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Nonprofits Capacity Building Program (NCBP)
December 13, 1999 – DRAFT

In order to create a stronger and more effective nonprofit sector the Nonprofit Capacity Building Program (NCBP) would provide capacity and technical assistance to train and manage assistance for nonprofit and community-based organizations through development centers nationwide.

The NCBPs would provide counseling, training and technical assistance in all aspects of nonprofit management. These services may include: assisting nonprofits with start-up, budgeting and financial management, marketing, fundraising, board development, technology assistance, volunteer management, human resources, strategic planning, personnel management and program evaluation. They could also assist in creating and maintaining a centralized access point of information and databases about nonprofit organizations.

The structure of the program could be through grants made by a federal agency (i.e., HUD) to statewide nonprofit associations or technical assistance providers 501(c)(3) organizations that would then provide services to other nonprofit and community-based organizations.

Funding

Funding for the NCBP is proposed to be at \$50 million per year. A federal grant-making partner will provide up to 50 percent of the operating funds for each state NCBP. Matching funds, either in the form of direct contributions or in-kind support must be provided by one or more sponsors. In addition, membership dues and earned income may be included among the matching fund totals.

Eligibility

In each state, there will be a lead organization (LO) that will sponsor the NCBP and manage the program. The lead organization will eventually be responsible for coordinating program services offered to nonprofit organizations through a network of subcenters and satellite locations in each state. Each LO must provide for inclusive planning, evaluation, the involvement of a broad range of nonprofits and fair decision-making. At least 80 percent of the federal funds must be used to provide actual services to nonprofit organizations.

Eligible to apply are statewide nonprofit associations whose membership are open to all 501(c)(3) organizations, or other 501(c)(3) nonprofit technical assistance providers which provide management assistance to nonprofit institutions on a state level.

To qualify for funds, a provider must be a 501(c)(3) tax-exempt organization, have its own board, open to serve all 501(c)(3) nonprofit organizations in the state in which it is located, and demonstrate a level of experience and achievement in providing management assistance to nonprofit organizations.

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Use of Funds

The four main objectives of the NCBP program are to:

1. strengthen the capacity and effectiveness of the nonprofit community;
2. increase community development;
3. assist a wide range of nonprofit organizations regardless of their size and institutional development; and
4. broaden the technical and management assistance delivery system to more nonprofit organizations.

Selection Criteria

In reviewing NCBP proposals, the federal grant-making entity will consider:

1. the applicant's ability to contribute matching funds;
2. the quality of prior performance;
3. evaluation of accomplishments in relation to clearly defined objectives;
4. evidence of efforts to leverage resources and effectiveness through public and/or private partnerships;
5. consideration of opportunities to use new technology to better serve nonprofit organizations; and
6. strategic partnerships with technical providers, consultants and academic institutions.

Outcomes

This initiative will better equip nonprofits executives, board members and community leaders with the knowledge and skills in management and governance to improve their organization's performance and service delivery. The NCBP will emphasize the importance of planning, strategic communications, alliances and restructuring, the use of evolving technologies, and evaluation and accountability with the nonprofits it works with. Among the key objectives of this initiative:

1. provide nonprofit boards with the highest quality management and technical assistance services specifically designed to meet their needs, resources and goals;
2. bring about cost effective, sustainable changes that strengthen nonprofits, their boards, and the services they can offer their clients.
3. customized and convenient access to accurate and timely data and information for nonprofit organizations;
4. the development, promotion and institutionalization of best practices and standards; and
5. improved technology acquisition and application.

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**Social Venture Capital Formation as a Model for
"The Neighborhood Improvement Tax Credit"
December 13, 1999 - DRAFT**

The venture capital model is a comprehensive investment approach that sets clear performance objectives, manages risk through close monitoring and frequent assistance, and plans the next stage of funding well in advance. Many forms of charitable giving through individuals, corporations and foundations have experienced difficulty in finding ways to support their grantees in longer term, more sustainable ways. Because organizational underpinnings were not in place, many innovative programs have not lived up to their initial promise. The venture capital model can act as a starting point for grantees that want to help nonprofits develop the organizational capacity to sustain and expand successful programs.

One idea to promote the type of giving that mimics "venture capital" giving is to allow a tax credit (greater than the current deduction for charitable gifts) to corporations and individuals who make certain types of contributions to "neighborhood organizations" engaged in educational, social and economic services to aid impoverished people. Tax-exempt entities such as private foundations could be encouraged to engage in these activities by offsetting certain taxes they are required to pay, such as tax on investment income. To be eligible for the credit, obligors would have to: 1) give to a local organization; 2) make a contribution over a certain length of time; and 3) apply with an IRS tax exempt non-profit in submitting a joint proposal. The initiative encourages businesses to form more committed partnerships with grantees in order to achieve the long-term goals of the nonprofit organization.

Eligible Services

In order to be considered for the "Neighborhood Improvement Tax Credit (NITC), all proposals must identify services according to the categories listed below. No services other than those described below are eligible for the tax credit. Eligible services must benefit low-income persons.

1. *Community Services* – Any type of counseling and advice, emergency assistance or medical care furnished to individuals or groups in an impoverished area.
2. *Crime Prevention* – Any activity which aids in the reduction of crime in an impoverished area.
3. *Education* – Scholastic instruction or scholarship assistance to individuals who reside in an impoverished area that enables them to meet educational requirements or otherwise prepare for better life opportunities.
4. *Job Training* – Instruction for low-income individuals which enables them to acquire vocational skills so that they may be employable or be able to seek a higher grade of employment.
5. *Neighborhood Assistance* –Furnishing financial assistance, labor, material or technical advice

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to aid in the physical improvement of a part or all of an impoverished area. Such projects may include the rehabilitation of buildings to provide affordable housing to low income persons

Community Partnerships

The corporation eligible for the NITC by partnering with a local nonprofit is expected to agree to provide the following:

- Presupposes expertise*
1. A statement of purpose for each participating corporation which identifies its role and responsibility in the NITC and the benefit to the community.
 1. A long-term funding commitment to the community partnership which will provide operating support for the nonprofit organization.
 3. Technical resources and in-kind support as necessary, such as accounting services, and management assistance.



Nonprofit Capacity Building Program

A draft proposal of the

National Council of Nonprofit Associations - NCNA

Committee Members:

Drew Hastings, Co-Chair, Delaware Association of Nonprofit Agencies
Florence Green, Co-Chair, California Association of Nonprofits
Nathan Woodliff-Stanley, Mississippi Center for Nonprofits
Peter Berns, Maryland Nonprofits
Melissa Flournoy, Louisiana Association of Nonprofits
Jon Pratt, Minnesota Council of Nonprofits
Hedy Helsell, Center for Nonprofit Management
Pamela Davis, National Insurance Alliance Council

Audrey Alvarado, National Council of Nonprofit Associations

September, 1999

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Preamble

Attached is a working draft of our proposal for the creation of a Nonprofit Capacity Building Program. Although this document has been reviewed by a number of state association executives, we recognize that this proposal requires additional editing, and that a detailed strategy in securing funding for this proposal needs to be developed. Due to the current political condition at the federal level, as well as other issues arising within the nonprofit sector, we respectfully request that NCNA's Board of Directors endorse this proposal, and place it among its primary strategic objectives.

Program Purpose

The Nonprofit Capacity Building Program (NCBP) will be established to provide training and management assistance for nonprofit and community-based organizations through development centers located nationwide.

This program would have a profound impact on improving the performance of the more than 1 million nonprofit institutions in United States. Among the key outcomes of this initiative:

- Provide organizations with the highest quality management and technical assistance services specifically designed for nonprofit executives, their boards, staffs and volunteers that meet their needs, resources and goals; and
- Bring about cost effective, sustainable changes that strengthen organizations and the services they can offer their clients.

This project will also directly impact economic revitalization efforts throughout country. More than just creating economic opportunities, the nonprofit sector works to protect the environment, preserve historic buildings and artifacts, document our history and culture, discover cures to disease, expand the educational knowledge of our children, and more. All these activities and more help to improve our nation's quality of life, enhance its business climate, and reduce the tax burden on our citizens.

Annual Federal Appropriation

Funding for NCBP is proposed to be at \$50 million per year for the first three years, with the expectation that the program's funding will be adjusted to account for inflation.

Existing Federal Initiatives

To place this program in some type of context, the program we seek to develop is similar to the National Endowment for the Arts' agreement programs for state arts agencies, and the Small Business Administration's Small Business Development Center projects.

To provide comparative benchmarks, we reviewed both of these programs in terms of federal allocations and number of organizations served in Delaware in FY97.

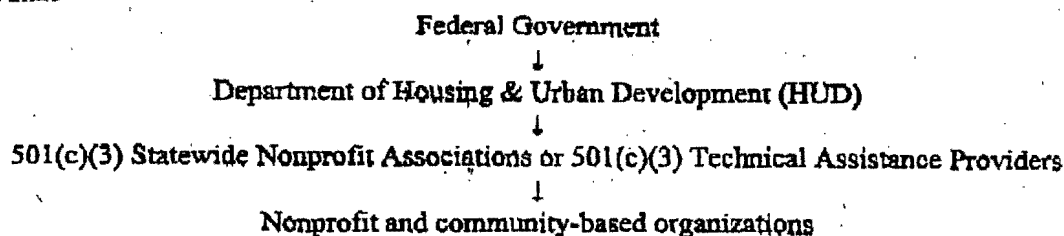
Program	Tot. Fed. Appropriation	Delaware Appropriation	Agencies Served in DE
Nonprofit Capacity Building Program	\$50 million*	\$250,000 minimum	2,100
NEA/State Arts Agency Program	\$32 million	\$200,000 minimum	145
Small Business Development Center	\$57.5 million**	\$250,000 minimum	Unknown at this time

* Proposed federal appropriation.

** It should be noted that if you include federal appropriations for SCORE (Service Corps of Retired Executives), Business Information Centers, Enterprise Zone One-Stop Capital Shops, Minority Business Development and Women-Owned Business Development the total federal support exceeds \$95 million for small business development in FY97.

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Flow of Funds

It should be noted that a small portion of funds (\$3-5 million) would be available to National Service Organizations (see *National Service Organizations* below).

Eligibility

Eligible to apply are statewide nonprofit associations (SNAs) whose membership are open to all 501(c)(3) organizations, or other 501(c)(3) nonprofit technical assistance providers (NTAPs) which provide management assistance to nonprofit institutions on a state level, and organizations providing services at a national level to state associations (see the listing at the end of this program description).

To qualify for funds, an SNA must: be a 501(c)(3) tax-exempt organization; have its own board; open to serve all 501(c)(3) nonprofit organizations in the state in which it is located; demonstrate a level of experience and achievement in providing management assistance to nonprofit organizations.

Nonprofit organizations and individuals may apply to the SNA or NTAP for a subgrant, but may not apply directly to the Department of Housing & Urban Development for grant support under this program.

Uses of the Funds

Through the Nonprofit Capacity Building Program (NCBP), the Department of Housing & Urban Development (HUD) supports a nationwide network through which nonprofit organizations and emerging community-based institutions can obtain free consulting support and technical assistance.

The NCBP program has four main objectives:

- (a) to strengthen the capacity and effectiveness of the nonprofit community;
- (b) to increase community development;
- (c) to assist a wide range of nonprofit organizations regardless of their size and institutional development; and
- (d) to broaden the technical and management assistance delivery system to more nonprofit organizations.

Lead Organizations

In each state, there will be a lead organization (LO) that will sponsor the NCBP and manage the program. The lead organization will be responsible for coordinating program services offered to nonprofit organizations through a network of subcenters and satellite locations in each state. Each LO tailor its assistance to the local community and needs of individual clients. The LO must provide for inclusive planning, evaluation, the involvement of a broad range of nonprofits, fair decision-making, and efforts to encourage public awareness and appreciation of the impact and achievements of nonprofit institutions. At least 80 percent of the federal funds must be used to provide actual services to nonprofit organizations. Wherever possible, LOs will use volunteers and other low-cost resources.

