



UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT
WASHINGTON, D.C. 20415

OFFICE OF THE DIRECTOR

July 22, 1999

Mary Ellen McGuire, Director
White House Conference on Philanthropy
"Gifts for the Future"
Office of the First Lady, OEOB, Rm. 101
The White House
Washington, D.C. 20500

Dear Ms. McGuire:

I appreciated hearing about your interest in the Combined Federal Campaign (CFC). As we discussed I am enclosing a few items of basic information about the CFC including a history of the campaign and a brief statistical profile.

Overall, our statistical report reveals that federal employees are giving more than ever. Giving through the nation's largest workplace campaign rose last year for the third year in a row to \$206 million, exceeding the all time record set in 1991 of \$204 million. Federal employees that pledge also continue to increase their average gift to the campaign. Average employee gifts have also hit a record high of \$136., more than double the average gift 10 years ago.

At the same time, the rate of participation in the campaign has declined by 20% over the last ten years – a trend that also mirrors patterns of giving in the private sector. In our ongoing search for ways to increase participation, we are working closely with participating organizations in the campaign and federal employees to learn more about the factors associated with the decline.

The CFC campaign is held as a model for workplace giving. It is run for federal employees by federal employees, and draws on the efforts of hundreds of volunteers, both civilian and military. The successful combination of giving needed funds and educating donors about the many worthy volunteer opportunities is what makes the CFC the nation's largest and single most successful charitable fundraising campaign.

I'll be happy to provide you with any additional information you may need and look forward to working with you towards a successful conference. Please feel free to contact me at 606-2301.

Sincerely,

A handwritten signature in cursive script, reading "Mara T. Paternaster", is written over a horizontal line.

Mara T. Paternaster, Director
Combined Federal Campaign
Operations



COMBINED FEDERAL CAMPAIGN OPERATIONS

**UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT
1900 E STREET, NW
ROOM 5450
WASHINGTON, DC 20415**

The mission of the Combined Federal Campaign (CFC) is to support and to promote philanthropy through a program that is employee-focused, cost-efficient, and effective in providing all Federal employees the opportunity to improve the quality of life for all.

Its tradition of commitment to the community through the selfless efforts of Federal employees, has its roots in the many charitable campaigns of the early 1960s. Seeing a need to bring the diversity of fundraising efforts under one umbrella, Federal employees created the CFC—one campaign, once a year. A 1961 Executive Order made the CFC a reality, and turned an innovative idea into a uniquely effective way for Federal employees to help those in need. By allowing employees to make their contributions through payroll deductions, the CFC opened wide the door to more opportunities for generous giving to literally thousands of worthy causes. *The CFC is the only authorized solicitation of employees in the Federal Workplace on behalf of charitable organizations.*

The CFC impacts charitable organizations worldwide and annually provides over 4 million federal employees the opportunity to give to the charity of their choice.

In 1998, Federal employees throughout 390 local campaigns contributed \$2.6 million to charity, breaking the time record of \$2.4 million in 1991.

To learn more about the CFC, please call Ms. Gail Davis at **202/606-2564**, or visit our website at **www.opm.gov/cfc**

U. S. Office of Personnel Management

Charitable Fundraising Within the Federal Service

- [Early Years](#)
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Fundraising for charitable organizations in the Federal workplace can be traced to the late-1940's. However, formal authority to permit fundraising in the Federal workplace was not established until 1961. In signing Executive Order 10927, President John F. Kennedy authorized the U.S. Civil Service Commission to develop guidelines and regulate fundraising in the Federal service.

Early Years

Prior to the 1950's, on-the-job fundraising in the federal workplace was an uncontrolled free-for-all. Agencies, charities, and employees were all ill-used and dissatisfied. Some of the problems cited were:

- Quotas for agencies and individuals were freely established and supervisors applied pressure to employees.
-
- Designations were not allowed.

Even with the frequency of on-the-job solicitations, total receipts for charitable causes that were worthy of employee support were minor. In many cases, employees donated their pocket change.

President's Committee on Fundraising

As far back as 1948, the then existing Federal Personnel Council (composed of agency personnel directors) attempted to add uniformity and stability to the fundraising effort through the issuance of guidance to departments and agencies. However, the Council had no enforcement authority and the departments and agencies continued generally to follow their own inclinations in the conduct of on-the-job solicitations.

As the solicitations proliferated and with continued dissatisfaction with a lack of uniform policy in workplace fundraising, Philip Young, the President's Advisor on Personnel Management, who also acted as Chairman of the Civil Service Commission (CSC), initiated a study of the problem. This 2-year effort (1954-56) involved extensive discussions with leaders of charitable organizations and managers throughout the federal establishment.

In June 1956, President Eisenhower formally charged the President's Advisor on Personnel Management with responsibility for the development and administration of a uniform policy and program for fundraising within the federal service. In that year, Fund Raising Bulletins No. 1 and No. 2 were issued, identifying the charitable organizations recognized for on-the-job solicitations and designating the times

of the year during which their solicitations could take place. General guidelines were issued for the conduct of campaigns, and an Eligibility Standards Committee was established. The Committee's eligibility criteria formed the basis for identifying charitable organizations recognized for solicitation during 1958 and later years.

The first participating charitable organizations were:

- The American Red Cross,
- Local Community Chests, United Funds, or Federated Groups,
- The National Health Agencies (an ad hoc group of nine health-related voluntary organizations, now known as Community Health Charities), and
- International Voluntary Agencies (an ad-hoc group, later known as International Service Agencies, of two voluntary agencies primarily interested in overseas assistance programs).

President Eisenhower further formalized the administration of the program by Executive Order 10728 of September 6, 1957. The Executive Order placed it under the supervision of a Presidential Committee, staffed by the Civil Service Commission. Solicitations by charities were consolidated into three on-the-job campaigns a year (for different groups of charities), and operational ground rules were established and eligibility tightened.

The principal characteristics of the emerging federal fundraising program were that all individual voluntary health and welfare agencies were grouped into the four categories above, and that each of the groups was assigned specific periods during each year when they would be permitted to carry out on-the-job solicitations. The Community Chest organizations (primarily local United Ways) were assigned campaigns privileges during the fall, the National Health Agencies and the International Service Agencies were assigned a campaign period in the spring, and the American Red Cross (where it had not consolidated its fundraising efforts with the local Community Chest) was permitted a separate campaign during the spring.

This was a giant step in simplifying and systematizing fundraising in the federal service. As it developed, however, there continued to be dissatisfaction with the expense and disruptive influence of multiple campaigns. It also remained true that receipts continued to be low in relation to the proportion of time and energy devoted to the various campaigns. Campaigns were often not organized with vigor and enthusiasm and, with the exception of United Way campaigns, were dependent upon cash donations handled through an envelope distribution system. While the United Way campaigns solicited pledges as well as one-time cash contributions, all contributions were paid directly by the employee to the voluntary agency. There was no payroll deduction.

A "Combined" Campaign

By 1961, President Kennedy had determined that the program was well-enough established that the President's Committee on Fund Raising within the federal service could be abolished. He did so and assigned the program to John W. Macy, Jr., Chairman of the Civil Service Commission, by Executive Order 10927.

Work on overcoming problems with the program continued. Serious consideration began to be given to

both a system of payroll deduction and the possible consolidation of solicitation efforts into a single campaign. There was strong interest on the part of representatives of the voluntary agencies in payroll deduction. However, there was not agreement at this stage on the part of all participants about the desirability of melding the separate identities of the fundraising organizations by consolidation into a single campaign.

In 1964, the first "combined" campaigns, officially called "Combined Federal Campaigns, or CFC" were conducted as experiments in six cities, consolidating all drives into one. The result was a substantial increase in contributions, ranging from 20% to 125%, and a highly favorable response within the federal community: agency managers were pleased with having to deal only with a once-a-year effort; federal employees responded with favor to the single solicitation.

By 1971 all campaigns had become "combined." President Nixon announced on March 3, 1971, that the CFC would be the uniform fundraising method for the federal service. Another major change at the time was the introduction of payroll deduction as a form of charitable contribution. This was made possible only by a truly combined, once-a-year campaign, and greatly increased the size of contributions.

Despite continued skepticism about whether the consolidated character of the CFC suited the fundraising philosophies of some of the major CFC participants, contributions grew dramatically: from \$12.9 million in 1964 to \$82.8 million in 1979.

Expansion

Up through the 1970's, the Combined Federal Campaign (CFC) was a relatively non-controversial program in terms of the charities allowed to participate. Growth in the number of participating national charities was slow -- from 23 in 1969 to only 33 in 1979.

In the late 1970's, public policy advocacy groups, legal defense funds, and other organizations succeeded through lower court litigation in entering the CFC. The case that opened the doors to these types of groups was *Natural Resources Defense Council v. Campbell* in which the United States District Court for the District of Columbia ruled that the definition of a human health and welfare charity was too vague and ordered the Office of Personnel Management (OPM) to allow various groups to participate in the CFC. OPM, the successor organization to the U.S. Civil Service Commission, assumed regulatory authority over the CFC in 1978.

Significant changes to the CFC regulations in April, 1980 went a long way toward expanding participation in the CFC and resolving a number of other problems. Regulations issued in 1982 by OPM Director Donald Devine also addressed CFC organization. They formally recognized the role and responsibilities of the local groups of Federal officials that manage the campaigns -- Local Federal Coordinating Committees (LFCC's) -- and introduced the concept of Principal Combined Fund Organizations (PCFO's) -- local federated fundraising organizations appointed by LFCC's to administer the local campaigns.

Responding to a court order permanently enjoining OPM from excluding legal defense and advocacy groups from the CFC because of their "indirect" support of health and welfare or their lobbying/advocacy activities, Director Devine in April 1984 opened the CFC to basically any 501(c)(3) charity and permitted write-in designations.

In July 1985, however, the Supreme Court upheld President Reagan's Executive Orders, holding that the

exclusion of advocacy, legal defense and other non-health-and-welfare groups is constitutional, as long as it is done even-handedly, without discrimination for or against any particular political viewpoint. In 1986, OPM revised its regulations consistent with the President's Orders.

Under the Hoyer-Hatfield Amendment to the Continuing Resolution for FY 1986, however, Congress declared that OPM could not issue the regulations in final form and implement them. Congress directed OPM to either disregard the content of the 1982 and 1983 Executive Orders or reissue the regulations used in the campaigns in 1984 and 1985. OPM reissued the 1984 regulations and administered the 1986 and 1987 CFC under these interim rules.

Recent Changes

Starting in the fall of 1986 and continuing throughout 1987, the Office of Personnel Management (OPM) met with various interested parties including local federal officials and representatives of the voluntary agencies and the federations. During the course of these discussions OPM identified six areas of immediate concern:

The Director of OPM convened a task force composed of three private sector individuals, chaired by OPM's General Counsel. The task force was to consider relevant information on the design and operation of the Combined Federal Campaign (CFC) and provide the Director with its opinions on the future direction of the CFC.

Before the task force could present its report to the Director, the Congress, at the request of various national charities, adopted permanent legislation for the CFC in the Treasury, Postal Service, and General Government Appropriations Act for FY 1988 (P.L. 100-202). This legislation attempted to deal with some of the major problems that OPM had identified during the course of the meetings and discussions during the past year and a half.

Public Law 100-202 required OPM to review the formula for distributing undesignated contributions based on the experience of the 1988, 1989, and 1990 CFC's. In 1990, OPM conducted eight public meetings around the country to hear from all interested parties, especially federal employees, on this topic. Final regulations were published in August, 1991 that provided for undesignated funds to be distributed to organizations in the same proportion as they received designations. In addition, three new general designation options for all participating organizations, all national/international organizations, and all local organizations were created. They have since been removed. A fourth general designation option for all international organizations was mandated by congressional legislation and still exists today. These regulations were effective with the 1992 campaign.

As a result of audits of local campaigns conducted by OPM's Office of the Inspector General and to reflect the experience of the previous eight campaigns, CFC regulations were revised in November, 1995. Eligibility and public accountability criteria for participating charities remains consistent with congressional guidelines. However, several administrative changes were made. Some of the more important revisions include:

- More clearly defining the scope and meaning of workplace solicitations in the
- Federal government;
- Identification of the circumstances where the Director may authorize solicitations
- of Federal employees in the workplace outside of the CFC;
- Clarification of procedural requirements for charitable organizations seeking

- participation in the CFC;
- Expanding local eligibility by defining and enumerating criteria for organizations
- that provide services on a statewide basis;
- Removing all general designation options not required by statute; and
- Expanding the solicitation methods and the pool of potential donors.

The 1999 Combined Federal Campaign currently consists of 387 regional campaigns and the 1998 campaign receipts were \$206.4 million.

Current Staff

- Mara Paternmaster - Director, CFC Operations
 - Jennifer Hirschmann - Combined Federal Campaign Policy Advisor
 - Gail Davis - Staff Assistant
 - Nicole Nelson - Staff Assistant
-

Current CFC regulations are available in [Adobe Acrobat PDF](#) (101K) and [WordPerfect 5.1](#) (89K) formats.

- To [CFC Home Page](#)
 - To [OPM Web Site Index](#)
 - To [OPM Home Page](#)
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Updated July 14, 1999

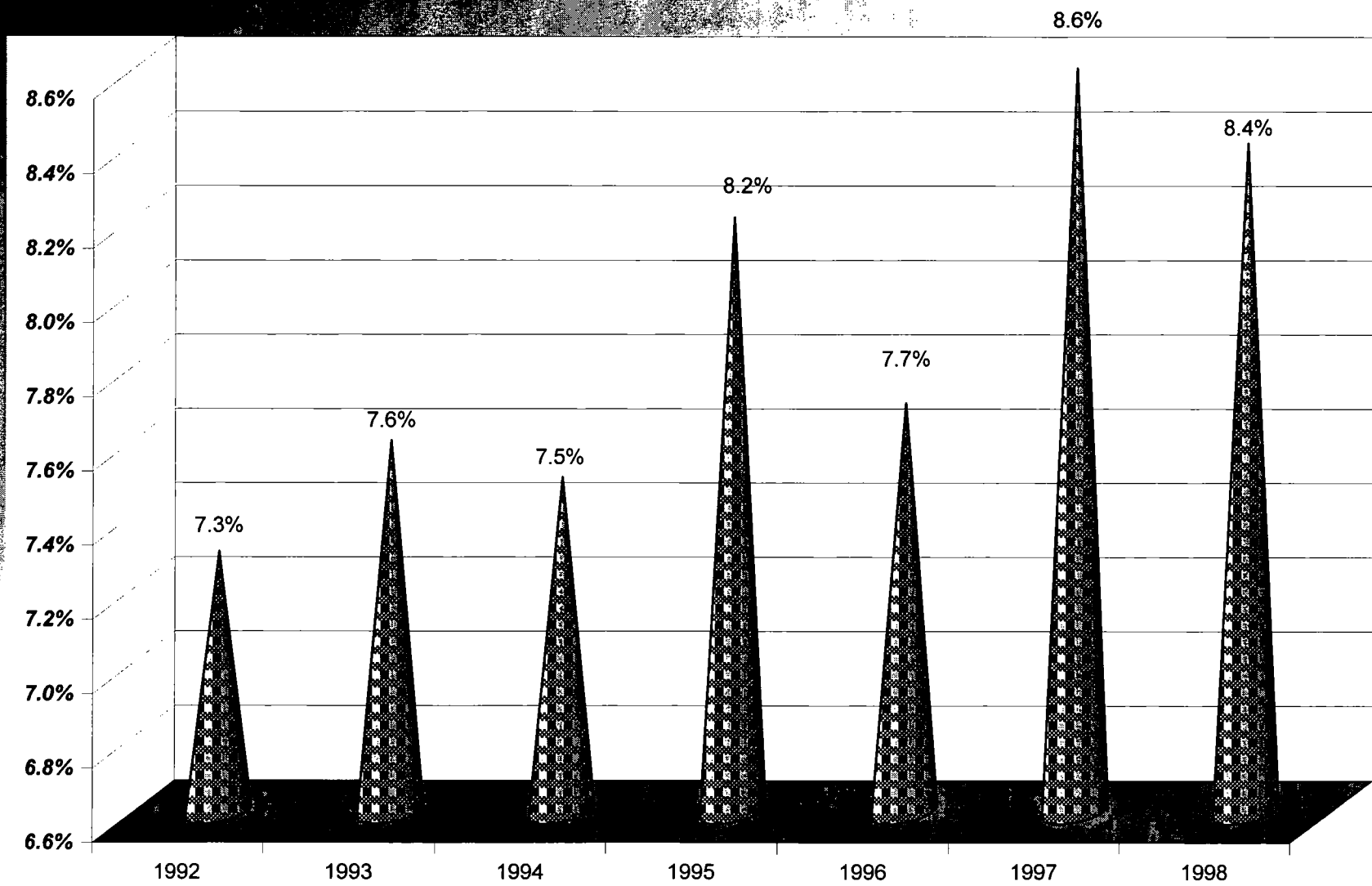
Combined Federal Campaign Historical Data Summary

Campaign Year	Total Receipts	Percentage Change	Number of CFC's	Number Solicited	Number of Contributors	Participation Rate	Percent Designated	Percent Undesignated	Per Capita Gift	Average Gift
1998	\$206,483,736	4.75%	390	3,900,565	1,518,761	38.9%	96.4%	3.6%	\$ 52.94	\$ 135.96
1997	\$197,125,385	1.80%	395	3,970,129	1,563,614	39.4%	95.9%	4.1%	\$ 49.65	\$ 126.07
1996	\$193,634,592	2.28%	399	4,001,669	1,640,100	41.0%	95.4%	4.6%	\$ 48.39	\$ 118.06
1995	\$189,323,784	-2.94%	413	4,017,967	1,715,243	42.7%	94.3%	5.7%	\$ 47.12	\$ 110.38
1994	\$195,052,260	-0.90%	435	4,108,873	1,848,206	45.0%	94.3%	5.7%	\$ 47.47	\$ 105.54
1993	\$196,826,303	-1.03%	446	4,193,355	2,009,753	47.9%	93.2%	6.8%	\$ 46.94	\$ 97.94
1992	\$198,867,248	-2.70%	468	4,460,067	2,190,483	49.1%	92.5%	7.5%	\$ 44.59	\$ 90.79
1991	\$204,384,007	7.16%	474	4,685,271	2,482,482	53.0%	90.5%	9.5%	\$ 43.62	\$ 82.33
1990	\$190,731,161	2.05%	483	4,682,370	2,504,305	53.5%	89.0%	11.0%	\$ 40.73	\$ 76.16
1989	\$186,894,072	12.63%	507	4,861,652	2,714,135	55.8%	87.3%	12.7%	\$ 38.44	\$ 68.86
1988	\$165,939,430	9.59%	536	4,675,061	2,733,405	58.5%	85.5%	14.5%	\$ 35.49	\$ 60.71
1987	\$151,423,747	11.04%	506	4,327,495	2,561,715	59.2%	80.6%	19.4%	\$ 34.99	\$ 59.11
1986	\$136,371,573	0.42%	531	4,196,256	2,524,214	60.2%	79.3%	20.7%	\$ 32.50	\$ 54.03
1985	\$135,797,737	10.70%	531	4,362,962	2,564,124	58.8%	77.6%	22.4%	\$ 31.13	\$ 52.96
1984	\$122,670,076	11.25%	513	4,158,229	2,414,254	58.1%	74.4%	25.6%	\$ 29.50	\$ 50.81
1983	\$110,268,636	8.97%	519	4,050,933	2,337,223	57.7%	67.0%	33.0%	\$ 27.22	\$ 47.18
1982	\$101,195,318	6.57%	511	3,934,499	2,280,436	58.0%	64.8%	35.2%	\$ 25.72	\$ 44.38
1981	\$94,957,020	12.53%	532	3,910,915	2,346,549	60.0%	49.5%	50.5%	\$ 24.28	\$ 40.47
1980	\$84,385,067	1.91%	532	3,634,154	2,158,688	59.4%	45.9%	54.1%	\$ 23.22	\$ 39.09
1979	\$82,799,837	-0.21%	534	3,784,270	2,754,949	72.8%	40.1%	59.9%	\$ 21.88	\$ 30.05
1978	\$82,973,059	4.77%	538	3,830,704	2,704,477	70.6%	38.4%	61.6%	\$ 21.66	\$ 30.68
1977	\$79,194,136	11.58%	535	3,833,211	2,752,245	71.8%	37.5%	62.5%	\$ 20.66	\$ 28.77
1976	\$70,975,808	9.41%	526	3,807,715	2,718,709	71.4%	36.8%	63.2%	\$ 18.64	\$ 26.11
1975	\$64,869,538	6.80%	526	3,566,220	2,745,989	77.0%	35.6%	64.4%	\$ 18.19	\$ 23.62
1974	\$60,739,406	11.87%	519	3,488,765	2,696,816	77.3%	34.7%	65.3%	\$ 17.41	\$ 22.52
1973	\$54,292,803	7.33%	506	3,713,598	2,666,363	71.8%	33.7%	66.3%	\$ 14.62	\$ 20.36
1972	\$50,585,897	14.63%	493	3,800,593	2,763,031	72.7%	31.3%	68.7%	\$ 13.31	\$ 18.31
1971	\$44,128,110	23.44%	462	3,686,559	2,713,307	73.6%	29.9%	70.1%	\$ 11.97	\$ 16.26
1970	\$35,747,954	8.44%	226	3,501,269	2,650,460	75.7%	29.8%	70.2%	\$ 10.21	\$ 13.49
1969	\$32,965,815	12.56%	196	2,899,368	2,299,199	79.3%	30.1%	69.9%	\$ 11.37	\$ 14.34
1968	\$29,288,462	19.41%	174	2,711,895	2,191,211	80.8%	28.3%	71.7%	\$ 10.80	\$ 13.37
1967	\$24,527,944	11.90%	144	2,541,756	2,038,488	80.2%	28.1%	71.9%	\$ 9.65	\$ 12.03
1966	\$21,918,544	21.44%	101	2,304,789	1,873,794	81.3%	29.6%	70.4%	\$ 9.51	\$ 11.70
1965	\$18,049,436	40.16%	33	1,560,020	1,258,629	80.7%	28.8%	71.2%	\$ 11.57	\$ 14.34
1964	\$12,877,942									

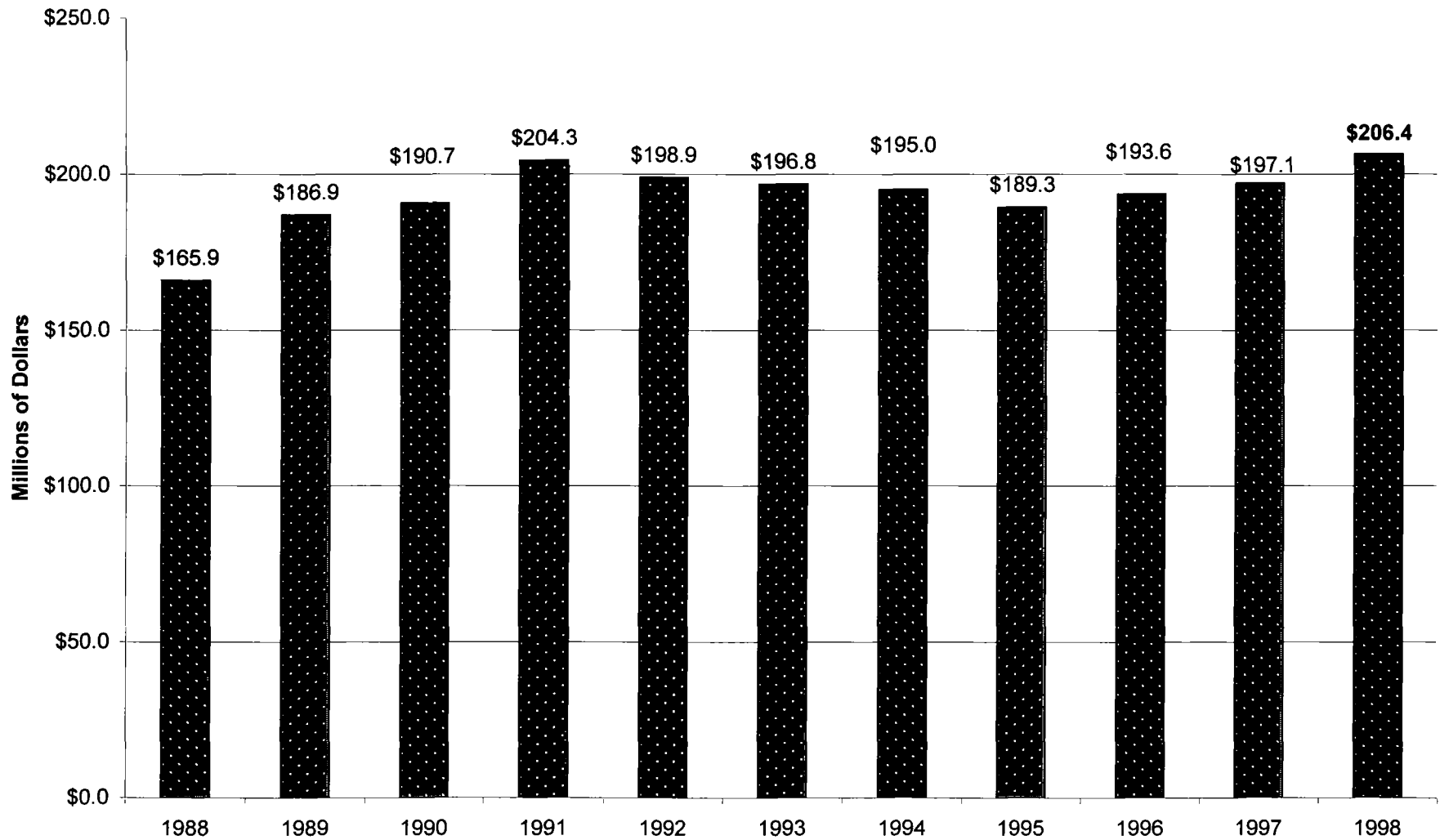
Combined Federal Campaign Historical Data Summary

Campaign Year	Amount Raised Thru PRD	% of Receipts Thru Payroll Deduction (PRD)	% of Employees Using Payroll Deduction (PRD)	Average PRD Gift	Average All Other Gifts	Campaign Costs	Percent Campaign Cost
1998	\$ 187,408,783.00	90.8%	77.2%	\$ 159.71	\$ 55.22	\$ 17,422,439	8.4%
1997	\$ 181,399,645.00	92.0%	76.7%	\$ 151.20	\$ 43.36	\$ 16,865,448	8.6%
1996	\$ 173,109,325.25	89.4%	73.9%	\$ 142.83	\$ 47.99	\$ 15,063,536	7.8%
1995	\$ 174,177,881.28	92.0%	73.8%	\$ 136.89	\$ 34.37	\$ 15,581,496	8.2%
1994	\$ 175,351,981.74	89.9%	74.2%	\$ 125.27	\$ 48.81	\$ 14,568,999	7.5%
1993	\$ 176,750,020.09	89.8%	73.5%	\$ 119.54	\$ 37.57	\$ 14,918,102	7.6%
1992	\$ 172,219,036.77	86.6%	74.5%	\$ 108.40	\$ 40.49	\$ 14,600,151	7.3%
1991	\$ 187,828,902.43	91.9%	75.8%	\$ 99.80	\$ 27.56	\$ 13,656,031	6.7%
1990	\$ 173,565,356.51	91.0%	75.2%	\$ 92.18	\$ 27.67	\$ 13,560,260	7.1%
1989	\$ 166,896,406.30	89.3%	80.2%	\$ 76.74	\$ 36.95	\$ 11,116,202	5.9%
1988	\$ 150,673,002.44	90.8%	73.4%	\$ 75.04	\$ 32.98	\$ 9,620,217	5.8%
1987	\$ 134,767,134.83	89.0%	72.4%	\$ 72.72	\$ 23.48	\$ 7,888,884	5.2%
1986	\$ 122,734,415.70	90.0%	70.2%	\$ 70.30	\$ 18.45	\$ 5,727,606	4.2%
1985	\$ 117,465,042.51	86.5%	67.2%	\$ 68.14	\$ 21.80	\$ 6,463,972	4.8%
1984	\$ 108,563,017.26	88.5%	68.9%	\$ 65.24	\$ 18.79	\$ 5,393,391	4.4%
1983	\$ 97,918,548.77	88.8%	77.8%	\$ 53.85	\$ 23.69	\$ 4,525,914	4.1%
1982	\$ 89,456,661.11	88.4%	67.9%	\$ 57.77	\$ 16.04	\$ 3,990,925	3.9%
1981	\$ 82,232,779.32	86.6%	67.0%	\$ 52.19	\$ 16.39	\$ 3,105,046	3.3%
1980	\$ 72,908,697.89	86.4%	66.0%	\$ 50.77	\$ 15.93	\$ 2,710,776	3.2%
1979	\$ 70,793,860.64	85.5%	54.6%	\$ 47.00	\$ 9.60	\$ 2,314,332	2.8%
1978	\$ 70,444,127.09	84.9%	61.6%	\$ 42.30	\$ 12.10	\$ 2,186,111	2.6%
1977	\$ 66,523,074.24	84.0%	61.4%	\$ 39.38	\$ 11.97	\$ 1,987,901	2.5%
1976	\$ 58,271,138.37	82.1%	57.5%	\$ 37.28	\$ 11.09	\$ 1,851,004	2.6%
1975	\$ 50,338,761.49	77.6%	51.0%	\$ 35.94	\$ 11.19	\$ 1,712,141	2.6%
1974	\$ 47,680,433.71	78.5%	52.5%	\$ 33.68	\$ 10.10	\$ 1,943,661	3.2%
1973	\$ 40,936,773.46	75.4%	48.5%	\$ 31.69	\$ 12.76	\$ 1,465,906	2.7%
1972	\$ 36,421,845.84	72.0%	44.1%	\$ 29.87	\$ 9.19	\$ 1,315,233	2.6%
1971	\$ 31,728,111.09	71.9%	39.3%	\$ 28.28	\$ 8.57	\$ 1,279,715	2.9%
1970	\$ 24,701,836.21	69.1%	38.8%	\$ 25.44	\$ 8.04	\$ 1,036,691	2.9%
1969	\$ 22,087,096.05	67.0%	37.5%				
1968	\$ 18,510,307.98	63.2%	36.2%				
1967	\$ 14,545,070.79	59.3%	32.4%				
1966	\$ 12,625,081.34	57.6%	29.3%				
1965	\$ 9,927,189.80	55.0%	29.0%				
1964							

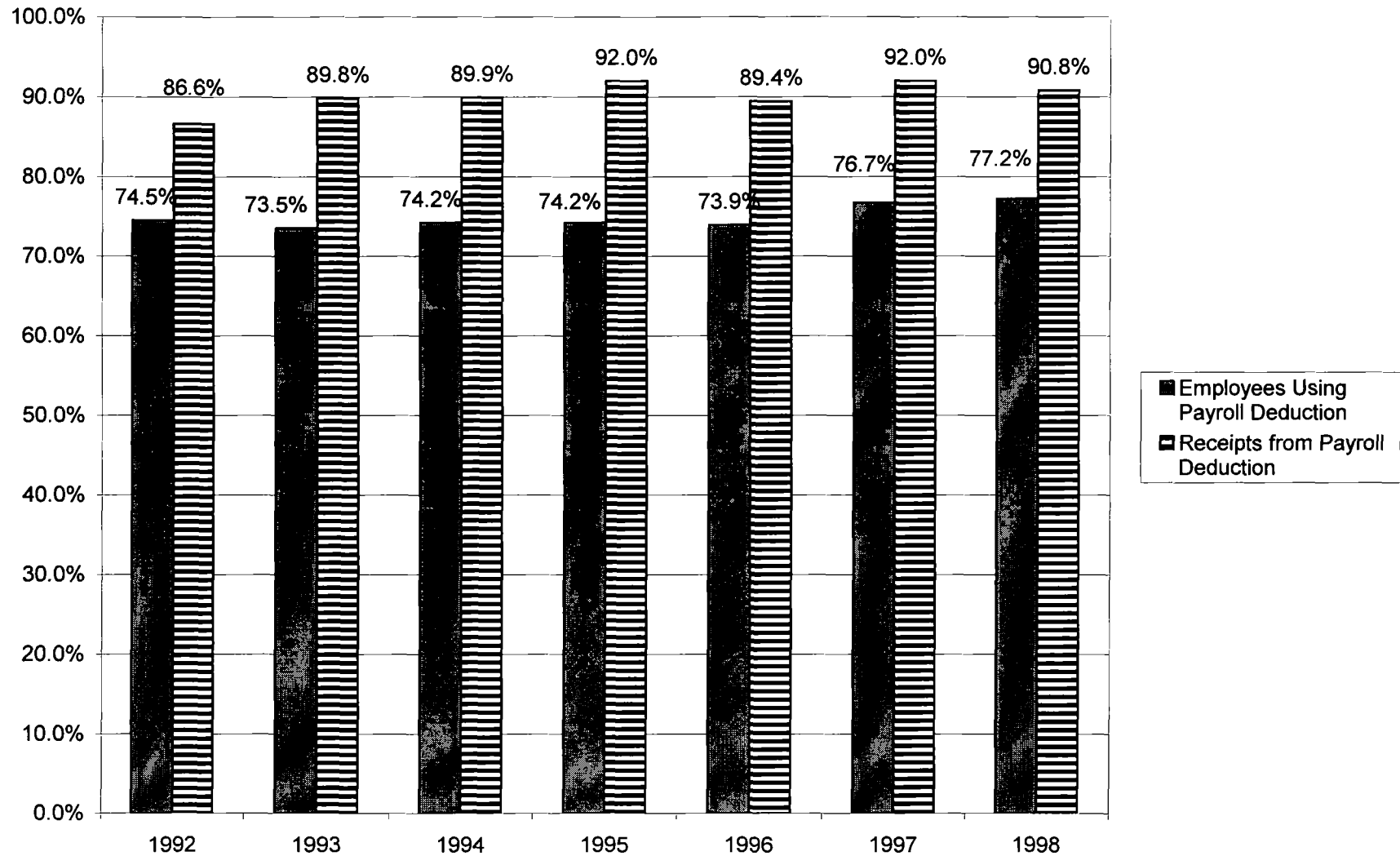
Trends in Campaign Costs



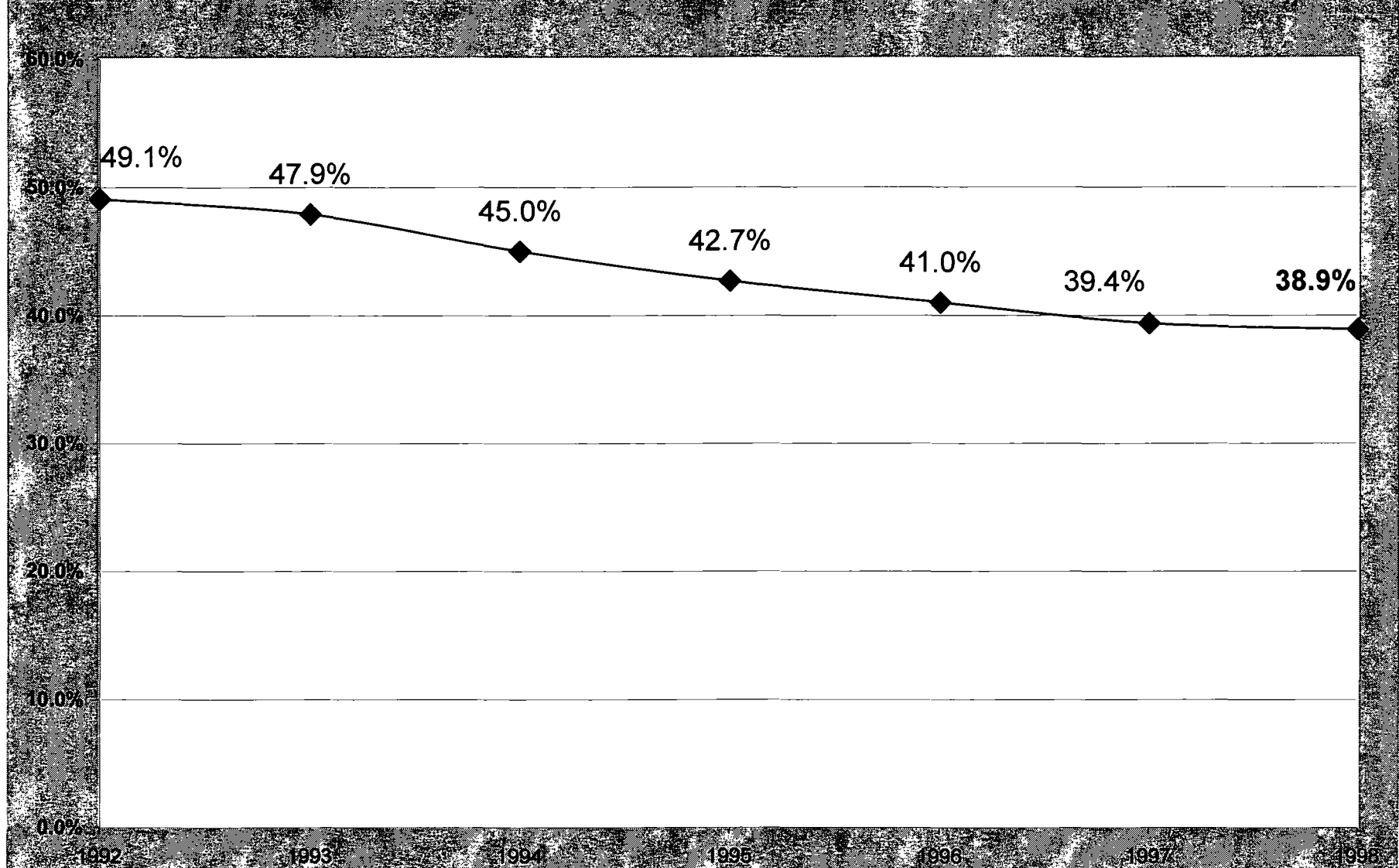
**Combined Federal Campaign
Totals 1988 - 1998**



**Percent of Total Receipts from Payroll Deductions &
Percent of Employees Using Payroll Deduction**



Participation Trend





COMBINED FEDERAL CAMPAIGN

"The CFC doesn't just encourage people to give money, it also encourages them to give up their time through citizen service, an activity I believe to be essential, an essential part of what it means to be an American. And service does more than aid the needy, it also brings people of every background together uniting them to improve their communities. When Americans join together for a common purpose, we can achieve anything."

