

**Rockefeller Brothers Fund**

**Charles E. Culpeper Arts and Culture Grants**

**Impact Assessment**

September 2014



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## INTRODUCTION

Fulfilling the assignment received from the Rockefeller Brothers Fund (RBF), NEXT: Transition Advisors and AKA|Strategy present their review of the RBF's Charles E. Culpeper Arts and Culture Grants. After 11 years of funding arts and culture in New York City, the Culpeper grants were ready for review, according to the assessment protocol established by the RBF for all its program areas. NEXT and AKA, which specialize in transition and strategy studies for nonprofit institutions, present this review with respect for the RBF, its accomplishments, and its dedication over time to support of the nonprofit sector, including arts and culture. The review aims to situate and evaluate the activities of the Culpeper grants within the RBF's overall portfolio and within its field, and to bring to the surface questions and significant issues that should be addressed at its decade mark.

### I. IMPACT ASSESSMENT GUIDELINES AND METHODOLOGY

This review adheres to guidelines established by the Rockefeller Brothers Fund for regular assessment of all its programs. In a formal process in 2012, the RBF staff and board reviewed the Fund's commitment to evaluation, defining its purposes and setting its periodicity (see [Evaluating Program Impact, March 2013](#)). The central goal of evaluation, to discern the "impact" of grantmaking, was affirmed. Specific assessment activities were put in place: ongoing "monitoring" of programs, "program reviews" every three to five years, and—at longer intervals—"impact assessments."<sup>1</sup> At the end of its first decade of funding in arts and culture, the Culpeper grants are positioned for an in-depth impact assessment.

The goals for the Culpeper assessment have been precisely spelled out by the Fund. The assessment is expected to "...provide an understanding of the Fund's place in the field, the evolution of the program over the past decade, the strengths and weaknesses of the strategies and the grantmaking, an assessment of the contribution of Fund grantees (and the Fund) to progress in the field, and possible revisions to strategies going forward."<sup>2</sup>

To meet this mandate, AKA and NEXT followed a three-part methodology.

- A basic examination of RBF internal and external documents, including program descriptions, calls for proposals and responses from the field, annual reports, budget documents, analyses of grantee characteristics, strategic studies and planning documents, board docket items, web pages, and other materials. This work was greatly assisted by staff members and undergirded by review of materials at the [Rockefeller Archive Center](#) and at the RBF offices.
- Interviews with select grantees, staff, and board members as well as leaders in the field.<sup>3</sup> An interview protocol was vetted by RBF staff. Half of the interviews were conducted in person and half by phone, all by senior members of the consultant group. All were confidential.
- Review and analysis of documents and studies commissioned on arts and culture in the city of New York. This includes an annotated bibliography of recent reports and studies, and Foundation Center lists of funders of New York City arts and culture. The bibliography and lists were generated specifically for this assessment. These materials are included in several appendices.

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<sup>1</sup> *Evaluating Program Impact: Our Approach to Performance Assessment*, Rockefeller Brothers Fund, 2013.

<sup>2</sup> Charles E. Culpeper Arts and Culture Grants Impact Assessment Terms of Reference, 2014.

<sup>3</sup> Individuals interviewed are listed in Appendix A.

The evaluation team consists of three senior consultants with executive leadership, management, and philanthropic experience, an administrative assistant, and a research assistant.

## II. THE ARTS AND CULTURE INITIATIVE AT THE RBF

In 1999, the Charles E. Culpeper Foundation, located in Norwalk, CT, was merged into the much larger Manhattan-based RBF. Steven Rockefeller, the chair of the Rockefeller Brothers Fund's board of trustees at the time, and Colin Campbell, then a trustee of Culpeper and president of the RBF, described the new relationship, including the circumstances within which the decision was made: a radical shift in Culpeper leadership, a sense that the usefulness of its funds could be amplified, and a prejudice for a noble, planned ending after 60 years of giving.

An irony, and an opportunity for the RBF, was embedded in Culpeper's interests: "health, education, and arts and culture." Education and health could be seen as having some resonance with RBF priorities. The arts, however, were not at all resonant with the Fund's concerns. Mr. Campbell acknowledged this in the report, writing, "Through the merger, the addition of the Culpeper Foundation's program in the arts opened a fresh avenue of grantmaking for the Rockefeller Brothers Fund." He also noted that cultural funding "...is in keeping with the Rockefeller Family's deep commitment to support for artistic endeavor."<sup>4</sup>

The history of Culpeper's funding in arts and culture seems to well justify the RBF's commitment to it. In its early years, Culpeper had funded culture sparingly, but by 1980, Culpeper was giving \$1 million per year to the arts, most of it to New York City institutions. The focus was on outreach, creating audience, and providing education through the arts—a commitment that had deepened over years of grantmaking. Another funding focus, on diversifying arts products and on the diversification of audiences, had also deepened. At the time of the merger, these priorities at Culpeper actually mirrored much of the RBF's philanthropic thinking.

The RBF's own history reveals generous responses over the years to culture, often tied to family interests. From 1940 to 1970, substantial grants were made to the Metropolitan Museum, Metropolitan Opera, New York Philharmonic, New York Public Library, and the MoMA International Traveling Arts Exhibition. During the 1960s, interest turned from such major institutions to grassroots or minority organizations, in response to the economic and civil rights concerns of the time. In the 1970s and 1980s, the arts were not a focus. But Culpeper gave the RBF the rationale for a regenerated interest in New York City cultural institutions.

In 2000 and 2001, decisions about the Culpeper arts and culture agenda were in active discussion at RBF. A retreat at [The Pocantico Center of the Rockefeller Brothers Fund](#) in the spring of 2001 identified significant issues in the field and interest areas for RBF. In September 2001, the RBF received a commissioned report from outside consultants on possible lines of work and on the usefulness of a philanthropic focus on the arts in New York City.<sup>5</sup>

By 2003, the Fund created a program, "Charles E. Culpeper Human Advancement," setting grantmaking goals in arts and culture, education, health, and leadership in New York City. Its goals were described

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<sup>4</sup> Appendix B: A Brief History of RBF Arts and Culture Funding.

<sup>5</sup> *Options for Giving to the Arts and Culture: A Report to The Rockefeller Brothers Fund*, Wolf, Keens & Co., September 2001.

in language that persists today: “The RBF will work to sustain and advance small and midsize cultural organizations, particularly those that are community based and/or culturally specific.”<sup>6</sup> Within the next two years, Culpeper funds were moved to the RBF’s Pivotal Place: New York City funding category. The amount for culture, and the purposes, were retained; the grants honor both the Culpeper legacy and the RBF’s own past funding in arts and culture.

### **III. CULPEPER WITHIN THE RBF CONTEXT**

RBF staff produce timely, in-depth, responsive studies and reports, many of them for its board, ranging from annual budget presentations to board meeting grant proposals, and from regularly offered program reviews to evaluations of program procedures and governance standards. In a scan of such documents, it is clear that the Culpeper grants receive due administrative consideration as a significant area of RBF activity. As singular as the arts and culture portfolio is (as a new program goal, limited to New York City, named for its original “donor” organization), it receives the steadfast scrutiny and review that characterize RBF staff of all programs. New York City Program Director Ben Rodriguez-Cubeñas regularly produces grant proposals, documentation, defense of guidelines, and goals, as do all RBF program directors. There is no evidence that the Culpeper grants are in any way isolated or orphaned within the protocols and controls that the RBF has in place, despite their special history and constituents.

The budget for Culpeper is generous in the context of the overall RBF grants budget. In the 2014 grants budget, Pivotal Place: New York City accounts for 14.6 percent of the budget (\$3.8 million). Arts and culture grantmaking represents, on average, 60 percent of the program’s active portfolio. These numbers alone indicate the RBF’s seriousness about its home city, and, specifically, its commitment to culture as an asset in New York City and as an obligation for support and attention. Grantees uniformly note the importance of the Culpeper grants, their appreciation for both funding and counseling/mentoring by the program director, and their recognition of how Culpeper has been vital in enabling them to strengthen their organizations or to mount important productions that reach into underserved communities.

From the management and governance perspectives, then, Culpeper stands firmly within the constellation of programs, directives, and processes that bind the RBF and keep it whole. This does not entirely eliminate concern, however. A low-lying sense of unease does exist about the logic of arts and culture in a foundation dedicated to large social issues and the search for change. In interviews, both inside and outside the Fund, concern is expressed about whether the arts are well enough understood and appreciated within and throughout the RBF and whether the urgencies of the arts are perceived as comparable to those of democratic practice, sustainable development, and peacebuilding by RBF officers and trustees or by grantees in fields other than the arts. This kind of questioning of the arts is common, even familiar; the Fund seems to expect it and to describe its support for the arts intelligently and consistently in internal documents and in its materials for the public.

Could the RBF do more to position the arts and culture portfolio and address this low-lying concern? Several possibilities do emerge. In one document showing “Trustee engagement in program activity” and from several interviews of RBF board members and staff, it seems clear that there is relatively

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<sup>6</sup> *Rockefeller Brothers Fund Annual Report*, 2003, p. 53.

little trustee engagement with arts grantees or cultural issues.<sup>7</sup> Even in a trustee-led plan for Pocantico, the possibilities of artist residencies, cultural convenings, and performances are mentioned but not explored in any detail.<sup>8</sup> Examples like these raise questions: Can systematic attention to cultural programming be better built into foundation deliberations and trustee experience? How could this be made to happen?

A factor which may also affect the familiarity that trustees have with Culpeper is that usually only grants over \$200,000 are submitted for board review. Most of the grants in arts and culture are below that amount and therefore only reviewed by staff. Might it be advisable to group some arts and culture grants by objective or kind and offer them as lines of work within the strategy? This could provide the board with a fuller sense of the content and the intent in the overall Culpeper funding and to a clearer sense of the impact achieved by the work. Groupings might include, for instance “Commissioning choreography by minority artists” or “Advancing arts programming in Brooklyn venues.”

The RBF’s program director in the arts is extremely knowledgeable about the field and well known within it. Grantees uniformly acknowledge his expertise, leadership, and strong presence within arts and culture in New York City. It seems that he has yet to break through a general sense at the RBF that culture is off the main track of the Fund’s interests, that it is an insulated area not clearly related to the RBF’s main purposes. However, there is plentiful evidence that artists and arts organizations focus on large issues like advancing democratic values, sustaining development, and peacebuilding. While acknowledging the distinctiveness of culture as a line of work in its own right, and acknowledging the ubiquity of art across issues and topics, it should also be possible to see the relationship of the arts to the RBF’s thematic guidelines and goals.

In a review of the Sustainable Development portfolio within Pivotal Place: New York City, for instance, Mr. Rodriguez-Cubeñas wrote “...the Fund has made some grants focused on sustainable development and its intersection with arts...several...grant projects have linked community development with arts and culture...[and] this stream of funding has also helped redevelop New York City’s landmark spaces.” Other examples are offered as well.<sup>9</sup> This commentary suggests that there are other, perhaps many, relationships between the arts and other RBF portfolios, that it is possible to see the arts as active partners in achieving social change. Can this way of looking at the arts be heightened in the Fund’s thinking? How could this be encouraged?

Studying the cultural programming in the overall context of the Fund, it is clear that culture is respected and protected, but it is also clear that it is less understood and integrated than are other lines of work. This raises challenging questions and calls for fresh thinking.

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<sup>7</sup> *Corporate Business Governance and Grantmaking Report*, prepared for the RBF Board of Trustees, March 2013.

<sup>8</sup> *The Promise of Pocantico: A Long-Range Plan for the Pocantico Center*, 2008.

<sup>9</sup> *Pivotal Place: New York City Review of the Sustainable Development Portfolio*, March 2010.

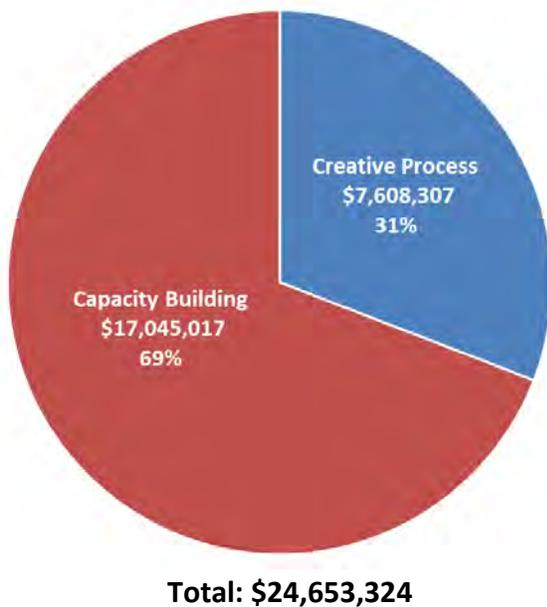
## IV. THE RBF'S GRANTMAKING PHILOSOPHY AND PROFILE IN ARTS AND CULTURE

### A. Grantmaking Goals and Strategies

The RBF's commitment to cultural needs and the goals of its grantmaking have been consistent and clearly expressed during the decade of Culpeper funding. This is perhaps the most important observation to be made about the work. From the beginning of the Culpeper grants at RBF—in printed materials, in internal documents, online—their purposes have been succinctly and unswervingly presented.

The two core strategies in arts and culture, as established and approved by the RBF board in 2001, were—and remain—"supporting artistic creativity" and "capacity building for small, midsize, and/or culturally specific organizations." (A third line of work, "supporting development of the next generation of institutional leadership in cultural organizations," provided small grants for conferences and, in some cases, for implementation activities. In November 2008, this line of work was eliminated in favor of the two prevailing strategies. There was also some early work in endowment building, which was also terminated.) Today, this dual focus persists: The language describing the strategies has not changed, and the commitment seems only to have deepened with experience.

**Grantmaking Dollars Awarded by Program Goal  
2003–2013**



It is worth remarking that naming is a notable, if minor, problem for the grants. Sometimes the reference is to the Culpeper Fund; sometimes to the Culpeper grants; sometimes with capital letters, sometimes not; sometimes it is Charles E. Culpeper, sometimes just Culpeper. Grantees and other observers also report confusion about the name of the program, noting that the funding is from the RBF while the program strategy is identified as Culpeper. Such confusion does not promote a strong sense of identity for the grants or for the RBF in the New York City arts and culture community. Compounding the problem is there are many Rockefeller institutions in the city; grantees often commented on the confusion between the Rockefeller Foundation's and the RBF's arts and culture funding. The Fund may want to think about a clearer naming, or "branding" of the grants—perhaps "The Culpeper Cultural Fund at RBF" or "The RBF/Culpeper Program for Culture;" any

number of variations are possible to achieve a sharpened and consistent identity.



***En Foco**, a capacity-building grantee based in the Bronx, supports, shows, and promotes the work of photographers of color through publications and exhibitions.*

A specific concern about Culpeper's two strategies is that they are less parallel or aligned than they could be. Although community interests and culturally specific identities are not mentioned in the creativity strategy, for instance, the creativity grants seem as geared to these concerns as the capacity-building grants. It would provide a more coherent sense of the whole if these priorities were announced in both Culpeper strategies. At the same time, it should be noted that although these are special interests within the grants, they are not exclusive or excluding interests. The program director, like other seasoned professionals in the arts, must always be aware of opportunities to advance the field that may not concretely or immediately appear to meet these goals.

This year is a time for the RBF to assert and proclaim these two well-tested strategies. If attention to small and midsize cultural institutions has been important in the past, it is certainly even more important today, with the budgets of arts and cultural organizations threatened and funding diminished in a city with many institutions and many needs. And in a city with the diversity and population dynamism of New York, attention to culturally specific and community-based initiatives also resounds as true and as timely as ever. Beyond that, the fact that there is a new mayor in New York City becomes an argument for continuity. The RBF's work in arts and culture, because it is exclusively devoted to New York City, becomes potentially very important in the New York of today. The RBF's dollars, its experience, and its loyalty to the city make it a significant player in the future of this pivotal place.



***The Weeksville Heritage Center's Education and Cultural Arts Center**, a capacity-building grantee based in Weeksville, Brooklyn, built on a historic site in Bedford-Stuyvesant, is a symbol of history of African-American life in Brooklyn. RBF endowment support was critical to the organization and helped transform it into a vibrant cultural campus.*

Positioning itself to meet this challenge should be a central task for the RBF today. Not only should the Culpeper's leadership posture in New York City continue, but it is also likely to become critical as new decision making in the city begins. In this context, there are questions about the Fund's attention to culture, the roles of board and staff leadership in advancing culture, the positioning of Pocantico for cultural convenings and residencies, and the politics as well as the policies surrounding arts and cultural activity in the near term in New York.

## B. Grantmaking Descriptions, Transparency, Application, and Selection Processes

The clarity and consistency of the Fund’s work in culture have already been described. And it is equally true that the RBF’s interests and goals in the arts have been articulately advanced to the field and to grantseekers. The most widely accessed description of the RBF’s cultural funding is on its website, where most grantseekers go and through which they apply. The website description of cultural priorities is straightforward and clear, stressing the dynamic contributions that the arts and culture make to New York City as the basic rationale for including them in a “Pivotal Place” portfolio, and specifying the two strategies that guide the grantmaking decisions. Instructions for applying for grants are also clear; the language, the tone, and the approach to the public are firm and straightforward. In addition, grantees uniformly report that the program director is forthcoming and articulate in discussions with organizations about Culpeper priorities and focus.



*With a budget of less than \$2 million, creative process grantee **The New Combinations Fund at New York City Ballet** provides annual support for the creation and presentation of new choreography. RBF support went toward Year of the Rabbit, shown above, a new ballet by emerging choreographer Justin Peck.*

One result of this directness is that grantseekers can easily inform themselves about the funding. Another result of the simplicity with which the goals are expressed is that grantseekers have latitude for meeting them, an approach that is greatly appreciated by grantees, both in and of itself and in comparison to other foundations that are described as having cumbersome and overly bureaucratic processes.

Questions should be raised, however, about the true adequacy of the descriptions, given the very wide range of projects that are actually funded. Clarity may actually obscure the depth and diversity of cultural institutions and issues that receive RBF funds. More

examples and information on the website and elsewhere might inspire responsiveness from institutions not currently approaching the Fund, or from the outer boroughs, or from newer immigrant communities. The goal should be simple but full information, accessible and uncomplicated, but richer in detail.