Nonprofit Development Centers

Each Nonprofit Development Center (NDC) would have a director, staff members, volunteers and part-time personnel. Among those donating their services would include: qualified individuals recruited from

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professional and trade associations, the legal and accounting communities, academia, and Executive Service Corps. NDCs will also use paid consultants, management support organizations, and others from the public, private and nonprofit sectors to help clients who need specialized expertise.

Statewide Impact

LOs will be required to meet the following specific requirements:

1. locate subcenters so that they are as accessible as possible to nonprofit organizations throughout the state;
2. open all subcenters at least 40 hours per week, or during the normal business hours of its state or academic organizations, throughout the year;
3. develop working relationships with legal institutions, accounting firms, public relations community, professional associations, private consultants, and nonprofit groups; and
4. maintain a list of private consultants and technical assistance providers at each subcenter.

Anyone who is interested in starting a nonprofit for the first time, or improving or expanding an existing nonprofit organization, but who cannot afford the services of a private consultant, may receive services from either the LO or NDC.

NDCs will provide counseling, training, and technical assistance in all aspects of nonprofit management. These services may include, but are not limited to:

- assist nonprofit organizations with nonprofit start-up, budgeting and financial management, marketing, fundraising, board development, volunteer management, human resources, strategic planning, personnel management, and program evaluation.
- special NDC programs and community development activities include technical assistance, procurement assistance, and executive transition services.
- creating and maintaining a centralized access point of information and databases about nonprofit organizations.

NCBPs are permitted to charge clients a reasonable fee to cover the costs of training sponsored or co-sponsored by the NCBP, costs of services provided by or obtained from third parties, or the costs of providing specialized services. Reasonable fees may also be charged for counseling services.

NCBPs will also make special effort to reach emerging nonprofit organizations, and those located in empowerment zones and communities, and rural environments. Assistance will be provided to both current and potential nonprofit leaders.

Matching Funds

HUD will provide up to 50 percent of the operating funds for each state NCBP. Matching funds, either in the form of direct contributions or in-kind support, must be provided by one or more sponsors. Sponsors may include: state legislators; corporate grantmakers, private and community foundations; state and local chambers of commerce; local United Ways; public and private universities; vocational and technical schools; and community colleges. In addition, membership dues and earned income may be included among the matching fund totals.

Application Process

Cooperative agreement awards would be made for a period of one year; however, it would be assumed that HUD would typically renew existing recipient organizations. As a result, there would not be many opportunities to obtain new grant awards to operate an NCBP network. Renewal applications would have to contain any information required HUD.

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Should HUD decline to renew an existing recipient, or should an existing recipient choose not to reapply for funding, HUD may accept applications from other organizations interested in becoming a new recipient in that area.

The application must include a copy of the organization's 501(c)(3) tax-exempt confirmation letter, basic information about the provider, the geographic area to be served, sources of funding, long-range plans, proposed strategies and activities; partnerships; budget and personnel to be involved in operating the network. Other documentation as required by HUD must also be included.

Individuals and nonprofit organizations interested in receiving services may contact the appropriate subcenter at any time.

Selection Criteria

In reviewing NCBP proposals, HUD will consider:

1. the applicant's ability to contribute matching funds;
2. the quality of prior performance;
3. evaluation of accomplishments in relation to clearly defined objectives;
4. evidence of efforts to leverage resources and effectiveness through public and/or private partnerships;
5. consideration of opportunities to use new technology to better serve nonprofit organizations;
6. strategic partnerships with technical providers, consultants, and academic institutions.

HUD may choose to approve an applicant on a "conditional" basis. In such a case, the award will be for one or more specified periods of time up to one full budget period (one year). Within the allotted time, the provider must resolve the specific matter to HUD's satisfaction, or funding may be discontinued.

Appropriations

Range of Awards

Cooperative agreements are for a period of one year. Funds are distributed according to a population-based formula, except that each SNA will receive no less than \$250,000 each year, subject to the availability of appropriated funds.

National Service Organizations (NSOs)

HUD may also make a small portion of funds (\$2-3 million) available to support national services provided by membership organizations of SNAs and NTAPs. Funds may be used to provide leadership, training, planning, coordination and information services that improve accountability, and to help best practices and tools. In addition, NSOs will provide technical assistance to lead organizations in establishing and institutionalizing their programs.

Outcomes

The NCBP will have a profound impact on improving the performance of nonprofit institutions in the United States. This initiative will better equip nonprofit executives, board members, and community leaders with the knowledge and skills in management and governance to improve their organization's performance and service delivery. The NCBP will emphasize the importance of planning, strategic communications, alliances and restructuring, the use of evolving technologies, and evaluation and accountability with the nonprofits it works. Among the key objectives of this initiative:

- Provide nonprofit boards with the highest quality management and technical assistance services specifically designed to meet their needs, resources and goals; and

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- Bring about cost effective, sustainable changes that strengthen nonprofits, their boards, and the services they can offer their clients.
- Customized and convenient access to accurate and timely data and information for nonprofit organizations;
- The development, promotion and institutionalization of best practices and standards;
- Improved technology acquisition and application at organizationally appropriate level.

The ultimate results will be stronger, more effective nonprofits, and collectively, a stronger, more effective nonprofit sector.

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Glossary of Terms

LO = Lead Organization. This is the organization that will coordinate the program throughout the state. In the case of small states the LO and NDC will be the same entity. In the case of larger states, the LO will set up and/or contract with existing institutions to create NDCs throughout its state.

NDC = Nonprofit Development Center. The physical location where nonprofit management and technical assistance will originate.

NTAP = Nonprofit Technical Assistance Provider. A nonprofit institution providing management and/or technical assistance to nonprofits.

NSO = National Service Organization. Nonprofit organizations with a national mandate that provide management and/or technical assistance to nonprofits.

Working list of Potential Partners & Allies

Alliance for Justice

Alliance for Nonprofit Management

Aspen Institute

Council on Foundations

Grantmakers for Effective Organizations (co-chaired by Barbara Kibbe, Packard Foundation, and Maryanne Holohean, Meyer Foundation)

Independent Sector

National Center for Nonprofit Boards

National Center of Charitable Statistics

National Society of Fundraising Executives

OMB Watch

Points of Light Foundation

United Way of America

Please add additional organizations in the space below:

THE WHITE HOUSE
Office of the Press Secretary

For Immediate Release

October 22, 1999

October 22, 1999

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Supporting the Role of Nonprofit Organizations:
 Interagency Task Force on Nonprofits and
 Government

The United States is the most generous Nation on Earth. In 1998, an estimated \$175 billion was given by American individuals, communities, foundations, corporations, and other private philanthropies to a wide variety of causes and organizations. Individuals accounted for 85 percent of all contributions in 1998 and their giving has increased by almost one-third since 1995. And over the next 20 years, approximately \$12 trillion in wealth is expected to be transferred from one generation to the next -- more than \$1 trillion of which will flow to nonprofit organizations through charitable giving.

In many cases it is nonprofit organizations that convert philanthropy into results -- helping people in need, providing health care and educating our Nation's youth. The nonprofit sector is an integral component of our national life, encompassing more than one and a half million organizations with operating expenditures in excess of \$600 billion. But more telling than the dollar figures is the new spirit of service and civic activism that nonprofits of every kind are now exhibiting. We are today in the midst of a nonprofit boom, a time when the activities of this sector are becoming ever more creative and entrepreneurial.

Nonprofits are uniquely able to identify problems, mobilize fresh thinking and energy, care for those in need on a human scale, and promote social change at the community level. As this sector grows in size and importance, there is an ever greater opportunity to forge partnerships that include Government, nonprofit groups, businesses, and citizens to address pressing public problems. There are already many ways that nonprofits work closely with the Federal Government. For example, Federal grant programs from the National Science Foundation and the

National Institutes of Health assist non-profit research institutions that search for cures to cancer. And the Corporation for National Service works with nonprofits throughout the Nation to provide after-school and tutoring programs. Our challenge in this time of burgeoning social entrepreneurship is to encourage Government, nonprofits, and others to work together more meaningfully.

Therefore, today I direct the Assistants to the President for Domestic Policy and Economic Policy and the Chief of Staff to the First Lady to convene an Interagency Task Force on Nonprofits and Government ("Task Force"). The purpose of this Task Force will be twofold: first, to identify current forms of collaboration between the Federal Government and nonprofits; and second, to evaluate ways this collaboration can be improved.

Structure of the Task Force

The Assistant to the President for Domestic Policy, the Assistant to the President for Economic Policy, and the Assistant to the President and Chief of Staff to the First Lady will jointly Chair the Task Force. The Office of the Vice President, the Office of Management and Budget, and the Council of Economic Advisers will be regular participants.

The Task Force shall be composed of the following members:

- (1) Secretary of the Treasury
- (2) Attorney General
- (3) Secretary of the Interior
- (4) Secretary of Agriculture
- (5) Secretary of Commerce
- (6) Secretary of Labor
- (7) Secretary of Health and Human Services
- (8) Secretary of Housing and Urban Development
- (9) Secretary of Transportation
- (10) Secretary of Education
- (11) Administrator of the Small Business Administration
- (12) Chief Executive Officer of the Corporation for National and Community Service

The Chairs of the Task Force may add such other officials and independent agencies as they deem appropriate to further the purposes of this effort or to participate in specific aspects of it. The Chairs, after consultation with Task Force members, will appoint staff members to coordinate the Task Force's efforts. The Chairs may call upon the participating agencies for logistical support to the Task Force, as necessary. Members of the Task Force may delegate their responsibilities under this memorandum to subordinates. During its work, the Task Force will consult regularly with the nonprofit sector.

Objectives of the Task Force

The Task Force will:

1. Develop a public inventory of "best practices" in existing collaborations between Federal agency programs and nonprofit organizations. In cooperation with the nonprofit sector, the Task Force will work to apply these leading models to other Government efforts. For example, cross-agency initiatives that reflect the community-wide focus of many nonprofits could be highlighted and replicated. The Task Force will also examine ways that Federal agencies can better draw upon the experience and innovations of nonprofits in the development of public policy.
2. Evaluate data and research trends on nonprofits and philanthropy. Understanding the significance of the relationship between the nonprofit and Government sectors requires an understanding of the impact that the nonprofit sector has on the economy and on public policy. For example, the Council of Economic Advisers should undertake an analysis of existing data from the private and nonprofit sectors concerning the role of philanthropy in our economy, including an examination of the factors that affect giving and an investigation of trends that are likely to affect future giving. The Task Force will also coordinate agency efforts to identify the contributions made by the nonprofit sector and information regarding philanthropic activity.
3. Develop further policy responses. The Task Force will meet to discuss new findings and to consider new or modified Administration policy responses. For example, the Task Force will work with the non-profit sector and others to explore ways to encourage philanthropy and service, efforts to help nonprofits develop and grow (including "venture philanthropy"), opportunities for closer collaboration on research and in meeting local needs, and ways to reduce governmental barriers to innovative nonprofit enterprises.

From time to time, the Task Force will report to me on the results of its efforts.

General Provisions

This memorandum is intended only for internal management of the executive branch. This memorandum is not intended, and should not be construed, to create any right, benefit, or trust responsibility, substantive or procedural, enforceable at law or equity by a party against the United States, its agencies, its officers, or its employees. This memorandum shall not be construed to create any right to judicial review involving the compliance or noncompliance with this memorandum by the United States, its agencies, its officers, or any other person.

WILLIAM J. CLINTON

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POLITICS, IDEAS, AND CIVIC LIFE IN MASSACHUSETTS

THE WORD ON THE STREET

Boston's street
ministers reach out
to youths in trouble.

How to save souls?

Start by saving lives.

*Streetworkers Mark Scott,
Teny Gross, and Larry Mayes*



the Street MINISTERS

*For urban youth, the city offers
a world of trouble. Here's a
behind-the-scenes look at how
a group of Boston streetworkers
is doing a world of good.*

LARRY MAYES IS PACING THE HALLWAY OF Dorchester District Court like a man on a mission. Mayes is a youth outreach worker, more commonly known as a "streetworker," who is employed by the Ella J. Baker House in Boston's Four Corners neighborhood, not far from the courthouse. He's here to advocate for a man we'll call "Mario," a 25-year-old Cape Verdean who has surrendered to authorities one year after skipping out on assault and battery charges. Mayes wants to keep Mario out of jail. "If I can somehow get strict probation or we get another hearing, it's a huge win," Mayes says as he waits anxiously for the case to be called.