-President William J. Clinton
1998

The mission of the Combined Federal Campaign (CFC) is to support and to promote philanthropy through a program that is employee-focused, cost-efficient, and effective in providing all Federal employees the opportunity to improve the quality of life for all.

Its tradition of commitment to the community through the selfless efforts of federal employees has its roots in the many charitable campaigns of the early 1960s. Seeing a need to bring the diversity of fundraising efforts under one umbrella, Federal employees created the CFC – one campaign, once a year. A 1961 Executive Order made the CFC a reality, and turned an innovative idea into a uniquely effective way for Federal employees to help those in need. By allowing employees to make their contributions through payroll deductions, the CFC opened wide the door to more opportunities for generous giving to literally thousands of worthy causes. *The CFC is the only authorized solicitation of employees in the Federal Workplace on behalf of charitable organizations.*

The CFC assists charitable organizations worldwide, and it gives more than 4 million federal employees the opportunity to give to the charity of their choice each year. In 1998, Federal employees participated in 390 local campaigns, contributing \$206.4 million to charity, breaking the previous record of \$204.1 million set in 1991.

To learn more about the CFC, please, call Ms. Gail Davis at **202/606-2564** or visit our web site at www.opm.gov/cfc. You may also write us at the following address:

Combined Federal Campaign
United States Office of Personnel Management
1900 E Street, NW, room 5450
Washington, DC 20415

DRAFT
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**SELECT PROFILES OF ORGANIZATIONS
STUDYING THE FIELD OF PHILANTHROPY**

**COUNCIL ON FOUNDATIONS
DECEMBER, 1998**

DRAFT
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COUNCIL ON FOUNDATIONS
Select Profiles of Organizations Studying the Field of Philanthropy

The idea for an Emerging Issues Department at the Council on Foundations came from the need for the Council to scan the horizon for new opportunities, as well as potential threats, to the field of philanthropy. One of the first steps in that effort was to find out what other organizations are already studying about emerging issues for philanthropy. This initial “mapping” project highlights those institutions and individuals examining the field of grantmaking and whose work could be helpful in an effort to identify emerging issues for the field. The groups of organizations examined by Council staff include academic institutions, philanthropic support organizations, associations supporting nonprofit infrastructure, nonprofit think tanks, commissions, private sector organizations and foundations with programs supporting nonprofit infrastructure.

This report provides a snapshot of what is currently being done at these organizations related to the field of philanthropy. Obviously, this picture will change over time as organizations take on new projects and new entities are formed to respond to issues in the field. By no means exhaustive, this collection looks at those organizations identified as active or potentially active in the study of grantmaking as part of the larger nonprofit sector. In some instances, there are discrete, focused initiatives; in other cases the interest is broad but unspecific; and in others there is little or no activity directed toward grantmakers. The purpose of this report is to inform the discussions of the design group on emerging issues and provide the group with a baseline of activities recently completed, currently underway or soon to be undertaken.

Findings

It is clear from an examination of other organizations that there is no group that is looking at the “big picture” for the field of philanthropy. Furthermore, a cursory review of literature about trends for the future reveals little about the nonprofit sector or organized philanthropy (despite some interesting work identified below). This snapshot revealed studies and/or projects in the following areas:

- Foundations and public policy
- Trends, statistics and other information about grantmaking and giving
- Foundations’ impact on and value to society
- Corporate giving issues
- Foundation critics – from both the left and right
- Global grantmaking issues
- Professional advisory services for foundations and individuals
- Legal and legislative issues
- Religious philanthropy
- Giving traditions of other cultures and ethnic groups
- Foundation perpetuity and preserving donor intent

- Non-traditional forms of philanthropy (particularly “social venture” philanthropy)
- Promotion of philanthropy and philanthropic values
- Commissions studying civil society and community involvement
- Building philanthropic infrastructure
- Issues affecting the overall nonprofit sector
- General social and economic trends (that *could* affect philanthropy)

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Alliance for Justice

The Alliance for Justice is an association of public interest organizations that focuses on promoting and strengthening the ability of nonprofits to influence public policy. The Alliance's Foundation Advocacy Initiative encourages foundation support of advocacy work that affects public policy. Through this Initiative, the Alliance published *Myth V. Fact*, a legal guide for foundations interested in becoming more involved in advocacy. *Myth v. Fact* has been widely distributed within the philanthropic community and has served as the focus of discussion in many Council on Foundations, RAG and affinity group conference sessions. The Initiative has also produced a series of ads featured in *Foundation News & Commentary* and the *Chronicle of Philanthropy* that emphasize the connection in grantmaking between civic participation and public policy.

The Alliance's involvement in emerging issues relating to philanthropy is limited to the legal realm of foundation involvement in public policy. However, they do watch for trends and issues in Congress and in the judicial system that could have an impact on the philanthropic community's ability to participate in policymaking.

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American Assembly

Founded in 1950 by Dwight D. Eisenhower, the American Assembly is a national, non-partisan public affairs forum affiliated with Columbia University. The Assembly seeks to focus attention and stimulate discussion on issues critical to U.S. foreign and domestic policy, inform government and civic leaders and the public about policy options pertaining to a specific issue, and raise the level and quality of public policy discourse on these issues. The Assembly has hosted nearly 100 assemblies since its inception, at which public opinion leaders representing social, political, economic, professional and vocational interests have gathered. Its second mission, to educate the public, government and civic leaders, is accomplished through numerous publications, reports, and programs.

One recent project relevant to the examination of emerging issues for the field of philanthropy is "Trust, Service, and the Common Purpose: Philanthropy and the Nonprofit Sector in a Changing America." This program was jointly sponsored by the American Assembly and the Indiana University Center on Philanthropy and held at the Getty Center in April 1998. The final report, which includes working papers from leaders in the field of philanthropy, will be released in early 1999. Although the final working papers are not yet available, summaries from the drafts are an appendix to this report.

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American Association of Fundraising Counsel (AAFRC)

The American Association of Fundraising Counsel (AFFRC) is an organization that provides fundraising advice and guidance for nonprofit organizations throughout North America. Its member firms provide a variety of services designed to increase giving to client organizations. Such services include: feasibility and planning studies, market research and surveys, staff training, program evaluation, public relations advice and communication services.

For over 43 years, a philanthropic arm of AAFRC has published an annual research report that tracks fiscal changes in the nonprofit sector, *Giving USA*. This report is useful to trend watchers as it reports foundation giving in context with individual and government grants to nonprofits. The statistics show growth and other trends over a 30-year time period.

Although the report does not directly forecast future trends, it does offer a research methodology chapter, which informs the reader about how to use the report's statistics to make more accurate predictions about the future. Research from an array of topics is presented in the report. For instance, each year the report analyzes how charitable giving in various sectors compares from the subsequent year and reports whether foundation giving is keeping pace with asset growth. Trends pertaining to international and cultural grants are also reported.

In addition to the report, Anne Kaplan, the research director at AAFRC, occasionally focuses her presentations and lectures on future scenarios that could strengthen or jeopardize the field. For example, one recent presentation addressed how future movements in the stock market could affect philanthropy.

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American Enterprise Institute

The American Enterprise Institute for Public Policy Research (AEI) seeks to, according to their promotional literature, preserve and strengthen the “foundations of freedom”—limited government, private enterprise, vital cultural and political institutions, and a strong foreign policy and national defense—through research, open debate, and publications.

The Institute conducts research in the areas of trade and economics, social welfare, government tax, spending, regulatory and legal policies, U.S. politics, international affairs, and U.S. defense and foreign policies. Although AEI does not conduct specific research related to the philanthropic sector, it may serve as a useful resource for an examination of broader issues that affect grantmaking.

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Aspen Institute

The Aspen Institute, an international educational institution dedicated to enhancing leadership throughout the world, has two programs that directly examine the future of the philanthropic field, the Nonprofit Sector Research Fund and the Nonprofit Sector Strategy Group.

The Nonprofit Sector Research Fund makes grants for research on working papers in three areas that examine nonprofit impacts, values and activities: 1) The Role of Nonprofits and Philanthropy in Society, 2) Public Policy: Its Impact on Nonprofits and People They Serve, and 3) Nonprofit Accountability, Governance and Management. The first category, the role of nonprofits and philanthropy in society, looks to future trends in the field and how the nonprofit sector relates to business and government sectors.

Specific questions that this program seeks to address include:

- What is the impact of the nonprofit sector in public policy?
- What new roles are foundations and nonprofits playing in emerging democracies and developing and advanced economies from the world?
- How has philanthropy grown and changed?
- Are the mechanisms for promoting philanthropy adequate?
- What are examples of effective philanthropic partnerships in achieving public purpose?

The Fund's products include completed research papers, the *Nonprofit Research News* newsletter and *Nonprofit Research Forum*, a periodical, which features new research. A recent publication related directly to organized philanthropy is *Foundations: Exploring Their Unique Roles and Impacts on Society*, which discusses techniques for evaluating philanthropy's role in society and the impact it has had. The Nonprofit Sector Research Fund Council guides the activities of the Fund. Members include several foundation presidents as well as academics and nonprofit leaders.

Another Aspen program that complements that Fund's activities and examines emerging issues in the field is the Nonprofit Sector Strategy Group. This bipartisan leadership forum includes approximately 20 members who will meet twice a year for three years (they had the first meeting in July 1998). The group will address the most pressing issues facing the sector for the purpose of improving public policies related to nonprofits, informing public dialogue and identifying areas for future research.

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Boston College Center for Corporate Community Relations

The Boston College Center for Corporate Community Relations (CCCCR) is an international corporate membership organization dedicated to helping businesses worldwide strengthen their community relationships and investments. CCCR uses research, policy and education to create and enhance knowledge of the interdependence of business success and community vitality.

CCCCR is significantly involved in the research of issues that affect or have the ability to affect corporate grantmaking. Working with the American Productivity & Quality Center, the Center has conducted a Community Relations Consortium Benchmarking Study. Findings from this study are expected to be released in January 1999.

CCCCR also publishes *Corporate Community Relations Letter*, the newsletter of the Boston College Center for Corporate Community Relations, ten times yearly. The newsletter tracks research and trends related to community relations such as outsourcing and benchmarking, highlights innovative corporate programs, and provides information on professional skill enhancement, evaluation techniques, and program publicity.

CCCCR will address philanthropic issues in the next issue of a new research paper series that began in November 1998. The next issue, *Transformation of Corporate Community*

Relations, will be released in December. To obtain a copy of any CCCR publication, contact Michael Stevenson at the address and phone number listed below.

Beginning in January, the Center will offer an electronic news service called *Trend Alert*. Unlike the Center's newsletter, which provides in-depth articles about community relations, *Trend Alert* features easy-to-read summaries about emerging trends, social issues, corporate programs and community relations news. Its method of delivery is immediate—it will be emailed to subscribers.

Two online databases available through the Center Resource Center on Corporate Citizenship (CREST) includes one that provides access to materials from more than 1,000 corporations and hundreds of organizations of interest to staff in community relations/corporate responsibility. A second, the Best Practices Database, will provide links to programs in community relations, along with illustrative anecdotes and statistics about community relations. The Best Practices Database is not yet online.

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Brookings Institution

The Brookings Institution is an independent research organization, which seeks to improve public policies. Brookings' Scholars address current and emerging policy challenges and offer recommendations that are disseminated to policymakers and to the general public. The three focus areas for research are economic studies, foreign policy studies, and government studies.

Studies of the philanthropic sector are neither a part of Brookings key research, nor has the sector been the topic of any recent scholarly work. However, there may be times when a foundation's involvement in one of the focus areas (for instance, urban policy or education) would bring a specific foundation initiative into the discussion of one of their policy briefs.

Brookings is probably better suited to be a resource on larger emerging issues in American society than to be included in the more specific infrastructure of organizations examining emerging issues relating to foundations.

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Business for Social Responsibility

Business for Social Responsibility (BSR) is a membership organization for companies that seek to sustain their commercial success through methods that “respect people, communities, and the environment.” BSR membership gives access to research, education and training, technical assistance, and consulting.

Primary research performed by BSR includes benchmarking studies, summaries of leadership practices, and trend analysis in areas such as domestic partner benefits, minority purchasing relationships, country-specific human rights reports, and philanthropy and supplier environment guidelines. No specific examination of philanthropy as a field is conducted. However, BSR trend analysis may be valuable to work on emerging issues.

Information related to corporate social responsibility, community involvement, including global philanthropy, public/private partnerships, volunteerism, and community economic development is available on the BSR website at www.bsr.org.

Contact: Business for Social Responsibility
 609 Mission Street, 2nd Floor
 San Francisco, CA 94105
 415/537-0888

Capital Research Center

The Capital Research Center, an organization established in 1984 to study critical issues in philanthropy, focuses on nonprofit public interest and advocacy groups, their funding sources, agendas, and impact on public policy and society. The Capital Research Center publishes an annual directory, *Patterns of Corporate Philanthropy*, which documents corporate giving and a monthly newsletter, *Foundation Watch*, which monitors the activities of private foundations and analyzes their impact on American society. Another publication, *Guide to Nonprofit Advocacy and Policy Groups*, profiles over 100 influential nonprofit public policy and advocacy organizations.

Committed to a “vigorous and strong private sector,” the Capital Research Center seeks to expose “politicized” nonprofits as it defines them. The Center’s perception that the

“proliferation of the nonprofit sector” has compromised accurate and verifiable information on their purposes, personnel, and finances may limit its ability to depict accurately the broad spectrum of issues affecting philanthropy.

Issues directly related to philanthropy that the Center has addressed recently include preserving donor intent and perpetuity in grantmaking foundations. Two recent books address these issues: *The Great Philanthropists and the Problems of Donor Intent* and *Should Foundations Live Forever? The Question of Perpetuity*, both by Martin Morse Wooster, a Visiting Fellow at the Center.

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Case Western Reserve University, Mandel Center for Nonprofit Organizations

The Mandel Center is comprised of three separate schools at Case Western Reserve University—the Mandel School of Applied Social Sciences, the Weatherhead School of Management, and the School of Law. Working together, these schools address the need for professional education of leaders of nonprofit organizations and disseminate research on the nonprofit sector.

At this time, the Mandel Center for Nonprofit Organizations is not engaged in specific research pertaining to the future of philanthropy. However, because its mission is to examine management of nonprofit organizations in a changing environment, the Mandel Center for Nonprofit Organizations may serve as a good source of information about current trends and their effect on nonprofit management.

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Cato Institute

The Cato Institute is a nonpartisan public policy think tank which seeks to "broaden the parameters of public policy debate" by examining the proper role of government. This is done through several major annual conferences and an extensive publications program which ranges from books on individual liberty and limited government to monographs on specific current and emerging issues. The consistent thread through these meetings and materials is a promotion of policies supporting limited government, free markets and individual liberty.

Like the Brookings Institution, Cato has no specific programs that examine emerging issues in philanthropy. Foundation issues may be incorporated into their studies only as they intersect one of the primary themes of research such as civil society or social spending.

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Center for Policy Alternatives

The Center for Policy Alternatives is a nonprofit, nonpartisan public policy and leadership development center dedicated to creating community-based solutions that strengthen families and communities. The Center fulfills its mission by linking elected leaders throughout the United States with private and nonprofit sector leaders in search of innovative solutions and resources to common problems.

The scope of the Center for Policy Alternatives is much broader than the parameters of philanthropy. However, in its search for new solutions, the Center addresses many of the same issues which affect philanthropy. For this reason, this organization may serve as a good source of information about the "big picture." At this time, no specific research related to philanthropy is in progress.

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City University of New York, Center for the Study of Philanthropy

The Center for the Study of Philanthropy has several research initiatives that examine the changing role of philanthropy and its relationship to the welfare state, giving and voluntarism in New York and the international dimensions of these activities. The Center's research emphasizes the growing multiculturalism of giving and studies the patterns of giving and voluntarism by different ethnic, religious, racial, gender, and economic groups, as well as in different kinds of institutions in the U.S. and internationally. With Senior Fellow David Logan, the Center is beginning to study corporate community involvement as well.

The Center's programs include seven areas of work:

1. Conferences and seminars. These include topics such as "Women and Philanthropy," "Philanthropy and Reaganomics," and "International Philanthropy in the 1990's."
2. Research. Studies include a focus on women, the aged, multicultural philanthropy and foundations.
3. Fellowships. The Center operates its International Fellows Program bringing younger scholars and practitioners from different parts of the world to the U.S. to study a variety of issues.
4. Consultancies.
5. Courses. There is a major project of curriculum development that includes the creation of course material, curriculum guides and ancillary materials on the philanthropic traditions of : Protestants, Catholics, Jews, women, African Americans, Northern Europeans, Eastern and Southern Europeans, and peoples from the Middle East, Sub-Saharan Africa, Latin America, as well as South, Southeast and East Asians.

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CIVICUS: World Alliance for Citizen Participation

CIVICUS is an international alliance dedicated to strengthening citizen action and civil society throughout the world. As a global alliance of citizens and organizations, CIVICUS works to develop supportive laws, policies, and regulations and create

permanent resource mechanisms to advance and nurture citizen action. CIVICUS also provides an open forum for the facilitation of cross/sector communication.

The CIVICUS Strategic Plan for 1998-2000 is centered around three primary program strategies: convening, knowledge-based activities, and advocacy. Each program strategy will be implemented at the global and regional level. Specifically, CIVICUS will convene, sponsor, and participate in events of global or regional significance such as the biennial World Assemblies, biennial regional meetings, and affinity group meetings. CIVICUS will also focus on information development and dissemination via projects such as country profiles and occasional papers on civil society issues. Advocacy-related projects include the *State of Civil Society* report, crisis response, and service as an institutional liaison with global and regional policymakers.

In October, CIVICUS named Kumi Naidoo, former Executive Director of the South African National NGO Coalition, Secretary General. Under his leadership, CIVICUS expects to play a greater role in creating "innovative interventions" in the areas of advocacy, coordination and networking, promoting new methods for achieving financial sustainability, and securing a better global environment for the nonprofit sector.

The first volume of *The State of Civil Society*, a multi-volume work that examines global and regional trends affecting the nonprofit sector and includes findings from over 100 countries, will be released in September 1999.

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Conference Board

Linking business executives from different companies, industries, and countries, the Conference Board, a business membership and research network, plays a vital role in the private sector and serves as a valuable resource for corporate philanthropy research. One mission of the Conference Board is to enhance the contribution of business to civil society. To further this mission, the Conference Board holds regular seminars and workshops on issues such as development of corporate-giving policies and goals, contribution budget design, benchmarking, and evaluation of giving programs.

Recent Conference Board reports have addressed the international contributions programs of U.S. firms, measured companies' community involvement, and provided information about strategic opportunities in community activity.

The following publications pertain either directly or peripherally to corporate philanthropy and emerging issues:

- *Corporate Contributions: The View From Fifty Years*, expected publication: December 1998
- *Citizenship in High-Tech Companies*, expected publication: Winter 1999
- *Mergers, Acquisitions, and Diversity Initiatives*, under development

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Duke University, Center for the Study of Philanthropy and Voluntarism

Created in 1986, Duke University's Center for the Study of Philanthropy and Voluntarism focuses on philanthropy and voluntary organizations. The Center seeks to stimulate an information exchange among scholars and practitioners, encourage course development in these areas and supports scholarly research on issues related to philanthropy and voluntarism. Past and current projects examine the predicted and actual effects of tax reform on charitable giving, implications of nonprofit entrepreneurial behavior, government regulation of the nonprofit sector, and university revenue patterns

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Family Office Exchange, Inc. (FOX)

Established in 1989, the Family Office Exchange (FOX) assists wealthy families in developing financial goals in many areas, philanthropy being only one of them. In addition to offering a consulting service, FOX puts families who face complex financial decisions in touch with wealthy families who were successful at managing their wealth.

Contact: Mary Jane Fredrickson
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Fidelity Investments Charitable Gift Fund

The Charitable Gift Fund is a 501(c)(3) public charity, recently recognized by the *Chronicle on Philanthropy* as the largest charity in the U.S. It is a commercial donor-advised fund and the largest of these types of funds being set up by investment companies. The Gift Fund provides donors with the opportunity to:

- make irrevocable charitable contributions to the Gift Fund of cash or securities,
- recommend grants from the Gift Fund to qualified charitable organizations,
- potentially increase a donor's philanthropy through investment management, and
- receive the tax benefits associated with a gift to a public charity.

Because these commercial donor-advised funds are set-up as public charities, they are in direct competition with community foundations and public charities with donor-advised funds.

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Forum of Regional Associations of Grantmakers

The Forum of Regional Associations of Grantmakers is a membership association of the nation's largest 25 regional associations of grantmakers (RAGs). The Forum helps RAGs work collaboratively and supports RAGs local leadership in four key areas: public policy, promoting the growth of new philanthropy, technology and measuring effectiveness.

The Forum's National Initiative to Promote the Growth of Philanthropy is a five-year funding collaborative to support regional efforts to increase organized philanthropy. One of the focuses of the Initiative will be to examine the emerging new voices (entrepreneurs and minorities) and new vehicles (social venture and Fidelity-type funds). The first grantees reflecting work in these key areas will be chosen at the end of 1998.

In addition to the leadership activities of the Forum on the national level, many individual RAGs have developed strategic plans, which address issues for foundations on regional levels. The Forum will be looking at the overlapping themes in RAG strategic plans and their implications for the Forum in their February 1999 meeting. Also at their February meeting, the Forum will experiment with an entire day via Open Space Technology, a fluid process involving people proposing their own agenda items, some of the items are likely to be "emerging" ones.

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Albert Ruesga (National Initiative)
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Foundation Center

The Foundation Center fosters public understanding of the foundation field by collecting, organizing, analyzing, and disseminating information on foundations. It maintains an electronic database that contains information on foundations, corporate giving and related subjects. The Center operates five professionally staffed libraries. They also offer many services and seminars for both grantmakers and grantseekers. Its research department has published many in-depth reports on foundation giving.

The Foundation Center's research department is involved with emerging issues and trends within philanthropy. The Center's annual report, *Foundation Giving: A Yearbook of Facts and Figures on Private, Corporate and Community Foundations*, chronicles the changing patterns of grantmaking activity in the U.S. and documents the rapidly rising numbers of foundations and their increased giving. In conjunction with the Council on Foundations, the center recently released a new benchmark study called *International Grantmaking: A Report on U.S. Foundation Trends*. The study provides extensive analysis of over 12,000 international grants. Finally, the Center's *Report on Health Policy* focuses on an increasingly important and complex public policy issue for grantmakers.

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Foundations and Donors Interested in Catholic Activities (FADICA)

Founded in 1976, Foundations and Donors Interested in Catholic Activities (FADICA) is an association of over 40 privately endowed foundations that share an interest in projects and institutions under Catholic sponsorship. FADICA is not a grantmaking agency; its mission is to promote effective philanthropy through donor education. Occasionally,

FADICA assists with projects initiated by its member foundations, such as spiritual leadership training seminars and marriage preparation programs. Recently, however, the majority of its efforts have focused on education and how to improve Catholic schools.

To educate the Catholic community on emerging issues in philanthropy, FADICA sponsors a National Symposium three times a year. The discussion series focuses on the trends and problems that face Catholicism in the 21st century. Future symposium topics will address the emerging issue of Catholic healthcare and how to better build Catholic foundations for the future.

To track important trends in Catholic Philanthropy, FADICA publishes an annual report, *Faith Lighting the Future: Annual Report of Foundations and Donors Interested in Catholic Activities, Inc.* This year the report concluded that Catholic philanthropy is increasingly focusing on the younger generation. FADICA also publishes numerous reports that discuss ways the Catholic giving community can prepare for the future, such as their 65-page handbook, *Funding Churches in the Future*.

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The Gathering

The Gathering is a network of individuals, families and foundations that give at least \$200,000 annually to Christian ministries and organizations.

Although they have not undertaken a project specific to emerging trends, they have identified significant trends in their newsletters and in meetings. For instance, they predict that as more women participate in charitable giving, the patterns of organizations will change. Because many Christian “para-church” organizations were formed by men’s giving, which emphasized impact, strategy, results, and leverage, new organizations are going to reflect women’s standards, which emphasize relationship building and open communication. An article addressing this topic recently appeared in the Gathering’s newsletter.

Other trends pinpointed by the Gathering include:

- overall growth in the number and assets of Christian community foundations,
- increased use of consultants by donors,
- more entrepreneurial-style philanthropists,

- growth in international networks of giving, and
- lines between staff, principals, and heads of organizations will continue to be blurred as more new people start and staff their own organizations.

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Georgetown University, Center for the Study of Voluntary Organizations and Service

The Center for the Study of Voluntary Organizations and Service is part of the Georgetown University's Public Policy Institute (GPPI). GPPI offers a master's degree in public policy with a nonprofit sector track that allows students to pursue specialized studies concerning the nonprofit sector, philanthropy and voluntary service. Virginia A. Hodgkinson, former vice president of research at Independent Sector, heads the Center. Dr. Hodgkinson has written extensively in the field of philanthropy and the nonprofit sector in the formulation of American public policy.

The Center is new and just beginning to develop its areas of interest. One area that relates to emerging issues for foundations will focus on giving and the wealthy.

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Heritage Foundation

The Heritage Foundation is a research institution whose mission is to "formulate and promote conservative public policies." It is a nonpartisan, nonprofit organization, privately funded through individuals, foundations and corporations. Heritage experts write and speak on a wide range of domestic and foreign policy issues through a variety of publications and seminars.

The philanthropic sector is not one of Heritage's focus areas. The issue area that most often mentions current and emerging issues in philanthropy is the "civic renewal"

department, which specializes in examining individuals and organizations that are rebuilding communities.

Heritage is a grantee of many foundations—an example of how some foundations have invested in a longer term strategy by building an infrastructure of experts to promote policies and “emerging issues” which focus on certain principles; in this case: free enterprise, limited government, traditional values, and a strong national defense.

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Independent Sector

Independent Sector (IS) is a national leadership forum of voluntary organizations, foundations and corporations with giving programs working to encourage philanthropy, volunteering, not-for-profit initiative and citizen action that helps better serve people and communities.

As a coalition that brings together both grantseekers and grantmakers, IS does not currently have any programs or research that focuses exclusively on foundations. However, the issues they address affect all of the nonprofit sector, including philanthropy.

Building Capacity for Public Policy is a joint project of IS and the National Council of Nonprofit Associations (NCNA). One of the four goals of the project is to develop and promote an affirmative, forward-looking public agenda for the sector, including foundations and corporate grantmakers. The three areas for this are: 1) advocacy and lobbying; 2) tax policy; and 3) regulatory functions. IS and NCNA will be looking at what needs to be done to be responsive and to benefit the entire nonprofit sector, as well as developing a seamless web of activities at the federal, state and local levels.

IS will be looking at the issue of accountability and self-regulation of the sector. They will be examining who is doing what and what processes are being used related to nonprofit accountability. They will identify the gaps and what needs to be done to strengthen the sector and make a recommendation to the Board of Directors about next steps.

Two other issues IS is examining are: 1) nonprofits and democracy, including the involvement of nonprofits in the democratic process, and the role and effectiveness of nonprofits in promoting citizen participation; and 2) corporate nonprofit relationships,

including the state of corporate philanthropy, corporate social investment and corporate/nonprofit partnerships.

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Indiana University Center on Philanthropy

The Indiana University Center on Philanthropy seeks to increase public awareness and understanding of philanthropy and improve its practice through research, teaching, and public service. The Center offers several graduate degrees related to nonprofit studies including a Master of Arts in Philanthropic Studies, the first masters degree program in the United States to focus on the history, culture and values of philanthropy.

Specific initiatives that may be useful to the study of emerging issues and philanthropy include:

- The *Philanthropic Giving Index* (PGI), a new biannual report that reveals current trends and future expectations in American philanthropic giving.
- *In Honor of Giving: Philanthropy in Native America*, a recently-published book that provides insight into the giving traditions of a dozen indigenous cultures native to North America.
- *Philanthropy in the World's Traditions*, a book that discusses the distinctive form that philanthropy took in different historical periods and in different cultures. It describes the ways in which philanthropy worked, articulates why it was formed and addresses the relative importance of philanthropy within the culture and its predominant religious tradition.
- Publication of a book of the background papers prepared for the American Assembly session on "The Future of Philanthropy in a Changing America" (expected publication is January 1999).

The IU Center on Philanthropy publishes numerous books, essays and working papers on philanthropic issues. Forthcoming publications in this area for 1999 include *Ethnic Philanthropy: Sharing and Helping in Eight Communities of Color* and *Philanthropic Foundations: New Scholarship, New Possibilities*. A research project that relates to foundations is a four-year project, Youth Understanding Philanthropy Project that seeks to increase understanding of how the philanthropic tradition – voluntary giving and service – is transmitted from generation to generation.

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or Dwight Burlingame, Associate Executive Director
and Director of Research
Indiana University Center on Philanthropy
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Indianapolis, IN 46202
317/274-4200

International Meeting of Associations Serving Grantmakers (IMAG)

The International Meeting of Associations Serving Grantmakers, held in Oaxaca, Mexico in February 1998, brought together for the first time 23 associations serving grantmakers from 16 countries. The purpose of the meeting was to provide a forum where natural and regional associations from around the world could discuss common problems, opportunities, and innovations. The meeting examined early stages of association development, member services, governance, funding, technology, and the enabling legal and regulatory environment for grantmakers.

Since the meeting, the international planning committee (India, the Philippines, Australia, Brazil, Mexico, United States, Canada, Czech Republic, Europe, Southern Africa) is developing a set of programs designed to support the work of colleague associations. This loose network of associations is a critical piece of the international philanthropic infrastructure and could serve as both a source of information and a dissemination network on emerging issues for the field.

Contact: Lisa Whiteman, International Fellow
IMAG
c/o Council on Foundations
1828 L Street, NW
Washington, DC 20036
202/466-6512

Johns Hopkins Institute for Policy Studies, Center for Civil Society Studies

The Center for Civil Society Studies at the Johns Hopkins Institute for Policy Studies seeks to "strengthen the institutional foundations of democracy throughout the world by encouraging the development of nonprofit organizations and promoting local self-government." Included within the Center are three projects that specifically pertain to philanthropy: The *Comparative Nonprofit Sector Project*, the *Third Sector Project*, and the *International Fellows in Philanthropy Program*.

- *The Comparative Nonprofit Sector Project* seeks to analyze the scope, structure, financing, and role of the nonprofit sector in countries throughout the world. Countries covered in the first phase of the project include the United States, the United Kingdom, France, Germany, Italy, Japan, Hungary, Sweden, Brazil, Ghana, Egypt, Thailand, and India. The second phase of the project, whose report was recently released (November 1998) includes 22 countries and provides new comparative data and analysis about the nonprofit sector. Absent from the study are Africa, Asia, and the Middle East. The report, *The Emerging Sector Revisited: A Summary*, is available from Wendell Phipps at the Center for Civil Society Studies.
- *The Third Sector Project* was initiated as a means to assist development of the “human and institutional infrastructure” required for a viable, private nonprofit sector worldwide. This project involves training individuals who will provide technical assistance for nonprofit managers, establish internships with U.S. nonprofits, and conduct in-country training workshops about the practical aspects of managing and operating a nonprofit organization.
- *The International Fellows in Philanthropy Program* provides a four to nine month period of study and research for up to eight persons a year. The fellows are involved in studying or managing private, nonprofit or philanthropic organizations outside the United States. The program also sponsors a fellows’ conference each year in different countries to encourage continuing interchange with former fellows. While there is no specific activity that highlights emerging issues, the collection of fellows provides a global network of professionals who are knowledgeable about the field.

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 Institute for Policy Studies, Comparative Nonprofit Sector Project
 Wyman Park Building, 5th Floor
 3400 North Charles Street
 Baltimore, MD 21218
 410/516-4523

Kettering Foundation Civil Investing Seminars

Since 1993, the Kettering Foundation, with initial support from the Council on Foundations and the Indiana University Center on Philanthropy, has convened a group of foundation executives to discuss civil investing strategies. “Civil investing,” made popular by Robert Putnam’s *Bowling Alone* article on the current state of America’s communities and lack of civic engagement, refers to grantmaking strategies that build on the inherent strengths of the communities and the process of community building. It is predicated on the notion that many existing philanthropic strategies are failing to leverage

the strengths of the communities they fund. These strengths include informal networks, public spaces and diverse leadership.

The Civil Investing Seminars include a focus on emerging issues *as they relate* to philanthropy's role in funding civil society. The twice-yearly seminars are limited to a core group (20-40) of foundation executives who meet to explore the theory and practice of civil investing. If the trend of civil investing gains more momentum, the work of the group could have broader implications for grantmakers in the way they do their business.

The Kettering Foundation disseminates reports and articles which capture the major points of the group's discussions.