The call for proposals and the statement of funding purposes help the many arts institutions in New York City understand which of them might qualify for Culpeper support, but questions remain. The program director should, for the field and also for internal use at the Fund, detail the ways relationships with particular institutions are developed, the rationale for reviewing proposals, and the selection procedures and standards.

All grantees are required to submit final reports (and in some cases, interim reports) about their Culpeper funding. A scan of a decade of these reports indicate that grantees take this reporting seriously and, on balance, are thoughtful, clearheaded, and direct in summarizing the purpose, focus, character, and impact of their grants. The RBF program director reviews each grant report and often provides feedback to the grantee. The material submitted in these reports can be studied and

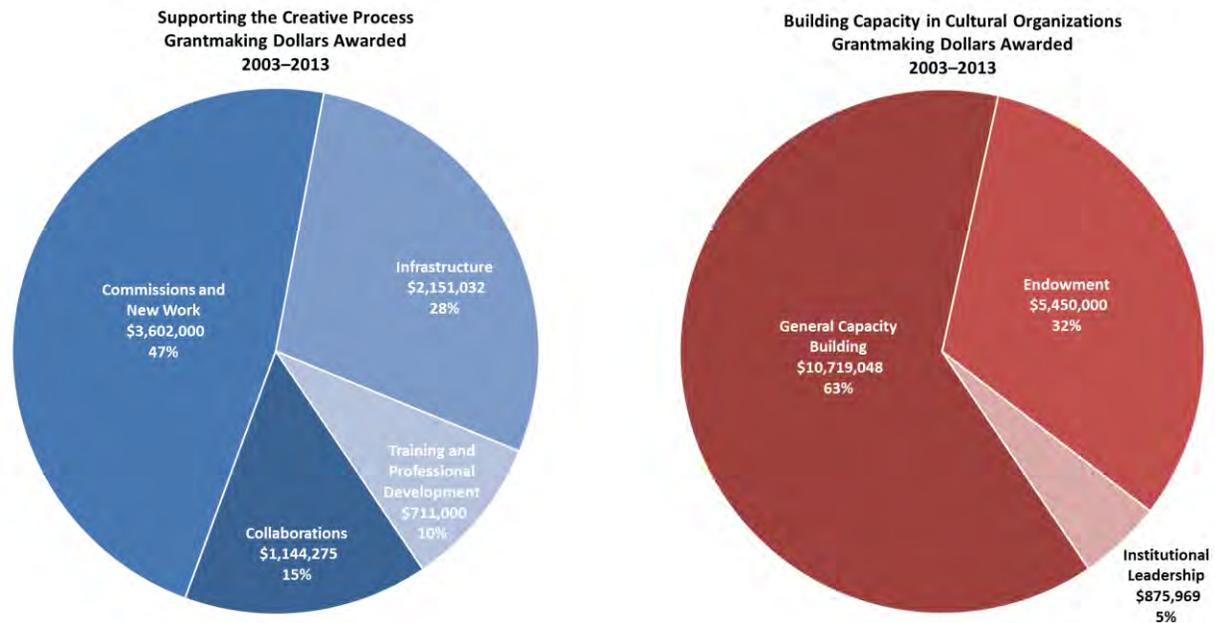
synthesized for a larger, clearer understanding of accomplishments in the field and of Culpeper’s own accomplishments. Some of this work is reflected in this report, but much more could be usefully obtained through subsequent analyses.

**C. Grantmaking Results**

The RBF has undertaken considerable internal research on its grantmaking in arts and culture. The tracking is constant and careful, providing substantial information about, and insight into, the RBF’s on-the-ground presence in New York City. Documented facts about grants and grantees range from the merely countable (how many applications come in, how many grant dollars go out) to the less obvious (location and size of grantees, disciplines, grant purposes, etc.). The information aids understanding of the Culpeper grants and their results and of the city’s cultural environment more generally. The information can be useful in providing parameters for inquiry, possible questions to be raised, ideas about changes or shifts in New York City, and identification of cultural issues. The data are particularly useful now as RBF looks for lessons from a full decade of funding.

***Grantmaking Dollars Awarded***

Over the dozen years of Culpeper grantmaking, \$24,653,324 has been expended. Under “creativity,” 125 grants were made in four basic categories (as laid out in internal research documents): “collaborations,” with 30 grants; “commissions and new work,” 55 grants; “infrastructure,” 30 grants; and “training and professional development,” 10 grants—for a total of \$7.6 million. Under the second category, “capacity building,” 159 grants totaling \$10.7 million, have been made. In addition, 25 grants totaling \$5.45 million were made to endowments, and 29 grants totaling \$876,000 were made in the institutional leadership category (both now defunded).



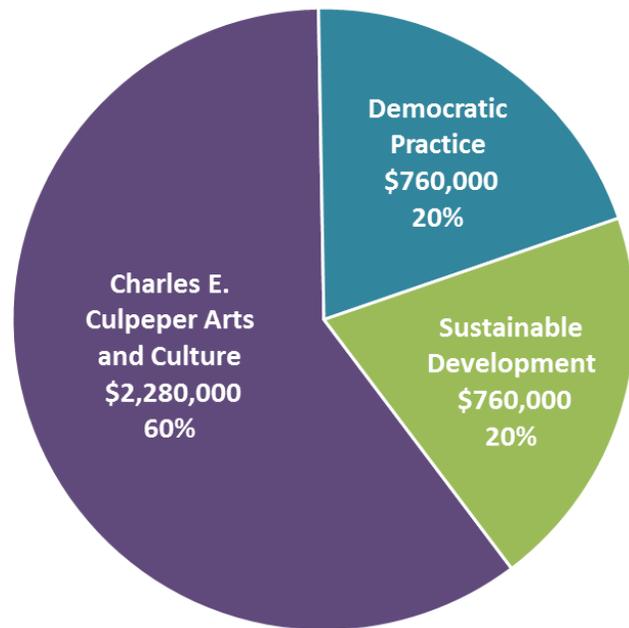
Within its allocated RBF budget, Culpeper’s individual grants over the decade have ranged in size from \$15,000 to \$250,000. Consistently, smaller grants have gone to concrete and time-limited projects (festivals, meetings and symposia, specific performances); midsize grants to programs (residencies,

strategic planning, collaborations, commissions); and large grants to overall institutional priorities (stabilization strategies, cash reserves, endowment, capital campaigns, development of citywide data). In short, grant size has been appropriate to grant purposes and also appropriate to institutional size. The evidence suggests that the program director has worked closely with grantees on the right relationships among need, institutional budget, and grant size.

Another question to be raised is whether the total Culpeper budget is appropriate to the needs of the field. A review of overall funding available to New York City cultural institutions, and especially to those small to midsize institutions specified in the RBF’s guidelines, suggests that more funding for the Culpeper portfolio would be well spent. Cultural funding in the city has diminished in recent years, making the RBF’s contributions even more important. Also, review shows that outer borough and smaller institutions are less well funded; Manhattan-based, large institutions tend to be preferred grantees. This suggests that the RBF’s stated priorities have special importance in the overall funding environment.<sup>10</sup>

Cultural funding should also be compared to funding in the other two interest areas under Pivotal Place: New York City. Current projections for 2014 budget allocations among program goals are as follows: 60 percent, Culpeper Arts and Culture; 20 percent, democratic practice; and 20 percent, sustainable development. Do the three funding streams have equivalent importance, effects, or usefulness to the city? On a quick comparison, it would seem that the democracy work, which in New York City focuses on immigrant populations, has a fundamental relationship to the work in culture and meets a deep need in a radically changing city. On an equally quick comparison, it appears that the sustainable development guideline has been hard to define and difficult to navigate. It may be timely to assess the achievements under this guideline, and ask whether the lines of work should be rethought, and whether some budget reallocation should be considered.

**Pivotal Place: New York City  
Projected Grantmaking Budget by Goal, 2014**



<sup>10</sup> Appendix C: Philanthropic Support for Arts and Culture. *Arts, Culture, and Media Grants for NYC Recipients by Issue Focus, 2012*, The Foundation Center, 2014.

## ***Funding Goals***

The RBF does an impressive job of collecting and collating data about all grants made, as has been noted. For the Culpeper portfolio, a brief “objective” is on record for every grant made during the entire decade of funding. These “objectives” reveal the diversity, the multiplicity of needs and purposes, and the artistic aspirations covered by “creativity” and “capacity building.” The range runs from the vague (“to build organizational capacity and long-term viability”) to the precise (“to collect visitation data from 26 metropolitan New York museums participating in Channel 13’s Cool Culture program in order to improve access to high-quality cultural and educational content”). Each brief “objective” is shorthand, of course, for the arguments raised in the hundreds of funded proposals; there is repetition in the objectives, a brevity that may be misleading, and there is surely inexactitude. But the information is revealing, despite this, and it raises important questions.

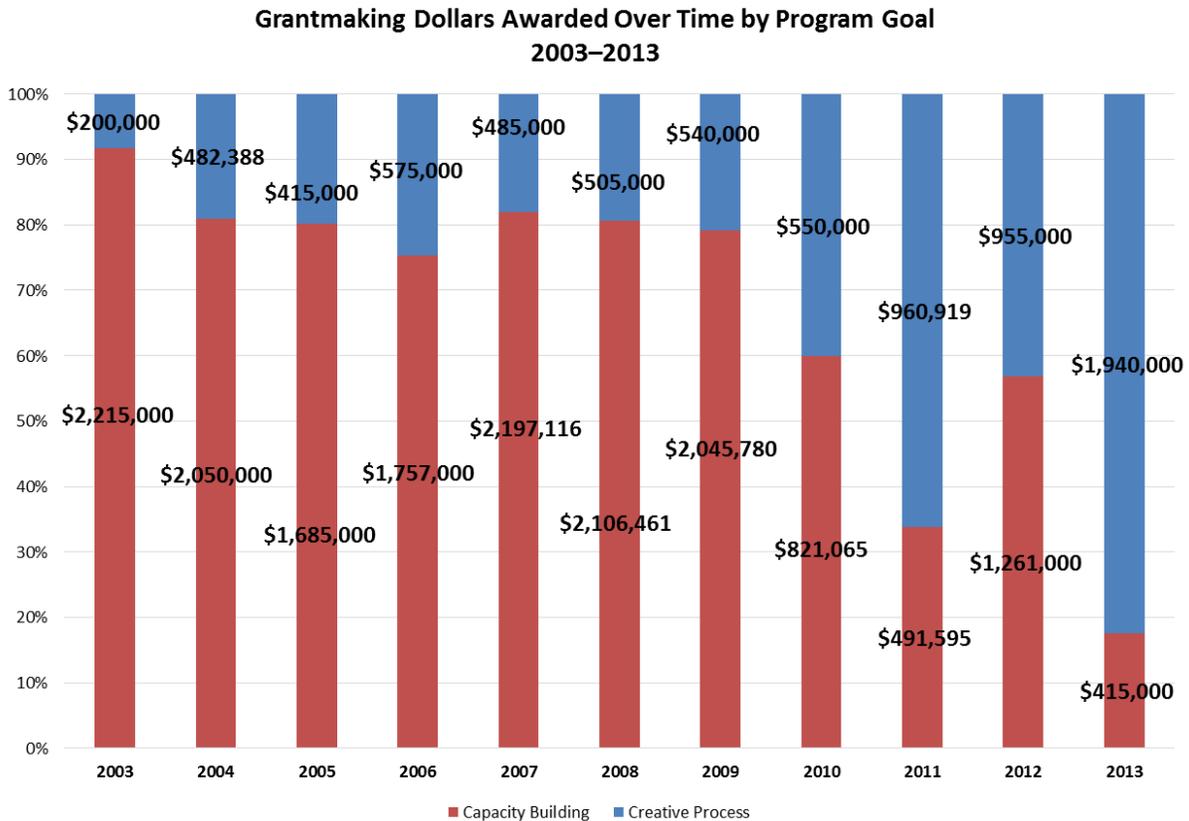
One question is whether the strategies—“creativity” and “capacity building”—are clearly interpreted by grantseekers. Interviews with grantees suggest that at least some grantees are not sufficiently clear about the difference between the two strategies. With such a diversity of “objectives” reported, it is clear that Culpeper supports multiple needs and goals in the field within the two objectives. Surely the field is advantaged by such openness on the part of a funder, but would more precisely named “objectives” lead to clearer and more distinct results in the field? Can the strategies be offered with examples that lead to greater creativity by grantees and greater accomplishments by the funder?

Specific “indicators of progress” are set as evaluative platforms for all RBF programs, establishing expectations for each program and the aims for the grantmaking. For arts and culture, as surely for all the Fund’s programs, the “indicators” are exact and exacting. For instance, “indicators of progress” in place for Culpeper include “increasing access to resources... [such as] affordable venues and studio space” or “increasing...commissions to create new work.” Another is to achieve greater viability for “arts organizations outside of Manhattan.” Capacity-building grants should, among other goals, result in “arts organizations weather[ing] the financial crisis and...avoid[ing] cutting core programs and laying off staff.”

These are laudable “indicators,” with significance for the New York City cultural community and—indeed—for New York. It could be beneficial for them to be more prominently announced in the Fund’s literature and on its website as guiding principles for grantmaking and for grant seekers. They might also become useful as “grouping” principles for descriptive purposes for staff and board review, and for other presentations of the grants.

**Grantee Characteristics**

**Balancing Two Strategies.** The data show that capacity-building grants have greatly outnumbered creativity grants, 69 percent to 31 percent, over the decade of work. But the research also reveals that creativity grants have soared in recent years. In 2011, they were almost double those in capacity building; in 2013, there were almost five times as many grants in creativity as in capacity building. Questions are inspired by this change: Is it planned? Is it the result of changes in the field? Or is it the accident of grantee applications? Does it indicate less need now in organizational matters and more in artistic production? Are there clues in this to possible future directions for funding?

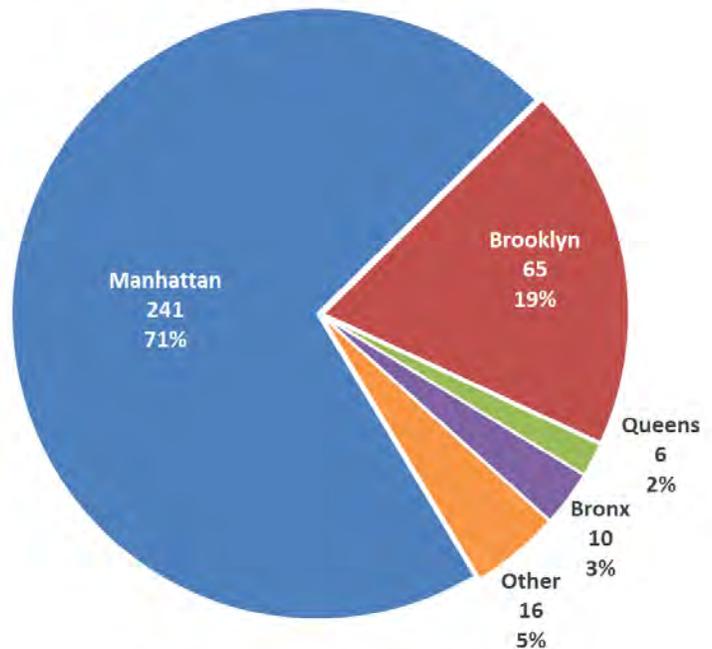


Analyses of trends like these become possible because the RBF’s research agenda is so rich and regularized. Officers could achieve much for the Fund and the field if time (and perhaps outside talent) could be found to make best use and application of the data and findings, both in this category and in those that follow.

**Grants by Location and Size.** Over the decade of Culpeper funding, 71 percent of its grants have gone to institutions in Manhattan, 19 percent to institutions in Brooklyn, and 10 percent to all other locations combined. Sixty-three percent of the grants have been made to institutions with annual budgets of \$1 million or more. Given the stated commitment of the grants to the whole city, to community-based and/or minority institutions, and to small and midsize institutions, questions must be raised about this set of results, especially the Manhattan proclivity, as some grantees did in the interviews.

Should institutions in other boroughs and smaller institutions and institutions with distinct constituencies be more vigorously recruited into the applicant pool? Has there been a movement during the decade toward one set of needs over another? Are the standards for location and size unworkable for some reason? Because factors of location and size are critical to the mandates for Culpeper funding, these questions are important to raise.

**Grants Awarded by Grantee Location  
2003–2013**



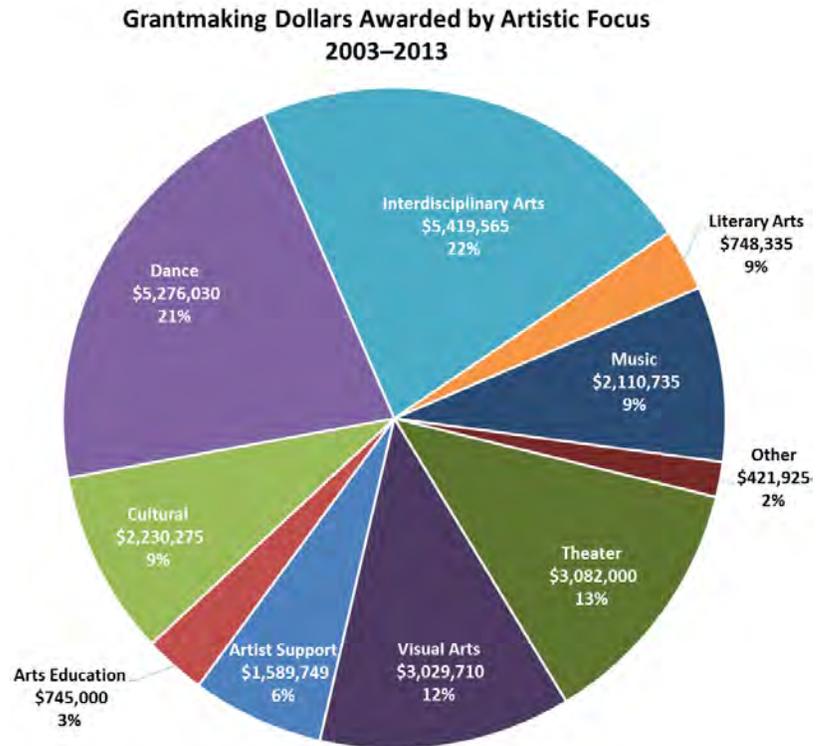
**Repeat Grantees.** Statistics for the decade indicate that only 32 percent are “new grantees.” Nineteen percent are renewals, and 49 percent are returning grantees, funded for new purposes. In a decade of interaction with the field, it is to be expected that some organizations and some individuals will build relationships with a funder. But there is surely a question here about the number of renewals, and whether they happen for good reason. Is there a considered rationale that explains these repeats?