It would be a victory for Mario, but Mayes is thinking about more than that. It would be a big win for the new way business is being done on the city streets and in its courts.

A spate of shootings among rival Cape Verdean groups had punctured the calm of a quiet summer on the streets, and the police were ready to crack down. They were going to arrest a number of youths who had outstanding warrants, and Mario was on their list. Before making their move, however, police officials did some-

BY MICHAEL JONAS
PHOTOS BY WILLIAM MOREE

thing unheard of in most big-city departments: They handed their warrant list to local ministers and gave them 10 days to get the wayward wanted to come in on their own.

Rev. Filipe Teixeira, a 33-year-old priest who ministers to Cape Verdean youths in Boston's Roxbury and Dorchester neighborhoods, and Rev. Eugene Rivers, the outspoken leader of the Azusa Christian Community, an urban ministry that operates the Baker House, paid a visit to Mario's mother. After the ministers left, Mario's mother contacted her son, who months earlier had fled to a city outside Boston, and begged him to settle his accounts with the law. Mario decided to turn himself in.

"I'm shocked that he called, I'm not lying," says Mayes. "A lot of these kids are hard heads."

Mario still has to face the earlier charges. And because he defaulted before, he could be heading to jail on high bail until his trial, months down the road. But because Mario came in on his own, Mayes and Teixeira are hoping the judge will release him under tight supervision pending the trial. They also hope such an outcome might lead other young Cape Verdeans to come clean on their outstanding warrants. Teixeira thinks Mario might even be willing to work with him to steer other youths in the community away from trouble.

The case looks like just one more chapter in the endless tale of broken lives and laws that is being told at the Dorchester court on this steamy July morning. But as Mayes and Teixeira confer in the hallway, and Mario's mother waits inside the courtroom wearing a worried look, what's unfolding is another small test of Boston's nationally acclaimed approach to stemming gang violence and youth crime. Fittingly enough, a streetworker from the Ella J. Baker House is in the thick of it.

TAKING IT TO THE STREETS

All kinds of new lines of communication have developed among the many groups in Boston touched by youth crime—from police to preachers, probation officers to school officials. And credit for Boston's success in reducing violence has been widely shared, too. But at the heart of the effort has been the willingness of Rivers and some other church leaders in the city's black community to lay claim to the streets and to the young men leading lost lives there. "Without the ministers," says Boston police Capt. Robert Dunford, who oversees the Four Corners area, "I think the whole thing would have been built on sand."

Much of this ministering is being done by a cadre of streetworkers whose job is to be available—night and day—to youths on the edge of trouble. In 1990, the City of Boston sent four outreach workers into the streets, combing the neighborhoods, trying to redirect gang members away from the downward spiral of drugs and guns. The city's streetworker program has now grown to 30 positions—although high turnover and low salaries left eight



**"Without the ministers...
the whole thing would
have been built on sand."**

of those slots unfilled this summer. The state Department of Public Health funds an additional half dozen streetworker positions. Community health centers and other service agencies throughout the city have outreach teams whose stated mission may be HIV education or teen pregnancy prevention, but who represent another form of streetworker. And community groups such as Teen Empowerment in the South End and the Dorchester Youth Collaborative provide outreach targeted to specific city neighborhoods. All told, says Tracy Litthcut, the city's director of youth services, there are more than 100 people citywide interacting full-time with young people "out on the street level."

But the churches have laid the foundation for the city's anti-crime efforts. The Ten Point Coalition, formed in 1992, brought new voices of moral authority to the

campaign against crime: Rev. Rivers, Rev. Ray Hammond and Rev. Jeffrey Brown, among others. The Baker House has become a cornerstone of the outreach work. Operating out of a three-story house in the middle of the tough Four Corners neighborhood, Rivers and a full-time staff of nine direct a range of programs for area youths. Their specific duties aside, the Baker House staff act ultimately as front-line soldiers in a crusade to reclaim young lives marked by fatherlessness, low expectations, and a street culture where jail time is more rite of passage than badge of shame.

The work involves more than just keeping the peace.



At work in and around Dorchester: Teny Gross, Larry Mayes, and (above) Mark Scott. Below right: Rev. Eugene Rivers.

Sometimes it means negotiating a return to school or brokering a deal with state juvenile authorities to keep a teen out of detention but under the close watch of a Baker House worker. Just as often, it means simply spending time with young people who have few real mentors in their lives, acting as social counterweights to the fast-paced street life that tugs constantly at young men in the city's minority neighborhoods.

Larry Mayes speaks of the need to embrace young urban outlaws. Sometimes that means going to the prisons and ministering to them there. He sees his work partly as a Christian-inspired propaganda campaign. "Who has the loudest voice, who has the most influence?" he asks. "I'm out to prove to these kids that I can be more authentic than their own friends. A lot of times when they get arrested their friends go bye-bye. No one shows up to visit them in jail. We do."

And sometimes it means going to court on behalf of someone like Mario. Having worked with police to bring

DEATH AT AN EARLY AGE

Gene Rivers landed in Boston's Four Corners neighborhood in 1988, determined to make a difference in one of the city's most violence-racked neighborhoods. "We didn't know what we were moving into," says the 49-year-old Pentecostal minister and Harvard dropout. Twice his house was hit by gunfire, once the shots piercing the bedroom where Rivers' young son was sleeping. "There were no atheists in the foxholes," Rivers says.

"The only way you have a major impact is to live there," says Rivers, who has regularly roiled the waters of the black establishment, calling on leading black academics and religious leaders to match high-minded rhetoric with street corner resolve. "We learned that from the Catholics. We learned it from the drug dealers."

One drug dealer in particular made a deep impression on Rivers and his fellow activists who moved into the neighborhood in the late '80s and early '90s. With an AK-47 at his disposal and customers logged on a computer, Selven Brown was a dangerous but bright hood. He made it clear why gang life and drug dealing had the upper hand in Four Corners. In a neighborhood with few positive adult role models, and where most young males had no father in their life, Brown told the Azusa activists, "I'm here, you're not. I win, you lose."

"He said, 'I'm going to beat you guys forever,'" recalls Mark Scott, the 37-year-old director of the Baker House programs.

Despite his taunt, Brown, whom Rivers calls "an intellectual in his own right," struggled to leave "the life." At one point, the Azusa activists helped send him to a small Alabama college. But he was back before the school year ended, and took a deep slide down. On a July night in 1993, Brown became one more victim of the streets, dead of a drug overdose at age 27.

Rivers calls Brown a "mentor" who gave the Azusa activists "an introduction to a universe that none of the black leadership in the city had any clue about." And the day before he died, says Rivers, Brown offered an eerily premonitory parting comment. "He said, 'I may be damaged goods. What you gotta do is get the children. Save the kids.'" —MICHAEL JONAS



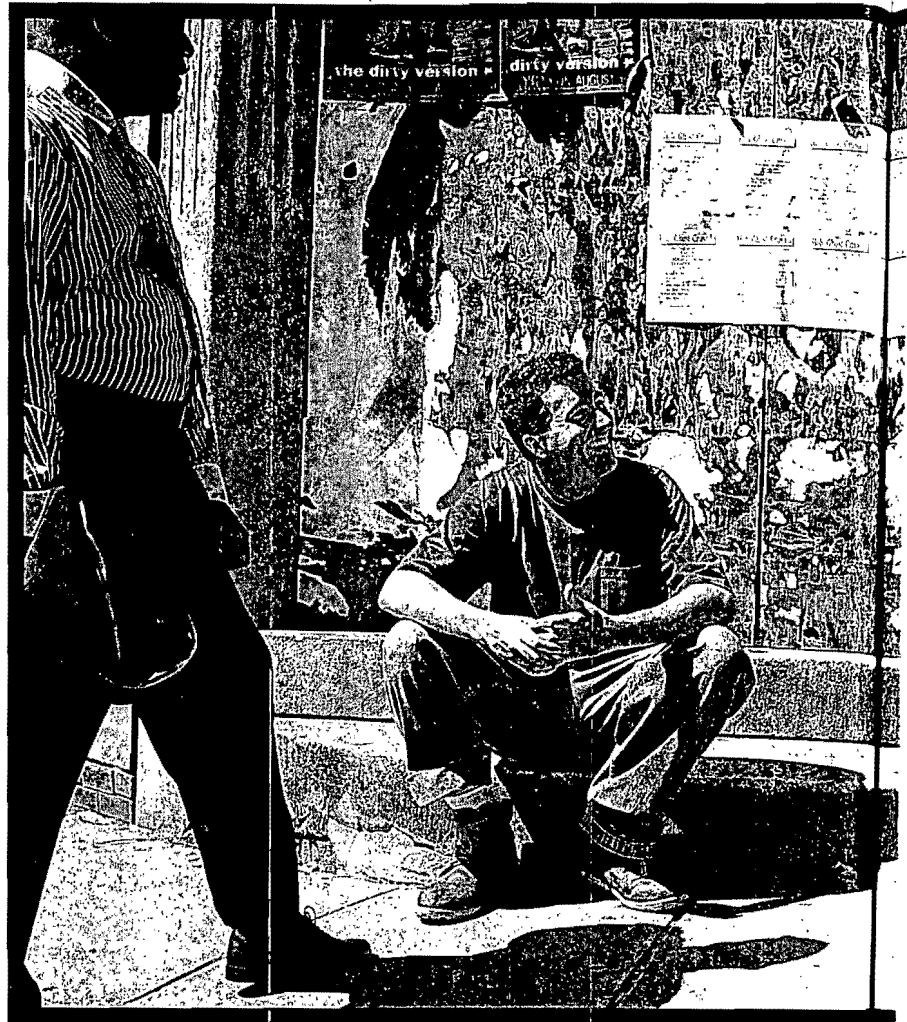
MARK GARFINKEL / BOSTON HERALD

him into the system, Mayes and his compatriots believe it's time to balance justice with mercy. They think Mario is ready to turn the corner on crime. It's a gamble, but one not taken on blind faith. It comes of an effort to look into the hearts of young people who are shunned or feared by most adults.

KEEPING THE FAITH, KEEPING THE PEACE

In 1995, the Azusa Christian Community opened the Ella J. Baker House on Washington Street, the main artery through the Four Corners neighborhood. Named for a founder of the Southern Christian Leadership Conference, the building was a burned-out former crack den. Fully renovated, it now houses the Azusa youth center and worship services.

Topped off by a smart, four-color Victorian paint job, the Baker House is a beacon of the "faith-based" approach to social problems now in vogue. The concept landed Rivers on the cover of *Newsweek* magazine last year, and it had Al Gore and George W. Bush jockeying this summer over who could pledge greater allegiance. The Azusa activists, however, have been at it in Four Corners for more than a decade. And the approach had some currency



**"We sell values here. We're saying there's
a normal world here. Let's get you back in it."**

before that, too, says Mark Scott, the 37-year-old director of the Baker House programs. "Not a new idea, about 2,000 years old," he says.

Scott, who moved to Four Corners a decade ago to join Rivers's church, gave up his job as a librarian two years ago to work full-time at the Baker House. "For me," he says, "Jesus sided with the poor, and all those Scriptures side with the poor and the alien and the prisoner and the down-trodden, and there's no getting off the hook."

Raised as a Catholic on Chicago's South Side, Scott is now preparing to become an ordained Pentecostal minister. With a master's degree in library science, he was, like most of the Azusa members, on a decidedly middle-class, professional trajectory before responding to the pull of strong faith and a belief that its power could be harnessed

to tackle the most desperate problems facing black, inner-city neighborhoods. "All social movements are led by largely, déclassé middle-class intelligentsia," says Rivers, who calls the small Azusa community "a lean, mean, guerrilla machine."

Though the Azusa activists say it is indeed a holy war to save lives that they are waging, there's no Bible-thumping in their dealings with young people, most of whom have had little contact with church life. "It would be meaningless," says Rivers. "You might as well be speaking 12th-century Peloponnesian. And so we don't speak in foreign languages. These people have heard all the B.S. before; they've got to experience God's love. They experience God's love through us loving them, loving them with expressions of sacrifice and commitment and long hours."