Contact: Carol Farquhar
Kettering Foundation
200 Commons Rd.
Dayton, OH 45459
937/434-7300

National Alliance of Business

The National Alliance of Business is a national, nonprofit, business-led organization focusing on human resource issues. With a national perspective on the latest research, legislative and policy trends, and advances in education and workforce development, the business leadership of the Alliance applies its knowledge to programs at the state and local level. The Alliance and its member companies lead efforts to improve American education, build bridges from school to work, expand life-long learning opportunities for workers, and implement workforce development and job placement systems that meet the needs of employers and job seekers.

The Alliance is not focused on any emerging issues related to foundations or corporate giving but could be a resource for foundations interested in workforce and job training issues.

Contact: Roberts T. Jones
President and CEO
National Alliance of Business
1201 New York Avenue, NW, Suite 700
Washington, DC 20005-3917
202/289-2872

National Center for Family Philanthropy

The National Center for Family Philanthropy is a new (1997) organization established to help individuals and families identify and fulfill their family philanthropic missions. The National Center provides educational materials, research, and technical assistance on issues related to starting and managing a family philanthropy program. Currently, no emerging issues focus exists, but the staff and Board at the National Center are excellent resources regarding trends in family giving and issues relating to the “next generation” of family philanthropists. The *Journal of the National Center for Family Philanthropy* contains essays and articles on topics such as leadership and transition in family philanthropy.

Contact: Virginia Esposito
National Center for Family Philanthropy
1220 Nineteenth St., NW, Suite 804
Washington, DC 20036
212/293-3424

National Center for Nonprofit Boards

The National Center for Nonprofit Boards (NCNB) works to help nonprofit boards more effectively lead the organizations they serve. NCNB produces an array of training opportunities on board development that take several forms: a large selection of printed and video materials, satellite interactive broadcasts, on-site technical assistance, special training programs and a training-of-trainers program.

As the leading institution for information on governance and other board issues, NCNB is becoming more active in outreach to share the public’s understanding of the nonprofit field. Through collaboration with groups like Independent Sector in the United States and similar institutions in many other countries, NCNB actively seeks partners to enhance the operations of boards.

NCNB can serve as a source of information about trends of nonprofit boards, including foundation boards.

Contact: Judith O’Connor, President
National Center for Nonprofit Boards
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Washington, DC 20036
202/452-6262
ncnb@ncnb.org

National Commission on Civic Renewal

The purpose of the National Commission on Civic Renewal was to assess the level and condition of civil involvement in the United States today and to formulate policy prescriptions and other actions that can be taken by the private and nonprofit sectors to improve it. The Commission was co-chaired by Senator Sam Nunn and William Bennett and funded by the Pew Charitable Trusts.

Specific goals of the Commission were to:

- assemble studies already in process about the revitalization of citizenship and civic life,
- generate discussion across party lines, ideologies, and race,
- reach consensus on specific and practical prescriptions for improving the level and quality of citizenship and civic involvement, and
- inspire the creation of new institutions and partnerships to place these prescriptions in action.

On June 24, 1998, the National Commission on Civic Renewal released its final report, *A Nation of Spectators: How Civic Disengagement Weakens America and What We Can Do about It*. Available online at www.puaf.umd.edu/civicrenewal or through the University of Maryland, the report states that the United States leads the industrialized world in rates of murder, adult and juvenile violent crime, imprisonment, divorce, abortion, per capita consumption of illegal drugs, and pornography production and consumption. Viewed as indicators of a weakening civil and moral society, the Commission advocates increased civic participation, equal educational opportunity, higher academic standards, parental involvement in school selection, and greater support for charitable organizations.

With release of the final report and creation of *The Civic Education Project*, an organization that will attempt to follow through with the recommendations of the report, the work of the Commission is complete. For more information about The Civic Education Project, contact the University of Maryland.

Contact: William A. Galston
Executive Director
National Commission on Civic Renewal
3111 Van Munching Hall
University of Maryland
College Park, MD 20742

National Commission on Philanthropy and Civic Renewal

The Lynde and Harry Bradley Foundation established the National Commission on Philanthropy and Civic Renewal in September 1996 to study philanthropy and its contribution to the promotion of self-sufficiency and independence among U.S. citizens. The National Commission released its report, *Giving Better, Giving Smarter* in 1997. The report concludes that American charity requires substantial renewal and reform if it is to produce intended results. Specifically, the report recommends that private foundations and philanthropies avoid and resist government encroachment, guide funding activity towards organizations that demonstrate and achieve results, maintain missions and methods that are distinct from those of government, focus giving on well-defined problems within communities, support faith-based efforts, fund locally, and critically evaluate fund recipients.

The Commission conducted several regional forums jointly with the Philanthropy Roundtable in 1997-98. Although the report provides insight into the state of American philanthropy, its value to the study of emerging issues is limited.

Contact: The National Commission on Philanthropy and Civic Renewal
 (offices were closed after completion of the report)

National Committee for Responsive Philanthropy

The National Committee for Responsive Philanthropy (NCRP) was created to make philanthropy more responsive to people with the least wealth and opportunity, more relevant to critical public needs, and more open and accountable to all in order to create a more just and democratic society. NCRP reports that their mission is achieved through:

- promoting a new vision of philanthropy,
- critiquing and reforming philanthropy,
- developing and shaping philanthropic resources and institutions,
- promoting policy and advocacy by nonprofits and foundations, and
- building a movement for a “new philanthropy.”

NCRP has produced a series of reports over the years, including:

- *Moving A Public Policy Agenda: the Strategic Philanthropy of Conservative Foundations*, which showed that 12 conservative foundations, with limited resources, played a major role in shaping public policy priorities, and
- a report on community foundations’ responsiveness to low income and other historically disenfranchised groups in their communities.

NCRP is currently working on the *Democracy and Philanthropy Project*, whose goal is to assist foundations to expand foundation investments in organizations working to improve the lives and opportunities of poor people, ethnic populations, women and others historically disenfranchised.

Contact: National Committee for Responsive Philanthropy
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Washington, DC 20009
202/387-9177

New School for Social Research, Nonprofit Management Program

The Robert J. Milano Graduate School of Management and Urban Policy of the New School offers a master's degree program in nonprofit management. Current centers of research at Milano Graduate School are:

- Community Development Resource Center
- Leadership Center
- Health Policy Center
- J.M. Kaplan Center for New York City Affairs

These research centers, while not focused on emerging issues related to philanthropy, could serve as resources on specific issues, particularly for foundations interested in health or community development.

Michael Seltzer, acting chair of the Nonprofit Management Program, will develop a new area of research, Philanthropy and Tourism, in the coming year. This area will look at the connections between organized philanthropy and popular resort areas to examine the relationships between wealthy individuals with second homes in the area and their philanthropic investment in that area.

Contact: Michael Seltzer
Nonprofit Management Program
Robert J. Milano Graduate School of Management & Urban Policy
New School for Social Research
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212/ 229-5950

New York University School of Law, National Center on Philanthropy and the Law

The National Center on Philanthropy and the Law was established at New York University School of Law to explore a broad range of legal issues affecting the nation's nonprofit sector and to provide an integrated examination of the legal doctrines related to the activities of charitable organizations.

Under the leadership of Center Director and NYU Law Professor Harvey P. Dale, the Center has achieved recognition among students, law school professors and practitioners as the only U.S. program of its kind for the systematic study of philanthropy and the law. The Center not only covers issues of law that are frequently ignored or glossed over in traditional law courses, but seeks to knit together relevant elements of tax law, corporate law, trust law, contract law, constitutional law, together with other branches of jurisprudence, into a common compendium of philanthropy and the law. As the Center's audience base continues to expand, there has been an increase in the number of law professors who teach in this field throughout the U.S. and a corresponding increase in the number of law school graduates being educated in the law of nonprofit organizations.

The Center's goals are achieved through five areas:

- Curriculum and faculty development,
- Scholarly research,
- Conferences,
- the Center Library, and
- the Fellowship program.

Contact: Jill S. Manny
National Center on Philanthropy and the Law
New York University School of Law
40 Washington Square South
New York, NY 10012
212/998-6161

The Philanthropic Initiative

The Philanthropic Initiative (TPI) is a nonprofit organization that offers philanthropic design and management services to individuals, family foundations and corporations. In addition, TPI provides several educational programs designed to help donors increase the effectiveness of their giving and foster creative philanthropic approaches to social problems. These services include strategic planning, management, finance and giving counsel.

Contact: H. Peter Karoff, President
The Philanthropic Initiative
77 Franklin Street
Boston, MA 02110
617/338-2590
get2us@tpi.org

Philanthropy Roundtable

The Philanthropy Roundtable is a national association of individual donors, corporate giving representatives, foundation staff and trustees, and trust and estate officers. It is guided by the philosophy that "voluntary private action offers the best means of addressing many of society's needs, and that a vibrant private sector is critical to generating the wealth that makes philanthropy possible." The Roundtable also has a strong commitment to donor intent and works with philanthropists to ensure that their intentions will be adhered to for the long-term. Through its annual conferences, regional meetings, publications, and a bimonthly magazine, *Philanthropy*, the Roundtable addresses current and emerging issues in the field. Publication topics include "Death, Taxes and the Independent Sector" and "Should Foundations Exist in Perpetuity." Their 1998 annual conference theme was "The Rise of High Performance Philanthropy."

In the past, Roundtable issues have included preserving donor intent, and emphasizing charitable outcomes and free-market solutions to social problems. The Roundtable was involved with publicizing the Bradley Commission Report on Philanthropy and Civil Society last year. However, it is not specifically spending staff time on emerging trends.

Contact: John Walters
The Philanthropy Roundtable
1150 17th Street, NW, Suite 503
Washington, DC 20036
202/822-8333

Prince of Wales Business Leaders Forum

The Prince of Wales Business Leaders Forum is an international not-for-profit organization founded in 1990 in response to concerns about the impact of the increasing globalization of business and challenges of sustainability and social cohesion. The 50 international member companies of the Forum, its founder, HRH the Prince of Wales, its partners and employees work to fulfill the Forum's mission which is to promote socially responsible business practices that benefit business and society and which help to achieve

social, economic and environmentally sustainable development in emerging and transition economies.

The Forum's staff work strategically around the world with leaders in business, civil society and the public sector to encourage continuous improvement in socially responsible business practices, develop geographic or issue-based cross-sector partnerships, help create an enabling environment which provides the right conditions for socially responsible business practices and cross-sector partnerships to flourish.

To fulfill its mission, the Forum provides information and analysis and runs leadership and capacity building programs for business, the public sector and civil society organizations. The Forum works closely with the World Bank, the European Union and several United Nations (UN) agencies.

The Forum has one industry sector program, the International Hotels Environment Initiative. It promotes environmentally-friendly activities in the hotel industry. Over 11,000 business leaders have been involved in the activities of the Forum.

The Forum staff are preparing documents on best practices and working with the UN. It is expanding its capacities in policy analysis and outreach, and could serve as a very useful source of information about international corporate giving.

Contact: The Prince of Wales Business Leaders Forum
15-16 Cornwall Terrace, Regent's Park
London NW14QP
United Kingdom
44.0.171.467.3656
Email: info@pwblf.org.uk
www.oneworld.org/pwblf

Public Affairs Council

The Public Affairs Council is a national organization of and for public affairs officers. As defined by the Council, 'public affairs' are external, non-commercial activities of an organization. Members of the Council include individuals working in the fields of government relations, community development and enrichment, philanthropy, political education, and public relations.

Philanthropic-related work performed by the Council is focused on hardening community relations and philanthropy traditionally viewed as "soft." The Council seeks to link community work and funded projects to corporate strategies. Benchmarking, performance evaluation, and cost-benefit analysis are examples of tools that community

relations and philanthropic executives are wielding in order to gain greater corporate support for philanthropic activities.

The Council is not engaged in any study of emerging issues as they relate to philanthropy. Current research includes compensation surveys, including corporate contributions, and an examination of philanthropy in the larger context, specifically, corporate public affairs.

Contact: Caryn Pawliger, Manager of Programs
Public Affairs Council
2033 K Street, NW, Suite 700
Washington, DC 20006
202/721-0909

Social Venture Partners (SVP)

SVP, a philanthropic organization comprised of individuals mostly from the high-technology community, was created by Paul Brainerd, former founding president of Aldus Corporation and president of the Brainerd Foundation, to invest in long-term solutions to the social challenges facing the Puget Sound region in Washington. The vision is to build a philanthropic organization using the venture capital model, where "Partners" invest in innovation and then actively nurture their financial investments with guidance and resources. SVP gives professionals a way to engage in a new style of philanthropy that allows the Partners to take an active role in their financial commitments. SVP currently has 110 Partners who contribute a minimum of \$5,000 per year for two or more years. A part-time executive director and a board of directors oversee the daily activities of the organization. SVP is a donor-advised fund at the Seattle Foundation.

There are a few other foundations in the United States that use the "venture philanthropy" approach including: the Roberts Enterprise Development Fund, the Entrepreneurs Foundation and the Robin Hood Foundation.

Contact: Paul Shoemaker, Executive Director
Social Venture Partners
1601 Second Avenue, Suite 615
Seattle, WA 98101
206/374-8757
www.svp.org

Union Institute

The Union Institute is a University Without Walls—a national university offering advanced degrees through distance learning and tutorial-based studies. The Institute's Research arm is the Office of Social Responsibility, which houses the Center for Public Policy (CPP). CPP is known for its ability to anticipate emerging issues in the nonprofit sector and to serve as a catalyst to responding to challenges in the sector. Its mission champions the formulation of quality public policy by promoting equal access to, and encouraging full participation in, the policy-making process. The nonprofit sector is the main focus of CPP's projects. Current projects include:

Nonprofit Support Project. Through this project, CPP critically analyzes societal trends affecting, and challenges confronting the nonprofit sector and develops and implements strategies to address them.

The Forum on Public/Private Social Concern. The Forum brings together individuals from the government, corporate, foundation and nonprofit sectors to focus on their roles and responsibilities in community problem solving.

Civic Engagement and the Nonprofit Sector: Beyond Immediate Cause. The centerpiece of this initiative was a Wingspread Conference in the summer of 1997 in which conference participants explored how nonprofit organizations can reach a broader understanding of their role in creating and promoting the engagement of citizens in civic affairs.

Changing Charity Project. This new, two-year initiative includes five components: Civic Engagement Indicator Profile, Distinguishing the Sector, Discussion Action Circles, Minority Leadership Fellows Program and the Critical Community Scholar-Practitioners Program. The project seeks to make explicit if and how the values and missions of charitable organizations differ from those with for-profit enterprises.

Each project includes a variety of activities and products including conferences and reports. CPP collaborates with nonprofits and foundations for each project.

Contact: Mark Rosenman, Vice President
 Office for Social Responsibility
 The Union Institute
 1710 Rhode Island Avenue, NW
 Washington, DC 20036
 202/496-1630

University of Minnesota, Hubert H. Humphrey Institute of Public Affairs

Through the Hubert H. Humphrey Institute of Public Affairs, the University of Minnesota offers a curriculum examining the relationship between public policy, philanthropy and the nonprofit sectors. William Diaz, a senior fellow at the Institute who also serves on the Council on Foundation's Board of Directors, regularly produces research and writing focusing on the link between philanthropy and the public sector.

Contact: William Diaz
Hubert H. Humphrey Institute of Public Affairs
301 19th Avenue South
Minneapolis, MN 55455
612/626-0340

University of San Francisco, Institute for Nonprofit Organization Management

The Institute for Nonprofit Organization Management was established in 1983 as a center for nonprofit management education and research. The Institute serves the nonprofit community through its education programs, research, conference and community programs and publications. Its master's program for nonprofit management was one of the first such programs in the country and is still considered a national model. Its books, articles, working papers and case collections have been used in hundreds of university classes and nonprofit training sessions.

Most of the Institute's research focuses on California-based nonprofit activity. However, one piece of research that could address emerging issues for foundations is a recently completed study of giving, sharing and volunteering within various ethnic communities in the San Francisco Bay area. The study, *Ethnic Philanthropy*, provides details on ethnic philanthropic traditions and cultural practices and will be published by Indiana University Press in 1999.

Contact: Michael O'Neill, Director
Institute for Nonprofit Organization Management
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080
415/422-6867

Urban Institute, Center on Nonprofits and Philanthropy

The Urban Institute is an economic and policy research organization. It publishes reports and policy briefs and holds conferences on many important policy issues. Most of the Institute's examination of philanthropy is conducted through its Center on Nonprofits and Philanthropy (CNP) which was developed to explore the role and impact of nonprofits and expand the data on the sector. CNP's data analysis is performed in collaboration with the National Center for Charitable Statistics and its research builds on the expertise of other Urban Institute programs.

Through conferences and working papers, CNP examines both the theoretical and practical perspectives on current and emerging issues in the nonprofit sector. Research and dissemination of products are done in collaboration with researchers both inside and outside the Urban Institute. CNP works with advisory groups as needed.

Current CNP research projects include:

- Evaluation of Community Partnerships for Cultural Participation
- Civil Society as a Framework
- Nonprofit Organizations and Government: The Challenge of Civil Society
- Role of Nonprofit Organizations as Advocates
- Impact of Devolution and Welfare Reform on Nonprofits
- Charitable Giving Model

Contact: Elizabeth Boris, Director
Center on Nonprofits and Philanthropy
The Urban Institute
2100 M Street, NW
Washington, DC 20037
202/261-5790

Yale University, Program on Non-Profit Organizations

The Yale Program conducts one research project that relates to foundation emerging issues. The Project on the Changing Dimensions of Trusteeship conducts studies of the composition, structure and processes of nonprofit boards in a variety of industries (arts and culture, education, grantmaking, healthcare and social welfare) and in a variety of settings. The research is being conducted by a multi-disciplinary group of researchers based in universities throughout the country. The final stage of the project is to translate the research findings into materials useful to practitioners.

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New Haven, CT 06511
203/432-9574

Other Sources of Emerging Issues

The organizations profiled in this report are in no way an exhaustive list of the groups that are examining emerging issues in the field of philanthropy. This report has summarized the work of the likely (and some less likely) suspects engaged in the work of emerging issues through universities, national organizations, associations and commissions.

We would like to acknowledge some of the gaps we have left in this report that did not fit neatly into these categories. While we will not go in depth here, we will be keeping them in mind as sources for emerging issues that we may need to investigate in greater detail in the future.

1. **Public Sector.** The emerging issues that could spring from government are almost endless. First, at the national level, there are consistently legislative and regulatory proposals and changes that affect the field of philanthropy. The Council monitors this action through its legislative affairs department. At the state and local level, RAGs and state associations of nonprofits are more informed about upcoming legislation that might affect philanthropy. In addition, many foundations work with state, local and federal government officials on an individual basis on public policy issues of mutual concern.
2. **Affinity Groups.** Formal groups of **issue and identity-based affinity groups of grantmakers**, such as Women in Philanthropy and Grantmakers in Health, provide leadership, educational programs and opportunities for collaboration around specific issues. **Community Foundation affinity groups** have formed around functions within the community foundation (for instance, ProNet for community foundation program officers) and they meet and exchange information on issues that may affect their program areas.
3. **Informal Networks.** Less formal networks have developed between foundations interested in promoting shared objectives, such as a group of program officers who are "infrastructure funders" interested in giving grants designed to strengthen the nonprofit sector. Other groups would be attorneys and financial advisors who advise foundations and other consultants and professionals with expertise in the field that could identify emerging issues. These informal networks are more difficult to penetrate—they do not have names and are often ad hoc groups.

4. **Individuals.** Individual donors and staff of foundations who are well-known within the field can be a catalyst to making an issue “emerge” to other foundations through individual contacts or through convening a captive audience of grantmakers. (For example, over the past several years, Charlie Halpern from the Nathan Cummings Foundation has convened a group of grantmakers to discuss leadership issues for the sector in conjunction with the Council’s annual conferences).

ERRATA

Hudson Institute

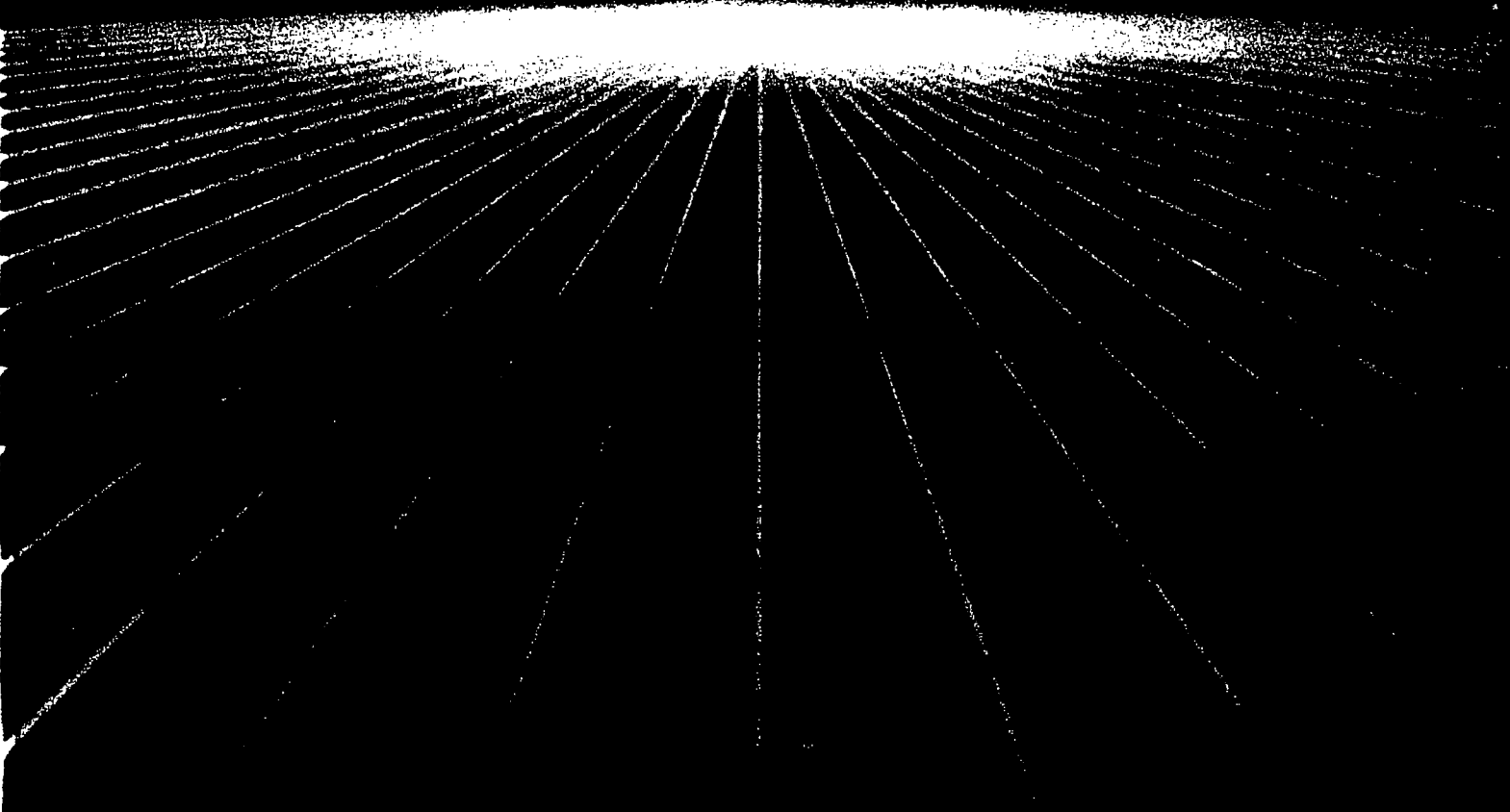
Founded in 1961, the Hudson Institute is a private, not-for-profit research organization that forecasts trends and creates public policy recommendations for business and government executives and the public at large. In its literature, the Hudson Institute states that it is recognized for presenting a viewpoint that embodies skepticism about the conventional wisdom, optimism about solving problems, a commitment to free institutions and individual responsibility, an appreciation of the crucial role of technology in achieving progress, and an abiding respect for the importance of values, culture, and religion in human affairs.

The Hudson Institute recently released *The National Survey on Philanthropy and Civic Renewal: Americans on Giving, Volunteering, and Strengthening Community Institutions* in conjunction with the University of Connecticut. The report presents a survey of wealthy Americans and a national index of civic engagement. It also includes profiles of community-based organizations and programs that seek to revitalize philanthropy through a variety of different approaches and highlights common themes that exist among them.

Contact: Hudson Institute
5395 Emerson Way
Indianapolis, IN 46226
317/545-1000
www.hudson.org

Facing the Future

A Report on the Major Trends and Issues
Affecting Associations



LEADERSHIP'S ROLE • VALUE/RETURN ON INVESTMENT (ROI) • RESPONSIVENESS
GOVERNANCE • REVENUE SOURCES • TECHNOLOGY USAGE • CHANGE LOOPS
GENERATIONAL ISSUES • WORKFORCE • OUTSOURCING AND CO SOURCING • COMPETITION
AND ALLIANCES • CONSOLIDATION AND MERGERS • GLOBALIZATION • IMAGE BUILDING

American Society of Association Executives Foundation

FOUNDATION

CHAPTER

Looking into the Future

IN MAY 1998, association CEOs had an unprecedented opportunity to meet and conduct a dialogue about the future. Six panels were held for association CEOs—two panels each in Washington, D.C., Chicago, and Los Angeles. The participants reflected the full diversity of ASAE's membership, with representatives from trade and individual membership organizations as well as organizations ranging in staff size from 1 to 300 people. In addition, panels were held with executives of convention and visitor bureaus, hospitality executives, and association consultants.

During every panel, regardless of location, the executives spoke eloquently and passionately about the magnitude and nature of change that is sweeping through the association community. This chapter summarizes their observations and conclusions about the future.

Do not underestimate the magnitude of change that is coming.

The panel participants were asked to think about the trends affecting their associations and envision plausible future scenarios resulting from those trends. As part of the exercise, the CEOs wrote "future headlines" describing the changes they believe would likely occur in the next three to five years.

The resulting headlines and scenarios reveal that CEOs are encountering profound changes in all aspects of how their associations do business. Consequently, they envision the need for major changes in their organizations—incremental changes or tweaking of existing processes will not suffice. As you'll see, the headlines highlight both the range and the magnitude of change that is occurring. This change encompasses an impressive spectrum of issues, including organization design, generational conflict, governance, technology, global issues—and much more. By all measures, an unprecedented degree of change is sweeping through the association community.

Here are some of the future headlines written during the panels:

First Day of Annual Meeting Scheduled for February 2 on Your PC

Xer Revolt Leads to Rash of New Specialty Associations

Telecommuting Results in 80% Office Vacancy

Association Offers Short-Term, ad hoc Memberships—Annual Dues Obsolete

Association Goes Virtual: Headquarters Building Sold for \$10 Million

Pay-As-You-Need Schemes Emerge to Replace Traditional Dues

Face-to-Face Meetings Rebound as Dissatisfaction with Virtual Meetings Takes Hold

Internet Delivery Radically Lowers Costs

Technology Revolutionizes Governance Systems of Associations

Association's Cable TV Interactive Network Rated Top Member Benefit

Associations in Hand-to-Hand Combat with For-Profit Companies

Association Staff Consists of Contract Employees in 100 Key Cities

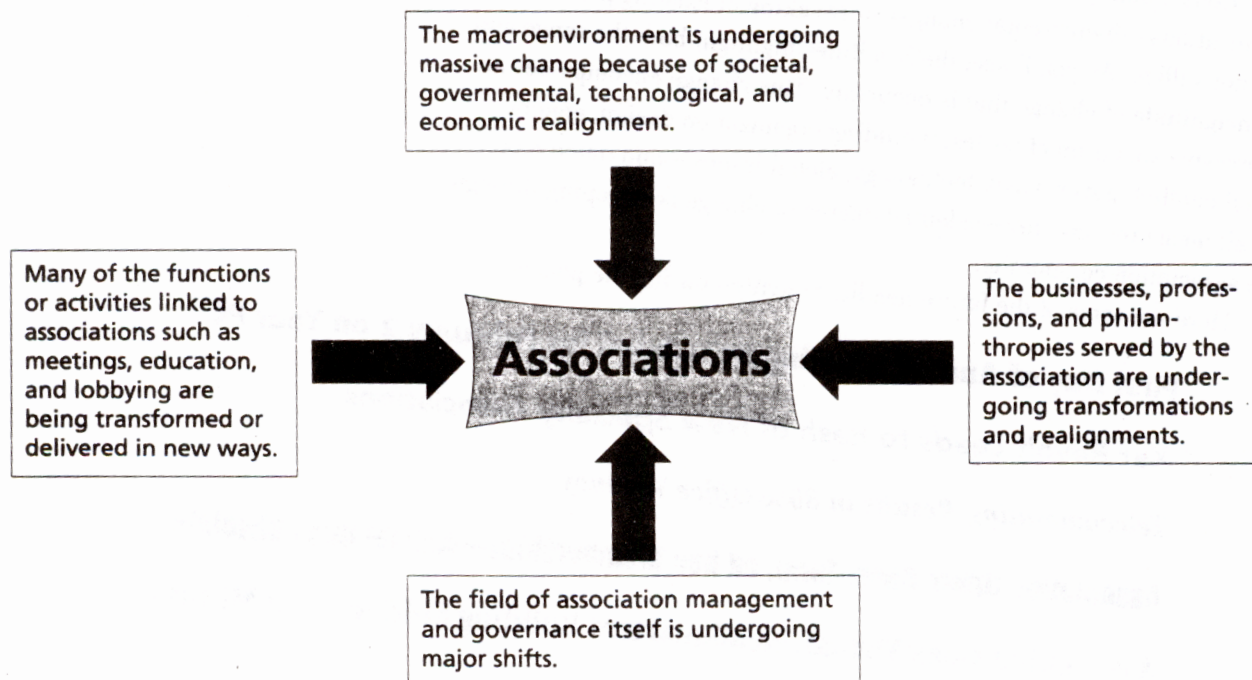
Size of Association Staffs Greatly Reduced by Technology

State and Local Chapters Revolt Against National Headquarters

Virtual Trade Show Revenues Exceed Those of Traditional Expos

Multi-Lingual Services Become the Norm

To gain additional perspective on why association executives believe major shifts or realignments are imminent, consider that they are facing change on four fronts:



14 inter-related trends are driving this change.

In designing the environmental scan we hypothesized that each scan panel would be able to identify and prioritize a narrow list of three to five top trends affecting their associations. Instead, we learned that many changes are occurring simultaneously and their effects are inter-related. The intertwined complexity and multitude of change is clearly illustrated in the case studies included in Chapter 1.

In total, the participants identified 14 broad themes. Any of them might be viewed as a “trend,” an “impact,” or an “issue,” depending on your association’s perspective. While the scan panelists consistently referred to the same set of 14 themes, *how* those themes were referenced differed in the following ways:

- A *trend* has had no effect on the association yet but has clear implications for the near future.
- An *impact* means the effects are already playing out in the association.
- An *issue* has the potential for affecting the association in the future and should be monitored.

Note: For the purposes of this report, the term *trend* is used for consistency.

Every association is likely to be dealing with at least 4 or 5 of these trends at one time; some may deal with 10, 12, or even all 14. In other words, it is impossible and misleading to explore a single trend without considering how it interacts with the others—the boundaries between issues are blurring. For this reason, panelists noted that trying to prioritize trends seemed an arbitrary exercise. Examining the whole range of issues holistically was seen as a more powerful way to capture the complexity of the situation facing an association.

The 14 trends, which are discussed in depth in Chapter 5, are:

Leadership’s Role—Adopting a new set of leadership characteristics will be the first step for association boards and staff as they move into the 21st century.

Value/Return on Investment (ROI)—Meeting rising member expectations and a greater demand for a return on the dues investment will drive the redesign of associations.

Responsiveness—Keeping up with external changes and responding rapidly to members’ emerging needs will require associations to become “fast, fluid, and flexible.”

Governance—The inability of current governance models (which are slow and cumbersome) to deal with an increasingly complex, fast-paced environment will require a cultural shift for most associations.

Revenue Sources—The need for new revenues will drive associations to become more innovative in seeking out new partners and nontraditional sources of income.

Technology Usage—The profound and beneficial effects of technology usage will be felt through its increasing capability to link people, build relationships, and foster communities.

Change Loops—Mastering the unplanned changes and unexpected consequences (i.e., “change loops”) that do not fall neatly inside the time frame of the traditional planning calendar or scheduled board meetings will require a new mindset about the budget and planning process.

Generational Issues—The generational shifts among staff, board, and members (Matures born before 1946, Boomers born between 1946 and 1964, and Generation X born between 1965 and 1985) will fundamentally alter the culture of associations. There will be shifts in member perception of and loyalty to the association, differing preferences for programs and services, and different degrees of volunteer involvement.

Workforce—Securing a qualified workforce with the proper mix of business, technical, and social skills, combined with diverse life experiences, will demand greater skill, time, and effort from the association executive.

Outsourcing and Co-sourcing—Gaining maximum advantage from outsourcing or co-sourcing will require associations to carefully distinguish core from noncore functions and to identify the strategic benefits as well as the cost savings.

Competition and Alliances—An increasing vulnerability to competition will require associations to become more vigilant about new types of competitors and to seek out nontraditional allies.

Consolidation and Mergers—Because these are occurring with greater speed and unpredictability, associations will have to become more proactive to deal with the resulting chain reaction that affects revenues, services, and membership categories.

Globalization—As their members become less and less bounded by geography, time zones, culture, and language in their business and professional relationships, associations will have to redefine their boundaries accordingly.

Image Building—Increasing public scrutiny and competition will lead associations (professional and philanthropic organizations as well as trade organizations) to defend their members’ credibility and promote the unique value of their services or activities.

Association characteristics, not size or type, determine future leadership.

When planning the scan panels, a second guiding hypothesis postulated that there would be differences in the trends identified (and their consequences) depending on the size and type of the organization. For example, we expected a different set of trends for small individual membership societies versus large trade associations. However, we learned that the same broad set of trends seemed to be affecting *all* associations regardless of size (small, medium, and large) and type (trade and individual membership organization) as well as location (Los Angeles, Chicago, or Washington, D.C.).

Ultimately, the effect of these trends upon an association in the future—and the most appropriate way to lead the organization into the future—can be best interpreted when studied in relation to these five association characteristics (which are explored in depth in Chapter 6):

- Organizational culture
- Organization's resources
- Life stage of the association
- The members' career development and life stage
- The business, profession, or cause being served

To understand the importance of characteristics such as resources and culture, consider two associations that are both taking a leadership role in the area of technology. The first is a 700-member state medical association located in the Midwest. The second is a national, insurance-related association that is located in the Washington, D.C., area and has more than 10,000 members. Despite their outward differences, both have been on the forefront of anticipating the Internet's emergence and using it to dramatically reduce postage and printing costs associated with member communications.

The two associations' responses were remarkably similar because of shared characteristics in terms of *resources* (both had the foresight to view the Internet as a tool for leveraging their printing and postage budget) as well as *cultures* that were receptive to change and were technology friendly. In other words, an association's ability to demonstrate technology leadership is more dependent on its culture and resources than on its size or budget.

Boards and staff need to see beyond the boundaries of their own associations.

Through their participation in the scan panels, the executives learned that their individual associations are not alone in facing massive change. For this reason, it is critical that everyone involved in leading the association—the executive, the board members, and the staff—has the ability to see the big picture. The issues and opportunities facing your organization will become clearer only when understood in the broader context. Associations will find it increasingly difficult to solve their problems in isolation—boards and staff must look beyond the boundaries of their own organizations. Dialogues and forums among associations will become essential to help us discover and explore new solutions.