*The RBF provided several capacity-building grants to **Pascal Rioult Dance Company** to support marketing and technology enhancements for social media outreach. The company performed at the Pocantico Center during the inaugural season of the Pocantico Arts Collaborative.*

Some limits have been placed on grant seekers (a three-year wait between applications, for instance), but are there other ways to make room for new grantees and to wean “regulars”?

**Artistic Disciplines Funded.** Statistics for the decade show a range of disciplines in the grantee pool. The performing arts—dance, theater, music—stand out, having received 43 percent of the grants made. That figure is much higher if the “interdisciplinary arts” also falls into the performance category. In fact, it is not clear what is meant by the category “interdisciplinary arts.” It is also not clear what is meant by “cultural” or by “artist support” as categories. There is a need for some clarification in the types of art reported. Is the focus on the performing arts deliberate? If so, should it be stated? Is there enough work done in “literary arts” or in “arts education” to make a difference? These are very large fields, but emerge as two very small categories for Culpeper. Should there be consideration of a stronger disciplinary focus? Of dropping or avoiding certain fields in order to strengthen the portfolio?



## V. THE RBF’S PLACE IN THE FIELD

### A. The RBF and the New York City Foundation Community

A study of foundations supporting arts and culture in New York City has been commissioned for this review.<sup>11</sup> The study shows that the RBF is number 37 in the list of foundations making cultural grants in New York City at the level of \$1 million or more in 2012; the RBF made grants that year totaling \$2,081,000. However, compared to others at this funding level and above, the RBF reaches far more broadly into the field. In 2012, the RBF made 38 grants, compared with others at the same level that made only a few grants. Clearly, most of RBF’s peer funders (in amount spent) are dedicated to specific institutions in the city; RBF is dedicated to a diversity of institutions in the city.

The amount granted by the RBF, a little more than \$2 million, is also of significance. Eleven other foundations gave at the \$2 million level. Nine foundations gave in the \$3 million range, and 10 gave \$4–\$5 million. Only 12 foundations gave more than \$5 million to the arts in New York City. In short, at its level of funding, the RBF is a major contributor to culture in New York City.

<sup>11</sup> Appendix C: Philanthropic Support for Arts and Culture. *Foundations Located in NYC Awarding Grants for Arts, Culture and Media in NYC, Circa 2012*, The Foundation Center, 2014.

Also of great interest is a companion study showing the foundations that give to New York City and are also located in New York City. At this financially difficult and politically charged time in the history of the city, cultural leadership is and will be extremely important. The foundations headquartered in the city have the professional staff and boards that are most likely to be positioned as leaders in the field in the city. On that list, the RBF again ranks 37th in funds expended, but its leadership position becomes clear. There is only one other New York-specific foundation on the list (The New York Community Trust); half of the foundations on the list make fewer than 15 grants a year in New York City, and many of them are family foundations without the program staff and purposeful guidelines most likely to provide leadership. The RBF's contributions to the city's cultural identity, advancement, and goals will be very important in the years ahead.

An annotated bibliography of recent writing and findings on arts and culture in New York City was also commissioned for this report.<sup>12</sup> Major findings from the bibliographic review underscore once again Culpeper's importance to the field. The research reveals that, since 2008, there has been a notable decline in arts funding and in arts revenue, particularly for small institutions. Equally notable in the literature is a concern about equity in the arts, a concern that only the affluent can afford to participate either as consumers of culture or as makers. Other studies and commentaries show the ways in which arts and culture are significant in fostering community, improving neighborhoods, and achieving social and economic development goals. In all these dimensions, Culpeper's guidelines are particularly relevant and important, especially with a new mayor who is profiled as sympathetic to these concerns.

The interviews conducted for this study provide powerful evidence of the RBF's stature in the field. Interviewees were positive about their relationships with the RBF and their engagements with the program director. Of greater importance, perhaps, is that they perceive the Fund as an essential and central resource in arts and culture and see the program director as a leader in the field. Grantees may wish for more regular engagement with the Fund or for more contact when a grant is ended. But there is appreciation for the quality of attention, the knowledge, and the dedication to a healthy arts sector that the RBF embodies as a funder.

In 2010, the RBF commissioned a study of "grantee perceptions" of the Pivotal Place: New York City program.<sup>13</sup> Its key findings about the Fund's place in New York generally bear out the observations offered by those interviewed for this report. The RBF received positive ratings for its involvement with and understanding of its grantees, the city, and the fields in which it funds. The RBF's leadership in these fields was acknowledged by grantees with appreciation. Interviewees also noted that goals and information about grants could be much clearer and more comprehensive.

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<sup>12</sup> Appendix D: Annotated Bibliography of Reports, Academic Articles, Media, Online and Other Sources on Arts and Culture in New York City, prepared for this Rockefeller Brothers Fund assessment, 2014.

<sup>13</sup> *Grantee Perception Report*, prepared for the Rockefeller Brothers Fund, Spring 2010, Pivotal Place: New York City. The Center for Effective Philanthropy, Cambridge, Mass.

## B. Pocantico Arts Collaborative

In the broader context of the RBF's strategy in the field, The Pocantico Center emerges as an increasingly important resource. In 2008, the Fund's Pocantico Committee, in partnership with the National Trust for Historic Preservation, Pocantico staff, and other experts, developed a vision for The Pocantico Center in a special report, in which the arts are only slightly mentioned. A later report prepared by Ben Rodriguez-Cubeñas and Susanne Pandich, Pocantico's public programs manager, *Pivotal Place: New York City and The Pocantico Center: Realizing the Vision of Pocantico as a Cultural Institution for the New York Metropolitan Region*, outlines in detail the rationale for arts and culture at Pocantico in the context of the needs of organizations in New York City, as well as in the context of Pocantico itself: "to create a place for research, inquiry, and creativity relating to Rockefeller family traditions and interests in such fields as philanthropy, public service, sustainability, and the arts; and to maintain a park of exceptional beauty with significant flora and fauna—a place to restore and inspire human spirit and a resource for nature study."<sup>14</sup>



**Keigwin and Company**, both a creative process and capacity-building grantee, participated in an artistic residency at The Pocantico Center and received support for board development, marketing, and strategic planning as part of its 15th year anniversary.

The conclusions articulated in the report are sound: (1) There is a dire need for rehearsal spaces for creative work; (2) there is more support for visual and literary artists in residency programs and lack of opportunities for performing artists (dance, music, theater, multimedia); and (3) it is particularly difficult for artists who are typically underrepresented in mainstream institutions and for small to midsize institutions to win residency opportunities. In addition, the proximity of The Pocantico Center to New York City makes it highly usable by artists and arts organizations in the city.

The staff of Pocantico, as well as New York City program staff, are committed to connecting the Culpeper grants initiative and the artistic residency and public arts programming at Pocantico. At the moment, the process runs relatively smoothly: The selection for residency is made from the pool of grantees by New York City and Pocantico staff. This system is both efficient and effective in the early phase of programming.

However, as more physical spaces and locations become available for public programming, it will be important to analyze the capacity of the staff selecting an expanded group of artists and producing and advertising programs. The interviews as well as the reports make it evident that there is a very clear understanding of the physical spaces that will become available and the new public purposes that will be met.<sup>15</sup> There is less discussion of the new programming that could be developed or changes in the

<sup>14</sup> *Pivotal Place: New York City and the Pocantico Center: Realizing the Vision of Pocantico as a Cultural Institution for the New York Metropolitan Region*, 2011, p. 116.

<sup>15</sup> *Pivotal Place: Pocantico Facilities*, pp. 121–122.

residency program. It would be valuable to develop a more detailed and holistic programming vision for the entire site in which the arts are an integral part of Pocantico's public offerings. This would also mean that the selection of artists-in-residence would take into account the desirability of developing public programs around them.

### **C. Impact of Culpeper on the Field and New York City**

From the interviews with more than 20 stakeholders (grantees, external observers, and RBF board and staff members), it is clear that the Fund has made a substantial impact on the arts and cultural life of the city by being focused on innovative work of artists from minority communities and on the midsize organizations representing communities of color. Although there is a significant difference in the impact generated by creative process grants and capacity-building grants, as noted below, it is important to be aware that, in both cases, RBF grants have made an important contribution to artists and communities that often don't get their fair share of support from other traditional sources.

#### ***Capacity-Building Grants***

The most significant impact of the Culpeper grants has been on the funded organizations themselves. Many of the organizations, especially those that represent non-Euro-American communities, felt that they were able to make some inroads into mainstream audiences by creating more professional productions or by strengthening their marketing capabilities. A number of them also mentioned that RBF funding often helped attract other supporters. They were very aware that strengthening their capacity to produce better work or reaching out to younger audiences in their own communities were their ways of making an impact on the broader landscape of the city.

#### ***Creative Collaborations/New Works Grants***

Compared with the capacity-building grants that are mainly given to small and midsize organizations, often catering to communities of color, the creative collaborations grants are more varied. Many of these grants have been given to mainstream, larger organizations as well as smaller institutions. It is important to point out, however, that these grants are often focused on encouraging large



***Works and Process***, a creative process grantee, is a multi-disciplinary performing arts organization based at the Guggenheim Museum and dedicated to presenting a variety of performing arts to a diverse public. At a performance of Peter and the Wolf, the audience is treated to a behind-the-scenes look that provides valuable insight into the creative process.

organizations to present artists of color and on strengthening their connections to minority and nontraditional communities. This is not made explicit in the guidelines, and it could become one of guidelines. As one of the grantees pointed out, it is as important to support smaller organizations as it is to support established organizations in expanding their offerings. Some artists of color complain that there is a lack of opportunities for performing in mainstream venues. However, BAM and the Times Square District Management have been able to work with Cuban artists and Latino communities and that MaYi Theater Company has increased its offerings to a broader Asian American community by reaching out to younger Asian American playwrights.

It is evident that the RBF has strengthened the cultural ecology of the city by supporting organizations that play an important role in its diversification. It needs to be stated, however, that the question of making a broader impact on the community is not often directly articulated by the grantees, nor is the importance of this question to the Fund as well understood by the grantees as it could be. This could be easily achieved by clarifying the funding guidelines and reporting structure for the grantees.

Another way to assess the impact of RBF grants on the field and on New York City is to examine major trends and changes in the cultural environment within which the RBF plays its role. Significant sources like scholarly articles, organizational and foundation reports, media product, and other commentaries, can give a sense of the whole and a way to measure impact. A bibliography of such sources has been commissioned for this report.<sup>16</sup> Using materials like this, it is possible to isolate advances in the city that were preceded, sometimes significantly, by RBF grants.



**Artspace**, a creative process grantee based in East Harlem, creates, fosters, and preserves affordable spaces for artists and arts organizations. Above, an abandoned public school building, P.S. 109 in the El Barrio section of Harlem, is being transformed by Artspace into a vibrant, new, sustainably developed arts facility containing 90 affordable residences for artists and their families, and 12,000 square feet of space for arts.

One example of this appears in [The State of New York City Dance](#), a report released by Dance/NYC and Dance/USA in October 2013, which was supported by the Rockefeller Brothers Fund. The report shows, , that over a decade, there was a 48 percent increase in commissions to create new dance work; during that time, the RBF made a number of grants specifically for dance commissioning in the city. Another example emerges from the [2012 annual report of the New York City Department of Cultural Affairs](#). That report points to the increasing need for affordable cultural venues and studio space in the city. The department itself, and a variety of funders, have focused on this problem and have worked to address it in recent years. The RBF took an early lead in encouraging space-related experiments through grants to institutions like Chashama and ArtSpace, and it has continued to encourage innovations in space, including the creative use of the RBF's own spaces.

It would be wise for the RBF to consider ways in which its funding in arts and culture could be systematically set against the findings of scholars and other observers of the city's issues and needs and progress. Such a strategy, combined with a clearer call to grantees to report on their own evaluations of the importance of their work on their communities and on the city, would underscore the RBF's impact and the part it plays in

addressing positive change in the field and in the city.

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<sup>16</sup> Appendix D.

## VI. OBSERVATIONS ABOUT THE SUCCESS OF THE CULPEPER GRANTS

**Meeting its Stated Goals and Following its Procedures.** The RBF has been conscientious in identifying, adhering to, and realizing its stated goals for the Culpeper grants over the decade. The RBF has also succeeded in firming its protocols and maintaining records on the products of its work in culture. Some adjustments in goal stating, identifying prospective grantees, clarifying the reach and range of the work, and adding ways of determining impact would increase success.

**Advancing the Contributions of its Grantees.** According to the interviewees, the RBF's contributions to their goals have been substantial and appreciated. Whether these goals are for internal sustainability, increased outreach, or advancing the field through new work, research, or leadership efforts, the RBF has been responsive and supportive and has frequently provided guidance.

**Situating Culture within New York City Priorities and Strengthening the Field.** Although this has not been a stated aim of the Culpeper grants, the New York City program director's sensitivities and experience have enabled him to be influential in the field, partly through research and convening initiatives that Culpeper has funded, and partly by his own presence and prominence. The RBF's leadership could—and may become—even more important in New York City's changing cultural environment.

**Identifying the RBF with the Work and the Field.** The Culpeper/RBF connection could be more clear, according to interviewees, and the identification of the arts with the RBF overall could be stronger. At this time, it is the program director who is known and called on; more activity by RBF leaders and trustees, and more sectorwide initiatives at The Pocantico Center and in the field, would add greatly to awareness of the RBF's commitment to cultural life in New York City.

**Building Respect for the Work and Providing Leadership for the Field.** Interviewees were consistent in voicing their admiration for the RBF's engagement with their efforts and with the field. Some argued that the Fund could be more influential and lead the way more vigorously in support of outer-borough, small, and culturally diverse institutions, and of grants that sustain their work.

## VII. RECOMMENDATIONS

### A. The Culpeper Grants

- 1. *Recognize the great achievements of the staff who manage the Culpeper grants.*** The staff has built and maintained strong and productive relationships with grantees, has given them sound and helpful guidance, commands knowledge of the field and respect from it, and produces worthy descriptions, dockets, documentation, and data as needed or required internally. The program director is articulate about the importance of arts and culture in, and contributions to, New York City. Activities supported by Culpeper grants in the city are widely appreciated and applauded. The RBF's visibility and reputation in the city are tied in great measure to its work in culture.
- 2. *Make greater diversification of grantees an objective.*** Over the 10 years of grantmaking, grants have gone mostly to Manhattan institutions and increasingly to repeat grantees. The Culpeper grants are ready for recalibration in order to reach more boroughs and more institutions.

3. ***Detail and expand descriptions of the grants.*** The descriptions of the strategies and the application process are clear and refreshingly simple, but the actual grantmaking covers and breaks more ground than is suggested. More explanation, and more and better examples of what the RBF actually funds, would help grant seekers and others better understand the grants. Consistent naming would also help. There could also be more specificity in describing the grants' methods of selection and relationships with grantees.
4. ***Provide more concrete categories for the grants made.*** "Capacity-building" and "creativity" grants meet many needs and interests. Grouping the grants more precisely by purpose would be instructive and would provide a better sense of results, both internally and in the field (thus, for instance, grouping grants into such categories as "commissioning choreography," "improving fundraising," and the like). It may also be beneficial to eliminate grantmaking in some seldom-funded disciplines or categories, like "literature" or "arts education," to heighten focus and achievement.
5. ***Align the descriptions of the two basic strategies.*** "Capacity-building" specifies interest in small to midsize, culturally specific, and community-based organizations. But the record reveals that much the same characteristics define the creativity grantees. Specifying this shared interest across the strategies would reveal the wholeness of the overall arts portfolio, and would allow more lessons to be culled from the grantmaking.
6. ***Find best methods for assessing the "impact" of grants,*** the measure applied by the RBF for assessment. The Culpeper grants' objectives are typically quite practical and grounded in immediate needs. However, the Fund also recognizes the larger effects, or "impact," that grantmaking can have and looks for such results in its assessments. Both the immediate and the more field-changing effects can be usefully addressed. The reports from grantees and the work they produce provide good insight into the direct success of grants. Grantees could also be asked to provide commentary on broader "impacts" in their reports. The results of the RBF's excellent internal research and data collections, with the use of outside sources, could be more usefully collected, studied, and used as guiding information and intelligence for the programming and for the field.
7. ***Consider enlisting more help.*** Whether there could be more staff is a question only management can answer, but there is little doubt that spending \$4 million on three different sets of priorities is a big job that leaves little time for analysis, follow-up, and reflection. It is true that some help to the New York City programming has been provided by staff in democracy and the environment, but the load is heavy. Outside advisors, expert convenings, interns, or extra staff—if funding permits—could aid and illuminate the programming.
8. ***Find the synergies between Culpeper and the other two lines of work in Pivotal Place: New York City.*** It is appropriate that the arts commitment stand on its own, but it is also true that there are natural, often important relationships between the arts and immigration and between the arts and environmental concerns. In New York City, many artists work on these issues, and many organizations that specialize in these areas cultivate affinities with artists and arts organizations. Finding these synergies, and acknowledging them, could lead to a deeper sense of community and shared purpose in the city, as well as strong new ideas or examples for grant seekers.

