

# 2017 November Board Meeting



Tremaine Foundation

Dear Board,

For most of us, fall has us gazing at favorite trees as leaves change from green to red, yellow, purple, black, orange, pink, magenta, blue and brown. This year, though, after our summer retreat and a deep immersion in the recent National Center for Family Philanthropy (NCFP) Forum, I can't help but think about family trees and the continued G2-G3 leadership transition.



We'll talk more about the NCFP Forum at the Board meeting, but there are a few things worth highlighting as we head into the November 4-5 meeting in Providence, RI.

- **Historical note** – as NCFP kicks-off its 20<sup>th</sup> anniversary year, the head of NCFP, Ginny Esposito, shared with me that EHTF's first president, **Sally Bowles, was at the leadership table when NCFP was born!** Ginny has high praise for EHTF and some words of wisdom about next generation evolutions. This also reminds us that EHTF has sought best practice on family philanthropy from its origin, so it is important that succeeding generations continue the tradition of engagement with NCFP.
- At this year's Forum we **acquired a lot of learning** – and we **shared a lot of EHTF learning**. In terms of sharing, we were part of David Grant's standing room only session on Mission Driven Assessment. He presented the theory and said, *"you know how on cooking shows you share the recipe and then go to the oven and pull out the finished casserole? Well, Tremaine's Program Assessment Rubrics are our casserole."* The audience then sampled our Program Rubric examples and declared, *"that's an amazing casserole!"* We'll continue to work with David and NCFP in growing this body of work.
- Documentarian **Ken Burns** prompted us to think about the value of perspective and storytelling. He believes there are often multiple, **co-existing truths**,



### The Power of Storytelling

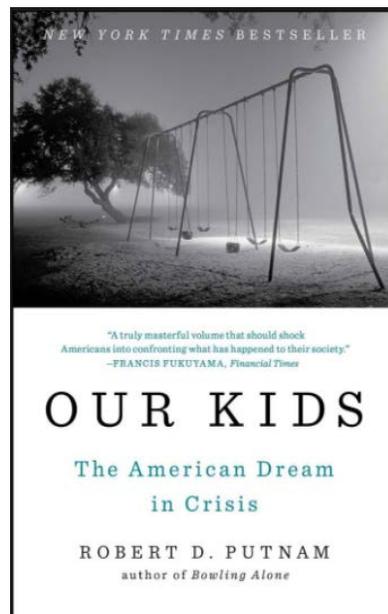
The 2017 National Forum kicked off with an interview of the celebrated American documentarian and filmmaker **Ken Burns** by the award-winning media commentator and author **Cokie Roberts**. They discussed the power of storytelling and the media in shaping communities and civil discourse, his upcoming series on Vietnam, and more.

and that we need deep **listening to create intimate connections** that help us “better understand our common story.” I’d love for us to think about ways that his approach to storytelling might inform how we shape “**the common story**” of EHTF over successive generations. Here’s Ken’s short list:

- **Enlarge the narrative** - so often there are contradicting perspectives or we only get half of the full story.
  - Bring out the "**emotional archeology**" in story creation – it adds deeper meaning.
  - **Invest in civics and civil discourse** - it is how things get done. Stories can activate our “civic hunger.”
  - **Pay attention to the negative space** of creation and process (i.e., the things beyond the subject).
  - **Time can bring perspective** and help us uncover and interpret the common story.
- There were two presentations about **opportunity gaps** in America. **Robert Putnam** – renowned author ([Bowling Alone](#), and [Our Kids: The American Dream in Crisis](#)) and esteemed Professor of Public Policy at Harvard University – presented new, national data and “compelling coming-of-age stories of how **growing up rich and poor has changed in all corners of America**—in rural areas, the suburbs, and big cities—over the last several decades.”

And **john powell** (he uses lower case letters), Director of the Haas Institute for a Fair and Inclusive Society and a Professor of Law and Professor of African American Studies and Ethnic Studies at UC Berkeley, presented on **ways “to improve life chances, promote inclusion, and enhance and sustain equitable policies and programs.”** His theory on “targeted universalism” is explained in this [video link](#).

These and other opportunity gaps continue to spur philanthropic innovations and programs. Our work in LD takes into account these gaps and is getting closer to systems level solutions. We are also starting to see seeds of addressing these opportunity gaps in our Art and Environment program areas as well.



### Our Kids: The American Dream in Crisis

The America we believe in is a nation of opportunity, constrained only by ability and effort. But during the last 25 years, an increasing number of families and communities are facing opportunity gaps. Those gaps have been reinforced by decreasing trust in communities, decreasing diversity in our social networks, and other social challenges. How can philanthropic families reach across all types of boundaries to offer more opportunity to all children? Professor **Robert Putnam** discussed challenges described in his bestselling book, [Our Kids: The American Dream in Crisis](#).



- **Next Gen engagement** was also a big theme at the Forum. Phil Gwoke of BridgeWorks presented on **communicating across generational divides**. Through our work with Greg Hessel, we’ve spent a lot of time focusing on intergenerational perspectives. This session reinforced how important it is to “bring awareness to what formed and influenced each generation,” and to “explore the resulting traits, values, and motivations” in order to “convert this form of diversity from an obstacle into an opportunity.”

To me, this relates directly to the G2-G3 transition. We are working to preserving the rich legacy of the G2s, while making room for the expression of shared values by the G3s, and soon the G4s. In line with BridgeWorks, we’ll keep aiming to “connect with every generation” and “make sure that every generation’s voice matters.”

All of this comes down to **“the currency of relationships.”** We’ll spend much of our time at the board meeting exploring the many ways that we are strengthening relationships at board, program, grantee and field levels.

Back on the EHTF home front, many of your committees have been active. Here’s a quick round-up.

**Budget Committee** – the Budget Committee will present a recommended 2018 budget that responds to messages from the retreat regarding increased experiential learning for board members. It also puts approximately \$230,000 additional dollars into the program areas, while staying conservative on the “reset” percentage at 4.7%

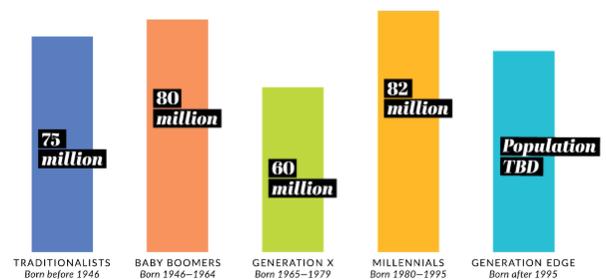
**Investment Committee** – in working with Cambridge Associates (our outsourced Chief Investment Officer), the Investment Committee set in motion a smooth transition in our investment strategy and began laying the groundwork to explore impact investing. Cambridge has a dedicated Impact Investing unit that will be working with our team as we hone our goals and directions.

**Audit Committee** – working with our accounting firm of O’Connor Davies, the Audit Committee approved EHTF’s 2016



### Race, Equity, and Family Philanthropy

Conversations and clashes around race and equity are in the forefront in our communities, in the media, and in philanthropy. We’re confronting the fact that, for African Americans, gaps in socioeconomic progress are still driven by race and history. As philanthropists, we have a chance to confront the tough work of facing our hidden biases and the systemic biases around us, and to turn new understanding into action.

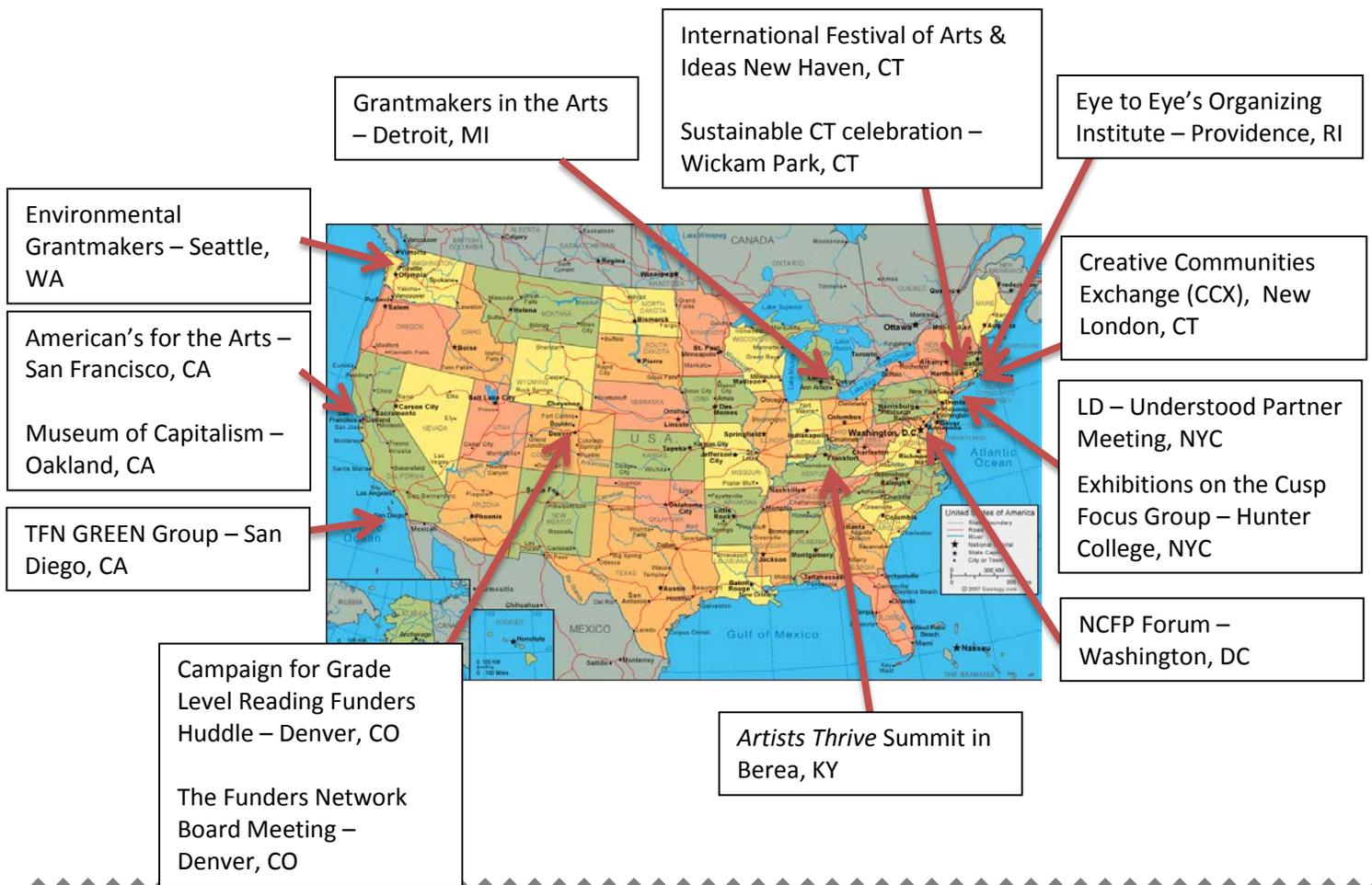


financial statement and tax return. The Committee will soon see a planning document from O'Connor in preparation for a full audit of the 2017 financials (we do a full audit once every six years). In addition, O'Connor will work with staff on new auditing standards that will affect our grantees. Finally, O'Connor noted the IT risk assessment it completed for EHTF in 2017 (this was based on a suggestion from Woody).

**Governance Committee** – reviewed applications for G3s to attend the NCFP Forum. The committee was able to consider some unspent retreat funds in ultimately approving a multi-generational team to send to the Forum (Emily, Cleighton and Mackenzie).

**Ad-hoc input sessions** – during the retreat, there was curiosity around how other foundations approach discretionary grantmaking and branch representation. In addition, there was energy around exploring a hybrid board meeting structure that combines in-person and virtual meeting schedules. During the meeting, I'll reflect back your responses to the materials that were presented on these issues.

In addition, EHTF staff had a travel-heavy fall in support of program initiatives and intense field building. Here's an outline of the major activities since June:

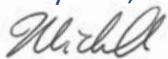


You can also track staff adventures and family input via **Inside EHTF** (our private Facebook Group).

We also have tremendous momentum in every program area. **Sustainable CT** has its public launch in late November. **Artists Thrive** is taking hold following the September Summit. **Exhibitions on the Cusp** is set to publish issue #1 in late November. **Understood** is reaching 2 million people per month and plans are underway to develop a version of Understood for educators. And our place-based LD investments in **Vero Beach** and **Philadelphia** are pointing toward scalable models of teacher instructional improvements that benefit the 1 in 5 with learning and attention issue. I'd say we are at peak program foliage!

