us expand the audience for the work of the talented choreographers in the Capital City area. Welcome to the Board.

Sincerely,

Chairman

TIME TABLE  
NEA PLANNING PROCESS  
PLAN DEADLINE/APPLICATION DEADLINE

<u>DATE</u>	<u>EVENT</u>
Feb. 2, 1991	Site visit with Ellen
Feb. 15	Mail draft of artistic deadline to consultant
Feb. 22	Comments from consultant
Feb. 28	NEA Progress Report #2 due
March 1 - early March	Revise draft for review by Executive Committee
March	Two meetings of Executive Committee to review draft
March reg. sched'd Board meet	Present draft to full Board for approval in concept, pending financials
March 5-6	Site visit with Ellen & Executive Committee
April	Two Executive Committee meetings--open to full Board 1st meeting--review financial projections--do these numbers make sense? 2nd meeting--review fundraising projects --working session to identify potential givers --where are we going to get it, how? if not, what do we cut, both in terms of costs and programming
April 13	site visit; set up May writing
May	Staff & Consultant--finalize marketing plan Staff/Planning Committee--Personnel/Operating Policy section Governance plan Staff/Planning Committee, w/Governance Committee-- --City relationship --Board responsibilities --Staff responsibilities Staff--Facility Plan
June 1	Final draft of plan to Ellen
June 14	NEA Progress report #3
June 28	Plan due to M. Beene
July 4	Complete NEA application
July 12	NEA application draft to Ellen
August 9	NEA application due
August 30	Progress Report #4 to NEA

*talk about  
Ellen's report!  
somewhere in here*



# NATIONAL ENDOWMENT FOR THE ARTS

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## NEWS



A Federal agency advised by the National Council on the Arts  
1100 Pennsylvania Avenue, N.W.  
Washington, D.C. 20506

Media Contact:  
Virginia Falck/Kathy Christie  
(202) 682-5570

May 3, 1991

### 45 ARTS ORGANIZATIONS AWARDED ADVANCEMENT GRANTS

WASHINGTON -- The National Endowment for the Arts today announced 45 Advancement grants which will help arts groups strengthen their organizations in the areas of fundraising, marketing, facilities planning, public relations and other organizational skills and capacities.

"Central to Advancement," said Jeanne F. Butler, Director of the Challenge and Advancement Program, "is the idea that each arts organization is unique in its artistic mission, base of support, history and management practice. The goal is to help organizations devise a plan tailored to fit their immediate and long-term needs, and to make them not necessarily bigger, but better."

The Advancement Program is implemented in two phases, the first offering technical assistance from consultants for a 15-month period. Successful completion of assessing needs and establishing multi-year managerial plans make Phase I applicants eligible to apply for Phase II matching grants.

Ranging from \$28,500 to \$72,500, the 45 Phase II grants in this round will serve as a catalyst for fundraising, as they require a three to one match in non-federal dollars for their projects. Grantees must raise the match within a three year period. Chairman John Frohnmayer states, "These arts organizations have clearly demonstrated that they are deserving of widespread support and we wish them well as they launch their fundraising efforts."


Grantees include the Dayton Contemporary Dance Company, Inc. (DCDC) in Dayton, OH. Operating since the 1940's, DCDC houses two multi-cultural companies and performs at the local and national level. With its \$72,500 grant, the organization plans include increasing dancer salaries, improving educational and artistic programming, developing touring opportunities, and moving to a larger facility.

The Levine School of Music in Washington, D.C. is also a recent recipient. A community school for music students of all ages which has the unique stature of a non-degree, but accredited institution, its long term plan requires establishing a permanent home base and its \$57,500 grant will help purchase and renovate a building.

MORE...