We must be willing to question our most basic assumptions about associations.

In the face of massive change, there will arise numerous opportunities and ways for associations to prosper. To recognize these opportunities requires a fresh perspective that comes from the willingness to question *all* aspects of how an association does business. During the course of their time together, all of the panelists found themselves asking and exploring a series of thought-provoking questions, some of which are listed below:

- Do we even need associations in their traditional form?
- Which segment of our membership would most welcome a “revolution”?
- Is the current volunteer governance structure capable of keeping up with the increasingly complex decision-making environment of our association?
- Should an association CEO challenge every one of his or her members to get online within the next year?
- How much of the skill areas currently covered by ASAE’s Certified Association Executive certification will be relevant five years from now?
- Will your association retain its nonprofit status or voluntarily choose to become a for-profit entity?
- Can associations retain their traditional mindsets about management and governance and still meet rising member expectations?

- Will the “digital member” replace the checkbook member?
- Is the “generic association”—where one size fits all—dead?
- Will most of our staff do a significant amount of their work at home via telecommuting?
- Will it still be possible to meet the increasingly specialized needs of members by creating special interest groups within the existing association? Or will new specialty associations break away?
- What is the future of our trade show?

Pioneers are needed.

The panelists observed that innovative approaches are desperately needed in areas such as governance, finance, and organizational design. At the same time, there are virtually no role models to follow. For the most part, associations have not yet begun inventing the solutions they need for the 21st century. Consequently, a “learning by doing” mindset will be more valuable than “learning by example.” Instead of asking, “How have other associations solved this problem?” boards and staff will have to ask, “What innovative solution will we invent for ourselves? How can we be a pioneer?” Organizations that wait for others to go first will be left far behind.

Leadership is essential.

Most important, the panelists spoke passionately about the need for leadership from both the staff executive and the board. As one panelist stated, “All this talk about trends is useless unless we have the leadership to make things happen. Facing the future is more than an intellectual exercise!”

C H A P T E R

Sorting Out the Implications

ADMITTEDLY, the information in this report can be overwhelming. However, the future implications for your association will begin to make sense if you look at three key areas:

1. Implications of Technology

The single greatest opportunity that presents itself to association executives is the networking of knowledge—the creation and leveraging of knowledge amongst your members.

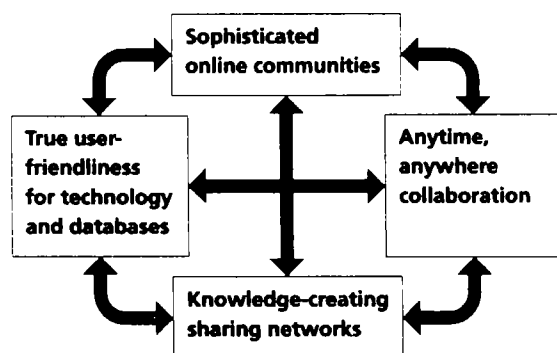
— TOM PETERS, SPEAKING AT THE 1993 ASAE ANNUAL MEETING

Thanks to technology, interactivity at every level of the association will be enhanced. To better understand the unique implications of technology for associations, we interviewed several leading experts to paint a clearer picture of what is to come.

At the risk of resorting to hyperbole, technology will revolutionize how people and organizations interact with one another. At the 1997 ASAE Foundation New Horizons Think Tank, Nigel Burton of Microsoft noted, “The combination of the PC and the Internet is the most revolutionary thing to happen to business in the last 100 years. However important you believe these developments to be, you will probably underestimate the impact they will have.” It is Burton’s belief that the Internet is a driving force in the “evolution of the Information Age” and this will be, for all intents and purposes, “the next Industrial Revolution.”

We are rapidly becoming a globally interconnected, highly collaborative, knowledge sharing society. The future for associations lies with new forms of interactivity.

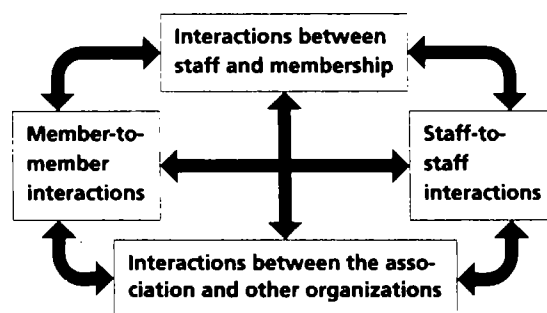
Four technological developments with the power to transform associations:



We are already seeing many practical applications in each of these development areas and can expect full practicality within 5 to 10 years.

As a result...

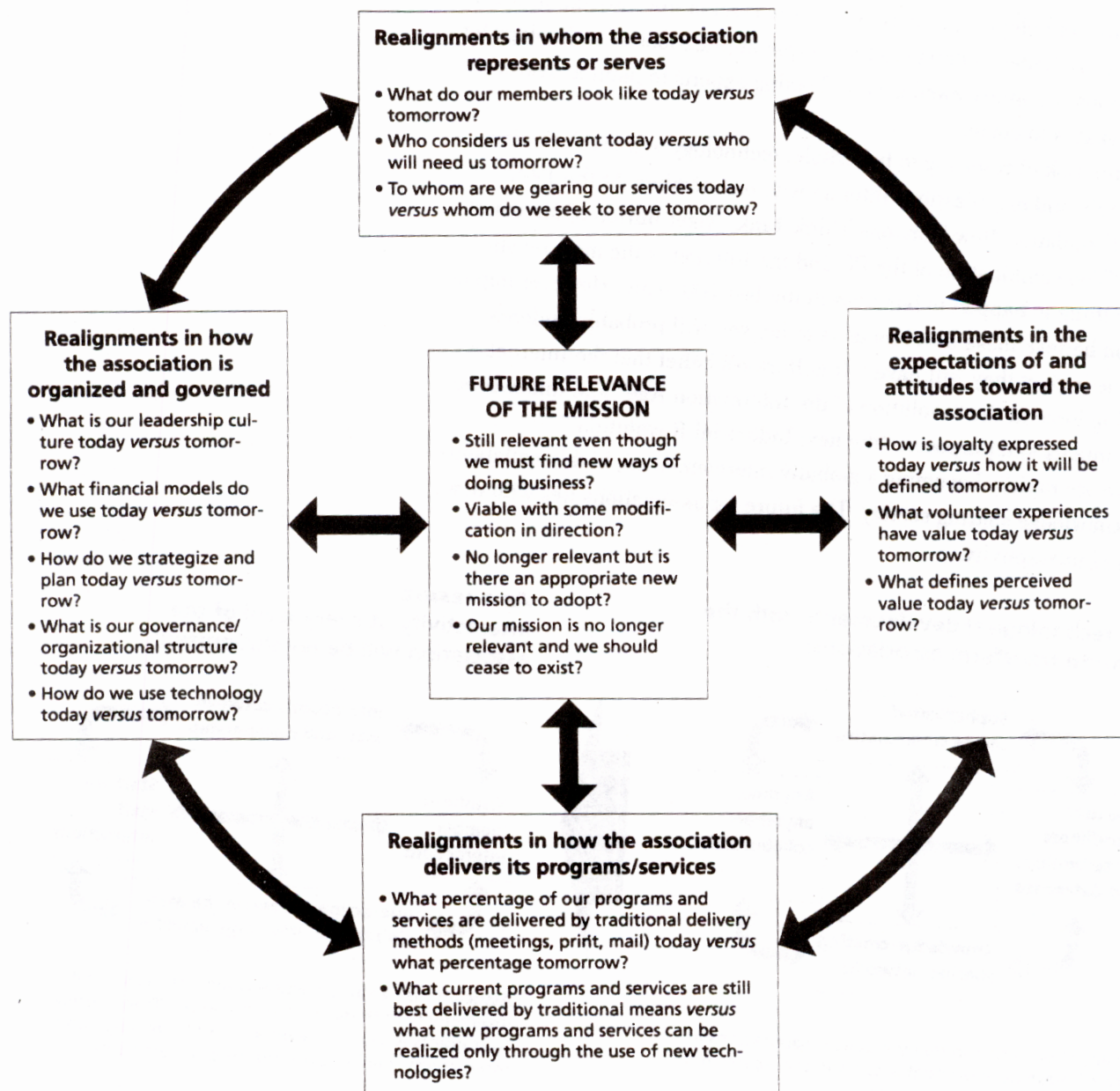
Interactivity at every level of the association will be revolutionized:



Associations live and breathe communications and interactivity in these relationship areas. They represent four points where the leveraging of knowledge and interactivity will be revolutionized by technology.

2. Major Realignments

There are many ways to analyze and work with the information from the environmental scan. One option is to analyze the effects upon your association by asking the questions in the five inter-related areas illustrated on the diagram below. The boxes represent major areas where significant shifts are prone to occur, such as a realignment in whom the association represents or serves. These areas are explored in further detail on the next two pages. At the center lies the ultimate question for associations: What will be the future relevancy of their mission?



Realignments in whom the association represents or serves

▼ FROM

Mature/World War II generation

Little diversity

Few members “E-capable”

Attention on dues-paying members

Members traditionally served
(i.e., “core members”)

Serving broad-based membership
(or narrow segments)

Serving primarily members

U.S.-focused association with some
international members

▼ TO

Boomers and Xers

Multicultural diversity

Majority of members “E-capable”
(or “E-capable” segments)

Focus includes members,
customers, and stakeholders

New categories and definitions of
members

Serving narrow segments
(or broad-based membership)

Serving primarily customers

A truly international organization
with a global mindset and culture

Realignments in the expectations of and attitudes toward the association

▼ FROM

Loyalty to the association

Volunteering is a privilege and duty, I
give my time freely to the association

Association seen as sole provider

Members get products and programs

Gathering lots of information

New programs and services offered on
an occasional basis

Buy publications and services off the
shelf

Represent my interests through voting
privileges, committees, and the board
structure

Keep me current with today’s events

▼ TO

Loyalty to individual/career needs

My time is valuable—make sure
you use my talents wisely

Choices available from other
sources and competitors

Members value experiences

Seeking key insights and wisdom

New programs offered continu-
ously and “on-demand”

Tailored to my specific needs
(i.e., one-to-one marketing and
mass customization)

Meet my needs by researching my
special interests

Get me ready for five years out

Note: These shifts do not represent universal trends applicable to all associations nor are they intended as predictions. Instead, they are intended to direct your attention to the *potential* shifts that may shape your association’s future.

Realignments in how the association delivers its programs/services

▼ FROM

Reliance on meetings, print publications, and mail

Static information and one-way communication

Education delivered primarily at meetings

Provider-driven education

Communication via mail

Member-to-member interaction limited to face-to-face venues

Networking organized around traditional membership categories

Meeting product "spin-offs" limited to print and audiocassettes

Traditional lobbying

Traditional, "time-challenged" publishing and high-cost distribution

Segmented products and services

▼ TO

Wide range of options for publishing, communication, and interactivity

Dynamic information and interactivity

Education anytime, anywhere via online, CD-ROM, etc.

Learner-driven education

Communication via e-mail, listservs, and interactive Web sites

Interaction as an "anytime, anyplace experience" via Internet and videoconferencing

Networking driven by self-organizing, fluid, ad hoc groups

Meeting "experience" available to "nonattendees" and captured for later use

Instant, more inclusive grassroots

Instant publishing and low-cost distribution via digital, electronic, online publishing

Mass customization

Realignments in how the association is organized and governed

▼ FROM

Management

Governance

Managing financial reserves

Risk containment

Standing committees

Fighting the competition

Traditional headquarters

Headquarters in control

Traditional staffing patterns

Planning for a single preferred future

Command-and-control hierarchy

Volunteer work done in face-to-face settings

Nonprofit mindset

501(c)(3) or 501(c)(6) tax-exempt status

▼ TO

Leadership

Visioning

Making strategic investments for the association's future

Taking risks and learning from failures

Ad hoc task forces

Building supercharged alliances

Virtual associations

Collaboration/partnership with grassroots chapters

Patterns based on core staff, outsource partners, and temporary workers

Planning for multiple futures

Team-based, networked organizations

Anytime, anywhere collaboration

For-profit mindset

New financial structures to best meet member needs

3. The New Rules of Planning

Create is the operative word. Create means you have to design and work through things you've never thought of or done before...

*If you see the future, you get the future;
if you see the past, you get the past.*

— ED BARLOW, FUTURIST.

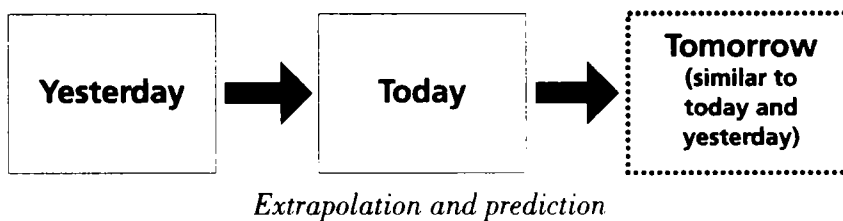
SPEAKING AT THE 1997 ASAE FOUNDATION NEW HORIZONS THINK TANK

In their efforts to capitalize on the profound changes before them, associations must guard against using old ways of thinking and strategizing to interpret the trends and envision their implications. They must pay particular attention to the process by which strategic planning is carried out. Mastering the new “rules” for strategic planning is a requirement for creating the future.

Rule 1: Use scenarios to envision multiple futures (the future is not an extrapolation of the past)

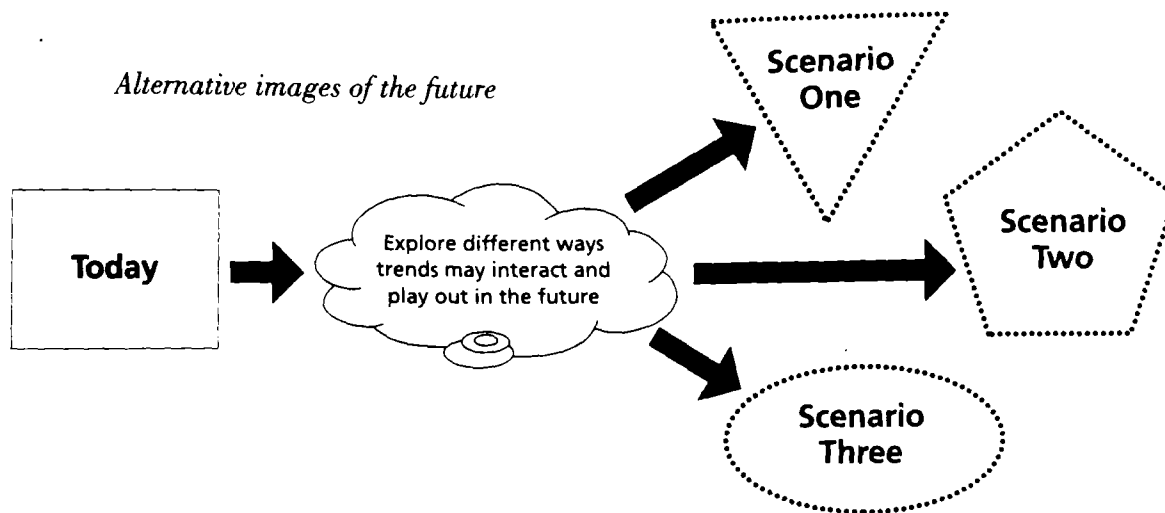
In *Learning from the Future: Competitive Foresight Scenarios*, Brian Marsh observes, “Good scenarios always challenge and surprise. Bad scenarios...merely confirm the prejudices of the management....”

In an age of transformation, associations must learn to imagine futures that are very different from the present reality to which they are accustomed. The old models of planning were based on the assumption that the future was predictable as an extrapolation of the present and the past:



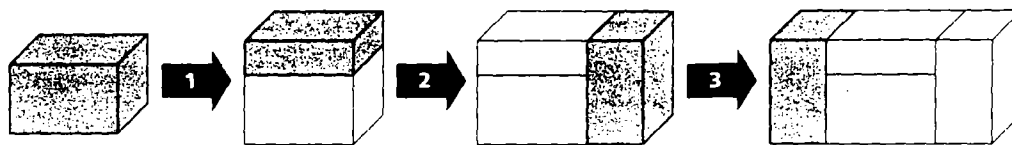
In contrast, scenario planning deliberately challenges linear thinking: It requires you to imagine two or three future scenarios. Each scenario must:

- Present an alternative image of the future instead of extrapolating present data and circumstances.
- Challenge the old assumptions of boards and staff by asking them to think the unthinkable.
- Be distinctly different from the other future scenarios.
- Be plausible because it incorporates trends known to be shaping the future.



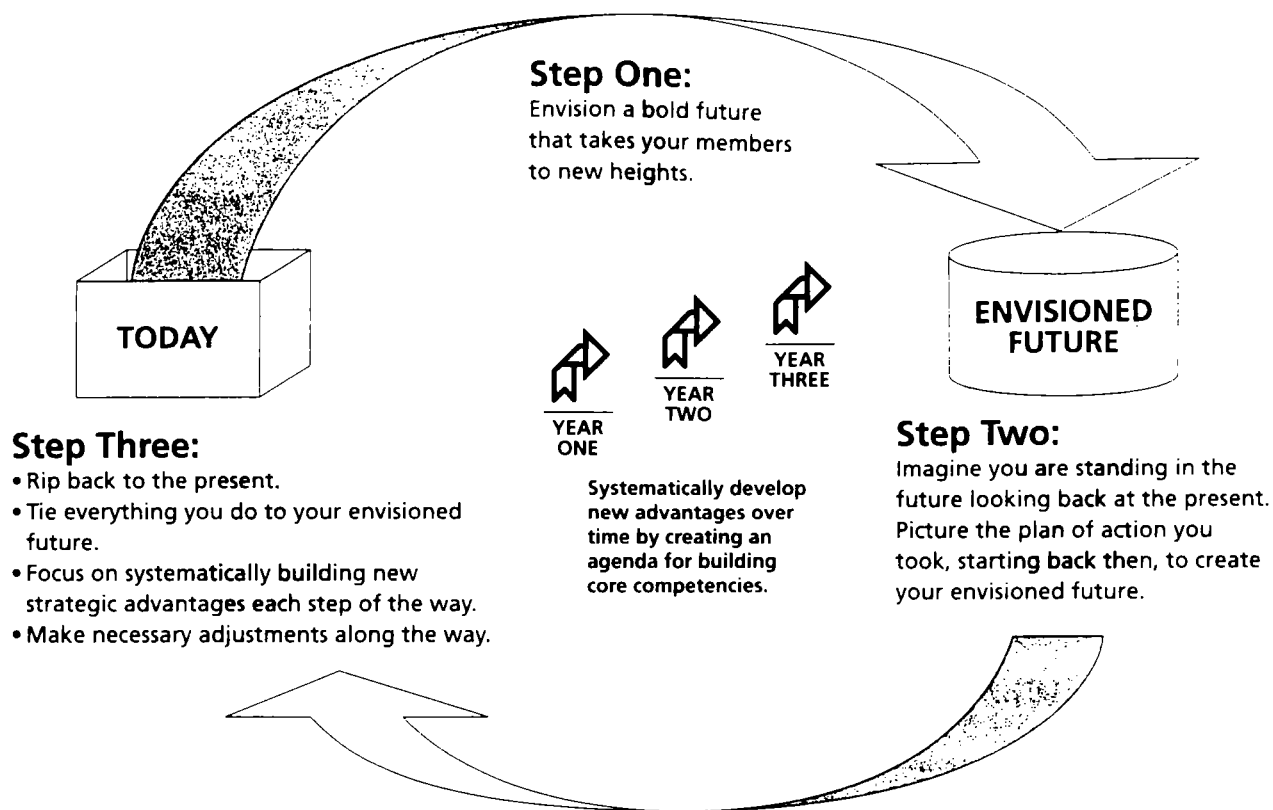
Rule 2: Work from the future backward

Adopting new modes of strategic thinking is required before an association can create its future. Traditional strategic planning models, while appropriate for building upon past assumptions and plans, are simply inadequate for the challenges that await.



Traditional planning is appropriate for making incremental improvements

In contrast, new methods of planning require associations to first envision the future, then “rip back” to the present and determine a course of action that will lead the association in a new direction.

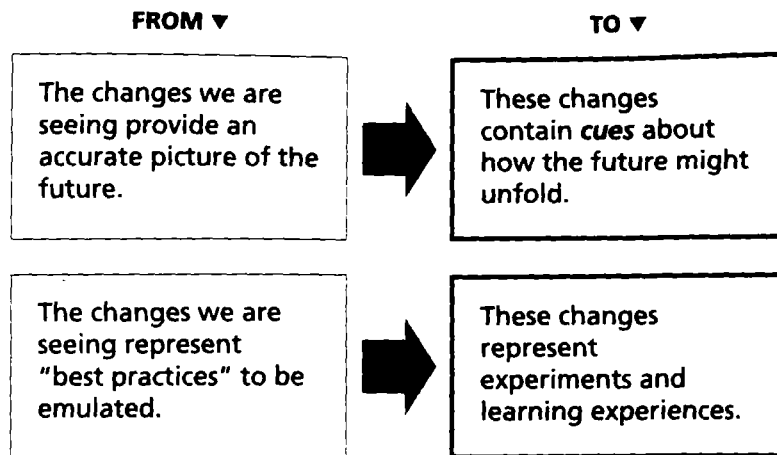


Rule 3: Beware the misleading edge of change

It might be tempting to examine the changes discussed in Chapter 1 and interpret them as previews of how associations will look and operate in 5 to 10 years. If we lived in a world where linear extrapolation could be applied, this might be true. Many aspects of the future, however, are not apparent. For example, any assumptions based on the initial use of e-mail to communicate with members does not give a true picture of an association's future, where online collaboration is ubiquitous. The former approach simply extends the metaphor of traditional mail; while the latter helps us imagine entirely new forms of doing work, organizing volunteers, and interacting with members.

Thus, we must shift our thinking about the changes we are currently seeing in two ways:

Shifts in our thinking:



Building on What You Have

*To achieve greatness, start where you are,
use what you have, do what you can.*

— ARTHUR ASHE

This report emphasizes the need for transformation and redesign. That focus, however, does not imply that an association should completely throw away its current structures or traditions and start all over again. That is neither feasible nor advisable. Associations have many inherent strengths and noble traditions that need to be maintained into the next century. The real challenge, therefore, is to hold onto the right strengths and traditions while finding new ways of doing business.

In *Charting Assured Migration Paths to the Knowledge Age*, Donald Norris offers the following advice: "Attempting to change the entire organizational culture generally creates a transformation initiative that is a mile wide and three inches deep. Focused change has proven to be a better tactic.... When these changes are successful, leadership must transfer that new DNA to other parts of the organization."

The chart on the next page illustrates the old and the new rules that apply to strategic thinking.

▼ Old Rules

Emphasis is on producing a strategic planning document.

Planning is done at regular intervals—usually on a five-year cycle.

Scanning the environment for trends is sporadic.

Future is explained as a logical evolution of the present; a single “most likely” future is forecasted.

Traditional SWOT criteria (Strengths, Weaknesses, Opportunities, and Threats) are sufficient to guide the strategy-making process.

Board and staff engage infrequently in strategic dialogues about the future.

▼ New Rules

The art of strategic dialogue and collaboration is practiced.

Planning is an ongoing learning process that never ends.

Environmental scanning is given the highest priority; adjustments are made as needed, on an ongoing basis.

Incremental change is challenged while multiple futures are explored.

A creative search for emerging opportunities and deliberate abandonment of old assumptions about strengths and weaknesses is practiced.

Board and staff are highly collaborative and continuously engage in a dialogue about an uncertain future.

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Chapter Summaries
from
The Future of Philanthropy in a Changing America,
an American Assembly publication

COUNCIL ON FOUNDATIONS
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Chapter 1
The Nonprofit Sector in the 1990s
by Elizabeth Boris

Executive Summary

In this chapter, author Elizabeth Boris describes the political and economic forces affecting the nonprofit sector in the 1990s, as well as its size, scope and growth.

After the Reagan era cutbacks, public policy debate concerning the nonprofit sector seemed to focus solely on its role in welfare services and poverty alleviation. But other civic-minded organizations are uniquely nonprofit—such as schools, churches, hospitals, youth and recreation groups, and art museums. This invisible core of support is in danger of being silenced.

Nonprofits are now expected to be less dependent on government and more businesslike—lean, efficient and effective. Some nonprofit-sector leaders have worried that nonprofits may lose their values and become commercialized. High-profile scandals, such as the United Way debacle, tarnished the myth of charity solutions to poverty and social disintegration as pure and unquestioned. Some conservative leaders have promoted religious organizations as an effective safety net for the poor. The “charitable choice” provision of the 1996 welfare reform bill was designed to help religious groups compete for government funding.

Increasingly, direct charity for the poor is seen as the only useful form of philanthropy. The proposed 1998 Istook Amendment attempted (but failed) to limit nonprofits’ ability to use their own resources to engage in public advocacy and to influence policy. Such legislation would damage a crucial role of nonprofits—articulating public needs and preferences. It reveals a fundamental lack of understanding of the complex role of the nonprofit sector in American society.

The nonprofit sector is diverse; its ten major categories are arts, culture and humanities; education; environment and animals; health; human services; international and foreign affairs; mutual membership benefit; public, societal benefit; religion-related; and unknown organizations. The historical origins of nonprofits are derived mainly from religious congregations, women and immigrants. Nonprofits are spread thinly and unevenly around the country; no organized structure unites them into one system. Most of them are small, with meager resources.

Understanding the diversity of the nonprofit sector raises some important unanswered questions:

- Are there some activities so intrinsically nonprofit in character that government and business should not, as a rule, undertake them? What should be the criteria for making such decisions?
- How can we decide whether society is better served by nonprofit, for-profit, or government programs?
- Efforts to counteract growing income disparity, signs of civic disengagement and devolution have led a worried nonprofit sector to form multiple commissions and to

Chapter 2
Historical Transformation of Charity in America
by Barry Karl

Executive Summary

Foundations today enjoy a level of influence in the public policy realm that enables them to more effectively address societal concerns. Prior to the Industrial Era, churches and communities established institutions to assist needy members of their community. The disadvantaged were considered to be poor through no fault of their own. However, from industrialization and urbanization emerged a focus on the economy, and unemployment became recognized as a fundamental source of poverty.

The relationship between foundations and the federal government is based on conflict and cooperation. This chapter outlines the political character of that relationship and presents a brief history of foundations' interaction with the federal government, including conflicts that have led to the reformation of the legislation governing that relationship and the pervasive hostility that makes such reform necessary today.

At the turn of the century, when government began acknowledging its obligation to the poor, foundations were already providing assistance. Through private funding, the nation's elected leaders dealt with problems that Congress would not, including race relations, birth control and sexually-transmitted disease.

The history of conflict and cooperation in the foundation-government relationship is a two-track system of support and hostility. The supportive track is based on a view that the political system is an elite operation that relies on wealthy, educated citizens—the same individuals who comprise the foundation world. If this is true, then why does political hostility exist and is it likely to continue in the next century?

The history of philanthropy in the United States is marked by three major events: John D. Rockefeller's quest for a public charter for his foundation, the Tax Reform Act of 1969, and the Reagan revolution of the 1980s. In 1908, Rockefeller was willing to give Congress power to oversee and reject grants made by his foundation, as well as the power to eventually dissolve it. Despite Rockefeller's attempts, Congress was adamant that the foundation remain private. Although his attempt to create a public foundation failed, Rockefeller created a precedent for the involvement of foundations in public policy formation.

The Tax Reform Act of 1969 required foundations to report their activities to the federal government in greater detail. As a result, this requirement induced foundations to perform more detailed self-introspection and more thorough examination of how foundation-granted funds are used. Popular opinion at this time held foundations distinct and separate from government and the private sector. However, the Reagan era rollback of government-funded programs in the 1980s forced foundations to expand their traditional spheres of influence and involvement, and introduced private sector takeover of areas that the public sector had traditionally controlled, such as hospitals and utilities.

Chapter 3
The Economy and Philanthropy
by Edward Wolff

Executive Summary

Charitable giving is on the rise. This chapter by Edward Wolff explores some factors that may be contributing to this, as well as the relationship between charitable donations and trends in income and wealth inequality.

In the last quarter of a century, the United States witnessed disturbing changes in the average standard of living, poverty levels and inequality, including stagnation of earned income levels. In contrast, the early postwar period was marked by rapid gains in both wages and family income, a sharp decline in poverty and a moderate fall in wealthy inequality. Personal tax rates have fallen over time for all groups, but have fallen more sharply for the wealthy than for the middle class.

Philanthropic contributions doubled between 1955 and 1975, and nearly doubled again between 1975 and 1995. Two primary explanations for these trends are growths in the economy and population increases.

Almost 30 percent of American households reported making charitable donations of \$500 or more in 1995. The most generous are elderly households that earn \$100,000 or more. Data also reveal that married couples are more likely to contribute to charity than unmarried individuals. Never-married males contribute the least. Households that have received an inheritance are more likely to donate than those that have not. Data from 1995 also indicate that charitable giving is a function of an individual's level of education.

Mean wealth is a more powerful predictor of charitable contributions than mean or average income. This suggests that charitable giving is more closely associated with household wealth than with changes in income. Surprisingly, total charitable giving does not respond to changes in the level of poverty or the standard of living of the poorest families in the United States. As the plight of the poor worsens, there is little indication that the wealthy become more generous and that charitable giving increases. An exception to this rule are donations specifically targeted for human services.

Changes in economic inequality do not explain changes in the degree of philanthropic giving relative to personal income, with the exception of movements in the share of wealth held by the wealthiest 1 percent of households. Changes in economic inequality do explain changes in contributions relative to personal wealth, but the strongest effect is from the wealth share of the richest 1 percent. This is consonant with the first finding because the very wealthy donate approximately half of all charitable contributions and, as their resources increase, so do the amount of their contributions.

According to the regression results presented here, no new evidence indicates that the level of charitable giving responds to changes in marginal tax rates after controlling for other factors. This finding sharply contrasts with previous work on this subject.

Chapter 4
Corporate Philanthropy Comes of Age: Its Size, Its Import, Its Future
by Reynold Levy

Executive Summary

In 1997, corporate America donated \$8.5 billion in cash contributions to the nation's nonprofit organizations. Corporations gain a great deal from cultivating relationships with nonprofit organizations, such as investment in brand identity and a favorable reputation as a committed community partner.

To simplify the complex connection between corporations and nonprofit organizations to a grantor-grantee relationship is to trivialize it. For example, corporations and the arts community interact to mutual benefit in complex ways. Through support of the arts, corporations gain access to arts patrons, who are often also active leaders in their communities.

Four themes characterize corporate participation in America's philanthropic future. These are: (1) small and mid-size firms will emerge as engines of corporate giving; (2) American companies will use philanthropy to expand their overseas operations; (3) technological advances will impact the aspirations and operations of corporate philanthropy; and (4) employees will emerge as catalysts and indispensable stakeholders in the exercise of corporate social responsibility.

The Driving Force of Business Philanthropy: Small and Mid-size Firms

Small businesses are the fastest growing segment of commercial firms in America, and consequently, are the fastest growing segment, along with mid-sized businesses, of philanthropy in the for-profit sector. Although much of small business giving is obligation-based, these firms often make the transition from viewing charitable giving as a form of societal dues-paying to viewing it as a business opportunity.

International Philanthropy: Prime Time for an American Export

International giving is one of the fastest growing components of corporate philanthropy. American corporations today are making charitable contributions that advance their international interests. This trend is likely to become a mainstay of American corporate philanthropy throughout the next decade.

There are many examples of early corporate interest in foreign market entry via nonprofit organizations. For example, corporations are establishing relationships with organizations such as the Brookings Institution and the Council on Foreign Relations that employ experts in the countries where the corporations seek to do business. They are also establishing relationships with foreign-based public policy organizations, such as the World Economic Forum and overseas affiliates of U.S. nonprofits such as Aspen Berlin. Favorable responses to calls for humanitarian assistance also exemplify corporate use of the nonprofit sector for foreign market entry.

The scope and scale of this phenomenon are immense. The upshot is a global third sector—an abundance of self-governing private organizations, unconcerned with

Chapter 5
Reinventing Philanthropy
by Leslie Lenkowsky

Executive Summary

America's philanthropic sector appears to be robust. Yet knowledgeable experts paint a different picture of the condition of American philanthropy—one that is severely challenged, if not in distress. The chief source of this paradox is that government and business are attempting to reinvent their roles and purposes as the twentieth century draws to a close.

Some of the anxiety about the state of the philanthropic world reflects the heightened expectations for it. The era of government support for the needy that began in the 1930s and accelerated in the 1960s is over. Philanthropy is now expected to take up the slack as devolution takes place. Furthermore, the line between business and philanthropy has become blurred as for-profit groups have taken control of some traditional nonprofit activities and charities have resorted to generating market-driven income.

If the United States continues to move away from the active, national government that has characterized it for much of the twentieth century, what should nonprofit groups, many of which have grown dependent on the public sector, do? For philanthropy to make best use of its resources, a clearer understanding of where it best fits into American life may be useful.

The turnaround in public philosophy that the Reagan era revolution produced has left the role of nonprofits in confusion. Nevertheless, the relationship between philanthropy and the public sector remains extensive. The nerve center of this relationship, however, has moved from Washington, DC to state capitals and local communities.

Devolution presents a particular challenge for philanthropic pacesetters. In the past, national leaders and philanthropic movers and shakers often shared similar backgrounds and therefore tended to share a similar outlook. Today, however, these similarities are less prevalent. Philanthropic leaders are likely to find that the culture of the nation's statehouses and city halls is unfamiliar and one to which they must adapt.

The philanthropic world may have to rely more on a microscope than a telescope to be effective in a devolutionary era. The report, *Giving Better, Giving Smarter*, offers advice to grantmakers about how to deal with the new environment produced by devolution. It suggests that grantmakers devote more resources to tangible problems and less to the "grand theory" of social change and spend more time getting to know the recipients of their support. *Giving Better, Giving Smarter* also encourages grantmakers to anticipate dealing with more faith-based charities and other groups that embody strong moral convictions, create "open paths of self-reliance for the poor," seek partners who are more "entrepreneurial" than governmental in their outlook, and incorporate hard-nosed evaluation to gauge the effectiveness of programs.

Some would argue that much of the philanthropic energy that gravitated toward national outlets did so because grassroots initiatives tended to be inadequately skilled at

Chapter 6
Nonprofit Organizations and Public Policies in the Delivery of Human Services
By Kirsten Gronbjerg and Steven Smith

Executive Summary

This chapter by Kirsten Gronbjerg and Steven Smith examines a series of major public policy developments and structural changes in the nonprofit sector. Collectively, these changes are fundamentally altering the public policy role of nonprofit human service agencies.

Ongoing debate about the role of nonprofits in human service delivery focuses on policy issues such as welfare reform, extension of the managed care model, privatization of government services, performance evaluation, restrictions on nonprofit advocacy, challenges to the tax-exempt status of nonprofits and the changing relationship between church and state. Policy challenges have emerged against a backdrop of structural change within philanthropic and other nonprofit organizations. Controversy exists as to whether a clear distinction can still be made between the public and private sectors and whether the nonprofit sector is able to effectively address today's social problems without governmental support.

Arguments about the appropriate boundaries of the state and nonprofit sectors are also explained in depth. Beginning with an abbreviated portrait of the nonprofit human services sector, a theoretical framework for understanding the mechanisms and structures under which public policies interact with nonprofit human service agencies is provided. These mechanisms include government grants and contracts, government-financed fees, tax credits and deductions, tax-exempt bonds and government regulations.