We'll also continue to harvest ideas from the retreat and deepen the engagement in our mission-driven work.

My best,



# Board Meeting Agenda: NOVEMBER 2017



NOVEMBER 4-5, 2017

**HOTEL LOCATION:** Hotel Providence (139 Mathewson Street, Providence, RI 02903)

**MEETING LOCATION:** Hotel Providence (Tilden Thurber Ballroom)

**SATURDAY DINNER LOCATION:** Circe (50 Weybosset Street, Mezzanine level)



## BOARD AGENDA

Saturday, November 4

11:00	<p><b>Check-in</b> (Associates and staff)</p> <p>How are you doing related to these three areas (10 point scale):</p> <ul style="list-style-type: none"> <li>• Health</li> <li>• Business/Professional/EHTF</li> <li>• Personal</li> </ul> <p><i>Each person will have up to 45 seconds to share.</i></p>	
11:30	<p><b>Administrative Matters</b></p> <ul style="list-style-type: none"> <li>• Approval of March 2017 Minutes</li> </ul> <p><b>Retreat Recap &amp; Summary from Ad hoc Input Sessions</b></p>	
11:50	<p><b>Strategy Session: Environment</b></p> <ul style="list-style-type: none"> <li>• Follow-up from retreat</li> <li>• Primer on Sustainable CT</li> </ul>	
12:10	Lunch	
12:40	<p><b>Panel Session: Environment</b></p> <ul style="list-style-type: none"> <li>• Moderator: Palmer</li> <li>• Interview with Donna Drewes (co-founder of Sustainable Jersey &amp; N2S2O Network Coordinator) and Lynn Stoddard (Executive Director of the Institute for Sustainable Energy – backbone organization for Sustainable CT)</li> <li>• Q&amp;A with Board</li> </ul>	
1:10	Break	
1:20	<p><b>Environment Wrap-Up</b></p> <p>Short check-in regarding direction of Environment portfolio</p>	



**ICON KEY:**



Vote



Budget



Family



Feedback



Strategy



Governance



Info



Org Dev

1:30	<p><b><u>Budget</u></b></p> <ul style="list-style-type: none"> <li>• 2017 Budget overview and recommendation</li> </ul>	
1:50	<p><b><u>Investment Committee</u></b></p> <ul style="list-style-type: none"> <li>• Ted Lovejoy of Cambridge Associates joins via Zoom video <ul style="list-style-type: none"> <li>○ Revised Investment Strategy</li> <li>○ Recent Capital Market Returns</li> <li>○ EHTF Portfolio Positioning and Performance Update</li> </ul> </li> </ul>	
2:10	<p><b><u>Board &amp; Staff Development: Education on Impact Investing</u></b></p> <ul style="list-style-type: none"> <li>• Tony Macklin, Senior Advisor with the Impact Finance Center</li> </ul>	
3:40	Break	
3:50	<p><b><u>Board &amp; Staff Development: Introduction to Universal Design for Learning (UDL)</u></b></p> <ul style="list-style-type: none"> <li>• Background on CAST (past grantee &amp; current thought partner) <ul style="list-style-type: none"> <li>○ Understood founding partner</li> <li>○ CAST's work with MEA grantees</li> <li>○ CAST's teacher professional development trainings and policy work on UDL</li> </ul> </li> <li>• <b>UDL</b> - mini workshop from Alison Posey of CAST</li> </ul>	
5:50	<p><b><u>Announcements &amp; Break</u></b></p>	
6:30	<p><b><u>Reception</u></b> Johnson &amp; Wales Hospitality room (2<sup>nd</sup> floor of Hotel Providence)</p> <ul style="list-style-type: none"> <li>• Guest – Molly Flannigan (ASU Fellowship/RI State Art Council)</li> <li>• Guest - Diana Dangoor (Eye to Eye - Brown University)</li> <li>• Guest - Amanda Siegel (Eye to Eye - Brown University)</li> </ul>	
8:00	<p><b><u>Dinner at Circe (50 Weybosset Street, Mezzanine level)</u></b></p>	



## Sunday, November 5

7:30	<b><u>Breakfast available starting at 7:30 am</u></b>	
8:00	<b><u>Executive Session</u></b> <ul style="list-style-type: none"> <li>All Board Directors, Associate Directors, and Michelle</li> </ul>	
8:30	<p><i>* Associates and all staff join meeting *</i></p> <p><b><u>Program &amp; Field Development: LD</u></b></p> <ul style="list-style-type: none"> <li>Place-based investment story: <b>Read by 4th</b> <ul style="list-style-type: none"> <li>Groundbreaking pre-service teacher training</li> <li>Peer to peer exchange with The Learning Alliance (Vero Beach)</li> </ul> </li> <li>Highlights from Understood Partner Meeting</li> </ul>	  
9:00	<b><u>Program &amp; Field Development: Art</u></b> <ul style="list-style-type: none"> <li>Artist Thrive <ul style="list-style-type: none"> <li>Demonstration of the website</li> <li>Videos from the inaugural Artists Thrive Summit</li> </ul> </li> <li>Exhibitions on the Cusp <ul style="list-style-type: none"> <li>Preview website</li> <li>2017 EHTEA cycle</li> </ul> </li> </ul>	  
10:00	<b><u>Grantee story</u></b> Rhode Island School of Design (RISD) Career Center <ul style="list-style-type: none"> <li>Kevin Jankowski, Career Center Director</li> <li>Q&amp;A session</li> </ul>	 
10:20	<b><u>Break</u></b>	
10:35	<b><u>Special Project: Family LD Mapping Project</u></b> <ul style="list-style-type: none"> <li>Survey Results session with Dr. Jan Valle</li> <li>Visions for survey template in the field</li> </ul>	  
11:30	Break	
11:40	<b><u>Family Engagement Committee</u></b> <ul style="list-style-type: none"> <li>Reflections from NCFP Forum</li> <li>3 small group conversations: <ul style="list-style-type: none"> <li>Youth Philanthropy – changes in the field / EHTF G4 strategy</li> <li>April 2018 – Volunteer Month – new challenge</li> <li>Handbook – recruit working group / ideas</li> </ul> </li> </ul>	   

**ICON  
KEY:**



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12:10	<p><b>Wrap-up</b></p> <p><b>Quick Looks</b></p> <ul style="list-style-type: none"> <li>• EHTF Facebook Group outtakes</li> <li>• Being You video clip</li> <li>• Enwoven (formerly The History Project) – vignette ideas</li> </ul> <p><b>Board meeting feedback:</b> What worked; what could be better</p> <p><b>Reminders</b></p> <ul style="list-style-type: none"> <li>• March 9-11, 2018 Board meeting in Vero/LD Site Visit on Friday</li> <li>• Nov 9-11, 2018 Board meeting in NYC/EHTEA celebration on Friday</li> <li>• March 2019 – potential dates: 3/23 – 3/24 or 3/30 – 3/31</li> <li>• Nov 2019 – potential dates: 11/9 – 11/10 or 11/2 – 11/3</li> </ul>	
12:30	Lunch/Adjourn	



## SATURDAY GUEST PRESENTERS

### LYNN STODDARD

Director  
Institute for Sustainable Energy at Eastern Connecticut State  
University

Lynn Stoddard has over twenty years of experience in developing public policy and managing a broad range of energy and environmental programs. She worked in the following programs at the Connecticut Department of Energy and Environmental Protection: climate change and energy, Lead by Example, Energy Savings Performance Contracting, recycling and solid waste planning, pollution prevention, and coastal area management. She is an inaugural fellow in the [Donella Meadows Leadership Fellows Program](#) and has earned LEED Green Associate (Leadership in Energy and Environmental Design) and Green Professional (G|PRO) credentials. Lynn was appointed to serve on the Connecticut [Governor's Council on Climate Change](#). She holds a Bachelor's Degree in Psychology and Political Science from Bucknell University and a Master's Degree in Regional Planning from the University of Pennsylvania.



### DONNA DREWES

Network Coordinator  
National Network of Statewide-Local Sustainability Organizations

Donna Drewes is a professional planner with over 38 years of experience in sustainable development, land use policy, sustainability rating systems and natural resource management planning. Ms. Drewes has worked as a professional planning consultant in the private sector and for both public agencies and non-governmental organizations. For 13 years Ms. Drewes was the Co-Director of the Sustainability Institute at The College of New Jersey where she was one of the principals that founded and directed the Sustainable Jersey municipal focused certification program, a hugely successful state level effort to engage local governments in advancing sustainable development by providing clear guidance, training, and financial incentives.



Ms. Drewes currently serves as the first Network Coordinator for the newly formed National Network of Statewide-Local Sustainability Organizations (N2S2O), a peer learning network which is composed of representatives from across the United States engaged in state sustainability programs targeted at local governments. N2S2O works to connect and align statewide, locally focused, sustainability programs and enable its members to share resources and best practices, foster the success of local sustainability initiatives, and collaborate on projects that advance N2S2O's shared goals.

Ms. Drewes holds a Masters in City and Regional Planning from Rutgers University and a B.S. in Soil Science from Rutgers- Cook College.

## TONY MACKLIN

Senior Advisor  
Impact Finance Center

A Chartered Advisor in Philanthropy® and independent consultant, Tony helps donor families, grantmakers, and their advisors and associations answer questions about purpose, use of resources, action planning, and learning. He is a Senior Advisor with the [Impact Finance Center](#), a Colorado-based nonprofit that provides impact investing research, education, and advisory services. He also manages the National Center for Family Philanthropy's [Community Foundations Family Philanthropy Network](#) and serves as an Associate with [Ekstrom Alley Clontz & Associates](#).

He previously served four years as executive director of the Roy A. Hunt Foundation, a multi-generation family foundation based in Pittsburgh. While there, he facilitated a 2020 visioning process and changes in investment management, impact investing, grantmaking, trustee education, and back-office management. In twelve years at the Central Indiana Community Foundation, he led grantmaking initiatives, advised generous entrepreneurs and families, attracted \$39 million in assets and co-investments, and launched a social enterprise. Before that, he managed financing and capacity building programs for the Indiana Department of Commerce.



## ALLISON POSEY

Curriculum and Design Specialist  
CAST

Allison Posey participates in curricular design, online course instruction, and leads professional learning programs, including the CAST UDL Symposium. She works with educators to integrate and apply current understandings from brain research about learning into instructional practices so that all learners are able to access, integrate and become expert learners. She also coordinates the CAST free webinar series, free resources, and focuses on the central role of emotions in learning.

Prior to coming to CAST, Allison was a life science teacher in high school and community college settings, teaching genetics, anatomy, physiology, biology, neuroscience, and psychology. She received a degree in Mind, Brain, and Education from Harvard Graduate School of Education where she also worked as a teaching fellow for courses such as Educational Neuroscience and Framing Scientific Research for Public Understanding. She holds a Certificate in Fine Arts from the Maryland Institute of Art.



## SUNDAY GUEST PRESENTERS

### KEVIN JANKOWSKI

Director, Career Center  
Rhode Island School of Design

Kevin Jankowski is the Director of the RISD Career Center where he leads an exceptional staff in providing students and alumni with an extensive array of programming, resources and events. Throughout his 28 year career with RISD, he has maintained a deep commitment to helping students flourish in their creative lives. Kevin has presented numerous workshops, lectures and critiques in every department at RISD. He has managed many of the signature career resources including RISD Portfolios, the Online Career Library, Mindshare, Art of Business Bootcamp, RISD Careers website, Maharam Fellowship, and the highly regarded Portfolio Review events.



### DR. JAN VALLE

Associate Professor,  
Teaching, Learning and Culture Department  
City University of New York

**Dr. Jan Valle** teaches courses in inclusive practices for childhood education, bilingual education, and educational theatre. Prior to receiving her doctorate from Teachers College, Columbia University, Jan taught students with learning disabilities at the middle and high school levels, co-founded and served as educational director of a private school for dyslexic students, and worked as an educational evaluator and parent and family consultant at a developmental pediatrics center. Her current research interests include parents and families of children with disabilities, inclusive practices, disability and theatre, and disability studies in education (DSE). In addition to numerous academic articles and book chapters, Jan is the author of *What Mothers Say About Special Education: From the 1960s to the Present* (Palgrave, 2009), co-author with David Connor of *Rethinking Disability: A Disability Studies Approach to Inclusive Practices* (McGraw-Hill, 2011), and co-editor with David Connor and Chris Hale of *Practicing Disability Studies in Education: Acting Toward Social Change* (Peter Lang, 2014).