Albany Institute of History and Art, Albany, NY	\$43,000
Alternate ROOTS, Atlanta, GA	72,500
American Music Center, New York, NY	48,000
Association of Hispanic Arts, New York, NY	57,500
Bay Area Women's Philharmonic, San Francisco, CA	72,500
Brandywine Graphic Workshop, Philadelphia, PA	57,500
Chamber Music Chicago, Chicago, IL	43,000
Dayton Contemporary Dance Guild, Dayton, OH	72,500
Dell Arte, Inc., Blue Lake, CA	72,500
Dusable Museum of African American History, Chicago, IL	33,500
Florida International University Art Museum	72,500
George Coates Performance Company, San Francisco, CA	72,500
Honolulu Theater for Youth, Honolulu, HI	57,500
Huntington Museum of Art, Huntington, WV	28,500
Intermedia Arts of Minnesota, Minneapolis, MN	57,500
LA Arts, Lewiston, ME	28,500
La Pena Cultural Center, Berkeley, CA	72,500
La Raza Graphics, San Francisco, CA	48,000
Levine School of Music, Washington, DC	57,500
Musical Traditions/Paul Drescher Ensemble, Berkeley, CA	57,500
New Hampshire Music Festival, Center Harbor, NH	33,500
Oakland Youth Chorus, Oakland, CA	72,500
Odyssey Theater Foundation, Los Angeles, CA	43,000
Palmetto State Orchestra/South Carolina Orchestra, Columbia, SC	48,000
Philadelphia Theater for New Plays, Philadelphia, PA	48,000
Red Eye Collaboration, Minneapolis, MN	72,500
San Francisco Chanticleer, San Francisco, CA	57,500
San Francisco Girls Chorus, San Francisco, CA	72,500
San Francisco Performances, San Francisco, CA	57,500
Santa Barbara Symphony, Santa Barbara, CA	33,500
Second Stage Theatre, New York, NY	43,000
Seven Stages Theatre, Atlanta, GA	48,000
So. CA Asian American Studies/Visual Communications, Los Angeles, CA	48,000
St. Louis Black Repertory Company, St. Louis, MO	33,500
Taller Puertorriqueno, Philadelphia, PA	48,000
Teatro del Sesenta, San Juan, PR	57,500
Texarkana Regional Arts & Humanities Council, Texarkana, TX	57,500
Thalia Spanish Theater, New York, NY	57,500
Theater Rhinoceros, San Francisco, CA	43,000
University of SC/McKissick Museum, Columbia, SC	48,000
Williamstown Regional Art and Conservation Lab, Williamstown, MA	48,000
Women and Their Work, Austin, TX	48,000
The Wooster Group, New York, NY	72,500
The Workshop of the Players Art Foundation, New York, NY	43,000
Wustum Museum Art Association, Racine, WI	72,500

T. ELLEN SOLLOD

TO: Sue Busby  
FROM: T Ellen Sollo   
RE: Consulting time remaining  
DATE: April 6, 1991

Based on Melanie's records, I have just short of five days remaining of consulting time available to the IFCC to finish assisting you on the plan and the NEA Advancement application. There is currently only enough travel time to allow one additional trip to Portland. I am in the process of requesting an additional trip. This means that much of the rest of our work will need to be done by phone and fax. I would plan to spend a day in April and potentially up to two days in June with you all in Portland. This would leave almost two day for off site review of materials. You have much to do both on the artistic plan and the remaining sections of the plan. We have reviewed the outline of materials needed for each section and I hope that you are progressing on these. When I left Portland last month I expected to receive by mail before March 30 a revised version of the work we did on the artistic plan as well as a more complete detailed financial projection. Please make sure that I receive these prior to my planned visit to Portland next Saturday, April 13. I would also expect you to have to me before I com draft materials on atleast the marketing, and financial management sections of the plan. The revised workplan indicates that during April you will be having two Executive/Planning Committee meetings to both review financial projections and fundraising plans. Hopefully, at least the first of these meetings will have occurred before I arrive.

I have tried to return your call but got your answering machine. I will try again at the beginning of the week.