Streetcorner society: Scott, Gross, and Mayes say they see a different side of some gang members when they are away from the group.

The Azusa street ministers blend activism with a strong belief in political self-determination, much as Ella Baker and the civil rights activists did in the 1950s and '60s. "The black community is in a serious crisis—it's in dire shape," says Scott. The solutions have "got to come from the community. No outside force is going to be able to come in and say we'll fix this for you. It's an old piece of nationalism that black people have to fix it for themselves. Well, what institution that is part of the community is going to do it? Of all of the institutions that you could look to, the church is the most viable."

There is no shortage of churches in Boston's black community. Between small, storefront ministries and larger congregations, there are more than two dozen churches along Washington Street alone, says Scott. "You feel like—all this God, we shouldn't have any problems," he says. Though a number of churches have stepped forward as

part of Boston's anti-crime efforts, many remain focused inward on their flock, showing little interest in reaching out to youths at the far margins of the community. "The church has not done what it could do or should do," says Scott.

Ultimately, he says, the work with young people is about redemption, an "*a priori* belief that they're created in the image of God, and that they therefore have an unlimited amount of potential." But you have to save lives before you can save souls, and the path to spiritual redemption runs firmly on the ground. You have to "forget the church altogether almost, and be on the street, be in the field, be available right where the kids are," says Scott. "Avoid violence, achieve literacy, access jobs. If they could do those things, that would be success."

HELPING THOSE WHO HELP THEMSELVES

Over the summer, the Baker House runs science and sports camps, and a job-readiness program. The one constant throughout the year—and throughout the night—is the availability of staff to deal with young people in every type

of crisis imaginable, from 2 a.m. calls from a police lock-up to pleas for help from homeless 16-year-olds.

"Like AT&T, I'm in business. Every page will be returned," says Teny Gross, who is paid through the city's streetworker program, but works full time out of the Baker House. The Israeli-born son of a Croatian Jew and Serbian Catholic, the 33-year-old Gross was a photography student at the Museum of Fine Arts when he came to Four Corners in 1990 to do a documentary project on Azusa's outreach work. He never left, and is widely regarded as one of the most committed and effective youth workers in the city.

Gross finds his own reference point for the group's drive to repair black city neighborhoods. "I think Azusa is really a 'Zionist' organization. You cannot ask for others to save you. If you can't build your capacity to save yourself, you are doomed," says Gross, who regards himself as something of an outside helper-soldier in the Azusa army.

Because the Baker House has established a strong foothold in the neighborhood, more and more young people find their way to the building on their own, or are referred by a friend, teacher, or probation officer. Contrary to popular images of streetworkers corralling a crew of teens under a street lamp, Gross generally shuns that approach. "I spend a lot of time with kids alone. I'm not a fan of big groups. There's a lot of bravado going on," says Gross. "Everyone's like high-five, everything's cool. But it's a fake. Inside people are eaten." Though he once had a gun pulled on him on a Mattapan street, Gross calls the street swagger of most young gangbangers "a shell, it's a thin shell of rejection." When they're alone with him, says Gross, "I have some tough gang members who cry with me."

He says the initial stages of gang life—the sense of importance, of belonging—"are truly exhilarating for an inner-city kid." The later stages offer a different scenario. "More and more stress, get shot, in jail," says Gross. "It usually is not a happy ending."

"We sell values here," Gross says of the Baker House. "We're saying there's really a normal world here. Let's get you back into it."

KICKED OUT

"William," a 16-year-old black youth with a muscular build and weary eyes is one of the many teen-agers Gross sees who is living far from the "normal world." Estranged from the aunt and uncle who were raising him, he's been living with grandparents. He's been kicked out of high school, and his grandfather is accusing him of selling drugs, a charge he denies. He also swears off any gang involvement, a claim that Gross later confides he doesn't accept with full confidence.

"My grandfather just disowned me. I'm not even allowed in the house," William tells Gross, sitting in a

meeting room at the Baker House on a late June afternoon. He's been bouncing between places, and his case worker from the Department of Social Services is talking about a foster home. "Practically, I'm a bum, if you ask me," he says. "A bum is a person that don't have no home, and I don't have no real home."

Gross says he can work on getting him back into school, and he offers to go with William to help negotiate a return to his grandparents' home. "I'll do whatever it takes for me to get back in the house," says William. "I'm tired of running. Today I just want to go home, to my own room, and lay down, go to sleep for a couple hours."

Ten days later, William is one of 40 teen-agers who show up for the start of the Baker House summer job-training program. It's the third year that Baker House has run the six-week program, in which teens take part in mock interviews, goal-setting exercises, and get some hands-on experience with computers, carpentry, and other lines of work. They're paid \$5.50 an hour through the city's summer jobs program, and the Boston Private Industry Council provides job placement help. A grant from the police department pays for a van, leased for the summer, and for food consumed during a two-week stay at Camp Edwards army base on Cape Cod.

Last year, 60 teens started the program, but only half made it to the end. It's not a stellar retention rate, but the program doesn't draw from the honor roll. A lot of these young people, says Rivers, are part of "a whole generation of kids beneath the radar screen that aren't going to be doing Boys and Girls Club, YMCA, Big Brother. They're going to be doing time." Indeed, two high-profile gang members were in the program last summer; one of them is now in jail. "You see them in our room, and they're just kids—which they are," says Gross. "Put some of them on the street at night, and you'll be afraid to go on that block. You've got some real players and future players."

One of those they're trying to keep off the streets is a wiry 13-year-old Gross has known for three years. "Barry"

is already a veteran of the Department of Youth Services, the state agency that supervises juvenile offenders. He stopped showing up at school in the spring, and DYS was ready to commit him to a state-run facility. "I negotiated with DYS," says Gross. "He was going to be locked up for six months. The only reason they're not locking him up is because he's coming with me."

"Looks sweet as hell," Gross says of Barry. "I remember him carrying a gun when he was 10. We'll see if we can save him. Everyone else has sort of given up on him." Gross and others at the Baker House often speak in shorthand of

"saving" kids. In reality, they say, they can only show kids a better path to follow; the rest is up to them. "They fix themselves," says Mark Scott, who tells youths, "Decision is destiny—it's really on you."

The prime time for trouble is between ages 14 and 24, say youth workers. After that high-risk period, many settle into more licit lives, driven by a combination of maturity and exhaustion from life on the streets. "I call that the bottleneck," Gross says. "I push you through that, you're probably all right."

For some, the awakening comes earlier.

"I was young and dumb," says Luis Garcia. At 19, he's working as an assistant supervisor in the Baker House job-training program. Just six months earlier, however, he finished a year on probation for receiving stolen vehicles.

Before that, there was a juvenile crack cocaine conviction that landed him in DYS custody for six months.

Last year, Garcia finished his high school G.E.D., and he now hopes to enroll at Roxbury Community College. "It's pretty hard going from negative to positive," says Garcia. He has two daughters, ages 1 and 3, and says they were his motivation to straighten out—as was his mother. "I didn't want my mother looking at me through the bars."

"I'm working with kids telling them right from wrong," he says of his summer job. "But I can't tell them too much, because you have to learn from experience. The negative life—it's bullshit. I look at those kids over there, they don't really realize it."



**"No outside force is
going to come in and say
we'll fix this for you."**

GETTING THE WORD OUT

Everyone agrees the streets are safer and quieter than they were in the early 1990s. Crime levels in Boston are at a 30-year low, and the city's murder rate has plummeted a stunning 78 percent, from a peak of 152 killings in 1990 to just 34 murders last year. During the 30-month period from July 1995 to December 1997, there wasn't a single juvenile homicide victim in Boston. "The good news is almost unbelievable," says Rivers. "It's a different world."

But there are troubling signs that Boston could be in for another wave of gang violence. With many of the most violent homegrown gangs put out of business or suppressed by aggressive policing and prosecution in the mid '90s, local factions of the Bloods and Crips, the notorious Los Angeles street gangs, have begun to fill the vacuum. During a memorial walk in February 1998 for a Dorchester youth cut down by gunfire, Teny Gross and Lieutenant Mike

Hennessey of the Boston school police force talked about the rising temperature on the streets. "We didn't know what we were going to do about it, but we knew we had to do something," recalls Hennessey.

The following month, in the city's Brighton neighborhood, a group of Crips carried out a brutal attack on a Blood with a hammer and machete. Lieutenant Gary French, commander of the Boston police department's anti-gang unit, showed up shortly after that at the Baker House, and within days there had been meetings between leaders of the Ten Point Coalition and law enforcement officials. Cardinal Bernard Law, a stalwart supporter of the Ten Point Coalition, hosted a strategy session at his residence in Brighton, and Mayor Tom Menino convened a City Hall summit with school superintendent Thomas Payzant. With much of the new gang activity taking place at schools—some of it starting among younger, middle

A BAD ENDING

The phone call came in the middle of a Sunday afternoon meeting at the Baker House in late June. Street worker Teny Gross went to answer it. Not wanting to be interrupted during the session, Rev. Eugene Rivers, told him, "Only if it's life or death." It was.

A teen-ager who had once run the streets of Dorchester's Four Corners neighborhood, 17-year-old Elbert Johnson, was wanted for a murder committed over the weekend in Brockton. Johnson was the target of an all-out police manhunt, and had shown up at the Boston home of a surrogate family that helped him out over the years. They called Rivers and asked for his help.

Rivers spent four hours talking to Johnson, and after convincing him his only alternative was to be "hunted down like a dog" by police, Johnson agreed to surrender. At 8 o'clock that night, Rivers and Gross escorted him into the Area C police station in Dorchester.

"Man, it's tough," Rivers said quietly, with uncharacteristic reserve, a few minutes later, standing outside the station in the glow of the fading sun.

For all the success Boston has enjoyed in curbing youth violence, and for all the small victories Rivers, Gross, and others on the front lines chalk up each day, there are still plenty of stories with bad endings. Two days later, Gross still couldn't shake the weekend's events. "It has all the elements of a Greek tragedy," he said. "That second that changes someone's life." Gross said he keeps thinking that "with all the young people we're with, how outnumbered we are, and that kid slipped through."

Johnson was no Boy Scout. He had already racked up an impressive juvenile record, and he was facing outstanding warrants for assault and battery. The early-morning murder Johnson is charged with came during an argument over money, say police. It may have involved drugs. At the same time, it's hard not to see his life as something of a stacked deck. According to Rivers, Johnson's mother served 10 years in prison for mur-

der as he was growing up; he met his father for the first time at his arraignment for murder in Brockton District Court.

"He is a young man, like many other young people, who unfortunately has had to try to raise himself," says Rivers.

The Baker House staff strive to reconcile two beliefs that sometimes pull in opposite directions: that young people need to take responsibility for their lives and actions, and parents and society need to do a far better job raising them so they'll be able to make the right choices. "We build them wrong, and then we try to fix them, which is expensive, and they go through misery until they get their life right, and so many of them don't. It is insane," says Gross.

When Gross talks about the urban youths he works with, "trauma" is a word that comes up over and over. And wartime metaphors flow freely. "We're basically trying to negotiate between bullets for survival," he says. "Basically you try and drag, like a sergeant in the battlefield, some kids to safety. They're wounded. It's like Vietnam. It's *Apocalypse Now*. It's *Heart of Darkness*."

The trauma doesn't only take its toll on the young people; it drains those working with them, too. "I think there is a part that is really about love," Gross says of outreach work. "I think it's about a certain humanness. Sometimes I'm worried now that I might lose this concern. It's very hard to give it out, give it out. There's more and more kids coming, you know."

After working with the Azusa community for nine years, the last four doing outreach full-time through the city's street-worker program, Gross is stepping back. He's taking a leave of absence to pursue a master's degree at the Harvard divinity school. "I really need to chill. I feel the burnout, no doubt. It's very hard to disconnect. You're locked in a guilt—that if you leave, who is going to take care of them?"

"You've got to have more bodies out there with kids, you've got to have adults with kids. You've got to be out there where they are, and you have to have places to take them where they can engage in constructive activity."