# EHTF Board of Directors Annual Meeting Minutes – March 30, 2017 from 12 - 1:34 PM EST



MEETING LOCATION: VIA ZOOM CONFERENCE SERVICES AND

OPTIONAL CT ONSITE LOCATION @ Q-TRAN (155 HILL STREET, MILFORD, CT)

**EHTF BOARD MEMBERS PRESENT:** Gean Tremaine, Lauren Collins, Porter Collins, Cleighton DePetro, Palmer DePetro, WyndSOR DePetro, Whitney O’Brien, Janet Stanley, Mackenzie Stanley, Peter Stanley, Hunter Tremaine, John Tremaine, Page Tremaine, Sarah Tremaine, Tony Tremaine, and Emily Wick  
**STAFF PRESENT:** Michelle Knapik, Renie Besaw, Nicole Chevalier and Heather Pontonio  
**GUEST PRESENTERS:** David Grant and Dr. Jan Valle

Gean Tremaine (Board of Directors Chair) welcomed the group and Michelle reviewed the agenda.

### Administrative Matter

Peter Stanley made a motion to approve the EHTF BOD November 2016 Meeting Minutes and Emily Wick seconded the motion. The Board approved the motion unanimously.

### Governance

Michelle Knapik read the recommendation from the Governance Committee for three new Associate Directors: Cleighton DePetro, Mackenzie Stanley and Page Tremaine. Gean made a motion to approve the recommendation. Sarah Tremaine seconded the motion. The Board approved the motion unanimously. Then Michelle read the recommended 2017 slate of officers (Appendix A): Gean Tremaine– Chair, Michelle Knapik – President, WyndSOR DePetro – Secretary, Hunter Tremaine – Treasurer. Janet Stanley made a motion to approve the slate of officers and Emily seconded the motion. The Board approved the motion unanimously.

Sarah made a motion to waive the By-laws term limit [Section 4.3a(3)]for one year for Will O’Brien and Hunter Tremaine to remain as voting directors on the Board. Janet seconded the motion. The Board approved the motion unanimously. Then Gean made a motion to approve the full 2017 Board Roster (Appendix B), which includes the following changes: Lauren Collins and Janet Stanley becoming Branchheads; Porter Collins and Whitney Tremaine becoming Voting Directors; Woody Collins and Peter Stanley becoming Emeritus Directors. Emily seconded the motion. The Board approved the motion unanimously. Michelle reviewed the committee memberships (Appendix C). No formal board approval was necessary.

### Investment

Michelle reminded the Board the revised Investment Policy Statement had been unanimously approved by the Board via electronic vote prior to the meeting. She also provided information about the new team at Cambridge Associates that will serve EHTF. The goal is to build a strong partnership with this new team moving forward. The current EHTF Endowment level is \$81 Million as of February 28, 2017.

### Budget

Renie Besaw prompted a vote for the discretionary grant amounts for each branch, Associate Directors and Emeritus Directors (Appendix D). Tony Tremaine made a motion to approve the 2017

discretionary distribution amounts. Janet seconded the motion. The Board approved the motion unanimously.

### **Program Strategy**

Michelle introduced the program strategy section. Emily (LD Committee Chair) provided an update about the LD program including the movement of the *Understood* initiative toward Review and Iteration on the Program Strategy Map. She also mentioned the Committee was looking at new opportunities in the LD field including support to the *Moonshot Moment* in Vero Beach, Florida and the teacher training work in Philadelphia. Palmer DePetro (Environment Committee Chair) provided the update on the *Sustainable CT* program and showed the proposed logos for the initiative as well as explained the program had moved from Program Development toward Resource Mobilization on the Program Strategy Map. Then Lauren (Art Committee Chair) provided an update on the Art Program and multiple shifts on the Program Strategy Map with a specific focus on development of the *Artist Thrive* rubric. David Grant joined the meeting as guest speaker to share about the value of rubrics and the potential impact of the *Artist Thrive* rubric in the field.

### **Retreat**

Michelle provided an overview of the draft retreat agenda and underscored the focus of the retreat on G3 interpretation of founding vision and values. To support the focus, Michelle will distribute a survey prior to the retreat to obtain responses to some of the Big Questions around focus areas, in perpetuity, discretionary grant allocations and the role of Branches in the Foundation governance moving forward. Janet shared that the Family Engagement Committee also has the desire to use the retreat to begin engagement of G4's and discuss ideas around legacy of the Foundation.

### **Discretionary Grantee Speed Story**

Janet shared about her discretionary grant to support the Painting Toward Architecture research project of Robert Preece. Janet has committed \$10,000 in 2017 of her discretionary grant allocation to support his work. She will determine at the end of 2018 if she will renew her commitment for another year.

### **Family LD Mapping**

Dr. Jan Valle provided a brief overview of the interviews she completed with 14 family members as a part of the Family LD Mapping project. She will join the Board during the June Retreat to share the full map of LD in the family and highlight threads she has observed from her research.

### **National Forum on Family Philanthropy**

Michelle mentioned that there would be opportunities for a few Board members to attend the National Forum on Family Philanthropy in Washington DC in October. Board members need to let Michelle or Gean know if they are interested in attending.

### **Future Board Meeting**

The 2017 EHTF Board and Associates Retreat will be **June 23 – 25, 2017**. The 2017 fall Board meeting will be **November 4-5, 2017** in Providence, Rhode Island.

Before adjourning, Janet thanked Peter and Amanda Stanley for their service on the Board and wished a Happy Birthday to Cleighton DePetro.

The meeting adjourned at 1:34 pm.

# Retreat Recap



Tremaine Foundation

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## Retreat Recap Saturday, November 4, 2017

### The Family

The June 23-25, 2017 board retreat brought together family members across three generations. The family composition looked like this:

- 15 Board members
- 2 Emeritus members
- 3 G2s (non-board members or past board members)
- 6 G3s (Associates)
- 16 G4s (including four Junior Associates who are ages 8-15)



# Retreat Recap

## Big Vision & Values Conversations

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We built on our Strengths Finder profiles, revisited Cornerstones for the Future and engaged in conversation on the following vision and values questions:

1. Program Areas – reaffirm or revise?
2. Current structures – reaffirm or revise?
  - Branch representation
  - Discretionary grant formula & levels
  - In perpetuity or sunseting
  - Board meeting schedule/retreats
3. Mission Investing – explore/educate

The major outcome was a reaffirmation to operate in perpetuity for the foreseeable future, leaving the door open to revisit the issue as the G4s reach higher levels of potential engagement.

There was consensus on most of the current program areas, with Environment as the one area where more examination is underway. There was input on a broad range of subject matter interests, as well as ideas to further define a niche area of focus. And there was one idea to shift environment support to the impact investment space. The Environment Program section of the November board meeting is designed to take a next step in this exploration.

For discretionary grants, board meeting schedules and branch representation, there was consensus that more information was desired. The addendum to this memo includes the following articles, data points and supplementary materials:

- A spreadsheet to guide a discussion on the potential options for discretionary grants (the suggestions come from the NCFP article)
- A strawman for board meetings over the next five years
- Data on discretionary grants from Exponent Philanthropy
- An explanation of EHTF’s discretionary formula
- An article on discretionary grants from the National Center for Family Philanthropy (NCFP)

We held four optional input sessions to get additional reflections on these topics, as well as feedback on the additional data and proposed meeting schedule. A summary of the feedback will be shared and discussed during the November board meeting. This is an iterative conversation and with the exception of some board meeting planning over the next few years, there is no formal recommendation or need to take any ideas to a proposal or voting phase. It is all part of our best practice governance and learning related to the G2-G3 leadership transition.

**Potential options for board directed /discretionary grant allocations**

- National Center for Family Philanthropy core question: What are we trying to accomplish together? What are the tools that will help us do that?
- \* It may be discretionary grants or it might be something else
- \* It is good to revisit decisions from time to time to confirm whether they are serving the intended purpose
- \* Generational shifts present good times to review, assess, confirm or change policies

Potential structures/options ↓	OPTION 1 Total discretion to direct grants to qualifying nonprofits	OPTION 2 Grants are directed in alignment with the foundation's strategic program areas
<b>Discretionary formula per branch of family</b>	<i>This is the current EHTF position Branch head determines allocation among board members serving within a specific branch</i>	
<b>Discretionary grants per individual board member (flat figure)</b>		
<b>Discretionary grants per married couples (one or both members of the couple serve on the board)</b>		
<b>Matching grants in place of discretionary grants (cash &amp;/or voluntary match)</b>		
<b>Legacy grants</b>	<i>Current EHTF position = discretionary package for original branch heads when they reach emeritus status</i>	
<b>Honorariums</b>	<i>Current EHTF position = discretionary amount of \$15K as immediate past board chairs rotate off the board (included in emeritus package for G2s who served as board chair)</i>	
<b>Graduated discretionaries newer board members</b> (have a base year amount that is lower than founding directors and increase slightly over the service term)		
<b>Request for proposals -- process whereby board members select discretionary grantees from an eligible list of respondents</b>  (can be targeted to support innovation/unique opportunities) (members can pool their funds)		
<b>Next Gen option</b>  Discretionary grants as a pooled fund decided on by Next Gen family members in the board leadership pipeline		
<b>Next Gen Option</b>  Small, graduated discretionaries from first year of board eligibility (increases with each year of board service)		
<b>Staff discretionary grants</b>  (aligns with strategic program areas) (encourages innovation)		

**DRAFT - Strawman Board Meeting Structure**  
**Ideas on a hybrid model: in-person/virtual framework**  
**Purpose: higher board engagement / connection to program work**  
**See questions to consider at bottom of page**

**DRAFT Sketch of potential EHTF Board Meetings 2018 - 2022 (next five years)**

**2018**

Date	Location	Type	Additional Info
March This mtg is set	Vero Beach, FL	In Person BOD meeting (Friday afternoon - Sunday mid-day)	SITE VISIT - LD (Friday afternoon) - Moonshot Moment - literacy/teacher instruction that benefits the 1 in 5 - Annual spring meeting/elections
?? Additional call	Zoom Video	Virtual 1 hour call: program experience	Potential interview and Q&A with a grantee Held on a week day evening
November This mtg is set	NYC, NY	In Person BOD meeting (Friday afternoon - Sunday mid-day)	SPECIAL EVENT - ART (Friday afternoon) - EHTEA 20th Celebration/ Exhibitions on the Cusp - Fall meeting

**2019**

Date	Location	Type	Additional Info
March	New Haven, CT	In person BOD Mtg (Saturday morning to Sunday mid-day)	Annual spring Meeting/elections - potential new board chair
	<b>OR</b> somewhere with site visit potential	In Person BOD meeting (Friday afternoon - Saturday afternoon)	SITE VISIT? G3 Summit? Renaissance Speaker? (Friday afternoon) - Annual spring meeting/elections
?? Additional call	Zoom Video	Virtual call: program experience (1 hour)	Potential interview and Q&A with a grantee Held on a week day evening
November	Zoom Video	Virtual BOD mtg (1.5 hour call)	Fall Meeting Held on a weekend

**2020**

Date	Location	Type	Additional Info
January	Zoom Video	Virtual BOD Meeting (1.5 hour call)	Annual spring Meeting / Elections Held on a weekend
June	TBD	RETREAT (Friday evening to Sunday midday)	
November	Zoom Video	Virtual BOD mtg (1.5 hour call)	Fall Meeting Held on a weekend

**2021**

Date	Location	Type	Additional Info
March	New Haven, CT  OR somewhere with site visit potential	In person BOD Mtg (Saturday morning to Sunday mid-day) In Person BOD meeting (Friday afternoon - Saturday afternoon)	Annual Meeting/ Elections  SITE VISIT? G3 Summit? Renaissance Speaker? (Friday afternoon) - Spring meeting
??	Zoom video	Virtual call: program experience (1 hour)	Potential interview and Q&A with a grantee
November	Zoom Video	Virtual BOD mtg (2 hour call)	Fall Meeting

**2022**

Date	Location	Type	Additional Info
March	New Haven, CT  OR somewhere with site visit potential	In person BOD Mtg (Saturday morning to Sunday mid-day) In Person BOD meeting (Friday afternoon - Saturday afternoon)	Annual spring Meeting/elections - potential new board chair  SITE VISIT? G3 Summit? Renaissance Speaker? (Friday afternoon) - Annual spring meeting/elections
June	TBD	RETREAT (Friday evening to Sunday midday)	Do you want to go to a retreat schedule of every 2 years (or skip and go every 3 years)
November	Zoom Video	Virtual BOD mtg (1.5 hour call)	Fall Meeting Held on a weekend

**Questions to consider:**

- Do we continue with weekend board meetings?
- Do we continue to hold 1.5 day long board meetings?
- Do we keep March and Nov as the board meeting months?
- Do we rotate board meeting sites to coincide with field site visit opportunities?
- How best to integrate retreat years / frequency?
- Do we continue the custom of the outgoing board chair selecting the meeting site for their last meeting as chair?
- Do we integrate a G3 Summit / is it added-on to a board meeting or retreat?
- Do we integrate a "renaissance speaker" day-long event (possibly not entirely covered by EHTF - suggested by Woody)?
- Budget implications
- Other?