I am leaving for Paris April 16-24. This means that if you are not able to have things to me prior to the meeting on the 13th a site visit will have to wait to early May.

c.c. Melanie Beene

724 Belmont  
Place East  
Seattle, WA  
9 8 1 0 2



206.324.7644





ADVANCEMENT'90

Sue Busby  
Executive Director  
Interstate Firehouse Cultural Center  
5340 N. Interstate Avenue  
Portland, Oregon 97217

October 30, 1990

Dear Sue,

It looks like you are off to a good start with Advancement. I've reviewed and approved your workplan and letter of agreement with your consultant. Some observations to consider:

1. Have you determined who will actually write the plan?

2. I would recommend setting up a financial forecasting format early on in the process so you can refer to it and perhaps begin to sketch out projections by line item as you discuss each area. This will make the budgeting task at the end more manageable. For example, if you have a calendar year your long range plan projections will include:

FY 1989	FY 1990 <sup>91</sup>	FY 1991 <sup>92</sup>	FY 1992 <sup>93</sup>	FY 1993 <sup>94</sup>
Actual	Actual	Current	Projected	Projected.

From today, however, you will be budgeting three years out. Reviewing/Revising your budget line items now, filling in the actual year information, and setting up this format will make budgeting easier. For your internal use you may want to include FY88 actuals to provide more information from which to project.

3. When in your planning schedule are you going to discuss Personnel/Staffing/Administrative and Facilities/Equipment issues?

I really enjoyed meeting you in D.C. I hope you will find the Advancement Year a productive one. Be sure and let me know if I can be of assistance.

Sincerely,

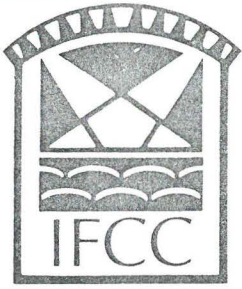
*Melanie*  
M. Melanie Beene

cc: T. Ellen Sollod

Tel: (415) 331 0168  
Fax: (415) 331 5865

Suite 101  
1505 Bridgeway  
Sausalito, CA 94965

*Melanie Beene & Associates*  
A R T S C O N S U L T A N T S



**INTERSTATE  
FIREHOUSE  
CULTURAL  
CENTER**

5340 N. Interstate  
Portland, OR 97217  
(503) 823-2000

Sheryl M. Warren  
President

Jeana Woolley  
Vice President

Edith Kilbuck  
Recording Secretary

Peter Vlahos  
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Bernadette Artharee  
Kathryn Bogle  
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Carol Edmo  
Geneva Jones  
T.J. Lowe  
Gloria McClendon  
Terri Naito  
Peggy C. Ross

Sue Busby  
Executive Director

Judy Yeckel  
Producing Director

5-16-91

Memo for Melanie Beebe

From : Sue Busby, IFCC

Re: Special Needs Allowance

This is a request for reimbursement of expenses for Special Needs Allowance. Funds were used to hire typist in preparing drafts for our long-range plan.

Amount available: \$238.25

Sue Busby  
Executive Director

Sheryl Warren  
Board Chair

Showcasing  
Portland's  
diverse  
cultural  
communities  
through  
the arts.



# Micro Processing Solutions

---

*Randee J. Schmidt*

1268 S.W. Spruce Street  
Lake Oswego, Oregon 97034  
(503) 697-0574

May 13, 1991

## Invoice

Interstate Firehouse Cultural Center  
5340 N. Interstate  
Portland, OR 97217


Attention: Sue Busby  
Executive Director

---

For services rendered and costs incurred, from May 7 through May 9, 1991, including the following:

5/7/91	Conference with Sue Busby re Program Plan	.5	9.00
5/8/91	Conference with Sue Busby re Program Plan and other documents; prepare Gallery portion of Plan, Financial Management Plan, Board Affiliations, and letters to Harleen Katke and Bill Prows	2.4	43.20
5/9/91	Conference with Sue Busby; prepare and revise Marketing Plan	2.2	39.60
	TOTAL FEES:	5.1	91.80





OFFICE & MARKETING  
PRESS (FIRM)-PHONE-ALB-MARKING-3 COMES  
PRINT CHECK-USE BLACK BALL POINT PEN OR TYPE

0013705371

NAME Jacqueline L. Johnstone

SOCIAL SECURITY NUMBER 3 2 9 - 2 2 - 2 5 4 9

CURRENT ORDER NUMBER 5 0 1 1 1 A 1 0 4 3

BRANCH NUMBER LETTIS REMARK NUMBER

WEEK ENDING 1 2 7 9 1

SUNDAY MONTH DAY YEAR

**DAILY RATE RECORD**

	START TIME		LUNCH OUT		LUNCH IN		FINISH TIME		DAILY TOTAL	
	HR.	MIN.	HR.	MIN.	HR.	MIN.	HR.	MIN.	HR.	MIN.
MON.	9	00	11	15	12	00	5	00	7	15
TUE.	9	30	12	00	1	30	4	15	5	15
WED.	8	30	12	30			12	30	4	00
THU.										
FRI.										
SAT.										
SUN.										