—MICHAEL JONAS

school students—the decision was made to bring a stern warning about gang life to the city's classrooms.

The reach has been impressive. Since March 1998, teams of ministers, streetworkers, police and probation officers have made 78 presentations to more than 8,000 students at Boston middle and high schools. Ministers and law enforcement officials have also made 200 home visits to families of kids suspected of gang involvement. The message, says Dorchester District Court probation officer Billy Stewart, has been: "Violence, high-profile gang activities, the beat downs, the assaults—you're going to get suppressed, enforced, and jailed. We've been there, done this, kids, and we're not going to do this again. You will lose." Along with a promise of harsh suppression of gang activity has come information on summer jobs and other resources for youths.

But it's difficult to measure the impact of the new anti-gang campaign. There were several violent incidents in schools last year involving gang members. And an attack last spring outside an East Boston school marked the first shooting that "no question, absolutely can be attributed to the Bloods and Crips," says French, the police anti-gang unit commander. Still, there's a feeling that things could be much worse. "I think we reached a lot of kids" with the school visits, says Hennessey, the school police lieutenant. So far, at least, things haven't gotten "out of control," he says.

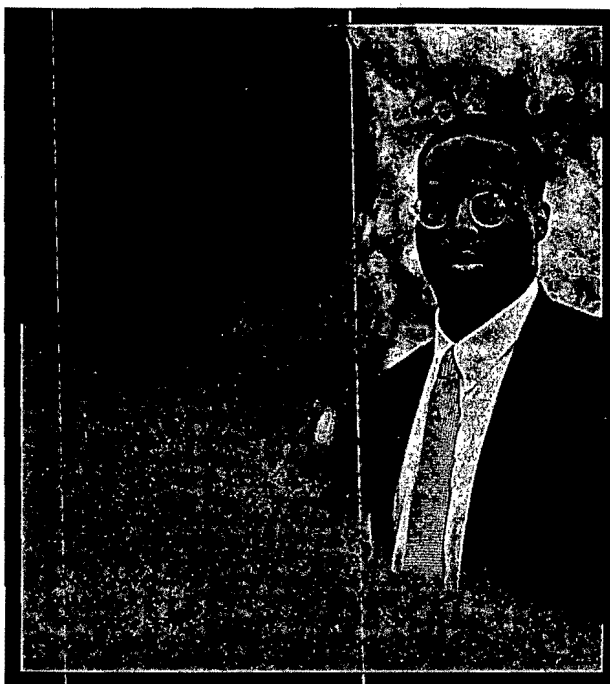
To keep a handle on the situation, representatives of law enforcement and youth agencies and religious leaders have been meeting once a week at the Baker House. The sessions have been convened under the banner of a Baker House initiative dubbed "Operation 2006." The name is a reference to the projected peak year of the demographic "bubble" criminologists have been warning of, a point when the population of 14- to 17-year-olds will be 20 to 25 percent larger than it was in 1994.

The meetings, held every Wednesday morning, are a picture of Boston's anti-crime collaboration in action. At one session in late June, more than a dozen people gathered around a conference table, including representatives of the Boston police, school police, probation department, and

Department of Youth Services, along with religious leaders, youth workers from other agencies, and a lawyer from Roxbury Defenders, a local branch of the state public-defender agency.

Emmett Folger, the veteran director of the Dorchester Youth Collaborative, warns two officers from the anti-gang unit, David Singletary and Kenneth Israel, of a local Bloods and Crips beef that's been playing out beneath the law enforcement radar. It's the sort of free-flow of information that never happened years ago, and that can sometimes

head off problems before they get bigger, say participants. "It's all about individuals you can really go to," says Singletary. "Our strength is not just physical; it's partnerships."



"I think a Christian should make people uncomfortable."

CREDIBILITY ON THE LINE

At Dorchester District Court, Larry Mayes is working every partnership angle he can come up with. Still waiting for Mario's case to be called, he buttonholes the prosecutor in the hallway. "I'm making a case to everybody," Mayes says after the encounter.

Wearing a striped dress shirt and tie that Filipe Teixeira, the Cape Verdean priest, brought for him, Mario cuts a better image than the cohort of T-shirt-and-sneaker-clad defendants herded through the

morning arraignments. But it's not just his pressed collar that makes Mario stand out. While on the run from his default warrant, Mario was working and he stayed out of trouble, Mayes says. "Not every kid will I advocate for," says Mayes. "I think he's worth it." Mayes says Mario had tears in his eyes as they spoke of the role he could play with younger Cape Verdeans heading for trouble. "Watching his eyes glisten—that's unusual," says Mayes. "I said, 'All right, this guy gets it.'"

It's a breakthrough that carries a price, Mayes knows. "I think a Christian should make people uncomfortable," says the lanky 37-year-old. "We believe someone repents and turns around. When you do that, that means that those you left behind usually reject you. And he's in that position, which I think is excellent," Mayes says of Mario. "It doesn't feel great, but it's good for him."

Mayes was raised by a single parent in the housing projects of New Haven. After high school, Mayes studied to be a missionary at a fundamentalist college in Texas, and he recently returned to school and completed a master's degree in public policy at Regent University in Virginia, a Christian school founded by conservative preacher Pat Robertson. But he leavened his religious readings with large doses of Noam Chomsky and other left-leaning thinkers.

"I know I made my professors uncomfortable," he laughs. "I've always been battling with people who say claim yourself" by staking out a position on the ideological spectrum. Mayes calls himself an adherent of "the tertian quid—the third way. Which means that Christ or my Christian convictions predate and transcend left and right politics. I'm not going to let someone put me in a framework off the bat, and then control me and frame me from that." Adds Rivers, "It's a post-ideological, post-left, post-right pragmatism. Measurable outcomes is the bottom line. So what works, works. What does not is discarded."

In Mario's case, what works is the intercession of veteran probation officer Billy Stewart, with whom Mayes has also done some hallway lobbying. Stewart agrees to make a pitch to the judge, and when the case is finally called, Stewart, the prosecutor, and Mario's court-assigned public defender approach the bench for a "side-bar" conference with Judge Rosalind Miller. Stewart does most of the talking.

"Billy's a great talker," Mayes whispers, watching intently alongside Father Teixeira and Mario's mother. When

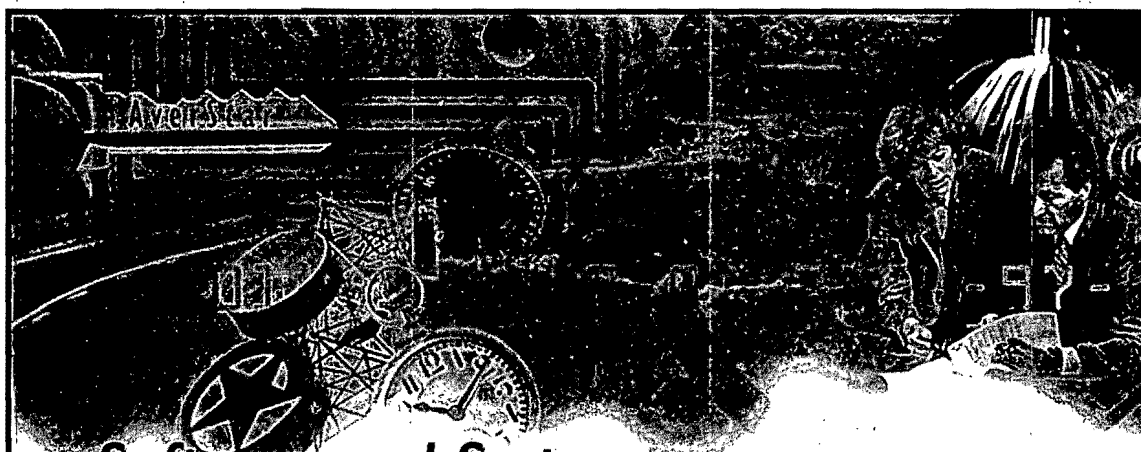
the conversation is over, Judge Miller, who has taken a tough, no-nonsense approach to cases all morning, announces that Mario will be released under tight supervision. He has to be home by 7 p.m. every night until his trial in November, and must show proof at weekly probation meetings that he's searching for a job. "They will be checking on you," she warns him sternly. "You better be where you say you'll be." Mayes and Teixeira are thrilled. Had Mario been sent to jail, says Mayes, it "would have been tough to get other kids who are on the edge to come in."

"You have a carrot and stick approach. We're the carrot, they're the stick," says Mayes, referring to the court. But "carrots can choke you," he adds. "If he screws up any which way, they won't need to find him. We'll turn him in and advocate that his butt is locked up for a long time."

"This is a real good win for us," says Gary French, the anti-gang unit commander who gave community leaders the first crack at his warrant list. "Everybody's credibility is sort of on the line here, but I think it's the way we probably should be doing business."

"The good thing and the bad thing about Boston is everything is relationships," says Baker House director Mark Scott. "Ten years ago there were no relationships, so everybody was talking to nobody. Now, we're all accountable to each other." ■

Michael Jonas is a free-lance writer and regular contributor to The Boston Globe.



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● J. Eric Gould

11/19/99 01:50:04 PM

Record Type: Record

To: Ann O'Leary/OPD/EOP@EOP, John B. Buxton/OPD/EOP@EOP

cc:

Subject: Non-Profit Task Force

Could we get together on Monday to discuss the Nonprofit Task Force - some of the issue it's might cover and how some of these ideas might fit into the budget.

Anytime after 12:00 is good for me.

The EO creating the Task Force:

THE WHITE HOUSE

Office of the Press Secretary

For Immediate Release

October 22, 1999

October 22, 1999

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Supporting the Role of Nonprofit Organizations:
Interagency Task Force on Nonprofits and
Government

The United States is the most generous Nation on Earth. In 1998, an estimated \$175 billion was given by American individuals, communities, foundations, corporations, and other private philanthropies to a wide variety of causes and organizations. Individuals accounted for 85 percent of all contributions in 1998 and their giving has increased by almost one-third since 1995. And over the next 20 years, approximately \$12 trillion in wealth is expected to be transferred from one generation to the next -- more than \$1 trillion of which will flow to nonprofit organizations through charitable giving.

In many cases it is nonprofit organizations that convert philanthropy into results -- helping people in need, providing health care and educating our Nation's youth. The nonprofit

sector is an integral component of our national life, encompassing more than one and a half million organizations with operating expenditures in excess of \$600 billion. But more telling than the dollar figures is the new spirit of service and civic activism that nonprofits of every kind are now exhibiting. We are today in the midst of a nonprofit boom, a time when the activities of this sector are becoming ever more creative and entrepreneurial.

Nonprofits are uniquely able to identify problems, mobilize fresh thinking and energy, care for those in need on a human scale, and promote social change at the community level. As this sector grows in size and importance, there is an ever greater opportunity to forge partnerships that include Government, nonprofit groups, businesses, and citizens to address pressing public problems. There are already many ways that nonprofits work closely with the Federal Government. For example, Federal grant programs from the National Science Foundation and the National Institutes of Health assist non-profit research institutions that search for cures to cancer. And the Corporation for National Service works with nonprofits throughout the Nation to provide after-school and tutoring programs. Our challenge in this time of burgeoning social entrepreneurship is to encourage Government, nonprofits, and others to work together more meaningfully.

Therefore, today I direct the Assistants to the President for Domestic Policy and Economic Policy and the Chief of Staff to the First Lady to convene an Interagency Task Force on Nonprofits and Government ("Task Force"). The purpose of this Task Force will be twofold: first, to identify current forms of collaboration between the Federal Government and nonprofits; and second, to evaluate ways this collaboration can be improved.

Structure of the Task Force

The Assistant to the President for Domestic Policy, the Assistant to the President for Economic Policy, and the Assistant to the President and Chief of Staff to the First Lady will jointly Chair the Task Force. The Office of the Vice President, the Office of Management and Budget, and the Council of Economic Advisers will be regular participants.