## GRANTMAKING

### Discretionary Grants

Fewer than half (43%) of foundations authorize board members and top staff to make discretionary grants, with family foundations more likely to authorize discretionary grants than non-family foundations. The maximum amount per year that board members and top administrators can commonly designate in discretionary grant dollars is \$10,000.

TABLE 1 Discretionary Grants, by Role

Role	Board Chair	Board Member(s) Other Than Chair	CEO/ED/Top Administrator
Authorized to make discretionary grants overall	43%	41%	37%
Family foundations	60	57	42
Non-family foundations	25	23	33
<b>Maximum per year</b>			
Average	\$34,231	\$21,932	\$28,151
Median	\$10,000	\$10,000	\$10,000
(n)	(173)	(166)	(153)

### Grantmaking Practices

Foundations actively engage in a range of grantmaking practices. Some engage in streamlining practices, including publishing their grant guidelines on a website (56%). More than half (60%) request a grant report all grantees

Current EHTF discretionary grant formula	2017 example of discretionary grant allocations																																								
<b>Total dollars allocated to discretionaries</b> (current target is approx 15% of budget)	\$540,000																																								
Subtract discretionary dollars going to emeritus, past board chair and Assoc Directors = <b>Adjusted Total</b>	minus \$80,000 adjusted total = \$460,000																																								
Take adjusted total and <b>divide by # of branches = branch figure</b> (currently 7 branches)	\$65,714.29																																								
Determine <b>Branch Cap Total</b>  Apply a ratio to the <b>branch figure</b> to determine the cap per branch  Tied to # of board members per branch if 1 BOD member in branch - ratio is .67 If 2 BOD members in branch - ratio is 1 If 3 BOD members in branch - ratio is 1.1 If 4 BOD members in branch - ratio is 1.2	<table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;"></th> <th style="border: none;">Ratio</th> <th style="border: none;">Branch Cap</th> </tr> <tr> <th style="border: none;">Branch Heads</th> <th colspan="2" style="border: none; text-align: center;">2017</th> </tr> </thead> <tbody> <tr><td>Tony</td><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td>Gean</td><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td>Janet</td><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td>Sarah</td><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td>Lauren</td><td style="text-align: center;">1</td><td style="text-align: right;">\$ 65,714</td></tr> <tr><td>Emily</td><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td>WyndSOR</td><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td></td><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>\$414,657</b></td></tr> </tbody> </table>		Ratio	Branch Cap	Branch Heads	2017		Tony	1.1	\$ 72,286	Gean	1.1	\$ 72,286	Janet	0.67	\$ 44,029	Sarah	0.67	\$ 44,029	Lauren	1	\$ 65,714	Emily	0.67	\$ 44,029	WyndSOR	1.1	\$ 72,286			<b>\$414,657</b>										
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Deduct the branch cap total from the adjusted total to <b>determine the remainder</b>	\$460,000-\$414,657 = \$45,343																																								
Take remainder and divide by # of voting board members to <b>determine the "reflow" amount</b>	14 voting directors in 2017 \$45,343/14 = \$3,238.78																																								
Multiply # of board members per branch by the reflow figure to <b>determine the add-on per branch</b>  if 1 BOD member in branch - add-on is \$3,239 If 2 BOD members in branch - add-on is \$6,478 If 3 BOD members in branch - add-on is \$9,716 If 4 BOD members in branch - add-on is \$12,956	<table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;">Branch Heads</th> <th style="border: none;">Reflows (x) # Voting Dir's</th> </tr> </thead> <tbody> <tr><td>Tony</td><td style="text-align: right;">\$ 9,716</td></tr> <tr><td>Gean</td><td style="text-align: right;">\$ 9,716</td></tr> <tr><td>Janet</td><td style="text-align: right;">\$ 3,239</td></tr> <tr><td>Sarah</td><td style="text-align: right;">\$ 3,239</td></tr> <tr><td>Lauren</td><td style="text-align: right;">\$ 6,478</td></tr> <tr><td>Emily</td><td style="text-align: right;">\$ 3,239</td></tr> <tr><td>WyndSOR</td><td style="text-align: right;">\$ 9,716</td></tr> <tr><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>45,343</b></td></tr> </tbody> </table>	Branch Heads	Reflows (x) # Voting Dir's	Tony	\$ 9,716	Gean	\$ 9,716	Janet	\$ 3,239	Sarah	\$ 3,239	Lauren	\$ 6,478	Emily	\$ 3,239	WyndSOR	\$ 9,716		<b>45,343</b>																						
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Complete add-ons per branch and round #s to <b>determine final allocation per branch</b>  Branch head then determines how much each person in their branch may direct in discretionary grants	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: none; width: 30%;"></td> <td style="border: none; text-align: center; width: 10%;"><b>+</b></td> <td style="border: none; width: 30%;"></td> <td style="border: none; text-align: center; width: 10%;"><b>=</b></td> <td style="border: none; width: 19%;"></td> </tr> <tr> <td style="border: none;"> <table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;">Ratio</th> <th style="border: none;">Branch Cap</th> </tr> <tr> <th style="border: none;"></th> <th style="border: none;">2017</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">1</td><td style="text-align: right;">\$ 65,714</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>\$414,657</b></td></tr> </tbody> </table> </td> <td style="border: none;"></td> <td style="border: none;"></td> <td style="border: none;"> <table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;">Reflows (x) # Voting Dir's</th> </tr> </thead> <tbody> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 6,478</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>45,343</b></td></tr> </tbody> </table> </td> <td style="border: none;"></td> </tr> </table>		<b>+</b>		<b>=</b>		<table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;">Ratio</th> <th style="border: none;">Branch Cap</th> </tr> <tr> <th style="border: none;"></th> <th style="border: none;">2017</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">1</td><td style="text-align: right;">\$ 65,714</td></tr> <tr><td style="text-align: center;">0.67</td><td style="text-align: right;">\$ 44,029</td></tr> <tr><td style="text-align: center;">1.1</td><td style="text-align: right;">\$ 72,286</td></tr> <tr><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>\$414,657</b></td></tr> </tbody> </table>	Ratio	Branch Cap		2017	1.1	\$ 72,286	1.1	\$ 72,286	0.67	\$ 44,029	0.67	\$ 44,029	1	\$ 65,714	0.67	\$ 44,029	1.1	\$ 72,286		<b>\$414,657</b>			<table border="1" style="border-collapse: collapse; width: 100%;"> <thead> <tr> <th style="border: none;">Reflows (x) # Voting Dir's</th> </tr> </thead> <tbody> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 6,478</td></tr> <tr><td style="text-align: right;">\$ 3,239</td></tr> <tr><td style="text-align: right;">\$ 9,716</td></tr> <tr><td></td><td style="text-align: right; border-top: 1px dashed black;"><b>45,343</b></td></tr> </tbody> </table>	Reflows (x) # Voting Dir's	\$ 9,716	\$ 9,716	\$ 3,239	\$ 3,239	\$ 6,478	\$ 3,239	\$ 9,716		<b>45,343</b>	
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Tony, Will, Whitney	\$82,000
Gean, John, Hunter	\$82,000
Janet	\$47,250
Sarah	\$47,250
Lauren, Porter	\$72,250
Emily	\$47,250
WyndSOR, Marilyn, Palmer	\$82,000
Emeritus: Woody	\$35,000
Past Chair: Amanda	\$15,000
Assoc Dir: Cleighton	\$10,000
Assoc Dir: Page	\$10,000
Assoc Dir: Mackenzie	\$10,000
<b>TOTAL</b>	<b>\$540,000</b>

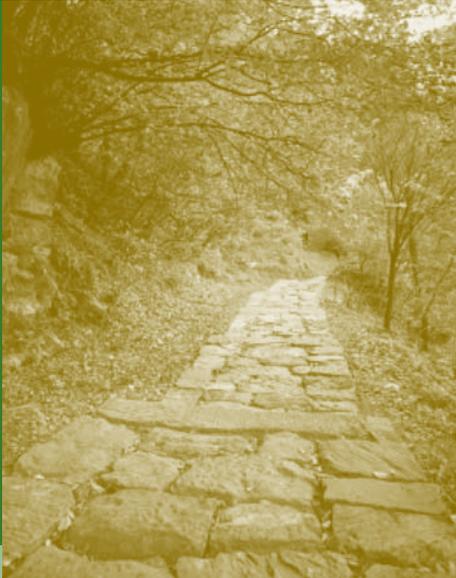
# Discretionary Grants: Engaging Family... or Pandora's Box?

By Susan Crites Price

PASSAGES

EXPLORING KEY ISSUES IN FAMILY GIVING

VOL 11.6



*If you asked at a gathering of family foundation folks whether using discretionary grants is a good idea, you'd never reach consensus. Many family foundations don't use them. Those that do have widely varied policies governing how much money is available, who is eligible to make the grants, and whether the grants must be within the foundation's mission and guidelines.*

A decade ago, the National Center for Family Philanthropy wrote a *Passages* issue paper to examine family foundation practices around discretionary grants. For this *Passages*, we revisit the subject to see if trends in the use of these grants are changing. Anecdotally, we know that some foundations cut back on their discretionary grantmaking budgets when the economy weakened. Others have begun using them as a way to engage a new generation of board members. But what else is new with discretionary grants? It's time for a fresh look.

## WHAT'S THE ISSUE?

Typically, a discretionary grant program allows designated individuals to direct a gift from the foundation to a chosen nonprofit organization with the full board

approving the grant by consent. These grants differ from core program grants in that they typically do not go through the same level of review and may not even have to meet the foundation's mission or guidelines. Usually the individuals are board members and sometimes the CEO, but some foundations extend the privilege to others.

Proponents say that discretionary grants are useful tools to:

- Keep family members engaged in the foundation's work when they no longer live in the community it serves
- Keep board members' personal passions from taking up time on the board's grantmaking agenda
- Help trustees with wide ideological differences get along better and keep



their focus on the core grantmaking on which they can agree

- Train future trustees in the grantmaking process
- Allow a quick turnaround to respond in times of natural disasters or other emergencies

Critics say that allowing individuals to designate grants:

- Turns the foundation's assets into several personal piggybanks instead of encouraging collective and strategic grantmaking
- Prevents the board from focusing on shared goals
- Leads to less scrutiny for effectiveness and impact than other grants receive
- Confuses grantees if the grants are outside of the foundation's mission
- Can open the foundation to legal difficulties around self-dealing if not handled carefully
- May reduce the amount available for mission-related grantmaking over time as families expand and more people want to participate

This is just a partial list of the pros and cons. As with any things related to family foundations, whether discretionary grants add to or subtract from the foundation's work depends on the individuals, the family, and the situation. What's right for some isn't right for others.

Alice Buhl, senior consultant to Lansberg, Gersick and Associates and senior fellow at the National Center, has worked with countless family foundations. She recommends discretionary grants for some family foundations and not others. "Discretionary grants can be a really good safety valve. They can help families stick to their focus," by allowing individual board members' interests to be handled another way. "But they should be modest," stresses Buhl. "If

*As with most things related to family foundations, whether discretionary grants add to or subtract from the foundation's work depends on the individuals, the family, and the situation.*

they take up a big piece of the budget, then you are not focusing your resources on what you said you wanted to be doing—grantmaking together as a family."

For National Center President Ginny Esposito, the question goes back to good governance and a clear understanding of the family's shared goals and values. "Don't start the conversation with whether you want to have discretionary grants or not. Instead, ask 'what are we trying to accomplish together? What are the tools that will help us do that?' It might be discretionary grants or it might be something else."

For example, Esposito thinks discretionary grants can work well when "they keep the family's eye on the shared grantmaking" by providing an outlet for various individual interests of board members who disagree on certain shared funding areas. They can also be used creatively "by families trying to stay on the cutting edge. There could be a percentage of the grantmaking allocated to innovative issues," with individual family members bringing ideas to the table through their own knowledge of their communities.