The chapter concludes with a discussion of nonprofit human service agencies within civil societies and the authors' recommendations for how to approach the changing role of nonprofit human service agencies in public policy. Gronbjerg and Smith observe that American society represents the "liberal" welfare state and that, as a result, it is a society that is designed to provide only limited protection for individuals. For this reason, the authors contend that current efforts to drastically limit public support of nonprofits are likely to be unsuccessful.

Chapter 7
To Merit and Preserve the Public Trust in Nonprofit Organizations:
The Urgent Need for Regulatory Reform
By Joel L. Fleishman

Executive Summary

Author Joel L. Fleishman believes that the United States should establish a new federal agency to police and defend the nonprofit sector in lieu of adequate state and federal accountability enforcing capabilities. He states that current systems are unable to detect, deter and punish noncompliant nonprofit organizations. As a result, lack of enforcement has the ability to taint the public's goodwill toward nonprofits and undermines the positive contributions that they make to society.

Unethical activity that occurs at any nonprofit organization has the potential to become a problem for the entire third sector. Evidence suggests that noncompliant activity often takes place at nonprofits that are sloppily and inattentively run or those plagued by ineffective leadership. However, voluntary watchdog organizations, such as the National Committee for Responsive Philanthropy, do exist. The amount of public information about nonprofit organizations has also increased, as evidenced by the development of services such as Philanthropic Research's *Guidestar* Web page. The media, though often overzealous, may also serve as an effective watchdog.

Despite the presence of many watchdog groups, no single entity is responsible for monitoring, policing, and, when necessary, defending the nonprofit sector. If the federal government is to allow the nonprofit sector to continue to play its central role, foundations must be supported by adequate accountability enforcing mechanisms.

The best solution is to grant the Internal Revenue Service authority to certify tax exemption initially and to serve as the primary recipient of 990s and 990PFs. This is the most effective answer to the problem of accountability and enforcement because: (1) the IRS Exempt Organization Office is inherently tax collection related; (2) determination of contribution tax deductibility and decisions concerning business income tax liability are inherent IRS duties; and (3) it is good policy to continue IRS's 90-year work in this domain.

A new independent agency, perhaps one titled, "The U.S. Charities Regulatory Commission," should have the power to perform all other related duties, investigate alleged violations, supervise interstate charitable solicitation and monitor nonprofit activity. Quite simply, such a commission would function as the Securities Exchange Commission or the Federal Trade Commission for nonprofits.

Chapter 8
Accountability in a Changing Philanthropic Environment: Trustees and
Self-Government at the End of the Century
by Warren F. Ilchman and Dwight Burlingame

Executive Summary

When people discuss nonprofits, sentimentality often pervades. Religious beliefs affect the public's view of nonprofits, as does the widely-held belief that the strength of American democracy comes from a tradition of self-governance through voluntary associations presided over by neighbors and friends. But accountability is not about pieties and sentimentalities. The authors believe that nonprofits are virtually unregulated by external governmental bodies and are only accountable to their own boards. With few exception, they are free to advance their missions as their staff and boards deem appropriate. For this reason, the subject of limits for nonprofits is important. In 1996, nonprofits employed 10 percent of the workforce and represented approximately 8 percent of the gross national product. This indicates that nonprofits are growing at a faster rate than the private sector.

The current system of board governance for nonprofits has not always existed or been firmly defined. Furthermore, it has met with opposition in the past—both from government and in the courts. Now that the board system of governance prevails, however, what is expected of trustees? Under the fiduciary concept, directors are held to three duties: care, loyalty and obedience. How are these behaviors enforced?

Nonprofit regulation is almost exclusively a function of the federal government and specifically, the IRS. However, IRS enforcement of nonprofits is widely viewed as lacking the aggression required to be effective.

Why are nonprofits largely unregulated? This is primarily a result of their reputation as “the public trust sector.” Another factor may be due to the fact that the nonprofit sector is not unified and, as a result, often invisible. Nonprofits also tend to be small in size. Consequently, returns on regulation are relatively insignificant. The most cynical view about the lack of aggressive nonprofit enforcement is that nonprofits are largely the domain of wealthy conservatives who, many believe, are politically valuable. Thus aggressive enforcement does not occur for fear of alienating this group.

The media is calling for nonprofit accountability. Numerous organizations during the last two decades have played some part in understanding the role of nonprofit board governance, including the American Bar Association, Financial Accounting Standards and the American Institute of Philanthropy, among others.

Are board trustees capable of handling contemporary challenges without possessing a national perspective on the implications of their philanthropy? This does not appear to be possible. Contemporary challenges include economic concerns, political forces and marketplace demands. Economically, nonprofits have to compete with the private sector, and the line between the two has blurred. Politically, nonprofits, once isolated from the political sphere, now serve as advocates in the public policy realm. In the marketplace, a

Chapter 9
Patterns and Purposes of Philanthropic Giving
by Eleanor Brown

Executive Summary

Eleanor Brown reviews the pattern and scope of American philanthropy in the 1990s to determine where philanthropy may be headed as devolution occurs. She examines individual philanthropy in the form of charitable contributions, volunteer labor and bequests. For each these, Brown asks who gives, how much is given and who the beneficiaries are, and then addresses the important determinants of giving and what they may predict for the future of individual philanthropy.

Across the three venues of individual philanthropy (charitable giving, volunteering and bequests), can it be identified who gives how much to whom? Some patterns, in fact, do emerge. Generosity within all income levels varies substantially. Involvement in organized religion is also a tremendous factor as to who gives and to whom. However, as income increases, an individual's participation in organized religion becomes a less important factor. Nonetheless, participation in organized religion is the greatest factor for determining the number of volunteer hours. The number of charitable donations and charitable bequests is also a function of religious participation, but to a lesser degree.

Educational level and income are both important determinants of giving. Others include donors' sensitivity to their tax assessment and group affiliation (e.g., civic clubs, religious groups, community sports teams). Individuals who are affiliated with a group are more likely to make charitable contributions than those who are not.

Brown also identifies some determinants of volunteering. These include community involvement, social status, the presence of community service requirements, volunteer experience as youths and tax policy. Studies show that both volunteering and charitable giving increase as the tax price of giving decreases.

Some determinants of bequest behavior have also been identified. Bequests are more likely to be observed if the person is survived by a spouse. Wealth at the time of death also affects the likelihood and magnitude of bequests. Brown observes that the size of "accidental bequests," (savings for contingencies that never arose) falls as financial markets grow more sophisticated. Evidence also suggests that estate tax rates affect both the size of bequests and the variety of causes to which they are directed.

Data reveal that parents are predicted to leave \$10.4 trillion to their babyboomer children. Will this huge intergenerational wealth transfer produce a windfall for charitable organizations? Given inflation and the performance of financial markets, it is estimated that \$7 million will be transferred. But how much of that \$7 million will foundations see? That answer is based on many factors, including current levels of giving from bequests, current levels of bequeathing as a proportion of charitable donations, closely-held businesses, competing bequest options, communities of participation and the "long civic generation" (Americans born before 1930), and levels of educational attainment.

Chapter 10
Communities, Networks and the Future of Philanthropy
By Julian Wolpert

Executive Summary

This chapter focuses on how well American communities, aided by philanthropy, can and will take care of their own. It discusses the following themes: societal concerns amenable to solutions at the community level, the capacity of current community resources, the extent of resource disparity between and within communities, the ability to mobilize resources and the consensus and target them for high-priority purposes, and the additional responsibility placed on local communities as a result of federal cutbacks and devolution.

Philanthropy can satisfy neither the conservatives, who would like it to serve as the principal agent of social renewal, nor progressives, who view philanthropic leaders as advocates for structural reform. In the future, philanthropy is likely to continue operating as it does now—performing a variety of good works that improve community welfare but do not solve fundamental problems. The philanthropic community, for the most part, is not inclined to alter current priorities and fill a residual role created by government's withdrawal from key safety net support programs.

What more can philanthropy do to enhance its contribution to community life? Large national foundations can continue to monitor the national impact of devolution and allocation of block grants by states and localities and help to identify communities that are most adversely affected by government cutbacks. Foundations can also augment their seed support of innovative programs and increase their role as advocate when evidence identifies shortcomings in the federal decentralization and devolution experiment.

More conservative foundations can pursue other efforts such as mobilizing faith-based, local organizations, recruiting volunteers and mentors to assist receptive families, conducting rigorous evaluation of the community impact of their programs, and attempting to separate their service agenda from their fiscal agenda. The experience of sincere donors and volunteers in providing direct service to severely distressed families also provides clues about what foundations can and cannot accomplish.

Community foundations can learn more about local community needs, listen to local civic leaders about ways to strengthen community well-being and target larger shares of their grants to needy communities in their area. Local philanthropic leaders may be able to partner with local business leaders and government officials and lobby state and federal governments when local solutions or resources are clearly insufficient.

Prominent future roles for philanthropy consist primarily of continuing to perform traditional roles. These include enhancing the variety and quality of community life, exercising independent voices on issues that require public attention, and helping to alleviate the most pressing problems in vulnerable communities.

Chapter 11
Philanthropy and Minorities
by Emmett D. Carson

Executive Summary

This chapter examines the interplay between the indigenous philanthropy of culture-specific groups and the institutional philanthropy of foundations in promoting social justice. The reader may benefit from the following definition of terms as used by the author:

- *Social justice*: The provision of basic human services and social justice advocacy efforts to promote human equality.
- *Culture-specific group*: People who share characteristics such as race, ethnicity, language or gender, as well as a shared history as a result of these characteristics.
- *Indigenous philanthropy*: Collective efforts of culture-specific groups to pool their financial and volunteer resources to address group concerns.
- *Institutional philanthropy*: Foundations created by wealthy philanthropists.

Indigenous philanthropy appears to be more willing to support social justice issues than does institutional philanthropy. Additionally, progress on social justice issues is most likely when foundations support the social justice efforts initiated by culture-specific groups after they have gained sufficient public support.

This chapter is divided into seven sections. Each describes how culture-specific groups have used indigenous philanthropy to support social justice activities in conjunction with and, at times in opposition to, institutional philanthropy. The groups presented in these seven sections are Native Americans, early immigrants to the United States, African Americans, Asian Americans, Latino Americans and women.

A consistent picture emerges. Each group has relied on its own indigenous philanthropy to first provide basic human services—food, clothing and shelter—and later, to challenge the larger systemic social injustices confronted by their communities. Why have some culture-specific groups been very active in social justice advocacy and others have not? Why has institutional philanthropy, widely believed to be the primary source of venture capital for new and controversial ideas not fulfilled this role?

The success of African Americans and women is most likely due to the nature of their social protest and their size. Size is a factor because it enables them to accommodate diverse opinions and to generate and direct a significant portion of their indigenous philanthropy toward social justice advocacy. The size both groups has also made it more likely that their concerns receive greater awareness. The success of African Americans and women in pursuing social justice advocacy efforts has had positive benefits for all racial and ethnic groups and has reduced the need for them to mount their own efforts these areas.

Institutional philanthropy has not played a major role in supporting social justice issues for culture-specific groups. This fact is not surprising. First, foundations are created by wealthy people who have benefited from the status quo. As a result, they are politically more conservative than progressive. Second, diversity is not a hallmark of foundation

Chapter 12
Philanthropy and the Case of the Latino Communities in America
by William Diaz

Executive Summary

This chapter presents the story of the Latino community in American philanthropy and specifically, its history, needs and future promise.

Two small foundations, the Rosenberg Foundation in San Francisco and the John Hay Whitney Foundation in New York are the pioneers of the Latino involvement in American philanthropy. In the 1940s and 1950s, they sowed the seeds for what would later blossom into major grantmaking programs for Latinos by the larger national foundations.

Prior to 1980, Latinos were perceived as groups from distinct countries of origin—they were Mexicans, Puerto Ricans and Cubans. In 1980, the U.S. Census created a new category, “Hispanic,” which made it possible to count the number of individuals of Hispanic descent living in the United States. As a result of this regulatory change, which provided for a more complete enumeration of the Hispanic population, and due to increased immigration and high fertility rates, the 1980 census counted 14.6 million Hispanics—a 61 percent increase from 1970. Such growth brought media attention to this “new minority,” as well as public recognition of the problems Latinos faced—poverty, language barriers and discrimination. A corresponding philanthropic “charge” led to an increase in grants to benefit Latino populations. Latino grantmaking in the 1980s was led by three national foundations: the Carnegie Corporation, the Ford Foundation and the Rockefeller Foundation.

Latinos’ desire to increase their voice in the philanthropic arena has coincided with foundations’ desire to increase their diversity in programs and governance. One result is the emergence of special Latino funds, often affiliated with community foundations, that foster community-based, self-help institutional building. These community funds may be disaggregated into three organizational models—the Workplace Giving Model, the Community Foundation Field of Interest Model and the Independent Model. Positive aspects of these funds are an increase in quality, responsiveness and experience for Latino nonprofits; an orientation in the culture of philanthropy for U.S. Latinos, expansion of the philanthropic community’s understanding of Latino community needs; greater Latino involvement in philanthropy; and coordination facilitation among Latino nonprofits. The main criticism of Latino funds focuses on their need to demonstrate greater viability, professionalism, community support and impact.

Along with the emergence of Latino community funds is a second new major development: plans for a Funder’s Collaborative for Strong Latino Communities undertaken by Hispanics in Philanthropy (HIP). HIP hopes to raise \$15 million over five years for the collaborative, which would enable it to focus grantmaking on initiatives that build new nonprofit leadership among younger Latinos; expand the resource base of Latino nonprofits and multiply partnerships with other groups; forge new forms of

Chapter 13
The Case of Minneapolis and St. Paul
by Jon Pratt

Executive Summary

Despite its current reputation for generosity, Minnesota did not have an environment hospitable to honest government, economic success, racial tolerance, or philanthropy until after World War II. Earlier in its history, the state was more likely to be known for political corruption, civil discord, prejudice and economic inequality. Key to realigning Minnesota's culture was a shift in business leadership and a public commitment to give away 5 percent of corporate profits for community projects. The Minneapolis Chamber of Commerce formalized this commitment in 1976 when it created the Five Percent Club, wherein corporations pledged 5 percent of their pretax profits to philanthropy.

This chapter presents the question: does the system of philanthropy in Minnesota deserve credit for creating its high quality of life, or is charitable activity simply the byproduct of an otherwise successful economy and society? The author examines this question by detailing Minnesota's historical trends in philanthropy, politics, societal issues and economics from 1858 to the present. The state's history makes it clear that Minnesota's charitable impulse is less the result of long-standing social attitudes and cultural habits than it is a strategic intervention by leaders able to refocus attention from private conflicts to public benefit projects.

This strategic intervention has produced an institutional support base for philanthropy in Minnesota—a broad infrastructure of more than 25 major philanthropic support organizations. Four major support organizations were formed before World War II: The Minneapolis Foundation (1915), United of Minneapolis (1919), United Way of the Saint Paul Area (1920) and the Saint Paul Foundation (1940).

Twenty more were created during the next 50 years. These organizations developed and share four common objectives:

- increase charitable contributions
- increase volunteer labor
- enhance the management capacity, earned income and coordination of organizations; and
- facilitate successful relations between nonprofit organizations and state and local government and the media.

Individually, each of these organizations has a specific task in supporting one or more aspects of nonprofit activity. Collectively, they share in the task of communicating to the public that philanthropy is not only a social good, but also an essential element of social legitimacy.

Are there lessons to be learned from Minnesota's success in philanthropy, or is the state an exception and therefore not a realistic model for other states? The author offers some thoughtful conclusions:

- the best customer of philanthropy is an educated person and a young person,
- business leadership influences the larger community,

Chapter 14
The Case of Kansas City
by David O. Renz

Executive Summary

In this chapter, author David Renz presents Kansas City's unusually successful philanthropy and examines its potential for adaptability as a model for other cities.

Philanthropic giving in Kansas City is impressive for a city of its size (1.6 million). In 1994, it ranked 11th for charitable giving, but its rank for per capita income was 25th. In 1996, 490 private foundations and philanthropic trusts served the community and, collectively, their assets amounted to more than \$3 million. These organizations paid out more than \$150 million in grants in 1996.

Kansas City has used collaborative efforts such as partnerships and alliances that cross the boundaries of the public, private and philanthropic sectors to address the challenges confronting its communities. Its citizens consider Kansas City to be the "partnership capital of the world." Two examples of such multisector collaboration are the Partners in Quality for Early Childhood Care and Education (PIQ) and the Block Grant Response Initiative. PIQ is a partnership of 21 greater Kansas City foundations, nonprofits, higher education centers, government agencies, corporations and civic associations that have pledged to strengthen and enhance the quality of early childhood education and to build a much stronger system by which future services would be provided, managed and monitored. The Block Grant Response Initiative advocates a reactive stance to the potential impact of federal devolution and the block-grant approach to human services funding. It has brought together and catalyzed action among leaders in state and local government, the business sector, philanthropic community and schools and universities.

What should we be learning from Kansas City's successful propensity to create cross-sector, comprehensive initiatives for building and rebuilding its community? Seven key success factors stand out for their contributions to the performance of Kansas City inter-sector collaborations. Key factors include: (1) new patterns of leadership and governance, grounded in and evolving from historically prevalent patterns, (2) effective strategies for strengthening and tapping the community's substantial social capital, (3) a widely shared community vision and ethic, including and emerging and increasingly widely shared "community theory of change," and (4) a vital and evolving infrastructure network of mediating organizations and processes.

The case of Kansas City is, of course, not all positive. Two critical areas have been "left out of the loop" of successful collaborative initiatives—the public school system and the public housing system are both in major disarray. These areas of dysfunction, if not resolved, will affect the city's future success.

In addition to these two problem areas, Kansas City's multisector collaborations face some challenges:

- the state line that divides Kansas City, equally split between Missouri and Kansas, is a barrier to linkage, coordination and collaboration,
- true grassroots involvement remains too limited,

Chapter 15
Children in Poverty: Reflections on the Roles of Philanthropy and Public Policy
by Ruby Takanishi

Executive Summary

The United States has the highest childhood poverty rate among industrialized nations—four times the rate of other Western nations. As a result, one would expect the public and private sectors in this country to focus on reducing, if not eliminating, childhood poverty. Sadly, this is not the case. In this chapter, Ruby Takanishi presents philanthropy's potential for helping to reverse this situation.

Current discussions about childhood poverty have an air of unreality, primarily because people choose to ignore the fact that so many working poor exist. Americans cling to the belief that "work should pay" for those who "play by the rules." However, welfare restructuring may force public policy and philanthropy to finally address the needs of the working poor.

Philanthropy today is not leading on the childhood poverty issue. Its activities have essentially mirrored public policy, and for the most part, have not attempted to counter it or identify alternative directions. Several large foundations with interests in childhood poverty are engaged in reprogramming activities, partially because of leadership changes. Philanthropic agendas to address the immorally high rates of childhood poverty still need to be created.

Childhood poverty is not intractable; it can be reduced by governments that pursue policies such as universal health care, affordable child care, excellent schools, job creation and urban and rural infrastructure improvements.

To reduce childhood poverty in the United States, philanthropy should advance the following goals:

- craft a social compact to address poverty in households in which adults work for job earnings that do not meet basic needs,
- stimulate public discourse about poverty to re-engage Americans about poverty issues with the help of governmental agencies, foundations, the media and religious communities,
- articulate a unified approach to reducing childhood poverty,
- raise questions about devolution, and
- examine carefully the privatization of child and family services.

To reduce childhood poverty, the use of government or public resources is necessary and unavoidable. Private charity, including faith-based communities and other nonprofits, will always be insufficient to meet the needs of children in poverty. Private foundations can, however, serve as critical catalysts in addressing childhood poverty by meeting its founding responsibility to lead public debate about persistent dilemmas in American society.

Chapter 16
The Changing Face of Health Care
by Bradford H. Gray

Executive Summary

Health care accounts for more than half of the revenues of America's nonprofit sector. The field has undergone enormous and rapid change during the last three decades. This chapter emphasizes four components of the changing face of health care. First, it outlines the diversity within the field of health care. Second, it describes some ownership-related trends that demonstrate how profoundly the nonprofit sector within health care has been affected by governmental policies by focusing on two types of health care organizations with strikingly different histories—hospitals and HMOs. Third, it reviews some empirical evidence to support the argument that ownership form and theoretical analyses regarding the role of nonprofit organizations both matter. Finally, the chapter concludes with a discussion of the future of nonprofit health care.

Why is the ownership history of hospitals and HMOs so different? In the years following the inception of the Medicare program, the for-profit hospital sector was transformed from a marginal player composed of small proprietary institutions into an investor-owned industry dominated by a handful of huge corporations. This was largely an inadvertent result of several incentives of the Medicare program, which include the following:

- Medicare, in combination with Medicaid, provided health insurance for the largest and most difficult-to-insure portion of the nation's uninsured population; therefore hospitals could now be operated profitably.
- If they were so inclined, hospitals could "game" Medicare's cost-based reimbursement in countless ways to generate profits out of a so-called cost-based payment system.
- Medicare payments included a generous profit margin (called return-on-equity payments) for for-profit hospitals.
- Medicare capital reimbursement policies not only reimbursed providers for the capital costs incurred in building or purchasing facilities, but also paid depreciation costs.

However, the growth of the investor-owned companies was stopped by cost-containment changes in the Medicare program in the 1980s. The number of nonprofit conversions increased markedly in the period from 1994 to 1996, which attracted much attention and concern.

Three questions have stimulated research into the performance of nonprofits: (1) whether for-profit hospitals are more "efficient" than nonprofits (e.g., in administrative costs), (2) how nonprofits v. for-profits deal with charitable activities (i.e., uncompensated care), and (3) if differences exist among the trustworthiness of nonprofit and for-profit hospitals (e.g., charges of HMO denials of care).

Among major developments for the future of nonprofit health care are the following observations:

- nonprofits will be expected to help meet the needs of the growing ranks of the uninsured,

Chapter 17

Lessons for the Future of Philanthropy: Local Foundations and Urban School Reform by William McKersie and Anthony Markward

Executive Summary

As school-reform efforts in several major cities enter their second decade, evidence suggests that these efforts are working. It takes many years for such reform programs to have even marginal effect—persistence is crucial. Local foundations are a key reason for the persistence of urban reform efforts in many major cities. This chapter traces how local foundations in two cities, Chicago and Cleveland, came to play a limited but important role in urban school reform.

Authors William McKersie and Anthony Markward first describe how local foundation's increasing participation in reform during the last ten years is rooted in philanthropy's growing concern for urban education and in foundations' feelings of responsibility to their home cities. The authors outline the history of foundation involvement in the education reforms efforts in Chicago and Cleveland. McKersie and Markward draw on the experiences of these cities to discuss the characteristics of local foundation involvement in reform, the specific roles and strategies they have adopted, and the philanthropic tensions they have needed to resolve to influence local public policy and local school systems.

The authors state that the new public affairs climate, which is rooted in the Reagan era, favors reformers who adopt local, flexible and creative approaches to public programs, accept accountability for specific outcomes and fund social change with a public and private or solely private resources.

Lessons learned from the Chicago and Cleveland programs that may assist foundations involved in local reform efforts are that foundations cannot effect system-wide change without government resources, but that many feasible ideas about reform do exist. However, the challenge is to obtain the right combination of individuals to agree on the right combination of reforms in the right context on a system-wide basis. The Cleveland and Chicago experiences also illustrate that complex public issues, such as reform efforts, can change quickly. As a result, foundations need to be very flexible to respond to emerging ideas, approaches and events. They also demonstrate that reform requires long-haul grantmaking and, as a result, foundations must be willing to commit resources to an issue or institution for a five- to ten-year period.

Additional lessons are that:

- foundations must be interdependent with nonprofits to facilitate greater collaboration and compromise,
- professional staff and board members must take an activist approach by contributing directly to personal leadership, expertise and energies,
- foundations must practice “gap funding” by devoting funding and staff time to implementation of new policies and practices that arise from their efforts, and

Chapter 18
Philanthropy and American Higher Education
by Michael Rothschild

Executive Summary

In this chapter, Michael Rothschild describes the role of philanthropy in American higher education, presents numerical data about past and present private contributions and analyzes the effect of charitable contributions on student enrollment patterns. Rothschild also discusses other effects of charitable contributions on higher education based on his experience as a faculty member and administrator in several public and private universities.

The most important facts about philanthropic contributions to higher education are the following:

- higher education is a significant recipient of charity, receiving almost 10 percent of total philanthropic gifts,
- gifts and grants pay for more than 6 percent of the educational expenses of higher education, and endowment earnings, the residue of past gifts, provide another 2.3 percent,
- gifts and grants to higher education are unequally distributed among colleges and universities,
- private institutions enroll less than a quarter of all students, but receive more than half of all contributions,
- gifts are concentrated primarily among research universities and private liberal arts colleges, with elite universities such as Harvard, Princeton, Stanford and Berkeley receiving a disproportionate share of contributions and grants, and
- endowments are more drastically uneven in their distribution—in 1995, five institutions held 20 percent of the higher education endowment but enrolled less than 1 percent of the total student population.

Philanthropy also affects student enrollment patterns. Charitable contributions enable expensive colleges to reduce their fees, through use of scholarships and financial aid. Because many applicants take cost into account when considering which college to attend, charity directly affects student choice. However, charitable contributions have little effect on overall college attendance. This is because the marginal student (the student deciding whether to attend college or enter the workforce) is likely to consider attending a public college that receives very few charitable contributions. Evidence suggests that individuals who decide not to attend college due to cost may greatly benefit from a college education. Thus, the inability of private contributions to increase college access is significant to the state of higher education.

Philanthropy supports what is best in American higher education and promotes competition and, therefore, excellence among schools. It is also an essential ingredient for the success of American research universities. Private philanthropy provides essential support for much of the social science research conducted in colleges and universities. However, the nature of this support leaves much to be desired. Peer-reviewed government

Chapter 19
Environmental Philanthropy and Public Policy
By Richard Revesz
Executive Summary

In this chapter, author Richard Revesz discusses the role of the federal government as it pertains to environmental regulation. In recent years, the dominant role of the federal government with regard to environmental regulation has come under attack from policymakers and Congress has made some modest moves toward shifting regulatory authority to the states. The Environmental Protection Agency is also in the process of reconsidering the appropriate balance of authority between the federal government and the states.

Critics of decentralization argue that it will reduce social welfare because of the presence of interstate externalities, and public choice problems that may result in an underrepresentation of environmental interests at the state level. Another threat to environmental regulation is the “race to the bottom” whereby states compete to provide the lowest level of environmental standards in an effort to induce corporations to locate with their jurisdictions.

Revesz evaluates these arguments for centralized regulation and demonstrates that they do not justify the broad and dominant role that the federal government continues to play. In doing so, Revesz provides what he believes is a more appropriate role for the federal government with regard to this issue. However, he clarifies that some federal intervention is necessary in order to address certain pathologies that would otherwise result.

Revesz believes that the federal government has not played a role that cannot be effectively carried out in a decentralized system. Control of interstate externalities, provision of scientific information necessary for regulation, such as preparation of risk assessments, and the guarantee of a minimum level of public health are all duties that he believes states can successfully perform.

Thus, a mismatch exists between the areas in which the federal government is able to have a desirable impact and the focus that the federal regulation has had in the past. Revesz believes that the federal government overregulates problems that have only in-state consequences, but inadequately addresses problems that require federal intervention. Assessment of devolution’s impact is therefore complex.

From Revesz’s analysis, emerges three important conclusions regarding philanthropic action and environmental issues. First, he casts doubt on the social desirability of supporting the types of categorical claims that some national interest groups have made against devolution. Second, he provides a blueprint for focusing federal attention on issues that have been underregulated by the federal government and that certain forms of devolution might threaten further, such as endangered species protection. Third, Revesz refutes the claim, fueled by centralization advocates, that funding of groups operating at the state level is likely to be ineffective.

Chapter 20
Philanthropy Outcomes and Dilemmas in the Quest for Accountability
By Gary Walker and Jean Grossman

Executive Summary

The 1990s have witnessed a greater focus on outcomes in philanthropic giving. The context of the current “outcomes movement” is complex, full of experience and insights that often lead in different directions. In this chapter, authors Gary Walker and Jean Grossman present the factors that need to be considered when philanthropy decides to put a greater emphasis on “outcomes” and divide them into three broad categories: technical, substantive and strategic.

A major “technical” issue of the outcomes movement is that even a careful specification in advance of the outcomes to be achieved, and a careful and credible collection of relevant information about those outcomes, may not lead to accurate conclusions about what the program or initiative actually accomplished. Are there solutions to this problem? Theoretically, yes: one solution is to use a comparison group, so that the counterfactual question, what would have happened in the absence of the program or the initiative, can be answered. Three important challenges to designing and carrying a credible comparison study are: (1) the availability of a sound comparison methodology; (2) obtaining an appropriate number of participants from which to draw conclusions; and (3) ensuring that activities of the comparison group are distinct. These challenges pose substantial challenges to foundations that seek to focus on outcomes. However, the good news is that a substantial body of thought exists about these issues and that a “best practices” approach can usually be crafted from the information.

In the late 1990s, the primary focus should be to improve the strategy, substance and quality of what is being funded. Some critical substantive areas that get to the “what” issue and that require philanthropy’s individual and collective attention in many social policy domains are new programmatic strategies, new or expanded institutions, capacity-building and gap filling.

Philanthropy also needs to strategically rethink when to use the tools of formal outcome and impact evaluations. The experience of the past 25 years provides a good base. During this period, formal outcome and impact assessments were instituted in three basic categories: new program initiatives, modified program initiatives, and long-standing program initiatives. The authors present the following preliminary conclusions about these categories:

- evaluations of new program initiatives are dominated by no or negative outcome and impact findings,
- evaluations of modified program initiatives are evenly mixed in their findings of no, negative, modest or good outcomes and impacts, and
- evaluations of long-standing program initiatives are more likely than not to have modest or good outcomes and impacts.

Strategic rethinking that the authors suggest has important implications for the outcomes movement in philanthropy. Most importantly, it should stimulate more coordinated

Chapter 21
Philanthropy and Culture: Patterns, Context and Change
By Margaret J. Wyszomirski

Executive Summary

In this chapter by Margaret J. Wyszomirski, the relationship between philanthropy and culture in the United States, a relationship that has always been complex, interdependent and multifaceted, is presented.

Historically, individuals have been and continue to account for the greatest share of philanthropic support for the arts and culture. The performing arts have consistently received a third or more of all foundation support for arts and culture, and museums have received foundation support to a slightly lesser degree. However, support for the humanities and the visual arts is much smaller. Foundations have only committed 4 to 5 percent of their funds to the humanities, 4 to six percent to historical preservation activities, and 2 to 4 percent to the visual arts.

Private philanthropy has sought to influence public policy concerning arts and culture. Foundations are capable of independent action, either as an alternative or a compliment to public philanthropy. Among private institutional funders, independent foundations have, accounted for the greatest share of private institutional funding, followed by corporations and community foundations.

In the past, the National Endowment for the Arts set much of the agenda for institutional cultural philanthropy. However, a different pattern of philanthropic influence may be emerging for the twenty-first century. Such a new multi-polar system would be composed of a few philanthropic coalitions and capable of addressing diverse and overlapping agendas. Such coalitions might be coordinated, but not directed, by what are called “peak associations” or national groups of organizations. Constituting key elements of a national cultural policy community would be policymakers, arts administrators, and cultural policy analysts. At present, likely candidates for peak association leadership include Grantmakers in the Arts, Americans for the Arts, the National Assembly of State Arts Agencies, the President’s Committee for the Arts and Humanities and the Center for Arts and Culture.

During the 1990s, many assumptions and perceptions about arts and cultural funding have been challenged, amended and even replaced. These include:

- an “over-emphasis on production”—particularly in an environment of declining leisure time, an aging population, and the widespread availability of broadcast and electronic media options,
- a new-found uncertainty about funding, especially at the federal level,
- a tendency to customize—for example, dealing with individual fields and with individual institutions and artists, and
- a presumed sense of stability as to the organizational players involved and how programs were structured.

Chapter 22
A Tradition in Jeopardy
by Robert Payton

Executive Summary

Written by Robert Payton, this chapter presents the view that the philanthropic tradition and several other important traditions that shape American values and help to define the United States as a democracy and a civil society are at risk. An essay of opinion and an essay of philanthropic autobiography, this chapter discusses how several traditions—religion, liberal education, professionalism and philanthropy—have shaped Payton’s consciousness as well as that of society.

Philanthropy is personal and individual as well as social and collective. Is it reasonable to suggest that anyone—someone, even if not everyone—may be responsible in some way for the survival of a tradition? Payton presents the following theme: philanthropy is one of several interrelated traditions that weave a pattern of trust. He believes that philanthropic values can be detected in other traditions and specifically, as a “mother-tradition” that nurtures other human values. Payton’s essay deals with the questions from where does the tradition come, how does it become rooted in our character and personality and how does it guide our actions?

CHAPTER 23 INTENTIONALLY MISSING

Chapter 24
The Evolving American Foundation
By James Allen Smith

Executive Summary

In this chapter, author James Allen Smith addresses two questions: what has made the foundations of the twentieth century distinct from those that preceded them, and how have they evolved?

It is not an exaggeration to state that the early twentieth century witnessed a philanthropic revolution. Beginning with a surge in the number of American millionaires in the decades after the Civil War, endowments measured in the tens of millions (hundreds of millions in current dollars). New levels of fortunes demanded a more systematic approach to philanthropy. John D. Rockefeller, Andrew Carnegie and Henry Sage, among others, created a new kind of philanthropic institution, the general-purpose foundation, that looked to corporations for management and governance models.

Chronological markers to suggest how foundations have evolved and changed include:

- the Proto-Foundation era (1890–1910), which helped shape the prototype of the modern think tank and foundation advocacy efforts,
- the era of the general-purpose foundation (1910–1930s), which witnessed the beginning of the community foundation movement,
- the era of crises and wartime (1930–late 1940s), a period when foundation agendas were shaped by forces such as economic crisis, war and recovery,
- entry to the national and international stage (late 1940s–1970), marked by signs of eroding assets with inflation setting in, increasingly symbiotic relationship between foundation programs and government initiatives, and the beginnings of a simmering conservative counterrevolution, and
- the era of most recent history (early 1970s–present), characterized by shrinking government resources, support for devolution, an increasingly ideological tenor of American public discourse, and the attempts to reduce the public policy role advocacy role of foundations.

Scientific insight propelled philanthropy at the turn of the century. Progress in the sciences gave hope of finding solutions to social ills such as disease, poverty, urban distress. This environment fostered specialization and professionalization in many different fields, including medicine, public health, economics, psychology and political science. The seeds were sown for the model of large-scale institutional research.

By the early 1930s, foundations had learned the importance of being flexible and adaptable. The end of World War II marked the beginning of another era as large foundations reassessed their programs. Foundations began to focus on understanding human behavior, making democracy more effective and fostering international understanding. The emergence of the Cold War can be viewed as an “era of engineering” for philanthropy, when foundations became bolder at designing, building and testing new programmatic models that later, would be adopted by government.

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[Boston Aging Concerns Young
and old United, Inc. Annual
Report July 1, 1997 - October 1, 1998]



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YOUNG & OLD UNITED, INC.

25th Anniversary Year

R E P O R T

July 1, 1997–October 1, 1998



**A GUIDE TO
HOME, FAMILY,
AND COMMUNITY.**



Breads that ooze

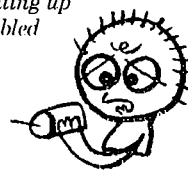
Sink your teeth into a loaf of chocolate and prunes or a succulent Stromboli that erupts with cheeses.