9. ***Assess the other two lines of work in Pivotal Place: New York City.*** The idea was expressed, by interviewees especially, that Culpeper grants are so needed and so successful, that they could be expanded. An assessment of the entire New York City program, measuring the other two lines of work as well as Culpeper, would indicate whether all three are equally important and impactful in the city and help determine whether some shift in funds might be justified.
10. ***Reassert and promote Culpeper's two strategies.*** At this time, attention to capacity building and creativity is as important as it has ever been. Additionally, Culpeper's commitments to all boroughs and to culturally specific and community-based work in culture are also timely and significant. In this time of economic stress for nonprofits, a new city administration, and a vibrant rise in immigration in the city, Culpeper is extremely well positioned as a funder.

## **B. The Grants in the Context of the Fund**

1. ***Acknowledge the consistent and close attention of the RBF to the Culpeper grants.*** The RBF produces timely, in-depth, responsive studies and reports of its cultural funding and provides a significant level of funding for Pivotal Place: New York City within the funding budget. The level of attention given to culture is commensurate with that given to other Fund programs, despite the uniqueness of the cultural commitment in the overall priorities.
2. ***Consider the relationships of arts and culture to other RBF priorities.*** The uniqueness of culture in the portfolio has to be acknowledged, but it is also appropriate to consider the resonance of culture with broader themes. It is particularly relevant to consider how culture works across the three lines of work under Pivotal Place: New York City. It is also relevant to consider the contributions of culture to the RBF's other focus areas—democracy, environment, and peacebuilding—more broadly, and to the other “places” within which the RBF operates.
3. ***Address the separateness of the cultural agenda within the RBF.*** Despite the equity with which Culpeper is handled administratively, the grants seem isolated within the Fund. At the board level, presentations of the work, exposure to art and artists, and review of the Culpeper grantees' significant accomplishments should be increased. For the staff, reviews and presentations of the work, reviews of the relationships of culture to other RBF priorities, and invitations to arts events could address the distance that exists.
4. ***Prepare for Pocantico.*** Board and staff are considering the future of The Pocantico Center and examining culture as central to that future. In the planning document, the extensive staff study of November 2011, and the *Vision 2020* document, specific ideas for cultural activity at Pocantico have been advanced. A commitment to Pocantico as a metropolitan cultural center would address the area's shortage of residency, rehearsal, and convening resources and could enhance the celebration of the Fund's 75th anniversary.

## **C. The Grants in the Context of New York City**

1. ***Recognize that the RBF is a major and honored supporter of the arts and culture in New York City.*** Since it began programming the Culpeper grants a decade ago, the RBF has become acknowledged as a major funder of the arts, and—given the program director's dedication and knowledge—the RBF is also appreciated for shaping and advancing culture in New York City. The RBF's status in its headquarter's city is largely due to its work in culture.

2. ***Heighten the RBF's commitment to the arts in New York City.*** As support for arts and culture diminishes, the RBF's engagement with the field becomes even more important. Furthermore, the RBF is positioned to become a voice for the affirmation of culture in the changing city environment. The program director's leadership has already been identified; his work and influence could be heightened by the involvement of trustees, the RBF president and vice president for programs, and other RBF staff. The RBF might convene nonprofit leaders, government officials, and others in support of the arts; produce op-ed pieces or blogs on the roles of culture in the city; organize special events and celebrations; or increase media attention to grantees and their contributions to the city. It is a time when added funds or staff or other resources could be usefully deployed.
3. ***Program Pocantico as a metropolitan resource for culture.*** Plans already exist for expanding The Pocantico Center's capacities, both in space and in offerings. An emphasis on culture at Pocantico would be a major gift to the city, offering unique and badly needed residency, development, and rehearsal spaces, and resources for convenings and performance.
4. ***Reaffirm Culpeper grant purposes in the context of the city's cultural needs.*** The Culpeper grants portfolio and its philanthropic philosophy bring great benefit to the city; its strategies are as relevant now as they have ever been. Reaffirming those values and sharpening them is appropriate at this time in the history of New York. It may also be appropriate for the Fund to take a broader approach to philanthropy and the arts. Working with other grantmakers and cultural leaders in the city, the full range of needs and priorities in the arts could be studied, additional funding for the arts and culture could be recruited, and a base for cultural understanding and advancement could be mobilized. The Fund could help ensure in this way that all cultural needs are recognized, and that some priorities do not eclipse the vital importance of other priorities. The RBF's stature in the city could make such collaboration on behalf of the arts and artists possible.

## **APPENDIX A: Individuals Interviewed**

### **Grantees**

André Bishop, *Artistic Director, Vivian Beaumont Theatre/Lincoln Center Theatre* (by phone)

Sherry Dobbin, *Director of Public Art, Times Square District Management*

Anita Durst, *Artistic Director, chashama*

Karen Brooks Hopkins, *President, BAM* (by phone)

Virginia Louloudes, *Executive Director, Alliance of Resident Theatres/New York, Inc.* (by phone)

Anne Pasternak, *President, Creative Time* (by phone)

Jorge Z. Ortoll, *Executive Director, Ma-Yi Filipino Theatre Ensemble* (by phone)

Linda Shelton, *Executive Director, Joyce Theatre Foundation*

Eduardo Vilaro, *Artistic Director, Ballet Hispanico of New York* (by phone)

### **External Observers**

Ben Cameron, *Program Director for the Arts, Doris Duke Charitable Foundation*

Eric Gibson, *Editor of the Leisure & Arts page, The Wall Street Journal* (by phone)

Kate Levin, *Commissioner, New York City Department of Cultural Affairs* (by phone)

Kerry McCarthy, *Program Officer, The New York Community Trust*

Edwin Torres, *Associate Director, The Rockefeller Foundation*

### **RBF**

Elizabeth Campbell, *Vice President for Programs, Rockefeller Brothers Fund*

Judy Clark, *Executive Director, The Pocantico Center of the Rockefeller Brothers Fund* (by phone)

Stephen Heintz, *President, Rockefeller Brothers Fund*

Valerie Rockefeller Wayne, *Board Chair, Rockefeller Brothers Fund* (by phone)

Ben Rodriguez-Cubeñas, *Program Director, New York City, Rockefeller Brothers Fund*

Arlene Schuler, *Board Member, Rockefeller Brothers Fund*

## **Interview Protocol:**

Preliminary and For Discussion Only

### **Introduction**

Explain that the interview will be no longer than 45 to 50 minutes.

Give a brief description of the reasons for/objectives of the assessment exercise.

Note that all assessment interviews are confidential (no individual attribution) and candor is helpful.

### **Background Information**

If a grantee, please describe your relationship to/involvement with the RBF Culpeper Arts and Culture Grants program.

If an external observer, are you familiar with the RBF Culpeper grants program and, if so, please describe your understanding of its scope, character, and purpose?

If an RBF board or staff member, please describe your understanding of the scope, character, and purposes of the RBF Culpeper grants program.

### **Specific Assessment Questions**

#### **Grantees**

Please describe the overall value/impact of your RBF Culpeper grant(s) in as much relevant detail as possible, specifically with respect to advancing your organization's strategies and realizing its program goals. If relevant: Have there been significant changes with respect to the value/impact of RBF Culpeper grants over the past decade?

If capacity building grant(s): How did the RBF Culpeper grant(s) help build capacity at your organization and in what ways? What were the most difficult aspects of capacity building?

If collaborations/new work grants: What were the two or three most salient benefits to your organization, the artists involved and the community served of your RBF Culpeper grant(s) and why were they so? If relevant: Have these benefits changed over the past decade and if so, how and why?

What would have made your RBF Culpeper grant(s) more beneficial/valuable and why?

Please describe any short-comings, problems, or difficulties you experienced with your RBF Culpeper grant(s) and indicate what you and/or the RBF might/should have done differently to prevent them.

What other foundation grants with purposes broadly similar to your RBF Culpeper grant(s) have you received? Please describe what you consider the most important similarities and differences to be of your RBF Culpeper grants with such other grants.

In your view, are there important lessons that the RBF should know about and/or learn from other foundation grants programs for New York City arts and culture organizations? Please be as specific as possible.

#### **External Observers**

Please describe your awareness/knowledge of the RBF Culpeper grant program.

If you are in a position to comment knowledgeably, what is your sense of the overall impact of the RBF Culpeper grants on New York City arts and culture organizations? Please be as specific as possible.

Please describe your understanding of other foundation grants programs with purposes broadly similar to the RBF Culpeper grant programs? What in your view are the most significant similarities and differences between the RBF Culpeper program and other foundation grants programs?

In your view, are there important lessons that the RBF should know about and/or learn from other foundation grants programs for New York City arts and culture organizations? Please be as specific as possible.

### **RBF Board or Staff Member**

What is your sense of the overall impact of the RBF Culpeper grants on New York City arts and culture organizations? Please be as specific as possible.

Please describe your understanding of other foundation grants programs with purposes broadly similar to the RBF Culpeper grants programs? What in your view are the most significant similarities and differences between the RBF Culpeper program and other foundation grants programs?

What would you like to see accomplished through this assessment of the RBF arts and culture grants programs?

### **Larger Context Questions**

What do you believe is the evolving landscape for New York City arts and culture organizations—both opportunities and challenges—with respect to audience, program focus, funding, organizational structure, governance, technology, and any other factor(s) you believe are pertinent? Please be as specific as possible.

What do you believe will be the most significant changes in arts and culture funding in New York City over the next three to five years and why?

What in your view are the most urgent priorities with respect to the continuing health and vibrancy of New York City arts and culture organizations and why?

What else, if anything, do you believe that New York City foundations should do with respect to anticipate/meet these opportunities and challenges and how should they do so?

### **Future of the RBF Culpeper Grants Program**

What factors do you believe the RBF should take into account as it considers the future of the Culpeper grants program and why these factors and why?

How do you believe the RBF might best strengthen, refocus, or modify its Culpeper grants program going forward and why?

Are there (other) particular opportunities, challenges or needs that you believe the RBF Culpeper grants program should seek to help meet and why?

### **Closing**

What should we have talked about that we haven't?

Many thanks!

## **APPENDIX B: A Brief History of RBF Arts and Culture Funding, 1940–2004**

### **Overview**

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This document provides a decade-by-decade overview of the nature and scope of arts and culture funding undertaken by the Rockefeller Brothers Fund up to and including the merger with Culpeper (1999) and ending with the implementation of the new program architecture in 2003. The information contained in this historical overview is based on the researcher’s review of the Fund’s annual reports from 1940–2004.

### **1940s**

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The 1940s was characterized by a “citizenship approach to giving” (RBF’s own language): There were few explicit programmatic or philosophical guidelines for the Fund’s giving during this time. Rather, the RBF served as an organizing structure for the personal interests of the Rockefeller Brothers. Even in this early period, giving by the RBF demonstrated particular interest in the following fields within NYC: civic improvement, cultural advancement, education, health, religion, and social welfare. In addition, the Fund consciously restricted its giving to philanthropic agencies (not to individual organizations) with the goal of achieving city- and nationwide significance.

#### Arts Funding

A large portion of the grants made during this first decade went to support the general operating expenses of NYC cultural organizations (in addition to social service organizations and local parishes). Examples of organizations receiving funding during this decade include Metropolitan Museum, MOMA, Philharmonic-Symphony Society, and New York City Public Library.

#### Important Dates

1940: The RBF was established.

### **1950s**

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In 1951, the RBF received a large donation to the principal fund by John D. Rockefeller, Jr. This new money drastically increased what the Fund could do. It was at this time that the decision was made to expand funding from general operating expenses to specific projects, including more experimental undertakings in “areas of special interest to the trustees which fall in the broad fields of human relations, international relations and development of human and natural resources.”

#### Arts Funding

Arts funding during this decade included the continuation of funding of operating expenses for key arts organizations in NYC (those listed above). In addition, general arts funding also expanded to include grants to the Aspen Institute for Humanistic Studies, the Brooklyn Institute of Arts and Sciences, City Center of Music and Drama, the Metropolitan Opera House, the Musicians Emergency Fund, and the National Council for U.S. Art.

It was during this decade that the RBF began funding the International Traveling Arts Exhibition at the MOMA. This exhibition was designed “to promote greater understanding among the countries of the world by presenting in foreign countries and in the U.S. significant achievements of

contemporary art.” Although it funded the arts, this project fell under the RBF’s new interest in international relations.

Other projects of interest included \$100,000 grant to the American Craftsmen’s Council to foster the revival of interest in craft, and two \$5,000 grants for junior museums in the eastern part of the country (two grants)

### Important Dates

1951: \$58 million donation from John D. Rockefeller to principal fund.

1959: Funding for the Asia Society begins.

1959: Start of three-year research undertaking on the NY metropolitan area, including assessments and projects of economic and demographic issues in the city with the goal to project changes likely to occur over the next 25 years. The research resulted in a nine-volume series.

### **1960s**

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In 1960, the RBF received another large donation (\$65M) in the wake of the death of John D. Rockefeller, Jr. Because of this monetary influx, the Fund was able to respond quickly and effectively to a series of crises in the late 1960s. During this time, the board waved the policy of supporting only those agencies that had citywide impact, allowing the Fund to offer relief to organizations as needed.

### Arts Funding

Funding for the MOMA’s International Travelling Arts project continued through 1965. In the end, the RBF donated more than \$2 million to this ongoing project.

Donations in honor of John D. Rockefeller, Jr. included several years of substantial funding to Spelman College for the construction of a fine arts building and the development of educational programming in arts and music.

During this decade, the RBF began substantial investments in several projects that it would sustain over numerous years, including the Arts Center in Arkansas, Colonial Williamsburg, Lincoln Center for the Performing Arts, and the Theatre Development Fund.

According to the annual report, these investments were “an expression of interest in advancing opportunities for artistic creativity and enjoyment” and a desire to “stimulate creativity and experimentation in the commercial theater and to help build audiences for serious theatre” (in the case of the Theatre Development Fund).

Under a special program focused on Race Relations and Urban Problems, the Fund supported a number of arts programs for minority and disadvantaged communities, including Harlem School of the Arts, the Studio Museum in Harlem, and Summer on Wheels.

In 1964, the Fund released its last volume in the nine-part series focused on trends in New York City, entitled, *The Performing Arts: Problems and Prospects*. This book was an inquiry into nonprofit professional performing arts in the United States, and concluded that the performing arts are “in trouble.” The book suggested potential courses of action for public and private funding in the future.

In addition to the continued funding of the central arts organizations in NYC (see 1940s list), the fund also supported a range of other arts projects during this decade such as the National Repertory Theatre Foundation, Inter-American Foundation for the Arts, Saratoga Performing Arts Center, the Whitney Museum of American Art, P.E.N. American Center, the Frederick Douglass Institute of Negro Arts and History Museum of African Art, Theatre Incorporated, the Foundation Center, Hall of Science, and the National Endowment for the Arts.

#### Important Dates

1960: Death of John D. Rockefeller, Jr., and the influx of an additional \$65 million to the capital fund.

1968: Trustees waved the policy of supporting only those agencies that had a citywide impact in order to assist discrete, deprived sections of New York. This included funding for many small, local arts groups.

### **1970s**

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In the 1970s, the Fund began to shift its priorities as it developed more explicit programmatic structures. Organizations and projects aimed at solving the fiscal and public service issues that were becoming increasingly apparent in the city received top priority, especially in the wake of the crash of 1974–1975. During this decade, therefore, funding for the arts began to recede into the background.

#### Arts Funding

In 1971, the trustees decided to curtail recurring grants to major arts institutions in New York City (those funded annually since the Fund's inception in 1940).

Arts funding during this time was focused on grants to service organizations, including the Theatre Development Fund and Opportunity Resources for the Performing Arts, and grants to strengthen arts education and arts organizations in underserved communities, including programs such as Museums Collaborative and institutions such as the City Center of Music and Drama and Studio Museum in Harlem.

#### Important Dates

1971: The Fund changed its funding approach in New York City: Trustees decided to curtail its recurring citizenship grants (established in the 40s and 50s) and to concentrate on a few, interrelated critical problems.

1972: The new program structure for New York City was announced. Concentration areas included: housing and community development, public education, social welfare, and cultural affairs.

1976: The Fund began to look for opportunities to support private and governmental responses to fiscal problems.

## 1980s

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During the 1980s, funding for arts and culture continued to fade into the background as other funding initiatives took priority. In 1982–1984, the Fund rolled out new grant guidelines, including the introduction of its “One World Program.” The Fund explicitly focused on four general areas of funding: (1) One World (Sustainable Resource Use and World Security); (2) New York City, with a particular emphasis on education and civic life over the next two decades; (3) Nonprofit Sector, to promote health and vitality of the nonprofit sector, both nationally and internationally; and (4) Special Concerns, a fund to support emergency situations and compelling new opportunities. The new programming structure also included four operational touchstones: Education, Leadership, Leverage, and Synergy.

### Arts Funding

The Rockefeller Brothers Fund Awards in Arts Education: First cycle of what was meant to be a five-year program series in annual awards to public elementary and secondary school arts education programs.

### Important Dates

1981: “Arts and Culture” dropped from list of New York City initiatives.

1983: Introduction of the “One World Program” and new grant guidelines.

1989: Collin Campbell became president; renewed emphasis on education.

## 1990s

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In the 1990s, the Fund underwent several important shifts in programmatic emphasis and structuring. In 1995, the Fund modified its NYC-specific grantmaking to emphasize strengthening and enhancing civil society by supporting efforts to build civic engagement and capacity in communities, including reform of public education and enhancement of urban public spaces. Major areas of focus: (1) schools and young people, (2) community life, and (3) civic participation. In 1999, the Fund merged with Culpeper and the funding of arts and culture again became an explicit part of RBF programming.

### Arts Funding

Until 1999, arts and culture funding continued to take a backseat to funding of other initiatives by the RBF.

In 1999, the Fund merged with Culpeper. At this time, the Fund added “Arts and Culture” to its areas of interest, with funding aimed at fostering access to the arts in order to create greater understanding and appreciation of the art forms or cultural activities of applicant organizations. During this early period, the program was national in scope and embraced performing, visual, and literary arts as well as cultural and historic preservation.

### Important Dates

1990: Education officially became a fifth major grantmaking area.

1991: Pocantico programs were added to the RBF programs.

1991: Asian Cultural Council became affiliated with the RBF.

1995: New programmatic focus for New York City.