But sometimes discretionary grants designed for one purpose are used inappropriately, says Esposito. "Discretionary grant policies can lead to a sense of entitlement. I hate it when I hear 'my share' because it means that the notion of stewardship of a public trust has shifted to one of ownership."

One place where Esposito thinks a lot of families go wrong is when they strive for family fairness. “Fairness is an elusive if not unachievable goal,” she advises. For example, foundations that apportion discretionary grants by branch can inadvertently find themselves in serious disagreements about having spouses as board members, because it means a married couple would then have twice as much discretionary grant money available as an unmarried member. “The question of whether to let spouses on the board is a governance question. What do discretionary grants have to do with it?” Esposito says. “They should be asking ‘What does the foundation need?’”

## **ROUGHLY HALF OF FOUNDATIONS USE DISCRETIONARY GRANTS**

In the 1990s, the number of foundations using discretionary grants grew significantly. The Council on Foundation’s membership survey of 1998 found that 42 percent of their family foundation member respondents allowed discretionary grants, up from 32 percent in 1992. By 2004, the percentage had grown again, to nearly 54 percent. Now it appears that growth trend has peaked. In COF’s most recent survey (the 2010 edition) conducted in conjunction with the Foundation Center, the percentage had dropped to 46 percent. This drop, however, may be temporary. Some foundations

### **Why One Foundation Eliminated Discretionary Grants in Favor of Matching Grants**

At the time Carrie Avery, president of the Durfee Foundation in Los Angeles, and her brother joined the foundation’s board, they were in their 20s. Family board members had been allocated \$20,000 per member annually in discretionary grants money. After seeing the process in action, Avery convinced the family to eliminate the grants.

“I was 26 years old and new to the board. I disagreed with my grandfather [the founder] over a \$3,000 discretionary grant to an organization whose mission I disagreed with fundamentally. We had very divergent political views, and this grant brought them to the surface.” The discussion went on for so long without resolution that the board decided not to make the grant. “And we eventually decided that discretionary grants weren’t a good use of our board’s time or our foundation resources,” Avery recalls. “There was so much that our board agreed about; that’s why we developed a mission statement. Why spend our time talking about off-mission organizations that we could not agree on?”

At the time, Avery and her brother “were both in grad school and didn’t have any personal philanthropic resources,” she says, so the elimination of the grants affected them the most. “But what’s the purpose of the foundation? It’s not to execute the trustees’ personal giving.” Instead of discretionary grants, the foundation now encourages personal philanthropy through a matching gifts program providing up to \$1,000 a year for trustees and staff. The match can also be earned for volunteer hours to a nonprofit.

Now, years later, she says her opposition to discretionary grants has grown stronger. “They create confusion in the nonprofit world about the foundation’s mission and grantmaking. Nonprofits have difficulty distinguishing between mission-driven and discretionary grants when they look at a foundation’s grantmaking history to determine if they are a good fit. Also, it troubles me if there is a tacit deal between trustees to ‘vote for my discretionary grant and I’ll vote for yours,’ and the grants aren’t examined with the same rigor as the mission-driven grants,” Avery says. “If that happens, trustees aren’t acting as the fiduciaries they should be.”

suspended their discretionary grants programs due to the recession which took a toll on foundation endowments and grantmaking budgets. The 2010 COF survey data also showed the median grant for family foundation board members was \$15,000 and the mean was almost \$30,000. The range was very wide: \$1,500 to \$191,700. The high end grants are likely made by donors who often retain more discretionary grant authority.

The Association of Small Foundation's 2006-2007 membership survey found that about one third of their respondents allowed some discretionary grants. In the 2010 survey (published in 2011), that number had grown to 43 percent. Although ASF's numbers aren't broken down by type of

foundation, 55 percent of respondents to the survey were family foundations, which typically use discretionary grants more than other foundation types. The ASF survey also showed that discretionary grant dollars awarded were typically \$13,500 on average for board chairs and \$10,000 for board members and CEOs. (Note: in some small foundations, the board chair is the donor.)

### WHAT WE LEARNED FROM NCFP'S ONLINE SURVEY

In the fall of 2011, the National Center conducted an online survey and series of phone interviews to learn more from family foundations that use discretionary grants. We found that there are as many

#### Why One Family Switched from "Con" to "Pro" on Discretionary Grants

Over time, the Russell Family Foundation in Gig Harbor, Washington, has reversed its views on discretionary grants. When the foundation was endowed in 1999, the board decided not to use discretionary grants "because the foundation was created so the family could work together in consensus around their common causes," explains Chief Executive Officer Richard Woo. "They didn't want to be an organization that just divvies up the money according to individual interests." When the family brought on their first non-family board member in 2002, however, they decided to allocate \$25,000 annually for discretionary grants to recognize the independent director's time and devotion to the family's philanthropic work. "The most outside board members we've had at any one time is three, so it was \$75,000 all together," Woo says, representing a small percentage of their annual philanthropic budget of \$6 to \$8 million.

The reversal came in 2010 when the board decided family trustees should have the same opportunity to make discretionary grants as the non-family board members. The board now totals eight: five family members and three non-family.

"The change was very successful and educational," Woo says. "It engages the board members as they share their grants with each other and their rationale for choosing them. It also offers hands-on grantmaking experience for the board, since it isn't staff driven." As CEO, Woo retains the ultimate authority to approve each grant.

Why the change? "One reason the family was reluctant to expand the use of discretionary grants in the early years was a concern that people might disagree over which grants furthered the foundation's goals," Woo explains. "Now they have a greater ability to hold the harder conversations and are also comfortable surrendering these to an independent authority—me. While there's the potential for conflict, there's also greater understanding of each other as they explore their passions and differences. I take it as a sign of maturity in board governance for both family and non-family directors." Woo does not have discretionary grants himself, but like the rest of the staff, does have access to up to \$5,000 a year in matching grants for his personal charitable donations. In addition, each employee can direct up to \$1,000 in grants from the foundation to community nonprofits where they serve as volunteers or on the board.

approaches to using them as there are foundations. Who can make these grants, the amounts, and the grantmaking process varies widely. Here is a summary of what we learned:

- Typically, discretionary grants are made by board members. Sometimes they are restricted to the board chair, and sometimes they are made available to the foundation’s executive director.
- Some family foundations elect to extend the discretionary grantmaking privilege to selected family members not currently on the board or to emeritus board members. Occasionally, spouses of current board or family members are also included.
- Some foundations make discretionary grants available to next generation family members as a way to engage and prepare them for eventual service on the board (see page 10).
- Sometimes, only non-family members of the board are allowed to discretionary make grants, as a means of thanking them for their service to the family. But others limit discretionary grants to the family members on the board, excluding non-family trustees from the program.
- One respondent said that only “family board members who live outside the community where the giving is focused” can designate grants.

Discretionary grants are sometimes used to recognize special service to the foundation. The Dyson Foundation in Millbrook, New York, provided a \$5,000 discretionary grant to honor a staff member who retired. Some allow the grants to mark staff service anniversaries such as five or 10 years. Other foundations provide a small discretionary grant as a thank you to someone who volunteers their services to the foundation, such as a speaker or grant reviewer.

The amounts each individual has for discretionary grantmaking not only varies from one

*While discretionary grants have the potential for conflict, they also may result in greater mutual understanding among board members as they explore their passions and differences.*

foundation to another but sometimes within one foundation. For example, board chairs—especially when they are the donors—sometimes have a larger allocation than the rest of the board members or may be the only ones who can use discretionary grants. It’s also common for there to be generational differences, with the first generation getting the largest amount, whether still on the board or not. These are sometimes referred to as legacy grants.

For example, a foundation in Georgia has three legacy trustees plus three next generation trustees and two non-family trustees. The legacy trustees can direct \$25,000 a year in discretionary grants. Next generation trustees get \$10,000 a year during their first term of service, with a budget increase of \$2,500 with each subsequent term of service, to reward seniority.

### **SCRUTINY IN THE DISCRETIONARY GRANTMAKING PROCESS**

Some people object to discretionary grants because recipient organizations may not be evaluated as closely as the rest of the foundation’s grantees. This reflects the related concern that discretionary grants may be more prone to violation of self-dealing rules unless proper precautions are put in place.

Even though discretionary grants typically don’t go through the foundation’s regular review process, the full board is still legally responsible for approving all discretionary grants made by individual trustees. Therefore, a written policy on discretionary grants that is well understood by all trustees is crucial (see pages 12–13 for an example).

Sometimes the initial approval of such grants is delegated to one trustee, such as the board chair, or a trusted staff member, so that the grant can be made and ratified later by consent at the full board's next meeting. **The person entrusted with this responsibility must make sure the designated nonprofit is a 501(c)3 organization and that there is no self-dealing associated with the grant.** This means that the individual designating the grant can't receive any personal benefit from it. For example, a discretionary grant can't cover an individual trustee's donation to his alma mater, because that is intended to reflect a gift from the individual rather than the foundation. (Note: this rule also applies to matching grants, as discussed below.) Also, if a discretionary grant is going to a foreign charity, the foundation must

follow standard procedures regarding expenditure responsibilities to ensure the gift will be approved for charitable purposes.

Conflict of interest questions sometimes arise when foundations consider discretionary grants. Every foundation should have a written conflict of interest policy, regardless of whether it has a discretionary grants program. Board members should disclose any nonprofits with which they are affiliated. The fact that a foundation board member also serves as a volunteer of a nonprofit does not preclude a grant being made to that nonprofit. But there should be full disclosure. Many foundations require board members to complete conflict of interest disclosure forms annually. (Sample policies and forms can be found in the National Center's Family Philanthropy Online Knowledge Center.)

**BOARD REVIEW PROCESS FOR TYPICAL GRANTS**

Proposal Origin	Staff/Committee Review	Approval for Board Discussion	Full Board Discussion	Decision
<ul style="list-style-type: none"> <li>Grantees (<i>unsolicited proposals</i>)</li> <li>Request for Proposals (<i>solicited proposals</i>)</li> <li>Individual Trustees</li> <li>Staff Research</li> </ul>	<ul style="list-style-type: none"> <li>Guidelines review to ensure grantee is eligible</li> <li>Content/program review to ensure grant is of interest to board</li> <li>Legal review to ensures grantee is a 501(C)3</li> </ul>	Yes	Yes	Grant is approved or declined based on decision fo the board
		No	No	Grant is declined

**BOARD REVIEW PROCESS FOR A DISCRETIONARY GRANT**

Proposal Origin	Staff/Committee Review	Approval for Board Discussion	Full Board Discussion	Decision
Trustee or Staff Member	Legal review to ensures grantee is a 501(C)3	Typically None	Typically None	Board ratifies grant (may be at a later date)

Source: Jason Born, "Discretionary Grants: Encouraging Participation... or Dividing Families?" *Passages*, Washington, DC: National Center for Family Philanthropy, 2001.

Legal issues aside, some people question whether discretionary grants should bypass the foundation's regular grant making process. On one hand, there are those who feel that the grants are usually small relative to the overall grants budget and that trusted individuals should be allowed to designate whatever nonprofits they judge worthy. Others have taken a more proscribed approach, requiring that discretionary grants stay within the foundation's mission and guidelines, that the nonprofit must submit additional information beyond their IRS determination letter, and that the individual designating the grant must make a site visit and write up a report recommending the grant. Some foundations even require that nonprofits receiving discretionary grants submit final reports, just as any "normal" grantee might be asked to do.

### **SHOULD DISCRETIONARY GRANTS HAVE TO FIT THE FOUNDATION'S MISSION AND GUIDELINES?**

Opinion is divided on the question of whether discretionary grants should have to follow a foundation's mission and guidelines. "In general, I think they should," suggests NCFP Senior Fellow Alice Buhl. "But if the mission is really narrow, it's better to let individuals go outside it." Mary Phillips, president of GMA Foundations in Boston, serves as an advisor to the Samuel P. Pardoe Foundation. Among other things, she manages the family's grantmaking which used to fund many initiatives but is now focused exclusively in New Hampshire and primarily on operating an environmental education center on donated family land in a rural part of the state. This narrower focus led to the creation of a small discretionary grants program for the five family members who serve on the board of the \$10 million foundation. "The grants don't have to be within the mission," Phillips explains. "That would negate the reason to set it up in the first place." She added that "sometimes a proposal that comes in through the regular grant making

*Conflict of interest questions sometimes arise when foundations consider discretionary grants. Every foundation should have a written conflict of interest policy, regardless of whether it has a discretionary grants program.*

process and is voted down will catch the interest of a family member who will then give through a discretionary grant."