The Task Force shall be composed of the following members:

- (1) Secretary of the Treasury
 - (2) Attorney General
 - (3) Secretary of the Interior
 - (4) Secretary of Agriculture
 - (5) Secretary of Commerce
 - (6) Secretary of Labor
 - (7) Secretary of Health and Human Services
 - (8) Secretary of Housing and Urban Development
- IRS

- (9) Secretary of Transportation
- (10) Secretary of Education
- (11) Administrator of the Small Business Administration
- (12) Chief Executive Officer of the Corporation for National and Community Service

The Chairs of the Task Force may add such other officials and independent agencies as they deem appropriate to further the purposes of this effort or to participate in specific aspects of it. The Chairs, after consultation with Task Force members, will appoint staff members to coordinate the Task Force's efforts. The Chairs may call upon the participating agencies for logistical support to the Task Force, as necessary. Members of the Task Force may delegate their responsibilities under this memorandum to subordinates. During its work, the Task Force will consult regularly with the nonprofit sector.

Objectives of the Task Force

The Task Force will:

1. Develop a public inventory of "best practices" in existing collaborations between Federal agency programs and nonprofit organizations. In cooperation with the nonprofit sector, the Task Force will work to apply these leading models to other Government efforts. For example, cross-agency initiatives that reflect the community-wide focus of many nonprofits could be highlighted and replicated. The Task Force will also examine ways that Federal agencies can better draw upon the experience and innovations of nonprofits in the development of public policy.
2. Evaluate data and research trends on nonprofits and philanthropy. Understanding the significance of the relationship between the nonprofit and Government sectors requires an understanding of the impact that the nonprofit sector has on the economy and on public policy. For example, the Council of Economic Advisers should undertake an analysis of existing data from the private and nonprofit sectors concerning the role of philanthropy in our economy, including an examination of the factors that affect giving and an investigation of trends that are likely to affect future giving. The Task Force will also coordinate agency efforts to identify the contributions made by the nonprofit sector and information regarding philanthropic activity.
3. Develop further policy responses. The Task Force will meet to discuss new findings and to consider new or

Tax
Credits

modified Administration policy responses. For example, the Task Force will work with the non-profit sector and others to explore ways to encourage philanthropy and service, efforts to help nonprofits develop and grow (including "venture philanthropy"), opportunities for closer collaboration on research and in meeting local needs, and ways to reduce governmental barriers to innovative nonprofit enterprises.

From time to time, the Task Force will report to me on the results of its efforts.

General Provisions

This memorandum is intended only for internal management of the executive branch. This memorandum is not intended, and should not be construed, to create any right, benefit, or trust responsibility, substantive or procedural, enforceable at law or equity by a party against the United States, its agencies, its officers, or its employees. This memorandum shall not be construed to create any right to judicial review involving the compliance or noncompliance with this memorandum by the United States, its agencies, its officers, or any other person.

WILLIAM J. CLINTON

#

Nonprofits and the Hunt Administration 1997-99

January 1997

- Gov. Jim Hunt holds a Legislative Briefing for Nonprofits, inviting more than 200 nonprofit leaders to a special preview/discussion of his 1997-98 legislative agenda.
- Appoints Robin Britt, former secretary of the Department of Human Resources, as Governor's Special Advisor on Children, Families and Nonprofits.

April 1997

- Gov. Hunt directs his Cabinet to appoint nonprofit liaisons in each department to develop partnerships between state government and nonprofits. There are now more than 70 State Agency Liaisons (or SALs) in state government; they are working closely with the NC Center for Nonprofits.

SALs' Mission: Strengthen and enhance the ability of NC state government to provide quality services through the involvement of nonprofits and other partners in policy formulation, organizational development, and program implementation. Provide essential human resources through the involvement of state employees as volunteers with nonprofits.

SALs' Goals:

1. Create ongoing mechanisms for two-way communication between state departments or divisions and the state's nonprofit organizations that work in related fields.
2. Use the expertise and perspectives of nonprofit leaders to help develop public policy.
3. Provide each department with a focal point for encouraging volunteerism and identifying volunteer needs and opportunities with its service area.

May 1997

- The Governor's Office and the NC Center for Nonprofits cosponsor a daylong workshop, "New Partnerships Conference," to find ways to improve collaboration between nonprofit and volunteer agencies and state government.

September 1997

- Gov. Hunt appoints representatives of nonprofit community to the Governor's Commission on Juvenile Crime and Justice to get nonprofit ideas and input on improving the juvenile justice system, revamping the juvenile code and boosting prevention efforts. (Governor's Office meets periodically with interested nonprofits throughout the 1997-98 legislative session on this topic.)

October 1997

- SALs attend 1997 Center for Nonprofits conference -- "A Sector in Transition: Nonprofits Working Together *for* North Carolina's Future."
- Governor's Office cosponsors "North Carolina Funders Summit," which was designed to bring together nonprofit, foundation and state government leaders to discuss ways to better communicate and how nonprofits and funders can get involved in policy issues and debates.

January 1998

- Governor holds Summit on America's Promise and Volunteerism, with the help of the nonprofit community and SALs, and declares 1998 the Year of the Volunteer. SALs promote 1998 Year of the Volunteer activities, including securing a pledge of 1.1 million hours of volunteer service by state employees in 1998.

March 1998

- Gov. Hunt joins with a broad coalition of nonprofit groups to call for and work toward passage of NC's children's health insurance plan, including weekly strategy sessions. (The plan is now called NC Health Choice for Children.)

May 1998

- Governor's Office, Department of Health and Human Services, and the NC Partnership for Children begin comprehensive outreach effort with nonprofits for full funding and expansion of Smart Start to all 100 counties.
- State Agency Liaisons form 1998-99 action plan -- working with NC Center for Nonprofits -- that details SALs' roles and responsibilities:
 1. Learn about the scope and roles of nonprofit organizations and identify the nonprofits whose work relates to the mission of their departments.
 2. Communicate with nonprofits, including meeting with nonprofit leaders and sending nonprofit newsletters and other communications to others in the agency.
 3. Speak and listen at statewide & regional meetings of nonprofits.
 4. Identify nonprofit leaders for consideration of appointment to boards and commissions.
 5. Serve as ombudsman to address problems or concerns between the department and nonprofits.
 6. Involve nonprofit leaders in specific ways in the department, including identifying specific areas -- such as policy, program, legislation and others -- for nonprofit involvement.
 7. Invite nonprofits to participate in competitive bidding to provide services to the state.
 8. Network with nonprofit liaisons in other departments and divisions to increase nonprofits' access to state government and to strengthen partnerships with nonprofits and government.

9. Report progress on goals and responsibilities to Governor's Office and department secretary.
10. Celebrate the success of partnerships with nonprofits, including quarterly recognition of nonprofits in the department, and annual celebrations of nonprofits in state government.

June 1998

- Gov. Hunt urges Cabinet Secretaries to increase the number of SALs in their departments by appointing a lead State Agency Liaison and liaisons for each major division and section. He also urges Council of State members to appoint their own SALs to serve as contacts with nonprofits.

August 1998

- Governor's Policy Office brings together -- for the first time -- nonprofit mentoring groups to get input about NC's biggest needs when it comes to mentoring at-risk youth. Based on those meetings, Gov. Hunt solicited a \$1 million corporate donation to support North Carolina's mentoring efforts.

September 1998

- Governor's Office holds Governor's Nonprofit Roundtables in Asheville, New Bern and Raleigh, "listen & learn" sessions as part of ongoing efforts on the Governor's part to involve nonprofits in the Hunt Administration's activities -- especially in public policy development.

October 1998

Gov. Hunt addresses the 1998 NC Center for Nonprofits Conference, focusing on strengthening the relationship between state government and nonprofits. Gov. Hunt makes three specific promises to the nonprofits:

1. Will ask every Cabinet Secretary and every Council of State member to see that their nonprofit liaisons hold quarterly "roundtables" with nonprofits, issuing an open invitation for all nonprofits with an interest in that agency's issues to attend a brown bag lunch. Will also urge them to see input from nonprofits from around the state.
2. Will ask the Issue Teams to set up special briefings with nonprofits -- organized in groups along the lines of the *Agenda for Action* -- in November and December to listen to their input as part of the 1999 budget/legislative planning process.
3. Will meet with nonprofit leaders twice a year -- at the NC Center for Nonprofits annual conference in October and in early spring -- for thoughtful dialogue on the issues of the day.

In addition, his chief of staff, Franklin Freeman, outlines the Governor's legislative priorities and SALs hold a "listen and learn" to continue the nonprofit dialogue.

November-December 1998

- Governor's Policy Office and the Issue Teams -- five specific teams made up of senior staff from across the administration and focusing on good start & good education, safe communities, clean environment, personal & parental responsibility and financial security -- hold roundtables with nonprofits in Raleigh to get their feedback and ideas on the Governor's upcoming budget and legislative package.

March 1999

- The Hunt Administration works with nonprofits to get creative with federal funds to address the critical issue of child abuse and neglect. Hunt launches the 'Safe Kids' initiative, which works to:
 - * build stronger families through intensive home visitation and family preservation;
 - * find more foster and adoptive families;
 - * educate the public about abuse and adoption issues through an awareness campaign, a web site and toll-free number (1-877-NCKIDS1); and
 - * crack down on child abusers.
- Hunt launches his NC Cares initiative, which provides health insurance and salary supplements to child care teachers who improve their education and training and who stay in the classroom. Child Care Services Association, a nonprofit agency based in Durham, is administering this initiative with a combination of federal and state dollars.

April 1999

- After nonprofits continue to identify affordable housing as a key issue, Governor Hunt announces the NextSteps initiative, a program to improve opportunities for affordable housing, job training and health care for low-income families and those moving from welfare to work.

June 1999

- Governor Hunt sends out the mid-year *Report to Nonprofits* to let nonprofits statewide know more about the administration's efforts in education, the environment and the economy.

October 1999

- Because of Hurricane Floyd recovery and relief efforts, Gov. Hunt is unable to attend the NC Center for Nonprofits Annual Conference. In his place, he sends Dr. David Bruton, Secretary of Health and Human Services, to discuss the administration's continuing commitment to nonprofits and to look at ways to improve the state's grants and contracts process.

Malcolm Richardson

Molken

Maureen O'Shea

OPL

Eric Gould

DPL

Bethany

DPL

(Ann O'Leary)

OPL

- Round table with NP
- Designate person in Dept. - information

- How do you work with non-profits
- How do you fund?
- Best practices?

Task Force

Supporting non-profits for FY01

Removing administrative barriers

Build array of best practices

What type of data + program information

How do states work with non-profits

November 19, 1999

Name
School
Address
City, State, Zip

Dear _____:

Thank you very much for your participation in our roundtable conversation at the White House today. As we discussed in the meeting, your insights into the key challenges facing American public high schools are invaluable to our efforts.

The President and Vice President are intent on continuing this Administration's strong support for public education and for providing schools and districts with the tools they need to meet high standards for student performance and school success. Your ideas today will help inform the Administration's continued efforts to improve the quality of public schooling in America.

Please do not hesitate to contact the members of the Domestic Policy Council's education team on matters related to K-12 public education and the principalship. We appreciate your efforts in education and wish you the best of luck for a good rest of the year at (school name).

Sincerely,

N.C. Center for Nonprofits[Back to Index](#)[About the Center](#)[Joining the Center](#)[Center Members](#)[For Nonprofits Only](#)[Statewide Network](#)[Information Charter](#)[Advocacy](#)[Publications](#)[Cost Savings](#)[Special Projects](#)[Media](#)[Resources](#)[Web List](#)[Web Site News](#)[Links of Interest](#)

N.C. Center for Nonprofits

Nonprofit and Volunteer Liaisons in State Government -- What They Do

Liaisons' Mission: Strengthen and enhance the ability of North Carolina state government to provide quality services through the involvement of nonprofits and other partners in policy formation, organizational development, and program implementation. Provide essential human resources through the involvement of state employees as volunteers with nonprofits.

Vision: North Carolina state government is organized to best serve the citizens.

Liaison's Goals:

- Create ongoing mechanisms for two-way communication between state departments or divisions and the state's nonprofit organizations that work in related fields.
- Use the expertise and perspectives of nonprofit leaders to develop public policy.
- Provide each department with a focal point for encouraging volunteerism and identifying volunteer needs and opportunities within its service areas.