1999: Merger with Culpeper.

## **2000–2004**

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The first half of this decade was one of great change at the RBF. It was during this time that the Fund worked out the details and logistics of its merger with Culpeper, which included a massive restructuring of its program architecture (implemented in 2003).

The new structure had four key areas of focus: (1) Democratic Practice; (2) Sustainable Development; (3) Peace and Security; and (4) Culpeper Human Advancement (arts and culture, education, leadership, and health). The new program structure also included what it referred to as the “Pivotal Places Program,” which included New York City.

In 2004, the grantmaking guidelines for NYC were narrowed to three major areas: (1) Democratic Practice; (2) Sustainable Development; and (3) Human Advancement (including improving public schools, supporting the creative process, and building capacity in cultural organizations).

### Arts Funding

In 2001, the Fund decided to focus the Arts and Culture program on NYC. This program was named the Charles E. Culpeper Arts and Culture program. Its two primary goals were to (1) foster an environment in which the arts can flourish (through grants to organizations that support individual artists and the creative process); and (2) help sustain and advance small and midsize cultural organizations, particularly those that are community based and culturally specific (through grants to support core operations, strengthen long-term financial viability, and enhance institutional leadership).

### Important Dates

2001: Stephen Heintz became president

2001: Decision to focus the Arts and Culture Program on NYC.

2003: Implementation of the new program architecture.

2004: Grantmaking guidelines for New York City finalized.

## APPENDIX C: Philanthropic Support for Arts and Culture

### Arts, Culture, and Media Grants for NYC Recipients by Issue Focus, 2012<sup>1</sup>

Subject	Dollar Value of Grants		No. of Grants	
	Amount	%	No.	%
<b>Arts and Culture</b>				
Policy, Management, and Information <sup>2</sup>	\$3,568,081	0.9	14	0.5
Arts-Multipurpose	23,259,879	5.7	241	8.0
Media and Communications	46,444,311	11.4	362	11.9
Visual Arts/Architecture	11,964,232	2.9	179	5.9
Museums	73,166,483	18.0	561	18.5
Performing Arts	174,783,075	43.0	1,302	43.0
Humanities	30,669,582	7.6	148	4.9
Historic Preservation	33,767,945	8.3	145	4.8
Other	8,576,897	2.1	78	2.6
<b>Total Arts and Culture</b>	<b>\$406,200,485</b>	<b>100.0</b>	<b>3,030</b>	<b>100.0</b>

Source: The Foundation Center, 2014. Based on all grants of \$10,000 or more awarded by a national sample of larger U.S. foundations. For community foundations, only discretionary grants are included. Grants to individuals are not included in the file.

<sup>1</sup>Preliminary set of grants awarded circa 2012

<sup>2</sup>Includes a broad range of supporting activities or organizations identified by 18 "common codes".

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### Arts, Culture, and Media Grants for NYC Recipients by Borough, 2012<sup>1</sup>

Recipient Location/Borough	Dollar Amount	No. of Grants
Bronx	\$3,545,173	60
Kings	\$26,404,638	317
New York	\$370,446,000	2,565
Queens	\$4,648,710	58
Richmond	\$1,155,964	30
<b>Total</b>	<b>\$406,200,485</b>	<b>3,030</b>

Source: The Foundation Center, 2014. Based on all grants of \$10,000 or more awarded by a national sample of larger U.S. foundations. For community foundations, only discretionary grants are included. Grants to individuals are not included in the file.

<sup>1</sup>Preliminary set of grants awarded circa 2012

# APPENDIX C: Philanthropic Support for Arts and Culture Foundations Located in NYC

## Awarding Grants for Arts (> \$500K), Culture and Media in NYC, circa 2012<sup>1</sup>

Grantmaker Name	City	County	State	Type <sup>2</sup>	Arts Funding: NYC Recipients		Arts Funding: All Recipients		Share of Arts Funding: NYC vs. All	
					Amount	No. of Grants	Amount	No. of Grants	% of Amount	% of No. of Grants
1 The Andrew W. Mellon Foundation	New York	New York	NY	IN	\$37,737,676	69	\$119,899,733	227	31.5	30.4
2 Ford Foundation	New York	New York	NY	IN	\$16,548,802	69	\$56,144,511	191	29.5	36.1
3 The New York Community Trust	New York	New York	NY	CM	\$13,478,975	296	\$18,763,276	433	71.8	68.4
4 The Robert W. Wilson Charitable Trust	Brooklyn	Kings	NY	IN	\$10,507,121	9	\$12,222,828	10	86.0	90.0
5 Foundation to Promote Open Society	New York	New York	NY	IN	\$8,730,532	20	\$16,451,645	73	53.1	27.4
6 Anna-Maria & Stephen Kellen Foundation, Inc.	New York	New York	NY	IN	\$8,375,535	18	\$8,980,535	22	93.3	81.8
7 The Peter Jay Sharp Foundation	New York	New York	NY	IN	\$7,780,000	25	\$9,655,000	31	80.6	80.6
8 The Shubert Foundation, Inc.	New York	New York	NY	IN	\$7,560,000	143	\$20,280,000	442	37.3	32.4
9 Carnegie Corporation of New York	New York	New York	NY	IN	\$7,550,000	10	\$9,420,000	21	80.1	47.6
10 The Monteforte Foundation, Inc.	New York	New York	NY	IN	\$6,963,785	5	\$6,978,785	6	99.8	83.3
11 MetLife Foundation	New York	New York	NY	CS	\$5,360,000	59	\$8,305,000	106	64.5	55.7
12 Doris Duke Charitable Foundation	New York	New York	NY	IN	\$5,231,384	13	\$13,466,618	34	38.8	38.2
13 Leon Levy Foundation	New York	New York	NY	IN	\$5,172,872	48	\$7,106,792	61	72.8	78.7
14 The Andy Warhol Foundation for the Visual Arts	New York	New York	NY	IN	\$4,714,880	49	\$12,070,874	178	39.1	27.5
15 The JPMorgan Chase Foundation	New York	New York	NY	CS	\$4,567,902	50	\$18,299,807	278	25.0	18.0
16 The SHS Foundation	New York	New York	NY	IN	\$4,566,035	14	\$5,341,763	24	85.5	58.3
17 Joseph & Sylvia Stifka Foundation, Inc.	New York	New York	NY	IN	\$4,533,333	9	\$5,308,333	14	85.4	64.3
18 The Speyer Family Foundation, Inc.	New York	New York	NY	IN	\$4,248,000	17	\$4,248,000	17	100.0	100.0
19 William Randolph Hearst Foundation	New York	New York	NY	IN	\$4,245,000	13	\$6,635,000	40	64.0	32.5
20 The Laurie M. Tisch Foundation, Inc.	New York	New York	NY	IN	\$4,099,318	16	\$4,174,318	19	98.2	84.2
21 Sue and Edgar Wachenheim Foundation	Purchase	Westchester	NY	IN	\$3,979,800	14	\$3,979,800	14	100.0	100.0
22 The Agnes Gund Foundation	East Liverpool	Columbiana	OH	IN	\$3,843,948	65	\$4,722,143	92	81.4	70.7
23 The Leona M. and Harry B. Helmsley Charitable Trust	New York	New York	NY	IN	\$3,841,686	12	\$4,176,686	15	92.0	80.0
24 Horace W. Goldsmith Foundation	New York	New York	NY	IN	\$3,704,000	53	\$6,856,500	95	54.0	55.8
25 The Marie-Josée and Henry R. Kravis Foundation, Inc.	New York	New York	NY	IN	\$3,661,574	31	\$3,696,574	33	99.1	93.9
26 The Pershing Square Foundation	Melville	Suffolk	NY	IN	\$3,615,000	6	\$3,835,000	9	94.3	66.7
27 The Florence Gould Foundation	New York	New York	NY	IN	\$3,611,498	36	\$4,887,732	52	73.9	69.2
28 The Rockefeller Foundation	New York	New York	NY	IN	\$3,320,550	20	\$3,670,550	22	90.5	90.9
29 The Fan Fox and Leslie R. Samuels Foundation, Inc.	New York	New York	NY	IN	\$3,282,500	103	\$3,334,500	105	98.4	98.1
30 The Henry Luce Foundation, Inc.	New York	New York	NY	IN	\$3,199,000	17	\$8,110,000	48	39.4	35.4
31 Vital Projects Fund, Inc.	New York	New York	NY	IN	\$2,943,000	29	\$3,448,000	38	85.4	76.3
32 Samuel I. Newhouse Foundation, Inc.	New York	New York	NY	IN	\$2,760,000	44	\$3,039,000	57	90.8	77.2
33 Arthur Ross Foundation, Inc.	New York	New York	NY	IN	\$2,385,000	6	\$2,885,000	7	82.7	85.7
34 Tisch Foundation, Inc.	New York	New York	NY	IN	\$2,183,554	8	\$2,506,647	17	87.1	47.1
35 Ehrenkranz Family Foundation	New York	New York	NY	IN	\$2,179,544	8	\$2,179,544	8	100.0	100.0
36 The Carson Family Charitable Trust	New York	New York	NY	IN	\$2,175,000	9	\$2,175,000	9	100.0	100.0
37 The Ambrose Monell Foundation	New York	New York	NY	IN	\$2,105,000	31	\$2,230,000	33	94.4	93.9
<b>38 Rockefeller Brothers Fund, Inc.</b>	<b>New York</b>	<b>New York</b>	<b>NY</b>	<b>IN</b>	<b>\$2,081,000</b>	<b>38</b>	<b>\$2,970,000</b>	<b>53</b>	<b>70.1</b>	<b>71.7</b>
39 Perelman Family Foundation	New York	New York	NY	IN	\$1,702,967	1	\$1,702,967	1	100.0	100.0
40 The Simons Foundation	New York	New York	NY	IN	\$1,694,558	2	\$1,694,558	2	100.0	100.0
41 PLM Foundation	New York	New York	NY	IN	\$1,605,500	12	\$1,675,500	15	95.8	80.0
42 The Jaharis Family Foundation, Inc.	New York	New York	NY	IN	\$1,549,571	9	\$2,549,571	10	60.8	90.0
43 The Charina Endowment Fund, Inc.	New York	New York	NY	IN	\$1,493,000	12	\$1,893,000	15	78.9	80.0
44 Gilder Foundation, Inc.	New York	New York	NY	IN	\$1,445,000	13	\$2,830,000	18	51.1	72.2
45 Surdna Foundation, Inc.	New York	New York	NY	IN	\$1,412,000	20	\$6,758,000	67	20.9	29.9
46 Altman Foundation	New York	New York	NY	IN	\$1,340,000	22	\$1,340,000	22	100.0	100.0
47 Robert Sterling Clark Foundation, Inc.	New York	New York	NY	IN	\$1,295,000	11	\$1,495,000	12	86.6	91.7
48 The Starr Foundation	New York	New York	NY	IN	\$1,120,000	25	\$1,515,000	30	73.9	83.3
49 The Nathan Cummings Foundation	New York	New York	NY	IN	\$1,112,000	22	\$3,417,000	56	32.5	39.3
50 Deutsche Bank Americas Foundation	New York	New York	NY	CS	\$1,069,000	21	\$1,149,000	25	93.0	84.0
51 Skirball Foundation	New York	New York	NY	IN	\$1,037,000	14	\$14,241,242	31	7.3	45.2
52 The J. M. Kaplan Fund, Inc.	New York	New York	NY	IN	\$992,397	23	\$1,574,897	44	63.0	52.3
53 Mertz Gilmore Foundation	New York	New York	NY	IN	\$980,000	34	\$1,095,000	36	89.5	94.4
54 The Pinkerton Foundation	New York	New York	NY	IN	\$942,000	19	\$1,267,000	20	74.3	95.0
55 Miriam G. and Ira D. Wallach Foundation	Purchase	Westchester	NY	IN	\$919,511	6	\$919,511	6	100.0	100.0
56 The Nduna Foundation	New York	New York	NY	IN	\$866,498	1	\$866,498	1	100.0	100.0
57 Susan & Leonard Feinstein Foundation	Jericho	Nassau	NY	IN	\$839,167	9	\$849,167	10	98.8	90.0
58 The Alice M. & Thomas J. Tisch Foundation, Inc.	New York	New York	NY	IN	\$789,195	15	\$814,195	16	96.9	93.8
59 Mark and Anla Cheng Kingdon Fund	New York	New York	NY	IN	\$735,807	8	\$735,807	8	100.0	100.0
60 The Staten Island Foundation	Staten Island	Richmond	NY	IN	\$643,964	18	\$643,964	18	100.0	100.0
61 The Robert Kravis and Kimberly Kravis Foundation	New York	New York	NY	IN	\$625,000	1	\$625,000	1	100.0	100.0
62 The Bodman Foundation	New York	New York	NY	IN	\$615,000	21	\$615,000	21	100.0	100.0
63 Charles Hayden Foundation	New York	New York	NY	IN	\$588,554	9	\$1,233,554	11	47.7	81.8
64 American Express Foundation	New York	New York	NY	CS	\$588,000	14	\$2,735,000	35	21.5	40.0
65 Brooklyn Community Foundation	Brooklyn	Kings	NY	CM	\$570,000	31	\$570,000	31	100.0	100.0
66 Nash Family Foundation	New York	New York	NY	IN	\$562,904	25	\$667,904	32	84.3	78.1
67 Edward John Noble Foundation, Inc.	New York	New York	NY	IN	\$550,000	2	\$732,355	6	75.1	33.3
68 Druckenmiller Foundation	New York	New York	NY	IN	\$525,000	5	\$525,000	5	100.0	100.0
<b>Total</b>					<b>\$406,200,485</b>	<b>3,030</b>	<b>\$1,426,883,342</b>	<b>13,132</b>	<b>28.5</b>	<b>23.1</b>

Source: The Foundation Center, 2014. Based on all grants of \$10,000 or more awarded by a national sample of larger U.S. foundations. For community foundations, only discretionary grants are included. Grants to individuals are not included in the file.

<sup>1</sup>Preliminary set of grants awarded circa 2012

<sup>2</sup>IN=Independent Foundation; CM=Community Foundation; CS=Corporate Foundation; OP=Operating Foundation.

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## APPENDIX C: Philanthropic Support for Arts and Culture