Tina Fanucchi-Frontado, president of SB Philanthropy in Santa Barbara, is helping a donor family set up a new foundation that will begin grantmaking in spring 2012. "One big issue was discretionary grant funding and whether they could be for anything or should be more restrictive," Fanucchi-Frontado explains. The family has decided that board members will each have \$30,000 in discretionary funds, and that the grants can be given outside the foundation's focus areas, but must follow the foundation's giving guidelines. In addition, with the privilege of making the grants come some responsibilities. "There is a check list they must go through," Fanucchi-Frontado says. "They have to meet with the nonprofit's CEO, have a concrete understanding of the organization, give a report to the rest of the board, and seek their approval before the grant is made. They'll also have to work with the nonprofit to fulfill their final reporting requirement. It will be almost as much work as a regular grant."

Phil Henderson, president of the Surdna Foundation in New York City, says his board sees value in providing a small budget for discretionary grants. "The discretionary grants are directed to non-profits whose mission is important to

### Seeking the “Unique and Innovative” through Discretionary Grants

When some CEOs join a family foundation, they try to wean the trustees off of what is often a long standing practice started by the donors to designate grants to their favorite charities in amounts that eat up a large chunk of the grants budget. Greg Cantori took the opposite approach when he was hired by the Marion I. and Henry J. Knott Foundation in Baltimore 11 years ago. He worked with the board to create a discretionary grants program where there had not been one before. “I saw it as a way we could make some small grants that are unique and innovative,” Cantori explains.

The Knott board has 28 trustees, half lineal descendants and half spouses. Each member may designate up to \$2,500 annually. Cantori has \$20,000 at his disposal. Grants must be at least \$500. Here’s where the Knott program differs from the typical discretionary grants program:

Board members don’t necessarily have to initiate them, and the process is very transparent. The foundation seeks proposals by publicizing its discretionary grants on its website. Grantseekers are invited to submit proposals which must fit the foundation’s grant guidelines, including geographic and program restrictions.

The requests are put on a list that Cantori and staff circulates to the board members each month to see if any of them want to designate one for a grant. “We usually have a dozen or less,” he reports. Board members can pick from the list or propose their own grants, but all must fit the guidelines. Sometimes a proposal on the list will pique the interest of more than one board member, so they will pool their grant allocation.

“Sometimes these are the most amazing grants we’ve ever made,” Cantori says, often for small projects the trustees would never have known about otherwise. And the small grants make a big difference. After the tragic death of a young

Baltimore boy from an untreated tooth infection because his family couldn’t afford dental care, the Knotts gave \$2,500 to an advocacy group to make a short but moving DVD for Maryland legislators about the need for services. The DVD was credited with helping pass universal dental care legislation.

Knott said the program gives trustees the chance to take risks and not just succumb to the “proximity effect,” that is, funding nonprofits they know well or might be more personally beneficial. “We tend towards caring about those things that are closest to us,” Cantori explains. Through the Knott Foundation’s discretionary grants program, trustees have an opportunity to give to things they have no connection to, or first-hand knowledge of.

The foundation’s discretionary grants program also allows for much more flexibility than the foundation’s three grant cycles a year. The board can address emergency needs. One grant helped a small nonprofit replace computers that were stolen. Unfortunately, the new computers were stolen, too. So a new \$2,500 grant covered installation of a security system. “We probably should have made that grant the first time,” Cantori laughs.

Board members and Cantori each have to submit write-ups on each discretionary grant request they make. Although the full board approves discretionary grants retroactively, no check is cut until the three grant committee chairs review the grant for compliance. If a grant is rejected by the committee chair, it can be appealed to the board’s executive committee. Recipients are required to submit a brief final report as to the outcome of the grant.

Cantori along with his staff, is now exploring a next generation board for the family’s youth, with funds for their grantmaking coming from their parents’ discretionary grants.

[See page 13 for the Knott Foundation’s discretionary grants policy.]

them personally but which may or may not fit within the focus areas of the foundation's regular grantmaking." He notes that selected grants have stimulated board member collaboration. "I've seen some bartering, combining their grants for one person's chosen organization one year and then doing the same for another person's choice the next." Surdna's board members each get \$40,000 a year in a total grantmaking budget of about \$35 million.

### THE IMPACT OF THE TOUGH ECONOMY

The stock market crash of 2008 made a big dent in foundation assets while simultaneously creating increased demands on many nonprofits. That led some families to look at discretionary grants as a place to cut back in order to maintain as much money as possible for regular grantees.

The General Service Foundation in Aspen, Colorado, had for many years offered discretionary grants to their trustees but in very small amounts, according to Executive Director Lani Shaw. "The family had always encouraged board members to do their own personal giving outside of the foundation, and agreed that the foundation should emphasize broader collective grantmaking outside of personal interests."

The \$60 million foundation has 13 trustees including four non-family members. Until 2009, every family member got \$10,000 in discretionary grant money as did Shaw. But after the stock market crashed, the board decided that only the four non-family board members should have the grants, Shaw explains. One unexpected outcome of the move was the reaction of grantees. "They told our program officers they appreciated the sacrifice the family made for the benefit of their grantees."

That policy is still in place, although Shaw acknowledges that some board members would like to see a return to discretionary grants for all trustees. "Board members are not compensated for their service, so they really do appreciate the

chance to enhance their individual giving in this way." Shaw also points out that the discussions that flowed from individual discretionary grants helped the fourth generation build relationships with each other "because they could get a better sense of what issues their cousins were interested in." Now the board benefits from learning about the grants made by the non-family trustees. "They bring us interesting projects that are complementary to our mission but often expand into a different strategy or constituency."

#### Determining the Amount of Discretionary Grants

The plunge in the value of endowments caused some foundations to reconsider the way their discretionary grants policies were structured financially. Usually, a policy specifies either a total dollar amount or a percentage of the annual grants budget. It's more common for foundations to give each board member a set amount that doesn't change. For example, if the policy allows each board member \$10,000 a year and there are five board members, then it will always be \$50,000, unless the board expands. But if the market tumbles, that dollar amount represents a bigger percentage of the total grant making budget than in the past, right at the time that core grantees are in even greater need of support.

If instead the policy bases the grants on a percentage of the total annual budget and then the market surges, more dollars are going out through discretionary grants than the foundation may have originally intended. Regardless of which approach you use, dollars or a percentage, it's wise to review your policy as part of your annual budget setting, to make sure the amount you are allocating to discretionary grants is in line with what the board intends for these grants to accomplish.

*It's wise to review your discretionary grants policy as part of your annual budget setting, to make sure the amount you are allocating to discretionary grants is in line with what the board intends for these grants to accomplish.*

The Pardoe Foundation's five board members had been getting \$10,000 but decided to cut that in half in 2009, according to their advisor, Mary Phillips. "Some directors waived it entirely." Since then, the amount has gradually returned to pre-2009 levels.

The drop in the value of endowments has led some foundations to consider setting their discretionary grants program allocations at a percentage of the annual grants budget rather than a set dollar figure.

### **AVOIDING CONFUSION FOR GRANTEES**

One significant problem with discretionary grants is that nonprofits can get confused about what the foundation funds, particularly if discretionary grants are allowed to be made outside of the foundation's mission and guidelines. One way to avoid that is to be as transparent as possible about the process. For example, the Dyson Foundation posts their policies about discretionary grants prominently on their website along with a listing of past grants. Also, award letters make clear that the grant is outside Dyson's normal funding process and is only being made at the request of an individual board member.

Executive Vice President Diana Gurieva said that the foundation likes the program "because it helps our board members not bring their own agendas to the table. Here they are approving grants of \$15 to \$17 million a year, and their favorite charity might not fit the guidelines."

Here's how the Dyson Foundation website describes the discretionary grants program:

*'This program area allows Foundation directors and officers to recommend a certain amount of grant funding to eligible nonprofit organizations that they select. While these grants may not reflect the foundation's overall funding priorities, they do reflect the diversity and creativity of the Foundation's directors. [Recent Directors' discretionary grants can be seen here.](#) Recommendations for funding in this area are, in all cases, initiated by the foundation directors and officers. Uninvited proposals or inquiries will not be considered.'*

### **DISCRETIONARY GRANTS AS A NEXT GENERATION TRAINING TOOL**

Foundations often use discretionary grants to train the younger generation about grantmaking. One respondent to the National Center's survey said discretionary grants "are used to build collaboration among 3rd generation members who are in training to become eligible for board service."

Ginny Esposito, president of the National Center, says that such grants let young family members "learn to work together and learn how a foundation makes grants." She adds that discretionary grants are just one tool. "I encourage families to open their children up to the entire process, such as the investment process and other financial discussions, so they don't think that the foundation is only about making grants."

Foundations have also used discretionary grants as a retention tool for younger board members. One respondent in the National Center's survey said the amount of grant money the third (youngest) generation board members are allowed to designate increases with time served on the board, "starting with \$1,500 and increasing to \$5,000 and \$10,000." This approach may be in response to the desire of the younger family members to, as one National Center survey respondent put it, "realize their own philanthropic interests—as distinct from that of their parents'."

### **Staff-Only Discretionary Grants Produce Numerous Benefits**

At the Harry and Jeanette Weinberg Foundation in Baltimore, Maryland, it's not only the board that has the opportunity to recommend discretionary grants, but also each of the employees. On an annual basis, each staff member who has been with the foundation for at least a year has the privilege of recommending one \$10,000 grant for a nonprofit that meets the foundation's mission. Foundation President Rachel Monroe sees so many benefits to the program that she has encouraged other foundations to consider it for their organizations.

"It's a powerful change in thinking about the foundation's work," says Monroe. "We have extraordinarily smart people on our staff who might work on only one aspect of the grant making process, and are not involved in the broader process, including determining which grants are ultimately approved by the board." With the staff discretionary grants, everyone—from the receptionist to a program assistant to a program director and the foundation's IT professional—gets deeply engaged in a process that mirrors Weinberg's regular grantmaking process. They have to research the nonprofits, meet the leadership, go on site visits, seek external opinions from people who know the organizations, and then make their case in writing for how the organization fits with Weinberg's mission and guidelines, and why they are recommending it for a grant.

It's a lot of work, so employees get time off to do their research and site visits, which usually adds up to a day or day and a half. Monroe then reviews the grants and recommends them to the board for approval. Then comes the best part. Every summer, the foundation hosts a large celebratory luncheon where the employees reveal the organizations they picked and hand out the checks to the nonprofits' representatives in front of a ballroom full of community leaders. At the July 2011 luncheon, for example, 15 employees gave \$150,000 to local nonprofits providing services to disadvantaged and vulnerable individuals and families.

"Every year it's so emotionally powerful that I worry that the next year won't be as good, but then I'm never disappointed the next time," Monroe says. She recalls, for example, the young woman who gave her grant to a homeless shelter for women and children. The staff member explained that the organization had strong leadership and was having a big impact. "But that's not the only reason I'm making the grant," the young woman explained. "I'm making it because I was born there. I've experienced the cycles of giving and receiving," and she was so grateful the foundation let her be on the giving end. This woman is an extraordinary professional and person and the foundation is proud to have her on the professional team. Another employee gave a grant to the House of Ruth—this employee was a client of the organization in years past. And yet another employee gave a grant to the local Hospice in memory of the husband of a former Weinberg employee who had been compassionately cared for at the end of his life.

With an annual grantmaking budget of approximately \$100 million, the employee discretionary grants are a marginal amount of the overall grant budget. Yet, according to Monroe, they yield big dividends for the organization. The program builds teamwork, increases commitment to the foundation's mission, and helps with staff retention and morale. The staff even improve their public speaking skills through the luncheon presentations. "I can't think of anything more effective," Monroe concludes.

Even foundations with only a few staff can launch such a program. Monroe is happy to share the materials she developed to help her staff understand the program and prepare their grant proposals. She also recommends "packaging the award so it has special meaning" and can be applied differently for each foundation. For example, at a smaller foundation, one staff member could simply take 10 minutes at a board meeting to present a grant. Contact Monroe at [rmonroe@hjweinberg.org](mailto:rmonroe@hjweinberg.org) for more information.

## MATCHING GRANTS PROGRAMS

Some foundations provide matching grants in addition to or instead of discretionary grants. The latest COF member survey indicated one-fourth of their family foundation members offer matching grants to individual board members.