Page 21

Someone who'll listen

Why Japan is setting up hot lines for troubled children.

Page 15



Neighbor to Neighbor

— By David Clark Scott —

Digital divide

You could call it "Modems on Elm Street."

This spring, as part of a renovation of mill row houses, the Manchester (N.H.) Neighborhood Housing Services will install computers in 40 low-income apartments. The nonprofit's director, Felix Torres, says this is about linking neighbors and "building communities in unique ways."

It's also a modest attempt to bridge a widening gap between computer haves and have-nots. About 40 percent of all US households in 1997 had a computer, 19 percent were online. But those figures tell only part of the story.

Whites are more than twice as likely to own computers as blacks or Hispanics. And only 17 percent of households with annual incomes from \$15,000 to \$19,999 had computers, a US Commerce Department study shows.

Cognizant of the gap, in Oakland, Calif., city officials and IBM are working on a similar free-computer project for public housing units. In Boston's Dorchester neighborhood, Microsoft is donating computers to the GrandFamilies House (see story at right).

This a good use of public and private funds. Adults (and children) can gain proficiency in the privacy of their homes. Access to this tool can help span the technology — and the income — gap.

Even middle-class Americans can suffer from this silicon schism. Until recently, we didn't have an e-mail address at home. I can admit it, now that we're connected. Friends and relatives no longer give us those pitying looks. And my teen daughter has stopped bemoaning the collapse of her social life because "all" her friends chatted online without her.

Another plank in the bridge over the digital divide.

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Grandfamilies: When parenting skips a generation

By David Holmstrom
Staff writer of The Christian Science Monitor

BOSTON

When Sonia Booker was raising five grandchildren on Lawrence Avenue in Boston, the crackle of inner-city gunfire meant one thing: duck and cover. "We lived on the first floor," she recalls, "and I had to teach them that when they heard any noise outside, drop to the floor."

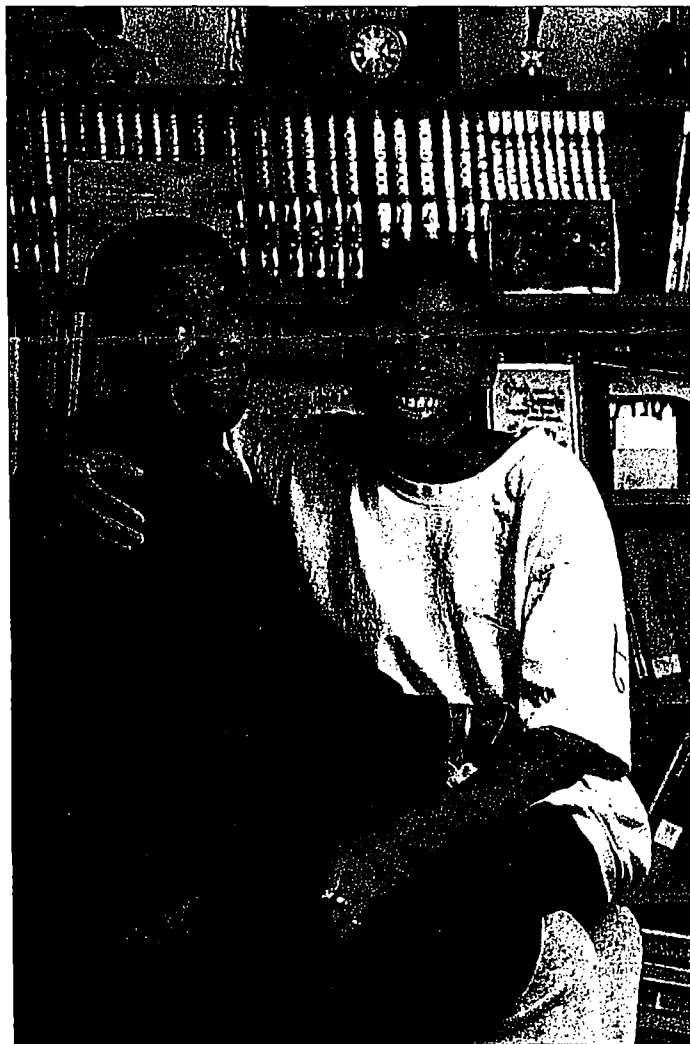
Those frightening times are over for Ms. Booker. She and one of her grandchildren, 12-year-old Chantee, moved into GrandFamilies House, in October.

The Bookers now live in the first public housing in the United States specifically designed for the needs of low-income grandparents who are raising grandchildren. If successful, this social experiment could become a national model.

Booker describes the sparkling, renovated apartment building with 26 units in a quieter part of town as "a safe haven, and I get a wonderful night's sleep now." Her other grandchildren have returned to live with their mother, who has "gotten her life together again," says Booker.

GrandFamilies is an innovative, public-private project

See GRANDFAMILIES page 16



JOHN NORDELL - STAFF

AT PEACE, AT HOME: After ducking gunfire for years, Sonia Booker and her granddaughter Chantee now live in the relative safety of the first US apartments built for grandparents raising grandchildren.

Grandparents raising grandchildren

GRANDFAMILIES from page 13

created to accommodate the housing and social needs of both seniors and youths of all ages. The bathrooms, for example, are outfitted with grab bars and the electrical outlets have safety covers.

The project is also an acknowledgment of the changing social dynamic of American families today: more and more grandparents find themselves raising grandchildren.

"What we have is an unfortunate situation where many children are losing their parents," says Janet Van Zandt, executive director of Boston Aging Concerns-Young & Old United (BAC-YOU), a nonprofit group. "We have to take care of the people who are taking care of the kids, or we'll lose the next generation."

Round 2, by the numbers

According to the US Census Bureau the number of grandchildren under 18 living with grandparents has nearly doubled to 3.9 million between 1970 and 1995. Numbers in the US are highest for white grandparents, but there is a higher proportion of African-American grandparents caring for their grandchildren.

In many struggling families, grandparents today become the only "safety net" available when their children cannot care for their offspring. Because of substance abuse, incarceration, abandonment, neglect, AIDS, or sheer immaturity, these parents are labeled as the "missing generation" when it comes to caring for their children.

Drug abuse among the parents is the No. 1 cause for children moving in with grandparents, says Mary Brintnall-Peterson, family specialist at the University of Wisconsin Extension in Madison. "And it happens to all ethnic groups and economic levels," she says.

Aside from assuming the normal challenges of parenting, many low-income seniors face discrimination and added financial hardship when a youngster moves in.

"We discovered that there were people in elderly housing who got kicked out when they had to take their grandchildren in," says Ann Gelbspan, project manager at the Women's Institute for Housing

and Economic Development in Boston. Or, because of high local rents and fixed-incomes, "they were stuck in a one-bedroom apartment with several grandchildren."

In addition, many schools and health centers still fail to recognize grandparents as heads of families. Elderly meals programs can exclude children, and social service agencies often give less financial support to older recipients. In the face of these challenges, the BAC-YOU surveyed 50

grandparent-headed Boston households several years ago to find out how to best help. It found that high on their list of needs was better housing with on-site support.

Founding partners

So BAC-YOU partnered with the Women's Institute in a GrandFamilies Task Force. After several years of discussions with lenders, and city and state agencies, funding was arranged from various sources including the National

Equity Fund Inc, an affiliate of the Local Initiatives Support Corporation (LISC), the nation's leading nonprofit community development fund provider.

More than \$4 million was raised to renovate a former nursing home into GrandFamilies "by offering lenders low-income housing tax credits." And in another first, grandparents were approved by the state to receive housing subsidy certificates (amounts vary depending on the size of the family and the apart-

ment) to help raise their grand children.

Unlike foster parents, in most states, grandparents caring for their children don't qualify for any special tax breaks or government subsidies.

"We convinced the lenders that the operating budget had to include a staff person and an apartment manager," says Ms. Gelbspan. Both are considered essential for launching the new concept and for emergencies.

All the residents except for two are either getting government subsidies or collecting Social Security. "Most of the residents are in the income range of \$5,000 to \$15,000 a year," says Ms. Van Zandt, "and this comes from three or four sources providing very small payments."

Little research has been done on the social dynamics of children moving in with grandparents. Initial studies show that many grandparents may be unprepared for the challenge.

The traditional notion of grandparents is one of loving competence. But a recent report by the nonprofit Children's Research Institute of California (CRIC) concluded that "many kinship placements occur without a thorough assessment of the caregivers ability or desire to provide a safe and nurturing environment."

A 1997 study from the School of Public Health at University of California at Berkeley concluded that many grandparents as a result are also at an "information" disadvantage when grandkids arrive. Nearly 62 percent of the grandparents in the study said



MOTHER AND GRANDMA: Vera Sanders keeps score as she plays cards with her grandson, John. She says they've found a sense of community since moving into the GrandFamilies House in Dorchester, Mass.

NATIONAL VIDEO CONFERENCE

Seeking solutions for parenting seniors

"A lot of states have laws that are barriers to grandparents. My hope is that the [video] conference will help change the laws, and states will be come more responsive."

— Mary Brintnall-Peterson.

"The interest was overwhelming," says Mary Brintnall-Peterson, co-chairman of the first National Satellite Video Conference, "Grandparents Raising Grandchildren," held on January 12. "We had 286 sites across the country," she says, "and we had to turn away requests for more sites."

Several thousand teachers, social workers, family counselors, aging experts and health care specialists participated in the 3-1/2 hour conference. The program featured panel discussions, workshops, and video presentations of innovative programs such as the "GrandFamilies House" in Boston (see story above).

"Our hope for the conference was to plant seeds in the minds of professionals in communities," says Ms. Brintnall-Peterson, a family specialist at University of Wisconsin Extension, Madison. "We wanted to help them

band together so grandparent issues won't continue to fall through the cracks."

As more and more grandparents have to raise grandchildren, schools are finding they must learn to deal with an older generation of guardians, whose values are often stricter. Social workers faced with a growing subset of low-income caregivers, often find there is no money earmarked for this group.

And the various groups of grandparents — those with legal custody of grandchildren, or grandchildren staying over night, or those as daily care providers — all face ground breaking legal and financial issues.

"A lot of states have laws that are barriers to grandparents," says Brintnall-Peterson. "My hope is that the conference will help change the laws, and states will be come more responsive."

— D.H.



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PHOTOS BY JOHN NORDELL - STAFF

HOME FIELD ADVANTAGE: The playground outside the GrandFamilies House keeps brothers Brenden (l.) and Evan Smith within sight of their grandmother's apartment.

they had no knowledge of any additional financial resources that could be available to them, and 41 percent were unaware of the growing support services from social agencies.

For Vera Sanders, a grandmother with 23 grandchildren living at GrandFamilies with her 15-year old grandson, John, the sense of community and caring she has felt since moving to GrandFamilies in October has been very satisfying. "People stop by and knock on my door," she says. "They ask me if I need anything. We all looking out for each other."

Seated in the living room of their apartment, John says, "I like it here, and I'm thinking of doing some tutoring in math for the younger kids."

Playground views

The GrandFamilies two-story apartment building has an elevator with grab bars, wider doors, and a playground situated within view of grandparents looking out bay windows.

In the 4,000-square foot basement of the building, the Boston YMCA plans to offer an array of programs and services for grandparents and children. A preschool is under way, and a school-age after school program will be launched later this year. Fitness classes for adults are being held, and Microsoft will provide equipment and volunteers for a computer lab. In addition, a recent series of workshops on "The ABC's of Disciplined



HEADPHONE HUMOR: The YMCA runs a day-care center in the basement of the GrandFamilies complex. More programs are planned for older children. The girls above listen to a story while following along in the book.

Grandparenting" and legal issues were offered to the adults in the building.

GrandFamilies also has use of a van funded by Mellon Trust for trips and errands.

¶¶ One measure of our success will be how well the kids are doing two or three years from now. ¶¶

— Janet Van Zandt

"We've only been open for two months," says Cynthia Santos, the Resident Service Coordinator, who says there are a total of 34 children in the apartments now. "We're still getting to know each other," she says, "but my goal is to be a community here, just like

an old neighborhood where everybody knows each other."

GrandFamilies has attracted a lot of media attention, plus visits and inquiries from social organizations from New York, Chicago,

Atlanta, Camden, N.J., and the state of Minnesota. "GrandFamilies is definitely a model for other communities to emulate," said Boston Mayor Thomas Menino when the project was opened.

"One measure of our success will be how well the kids are doing," says Van Zandt looking toward two or three years from now. "If they are adjusting well, and doing well in school, I think the idea will be successful. And of course we want the grandparents to be in good health and doing well too."

An Innovative Place for When Parenting Skips a Generation

■ **Housing:** Boston 'mini-village' caters to growing number of people who are raising grandkids. Success could mean similar projects across the nation.

By ELIZABETH MEHREN
TIMES STAFF WRITER

BOSTON—Stretching her arms as if to encompass her entire brand-spanking-new two-bedroom apartment, 70-year-old Vera Sanders declared that it was time to update the adage that "it takes a village" to raise a child.

"Maybe," she mused, "it takes this whole building to raise a grandchild."

Sanders and her 14-year-old grandson, John, last month settled into what is thought to be the nation's first subsidized housing for grandparents raising grandchildren. GrandFamilies House, a 26-unit "mini-village" with a gabled roof and a broad inviting front porch, is the \$4-million co-venture of three nonprofit groups here.

The once-abandoned nursing home is reborn with a playground, on-site day care and multi-age enrichment program. The result is both an acknowledgment that the burgeoning population of grandparents raising grandchildren has special needs and the latest step in a growing national effort to reduce the complexities of this form of relative caregiving. As grandparent-headed households become more common, GrandFamilies House could become a model.

"We surveyed our clients and we listened carefully," said Janet van Zandt, executive director of Boston Aging Concerns Young & United (BAC-YOU), which several years ago noted that some of its clients were being evicted from senior citizen housing because they had taken in grandchildren. Others were occupying dwellings that were unsafe or otherwise unsuitable for children. Nearly all complained of the frustration of trying to navigate the city's housing bureaucracy, and to a one they spoke of the isolation of raising children at this late stage of their lives.

Seven years ago, when Harriet Jackson Lyons was 65, the state Department of Social Services asked her to take custody of her granddaughter, Charlene. "I wanted to go back to school. But as I said, I got that call." Charlene's



Photos by DOROTHY LITTELL GRECO / For The Times

Vera Sanders, at left, has raised her grandson John for virtually all of his 14 years. Above, Harriet Jackson Lyons and granddaughter Charlene show off 26-unit GrandFamilies House

mother died last year of a coronary brought on by years of drug use.

Grandparents claim near-sacred status in America's cultural iconography. There is a pleasant prevailing mythology that grandma is white-haired and apple-cheeked, with a crisp white apron and a perpetual supply of fresh-baked cookies. Grandpa, according to this image, is handy with a tool kit and eager to spin off a yarn of what life was like when he was a boy. Granny and Gramps never tire of serving as backup baby sitters.

Apple-Pie Image False for Many

But U.S. Census Bureau figures show that for a vast and growing number of older Americans, that depiction is false. Substance abuse, incarceration, AIDS and immaturity are only some of the causes of a missing generation of parents who cannot care for their children. From 1980 to 1990, the number of children being raised by grandparents increased by 44%. From 1990 to 1997, the figure went up 23%. Today, 1.4 million children live in a grandparent-headed household with no parent present.

"The assumptions of caregiving, the circumstances under which a large number of grandparents are

assuming care of their grandchildren, are no longer voluntary," said Florida social worker Lynne Katz, who is conducting a study of grandparent-caregivers at the University of Miami.

The mantra of family preservation buzzes loudly in the ears of judges and family-service officials trying to place abandoned children, Katz said. Faced with the option of taking their grandchildren or seeing them sent to homes, she said, "there are very few grandparents who are old enough or incapacitated enough or fed up enough to say, 'Fine, put the kids in foster care.'"

The phenomenon crosses class and ethnic lines but is most pronounced among poor, minority populations. Although 5% of children nationally are being raised by grandparents, in Dorchester—the largely African American, low-income Boston neighborhood where GrandFamilies House is located—the figure is 10%. Recent research by the three agencies that created the project—BAC-YOU, the YWCA of Boston and Women's Institute for Housing and Economic Development—showed the grandparents in the city to be "overwhelmingly" African American women ages 50 to 86. Most lived on fixed annual incomes of \$5,000 to \$15,000, and many showed significant health problems

associated with age.

In addition, the elderly caregivers faced daunting bureaucratic obstacles. Unlike foster parents, grandparents raising their grandchildren receive neither insurance nor monthly stipends. Often they are living off retirement incomes that strained to support one person.

Some Are Victims of Bureaucracy

Schools and health centers do not always recognize grandparents as primary caregivers, and welfare reform policies that expect parents to be working are no more forgiving for grandparents. Elder meal programs, a mainstay for many low-income grandparents, cease when a child comes on the scene. Clothes often come from donation programs, a tough sell for teenagers. Young people also often long to participate in costly after-school sports.

Then there is the personal energy component. If 20-year-olds complain of exhaustion when they are raising babies, consider the plight of a 75-year-old. By definition, grandparenting is supposed to imply selectivity, the right to send the grandkids home when you're tired. At GrandFamilies House, some septuagenarians are looking at 20 more years of child-rearing.

"Of course we resent it. Of course we're angry," said Lyons, who organized a support group here called ROCC, Raising Our Children's Children, with about 200 members. "Of course we wonder what we did wrong as parents. And as grandparents, we hope we won't repeat those mistakes. But that's what we think about when we have time. Mostly we're too busy, and we're too tired."

Financing for GrandFamilies House drew on federal, state and city funds as well as foundation donations. An innovative interpretation of federal Housing and Urban Development regulations allows most tenants to receive rent subsidies. Sanders, for example, lists her annual income as \$12,754. She pays \$258 a month for a two-bedroom apartment.

With its wide hallways to accommodate walkers, wheelchairs and strollers, GrandFamilies House also boasts a 4,000-square-foot basement where Boston's YWCA will offer exercise sessions for seniors and teenagers. Other programs will include computer classes where grandparents can learn alongside their grandchildren.

But as residents continue to move into the just-opened facility, the hope is also that the building will become a self-contained community, where elders who by dint of fate have found themselves at a different stage of life than many of their peers will support one another.

"Things like trading child care with a neighbor so you can go to the market," said Anne Gelbman of the Women's Institute for Housing and Economic Development. "We're hoping that will evolve."

Around the nation, the success or failure of this multigenerational experiment will be closely watched, predicted Julianne Brown of Grandparents as Second Parents (GASP) in Oakland. "It's a great idea. I can't believe nobody thought of it before."

Possibly, she speculated, the grandparents may also bolster their political strength. Fewer than a dozen states have passed kinship care legislation that enables grandparents who are caring for grandchildren to receive the same benefits as foster parents. A pilot program is in operation in eight California counties, including Los Angeles, San Diego, Riverside and San Francisco, Brown said, offering a version of these benefits. And a lawsuit seeking to guarantee benefits to grandparents and grandchildren is due to be heard next month in Los Angeles.

Surrounded by moving boxes, 50-year-old Sandra Anderson, raising two granddaughters after their mother's death, said living in GrandFamilies House "will be fun, because there will be older people who can teach me things." Nine-year-old Taysia Anderson added: "I like it because we will have more people to play with."

Raising Junior

When Aging Grandparents Must Raise Their Grandchildren, They Often Need a Place to Live

by Miriam Lupkin, Staff Writer

A 56-year-old grandmother in Boston is raising three grandchildren in her studio apartment. The mother can no longer care for the children because of a drug addiction problem. Even though the apartment is heavily infested with mice and cockroaches, the family sleeps on mattresses on the floor. Although this family's circumstance is extreme, overcrowding is a common occurrence for elderly grandparents with full custody of their grandchildren.

Nationally, the number of grandparents raising their grandchildren is growing, says Anne Gelbspan, project manager for the Women's Institute for Housing and Economic Development. Many of these families are in desperate need of affordable housing with adequate space.

In response to this unique need, Boston Aging Concerns Young & Old United Inc. (BAC-YOU), in partnership with the Women's Institute are developing GrandFamilies House, a 26-unit affordable housing project designed specifically for elderly grandparents raising their grandchildren.

RECOGNIZING THE NEED

BAC-YOU first started noticing the trend of grandparents and great-grandparents in need of proper housing during senior placement interviews in the early '90s. As a result, they initiated a survey of 50 seniors that were 50 years and older raising their grandchildren and great-grandchildren in Dorchester, a neighborhood in Boston. The research discovered that all respondents were below the federal moderate income guidelines for a family of one. The majority had incomes below \$10,000.

When asked what their three greatest needs were in raising children, 76 percent of the seniors responded financial, 74 percent answered housing and 30 percent had health care needs.

GrandFamilies House is a direct

response to the information discovered in the survey. The development is dedicating 4,000 square feet to program space, in which the YWCA of Boston will conduct programs to enhance the lives of the residents.

The YWCA has signed a 15-year lease to do programming on-site. They will be concentrating on enrichment programs — specifically computer and science skills — for school-aged children, plus run an exercise program for the seniors. Other programs are still being planned, like having specialists come in to discuss issues facing the families and provide health screenings.

BAC-YOU is also negotiating to have a health clinic on the premises, says Shirley D. Campbell, BAC-YOU's GrandFamilies House project coordinator.

CREATING THE REALITY

One of the major highlights of the complex is the adequate number of bedrooms. There will be one four-bedroom, 12 three-bedroom and 13 two-bedroom apartments. There will also be a common living area for neighbors to socialize and hold special events. Living with other people in similar situations will help decrease the social isolation that many grandparents feel when raising their grandchildren. There will also be on-site child care and security for the complex.

GrandFamilies House will provide a place where grandparents can sit comfortably inside while overlooking the playground, where they don't have to worry about strangers influencing their grandchildren.

The developers are currently in the process of applying for a special fair housing waiver which would enable them to reserve housing for elderly grandparents versus the 30- to 40-year-old population. This demographic has a greater financial need because they are often living off of a retirement

income for one; plus many are struggling with aging issues — such as chronic illnesses, which make it difficult to care for the children.

So far, the city has approved the tenant selection and marketing plan, says Janet Van Zandt, executive director of BAC-YOU. The waiver is currently under review with HUD.

According to David S. Schless, executive director of the American Seniors Housing Association, the developers need to apply for the exemption because the federal government currently only provides for familial status provisions, which allows developments to keep the population at and above 55. Obviously, seniors caring for grandchildren would not fall into this special category.

Construction began in July of this year and is expected to be completed in the summer of 1998. The complex is being built on the site of an abandoned nursing home. The land was owned by the YWCA, but was never redeveloped because of a lack of financing. The Y turned over the deed at a small cost, says Martella Wilson-Taylor, director.

The property, which has been abandoned for years, had a negative effect



Courtesy of BAC-YOU, developed by Robert J. Leona II



on the neighborhood, says Esther Schlorholtz, Community Reinvestment Act officer at Boston Private Bank and Trust Co. "Now it will bring an enormously positive benefit."

FINDING THE FUNDING

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"In the application, they referenced the 1993 census bureau figure that 3.4 million kids are being cared for by elderly family members — that's 5 percent of the population," says Eller. The application continued to state that 1 million children are exclusively being

raised by their grandparents. Their strong numbers demonstrate the need for this particular type of housing. Another reason why the Federal Home Loan Bank issued the grant was because the project had established solid underwriting criteria.

In addition to sponsoring the grant on behalf of BAC-YOU and the Women's Institute, Boston Private Bank also granted the project a \$700,000 construction loan. According to Schlorholtz, the bank wanted to get involved because of the terrific reputations both developers had, the solid underwriting and the chance to directly assist a population that really has been underserved.

National Equity Fund invested the biggest allocation of money for the project — \$2.1 million in tax credits. Again, the decision to get involved with GrandFamilies House was a direct correlation to the layers of funding already being provided, plus the uniqueness of the development.

Funding was also provided by the Commonwealth of Massachusetts, the City of Boston, the Massachusetts Housing Partnership and several private foundations.

GrandFamilies House is a 26-unit affordable housing project designed special, for grandparents raising their grandchildren.

BAC-YOU was instrumental in getting the City of Boston and the Commonwealth of Massachusetts to each issue 50 Section 8 certificates for use by seniors with custody of their grandchildren. The developers suspect that all 26 units of GrandFamilies House will have the certificates. BAC-YOU has also conducted fundraising to pay for playground equipment and a van that will provide transportation for the residents.

GrandFamilies House was designed with the resident in mind. The five-story walk-ups are housing of the past. Elevators will replace memories of dragging groceries up narrow and steep stairs. Hallways will have handrails and bathrooms will have grab bars. The grandchildren will be protected by the installation of electrical outlet covers and window guards.

The development is the ideal living environment — affordable housing that is handicapped accessible and child-proof — for people who have found themselves in a situation that they thought they left behind. □

Raising Junior

When Aging Grandparents Must Raise Their Grandchildren, They Often Need a Place to Live

by Miriam Lupkin, Staff Writer

A 56-year-old grandmother in Boston is raising three grandchildren in her studio apartment. The mother can no longer care for the children because of a drug addiction problem. Even though the apartment is heavily infested with mice and cockroaches, the family sleeps on mattresses on the floor. Although this family's circumstance is extreme, overcrowding is a common occurrence for elderly grandparents with full custody of their grandchildren.

Nationally, the number of grandparents raising their grandchildren is growing, says Anne Gelbman, project manager for the Women's Institute for Housing and Economic Development. Many of these families are in desperate need of affordable housing with adequate space.

In response to this unique need, Boston Aging Concerns Young & Old United Inc. (BAC-YOU), in partnership with the Women's Institute are developing GrandFamilies House, a 26-unit affordable housing project designed specifically for elderly grandparents raising their grandchildren.

RECOGNIZING THE NEED

BAC-YOU first started noticing the trend of grandparents and great-grandparents in need of proper housing during senior placement interviews in the early '90s. As a result, they initiated a survey of 50 seniors that were 50 years and older raising their grandchildren and great-grandchildren in Dorchester, a neighborhood in Boston. The research discovered that all respondents were below the federal moderate income guidelines for a family of one. The majority had incomes below \$10,000.

When asked what their three greatest needs were in raising children, 76 percent of the seniors responded financial, 74 percent answered housing and 30 percent had health care needs.

GrandFamilies House is a direct

response to the information discovered in the survey. The development is dedicating 4,000 square feet to program space, in which the YWCA of Boston will conduct programs to enhance the lives of the residents.

The YWCA has signed a 15-year lease to do programming on-site. They will be concentrating on enrichment programs — specifically computer and science skills — for school-aged children, plus run an exercise program for the seniors. Other programs are still being planned, like having specialists come in to discuss issues facing the families and provide health screenings.

BAC-YOU is also negotiating to have a health clinic on the premises, says Shirley D. Campbell, BAC-YOU's GrandFamilies House project coordinator.

CREATING THE REALITY

One of the major highlights of the complex is the adequate number of bedrooms. There will be one four-bedroom, 12 three-bedroom and 13 two-bedroom apartments. There will also be a common living area for neighbors to socialize and hold special events. Living with other people in similar situations will help decrease the social isolation that many grandparents feel when raising their grandchildren. There will also be on-site child care and security for the complex.

GrandFamilies House will provide a place where grandparents can sit comfortably inside while overlooking the playground, where they don't have to worry about strangers influencing their grandchildren.

The developers are currently in the process of applying for a special fair housing waiver which would enable them to reserve housing for elderly grandparents versus the 30- to 40-year-old population. This demographic has a greater financial need because they are often living off of a retirement

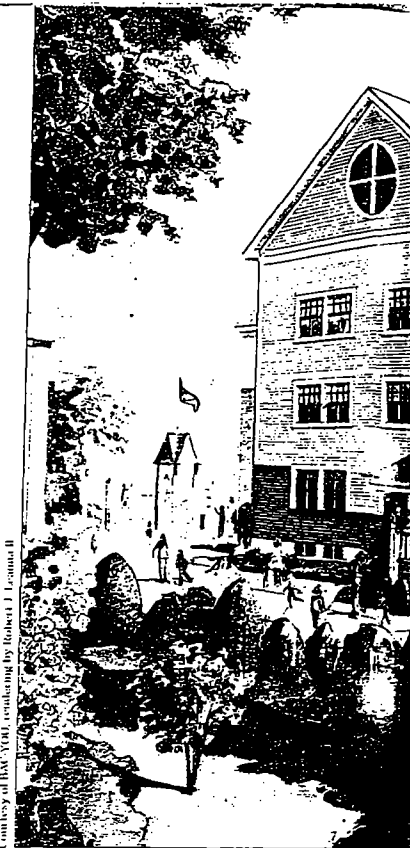
income for one; plus many are struggling with aging issues — such as chronic illnesses, which make it difficult to care for the children.

So far, the city has approved the tenant selection and marketing plan, says Janet Van Zandt, executive director of BAC-YOU. The waiver is currently under review with HUD.

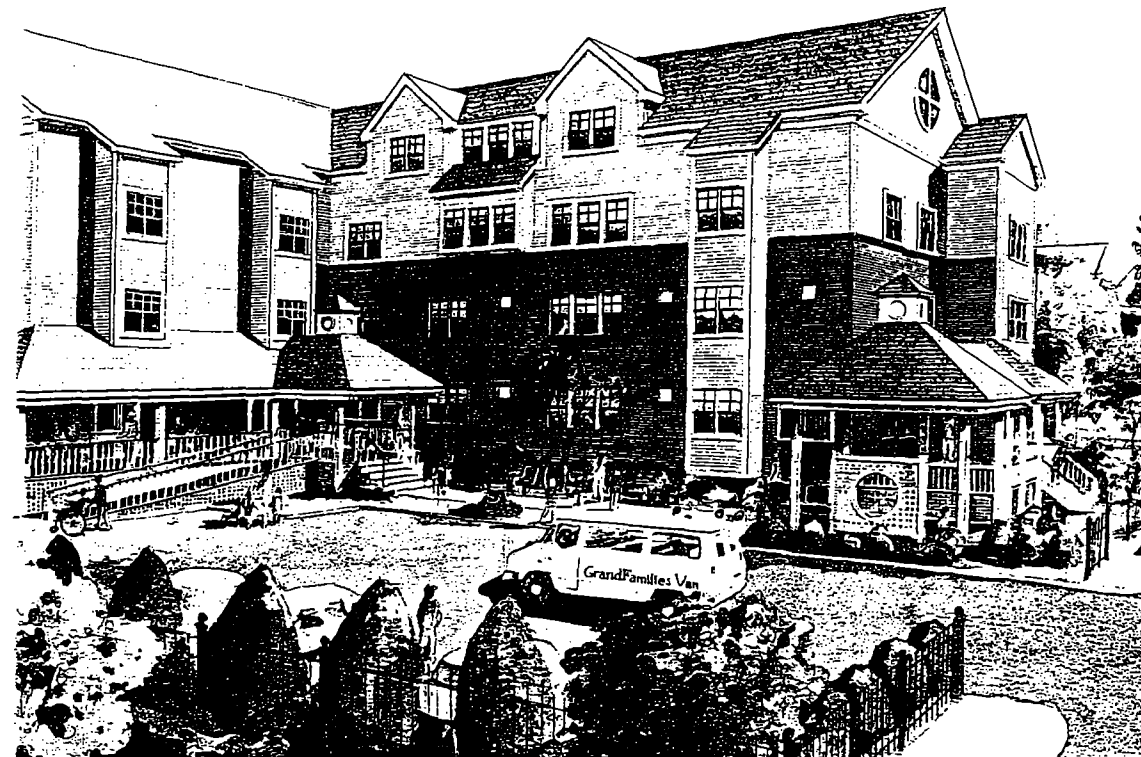
According to David S. Schless, executive director of the American Seniors Housing Association, the developers need to apply for the exemption because the federal government currently only provides for familial status provisions, which allows developments to keep the population at and above 55. Obviously, seniors caring for grandchildren would not fall into this special category.

Construction began in July of this year and is expected to be completed in the summer of 1998. The complex is being built on the site of an abandoned nursing home. The land was owned by the YWCA, but was never redeveloped because of a lack of financing. The Y turned over the deed at a small cost, says Martella Wilson-Taylor, director.

The property, which has been abandoned for years, had a negative effect



Courtesy of BAC-YOU, rendering by Robert J. Fennell II



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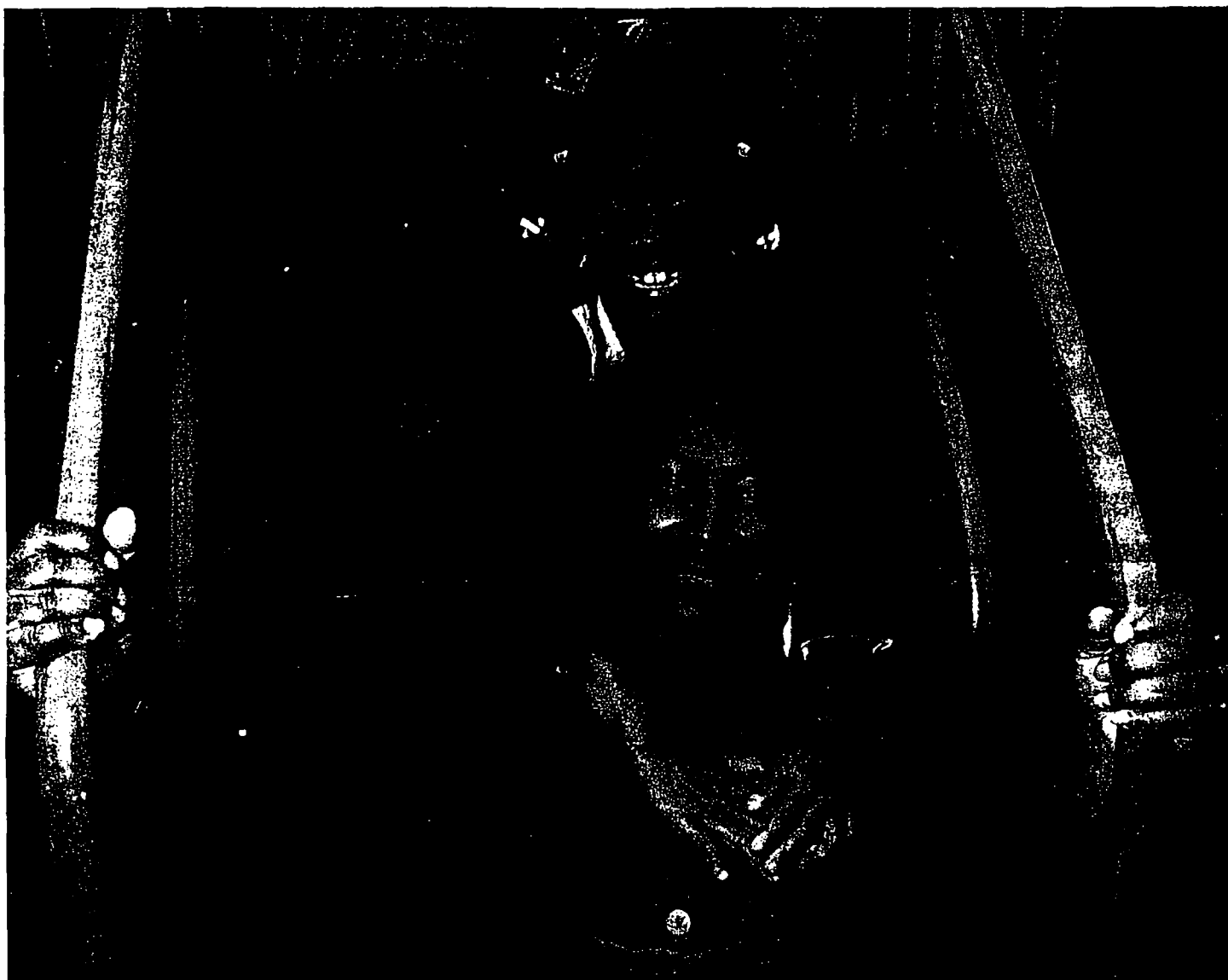
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GIVING

Gifts, Grants, and Good Works



Pearl R., who is raising her granddaughter, Quynna, depends on the advice and encouragement she receives from her Grandparents as Parents support group in Philadelphia: "We've learned to cling to each other."