### Foundations Awarding Grants for Arts, Culture, and Media to Recipients in NYC, circa 2012<sup>1</sup>

Grantmaker Name	City	County	State	Type <sup>2</sup>	Arts Funding: NYC Recipients		Arts Funding: All Recipients		Share of Arts Funding: NYC vs. All	
					Amount	No. of Grants	Amount	No. of Grants	% of Amount	% of No. of Grants
1 The Andrew W. Mellon Foundation	New York	New York	NY	IN	\$37,737,676	69	\$119,899,733	227	31.5	30.4
2 Ford Foundation	New York	New York	NY	IN	\$16,548,802	69	\$56,144,511	191	29.5	36.1
3 The New York Community Trust	New York	New York	NY	CM	\$13,478,975	296	\$18,763,276	433	71.8	68.4
4 The Robert W. Wilson Charitable Trust	Brooklyn	Kings	NY	IN	\$10,507,121	9	\$12,222,828	10	86.0	90.0
5 David H. Koch Charitable Foundation	Wichita	Sedgwick	KS	IN	\$10,500,000	2	\$10,500,000	2	100.0	100.0
6 Foundation to Promote Open Society	New York	New York	NY	IN	\$8,730,532	20	\$16,451,645	73	53.1	27.4
7 Anna-Maria & Stephen Kellen Foundation, Inc.	New York	New York	NY	IN	\$8,375,535	18	\$8,980,535	22	93.3	81.8
8 The Peter Jay Sharp Foundation	New York	New York	NY	IN	\$7,780,000	25	\$9,655,000	31	80.6	80.6
9 Hess Foundation, Inc.	Roseland	Essex	NJ	IN	\$7,674,048	22	\$10,810,048	39	71.0	56.4
10 The Shubert Foundation, Inc.	New York	New York	NY	IN	\$7,560,000	143	\$20,280,000	442	37.3	32.4
11 Carnegie Corporation of New York	New York	New York	NY	IN	\$7,550,000	10	\$9,420,000	21	80.1	47.6
12 The Monteforte Foundation, Inc.	New York	New York	NY	IN	\$6,963,785	5	\$6,978,785	6	99.8	83.3
13 MetLife Foundation	New York	New York	NY	CS	\$5,360,000	59	\$8,305,000	106	64.5	55.7
14 Doris Duke Charitable Foundation	New York	New York	NY	IN	\$5,231,384	13	\$13,466,618	34	38.8	38.2
15 Leon Levy Foundation	New York	New York	NY	IN	\$5,172,872	48	\$7,106,792	61	72.8	78.7
16 Greater Kansas City Community Foundation	Kansas City	Jackson	MO	CM	\$5,097,500	12	\$80,384,450	282	6.3	4.3
17 The Andy Warhol Foundation for the Visual Arts	New York	New York	NY	IN	\$4,714,880	49	\$12,070,874	178	39.1	27.5
18 The JPMorgan Chase Foundation	New York	New York	NY	CS	\$4,567,902	50	\$18,299,807	278	25.0	18.0
19 The SHS Foundation	New York	New York	NY	IN	\$4,566,035	14	\$5,341,763	24	85.5	58.3
20 Joseph & Sylvia Slifka Foundation, Inc.	New York	New York	NY	IN	\$4,533,333	9	\$5,308,333	14	85.4	64.3
21 Roderick MacArthur Foundation	Niles	Cook	IL	IN	\$4,500,000	1	\$5,482,000	2	82.1	50.0
22 Hertog Foundation, Inc.	Palm Beach	Palm Beach	FL	IN	\$4,256,614	12	\$4,831,614	16	88.1	75.0
23 The Harriet F. Dickenson Foundation	Chicago	Cook	IL	IN	\$4,250,000	2	\$4,335,000	4	98.0	50.0
24 The Speyer Family Foundation, Inc.	New York	New York	NY	IN	\$4,248,000	17	\$4,248,000	17	100.0	100.0
25 William Randolph Hearst Foundation	New York	New York	NY	IN	\$4,245,000	13	\$6,635,000	40	64.0	32.5
26 The Laurie M. Tisch Foundation, Inc.	New York	New York	NY	IN	\$4,099,318	16	\$4,174,318	19	98.2	84.2
27 Sue and Edgar Wachenheim Foundation	Purchase	Westchester	NY	IN	\$3,979,800	14	\$3,979,800	14	100.0	100.0
28 The Agnes Gund Foundation	East Liverpool	Columbiana	OH	IN	\$3,843,948	65	\$4,722,143	92	81.4	70.7
29 The Leona M. and Harry B. Helmsley Charitable Trust	New York	New York	NY	IN	\$3,841,686	12	\$4,176,686	15	92.0	80.0
30 The Tow Foundation, Inc.	New Canaan	Fairfield	CT	IN	\$3,835,000	8	\$4,220,000	11	90.9	72.7
31 Horace W. Goldsmith Foundation	New York	New York	NY	IN	\$3,704,000	53	\$6,856,500	95	54.0	55.8
32 The Marie-Josée and Henry R. Kravis Foundation, Inc.	New York	New York	NY	IN	\$3,661,574	31	\$3,696,574	33	99.1	93.9
33 The Pershing Square Foundation	Melville	Suffolk	NY	IN	\$3,615,000	6	\$3,835,000	9	94.3	66.7
34 The Florence Gould Foundation	New York	New York	NY	IN	\$3,611,498	36	\$4,887,732	52	73.9	69.2
35 John S. and James L. Knight Foundation	Miami	Miami-Dade	FL	IN	\$3,414,646	14	\$23,065,146	163	14.8	8.6
36 The Rockefeller Foundation	New York	New York	NY	IN	\$3,320,550	20	\$3,670,550	22	90.5	90.9
37 The Fan Fox and Leslie R. Samuels Foundation, Inc.	New York	New York	NY	IN	\$3,282,500	103	\$3,334,500	105	98.4	98.1
38 The Henry Luce Foundation, Inc.	New York	New York	NY	IN	\$3,199,000	17	\$8,110,000	48	39.4	35.4
39 The Kovner Foundation	Princeton	Mercer	NJ	IN	\$3,142,363	3	\$4,033,163	5	77.9	60.0
40 Alphawood Foundation	Chicago	Cook	IL	IN	\$3,125,000	4	\$7,861,000	111	39.8	3.6
41 Booth Ferris Foundation	Dallas	Dallas	TX	IN	\$3,095,000	34	\$3,095,000	34	100.0	100.0
42 Verizon Foundation	Basking Ridge	Somerset	NJ	CS	\$3,055,000	14	\$5,070,100	81	60.3	17.3
43 The John D. and Catherine T. MacArthur Foundation	Chicago	Cook	IL	IN	\$2,950,000	7	\$14,005,500	52	21.1	13.5
44 Vital Projects Fund, Inc.	New York	New York	NY	IN	\$2,943,000	29	\$3,448,000	38	85.4	76.3
45 Adelson Family Foundation	Needham	Norfolk	MA	IN	\$2,821,997	3	\$2,961,997	6	95.3	50.0
46 Samuel I. Newhouse Foundation, Inc.	New York	New York	NY	IN	\$2,760,000	44	\$3,039,000	57	90.8	77.2
47 The Kresge Foundation	Troy	Oakland	MI	IN	\$2,725,000	4	\$25,999,227	125	10.5	3.2
48 Margaret A. Cargill Foundation	Eden Prairie	Hennepin	MN	IN	\$2,680,211	11	\$27,006,766	104	9.9	10.6
49 Eli & Edythe Broad Foundation	Los Angeles	Los Angeles	CA	IN	\$2,669,500	7	\$14,730,800	28	18.1	25.0
50 The Bank of America Charitable Foundation, Inc.	Charlotte	Mecklenburg	NC	CS	\$2,603,636	29	\$19,904,146	418	13.1	6.9
51 The James Irvine Foundation	San Francisco	San Francisco	CA	IN	\$2,550,000	2	\$18,753,600	96	13.6	2.1
52 Dalio Foundation, Inc.	Westport	Fairfield	CT	IN	\$2,490,000	16	\$2,746,000	24	90.7	66.7
53 Arthur Ross Foundation, Inc.	New York	New York	NY	IN	\$2,385,000	6	\$2,885,000	7	82.7	85.7
54 Tisch Foundation, Inc.	New York	New York	NY	IN	\$2,183,554	8	\$2,506,647	17	87.1	47.1
55 Ehrenkranz Family Foundation	New York	New York	NY	IN	\$2,179,544	8	\$2,179,544	8	100.0	100.0
56 The Carson Family Charitable Trust	New York	New York	NY	IN	\$2,175,000	9	\$2,175,000	9	100.0	100.0
57 The Ambrose Monell Foundation	New York	New York	NY	IN	\$2,105,000	31	\$2,230,000	33	94.4	93.9
58 The Sherman Fairchild Foundation, Inc.	Chevy Chase	Montgomery	MD	IN	\$2,091,667	3	\$4,345,965	14	48.1	21.4
<b>59 Rockefeller Brothers Fund, Inc.</b>	<b>New York</b>	<b>New York</b>	<b>NY</b>	<b>IN</b>	<b>\$2,081,000</b>	<b>38</b>	<b>\$2,970,000</b>	<b>53</b>	<b>70.1</b>	<b>71.7</b>
60 The William Penn Foundation	Philadelphia	Philadelphia	PA	IN	\$2,077,500	3	\$22,137,871	71	9.4	4.2
61 Rasmuson Foundation	Anchorage	Anchorage	AK	IN	\$2,000,000	1	\$2,537,684	24	78.8	4.2
62 Adobe Foundation	Wilmington	New Castle	DE	CS	\$1,819,949	14	\$5,275,343	75	34.5	18.7
63 Steven A. and Alexandra M. Cohen Foundation	Greenwich	Fairfield	CT	IN	\$1,781,000	10	\$3,154,500	16	56.5	62.5
64 The Kaplen Foundation	Tenafly	Bergen	NJ	IN	\$1,780,000	10	\$2,330,000	12	76.4	83.3
65 Silicon Valley Community Foundation	Mountain View	Santa Clara	CA	CM	\$1,750,000	16	\$20,116,021	260	8.7	6.2
66 Perelman Family Foundation	New York	New York	NY	IN	\$1,702,967	1	\$1,702,967	1	100.0	100.0
67 The Simons Foundation	New York	New York	NY	IN	\$1,694,558	2	\$1,694,558	2	100.0	100.0
68 Daniel and Pamela DeVos Foundation	Grand Rapids	Kent	MI	IN	\$1,610,000	1	\$2,065,500	9	77.9	11.1
69 PLM Foundation	New York	New York	NY	IN	\$1,605,500	12	\$1,675,500	15	95.8	80.0
70 Ted Arison Family Foundation USA, Inc.	Aventura	Miami-Dade	FL	IN	\$1,574,000	2	\$1,865,392	6	84.4	33.3
71 The Neubauer Family Foundation	Huntingdon Valley	Montgomery	PA	IN	\$1,563,950	3	\$3,449,450	18	45.3	16.7

## APPENDIX D: Annotated Bibliography

### Overview

This document provides citations for and summaries of sources containing important data on and analysis of the current and future state of arts and culture in New York City, with an emphasis on the years since the 2008 recession as well as speculations regarding the impact of the new administration (de Blasio) on the field. The researcher drew from Fund resources, online searches, and Internet alerts in order to compile this list. This bibliography is by no means a comprehensive list of all relevant sources. Rather, it aims to provide a well-balanced and informative view of the current and future state of arts and culture in New York City.

Entries are broken into five distinct categories: (1) foundation reports (including annual and trend reports), (2) academic and scholarly articles, (3) online and print resources (newspaper articles and blog posts), (4) conferences and event proceedings, and (5) organizations.

### Foundation Reports (15)

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*2014. New Data Directions for the Cultural Landscape: Toward a Better-Informed, Stronger Sector. Cultural Data Project.*

This report, based on the conversations of 11 leading researchers from academia and the consulting world in a private online forum, offers an assessment of the state of data collection and use in the arts and cultural sector, and recommends concrete steps toward a more strategic and coordinated approach to cultural data collection and use. Participants in the forum identified a number of challenges the sector faces in its ability to collect and learn from organizational data, as well as some avenues for moving toward a stronger cultural data landscape (including encouraging training and professional development in data-related skills and improving the cultural data infrastructure). One major focus of this project is to shift the conversation around data collection and analysis from a focus on accountability to a focus on decision making. RBF may be interested in reviewing this report for suggestions (and emerging norms) on how to collect, structure, and analyze data on its funding projects and initiatives in the future.

[http://www.culturaldata.org/wp-content/uploads/new-data-directions-for-the-cultural-landscape-a-report-by-slover-linett-audience-research-for-the-cultural-data-project\\_final.pdf](http://www.culturaldata.org/wp-content/uploads/new-data-directions-for-the-cultural-landscape-a-report-by-slover-linett-audience-research-for-the-cultural-data-project_final.pdf)

*2014. Under My Umbrella: Fiscal Sponsorship in New York State. Fractured Atlas.*

Fractured Atlas is a national arts service organization that empowers artists, arts organizations, and other cultural sector stakeholders by eliminating practical barriers to artistic expression (providing services such as insurance, technology, and fiscal sponsorship). The objective of this study was to better understand fiscal sponsorship's relationship to and place within the arts ecosystem, using the most recent year available of the Cultural Data Project (CDP) and Fractured Atlas fiscal sponsorship data. A project in 2012 that partnered Fractured Atlas with the CDP found that fiscally sponsored projects use limited fundraising and marketing dollars with remarkable effectiveness and spend more money on programs than similar-sized nonprofits. In this study, the researchers found that, for the most part, fiscally sponsored status does not predict characteristics of interest such as earned income, total attendance, and fundraising efficiency, and that fiscally sponsored programs and nonprofits are fairly similar. The report was commissioned by the Arts and Culture Research Fund and administered by New York Community Trust.

This report's discussion of how "big data" can be used to assess the efficacy and impact of programs and initiatives relative to others. Also, its main findings suggest that fiscally sponsored projects derive more of their income from earned rather than donated sources (compared to their nonprofit peers), making them more self-sufficient. The study did not find a significant difference in the amount spent on programming between fiscally sponsored and nonprofit programs.

<http://www.fracturedatlas.org/site/blog/wp-content/uploads/2014/01/undermyumbrella.pdf>

*2013. How Arts and Culture Can Advance a Neighborhood-Centered Progressive Agenda. By Caron Atlas, Towards a 21st Century for All.*

Assuming arts and culture to be an important element in fostering change, this report discusses *how* arts and culture could be integrated into the dialogue around neighborhood infrastructure, authentic engagement, and "organized compassion." The report focuses on three suggested programs: (1) cultivating naturally occurring cultural districts (through community infrastructure, with a priority on equitable distribution); (2) strengthening cultural citizenship through civic engagement; and (3) animating public space through public art. This progressive agenda is based on the assumption that the arts community needs to articulate a clear, pluralistic, and equitable vision for cultural policymaking that puts neighborhoods at the center.

Towards a 21st Century for All was a project that engaged leaders from diverse communities to air their views about these issues, discuss their differences, and move towards a collective policy framework for governing the city toward a more broadly shared prosperity. It commissioned a series of working papers that were discussed and critiqued by community, nonprofit, business, and government leaders through a dozen public sessions between September 2012 and April 2013, and was published as a book in June 2013.

Caron Atlas currently directs the Arts & Democracy Project, co-directs the Naturally Occurring Cultural District Working Group (NOCD-NY), and teaches at the Pratt Institute. The report was funded by the Brooklyn Community Foundation, the Charles H. Revson Foundation, the J. M. Kaplan Fund, the New York Foundation, the Open Society Foundations, the Robert Sterling Clark Foundation, and the Scherman Foundation.

[http://www.21cforall.org/sites/default/files/pdf/21cforall\\_arts.pdf](http://www.21cforall.org/sites/default/files/pdf/21cforall_arts.pdf)

*2013. The State of NYC Dance. Dance/NYC and Dance/USA.*

This report tracks trends in dance organizations in NYC over time, suggesting where the art form has gone and where it may be heading. The trend analysis offers a story of growth in a changing economy. From 2009 to 2011, performances increased three percent and live attendance grew 12 percent. There were also the first instances of paid "virtual" attendance—harnessing the potential of digital media. Nonprofit dance-makers generated gains in foundation contributions and special events, and created new jobs. The report also has some important insights on funding:

- Dance is undergoing shifts in government funding with losses for the large dance companies and gains for smaller groups along with an overall decrease in private contributions.
- The City of New York, through the Department of Cultural Affairs, is the most substantial source of government funding in nearly every budget range.
- Public funding is most significant for those with budgets of less than \$100K, and decreases as a percentage of revenue as budget size increases.

- Groups in the trend sample with budgets under \$5 million reported increases in government funding over the two years examined, particularly from state and federal sources.
- Private investments show the opposite trend: They increase as budget size increases.
- The analysis indicates that the industry as a whole may be operating in the black (the average dance-maker with a budget over \$500K reports a slight deficit), but the health varies significantly across organizations.
- The study finds evidence of a strong startup culture: Small nonprofit dance-makers (with budgets of \$25–100K) are thriving.
- It also finds differences in geographical location by fiscal-sponsorship status: Whereas the lion's share of nonprofit groups are based in Manhattan, 47 percent of the sponsored dance makers are headquartered in Brooklyn, and 15 percent are based in Queens, creating value for diverse communities. On average, these groups generate 56 percent of their revenue from earned income, outpacing all dance-makers in the Cultural Data Project with budgets of less than \$5 million.

The study draws on data from the New York State Cultural Data Project, and was funded by the New York State Council on the Arts, the New York Community Trust, and the Andrew W. Mellon Foundation.

<https://www.dancenyc.org/images/DanceNYC-Report2013.pdf>

### 2012. *Arts Digest 2012. The Municipal Art Society of New York.*

This report, based on Cultural Data Project data from 1,300 nonprofit organizations, features multiple research studies that collectively tell the story of New York City's arts and cultural sector in the years following the 2008 recession. The study offers a breakdown of arts organizations by discipline and borough (page 4) and examines questions such as: Who pays for the arts? What is the financial condition of NYC's nonprofit sector? And what is the broader economic impact of the arts on the city? Key findings include:

- 31 percent of groups surveyed have budgets under \$100,000 while only 8.6 percent have budgets over \$5 million
- The largest organizations receive the lion's share of both earned income (89 percent) and contributed income (80 percent). They also received 88 percent of NYC governmental support. The 974 groups with budgets < \$1 million, representing 73 percent of organizations, received just three percent of earned income and 6.2 percent of contributed income. Groups with budgets under \$100K survive mostly due to individual contributions and governmental support.
- Earned income has outpaced contributions for the largest organizations.
- Average income breakdown for the organizations in 2010 was: 53 percent earned income; 30 percent private contributions; 17 percent government contributions.
- Federal dollars seem to be focused on Manhattan; state dollars on Manhattan and the Bronx; city dollars are comparatively more evenly distributed, although Queens and Staten Island still receive considerably less.

The report includes data on revenue, expenses, employment, attendance, admission prices, and memberships. It also includes data on trends over time since the 2008 recession on these variables. Major findings include:

- 2009 was a tough year for groups of all sizes, with the largest decline occurring in investment income;
- by 2010, investment losses had begun to turn around;
- admission income grew over these years, but was offset by losses in other areas;
- contributed income fell over this period, while government support increased during this time;
- the biggest losers were museums and galleries, science and nature centers, and presenting organizations; and
- high fixed costs represent one of the biggest problems for arts organizations.

The report also offers suggestions for the future of funding, which may be of interest:

- Given the increasing competition for limited resources, this may be an opportune time for funders and policymakers to consider innovative ways to encourage the sharing of administrative costs and management staff, including strategic mergers and other forms of collaborative behavior.

[http://www.mediafire.com/file/ljtqyd38lnyd4bp/MAS\\_ArtsDigest\\_2012.pdf](http://www.mediafire.com/file/ljtqyd38lnyd4bp/MAS_ArtsDigest_2012.pdf)

*2012. Annual Report. Department of Cultural Affairs. NY Culture.*

This report includes an agency overview for the years 2007–2011. The report calls the years 2007–2012 a “Period of Agency Innovation” and reviews changes in the department’s approach to the arts, including the following:

- Funding reform: Expansion of the Cultural Development Fund, the introduction of CultureStat—a set of clear benchmarks to which organizations must comply to receive funding—and the introduction of a Community Arts Development Grant, which funds small arts organizations in low-income communities.
- Increased attention to energy efficiency and the funding of “green” projects.
- A focus on affordable workspace: Maximizing underutilized spaces and the development of new spaces through the Capital Units Project and the creation of SpaceWorks—a nonprofit real estate organization dedicated to developing long-term, affordable workspace for artists in NYC.
- Upgrading information technology and the department’s online presence, including the development of online applications for grants and the NYCulture Calendar—a free marketing resource.
- Expansion of its direct support for capacity building through free services, including the municipal reuse operation, an “Art of Money” program for financial literacy, application funding seminars to assist organizations in applying for funds, and nonprofit assistance initiatives (such as Essensa, a group purchasing company).
- Support for public arts, including programs such as Make Music New York, Festival of Ideas for the New City, and Poem in Your Pocket Day.

The report also includes a review of program services for the 2012 fiscal year.

[http://www.nyc.gov/html/dcla/downloads/pdf/annual\\_report\\_FY12.pdf](http://www.nyc.gov/html/dcla/downloads/pdf/annual_report_FY12.pdf)

*2011. The State of the Arts: A Summary Overview of New York City’s Nonprofit Cultural Organizations, Their Strengths and Challenges. The Alliance for the Arts.*

The report relies solely on information provided by the New York State Cultural Data Project (CDP) and shows that the 1,133 New York City nonprofit cultural organizations studied continue to be a major industry, raising more than \$3.8 billion in earned and contributed revenue annually and employing more than 100,000 people. The study also shows that these organizations were affected by the recent economic crisis, reporting a substantial decrease in funding in 2009 over 2008. This report also shows how critical NYC government support is to the city's cultural community. Seventy-seven percent of the city's nonprofit arts groups (869) receive support from the city government.