CLAMP OUT SOCIAL TIME

x Jacqueline L. Johnstone

TOTAL TIME 16 30

COMPANY NAME Interstate Fire House Cultural Center

DEPARTMENT Food & Dining

CITY / STATE Portland, OR

PERSONAL phone numbers of homes and immediate charges to use Fax/Tel Time Box

CUSTOMER VERIFICATION Johnstone YES Johnstone NO

INITIALS Johnstone

SIGNATURE Johnstone

→

TOTAL TIME REMARK	ROUNDED UP TO NEXT 15 MINUTES EXAMPLE: 1:15 IN 1:30	STRAIGHT TIME		OVERTIME	
		HOURS	MINUTES	HOURS	MINUTES
		<u>1 16 30</u>			

SEE REVERSE OF CUSTOMER COPY FOR ADDITIONAL CHARTS AND TARIFFS      4 PAPER COPIES COPY

ADVANCEMENT '90

DATE: May 10, 1991

TO: Advancement Participants

FROM: Melanie Beene

RE: Progress Reports and Special Needs Allowance

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I know you are in the throes of writing and budgeting your long range plans, and I wanted to send along my empathy and encouragement. This is not an easy process and the consultants and I are aware of all the hard work you are doing.

Some reminders:

1. Your next Advancement progress report is due to the Advancement office (not to our office) by June 17, 1991. This report is your opportunity to give feedback about your "Advancement experience" to date, as well as to make suggestions for future improvements in the program.
2. July 1 is the date your plans are due in our office. We cannot guarantee that any plan received after that date can be critiqued and returned to you in time to incorporate our comments before the NEA Phase II application deadline of August 16, 1991. Regardless of when we receive them, we will make every effort to read your plans as quickly as possible. And you can still submit a Phase II application without the benefit of our review.
3. Please remember that you must request your Special Needs Allowance no later than June 30. Our records show your group has a remaining balance of \$ 238.25 that you have not yet requested.
4. Enclosed is an information sheet about things to be aware of if you are requesting grant funds for cash reserves, debt elimination or notes payable payments in your Advancement Phase II application.

You're in the final stretch, so hang in there! Let us know if we can help you in any way.

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A R T S C O N S U L T A N T S

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WASHINGTON  
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A Federal agency advised by the  
National Council on the Arts

If your Advancement Grant application indicates that your organization plans to use some or all of the federal Advancement and/or matching funds for a cash reserve, deficit elimination, notes payable, or a combination of these purposes, please be advised of the following:

Cash reserve (or endowment):

Federal or matching funds awarded for cash reserves are intended to be permanent, provide short-term capital and be replenished. The Advancement Program recommends that repayment take place within one year from the date of borrowing, and that the board of the applicant organization adopt policies and procedures necessary to insure that these funds are replenished accordingly.

Federal or matching funds awarded for endowments are intended to be permanent, with only earnings from investments to be used for operations, programs, or reinvestment. The Advancement Program recommends that the board of the applicant organization adopt policies and procedures necessary to insure that these funds are restricted for such purpose.

The Advancement Program recommends that funds awarded for either of these purposes be shown as a separate fund with identifiable assets and liabilities in the organization's audited financial statements.

If your organization has not included a cash reserve or endowment policy in its application and long range plan, you may want to submit documentation of board action prior to the Advancement Grant panel meeting. The panel will be made aware of applications with or without board policies.

Reduce or eliminate an accumulated fund balance deficit:

Federal or matching funds awarded for this purpose can not exceed the accumulated deficit identified in the applicant's audited financial statements for the most recently completed fiscal year (prior to the Advancement Grant award.)