Raising Their Children's Children

As more and more grandparents take care of their grandchildren, charities create programs to help

By ELLEN K. COUGHLIN

PHILADELPHIA

LEANING INTO the small circle of women seated on metal folding chairs in a church meeting room, Ernestine M. wonders aloud about the possible connection between lead poisoning and unruly behavior. She has a 6-year-old at home who has been found to have an unusually high level of lead in his system. He also seems to have an unusually strong need to create havoc in the house.

"He's one bad little kid," she says.

Ernestine is a wiry woman whose youthful manner belies the fact that she is a grandmother 20 times over. The rambunctious 6-year-old is not her son, but her grandson, one of six grandchildren in her care. As she speaks, other women in the room nod. They understand.

This is the weekly Wednesday-morning meeting of G.A.P.S. (for Grands As Parents), a support group here for grandparents who are raising their children's children. This week's session is a bit unusual.

It features an invited guest, a representative of the Tenants' Action Group, who is here to speak about lead poisoning and what can be done to prevent it. More often, the women who come (the group includes few grandfathers) simply sit and talk among themselves about the problems they face: establishing legal custody of the children, dealing with the child-welfare system, coping with difficult kids—again.

A Growing Trend Nationwide

"I don't want these children," Ernestine tells the group toward the end of the session. "I already had four of my own. My youngest is 26. Now I have six."

G.A.P.S., a program run by Episcopal Community Services, is located in one of the poorest neighborhoods in Philadelphia, and all the grandparents in it are black. But the program reflects a growing national phenomenon that reaches well beyond the boundaries of the inner city. More and more children

Continued on Page 10

Support Groups Help Grandparents Raise Their Children's Children

Continued from Page 9

are being raised by a grandparent or other older relative, and such households can be found in every ethnic group and social class.

Many children, over countless generations, have been brought up by their grandparents. But it is only since about the late 1980s that the growing number of grandparent-headed households has been understood as a serious social issue, a direct consequence of the mounting incidence of drug abuse, child neglect, and teen-age pregnancy—compounded in many neighborhoods by poverty and joblessness.

50% Increase

According to the Census Bureau, the number of children living in grandparent-headed households, with or without a parent present, has risen by more than 50 per cent since 1970.

In 1994, the year for which the latest figures are available, about 1.5 million children were living with their grandparents only; an additional 2.5 million were living in grandparent-headed households with at least one parent in the home. Roughly half of all the children living with their grandparents are white and about a third are black.

Many charities have attempted to provide support and services to these accidental parents.

A lot of the charities that establish grandparent programs come to the issue through their efforts to fight larger social problems, such as urban poverty or unemployment.

Most such programs begin with some sort of support group or network, but they also offer a host of other services to grandparents who rear children: counseling, legal advice, help in negotiating the welfare system, referrals to housing or employment agencies, tip sheets, and newsletters.

Diversity of Groups

The number and diversity of such groups appears to be growing rapidly.

The Grandparent Information Center, established in 1993 by the American Association of Retired Persons, keeps a referral list of local grandparent support groups.

The center started out with a list of about 250 groups; it has grown to 400.

Some of those groups are what Rene Woodworth, director of the center, calls "kitchen-table operations," which tend to come and go rather quickly. But many—like the G.A.P.s program in Philadelphia—are more stable because they are run by established charitable organizations that see service to grandparents as part of their overall mission.

Two years ago the A.A.R.P. administered a pilot program that gave \$5,000 in seed money to each of five organizations in the Midwest interested in providing some kind of service to grandparents. The grants went to two family-

the Advocate, where the grandparent in the G.A.P.s program meet, is a handsome, century-old, gray stone building that, like the neighborhood around it, has clearly seen better days. The church is alive with activity, however, and houses a soup kitchen, an after-school program, and other social services.

Idea Takes Root

The idea for the grandparents group took root after a social worker at Episcopal Community Services noticed that many of the people served by the other programs at the church came from families headed by grandparents.

The group has been meeting since April.

"It's like a big group-therapy session," says Melvin Irons, the social worker who supervises the G.A.P.s program. "The grandparents are happy at the end because they had the opportunity to vent their problems. They learn that what's happening to them is not the worst possible scenario."

Mr. Irons acts as facilitator—although he stays in the background as much as possible—and is available for one-on-one counseling and other assistance as it is needed. It took him a while to gain the grandparents' trust, he says. For the first few meetings, only one person showed up; by May the group had built up to two.

"It was frustrating," he says. "I'd go out and buy things for the meeting, but then I'd be the one who had to eat a dozen doughnuts."

He doesn't have to any more. G.A.P.s now has more than 20 people on its rolls; meetings typically draw 8 or 10 of them.

And the conversation takes off without much help from Mr. Irons. On this Wednesday morning, a polite question about what kinds of things the group usually discussed generates such a voluble response that the lead-poisoning expert has trouble getting back to the agenda.

The women's talk turns quickly to complaints about child-welfare agencies that seem to be insensitive to the interests of grandparents raising their grandchildren. In the grandmothers' eyes, unrelated foster parents get a better deal.

"Can we organize?" asks a frail elderly woman in a wheelchair. "Everybody has rights. What about grandparents' rights?"

But then grousing about "the system" slides without warning into reflections on the painful tug-of-war these women engage in with their children over the welfare of their grandchildren. Their tone makes clear the anger and hurt they feel. "We don't have any protection," says one. "And their parents know that."

"The worse the parents treat them, the more the kids love them," adds another.

First Wave

In existence less than a year, G.A.P.s is a relative newcomer to the world of grandparent-support groups.

Among the first wave of charitable organizations to deal with the needs of grandparents was the

18th Street Development Corporation in South Philadelphia. In 1989, Sandra Campbell-Jackson, an employee of the corporation, founded a program within the organization called Raising Others' Children, or roc. The seed for the program was planted, she says, when the organization, which does a lot of work helping people find employment, began to encounter a larger-than-usual number of older job seekers—many of them, it turned out, needing to support grandchildren or other younger kin.

"That sent a strong message to us," she says.

The program started as a Saturday-morning support group—"just the grandparents in a room with a

ents, the Brookdale Foundation is widely regarded as the leader.

Along with its support for the A.A.R.P.'s Grandparent Information Center and its program of seed grants, Brookdale has also financed research on the subject of grandparents raising grandchildren.

'Out on the Street'

Ms. Sainer recalls that, a few years ago, when the foundation was looking for a new area in which to make grants, she visited a day-care center in Brooklyn. As she watched the children arrive in the morning, she remarked to the man who was showing her around that a lot of the parents must be working, since so many of the children were escorted by older people. "I wish they were working," he said. "They're out on the street."

"That's when it hit me," Ms. Sainer says, "that here was a problem that we ought to address. The changing role of the family was not being addressed."

Following Brookdale's lead, the Ford Foundation last year awarded a two-year, \$273,000 grant to the A.A.R.P. to expand its outreach to minority grandparents; it was the first Ford grant aimed specifically at grandparents.

Locally, individual grandparent programs are getting financial help from small, regional foundations: roc, in Minnesota, for instance, has received support from the Northland Foundation in Duluth.

Lobbying Bureaucrats

As the meeting at the Church of the Advocate winds down, the mood becomes more upbeat.

As often happens in groups like this one, these women are edging toward political activism. They want to make politicians and bureaucrats more aware of grandparents' needs.

They're pleased to relate the story of how, some months ago, they wrote to the Social Security Administration in behalf of an ailing friend who was having trouble getting benefits for the grandchildren in her care. The local Social Security office responded with a promise to investigate. It was a small victory, but they did get a rise out of a lumbering bureaucracy.

In the end, though, possibly the best thing that these women get from the G.A.P.s program is each other.

Pearl R. has sat silent through much of the morning's meeting. (*The Chronicle* is not using the last names of the women to protect their privacy.) In repose, her face wears a worn look; she has one grandchild in her care and is plagued by poor health. Other women in the room seem protective of her, and she speaks when they prompt her, but otherwise she doesn't say much.

Words come in a rush, though, when the talk turns to what good the group has done. "We've learned to cling to each other," Pearl says. "I used to feel so low. I asked, 'Is there anyone in this world who can help me?' I thank God for this group."

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THE BOSTON GLOBE • THURSDAY, SEPTEMBER 10, 1998

Housing for old, young to debut in Dorchester

By Zachary R. Dowdy
GLOBE STAFF

The beauty of the new housing complex on Harvard Street in Dorchester is in the details: child-safe electrical outlets, an elevator with grab bars, and wide grandparent-friendly doors, perfect for strollers – and wheelchairs.

GrandFamilies House, a four-story, 26-apartment building, is the first housing development in the nation to cater to one of the fastest growing family groups, older adults raising their children's children.

An estimated 10,000 such families exist in the Boston area and, according to the US Census, an additional 1.4 million households across the country where children live with their grandparents but without their parents. Many of them are in families cobbled together when parents succumb to illness or drug abuse.

If successful, the new complex in Dorchester could become a national model, according to its developers – the Women's Institute for Housing and Boston Aging Concerns – Young and Old United.

"This issue crosses all income and ethnic lines," said Anne Gellspan, project manager at the Women's Institute. "We hope this is the first of similar projects – not just in Boston."

"Grandfamilies" are formed when parents leave, get sick, die, or are otherwise unable to raise their

own children. Boston Aging Concerns, which will manage the house on Harvard Street, is providing an on-site resident service coordinator and live-in house manager to help address the special needs of older adults caring for children.

For the families themselves, the house is a godsend. With every sunrise, Sonia Booker, 65, moves closer to the day when she and Chantee, the 12-year-old granddaughter she raises, will plant roots in a new home.

Chantee came into the world at a critical time: Her father was in prison, her mother, who later died, strung out on drugs. An older cousin, Shannon Booker, was in prison, one of the "Framingham Eight," women who killed their abusive husbands or boyfriends.

"I can't wait," Sonia Booker said recently, as she sat on the porch of the Lawrence Avenue triple-decker in Dorchester she hopes to leave soon for GrandFamilies House. "I've been packed for months, been packed since March or April."

The project aims to help families like the Bookers restore stability lost when tragedies and circumstances – from AIDS and drug abuse to abandonment, incarceration or homicide – render a parent either useless to a growing child or absent altogether. In those cases, grandparents step into the breach.

"We particularly want to celebrate

HOUSING, Page B8

Sonia Booker and her granddaughter Chantee Booker outside their new apartment building, GrandFamilies House, a complex for older adults raising their grandchildren, opens Oct. 1 in Dorchester.



GLOBE STAFF PHOTO / BILL BRIT

■ HOUSING

Continued from Page B1

brate the courage and moral strength of the grandparent caregivers who inspired the project," said Nat Green, spokesman for Boston Aging Concerns, calling the house a "pioneering intergenerational project."

Designed with input from grandparents, the building contains special accommodations for the elderly and a playground for kids, just below airy rooms with panoramic windows. The house includes two-, three-, and four-bedroom units.

Gellspan, the project director, said that while grandparent-headed families come from all income groups, the need for housing appears to be most acute among families in poor neighborhoods.

Many grandparents supporting their grandchildren found themselves falling through a crack in the social-service safety net: Many of them live on fixed incomes, some earning as little as \$10,000 per year.

Some were prohibited from bringing grandchildren into elderly housing complexes, so they searched

for affordable housing, a commodity in short supply in a city like Boston with soaring rental properties.

As part of the GrandFamilies House project, the state Department of Housing and Community Development and the Boston Housing Authority – in another first – earmarked housing certificates for grandparents raising grandchildren.

Up to 26 holders of the certificates will reside in GrandFamilies House. The other 74 holders may use their certificates elsewhere.

GrandFamilies residents will be welcomed into their apartments Oct. 1 during an opening ceremony.

"This program goes beyond the physical structure of GrandFamilies House," said Eric Gedstad, a spokesman for the Department of Housing and Community Development. "We were deeply moved by the sacrifices that these grandparents are making to preserve their families. Most of them never thought they'd have to raise children a second time."

Private and public funding sources for the \$4.1 million project have been numerous.

The Department of Housing and Community Development's Housing

Innovations Fund and HOME funds provided \$950,000. The city's Department of Neighborhood Development provided \$350,000 and the Federal Home Loan Bank provided \$150,000. The Massachusetts Housing Partnership Foundation gave \$433,000 and \$2.1 million came from investors who enjoy federal tax credits. Another \$84,000 came from various foundations.

The YWCA has pledged to provide health screenings, fitness and support programs for the elderly, and after-school enrichment programs with a focus on science and computer skills for the children.

Booker said she was most impressed by the "newness" of the shiny building as she walked through her third-floor unit this week, decorating the two-bedroom home in her head as Chantee gave a tour of her sun-drenched room.

"I've been taking care of grandchildren ever since I've had grandchildren," Booker said, adding that she sought a new home after her block was the scene of several violent crimes, including a murder, in the past few years. "This new home will give me some peace and quiet."

Boston Herald, October 2, 1998

'Grand' families' home gets its grand opening

HILARY KRIEGER

Five years ago, Carrie Parker lost her daughter to a heart attack, leaving the 60-year-old Dorchester woman to care for five grandchildren, aged 2 to 18.

"I felt alone. I felt depressed," she said. The kids faced taunting from other kids because they were motherless, she said.

Now creators of a first-in-the-nation facility near Codman Square aimed at helping the elderly raise grandchildren want to change all that. The "GrandFamilies House" features 26 apartments and offers services ranging from pre-school for toddlers to exercise programs for grandparents.

Parker, a new resident, said, "I'm hoping that we (the families) can get support and comfort in each other by meeting occasionally, talking about some of the problems that we have, trying to find ways to ease the burden — and the children can grow up together."

About 10,000 Boston children live with grandparents, according to Janet Van Zandt, head of a nonprofit group that formulated the proposal for the facility. The children often lose their parents to substance abuse or divorce, and are victims of abuse and neglect.

Noting the importance of grandparents as "role models and mentors" when parents can't be, acting Gov. Paul Cellucci praised the project and indicated he hopes it will expand.

"The eyes of the nation are upon us," he said. "I think this is going to be a model for the country."

Cellucci joined Boston Mayor Thomas M. Menino, other local officials and community members who worked to create the GrandFamilies House at its ribbon-cutting yesterday.

The project has the support of neighborhood groups such as the YWCA, which will help with day care and after-



STAFF PHOTOS BY LAURIE SWOPE

DREAM HOME COME TRUE: Sally Cheers, above, and her granddaughter, Deknequa Johnson, 4, check out the porch of the 'GrandFamilies' House in Dorchester. Mayor Thomas M. Menino, left in right photo, and acting Gov. Paul Cellucci were on hand yesterday for the festivities.



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GrandFamilies took three years to move from the drawing board to reality, according to Van Zandt, executive director of the nonprofit Boston Aging Concerns — Young & Old United, which proposed the facility after conducting a study that found grandparents struggling to find adequate housing to raise kids.

Half the money for the \$4 million-plus initiative comes from federal tax credits allocated by the state to housing project investors. Residents are low-income, and most receive rent subsidies on the \$540 to \$1,000-per-month two-, three- and four-bedroom units.

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school services for the youngsters.

GrandFamilies took three years to move from the drawing board to reality, according to Van Zandt, executive director of the nonprofit Boston Aging Concerns — Young & Old United, which proposed the facility after conducting a study that found grandparents struggling to find adequate housing to raise kids.

Half the money for the \$4 million-plus initiative comes from federal tax credits allocated by the state to housing project investors. Residents are low-income, and most receive rent subsidies on the \$540 to \$1,000-per-month two-, three- and four-bedroom units.

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Chair

William Elsbree

Vice Chair & Treasurer

James T. Pearson

Recorder

Jane Levitt

THE GRANDFAMILIES¹ PROGRAM

Introduction

Charles Collier

Re: Barbara Cinner

Keith Ciumm

Elizabeth Haddad

Lisa M. Flahm

Bernard K. Hooper, Esq.

Rev. Larina McLean

Kathleen O'Connor

Ravi Parikh M.D.

Karen E. Smith

Augustine (Catholic, Ph.D)

Abbn. 1. von der Hande

Marginal Loss

Edwin J. Will

Barbara Williams

Executive Director

Lamer Van Sandt

GrandFamilies House, co-developed by Boston Aging Concerns - Young & Old United and the Women's Institute for Housing and Economic Development, is the first housing in the nation specifically designed to meet the physical and social needs of a growing family type: grandparents who are raising grandchildren without parents present in the home.

The opening of GrandFamilies House is also part of a larger vision created by a collaboration of agencies and individuals in support, and with the advice, of grandparents who are raising their grandchildren. The following have been the notable outcomes of this collaboration:

- BAC-YOU's survey report in 1994, *Raising the Next Generation: A Study of Grandparents Raising Grandchildren in Boston*.
- The development of GrandFamilies House.
- The development by the YWCA Boston -- a leading creator of programs for women and children -- of Generations Learning Together, a preschool, after-school, and computer lab specifically designed for children and seniors and of Senior Strength, an exercise program for the grandparents.
- Proposed research by UMass Boston and Abt Associates into the effects of the Program on grandparents.
- With critical help from consultants at Housing Investments and the Women's Institute, the BAC-YOU-driven creation of a demonstration program of 100 HUD Section 8 rental certificates by the Mass. Department of Housing and Community Development and the Boston Housing Authority for GrandFamilies.
- The GrandFamilies Task Force, a gathering of grandparent caretakers and interested professionals, staffed by BAC-YOU's GrandFamilies Coordinator, which has provided advice and leadership on design, programming and policy changes.
- The collaboration of the YWCA Boston, Parents and Children's Services and BAC-YOU on expanded services, advocacy and programs in a Vision for a GrandFamilies Community.
- The growing awareness of the need for policy and regulatory changes in



¹ GrandFamilies is a registered service mark of Boston Aging Concerns - Young and Old United, Inc.

67 NEWBURY STREET, BOSTON, MASSACHUSETTS 02116 (617) 266-2257 FAX: (617) 266-9341

government and private programs affecting these families, partially as a result of GrandFamilies House.

Because the GrandFamilies Program is meeting a clear need and we are approached regularly for information and advice, we are working to create appropriate data to facilitate replication of the Program across the country.

Background

The growing phenomenon of grandparents raising grandchildren on their own became especially evident at BAC-YOU several years ago. Our Housing Resource Services staff noted that an increasing number of elderly clients, presumed to be living alone, were in fact caring for young children full time.

Some elders were about to be evicted from elderly housing because they had taken in young children; others were living in apartments which were overcrowded, unsafe, substandard or inaccessible. The advent of the children into the grandparents living situation made some apartments which had been acceptable become overcrowded, or, due to the extra expenses and effort of raising the children, inaccessible or unaffordable. It caused other families to lose their apartments and become homeless.

We studied the problem by conducting a survey of 50 grandparent-headed households in Boston. Interviews with the grandparents, overwhelmingly African-American women ranging in age from 50 to 86, showed significant health problems and low family income (typically \$5,000-\$15,000). They were raising their grandchildren because of substance abuse, death, incarceration, AIDS and other illnesses, or immaturity of the parents.

Grandparent-headed families also ran into policy and regulatory problems: schools and health centers not recognizing grandparents as primary caretakers; non-DSS (Department of Social Services) kinship care placements leaving them with less financial support than DSS placements; elder housing disallowing children and family housing accommodating at best, younger and more physically fit parents - and often too violent for either; preschool and after-school voucher programs not prioritizing grandparent-headed families; and elder meals programs disallowing children.

Statistically, between 1980 and 1990 there had been a 44 percent increase in the number of children being raised by grandparents. By 1996, there were approximately 2.1 million children being raised exclusively by their grandparents or other relatives. We estimate that in the Boston area, there are 10,000 such children.

GrandFamilies Task Force

The GrandFamilies Task Force is comprised of local grandparents raising grandchildren, along with community activists and service providers. These grandparents are often the pillars of their families and communities. As they provide stability to their grandchildren, they represent strong role models to younger families and contribute to the health of the larger community. In the forum of the Task Force, they educate themselves on the issues, design effective advocacy strategies and support each other. The task force members have participated every step of the way. From attending heated community meetings to marching down to the zoning board in support of the GrandFamilies House, from organizing field trips to helping to construct the playground, the Task Force members have worked tirelessly to represent GrandFamilies' concerns.

GrandFamilies House

When asked in which areas of their lives they needed the most help, 75 percent of the surveyed grandparents listed "housing." The problems, as listed above, included affordability and accessibility, but they also noted feelings of isolation both for the grandparents and the grandchildren and the need for additional services such as respite care and transportation. When asked to choose the type of housing they would like, 50% chose grandparent housing, defined as housing specifically designed for grandparents who are raising their grandchildren with on-site support services.

In October 1998, four years after the survey, following a highly interactive community planning process led by a special GrandFamilies Task Force, we opened the doors to the first-in-the nation housing for grandparents raising grandchildren. Co-developed by BAC-YOU and the Women's Institute for Housing and Economic Development, it is owned and managed by BAC-YOU.

Twenty-six two-, three-, and four-bedroom apartments offer architectural and programmatic elements for elders and children. Examples of the former include an elevator, grab bars in the bathrooms, child-proof features and a playground within view of grandparents watching out of bay windows. A GrandFamilies van is available for shopping, medical and field trips.

Programs

On site at the GrandFamilies House, the YWCA Boston offers the Generations Learning Together (GLT) programs. GLT includes a preschool, after-school and computer learning center, all innovatively designed to include the grandparents in the learning experience of the grandchildren. The special emphasis on math, science and computer skills, starting in the pre-school classrooms, is designed to help the generally lower income residents of the GrandFamilies House to catch up with their middle class peers in school. Off site, the YWCA will include teens in their Youth Voice Collaborative program, which teaches young people to express their interests through video and other presentation media. The YWCA operates a day care center for infants which will prioritize referrals from the GrandFamilies House.

In addition, the YWCA will offer an exercise program for the grandparents called Senior Strength. Senior Strength is designed to tone muscles, relieve tension, provide a respite from the responsibilities of grandparenting and mitigate some of the effects of aging, such as osteoporosis. All the YWCA programs serve, first, residents from the GFH; second, other GrandFamilies from the community; and third, other low income residents.

BAC-YOU has on staff a GrandFamilies Resident Services Coordinator who is available to the tenants for information and referrals to service programs as needed. The Coordinator also helps organize activities and events in the GFH and mitigates problems and conflicts. A live-in House Manager provides a first-response to emergencies on evenings and weekends.

Section 8 Rent Subsidies

Massachusetts is the first state to create a demonstration program which provides 100 Section 8 certificates specifically designed for elders raising children. The Commonwealth's Department of Housing and Community Development helped BAC-YOU create the demonstration program for grandparent-headed families by converting 50 HUD Section 8 rent subsidies for use by GrandFamilies. Called Raising the Next Generation, the program provides tenant-based Section 8 certificates to grandparents who are raising their

grandchildren. The grandparents are required to have permanent custody of the grandchildren and can prove this arrangement in a variety of ways. First priority goes to elderly grandparents aged 62 and older; second priority is for the "near-elderly" aged 50 - 61. Eligible grandparents pay no more than 30 percent of household income for rent. The Boston Housing Authority created a similar program with an additional 50 certificates. BAC-YOU is providing outreach, eligibility screening, housing counseling and referral to support services for this statewide project.

Although the certificate holders were entitled to live anywhere they chose, most of the first recipients chose to live in the GrandFamilies House. They cited the newness of the building, the promise of community with others in similar situations and the on-site support services as factors in their decision.

Ongoing Education and Advocacy for All GrandFamilies

There is a growing awareness that grandparent-headed families are increasing in number. In rapidly increasing numbers, the grandparents are providing family stability when the parents are unable to raise their children. Despite this, many policies and regulations do not yet allow GrandFamilies to get the services and resources they need. Rules are unclear or contradictory. Access to information and decision making rights are denied. The result may be isolation and frustration for grandparents and inadequate support and assistance for children.

BAC-YOU will continue to provide a GrandFamilies Coordinator to organize meetings of the GrandFamilies Task Force. She will also arrange educational sessions on legal, housing, economic and child care issues, work with grandparents on policy and regulatory issues that affect their lives, help build coalitions of those with similar concerns, and serve as liaison to other agencies who want to replicate all or part of the GrandFamilies House or Program. We will work with the grandparents to become effective advocates for the children in schools and health centers.

BAC-YOU is also collaborating with the YWCA Boston and Parents and Children's Services to expand the programs and services available. The YWCA will provide a Health Coordinator to study the role of exercise in promoting the health of the grandparents and grandchildren. Parents and Children's Services will provide family advocacy. Collectively, we are working toward creating a body of knowledge that will support the replication of the project and the development of a resource center for the GrandFamilies.

National Attention and Replication

We are receiving extensive national and international media attention, as well as inquiries from providers wanting to serve grandparent-headed families elsewhere in the U.S., especially by adding a housing component to their work. Abt Associates and the UMass Gerontology Department are working jointly to develop an evaluation methodology for the GrandFamilies Program with an eye toward producing replication materials.

Rev. Jan. 1999

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Abbe C. von der Heyde

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BACKGROUND AND PURPOSE OF BOSTON AGING CONCERNS-YOUNG AND OLD UNITED INC.

BAC-YOU, INC. began in 1973 as an organization of volunteers through a cooperative effort of congregations and others to help elders hurt by gentrification, ageism and the by-products of those societal phenomena: malnutrition, homelessness, isolation, and the inaccessibility of social services. In 1999, we remain a community-based and representative organization which is reflected in the make up and diversity of our Board of Directors, program committees, task forces and staff. Our mission reflects our dynamic history and approach. It is: To provide the highest quality inter-generational housing and related services to people in need, especially elders (and now the grandchildren they raise).

Today BAC-YOU is professionally managed, employing 20 people in the central office and field whose efforts are augmented by volunteers, work-study students and an AmeriCorp worker. Our management system and policies focus on cost effectiveness, evaluation and measurement of outcomes. The Executive Director leads managers of three functions essential to accomplishing our housing services and development goals: Housing Resource Services which provides advocacy and counseling to people whose homes are threatened; Housing Development and Preservation which creates new affordable, supported housing; and Resident Management and Services which oversees our tenants and properties.

Boston Aging Concerns- Young and Old United has taken a leadership position among organizations at the front line of coping with economic and social crises impacting the living conditions and availability of housing for Boston's needy individuals, elders and children. In addition to providing support and services to individuals grappling with their personal housing crisis, BAC-YOU has created or preserved precious affordable housing stock. The prevailing conditions and creative concepts driving our will and ability to do so are represented in each of our seven residences of 175 residential units. They are:

1. **Shared Living House** - Acquired in 1979 in the Back Bay. Provides a housing environment that fosters community building to individuals of mixed incomes and ages.



2. **Mary Delany House** - Redeveloped in 1983 in the Fenway. Saved affordable housing for low income residents in an area experiencing soaring rents due to gentrification.
3. **West Newton Street**- Redeveloped in 1988 in the South End. Provided homes to very low income citizens, 75% of whom were previously homeless.
4. **Mary Worcester House**- 1989. Preserved a reputable Back Bay lodging house, a category of housing facing extinction despite need, for individuals of all ages and incomes.
5. **Cortes Street**- 1993. Preserved 48 units of low income housing from encroaching condominium and office development in downtown Boston.
6. **MainStay House**-1999. Converted an abandoned building in Charlestown to house the homeless and mentally ill in an enhanced single room occupancy model.
7. **The GrandFamilies House**- 1998. Provided home sized units for grandparents raising their grandchildren, a growing national trend attributed to rising drug problems, abuse and illness among the childrens' parents. GrandFamilies house is the first residence of its kind.

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THE FUTURE OF BOSTON AGING CONCERNS- YOUNG AND OLD UNITED, INC.

I. BAC-YOU enters FY2000, it's 26th year, with three intergenerational housing developments in the planning stages. In addition to furthering our mission of providing the highest quality intergenerational housing and related services to people in need, two of the projects also propel us forward in our expanding involvement with children being raised by grandparents and in foster family settings. These three projects are:

• **GrandFamilies House II**-As a key component of the larger Mattapan Village Partnership development being spearheaded by The Enterprise Senior Ventures Fund and Edward Fish Associates (Suffolk Construction), GrandFamilies House II will include 48 safe and affordable apartments in two separate buildings. One building will be predominantly grandparent-headed families. The other will include up to 10 younger families who will take in foster children for adoption, as well as, grandparent-headed families. Mattapan Village will be a collaborative effort involving public and private resources, profit and non-profit partners, and perhaps most important, between the Mattapan Village Partnership, the Mattapan community, and the City of Boston Redevelopment Authority and Public Health Commission. The other planned and existing intergenerational uses on this site (the former Boston Specialty and Rehab Hospital), will benefit from and be knitted together in a variety of ways by the presence the GrandFamilies House II's Intergenerational Center and other inter-agency programming. Those planned and existing uses include 89 assisted living units; 56 units for Alzheimer's care and an adult day care center; a 100 slot child care program; Boston's existing program for Children with AIDS; 42 new duplex homes for moderate income families; a 100 unit state-of-the-art senior housing community; a 123 bed nursing facility; the Mattapan Health Center; all supported by a an aggressive job readiness, job training and job placement program with the allied health care careers. GrandFamilies II is almost through the City of Boston's RFQ process and it is expected that the final designation of Developer will be announced in Summer, 1999. GrandFamilies II would be in the first phase of this major development, to be built just after demolition work is completed on the site.



UNITED WAY



EQUAL HOUSING
OPPORTUNITY

- **Boston's Hope-** To be located in Dorchester, adjacent to GrandFamilies House I, this project will include 10 homes for younger families and 30 homes for Seniors and grandparent-headed families. The residents will be families who want to adopt one or two children and Seniors who want to volunteer 6 hours each week with children and participate in community activities in exchange for affordable rents. The children to be adopted will be from Boston and will benefit from staying closer to their communities and families of origin, including their birth parents when possible. BAC-YOU is partnered (in a limited real estate partnership) with Boston Children's Institute (formerly Boston's Children's Services). Boston Aging Concerns-Young and Old United, Inc. will manage the housing and supervise the site staff, consisting of a resident Services Coordinator and a House Manager. The experienced staff of Boston's Children's Institute will provide the on-going training and supportive services to the foster parents, the children, and the Seniors. We plan to build an Intergenerational Community Resource Center that will have programs and activities very much in the tradition of the Settlement Houses that were so effective in urban settings at the last turn of the century. Neighbors of Boston's Hope will be encouraged to participate, as well. The financing phase of Boston's Hope is close at hand. We plan to apply for federal affordable tax credits and HUD HOME funds in the Fall of 1999 and Winter of 2000, respectively.

- **Heritage House-** This development will house 28 formerly homeless and/or mentally ill individuals on a large parcel of state-owned land that once housed Boston State Hospital. In addition to supportive housing and housing related services, a community center is part of the plan. The project architect has prepared preliminary plans and a rendering that illustrates the design for the rehabilitation of the existing building. BAC-YOU is working with Franklin Place Associates, The Massachusetts Department of Mental Health and the Alliance for the Mentally Ill. Sources of finances include Facilities Consolidation Funds through the State's Department of Community and Housing Development, Section 8 funds, and perhaps federal low income housing tax credits and/or HUD HOME funds. This project is presently in the environmental and planning approval stages.

II. In support of our planning for these projects, their anticipated completion, occupancy and success in functioning as 'villages', BAC-YOU is also embarking on a three year, \$188,000. effort that we have named, A Vision for the GrandFamilies Community. The Boston Foundation has granted us \$75,000. toward this effort.

A Vision for the GrandFamilies Community will generate more information on family needs, particularly health issues effecting these families and policies and regulations that put them at a distinct and patently unfair disadvantage. By converting information to activism through the Vision project, GrandFamilies will be empowered to advocate for changes in policies regulations, attitudes and programs. BAC-YOU's two collaborating agencies on the Vision project are The YWCA Boston and Parents and Children's Services. Vision is the study leading up to the replication of The GrandFamilies House here in Boston and to help others build GrandFamilies' villages in their communities. BAC-YOU continues to receive requests for information, assistance and visits from housing professionals and municipalities across the country anxious to serve this growing part of their community.

The Vision project revisits and builds on the organizational process and programmatic elements of the development and management of The GrandFamilies House. They are: the Grandparent Caretaker Committee and its 1994 conference at Roxbury Community College, 'Families With A Missing Generation'; BAC-YOU's survey, 'Raising the Next Generation: A Study of Grandparents Raising Grandchildren in Boston'; the GrandFamilies Task Force which has met monthly for three years and advised BAC-YOU on the design of the House; the YWCA's Generations Learning Together and Senior Strength Programs which are enhancement programs that support the GrandFamilies; Parents and Children's Services' Kinship Care Family Advocacy Program a child welfare program which supports the child and family in culturally sensitive ways; Raising the Next Generation and GrandFamilies Section 8 Programs which combine the efforts of the Mass. Dept. of Housing and Community Development, the Metropolitan Boston Housing Partnership and the Boston Housing Authority to make Section 8 certificates available specifically for kinship care parents who are at least 50 years of age and caring for a child under 18 who is not their biological child or is a foster child. The goals of A Vision for the GrandFamilies Community are:

- To evaluate the existing resources available to GrandFamilies, including how accessible they are, how appropriate they are and how far they go toward addressing the problems experienced by the grandparents and grandchildren.
- To examine the larger related health problems of grandparents and grandchildren that live together, especially problems that could be mitigated with a less stressful environment, more support, and regular attention and intervention.
- To identify policy and regulatory problems faced by GrandFamilies. To work with the GrandFamilies to address these problems and to prevail in changing them.
- To document the information collected and the process undertaken, begin the evaluation project and begin preparing materials that can be used nationally for replication of The GrandFamilies House and its support systems.
- To develop plans for the GrandFamilies Resource Center which will serve as a forum for a variety of formal and informal activities that will provide the necessary supports for the successful maturation of the children and will support and strengthen the grandparents. The GrandFamilies Resource Center will be very much like the settlement houses which were so successful in urban settings at the last turn of the century.

III. Boston Aging Concerns-Young and Old United, Inc. strives to continuously improve our organization's ability to forward our mission and to maintain our growing portfolio of residences. To do so, we have identified smaller capital projects, fund raising and public relations initiatives that we seek technical, volunteer and funding sources to achieve. Some of those are:

- The acquisition and development of a vacant lot(s) adjacent to The GrandFamilies House for the purpose of additional parking, a picnic/cook-out area, and or tenant garden patches that have been requested by our GrandFamilies House tenants.
- The replenishment of household/kitchen supplies for the communal facilities at all our residences.

- Carpentry improvements identified by each residences' house committees such as the enclosing of shelving for the purpose of making secured pantry and storage areas for tenants.
- A regular schedule and compliment of volunteer drivers for the GrandFamilies Van.
- The upgrade of BAC-YOU's computer systems.

In Closing

The efforts of BAC-YOU are being negatively impacted by the scarcity of apartments affordable for low income and working class individuals and families. We intend to continue to work in coalitions to advocate for the re-allocation of government and other resources on behalf of those not benefiting from economic growth. But we also need foundation and corporate charitable resources in order to address the immediate emergency housing needs of people who come to us for assistance.