“Traditionally, this has been mostly a corporate concept; matching grants in family philanthropy is more recent,” Esposito says. “It’s a way to encourage the personal philanthropy of individual family members.” These grants are especially popular with younger generation family members who may not have the financial resources of their parents or grandparents. Family foundations that provide a match for either a financial contribution or volunteer hours typically make this contribution accessible to everyone. Some foundations even make the match higher: two to one, for example, if they are dealing with young family members with little money. Encouraging individual philanthropy and starting at younger ages answers one of Esposito’s concerns that “too many kids whose families have foundations have the impression that philanthropy is about giving away someone else’s money.”

The Howard Dobbs Foundation, for example, has a matching grants program for family members up to 18 years old for both volunteering and fundraising for the nonprofits of their choosing.

Some extend the matching opportunity to staff, which can be a much appreciated benefit and may help with staff retention. The Dyson Foundation staff members get to award up to \$1,000 annually in matching grants a year, and during the foundation’s 50th anniversary year, that amount was upped to \$5,000. The Meadows Foundation in Dallas doesn’t use discretionary grants but does provide matching grants of up to \$20,000 annually for all staff as well as board members. “We do it to encourage philanthropy in our own ranks,” says Meadows Foundation President Linda Evans. “All of the foundation’s matching grants are anonymous and confidential,” Evans adds, “and they can’t be used to fulfill someone’s pledge. No benefit can accrue from it.”

*Matching grants are especially popular with younger generation family members who may not have the financial resources of their parents or grandparents.*

The Knott Foundation has a matching grants program, allowing each board member and each of Cantori’s three staff members a one-to-one match up to \$5,000 annually. “Nearly everyone maxes it out,” he says.

## WHAT TO PUT IN A DISCRETIONARY GRANTS POLICY

Any discretionary grant program should be covered by a written policy that is understood by all participating individuals. At a minimum, it should specify:

- How much money individuals may designate annually (either a dollar figure or a percentage of the total grantmaking budget)
- Who is eligible for the program (options include the family board members, non-family board members, board chair only, executive director, staff, etc.)
- Types of organizations that are eligible and whether the grant must fit the foundation’s mission and/or guidelines
- Any requirements of the individual designating the grant, e.g. submitting a written proposal
- Requirements of the grantee, including submission of a 501(c)3 determination letter and whether a final report is required
- Grant approval process, e.g. the executive director reviews the grant for compliance with policy and the full board approves retroactively at their next board meeting.

See the following page for an example of a policy provided by the Knott Foundation.

## CONCLUSION

Roughly half of family foundations use discretionary grants. Among other things, supporters suggest that discretionary grants help with geographic diversity, next generation training, and keeping the board's agendas free of personal passions. Critics counter that discretionary grants take them off mission, don't get the same scrutiny as core grants and confuse grantees, to name a few.

Whether they are a useful tool for an individual foundation depends on the considerations highlighted in this *Passages*. From our research on

discretionary grants, it's clear that changing circumstances have led many foundations to review their earlier decisions. One factor that is leading to reconsideration—aside from the economic climate—is the addition of the next generation to boards. New voices inevitably bring new perspectives on how the foundation can be most effective, including the value of discretionary grants, either pro and con. Remember that no decision is set in stone, and every policy deserves review from time to time to make sure it is contributing to the effectiveness of the foundation's philanthropy.

### DISCRETIONARY GRANTS POLICY OF THE MARION I. & HENRY J. KNOTT FOUNDATION

1. All Trustees have the option to annually designate up to \$2,500 of their individually allocated \$5,000 grant funds as discretionary grants of not less than \$500 per grant.
2. The Executive Director may annually designate up to \$20,000 in discretionary grant funds of not less than \$500 and no more than \$10,000 per grant.
3. Discretionary grants must be for organizations and institutions that fully meet the guidelines of the Marion I. & Henry J. Knott Foundation.  
For example, the discretionary grant may not pertain to scholarships, individuals, annual giving, pro-choice causes, public education, politically-oriented activities, or fulfilling a pledge.\*
4. Trustees and the Executive Director must prepare an abbreviated grant profile for each discretionary grant they submit. It is the responsibility of each Trustee and the Executive Director to provide adequate proof of the qualifications of the non-profit (board of directors list, (501-c-3) status, an audit or IRS form 990) including the purpose and rationale for the grant.
5. All Trustee discretionary grants must be received by November 15th.
6. Discretionary grant profiles are reviewed by the

Grant Committee chairs and must be unanimously approved. Discretionary grants will be paid to the organization within 14 days from the date of approval. If a discretionary grant is denied by a Grant Committee chair, that denial may be appealed to the Executive Committee. A unanimous denial by the Grant Committee chairs may not be appealed to the Executive Committee.

7. No personal benefit or recognition should accrue to a Trustee or the Executive Director through the distribution of discretionary grants. (Membership dues, fees, tickets or other benefits to any disqualified person.). No grants may be awarded to organizations where the recommending Trustee or Executive Director has a financial or contractual relationship.
8. This policy shall be reviewed each year prior to the Annual meeting in December.

*\* Basic Rule: Under existing law, the IRS has taken the position that using charitable funds to satisfy legally binding personal pledges of an individual results in an impermissible benefit to that individual. A legally binding pledge is a personal debt and if a disqualified person (Trustee or staff) makes such a pledge, it's an act of self-dealing for a foundation to pay that debt.*

*A legally binding personal pledge is a sufficiently clear promise to pay that can be enforced in state court. If a charity can demonstrate that it has reasonably relied on the promised funds, the courts are likely to enforce the pledge.*

**Additional Resources:**

The following additional resources, along with a variety of sample discretionary grants policies, are accessible through the Family Philanthropy Online Knowledge Center, available to NCFP Friends and Subscribers at [www.ncfp.org](http://www.ncfp.org):

- “Discretionary Grants: Encouraging Participation... or Dividing Families?” by Jason C. Born,

*Passages*, Washington, DC: National Center for Family Philanthropy, 2001.

- “Discretionary Grants: Engaging Family... or Pandora’s Box?” featuring Susan C. Price, Karie Brown, and Greg Kozmetzsky, Family Philanthropy Teleconference Series, Washington, DC: National Center for Family Philanthropy, December 8th, 2011.

**The Author:**

**Susan Crites Price** is the author or co-author of six books including *The Giving Family: Raising Our Children To Help Others* (Council on Foundations, 2001, revised 2003), and her articles have appeared in such newspapers and magazines as *The Washington Post* and *Working Mother*. She also has authored two family foundation histories. A frequent speaker on philanthropy issues, she is a former vice president of the National Center for Family Philanthropy and the former managing director of family foundation services at the Council on Foundations.

**Jason C. Born, Editor**

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## Programmatic Highlights November 2017

### FOR REVIEW

- ✦ Environment Program Strategy Update
- ✦ Environment Program Grant Highlights
- ✦ Environment Program Grantmaking Budget

### ADDENDUM

- ✦ Sustainable CT Overview

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#### BUDGET:

*\*see full budget for details*

2017	\$710,000
Committed	\$507,500
2018	\$777,000
Committed	\$40,000

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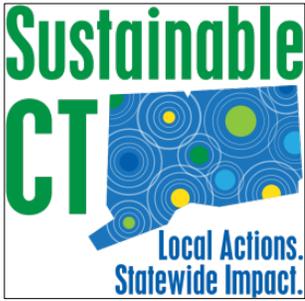
#### STRATEGY & TARGETS:

**Phase 1:** Use Connecticut as a learning lab to seed community-scale energy and sustainability innovations that are (or can be) connected to platforms or networks that support broader shared learning and scaling of the applied innovation.

**Phase 2:** Expand investment in phase 1 successes, lessons learned and networked community models to other geographic areas where conditions are ripe for change.

## Program Direction

After phasing out state and federal policy initiatives around climate change and energy efficiency (2015), we transitioned *to supporting innovative actions that accelerate sustainability and resiliency at a district, municipal and community levels.*



Over the past two years, EHTF has been a primary thought and action partner in launching **Sustainable CT**. We are using a collective impact model, with the **Institute for Sustainable Energy (ISE)** at

**Eastern Connecticut State University** as the backbone organization for Sustainable CT.

As you know, Sustainable CT has the backing of the **Connecticut Conference of Municipalities (CCM)**. Other partners include utilities, businesses, state officials, environmental, grassroots and cultural leaders.

Sustainable CT provides a roadmap for communities to achieve success in multiple areas:

TRANSPORTATION
PHYSICAL INFRASTRUCTURE & OPERATIONS
PUBLIC SERVICES
PLANNING
LAND AND NATURAL RESOURCES
LOCAL ECONOMIES
HOUSING
CULTURAL ECOSYSTEMS

These categories encompass the wide variety of interests identified by EHTF family members during the retreat, including land conservation, local food systems, renewable energy, natural resource protection, waste reduction, material reuse, reducing

toxins, and arts as part of economic and community vitality.

Our CT funder collaborative of EHTF, **Common Sense Fund and Hampshire Foundation** remains strong – each foundation is expected to increase funding in 2018. In addition, Connecticut Community Foundations are interested in providing support to help communities accomplish these actions. A great example is the Community Foundation of Eastern CT invited grant to support a **Land Art Generator Initiative** in Willimantic CT. This will be an energy generating public artwork such as a sculpture with embedded solar panels or an interactive swing set that captures energy to power lights in the town square.

This “ground-up” community process of Sustainable CT also presents opportunities to address multiple issues at the same time. Imagine a transportation corridor that integrates green infrastructure and permeable paving to capture stormwater and reduce heat island effects.

The tagline reflects the buy-in for this statewide initiative: **Local Actions, Statewide Impact created by towns, for towns**. And it is flexible, so towns can craft their own pathway to certification, depending upon the local assets, local experts, local volunteer priorities, and local visions of a thriving community whether it be based in resilient responses to coastal flooding, stronger local food systems, renewable energy, open space or related issues.

The full public launch of *Sustainable CT* is on schedule for November 28<sup>th</sup>. The public stakeholder process has included more than 200 people from diverse sectors who have volunteered ~2000 hours to develop the specific actions for this program over the past 18 months. In addition, Sustainable CT is now registered as a 501c3 nonprofit and the inaugural board should be in place by the public launch in November.

ICON KEY:



Info



Vote



Budget Implications



Discussion



Strategic Thoughts

# Program Assessment Framework

## Environment Program

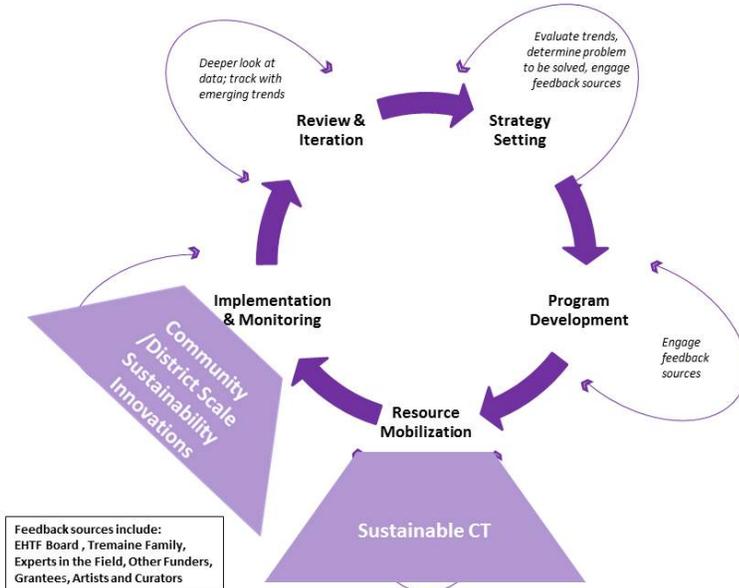
-  Sustainable CT
-  District Scale Sustainability Innovations

	 Off Course	 Needs Improvement	 Proficient	 Accomplished	 Exemplary/ Forges new ground
PROGRAM CONNECTION TO MISSION			 		
PROGRAM STRATEGY ASSESSMENT			 		
CONNECTING BOARD/COMMITTEE MEMBERS TO PROGRAMS			 		
FIELD BUILDING EFFORTS					
CONNECTION TO OTHER FUNDERS/ OTHER SECTORS					
SHARING OUR LEARNING / MOVING AUDIENCES / STRATEGIC COMMUNICATIONS			 		

The Committee plans to use the tool as a way to assess grants moving forward. The Committee is also working on ways to improve “connection to board members,” including inviting CT residents to join sustainability teams in their towns as efforts get rolling in 2018. “Connection to other funders and other sectors” is also a priority for 2018.

## Program Strategy Map

### PROGRAM STRATEGY MAP



The Environment Committee’s **Program Strategy Map** (pictured left) continues to orient us to the current phase of strategy development within the Environment Program. The two key elements shown are: **Sustainable CT** and **Community/District Scale Sustainability Innovations**.