Key findings related to funding include:

- on average, 39 percent of groups' income was earned, 35 percent from private support, 17 percent from governmental support, and nine percent in-kind and/or other sources;
- governmental support is particularly critical to arts organizations located outside of Manhattan, where support from governmental sources ranges from 44 percent (Staten Island) to 23 percent in the Bronx—in Manhattan, governmental support accounts for just nine percent of organizational income;
- outside of Manhattan and Brooklyn, city government support remains the single largest source of income for arts organizations; and
- city government support accounts for more than 70 percent of government support, ranging from 91 percent in Staten Island to 59 percent in the Bronx.

This report is the first in a series of State of the Arts reports that will use CDP data to analyze New York's arts and cultural organizations. The report was funded by the New York Community Trust and the Booth Ferris Foundation.

[http://www.nyc-arts.org/pdfs/STATE\\_OF\\_THE\\_ARTS\\_REPORT\\_2011.pdf](http://www.nyc-arts.org/pdfs/STATE_OF_THE_ARTS_REPORT_2011.pdf)

*2011. The Impact of the Economic Downturn on Nonprofit Cultural Organizations in New York City. Alliance for the Arts.*

This report, the third in the *Recession and the Arts* series, demonstrates that as of 2010 the impact of the recession was still being felt across organizations large and small and in all five boroughs. As projected in the previous year's report, 2010 continued to be a difficult year for many organizations, though it was an improvement over 2009. Most organizations appear to be cautiously optimistic for the year current to the report (FY2011).

Other key findings include:

- 57 percent of organizations reduced their budgets in 2010 (by an average of 17 percent), but only 38 percent expected to do so in 2011;
- 39 percent cancelled or postponed programs in 2010, and 34 percent planned to do so in 2011;
- 38 percent of those organizations that were planning moves or capital construction projects cancelled or postponed them in 2010, and 35 percent of those organizations still planned to postpone projects in 2011; and
- there was variation by discipline, with multidisciplinary organizations faring worst, followed by performing arts service, and finally visual arts organizations.

<http://www.nyc-arts.org/pdfs/Recession26theARTSIII.pdf>

2011. *Arts Funding Snapshot: GIA's Annual Research on Support for Arts and Culture*. Prepared by the Foundation Center for Grantmakers in the Arts.

This extensive report includes several parts: (1) A one-year snapshot of foundation grants to arts and culture in 2009; (2) A 2011 update on public funding for the arts; (3) A discussion of challenges and headlines for state arts agencies in 2012; and (4) A discussion of how private funders are responding to cuts in public funding? Highlights from the sub-reports include:

1. *Foundation Grants to Arts and Culture, 2009: A One-Year Snapshot:*

- Arts giving declined 21 percent between 2008 and 2009.
- The median size of arts grants did not change between 2008 and 2009. It was found to be \$25,000 in this study. This has remained steady since 1993.
- Relative to other fields, a larger proportion of arts grants provided operating support (35 percent of arts grants dollars).
- The proportion of funding attributed to the top 25 funders decline relative to 2008, from 40 percent to just above 35 percent.
- Corporate foundations are an important source of support for the arts providing 14 percent of total grant dollars and 22 percent of grants for the arts.
- Funding for museums accounted for one-third of the arts grants in 2009, surpassing support for the performing arts (30 percent). This reversed a multi-decade-long trend.
- In 2009, giving to the performing arts decreased by 19 percent, and giving to multidisciplinary projects decreased by 33 percent. Giving to the humanities dropped even more (nearly 74 percent). Giving to visual arts dropped 31 percent.
- Foundation grant dollars targeting international cultural exchange fell 60 percent.

2. Public Funding for the Arts:, 2011 Update

- Between 1992 and 2011, aggregate appropriations to the arts by federal, state, and local governments increased by 13 percent.
- Local government funding grew by 33 percent between 1992 and 2002, reached an all-time high in 2008, and then fell precipitously between 2008 and 2011—dropping nearly 20 percent.
- Appropriations to state arts agencies grew 110 percent between 1992 and 2001 when they reached an all-time high. Between 2001 and 2011, this had been reduced by 39 percent.
- Federal funding is the smallest but also least volatile source of funding: NEA funds have grown steadily from 1996 through 2010, although current funding levels remain 12 percent below the all-time high in 1992.

3. State Art Agencies in the FY2012 Legislative Section: Challenges, Headlines, What's Working:

- Preliminary data suggests that state allocations for arts agencies fell 42 percent in 2012 nationwide.
- Political issues surrounding the debt ceiling have sparked conversations about what constitutes an appropriate level of public sector support for the arts.

- 25 states have maintained or plan to increase their allocations to the arts, but several states have proposed to eliminate or severely cut funding for the arts: South Carolina, Arizona, Pennsylvania, Washington, and Kansas.
- Finally the study offers some suggestions for “what works” in securing state funds, including: clearly articulating relevance, educating newly elected officials, looking beyond party affiliation, alignment with strong advocacy groups, and the use of social media.

#### 4. How Are Private Funders Responding to Cuts in Public Funding:

This sub-section is based on interviews and a survey conducted among private funders to assess how they think cuts to public funding will impact their own funding strategies. State arts agencies, the report argues, fulfill a unique role in the arts-funding ecology. For one, they are often the only entities able to provide a statewide perspective on arts and culture funding needs. State agencies are also more broad based in the support they offer (operating support as well as technical assistance and networking opportunities) and the organizations they reach (including smaller and newer groups as well as rural and underserved communities). Findings include the following:

- 57 percent of grantmakers indicated no change in grantmaking strategy based on the change in state funding.
- Those who have changed reported increasing support for arts education, arts service organizations, small organizations, individual artists, community-based arts programs, technical assistance, and operating support. Some have also increased commitment to convening cultural leaders.
- 50 percent of respondents indicated they partner with state agencies to work on funding, data gathering, public education, and information sharing. Partnerships tend to occur where there is some precedent for doing so.
- 56 percent of respondents felt that the current drop in funding represented a permanent decline. Seven in 10 believe that even if funding is restored, the nature of how funding works and what is funded will be fundamentally changed. Most said that public funding will need to be more accountable and more responsive to the public.
- The authors offer suggestions to private funders, including: (1) increase communication with state arts agencies, (2) take into account the impact on the cultural ecology of public funding cuts, (3) look across sectors and learn from others, and (4) participate in making the case for the public value of the arts.

[http://foundationcenter.org/gainknowledge/research/pdf/artsfunding\\_2011.pdf](http://foundationcenter.org/gainknowledge/research/pdf/artsfunding_2011.pdf)

*2011–2012. Biennial Report. New York Foundation for the Arts.*

This report provides an overview of the funding programs and initiatives taken up by New York Foundation for the Arts (NYFA) in recent years. The report outlines their work, including programs for financial support, professional development and online and curatorial services. Major developments include:

- launching their new website (Artspire), which serves as a platform for their new fiscal sponsorship program;
- increased emphasis on professional development and business training through their new program, NYFA Learning;
- NYFA Source is now the largest online searchable database for resources and funding;

- their Curatorial Program places work in public spaces and corporate headquarters and many other organizations; and
- NYFA has developed a new strategic plan (this report does not provide the details).

[https://s3.amazonaws.com/NYFA\\_WebAssets/Pictures/5216b036-7702-4248-a2f6-8ae3a75a57a0.pdf](https://s3.amazonaws.com/NYFA_WebAssets/Pictures/5216b036-7702-4248-a2f6-8ae3a75a57a0.pdf)

*2010. Who pays for the Arts? Income for the Nonprofit Cultural Industry in New York City. Alliance for the Arts.*

This is the third Alliance for the Arts report on income patterns within the nonprofit cultural field in New York City (earlier reports were published in 2009 and 2001). This report, which examines 2009 industry data, shows the recession's impact on income patterns. The report shows that the trend towards unequal funding of the very largest institutions (identified in a prior report) continues:

- The current report shows an astonishing 136 percent increase between 1995 and 2009 in earned income. This was driven largely by increases in admissions income and in other earned income.
- Smaller organizations, however, have experienced declines in all three income categories, illustrating that unlike larger organizations, smaller groups have more difficulty in offsetting private and public funding declines with earned income. In fact, smaller groups saw a 48 percent decline in earned income between 1995 and 2009.
- Private contributions decreased for small and large organizations but increased for midsize organizations (budgets between \$100K and \$1M). Foundation support increased for all but the largest organizations, which have seen a decline of 34 percent since 1995.
- Almost 60 percent of private contributions for organizations with budgets over \$10 million were from individual contributions.
- Groups with budgets between \$1 million and \$10 million received 17 percent of their total income from foundation giving, 12 percent from individual giving, and six percent from corporate giving.
- Government funding also declined, but particularly among small (54 percent drop) and large (61 percent drop) organizations.

Trends in operating income from 1995-2009:

- Public and private support for the arts has remained flat.
- Small organizations experienced the biggest overall declines in funding.
- Total private contributions decreased an average of 16 percent from 1999 to 2009. Overall, private contributions were most affected by mid-double-digit declines in both individual and foundation giving, which represent nearly three-fourths of all private contributions.

<http://www.nyc-arts.org/pdfs/Who%20Pays%20for%20the%20Arts%202010%20MASTER%20-%20FINAL.pdf>

*2010. Time to be Creative. By Jonathon Bowles for Center for an Urban Future Report.*

This report argues that the sharp downturn in New York City's real estate market presents a unique opportunity to address the serious space needs of the city's artists, arts groups, and creative entrepreneurs. It includes 17 recommendations for taking advantage of the downturn to strengthen New York's creative sector, including:

- crafting permanent solutions to the space problem, such as converting vacant real estate into arts spaces, creating a unit at EDC to identify building with high vacancy rates and potential arts uses, expanding temporary arts space initiatives, opening new incubators, creating a cultural land trust, and opening schools and libraries after hours; and
- helping nonprofits reduce costs and become more efficient, such as assisting arts groups in restructuring their debt, helping groups adapt technology, and allowing nonprofits to access incentive programs open to small businesses.

This report is based on the conference by the same name that took place in September 2010.

[http://nycfuture.org/pdf/Time\\_to\\_be\\_Creative.pdf](http://nycfuture.org/pdf/Time_to_be_Creative.pdf)

*2010. Vital Signs: Snapshots of Arts Funding. Prepared by the Foundation Center for Grantmakers in the Arts.*

This report includes a one-year snapshot of foundation grants to arts and culture in 2008 and on public funding for the arts in 2010. Findings foreshadow those of the 2011 report described in detail above.

<http://foundationcenter.org/gainknowledge/research/pdf/artsfunding2010.pdf>

*2007. Culture Builds New York: The Economic Impact of Capital Construction at New York City's Cultural Institutions, 2003–2010. Alliance for the Arts.*

This report analyzes the economic impact of spending on new construction at the city's cultural institutions for the years 2003 to 2005, and for planned capital spending in the years 2006 to 2010. As this study makes clear, the largest source of funding for this construction activity is the private sector—individuals, corporations, and foundations. But an important factor is a newly active public sector. The city of New York, having extended its capital budget support to private institutions not housed in city-owned property, has become the largest single funder of these projects. This study indicates that the level of cultural construction activity remains high.. Highlights of these public-private efforts will include new programming space at the Studio Museum in Harlem and groundbreakings for dramatic renovations at the Queens Museum of Art and the Museum of the Moving Image. Findings include the following:

- For 2003–2005, NYC cultural institutions spent \$1.4 billion on capital construction and generated \$1.85 billion in economic impact, an average of 3,460 full-time jobs, \$560 million in wages, and \$40.6 million in taxes.
- Individual contributions were the most important source of total funding for capital projects in New York City's nonprofit cultural institutions in 1997–2002, accounting for 49 percent of all funding. Capital funding from the city was the second most important source, providing 26 percent of all funding during those years.
- 2003–2005: Of all public and private funding, three-quarters of all capital expenditures were made in Manhattan, nine percent in Brooklyn, eight percent in the Bronx, seven percent in Queens, and one percent in Staten Island.
- 2003–2005: Of NYC's funding, 50 percent went to Manhattan, 20 percent to Brooklyn, 18 percent to Queens, eight percent to the Bronx, and four percent to Staten Island.
- Breakdown by budget size: 45 percent to organizations with budgets > \$50 million, 39 percent to organizations with budgets between \$10 million and \$50 million, 15 percent to

organizations with budgets between \$1 million and \$10 million, and one percent to organizations with budgets under \$1 million.

- The city's share of total capital spending is particularly important for those organizations with annual operating budgets of less than \$1 million. Here, the city's 2003–2005 allocation of \$13.2 million represented 72 percent of their total capital spending, although that volume only represents three percent of all city capital funding.
- Within each borough, patterns of city and private spending vary: In Manhattan 80 percent of capital expenditures come from private sources; the Bronx is close with 71 percent from private sources. In the other three boroughs, city spending accounts for most of capital expenditures (72–88 percent).
- Museums have received 62 percent of the total capital expenditures, followed by zoos and botanical gardens (11 percent), music and opera (eight percent), presenting organizations (seven percent), nonprofit theatre (six percent), dance (four percent), and arts centers (one percent). City capital expenditures mirror these trends but with greater emphasis on presenting organizations (18 percent) and arts centers (four percent).
- Based on plans, in 2006–2010, projects are for \$1.7 billion in facilities spending and the generation of \$2.2 billion in economic impact, 2,500 full-time jobs, \$670 million in wages, and \$48.5 million in taxes.

[http://www.nyc-arts.org/pdfs/CultureBuildsNY\\_2007.pdf](http://www.nyc-arts.org/pdfs/CultureBuildsNY_2007.pdf)

#### *2005. NYC Arts Audiences: Attendance at NYC Cultural Venues. Alliance for the Arts.*

This study provides a snapshot of attendance for one year (2004). It finds a staggering 26 million people attended cultural institutions in NYC over the year. The report details attendance by geographical location (the majority in Manhattan but more than a third in the outer boroughs), discipline, and budget size. It also details the demographics of attendees. Some key findings include:

- the 30 most heavily attended venues account for 84 percent of attendance;
- breakdown by borough: 61 percent Manhattan; 11 percent Brooklyn; 11 percent Bronx; five percent Queens; two percent Staten Island; and
- breakdown by discipline: 60 percent visual arts, 23 percent performing arts, and 17 percent living collections.

Report: [http://www.nyc-arts.org/pdfs/NYCArtsAudiences\\_2005.pdf](http://www.nyc-arts.org/pdfs/NYCArtsAudiences_2005.pdf)

#### **Academic and Scholarly Articles (6)**

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*2013. "The cultural economy in recession: Examining the U.S. experience." By C. Grodach & M. Seman in *Cities*, 33, pp. 15–28.*

Assessing cultural sectors after the recession: Given the attention many cities place on the cultural sectors, it is important to examine how they fare following the onset of the global financial crisis and recession. To do so, this article examines the occupational distribution and geographic structure of the cultural economy in the 30 largest U.S. metropolitan areas during recession and captures the changes that have occurred over the last decade. Based on this analysis, the authors identified a set of key trends, which highlight that while the boom period is generally characterized by widespread and, in some places, extreme growth in the cultural sectors, the recession is a period of selective

growth and not a period of total decline. These findings have implications for determining the relevance of the arts and cultural sectors as targets of urban economic development policy in the post-recession era.

Major findings:

- The majority of areas showing the strongest cultural economy growth during the boom years were also the hardest hit by the recession (including NYC and Los Angeles).
- There is no clear evidence that artists or other cultural sector workers are increasing in affordable, older industrial metros as has been predicted.
- Cultural sector employment is concentrated in a set of growing secondary regions with midsized and significantly concentrated employment pools.
- The analysis shows that primary centers retain their position while smaller, less specialized regions experience further decline.

*2012. Stakeholder Partnerships and the Cultural City: Creative Economic Development Policy in Toronto and New York. Dissertation by S.B.D. Goldberg-Miller presented to the New School.*

Funding and policy: Analyzing how arts and culture have penetrated the clutter of policy options on Toronto and New York's economic development agendas has produced three key principles for policymakers, planners, and creative economy partners:

1. Strategic integration: Integrate arts and culture into a broadly focused economic development framework that incorporates both economic and social benefit.
2. Partnership development: Build and cultivate relationships and stakeholder partnerships across policy domains and throughout sectors.
3. Research and planning: Use research and strategic planning to analyze how arts and culture interventions could support the municipal economic development agenda and subsequently be integrated into a variety of key policy interventions.

This research was funded by the Rockefeller Foundation.

[http://www.umdcipe.org/conferences/GovernmentCollaborationShanghai/Submitted%20Papers/GoldbergMiller\\_Paper.pdf](http://www.umdcipe.org/conferences/GovernmentCollaborationShanghai/Submitted%20Papers/GoldbergMiller_Paper.pdf)

*2010. "Arts and culture in urban and regional planning: A review and research agenda." By A. Markusen & A. Gadwa in *Journal of Planning Education and Research*, 29(3), pp. 379–391.*

The case for empirical assessment: Amid the buzz on the creative city and cultural economy, knowledge about what works at various urban and regional scales is sorely lacking. This article reviews the state of knowledge about arts and culture as an urban or regional development tool, exploring norms, reviewing evidence for causal relationships, and analyzing stakeholders, bureaucratic fragmentation, and citizen participation in cultural planning. One of the key arguments of this paper is that research can provide important information to cultural planners and jurisdictions that will allow them to make better decisions on policy and funding initiatives. The authors argue that there is currently a dearth of research regarding popular cultural strategies—such as “cultural districts” and “cultural tourism”—that evaluate causal mechanisms and variations in efficacy across different contexts (possibly dependent on variables such as urban and regional scales, current funding, and policy structures, etc.). The authors, for example, argue that city planners would benefit from sound and extensive empirical research on concentrated versus dispersed investments of

cultural capital, which assesses before and after outcomes across a large number of cases. Preliminary qualitative work suggests that dispersion may be a sounder strategy on both equity and efficiency grounds, but this claim needs further empirical investigation.