Reduce or eliminate the principal portion of a long-term note payable:

Federal or matching funds awarded for this purpose can not exceed the principal portion of the loan due as of October 31, 1991. All debt must be identified in the organization's audited financial statements. If the request includes repayment of loans incurred since the last audit, the applicant must submit a copy of the loan agreement between parties, including if any interest is to be paid, and at what rate. Funds can not be used for debt service or interest payments.

Levine Director, Joanne Hoover said, "The whole Advancement Program has been strategic for the Levine School and has really propelled us into a major institutional status. The support, the technical advice and the whole battery of assistance the NEA marshalls for this program has made the difference. It will give a vital thrust to our campaign of attracting private support for our new building."

The next Phase I application deadline is September 4, 1991 for Dance, Visual Arts, Folk Arts, Expansion Arts, Media Arts, Literature, and Opera-Musical Theater organizations. For application information call (202) 682-5436.

NOTE TO EDITORS: This announcement complements a quarterly state-by-state announcement issued previously.

Following is a complete list of the Advancement grant recipients:

MORE...

HOW DO WE RECRUIT OR FIRE BOARD MEMBERS?  
KEY POINTS

1. **Preparation:**

- a. Know why your organization exists -- the mission.
- b. Do a long-range strategic plan so you know where your organization is going and how it will get there.
- c. Define the talents you will need on the Board to accomplish the plan.
- d. Create job descriptions.

2. **Recruiting Board members:**

- a. Old way - white wine; new way - job descriptions.
- b. What do you do if they say "no?"
- c. Who do you recruit? Ask for recommendations from:
  - \* Current Board members.
  - \* Advisory Board members.
  - \* Members/subscribers/"Friends."
  - \* Artists.
  - \* Political leaders.
  - \* Social leaders.
  - \* Business leaders.

- d. Job descriptions will help you avoid dead wood.

3. **Firing Board members:**

- a. The strategic plan is in place.
- b. The job description is in place.
- c. Will the Board member do the job?
- d. It is the responsibility of the Board President and/or the Board Maintenance Committee to match Board performance to job descriptions.

WRITING BOARD JOB DESCRIPTIONS  
KEY POINTS

1. Helps to establish a common set of expectations.
2. Creates friction in the short run.  
Reduces friction in the long run.
3. How to start:
  - a. Use a neutral third party: A consultant, arts council representative, or outside "expert."
  - b. Work with/through the Board President.
  - c. Have a strategic plan in place or do as part of long-range planning process.
  - d. Have Board create its own job descriptions as well as those for new members.
4. Wakes them up or gets them off.
5. What to include:
  - a. General expectations for all Board members.
  - b. Specific expectations for specific Board members.
6. Create a Board Maintenance/Nominating Committee for monitoring Board members' effectiveness.



## BOARD/STAFF RELATIONSHIPS

### Defining Roles to Minimize Conflict and to Achieve Success

The board and staff have different but complimentary functions. An open, trusting cooperative relationship can be most easily maintained when board members and professional staff operate within the scope of their own responsibilities - the staff in the day to day management and the board in its policy and planning role. In many areas, there are overlapping functions, It is this overlap that provides continuity, consistency and sometimes misunderstandings.

#### BOARD

##### 1. Accountability

Ultimately accountable  
-to the citizens.  
-to funding sources

##### 2. Delegation

-can grant authority and responsibility to officers or staff in accordance with the law and the agency's by-laws.

##### 3. Organizational Structure

-establish structure with co-operation of the professional staff with definite lines of authority and responsibility  
-establishes wage classifications for each class of employees.

##### 4. Organizational Decisions

-concerned with organizational identity decisions (philosophy, goals, policies). For example, develops a policy that the agency's priority is to present American opera.

#### EXECUTIVE DIRECTOR

##### 1. Accountability

-to the board  
-to the citizens  
-to the profession

##### 2. Delegation

-delegates authority and responsibility to staff within the guidelines established by the board.

##### 3. Organizational Structure

-identifies tasks and work load elements and establish work flow patterns.  
-makes recommendations on structure to the board.

##### 4. Organizational Decisions

-concerned with organizational "behavior" decisions (to implement stated philosophy, goals, policies of the board.) For example, implements a program to feature young American singers.