Liaison's Roles with Nonprofits:

- Learn about the scope and roles of nonprofit organizations and identify the nonprofits whose work relates to the mission of the agency/department.
- Communicate with nonprofits.
- Speak (and listen) at statewide and regional meetings of nonprofits.
- Identify nonprofit leaders for consideration for appointment to state boards and commissions.
- Serve as ombudsperson to address problems or concerns between the department and nonprofits.
- Involve nonprofits in specific ways within the department.
- Invite nonprofits to participate in competitive bidding to provide services to the state.
- Network with Nonprofit Liaisons in other departments and divisions to increase nonprofits' access to state government and to strengthen partnership between nonprofits and state government.
- Report progress on goals and responsibilities to the Governor's Office, Cabinet Secretaries, and Council of State.
- Celebrate the success of partnerships with nonprofits.

Liaison's Volunteer Roles:

- Work with volunteerism liaisons within the department to establish a volunteer plan.
- Encourage and support state employees to volunteer, and record volunteer time.
- Create a clearinghouse for volunteer efforts.
- Participate in partnerships to enhance volunteerism in the state.
- Celebrate the volunteerism efforts of state employees.

[\[Back to Advocacy\]](#)



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Draft 3
Report of the Public Policy Task Force
to DOT RIDINGS and the COUNCIL ON FOUNDATIONS

EXECUTIVE SUMMARY

The term public policy suggests the framework through which a democratic society – and the public institutions that serve a democratic society – make decisions and deliver services.

From convening community leaders to working with the media, from conducting public education campaigns to funding government agencies, grantmakers are involved in activities that seek to shape or improve public policies. As a result of their expertise and action in a variety of program areas such as healthcare, welfare reform, education, the arts and the environment, foundations make valuable contributions to policy development at state, local and national levels. In turn, foundations can better achieve their missions, and strengthen their contributions to the public good, by participating in the public policy process.

Council on Foundations President Dorothy Ridings created the Public Policy Task Force to recommend ways in which the Council can better support grantmakers' work in public policy. The eleven members of the task force are representative of the variety of grantmakers in the Council membership. The task force met four times in Washington, DC between October 1998 and June 1999. In addition, the task force conducted three focus groups of Council members and sought input from Council staff, affinity groups, regional associations and colleague organizations of the Council. This report is the result of their discussions and findings.

The Public Policy Task Force affirms the Council's commitment to supporting its members' work in public policy and recommends specific ways the Council can incorporate this function into the organization's core services. The Task Force believes the Council can be both a leader and a provider of services in this area. The Council's leadership is needed to articulate the merits of involvement in public policy and to forge new partnerships. Educational services will advance members' awareness of the public policy arena and enhance their skills to participate in it.

Given that the Council is a non-partisan membership association of grantmakers with varying programmatic interests, the task force affirms strongly that the Council's involvement in policy issues should be focused on providing the tools needed to affect public policy rather than a focus on any specific issue areas. All public policy educational materials and sessions should be non-partisan and non-biased in nature, allowing for multiple points of view.

The task force recommends that the Council provide resources in five primary areas. In each of these areas, a need has been clearly defined and the Council already has a niche. Action in these five areas of service will help meet the needs of Council members' work in public policy and will work towards fulfilling the public policy related objectives of the Council's new strategic plan. These five areas for action are:

1. **Articulate the Merits of Foundation Involvement in Public Policy.** Educational materials, especially those aimed at new and smaller foundations, will identify the legal, theoretical and programmatic rationale for grantmaker involvement in public policy.
2. **Build Strategic Relationships.** The Council can give its members access to other organizations and avoid duplication of programs by seeking opportunities to provide joint services with colleague organizations, policy institutes, universities and other associations.

The task force urges the Council to allocate appropriate resources to develop and sustain activities in each of these five areas of service. The task force recognizes that this will be an evolving function and suggests an immediate focus for 2000 on the following: dissemination of the task force report, solidifying relationships with colleague organizations, publishing a brochure "making the case" for foundation involvement in public policy and developing materials on the legal aspects of foundation involvement in public policy. The task force further recommends that the Council create a committee of members to advise the Council leadership and staff on the implementation of these recommendations.

With this report, the task force concludes its works and congratulates the Council and its staff for their efforts to date.

INTRODUCTION

The Council's commitment to public policy

Based on its mission to "promote responsible and effective philanthropy," the Council on Foundations believes its members should consider participating in public policy activities. Public policy is the framework through which our democratic society makes decisions and delivers services. Many foundations and corporate giving programs can best achieve their missions by communicating and collaborating with government directly and through their grantees. Foundations are already engaged in public policy when they provide funding to governmental agencies or to nonprofit organizations that are working to address social problems. Society greatly benefits from the expertise that foundations contribute to improving state, local and federal government policies on important issues such as healthcare, welfare reform, education, the arts and the environment.

The Public Policy Task Force recommends that the Council continue to urge grantmaker participation in public policy by educating its members about public policy strategies and supporting them as they work to shape and/or affect change through this process. Specifically, the task force provides the Council with a blueprint for the evolving workplan of its public policy department—providing members with the appropriate tools to inform public policy and building strategic relationships with other organizations. This report defines the Council's niche in providing public policy services and addresses how the public policy department can be instrumental in achieving key goals of the Council's 2000–2004 Strategic Plan.

History of the task force

The 11-member Public Policy Task Force, chaired by Damian Thorman of the Ewing Marion Kauffman Foundation, met four times and held several focus groups between October 1998 and June 1999. Council President Dot Ridings established the task force and invited its members to join. The members of the task force and their philanthropic affiliations are listed in Appendix A.

This report builds on the work of Council members who have previously examined this issue, including a special project management group whose "Philanthropy and the Public Sector" report was issued in April 1996. This task force affirms the work and many of the insights of the Council's special project. Specifically, the following findings from the Philanthropy and the Public Sector special project were used as the starting context for the task force work. These findings were confirmed in the many focus groups and conversations with grantmakers throughout the work of the task force.

PUBLIC POLICY LANGUAGE IS CONFUSING

Grantmaker confusion over the meaning of words used to discuss public policy work, including terms like "lobbying," "advocacy," and "public policy" itself, make engagement in this area difficult.

MORE AND ACCURATE INFORMATION IS NEEDED

Grantmakers often avoid public policy work or convey anxiety about doing such work because of concerns about violating legal limitations. Greater awareness of both the legal rules and examples of legitimate practices will allow grantmakers to act appropriately and more effectively while employing viable public policy strategies. Misperceptions about the parameters of philanthropic policy activities and a general lack of awareness that public policies affect the work of foundations are still the norm.

PUBLIC POLICY STRATEGIES ARE IN DEMAND

Grantmakers are looking for ways they can become involved in the public policies related to their grantmaking programs. Technical support is needed as they design public policy strategies in support of their foundations' missions.

NEED FOR LEADERSHIP

Recent challenges to civic-, private- and government-sector responsibilities, shifting public attitudes, the increased readiness of some grantmakers to become more involved in public policy, all indicate a need for leadership in providing education and support to the field.

What the task force addressed

The task force's initial charge was to recommend to the Council's leadership specific ways that the Council could help its members engage thoughtfully and effectively in public policy efforts. Specifically excluded from the work of the task force and thus from this report are "self-defense" activities — attempts by the Council and its members to affect legislation directly relating to philanthropy (e.g., tax exemption and deductibility issues).

At the outset, the Council's commitment to the importance and value of public policy work was affirmed. Thus, the task force's driving question was not "Should Council members engage in public policy?" or even "Should the Council support members' public policy work?" — the answer to those questions was clearly "Yes." Instead, the task force was charged with specifying ways the Council could help its members understand and become participants in the connection between public policy and their missions.

The task force found that widespread confusion exists among Council members of what "public policy work" really means, its importance, and whether foundations should be engaged in it. Thus, an additional purpose of this report is to clarify the Council's definition of public policy and make the case for grantmakers' involvement in public policy work.

How the task force accomplished its work

This report is the result of an extensive, broadly inclusive analysis of the ways in which the Council can help its members engage in public policy. The task force itself included representatives from each of the Council's primary constituency groups: community foundations, corporate giving programs, health care conversion foundations, private and family foundations and regional associations of grantmakers. In addition, many task force members are active participants and have held leadership positions in a variety of Council affinity groups.

Furthermore, three focus groups were held to elicit input from more of the Council's constituents. One focus group was held at the Annual Conference in New Orleans in April 1999. Another was held in conjunction with a New York Regional Association of Grantmakers' meeting in June 1999. Additionally, a luncheon roundtable was held at the annual conference of affinity group leaders in Washington, DC, in June 1999. Numerous individual conversations and several conference calls were also used to solicit further input from Council members not represented on the task force.

The task force also heard from a variety of colleague organizations and leaders in the field on ways the Council could partner with them in providing public policy services. And the task force invited the input of numerous Council staff whose functions at times overlap the functions of the public policy department. These conversations included staff from the emerging issues area, the Communications/Legislative Initiative, and the legislative affairs department. A listing of the foundations and organizations that provided input to this report can be found in Appendix B.

IMPORTANCE OF PUBLIC POLICY

What is public policy?

Early in their deliberations, the task force members concluded that they did not have a common language with which to discuss public policy work. As a first step to discussing the importance of public policy more broadly, the task force crafted a working definition. It addresses the wide range of potential outcomes of public policy work:

Public policy involvement is any lawful philanthropic activity, including funding and convening, that ultimately seeks to affect or inform the actions of any level of government expressed in laws, administrative practices, regulations or executive or judicial orders.

While the definition itself is deliberately succinct, it is intended to embrace in its concept a wide array of activities, including public education and public engagement, policy research, leadership development, convening of stakeholders, and support for advocacy organizations. All of this work is an inherent part of the policy formation process as it exists in our society, and all is appropriate for foundations to consider and support as they engage in policy work.

As stated above, this definition is not, for the task force's purposes, intended to cover self-defense public policy work, such as efforts to maintain the current level of charitable deductibility for contributions to private foundations. This definition also excludes any activities in violation of the tax code, including engaging in partisan activities, supporting political candidates and private foundation lobbying for specific legislation or ballot proposals.

What foundation activities constitute public policy involvement?

What the definition does include are all actions that *ultimately* seek to affect government, not just direct action by foundations in the political arena. Because of the pervasive influence of public policy in American life, the heart of the definition is an action's intended outcome—improving or preserving public policy decisions.

The variety of ways in which foundations engage in public policy matters is best illustrated with a few real-life examples from the field.

WORKING WITH THE MEDIA

The Kaiser Family Foundation partners with various television networks for the purpose of educating the public about pressing health issues. Current projects include a series of public service announcements on youth health issues on MTV and a series of specials on sexual health issues on BET. In addition, the foundation partners with Johns Hopkins University and NBC on the project "Following ER" which produces a weekly news segment based on a health topic in the NBC drama ER. Through greater awareness of health issues, members of the public are more likely to participate in policy discussions and voice their opinions to elected officials on these issues.

SUPPORTING POLICY RESEARCH

The John M. Olin Foundation supports research on policy issues through grants to policy institutes such as the American Enterprise Institute and the Alexis deTocqueville Institution. Olin grants have supported research on the International Monetary Fund, teachers unions, affirmative action and women's issues. Policymakers are a key audience for this research.

SUPPORTING NEW LEADERS

Through a grant to the Center for Policy Alternatives, the Kellogg Foundation supports emerging state leaders through the Fleming Fellows program. The program brings together 35 first term state legislators to examine their individual value systems and to explore together strategies for enhancing their value to the policy process at the state level.

FUNDING GOVERNMENT WATCHDOGS

Since 1994, the Florence and John Schumann Foundation has been supporting the general operating expenses of the Center for Public Integrity. Headquartered in Washington, DC, the Center investigates the relationship between political contributions and legislative action. Recent Center publications have exposed special interest influence driving the federal government's regulation of toxic chemicals and food safety and the role of money in politics in the Indiana State Legislature.