The authors suggest that, first, researchers should “unpack,” or critique and evaluate cultural planning policies and outcomes according to their implicit and explicit norms and goals. Second, researchers should empirically assess the claim that arts funding leads to economic development, identifying causal mechanisms and moderating variables. Lastly, researchers should assess the merits and weaknesses of various cultural strategies.

<http://www.hhh.umn.edu/projects/prie/pdf/271CulturalPlanningResearch.pdf>

2009. “The disappearing arts: Creativity and innovation after the creative industries.” By K. Oakley in *International Journal of Cultural Policy*, 15(4), pp. 403–413.

The case against innovation policy claims: Since the birth of the “creative industries” a decade ago, there has been a series of attempts to link the cultural sectors with innovation policy and to downplay the connection between them and traditional arts or cultural policy. The theory appears to be that innovation is where the big money is, and that the cultural sectors can only benefit by being rescued from the “ghetto” of arts funding. This paper queries this notion and seeks to draw attention to some of the problems that have resulted and may result from it.

The author argues that this shift in rhetoric about arts and culture (from “cultural” to “creative” and from “creativity” to “innovation”) moves the understanding of the cultural sector from one that produces unique cultural products, or serves as a refuge of the uncommodifiable into a “market for novelty,” similar to other sectors. This change reflects a shifting set of priorities as well. The price of this, the author argues includes:

- the downgrading of efforts to develop cultural and creative industries for themselves in favor of seeing them primarily as inputs into other economic activities; and
- the tendency to support the risk while leaving tried and tested forms to the market. This would ignore much craft production, could cause an underfunding of non-Western forms of art (which tend to be less enamored with the idea of the “new”) and would marginalize genre works, which depend on their collective, historical development for much of their meaning. In the words of the author: “A desire to fund only the new and innovation-friendly risks producing a sort of perpetual present; a culture without memory.”

Although the context of this paper is the U.K., the argument may be of interest to current policy and funding decision makers such as RBF.

<http://www.tandfonline.com/doi/abs/10.1080/10286630902856721#.U39JwfidWjY>

2007. “How art and culture happen in New York: Implications for urban economic development.” By E. Currid in *Journal of the American Planning Association*, 73(4), pp. 454–467.

The case for artists’ social milieu: Drawing on 80 interviews with cultural producers, cultural gatekeepers, and owners and managers of the entertainment venues these groups frequent, this article looks closely at the mechanisms that structure and drive the cultural economy and suggests possible avenues for cultural economic development and policymaking. It focuses on the ways cultural producers obtain jobs, advance their careers, gain value for their goods and services, and interact with each other. It finds that not only are artistic and cultural producers densely

agglomerated, but also that key social mechanisms structure and inform this clustered production system. These industries depend on unique kinds of social interaction, from nightlife to gallery openings, to thrive. This is more than just fun and games, and is critical to the operation of this economic sector. The author suggests that a local arts social milieu—including the ability to live close to one another—is critical to the development of a vibrant cultural economy, and that different places can actively cultivate useful social milieus.

<http://www.tandfonline.com/doi/abs/10.1080/01944360708978526#.U39QvfidWjY>

2006. "New York as a global creative hub: A competitive analysis of four theories of world cities." by E. Currid in *Economic Development Quarterly*, 20(4), pp. 330–350.

How New York City has maintained its position atop the global urban hierarchy as a leading player in the world and national economy is part of the broader discussion on why cities grow and why some remain at the top of the heap decade after decade. There are several dominant theories explaining New York City's success, most notably those that argue the city is a center of command and control or managerial elite and is a global hub of finance and its related services. Yet an emerging framework explaining New York City's dominant position argues for the importance of global creative centers, which offer new opportunities for economic development strategies.

The paper finds that previous theories about what makes New York unique do not hold up to empirical scrutiny, including: (1) NYC as a command and control center (command and control occupations are less highly represented than often stated); (2) the size of the financial section (data show that the financial sector does not possess a significantly greater proportion of the region's employment than other metropolitan areas; and (3) concentration of professional services (findings indicate that while NYC does continue to maintain an edge in this arena, concentrations have declined and recent developments in high technology have not become concentrated in NYC). The article argues that NYC's strength is primarily in the field of arts and culture—the area with the most concentrated occupations.

In the words of the author: "The findings indicate that New York City's real competitive advantage and unique position as a global city appear to lie in its ability to be a great center of creativity—specifically in the arts, design, media, and entertainment. It is in these sectors that the region possesses its greatest strengths and possibilities for prosperity."

<http://edq.sagepub.com/content/20/4/330.short>

## Online and Prints Resources (5)

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May 2014. "Bill de Blasio: Good for the arts?" *The Art Newspaper*.

This article argues that although it remains to be seen how the arts rank in de Blasio's priorities, it appears that his approach will not "resemble Bloomberg's high-gloss, high-budget agenda." Instead, the article suggests that the new administration is focused on "community outreach, supporting culture in the outer boroughs and encouraging artists to remain in New York at a time when the cost of living has never been higher." The article suggests that de Blasio's progressive agenda and emphasis on being "the candidate of the outer boroughs" will inform his arts agenda and policymaking. Predictions include the following:

- Adrian Ellis, an arts consultant, is quoted as suggesting that under Bloomberg, well-established institutions were favored; under de Blasio, smaller organizations further from Manhattan may see increased funding and priority as the new mayor says he emphasizes “grassroots outreach over spectacle.” De Blasio is quoted as saying he wants a “five-borough approach to arts and culture.”
- De Blasio appears less concerned about the arts bottom line than Bloomberg. He is quoted as saying that he doesn’t see arts and culture through the prism of economics.
- Drafts of the 2015 budget are reassuring for arts advocates: De Blasio allocated \$148.5 million to the cultural affairs department, \$60 million more than Bloomberg’s proposal for 2014.

<http://www.theartnewspaper.com/articles/Bill%20de%20Blasio:%20good%20for%20the%20arts?/32594>

April 7, 2014. “De Blasio Press Q&A: The Cultural Affairs Edition.” *New York True*.

This article contains the full press Q&A from de Blasio’s press conference following the appointment of Tom Finkelpearl as Cultural Affairs Commissioner. Some important points covered in the Q&A:

- Seeing the arts beyond the lens of economic impact and tourist dollars: De Blasio argues that despite the important role arts and culture play in the economy, he believes that cultural institutions are and should be about human enrichment, expressing the human experience and unifying communities.
- De Blasio emphasizes his support for expanded funding for arts education and after-school programs; Finkelpearl then also mentions the disparity in arts education by neighborhood, with lower-income areas being particularly hard hit
- De Blasio highlights his desire for equal access to the arts and how this philosophy will influence his arts policy moving forward. Finkelpearl stresses that making the large public institutions as public as possible is one of the topics he discussed with the mayor.
- De Blasio underscores his focus on the outer boroughs and grassroots (small) organizations, which he feels have not received the acclaim they may deserve.

<http://www.newyorktrue.com/de-blasio-press-ga-the-cultural-affairs-edition/>

December 29, 2013. “De Blasio brings hope for a populist arts revival.” By Michael M. Grynbaum in *New York Times*.

This article discusses the mayoral transition and its potential impact on the arts in NYC. It leads with concern that de Blasio will not demonstrate the same enthusiasm for the arts as Bloomberg. But there is mention of interest in the arts by his wife, Chirlane McCray (a poet herself), as well as a summary of de Blasio’s artist interests. The article suggests that the new mayor’s interests tend to fall outside of the mainstream institutions—in neighborhood galleries and upstart museums. There is a discussion of his transition committee and speculation on who he will appoint as cultural commissioner. The article further discusses de Blasio’s taste in music, theater, literature, and television programming.

[http://www.nytimes.com/2013/12/30/arts/a-new-mayor-brings-hope-for-a-populist-arts-revival.html?\\_r=0](http://www.nytimes.com/2013/12/30/arts/a-new-mayor-brings-hope-for-a-populist-arts-revival.html?_r=0)

November 12, 2013. "Opportunities for the arts in our new mayor's one New York." By Lane Harwell in *Huffington Post*.

This article outlines some concrete spaces in de Blasio's guiding framework for office that might be open for the arts and culture community to expand and receive funding and support. These areas include: arts education for all children, jobs for all New Yorkers, transit, sustainability, immigration, and governmental reform. The author, who serves as executive director of Dance/NYC, says he looks forward to working with the new administration on these issues and thinks that representatives of arts and culture should have a seat at the table in each of these discussions.

[http://www.huffingtonpost.com/lane-harwell/opportunities-for-the-art\\_b\\_4236086.html](http://www.huffingtonpost.com/lane-harwell/opportunities-for-the-art_b_4236086.html)

October 31, 2013. "On arts, mayor a 'hard act to follow.'" By Jennifer Maloney in *Wall Street Journal*.

This article, published during the campaign, speculates on the arts and culture agenda of the two primary candidates. The article paints de Blasio as a "cultural foil" to Mayor Bloomberg: While Bloomberg was a supporter and frequenter of the city's premier cultural venues, de Blasio frequents smaller organizations in the outer boroughs (mostly Brooklyn). The article quotes de Blasio saying that, in terms of arts funding, he would "make sure there's fairness toward outer-borough cultural institutions, toward more grass-roots cultural institutions. You know, all of them make up the fabric of New York City." There is also mention of de Blasio's funding for arts organizations during his tenure as City Council member representing Brooklyn, and notes that these programs focused primarily on arts education. The article suggests that de Blasio is focused on inclusiveness and expanded arts education programs (setting a goal for meeting state guidelines for every city student within four years).

<http://online.wsj.com/news/articles/SB10001424052702303618904579168140148075768>

## Conferences and Event Proceedings (5)

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November 2013. *Talking Transition*.

Talking Transition is an unprecedented community engagement initiative that pioneered the first "open" transition to a new citywide administration in New York City history. Talking Transition is an experiment in innovative government and grassroots organizing that seeks to transform the typically insular, closed-door process between Election Day and Inauguration into an opportunity for broad civic discourse. Following the 2013 mayoral election in New York City, Talking Transition brought thousands of New Yorkers together to join open conversations about the most pressing public policy issues, ideas, and questions that affect communities across the city. Over the course of more than two weeks, starting immediately after Election Day, Talking Transition created a forum for these discussions by hosting live events in a pop-up on Canal Street, open to the public from 9 a.m. to 9 p.m. daily, and by bringing the conversations to neighborhoods across all five boroughs through mobile "tents" and a team of more than 100 canvassers speaking 19 different languages. There were many "conversations" related to the state of arts and culture in NYC and potential policy paths for the future.

A list of events/conversations related to arts and culture is at:

<http://talkingtransitionideas.splashthat.com/#arts-culture>

These events were run by groups such as: New York Foundation for the Arts, Emerging Leaders of New York Arts, PEN America, One Percent for Culture, and Naturally Occurring Cultural Districts-New York.

#### January 2012. Mayor Bloomberg's State of the City Speech.

Some of the new policy proposals outlined in the mayor's speech—from expanding the number of Career and Technical Education (CTE) schools to creating permanent rehearsal and studio spaces for the arts—were greatly influenced by reports from the Center for an Urban Future (CUF). Mayor Bloomberg said that his administration would launch SpaceWorks, a new nonprofit that will create long-term affordable rehearsal and studio space for artists citywide. For a reflection on this impact by Center for an Urban Future, see:

<http://nycfuture.org/impact/single/mayors-state-of-the-city-speech-echoes-cuf-ideas-permanent-spaces-for-the-a>

#### 2009. New York State Cultural Data Project.

The CDP was first launched in Pennsylvania in 2004 as a statewide, web-based data collection system for nonprofit arts and cultural organizations. In 2009, the Department of Cultural Affairs joined together with the New York State Council on the Arts and private grantmakers to bring the Cultural Data Project to New York State. The CDP's mission is to strengthen the national nonprofit arts and cultural sector by collecting and disseminating comprehensive, high-quality longitudinal data that supports fact-based decision-making. Data from this effort are included in many of the reports highlighted above.

<http://www.nysculturaldata.org/home.aspx>

#### May 2008. Harnessing Brooklyn's Creative Capital.

This forum—run by the CUF and the Brooklyn Economic Development Corporation—examined the size and scope of the self-employed creative sector in Brooklyn, the unique challenges facing these professionals, and public and private sector strategies for supporting this part of the borough's economy. Panelists included Scott Adkins, Pauline Barfield, Sara Horowitz, and Michael Kelly.

A full transcript is available here:

[http://nycfuture.org/pdf/Harnessing\\_Brooklyns\\_Creative\\_Capital.pdf](http://nycfuture.org/pdf/Harnessing_Brooklyns_Creative_Capital.pdf)

#### April 4, 2006. Creative New York Conference.

The Center for an Urban Future, the City of New York, the Rockefeller Foundation, and the Partnership for New York City co-sponsored Creative New York, a conference at the Museum of Modern Art that brought together more than 200 leaders from New York's creative communities and government to discuss how to keep New York City at the forefront of the world's creative economy. The conference included an opening speech by Mayor Michael R. Bloomberg and panel discussions that featured prominent leaders such as Barry Diller, Bill T. Jones, Glenn D. Lowry, Terry J. Lundgren, James Schamus, Clive Gillinson, Ann Moore, Fernando Espuelas, Mary Ann Tighe, Virginia Louloudes, Daniel L. Doctoroff, Kate D. Levin, Judith Rodin, John E. Sexton, and Kathryn S. Wylde.

A full transcript is available here:

[http://nycfuture.org/pdf/Transcript\\_of\\_Creative\\_New\\_York\\_Conference.pdf](http://nycfuture.org/pdf/Transcript_of_Creative_New_York_Conference.pdf)

### November 2002. The Future of Arts and Culture and Economic Development.

Sponsored in part by the Rockefeller Foundation, this conference brought together a variety of leaders across fields to discuss the future of arts and culture in NYC.

More information available here: <http://nycfuture.org/events/event/the-future-of-arts-culture-and-economic-development>

## **Organizations Assessing State of/Advocating for Arts and Culture**

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### One Percent for Culture

One Percent for Culture is a nonpartisan, grassroots, five-borough campaign whose mission is to demonstrate the value of culture to New York City. The campaign seeks to generate support for an increase in the city's financial commitment to the nonprofit cultural community, including artists of all disciplines, to a full one percent of the municipal expense budget. The coalition was launched in 2010 with the goal of educating New Yorkers about the value of nonprofit culture in NYC. The steering committee includes: Frederick Beinecke, Randall Bourscheidt, Patricia Cruz, John Calvelli, Adam Huttler, Richard Kessler, Norma Munn, Cristyne Nicholas, and Voza Rivers. The advocacy group has an operating budget of \$150,000 and more than 550 coalition partners.

<http://www.oneforculture.org/>

### Naturally Occurring Cultural Districts-New York

NOCD-NY emerged from a series of roundtable conversations, between 2010 and 2011, where artists, activists, creative manufacturers, nonprofit groups, and policymakers convened to discuss the role that arts and culture play in strengthening New York City communities. By late summer 2011, NOCD-NY grew into a working alliance, generating a sustained commitment and citywide platform for revitalizing New York City from the neighborhood up. This group receives support from: the Rockefeller Foundation's NYC Cultural Innovation Fund, the New York Community Trust, and others. Organizational members include: Arts and Democracy Project, Bronx Council on the Arts, Fourth Arts Block, Queens Museum of Art, and Staten Island Arts. The work group's policy goals are outlined here: <http://nocdny.org/policy-priorities/>

This group participated in the event Talking Transition (see Conferences and Events above). It put together a talk on "Culture at the Table" with the Arts and Democracy Project, which resulted in recommendations for the new mayor including: embedding artists into resiliency efforts, developing a job description for a Commissioner of Cultural Affairs that supports cultural equity, and producing an Artist Policy Bootcamp. You can watch the conversation here:

<http://cultureatthetable.splashthat.com/>

On September 12, 2013, the group convened "Valuing the Intersection between Arts, Culture and Community: An Exchange of Research and Practice." The goal was to join together to demonstrate the essence and value of arts and culture in communities and for the city and to identify opportunities and strategies for becoming part of broader conversations about rebuilding, community

revitalization, health, and the city's political leadership transition. The hope was that the exchange would strengthen a network of allies who could continue to be resources for one another.

A report on the meeting is available here:

<http://nocdnydotorg.files.wordpress.com/2014/03/research-and-practice-exchange.pdf>

### No Longer Empty

No Longer Empty's mission is to widen the public engagement with contemporary art, to promote the work of artists, and to build resilience in communities through art. They do so by presenting professionally curated, site-specific art exhibitions in the heart of communities.

The group and its projects are supported by NYCulture, Foundation for Contemporary Arts, Lower Manhattan Cultural Council, New York Council for the Humanities, Deutsche Bank, and WNYC, among others.

<http://www.nolongerempty.org/home/>

### Emerging Leaders of New York Arts

Emerging Leaders of New York Arts (ELNYA) is a New York City-based networking and professional development group that explores new ideas, best practices, and challenges in the field of arts management. Membership includes an evolving group of arts administrators in their 20s and 30s.. ELNYA's activities vary from casual networking happy hours to content-based panel conversations and peer-to-peer dialogues. ELNYA also maintains a website through which members discuss issues relevant to young arts administrators, announce events, and share relevant opportunities from other organizations.

This group held a conversation at Talking Transitions (see Conferences and Events above), the goal of which was to draft an open letter to Mayor de Blasio and the new commissioner. The letter presented: "18 Ways New York City Can Engage Culture as a Civic Partner and Support the Arts." The letter and recommendations are at: <http://www.elnya.org/2014/04/07/a-letter-to-mayor-de-blasio-and-nycs-new-dca-commissioner/>

<http://www.elnya.org/about/>

### NYC Arts Coalition: Call to Action

On January 23, 2013, the NYC Arts Coalition put out a "Call to Action" asking individuals to contact their house representative and senator to advocate for more funding for the National Endowment for the Arts. This call was put out in response to the budget put forth by Governor Cuomo in January 2013, which proposed essentially level funding the upcoming fiscal year.

<http://nycartscoalition.org/action>

*Prepared by Erin F. Johnston, June 2014*