FOOD FOR LIFE NETWORK



Nurturing the body and soul
with meals for Miami's AIDS community



F O O D
F O R
L I F E
N E T W O R K

Berne Teeple
Director of Development

4330 N.E. 2nd Avenue
Miami, FL 33137
Wk tel 305.576.3863 xt: 111
Wk Fax 305.576.1833
Hm Tel 305.538-1832
Email ffingiving@aol.com

12 Years Nurturing the body and soul
with meals for Miami's AIDS community



F O O D
FOR
L I F E
NETWORK

July 16, 1999

Mary Ellen McGuire
Office of the First Lady
OEOP #101
Washington, D.C. 20005

Dear Mary Ellen,

First of all, I can't thank you enough for making my Friday morning. You are certainly a breath of fresh air! Second of all, thank you for considering my request to participate in the White House Conference on Philanthropy.

I would be honored to serve as a conference attendee who has worked in various **one person** non-profit development offices for the past 25 years. I strongly believe by not having the luxury (or funds) to hire a support staff, it has truly made me a much stronger, resourceful and creative fund raiser.

I currently serve as the Director of Development for Food For Life Network, the only non-profit organization in Miami-Dade County solely dedicated to feeding children, women and men living with HIV/AIDS. Since 1987, Food For Life Network has provided over one million free meals to the HIV/AIDS community. Food For Life Network's 1999/2000 annual budget is \$1.5 million dollars.

As promised, enclosed is my resume. Mary Ellen, please do not take this as an indication that I am looking for a job. I feel by including my resume, you will get a better idea of my 25 years of fund raising experience.

Johnson & Johnson will be presenting Food For Life Network a check for \$100,000 on the Sally Jessy Raphael Show which will be taped and aired in September 1999. The Johnson & Johnson grant will be used to support the Food For Life Nutritional Education Program.

We have also been very successful with our Corporate Volunteer Saturdays. Rather than trying to break down the front doors of local and national corporations asking for money... we now go through the back door and ask if their employees would volunteer a few hours to help pack groceries for people living with HIV/AIDS. **The end results are tremendous. Once the employees volunteer at Food For Life Network, within 2-4 months their corporations generally make a generous monetary or in-kind donation to Food For Life Network.**

As you can see by our enclosed newsletter (page 10), Macys Aventura participated in our Corporate Volunteer Saturday and continues to be supportive through their Partner's In Time Program (whose corporate philosophy is to volunteer time and donate in-kind services to nonprofit organizations). Because of her positive volunteer experience, Debra Damsky, Macys Aventura's Executive Assistant recently agreed to serve on our board of directors.

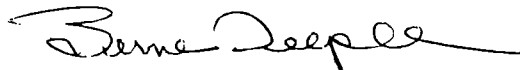
At the current time, the majority of our funding is provided through federal funds (Ryan White). One of my more challenging jobs is to diversify our funding sources (individuals, corporations, foundations) so that we don't rely on the Federal Government to support our programs and services. This is extremely difficult considering the latest statistics in the Chronicle of Philanthropy. Therefore I have to be more creative with my special events, direct mail campaigns and solicitations to foundations and corporations in order to compete for these limited corporate and individual donations.

Enclosed are samples of press clippings from recent fund raising projects. As you can see, Andrea Marcovicci performed at a benefit for Food For Life Network on May 14, 1999. Ms. Marcovicci has also had the pleasure of performing for President and Mrs. Clinton at the White House.

Last but not least, we also host Single Volunteer Days which are especially designed for singles who wish to meet other singles as well as helping a non-profit organization at the same time. This program attracts quite a few people who recently moved to town and want to make new friends in a safe, friendly, non-alcohol and smoke free environment.

Mary Ellen, I look forward to receiving more information about the conference. Please feel free to call me at 305-576-3663 ext. 111. Thank you once again for your time and compassion. And thanks again for making me smile today.

Gratefully yours,



Berne Teeple
Director of Development

Note: Our supporters include Mr. & Mrs. Sanford Ziff (President Clinton nominated Mr. Ziff in December 1998 to serve as the Ambassador to New Zealand). We are also proud to have Ms. Linda Murphy as a longtime donor. Ms. Murphy is a major contributor to the Democratic Party as well as recently being identified as one of the top 500 Hispanic Business Owners in the United States.

BERNE TEEPLE

**1420 Pennsylvania Avenue
Suite 304
Miami Beach, Florida 33139
(305) 538-1832**

OBJECTIVE

Challenging career position in fundraising, public relations and/or coordination of special programs. Senior management or other positions appropriate to ability and experience. Willing to relocate for suitable opportunity.

PROFILE

Creative, versatile senior manager with outstanding leadership and communication skills and 25 years of productive, diversified work experience.

Capable "take charge" senior manager with talent for teaching, training and motivating staff; fundraising, setting/achieving goals and budgets, analyzing/resolving problems. Able to coordinate special projects/events, meet deadlines and optimizes efficiency and productivity.

Highly people-oriented...deal with tact, humor and compassion with people of all backgrounds and at all levels. Has poise and presence to address large groups...equally effective in one-on-one situations.

Quick to learn...works well under pressure...proud of past accomplishments and fully confident of ability to make significant contribution to operation of new employer.

EXPERIENCE

12/98-Present

Food For Life Network (FFLN), Miami, Florida

Currently serves as the Director of Development & Public Relations for only non-profit organization in Miami-Dade County which is solely dedicated to feeding over 700 children, women and men living with HIV/AIDS. Since 1987 FFLN has provided over one million meals to the HIV/AIDS community.

FFLN Accomplishments

FFLN Quarterly Newsletter

Responsible for developing, writing, editing, layout and design of newsletter. Currently printing and mailing over 15,000 copies on a quarterly basis. Also responsible for obtaining 100% corporate sponsorship of all printing and postage expenses.

1st Annual Chefs Against AIDS Benefit

Personally conceived and developed FFLN first signature event. Coordinated cocktail reception, auction and dinner for over 200 VIP guests. Solicited 17 corporations to purchase 17 tables at \$2,000 per table. Also obtained donated auction items. Responsible for selecting site location (The Club at The Gables), as well as overseeing all logistics of event. Event grossed \$44,000, netted \$30,000 and obtained over \$25,000 in in-kind donated services. Also managed to arrange to have legendary screen and stage actress Ms. Kathleen Turner make a personal appearance at cocktail reception.

Pie In The Sky Benefit

Coordinated and executed FFLN first Pie In The Sky Benefit. Responsible for developing direct mail brochure, distribution of brochure and management of all pie orders. Sold over 500 Thanksgiving pies at \$15 each. Grossed \$7,500, netted \$5,000, over \$3,000 in in-kind donated services. Received major press from Pie In The Face publicity stunt to promote Pie In The Sky. Macys Aventura also conducted a Pie In The Face contest for all store employees.

Experience

Food For Life Network Accomplishments Continued:

Food For Life Network Friend Raisers

Personally developed concept with a select circle of major donors in Miami and Miami Beach. Each donor hosted a private cocktail reception and dinner within their homes. Each host invited their own circle of friends who were unfamiliar with Food For Life Network. Over 100 individuals were exposed to Food For Life Network in a warm and friendly environment. The final goal was to introduce these individuals to the organization so they may possibly either volunteer or make a donation in the near future.

Action For AIDS Grant

Personally wrote a grant to Action For AIDS and acquired \$2,500 for FFLN Nutrition program.

AIDS Nutritional Service Alliance (ANSA)

ANSA is the National organization for AIDS meal providers. Served on the annual national conference planning committee. Personally organized a development workshop for 50 attendees. National conference was held in San Francisco, CA. Over 500 Individuals attended the conference.

FFLN Saturday Volunteer Day

Personally developed a Saturday Volunteer Day for corporations (Macys Aventura, Adorno & Zedar law firm, SYSCO Food Corp.), Temples, Churches, Civic Associations, as well as members from the Miami Heat Dancers. Volunteers donate four hours each Saturday at Food For Life Network to help pack groceries for people living with AIDS.

Community Outreach

Have met with Senior Staff and Management from: The Gap, Macys Aventura, SYSCO Food Corp., Cheney Brothers Food Corp., PUBLIXS, The Miami Herald, National Food Corp., Henry Lee Food Corp., Heinz, Campbell's, Keebler, NABISCO, Kraft Food. These meetings were for the purpose of either obtaining donated foods or in-kind donated services for Food For Life Network Food Bank Program.

EXPERIENCE

12/96-12/98

Florida AIDS Action Council (FLAAC), Miami, Florida

Served as Director of Development & Public Relations for only statewide non-profit HIV/AIDS organizations. Mission is to advocate on behalf of people infected and affected by HIV/AIDS throughout Florida.

FLAAC Accomplishments

FLAAC Quarterly Newsletter:

Produced FLAAC Quarterly Newsletter. Responsible for obtaining corporate sponsorship to underwrite 100% of printing and postage costs. Wrote articles pertaining to fundraisers and public relations. Collected and edited articles from board and staff members, personally oversaw printing and distribution of 10,000 copies of newsletter.

FLAAC Four for the Night Benefit:

Produced and coordinated four talented jazz and blue singers for FLAAC benefit. 125 guests attended event. Gross: \$6,016. Net: \$4,350.65. In-kind donated services: \$8,650. Event held at the Living Room at the Strand, Miami Beach.

FLAAC Luncheon (U.S. Conference on AIDS):

Coordinated complimentary luncheon for 450 Floridians attending the U.S. Conference on AIDS. Attendees represented over 100 Florida based non-profit AIDS organizations. Personally obtained \$10,000 grant to underwrite entire luncheon. Luncheon held at the Fontainebleau Hotel, Miami Beach.

FLAAC Bookstore (U.S. Conference on AIDS):

Produced the "Official" bookstore for the U.S. Conference on AIDS. Books & Books (Miami Beach) ordered and sold books as well as provided staff to man exhibit throughout weeklong conference. Conference held at Fontainebleau Hotel, Miami Beach.

ALBITA Concert:

Produced and coordinated Albita Concert for 825 guests. Event grossed \$18,850. Net: \$8,850 (ticket sells). FLAAC received \$10,000 from corporate sponsor to underwrite Albita's expenses. In-kind donated services: \$4,000. Event held in East Ballroom at the Fontainebleu Hotel, Miami Beach.

EXPERIENCE

FLAAC Accomplishments Continued:

Andrea Marcovicci Concert:

Produced and coordinated concert with award winning cabaret singer, Andrea Marcovicci. 450 guests attended event. Gross: \$25,699.07. Net: \$12,699.07. In-kind donated services: \$35,650. Event held at the Colony Theatre, Miami Beach.

FLAAC "GET TESTED" Statewide Public Service

Announcement: Produced 30 second video PSA with national talk show hosts Sally Jessy Raphael (English PSA) and Cristina (Spanish PSA). Both PSA's stressed the importance of taking the HIV test. Over 100 Florida English and Spanish network/cable stations aired the 30 second PSA.

FLAAC Grants Written and Received:

SmithKline Beechum	\$ 300
Action For AIDS	\$5,400
Higgins Foundation	\$5,000
Serono Symposia	\$3,100
Roche Diagnostics	\$6,200
Roche Diagnostics	\$5,255
Glaxo Welcome	\$5,000
Glaxo Welcome	\$5,000
Life Benefits Services	\$3,800
Merck	\$1,500
PhRMA	<u>\$10,000</u>
Total Grants Approved:	\$50,555

EXPERIENCE:

- 1/94-12/96 **American Life Resources, Miami Beach, Florida**
Served as Florida's Vice President of American Life Resources, a national viatical settlement corporation. Responsible for all statewide marketing and promotions. Served as community liaison for corporation.
- 1/92-1/94 **Community Research Initiative of South Florida, Miami, Florida:**
Served as Director of Development for Community Research Initiative of South Florida (CRI-SFL), a non-profit HIV/AIDS medical research organization.

CRI-SFL Accomplishments:

CRI-SFL Quarterly Newsletter:

Produced CRI-SFL's first Quarterly Newsletter. Responsible for writing, editing, collecting articles from staff and board members, overseeing printing and distribution of 8,000 newsletters. Obtained corporate sponsorship to underwrite 100% printing and postage costs of newsletter.

CRI-SFL Monthly Bingo:

Developed and produced monthly bingo games at Gertrude's Coffee House (Miami Beach). Was responsible for promoting event, obtaining prizes and attracting celebrity bingo callers. Annual income \$10,000 (net).

1st Annual CRI-SFL High School AIDS Dance-A-Thon:

Developed and produced first High School AIDS Dance-A-Thon for 1,500 high school students. Gross: \$25,000. Net: \$15,000. Celebrity MC was MTV Grind Host, Eric Neiss. Event held at the Cameo Theatre, Miami Beach.

2nd Annual CRI-SFL High School AIDS Dance-A-Thon:

Developed and produced second annual High School AIDS Dance-A-Thon for 1,700 high school students. Gross: \$33,000. Net: \$25,000. Celebrity MC was MTV/Comedy Central Comic, Jon Stewart. Event held at Grand Slam, Miami Beach.

Fifth Annual Art Against AIDS Auction:

Produced and coordinated 5th Annual Art Against AIDS Auction. Obtained over 250 donated pieces of art from local artists. 500 guests attended event. Sally Jessy Raphael was Honorary Chair and official auctioneer. Gross: \$85,000. Net: \$60,000. In-kind donated services: \$40,000. Event held at Biltmore Hotel, Coral Gables.

EXPERIENCE

CRI-SLF Accomplishments Continued:

Medical & Community Advisory Board Meetings:

Responsible for coordinating quarterly dinner meetings with 20-30 medical and community leaders regarding the recommendation of HIV/AIDS clinical trials under consideration at CRI-SFL.

CRI-SFL Volunteer Program:

Coordinated CRI-SFL volunteer program. Responsible for advertising, writing job descriptions and recruitment of all volunteers. Personally scheduled and supervised 5-50 volunteers per week, depending on the specific project or special event.

"Cruise To The Bahamas" Benefit:

Co-produced cruise to the Bahamas with Food For Life, United Foundation For AIDS, League Against AIDS and Community Research Initiative of South Florida. 211 guests attended three-day cruise. Benefit raised \$10,000. CRI-SFL's share was \$2,500 (net).

HIV TV-Miami:

Developed, produced and hosted a 12 week television program on Cable Tap - Channel 17, entitled "HIV TV". Each program was one half hour in length. Personally interviewed representatives from 24 non-profit AIDS organizations from the Miami-Dade County area. The purpose of the program was to present to the viewers various programs, services and resources that each AIDS organization had to offer to people infected or affected by HIV/AIDS.

CRI-SFL Grants Written and Received:

Standtlanders	\$2,500
Elton John Foundation	\$35,000
Dade Community Foundation	\$5,000
Dade Community Foundation	\$8,000
Broadway Cares/EFA	\$2,500
Steve Simon Fund	<u>\$11,000</u>
Total	\$64,000

EXPERIENCE

1/89-1/90 **People With AIDS Coalition-Dade, Miami, Florida**
Served on Board of Directors (volunteer).

1/90-1/92 **People With AIDS Coalition-Dade, Miami, Florida**
Served as Director of Development (staff).

PWAC-Dade Accomplishments:

PWAC-Dade Quarterly Newsletter:

Produced PWAC-Dade first Quarterly Newsletter. Responsible for writing, editing, collecting articles from board members, overseeing printing and distribution of 5,000 newsletters. Obtained corporate sponsorship to underwrite printing and postage costs.

1991 Venetian Pool Party:

Coordinated and produced 1st annual pool party benefit for 150 guests.
Net: \$5,000. Event held at Venetian Pool, Coral Gables.

1992 Venetian Pool Party:

Coordinated and produced 2nd annual pool party benefit for 200 guests.
Net: \$7,000. Event held at Venetian Pool, Coral Gables.

1991 PWAC-Dade Drawing:

Coordinated and obtained prizes for 1st Annual PWAC-Dade Drawing.
Net: \$5,000.

1992 PWAC-Dade Drawing:

Coordinated and obtained 1992 Jeep for 2nd Annual PWAC-Dade Drawing. Gross: \$16,000. Net: \$12,000. White Jeep given away at 1992 Health Crisis Network White Party (Biltmore Hotel, Coral Gables).

1992 NCL Cruise Line S.S. Norway Luncheon:

Coordinated and produced luncheon for 300 guests aboard S.S. Norway. NCL donated food, wine and staff for entire luncheon. Gross: \$14,000. Net: \$12,000. Donated in-kind services: \$25,000.

1992 La Cage Benefit:

Produced La Cage Benefit for 150 guests. Gross: \$7,500. Net: \$5,000. Event held at Dildo Hotel, Miami Beach.

PWAC-Dade Accomplishments Continued:

1991 "Let's Stick Together" PWAC Sticker Campaign:

Developed and coordinated monthly sticker campaign at Warsaw, Hombre and Torpedo (Miami Beach nightclubs). Over 50 volunteers involved in annual fundraising project. Net Annual Income: \$12,000.

1992 "Let's Stick Together" PWAC Sticker Campaign:

Coordinated 2nd annual monthly sticker campaign. Coordinated all night club and volunteer scheduling. Net Annual Income: \$15,000.

1992 Hurricane Andrew PWAC Emergency Relief Fundraiser:

Personally responsible for raising over \$35,000 (net) for People living with HIV/AIDS who were directly affected by Hurricane Andrew. Funds were used for emergency food, medication, clothes and rental assistance.

1992 PWAC-Dade Halloween Block Party:

Coordinated Halloween Block Party. Net: \$6,000. Event held at 6th and Collins Avenue, Miami Beach.

PWAC-Dade Grants Written and Received:

Bell South	\$1,000
American Life Resources	\$1,500
XL-Home Health Care	\$1,000
CritiCare Home Health Care	\$1,000
Home Intensive Care	\$1,500
John Alden Life Insurance	\$2,500
CSI	\$2,500
Stratogen	\$1,500
Dade Community Foundation	<u>\$7,500</u>
Total	\$20,000

EXPERIENCE:

10/88-12/90

TropicArts, Inc., Coconut Grove, Florida

Served as Director of Marketing for successful print/poster/card/original oil and watercolor business.

Coordination of all public relations, media contacts and the production of annual mail order catalog. Responsible for 27 national Sales Representatives.

3/83-9/88

Coconut Grove Guest House, Key West, Florida

Served as General Manager for historic Victorian Guesthouse.

Responsible for renovations, procuring furnishings, design of brochure, public relations, promotional materials and establishing office procedures. Involved in day-to-day operations of reservations, bookkeeping and coordination of activities for guests.

Concurrently (3/85-388): Founded/managed and owned a mail order catalog business featuring co-op of 30 Key West, Florida artists. Developed, published and distributed 75,000 copies of "The Florida Keys Catalog".

6/71-2/83

U.S. Department of Interior (U.S. National Park Service) Washington, D.C.

During this 12 year period, worked for U.S. Government in various capacities acquiring an excellent work record and earning numerous bonuses and commendations from the President of the United States, the U.S. Secretary of Interior and numerous supervisors. Recruited by the White House for initial position. Chosen by the U.S. Congress as "1971 Outstanding Youth".

U.S. National Park Service Positions Included:

Volunteer Coordinator: Recruited, scheduled and coordinated activities of 200 volunteers.

Urban Community Garden Coordinator: Coordinated 13 Victory Gardens involving over 3,000 residents of Washington, D.C. Developed quarterly Victory Garden Newsletter and produced monthly horticulture workshops for 3,000 gardeners.

EXPERIENCE

Department of Interior (U.S. National Park Service) Continued:
Washington, D.C.

Special Events Coordinator:

Responsible for overseeing more than 2,000 special events held on U.S. National Park Service properties. Oversaw all special events (i.e.: Bike-A-Thons, Jog-A-Thons, Skate-A-Thons, Walk-A-Thons, Concerts, Demonstrations) produced by local and national non-profit organizations. Major responsibility included direct coordination of "Annual International Arts Festival". Personally coordinated 40 Embassies to perform, sell arts, crafts and international foods representing each Embassies homeland. Event attracted over 50,000 people for one day event, without a single disturbance or police incidence.

Training & Employee Development Coordinator: Conducted and developed training courses (ie: "Effective Leadership" and "Communication skills") for U.S. National Park Service staff.

"Close To Home" Publication:

Created, researched and authored "Close To Home" publication for U.S. National Park Service. Over 150,000 copies were printed and distributed throughout the United States. The purpose of the publication was to encourage tourist to conserve gasoline and visit U.S. National Parks closer to their own homes. Upon completion of the publication, received bonus and commendation from Director of the U.S. National Park Service.

Concurrently (1/72-3/74): Produced and hosted weekly children's television program entitled "The Magic Door". One hour educational & entertainment program viewed by over 2 million children in the Washington, D.C., Maryland and Virginia area.

Concurrently (1/74-9/76): Employed by the Smithsonian Institution to coordinate and teach classes for 10-13 year olds for the Friends of the National Zoo Program.

Current and Past Community Volunteer Involvement:

- 9/95-Present **River Fund, Sabastin, Florida**
Currently serves on Development Advisory Board for River Fund, a non-profit hospice located in rural Southeast Florida.
- Have assisted with 1st & 2nd Annual River Fund benefits. Ivana (Trump), k.d.lang and Arlo Guthrie have personally attended both events held on Ivana's yacht.
- 1/96-98 **Dade Community Foundation, Miami, Florida**
Served on Gay & Lesbian Community Partnership Grant Advisory Board. Assisted with disbursement of \$100,000 in grants to several non-profit Gay and Lesbian programs throughout Miami-Dade County.
- 6/95-97 **Community Research Initiative of South Florida (CRI-SFL)**
Served on Development Advisory Board. Volunteered for DCOTA and Raleigh Hotel "Toast For A Cure" benefits.
- 10/91-Present **Project Cradle, University of Miami, Miami, Florida**
Currently serves as volunteer Chairperson. Over 300 HIV+ babies and children benefit from funds raised by Project Cradle. As board member, responsible for developing 1996 Project Cradle direct mail campaign, which raised \$42,000 (net). To date, Project Cradle has raised over \$400,000 for the University of Miami School of Medicine, Pediatric AIDS Program.
- 1/94-1/95 **South Beach Business Guild, Miami Beach, Florida**
Served on Board of Directors. Assisted with marketing, public relations and recruitment of new members.
- 1/93-1/95 **Lesbian & Gay Community Center of Greater Miami, Florida**
Served on Board of Directors and Development Committee. Co-produced Center's first fundraiser. Event netted \$5,000.
- 1/89-1/90 **People With AIDS Coalition-Dade, Miami, Florida**
Served on Board of Directors and Development Committee. As board PWAC Board Member, responsible for raising over \$50,000 (net).

1/89-Present

Currently or have volunteered and/or consulted to the following organizations:

AIDS Help, Key West
AIDS Manasota, Sarasota
Alliance Cinema & Co-op, Miami Beach
Body Positive, Miami
Center for Haitian Studies, Miami
Center for Positive Connection, Miami
Children's Home Society, Miami
Community Research Initiative of South Florida, Miami
Dade Community Foundation, Miami
Episcopal AIDS Ministry, Miami
Florida AIDS Action Council, Miami
Gay & Lesbian Community Center of Central Florida, Orlando
Genesis House, Miami
Health Crisis Network, Miami
Helpline of Monroe County, Key West
Lesbian & Gay Community Center of Greater Miami
Mercy Hospital, Miami
Miami Beach Botanical Gardens
Mother's Voices, Miami
People With AIDS Coalition-Broward
People With AIDS Coalition-Dade
Presidential Classroom for Young Americans, Washington, D.C.
Project Cradle, University of Miami, Miami
Riverfund, Sabastin
Safeguarding American Values for Everyone, Miami
South Beach AIDS Project, Miami Beach
South Beach Business Guild, Miami Beach
United Foundation for AIDS, Miami Beach

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Food For Life Network

Quarterly Newsletter

"Chefs Against AIDS"



Food For Life Network is proud to announce its very first signature event, "Chefs Against AIDS." A cocktail reception, and a silent and live auction will be held at the prestigious "The Club at The Gables" on Monday, November 2, 1998.

Following the live auction, guests will be met by a fleet of limousines, which will whisk them away to China Grill, Mortons of Chicago, The Living Room at the Strand, 1220 at The Tides, Red Square, Yucca, Tuscan Steak, Blue Door at the Delano, NationsBank Dining Room, A Fish Called Avalon, The Water Club at Aventura, Al Carbon and The Forge Restaurant, just to mention a few participating restaurants.

Tickets are \$2,000 per table (8 guests per limousine and table) or \$250 per guest. Seating is limited. Call (305) 576-3663, xt: 111 for further information. *

What does Food For Life Network Do?

With so many non-profit HIV/AIDS organizations in Miami-Dade County, it can be very confusing as to what each organization does for the HIV/AIDS community. When it comes to Food for Life Network, it is very simple. Since 1987, Food for Life Network has provided over one million free meals to the HIV/AIDS community.

Food for Life Network provides the Food Bank Program, Home Delivered Meals Program and Nutritional Counseling services to people living with HIV/AIDS. Clients are referred to Food for Life Network from other HIV/AIDS related organizations, located throughout Miami-Dade County.

If our HIV+ clients are physically able to pickup their groceries at Food For Life Network, they participate in our **Food Bank Program**. Each Food Bank client receives groceries once a week. The groceries, provided free of charge, are enough for 14 meals, depending on the number of family members in each household. We are currently providing groceries to 300 HIV+ individual clients each week. Unfortunately, we have over 150 people living with AIDS on our Food Bank waiting list. In order to reduce this list, Food For Life Network needs an additional \$195,000.

If our HIV+ clients are homebound, they are placed in our **Home Delivered Meals Program**.

(Continued on page 2)

New Board Member Profile

We would like to graciously thank Wanda Tappan, President of Life Benefit Services, for underwriting this issue of the quarterly newsletter.



Wanda Tappan, President, Life Benefit Services

We also welcome her as our newest board member.

In 1987 Wanda founded the Tappan Insurance Services offices in Tavares, Florida. She successfully attained her 220 license and taught pre-licensing courses and continuing education as a certified instructor for the Life Insurance School of Florida.

In 1997 Wanda established Life Benefit Services (a national viatical brokerage firm). She is the owner, as well as the president with licensing in Florida, Texas, Illinois, New York and California.

(Continued on page 3)

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F O O D
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7 BEACH

NEIGHBORS

COVERING YOUR COMMUNITY

The Miami Herald

SUNDAY
SEPTEMBER 27, 1998

Hands get to heart of the matter

Food network helps HIV, AIDS patients

By ANGELIQUE RUHI
Herald Writer

The Food for Life Network was created in 1987 to provide meals, groceries, nutritional counseling and education to eliminate malnutrition and starvation in people living with HIV or AIDS.

The organization, at 4330 NE Second Ave., serves about 650 clients weekly: 350 patients have their meals home-delivered and 300 ambulatory AIDS patients pick up their meals from the network's food bank or at satellite food banks in Hialeah or South Beach. Various local AIDS agencies refer often-malnourished patients to the network to receive free, well-balanced meals.

"Our clients say our services are a Godsend," said Peter Ramos, executive director of the Food for Life Network. "If it wasn't for the meals we provide, many would suffer from malnutrition."

Volunteers are critical to the network's operations. As the only nonprofit in Miami solely dedicated to providing meals for AIDS patients, the network relies on volunteers to package meals and groceries, load and unload delivery trucks, stock food bank shelves, help with food drives, fund-raising and development, and provide a variety of other client services.

Barbara Boldin, who is studying to be a dietitian, began volunteering at Food for Life in July. She has helped the organization's nutritionist do nutritional assessments of clients, prepared materials and information for clients, and has worked at the food bank's breakfast department.

The network also offers volunteers the chance to meet other volunteers in a safe and com-



Photos by PETER ANDREW BOSCH / Herald Staff

PACKING IT UP: Dorevia Paz, who works for Food for Life, helps other volunteers get meals together.

fortable atmosphere. This week, volunteers had to package double the amount of food and had to do double deliveries in anticipation of Hurricane Georges.

The Food for Life Network has created Corporate Volunteer Days to motivate employees to volunteer. Employees at Macy's Aventura store have volunteered at the network on Saturdays to help pack food, help with office work and paint. They also donated 300 pounds of non-perishable food items to the network through Partners in Time, Macy's employee volunteer program.

The network is also planning several "Singles Volunteer Days" for straight people, gays and lesbians, and single parents with their children. The first Singles Volunteer Day, which



will be for straight singles ages 25 to 45, will be this Saturday.

"The goal is simple: meet other singles through volunteerism in a safe, stress-free, casual and fun atmosphere," said Berne Teeple, director of development at the Food for Life

A DAY OF FUN — AND VOLUNTEERING: The goal is simple: meet other singles through volunteerism in a safe, stress-free, casual and fun atmosphere, says Berne Teeple.

Network. "People who tend to volunteer are givers, not takers: people with the same values. The environment is smoke-free, alcohol-free and drug-free and best of all, the volunteer room is lit so you can actually see what people look like."

TO HELP

Volunteers are needed to help the Food for Life Network in all capacities, as well as special events such as "Pie in the Sky," a Thanksgiving pie-selling campaign that will begin Oct. 19; and the Chets Against AIDS dinner and auction Nov. 2. The Singles Volunteer Day will be from 10 a.m. to 2 p.m. Saturday at the network, 4330 NE Second Ave. Call Berne Teeple at 305-578-3683, ext. 111.

Tropical Tribune
Feb. 1, 1997

FOOD FOR LIFE NETWORK FIRST ANNUAL "CHEFS AGAINST AIDS" A GASTRONOMIC SUCCESS KATHLEEN TURNER MAKES SURPRISE APPEARANCE



Peter Ramos, Exec. Dir. Food For Life Network, Kathleen Turner and Bernie Teeple, Dir. of Development Food For Life Network.



Christy MacDougall of Chanel Bal Harbour, Kathleen Turner and Melissa Carpenter of Chanel Bal Harbour.

On January 11, the First Annual *Chefs Against AIDS* event, hosted by seventeen of South Florida's top restaurants, raised a record-breaking \$45,000 for Food For Life Network.

Nearly 200 corporate and society guests convened at The Club at The Gables for an intimate cocktail reception designed by Executive Chef Pino Saverino. The evening began with a silent auction of impressive products and services donated by local businesses and directed by Jay and Tammy Vance.

Following the auction, celebrity Kathleen Turner, in town appearing in "Tallulah" at the Coconut Grove Playhouse, made a surprise appearance and wowed the crowd with her heartfelt comments.

Following the reception and auction, guests were met by a fleet of new Deco Drive Limousines that whisked them away to a their surprise destination at one of the participating restaurants where they basked in an evening filled with glorious gourmet cuisine. The restaurants that generously delivered delectable gastronomic experiences were A Fish Called Avalon, Buce-Grand Bay Hotel,

Cafe Mosaic/National Hotel, Ricky Martin's Casa Salsa, China Grill, Dining Galleries at the Fontainebleau Hilton, The Forge, Morton's of Chicago, Nationsbank Dining Room, Nemo's, Norman's, Piccadilly Gardens, Tantra, Tuscan Steaks, Twelve-Twenty at The Tides, and Yuca.

Some of the guests and volunteers who were instrumental in making this signature event such a success included Byron Russell, CEO/Cheyenne Brothers; Judo Torch, CEO/Deeding Hospital; Lee Schragger, Director of Catering/ Intercontinental Hotel; Interior Designer

Gary Thomas Kelly, Wanda Tappan, President/Life Benefit Services, Debby Damsky, Macy's Aventura, Norma Jean Abraham, Nick Studds, Tara Johnson and Susan Scott.

The proceeds from this delightful fine dining and auction event will fund Food For Life's continuing efforts to provide free meals to 600 children, women and men living with AIDS. As the only area non-profit organization solely dedicated to meeting this most basic of human needs by providing food, groceries, nutritional counseling and education, since 1987, Food For Life has served over one million meals to the Miami-Dade County HIV/AIDS community.

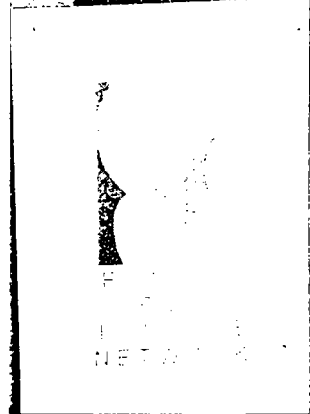
Overwhelmed by the response of the donors, chefs, host restaurants and guests, FFLN Director of Development, Bernie Teeple exhorted the crowd to "mark your calendars for January, 2000 when the Second Annual *Chefs Against AIDS* will inaugurate a new millennium met by Food For Life Network's services."

For information regarding other scheduled events, or to volunteer, call 305-576-3663 Extension 111

*Chefs
against
AIDS*

benefiting

Food For Life Network



Ms. Turner addresses guests.



PORTADA

Extravaganza gastronómica para ayudar a enfermos de sida



Terry Keeton, Michael Moncrieff y Bernie Teeple, director de Development de Food For Life Network

En días pasados se celebró en The Club at The Gables, en el corazón de Coral Gables, el evento recaudatorio *Chefs Against AIDS*, donde participaron 20 restaurantes y un grupo de chefs del sur de la Florida pensando en una causa noble: la asistencia y ayuda a hombres, mujeres y niños de la comunidad que padecen sida.

El evento comenzó a las 5.30 p.m. con un cóctel donde se sirvieron exquisitos *hors d'oeuvres* creados por el chef Pino Severino, y luego los asistentes tuvieron la oportunidad de participar en una subasta silente.

A continuación, los invitados se trasladaron en limosinas para visitar los restaurantes participantes en la actividad para disfrutar de deliciosas cenas *gourmets*.

Entre las personalidades que acudieron al evento, estuvo la actriz Kathleen Turner, que se encuentra en la ciudad protagonizando el papel estelar en la obra de teatro *Tullulah*, en el Coconut Grove Playhouse.



Pino Saverino, chef de "The Club At The Gables"; Debra Damsky y Norma Jean Abraham



Anthony Estevez III y Alex



Robert Cohen, Linda Beebe, Peter Ramos y Larry Bennett



Heileen Sosa, Charles E. Porter y Tanya Acosta McAliley



Kathleen Turner en compañía de Marc y Helene Kovens, propietarios de "The Club At The Gables"



10 Ways You Can Help Food For Life Network

1. Call the Food For Life Network Speaker's Bureau: A volunteer or staff member will visit your office, child's school, Church, Temple or civic association to explain the Food Bank Program, Home Delivered Meals Program, Nutritional Counseling Program and Volunteer Program.
2. Visit Food For Life Network and take a tour of the facility.
3. Coordinate an annual "Can Food Drive" or "Personal Hygiene Supply Drive" (tooth brushes, tooth paste, toilet paper, shampoo) in your office, child's school, Temple, Church, civic association or local neighborhood.
4. Volunteer once a year to help pack groceries (Saturdays available).
5. Donate one bag of non-perishable groceries (clean out your kitchen pantry).
6. Donate \$35 to help feed one of our home-bound clients for one week (Includes 7 frozen dinners and 7 breakfast meals delivered).
7. Donate \$25 to help feed one of our food bank clients for one week (A bag of groceries includes enough food for 14 meals).
8. Donate your personal time to Food For Life Network by using your professional skills (graphic arts, public relations, marketing, cooking, wait staff, photography, architecture, interior design, musical, sales, management, etc.).
9. Coordinate a small (or large) event, which will benefit Food For Life Network (i.e.: Block Party, Cocktail Party, Dinner Party, Fashion Show, Raffle, Silent & Live Auction).
10. Tell others about Food For Life Network!

If you wish further information, please call 305-576-FOOD (3663) and ask to speak to Dee. Thank you.