MAKING DIRECT GRANTS TO GOVERNMENT

The McKnight Foundation of Minneapolis has committed \$20 million to an effort to reduce hardship on Minnesotans affected by welfare reform and to help people participate in the economic mainstream. The program is designed to encourage collaboration between government agencies, businesses, and civic and religious organizations. As a part of this initiative, the foundation made a \$1.45 million grant directly to the State of Minnesota to help it meet citizens' widespread need for childcare as parents left welfare for jobs.

CONVENING STAKEHOLDERS

The Wyoming Community Foundation served as a convener for state leaders to develop a visioning process for the use of 700 acres of prime land made available by the closure of an oil refinery that had been a major source of employment as well as an important corporate citizen for over 80 years. The funders of the visioning process, Amoco and the Environmental Protection Agency, saw the community foundation as the most neutral home in the community to bring leaders together to reach consensus on economic development, recreational and wildlife issues.

Whether they fund research on policy issues or watchdog groups, work with the media, support leadership development or make grants directly to the state, each of these foundations has engaged in activities aimed at making changes or bringing attention to particular public policies. Other foundations achieve public policy ends in other ways. Some bring together citizens and lawmakers to discuss community issues. Some partner with governments and other civic groups to solve local problems. Some fund public opinion polling to draw attention to important issues.

Why is public policy important to grantmakers?

The Public Policy Task Force believes that foundations should be involved in contributing to the development and improvement of public policies because:

The task force recommends that the Council define its niche in providing services to members who wish to become engaged in public policy, recognizing that other groups, either in partnership with the Council or on their own, also fill a need in providing these services. The task force has assumed three basic operating principles about the Council's role in providing member services in public policy. Each of these principles was discussed and affirmed in a series of focus groups with additional Council members. The principles are:

1. The Council's role must be non-partisan, unbiased and fair.
2. The Council's role must focus on providing the tools, information and contacts needed to affect public policy rather than focusing on any specific policy issues.
3. The Council should partner with colleague organizations, including regional associations of grantmakers and affinity groups, in order to be an effective leader in providing tools to address public policy goals.

The task force believes the Council's role should be to provide its members with the tools they need to be effective in public policy. The focus should be on skill-building and capacity expansion, not on specific programmatic issues or funding areas. The task force recognizes that there are other areas, outside the domain of this consideration of public policy and member services, where the Council might address a specific policy issue. Through the action of its Board of Directors, for example, the Council might express a policy position. And there is substantial discussion of specific issues at the Council's conference, through sessions developed by members and affinity groups. This is as it should be. But to represent all its members fairly in the member service arena studied by the task force, the task force recommends strongly that the Council be guided by the principles expressed above.

This approach—building skills rather than offering issue area expertise—necessitates forming a range of strategic partnerships, not only between the Council and its members but with other associations, national nonprofits, policy institutes, and universities as well.

What are the Council's core competencies and where should it focus its efforts?

Given that the Council will focus on providing "how to affect public policy" training in a balanced, non-issue-oriented manner, the Council must identify specific areas where a need exists and the Council can add value.

One way in which the Council can distinguish itself is by providing educational materials to smaller or newer foundations that are just beginning to explore their own capabilities. Many major foundations already have an understanding of public policy and a commitment to public policy work. For them, the Council can provide a forum for networking and sharing of best practices.

Trustee support of a foundation's public policy work is essential to its success, yet many trustees are uninformed about how their foundation can be involved in public policy. The Council can play a role in encouraging trustee involvement in public policy by creating materials specifically for this audience.

What products and services should the Council provide?

The task force recommends that the Council provide resources in five primary areas where a need has been clearly identified and where the Council already has a niche. These areas are enumerated below, with a rationale for the inclusion of each and a sampling of potential products and services offered in each area.

1) ARTICULATE THE MERITS OF FOUNDATION INVOLVEMENT IN PUBLIC POLICY

This is the starting point for most foundations. Resources provided here will identify the legal, theoretical, and programmatic rationale that foundations use to support their involvement in public policy. This report provides a start for such resources in its "Why is public policy important to foundations" section. Sample activities and a specific example of the form it might take are listed below:

- Educational material on the range of options available for engaging in public policy work ("Foundations and Public Policy 101" publication).

One of the Council's key strengths in providing public policy services is the access it can give its members to other organizations who are experts in the public policy process. Rather than duplicating other programs, the Council can act as a referral point between its members and other organizations. In addition to linking grantmakers to these organizations, the Council can seek opportunities to provide joint services. Several examples of how such partnerships could work include:

- Collaborate with the Forum of Regional Associations of Grantmakers to offer a program on "Connecting with legislators at the local level."
- Work with a university in writing a case study on foundation involvement in public policy for discussion by students in graduate school programs
- Convene all "issue-focused" affinity groups for a discussion on the opportunities and challenges involved in working with federal agencies.
- Disseminate materials from Independent Sector to community foundations on how to elect to lobby.
- Link Council members to each other through public policy "mentorships"
- Work with the American Bar Association to create a session for attorneys on foundations and public policy

The task force recommends that the Council use its major conferences and means of communications with members (publications, Internet) to provide opportunities for all members to expand their skills in the public policy arena.

- Provide communications training focused on communicating with public officials (link to current CLI trainings)
- Educate members on practical aspects of public policy (how to handle controversy, how to ensure and increase standards of excellence in policy research, or how to conduct a public education campaign)
- Create public policy "tools" website that includes links to other organizations, upcoming opportunities for public policy meetings and how-to articles and other resources
- Educate members on the legal aspects of public policy involvement

In addition to general information that would be helpful to all grantmakers, the task force believes the Council should recognize and respond to the special concerns of its different constituencies.

- "Trustee only" sessions at conferences on public policy grantmaking
- Listserv for program officers to discuss generic public policy strategies
- Specific materials for community foundations on lobbying
- Educational materials on public policy strategies for each of the Council's membership categories: independent, family, community, corporate and health care conversion foundations.

5) HIGHLIGHT EXAMPLES AND BEST PRACTICES OF FOUNDATION PUBLIC POLICY WORK

To promote public policy involvement as a creative and effective grantmaking strategy, the task force recommends that the Council highlight foundation stories that demonstrate the use of public policy strategies in making a significant improvement in the communities they serve. These examples would focus on the strategy used rather than the issue area (for example, a foundation who held a top-notch meeting bringing together grantmakers and state legislators around the topic of education would be highlighted for their "convening" work rather than their work on the issue of education). By promoting individual foundation work, the Council will also be 'making the case' for foundation involvement in public policy.

Examples of these kinds of resources include:

- Developing an annual award for effective policy work (award could go to a foundation and to a public official involved in the work)
- Creating suggestions of "good practices" when working in the public policy arena
- Highlighting public policy strategies that have worked ("Public Policy Profile" in constituency newsletter)
- Promoting guidelines of evaluation in public policy related grants

Linking Recommendations to the Council's Strategic Plan

By focusing on these five areas of service and providing activities in each category annually, the Public Policy Task Force believes the public policy department will play an integral role in helping the Council realize the following intended outcomes of the 2000-2004 Strategic Plan:

- ⇒ The Council has improved its abilities to identify interests and respond to member needs. (Making the Case, Providing How tos, Highlighting examples)
- ⇒ Greater capacity exists within the field for legislative advocacy on issues directly affecting philanthropy and *for involvement in public policy issues of interest to grantmakers*. (Making the Case, Providing How tos)
- ⇒ An increased number of Council members will participate in local, regional and national public policy activities (Making the Case, Providing How tos, Strategic Relationships)
- ⇒ Members will have a better understanding of the Council's role with respect to other philanthropic support organizations (Strategic Relationships)
- ⇒ There is increased collaboration among philanthropic support organizations, including the Council, in promoting communications, legislation and *public policy*, diversity and accountability in the field (Strategic Relationships)

Coordinate public policy services with other Council services

The task force believes that as the Council's public policy function matures, it will become evident in the work of many of the Council's divisions and departments. The Public Policy Department should be the catalyst to making the connection between public policy functions and on-going Council activities. The most natural internal partners for the department are:

Communications/Legislative Initiative (CLI) As the CLI project becomes part of the Council's core services next year, there will be many opportunities for cross-fertilization of projects with the public policy department. The public policy department can build on the CLI's success of training Council members on how and why to communicate with policymakers on the "value of philanthropy" by training members on how to communicate with these influential audiences on programmatic public policy issues. The public policy department can also use CLI as an opportunity to urge members to communicate with policymakers beyond the US Congress, including the Executive Branch and state and local legislators (in partnership with RAGs).

The Council's **Legislation and Regulations Committee** must also be involved in the work of the public policy department, as foundations' conversations with legislators about tax matters also provide an

opportunity for discussions on other policy issues. The legislative and public policy departments should coordinate how they provide guidance on conducting meetings with legislators so that grantmakers can be a resource to legislators on both issues affecting philanthropy and on their programmatic issue areas.

The Council's commitment to identifying and responding to **Emerging Issues** also includes a public policy component. Through the Emerging Issues "scanning" process, the Council may educate its members on issues that have an effect on the field as a whole, including public policy issues.

Finally, the Council's **conferences and member communications** are crucial to accomplishing the task force's recommendations. The public policy function must integrate seamlessly with conferences and communications to assure strong, consistent emphasis on key public policy themes. Even though the Council will not be promoting or convening on specific issues, the annual conference will remain the prime opportunity for members to come together to talk both about public policy strategies and policy issues through sessions generated through the call for sessions process. The public policy department should work with the Council's annual conference, family foundations and community services staff to assure that there will be several public policy related sessions at each of the Council's major conferences.

Coordinate public policy services with colleague organizations

Likewise, the Council must forge partnerships with each of its colleague organizations to assure that every Council member has access to the tools and information available. To that end, the task force recommends that the Council formalize the relationship between its public policy staff and the public policy committees of the Forum of Regional Associations of Grantmakers and the Affinity Group Steering Committee. The director of public policy should sit on these committees and also have affinity group and RAG reps on any public policy advisory committee.

In addition, the Council should coordinate with the organizations such as the Independent Sector, Philanthropy Roundtable, universities, policy institutes, and other associations, such as the ABA. The Council can leverage its leadership through these connections and provide its members with a wider variety of resources and more opportunities for skill building.

IMPLEMENTATION ISSUES

The task force recognizes that its recommendations for sustained Council commitment to public policy issues will require Council resources. Not only must money be spent on activities including writing and producing toolkits, building web sites, and convening meetings, but staff resources must also continue to be devoted to public policy. Staff capacity should be at a level that will assure the integrity of quality service in each of the five areas stated above, allowing for the creation of several significant products annually as well as the ability to develop and sustain partnerships with internal Council departments, with colleague organizations and with new partners.

The task force understands that many of its recommendations will take several years to implement. The task force believes, however, that some areas require more immediate attention than others. Specifically, this report recommends the following tasks be given the highest priority, for completion during calendar year 2000:

1. Communicate/disseminate the recommendations of the Public Policy Task Force and the Council's response to this report.
2. Publish and disseminate an article/ brochure designed to "make the case" for foundation involvement in public policy.
3. Map and strengthen the strategic relationships between the Council and other organizations serving grantmakers around public policy issues. In particular, formalize the relationship between the public

policy department and the affinity group steering committee and the Forum of Regional Association of Grantmakers.

4. Develop new materials on the legal aspects of foundation involvement in public policy, including targeted materials for attorneys who advise foundations.
5. Create an advisory committee for the Public Policy Department

CONCLUSION

Future governance of public policy function

In conclusion, the task force recognizes that public policy is an evolving function at the Council. Grantmakers are just beginning to understand the power and importance of public policy work, or are only slowly beginning to call it by that name. Thus, while the public policy function may eventually be diffused throughout every function at the Council, that is not now the case and the task force recommends a new member advisory group for public policy be convened to advise the Council leadership and staff on the implementation of these recommendations.

Dissolution of task force

With this report, the Public Policy Task Force concludes its work. The task force commends the Council and its staff for their efforts, with a special thanks to Beth Brown for her dedicated management of the task force work and to Linda Burton for her administrative support. The task force is gratified by the relationship between Council members and staff that developed during its meetings. It recommends sustained input and involvement from Council members in the public policy function as the Council's staff begins to implement the recommendations of this report.

Appendix

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