With the official launch on November 28th, **Sustainable CT** has moved from *Program Development* to *Resource Mobilization*.

In addition, the Community/District Scale Sustainability Innovations work has been used to inform the development of Sustainable CT and has moved to the Implementation &

Monitoring phase with our two remaining grants in this area.

## Sustainable CT Grants - Core



**Institute for Sustainable Energy (ISE)** at Eastern CT State University| Connecticut

*Current grant ends:* December 31, 2017 (Renewal likely)

*Investment in organization:* \$63k from 2006 -2009; \$215k from 2015 - current

ISE is the lead entity and backbone organization to advance Sustainable CT. Through seed funding from EHTF, CommonSense Fund and Hampshire Foundation, ISE is serving as the stakeholder convener, technical assistance provider and verification arm for the program. Key government, nonprofit, academic and business leaders are on board, and EHTF staff is networking with other funders to build out ISE's capacity.

## Sustainable CT Grants - Complementary



**Acadia Center** | Rockport, Maine

*Current grant ends:* October 31, 2017

*Investment in organization:* \$1.85 Million since 2002

The Acadia Center continues to be a critical organization for energy and climate action in Connecticut. Their new initiative, Community|EnergyVision (CEV) connects policy work to actions at the community level. We continue to see great synergies between Acadia Center's policy prowess and [Sustainable CT](#). Acadia's work also connects to the district scale work of Stamford 2030 (also a grantee).



**American Sustainable Business Council** | Washington D.C.

*Current grant ends:* August 31, 2018

*Investment in organization:* \$200k since 2015

ASBC is building a presence in the state to educate and engage Connecticut business leaders to advocate for a sustainable economy in Connecticut. After formally launching the [CT Sustainable Business Council](#) (CTSBC) last fall, they have been building a network of companies with interest and experience in corporate sustainability practices. Founding members include: UBS, Uber, the Connecticut Greenbank, Shipman & Goodwin LLP, EBP Supply Solutions, and MetroPool. In addition, the CT SBC worked to develop voluntary economic actions within *Sustainable CT*, using their national experience with economic actions for communities.



### **Clean Water Fund | Connecticut**

*Current grant ends: February 28, 2018*

*Investment in organization: \$284k since 2011*

Clean Water Fund has been providing local clean energy task forces and Connecticut municipal leaders with essential technical assistance to help them initiate and engage in clean energy projects in their towns. There are 68 towns (out of 169) in Connecticut with active clean energy task forces. These task forces have served as important stakeholders in the development of [Sustainable CT](#).



### **CT Roundtable on Climate & Jobs | Connecticut**

*Current grant ends: April 30, 2018*

*Investment in organization: \$55k since 2015*

The Roundtable is an innovative partnership between the CT AFL-CIO and the Interreligious Eco-Justice Network. The Roundtable's members engage with the state's labor force leaders to elevate the voice of labor in identifying, tracking and promoting labor benefits related to sustainability, climate, and energy resilience conversations across the state. They have been instrumental in informing and bringing community voices to the Governor's Council on Climate Change deliberations and have contributed to the development of [Sustainable CT](#).

### **Grassroots Grants | Connecticut**

*Current grant ends: January 31, 2018*

*Investment in organization: \$45k (\$15k to each organization)*

In July, the Environment Committee recognized the need to broaden the base of support from within communities to take action and maintain momentum for Sustainable CT through an equity lens. The Committee approved grants to three organizations ([Groundwork Bridgeport](#), [Minority Inclusion Project](#), [CT Community Organizing for Racial Equity](#)) to participate in the Sustainable CT development process that includes conducting a detailed review of the 70 proposed actions. The groups have been specifically focused on:

- Ensuring there are no unintended consequences of the proposed action on communities of color and under-served communities
- Suggest new ways for the point system to incentivize diversity, equity and inclusion
- Help build out Sustainable CT's outreach and leadership pipeline

## District Scale Grants

### **Stamford 2030 District** | Connecticut

*Current grant ends:* February 28, 2018

*Investment in initiative:* \$125k since 2015



This [private/public partnership](#) with the City of Stamford's Land Use Bureau and Economic Development Department aims to reduce energy and water usage, reduce transportation emissions, and increase the community's and local economy's resilience to storms and sea-level rise. The District's latest initiative (in development) is a *Stamford Climate Action Plan: Activating Community, Measuring Progress*. In partnership with the City of Stamford, the project will focus on uniting vulnerable residents around the common need to protect themselves and their families in the face of catastrophic climate and weather events. We believe there are multiple opportunities for aspects of the work in Stamford to be replicated through **Sustainable CT** (the District's Program Manager, Emily Young, serves on Sustainable CT's Advisory Committee), as well as through the **North America 2030 Districts network**. Key issues include the District's holistic view on storm and surge resiliency that goes beyond physical infrastructure to include community concerns such as connectivity among residents. *EHTF, in partnership with the City of Stamford, is pursuing a second round of matching funds for the initiative from the national Partners for Places fund. We should learn if it is approved in November.*

## Strategic Communications & Outreach

### **Center for Business and Environment at Yale** | Connecticut

*Grant ends:* December 31, 2017 (Renewal likely for final grant)

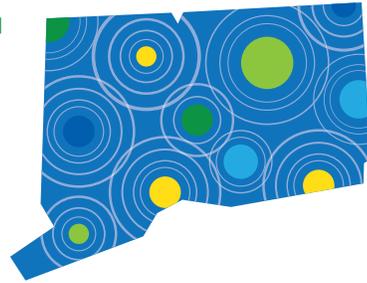
*Investment in organization:* \$430k (\$110k for 2007 – 2009; \$320k for 2013-2017)

The on-line newsletter, the [Clean Energy Finance Forum \(CEFF\)](#), now reaches more than 5000 subscribers per month. Articles produced by CEFF writers continue to be regularly featured on Bloomberg Energy News, Greenbiz and other major news outlets. Editors have commented they value the articles because of the high quality of the writing, professional editing and the focus on stories that have yet to be covered by traditional media sources. The reposting of content through other news sources increases the reach and distribution of the articles significantly and pushes more visitors to the CEFF site.

<b><u>Environment Grantmaking Budget</u></b>		<b>2017</b>	<b>*2018</b>	<b>*2019</b>
<b>Environment Program Budget</b>		<b>\$710,000</b>	<b>\$777,000</b>	<b>\$777,000</b>
<b>Committed (Bold)</b>		<b>\$709,036</b>	<b>\$40,000</b>	<b>\$0</b>
<b>Potential</b>		\$0	\$737,000	\$725,000
<b>Currently Unallocated</b>		\$964	\$0	\$52,000
<b><i>Exploratory District Scale</i></b>				
	Acadia Center	<b>\$50,000</b>	\$25,000	
	American Sustainable Business Council - CT (2016)	<b>\$40,000</b>		
	American Sustainable Business Council - CT (2017)	<b>\$40,000</b>	\$65,000	\$65,000
	Clean Water Fund	<b>\$45,000</b>	\$30,000	\$20,000
	Connecticut Chapter - The Nature Conservancy	<b>\$30,000</b>		
	Institute for Sustainable Energy @ ECSCU	<b>\$175,000</b>	\$250,000	\$300,000
	IREJN	<b>\$25,000</b>	\$20,000	\$0
	Stamford 2030	<b>\$100,000</b>	\$75,000	\$50,000
	Leverage Opportunities	\$0	\$85,000	\$137,000
	Sustianable CT Grassroots Engagement	<b>\$45,000</b>	\$50,000	
	Sustainable CT Initiative	\$0	\$50,000	\$125,000
<b><i>Strategic Communications</i></b>				
	Yale Center for Business and Environment	<b>\$80,000</b>	\$60,000	\$20,000
<b><i>Consultation</i></b>				
	Board Member Travel & Meeting Costs	\$0	\$1,000	\$1,000
	Funder Affinity Group Dues -CEFG/EGA/TFN/NFG	<b>\$12,250</b>	\$19,000	\$19,000
	Sustainable CT - Consulting (Tech Asstnc, Communication)	<b>\$40,786</b>	\$25,000	\$20,000
	State Sustainability Network Consulting	<b>\$26,000</b>	\$22,000	\$20,000
	<b>Currently Unallocated</b>	\$964	\$0	\$0
	<b>Environment Program Annual Total</b>	<b>\$710,000</b>	<b>\$777,000</b>	<b>\$777,000</b>
	<b>Base Total at 75%</b>	<b>\$532,500</b>	<b>\$582,750</b>	<b>\$582,750</b>

# Sustainable CT

Local Actions. Statewide Impact.



## Supporting Connecticut's Future

### What Is Sustainable CT?

[Sustainable CT](#) helps communities become more vibrant, connected, healthy, safe, resilient, efficient and livable. The statewide initiative created by towns, for towns is a complete support system that includes a detailed roadmap of **actions, resources, technical assistance, peer learning, and recognition**. With shared vision, practical tools, and collaborative spirit, we are building a thriving Connecticut for all residents, today and tomorrow—together.

Through Sustainable CT, towns activate and engage their human capital (residents, municipal employees, local businesses, etc.) in ways that reflect **local values** and priorities around **sustainability, resiliency, and civic engagement**. The sustainable community certification process also promotes **friendly competition and cooperation** among towns, while also **incentivizing regional actions** that can take impact to scale. And the platform represents an efficient and effective way for existing public and private dollars to be deployed in projects and programs that are primed for success. This tested model is part of a growing network of 13 states that have statewide sustainable community programs.

### Who Is Behind Sustainable CT?

Sustainable CT is led by the [Institute of Sustainable Energy](#) at Eastern Connecticut State University in collaboration with the [Connecticut Conference of Municipalities](#) (CCM) and the **Sustainable CT Advisory Committee** (composed of municipal leaders, state commissioners, nonprofits, businesses, and academia). Seed funders include the Emily Hall Tremain Foundation, Hampshire Foundation and Common Sense Fund.

### What's Coming Next?

The program has been in development for the past 18 months. This spring, diverse working groups that represent voices from **100% of Connecticut's 169 towns** are completing the **flexible** roadmap of **voluntary actions** that will help Connecticut municipalities be more sustainable.

**The formal launch of Sustainable CT will be at CCM's November 2017 annual convention.**

*"Sustainable CT will foster creative thinking and problem solving within and between municipalities. It will be the tool communities can use to bring together seemingly divergent stakeholders for the common goal of sustainability."*

*—Laura Francis, Vice Chair, Sustainable CT Advisory Committee; First Selectwoman, Durham*

### Tell Me More

TRANSPORTATION
PHYSICAL INFRASTRUCTURE & OPERATIONS
PUBLIC SERVICES
PLANNING
LAND AND NATURAL RESOURCES
LOCAL ECONOMIES
HOUSING
CULTURAL ECOSYSTEMS

Sustainable CT will grow over the years. The inaugural categories are designed to provide **multiple benefits** at local, regional and/or statewide levels (e.g., a transportation action that also solves for stormwater issues, or an agriculture action that also solves for a health issue).

The architects of these actions are roll-up-your-sleeves mayors, selectmen, municipal staff, nonprofit leaders, and directors of regional land use, economic development, transportation, housing, public works, and health organizations.

## Benefits

- Strengthens **civic infrastructure**
- Provides resources and support to help local communities **apply the actions that fit them best.**
- **Publicly recognizes** and certifies municipalities for their achievements in sustainability.
- Meets the needs of all Connecticut municipalities through **flexible design** and **voluntary participation.** Any Connecticut municipality can find ways to become more sustainable—urban or rural, big or small, coastal or inland.
- Highlights shared learning through informed **robust data collection** and dissemination



Sustainable CT prioritizes smart actions that increase sustainability while also saving money, promoting health, and increasing residents' connection and sense of place.



"Connecticut has a valued tradition of home rule. It is therefore up to them to ensure their own futures. Sustainable CT is providing them with the structure, ideas and assistance to achieve a future where all residents—present and future—and the community as a whole can have the fiscal, transportation, energy, housing, recreational and other key resources to prosper in the 21st century."

—David Fink, Consultant, Partnership for Strong Communities



"The benefits of Sustainable CT come from the shared values of community and statewide partnerships coming together to accomplish the goals of health, economic development, environment, and cost savings as they relate to our ecosystem."

—Ted Shafer, Chair, Sustainable CT Advisory Committee; First Selectman, Burlington

Contact us at: [sustainablect.org](http://sustainablect.org), (860) 465-0258

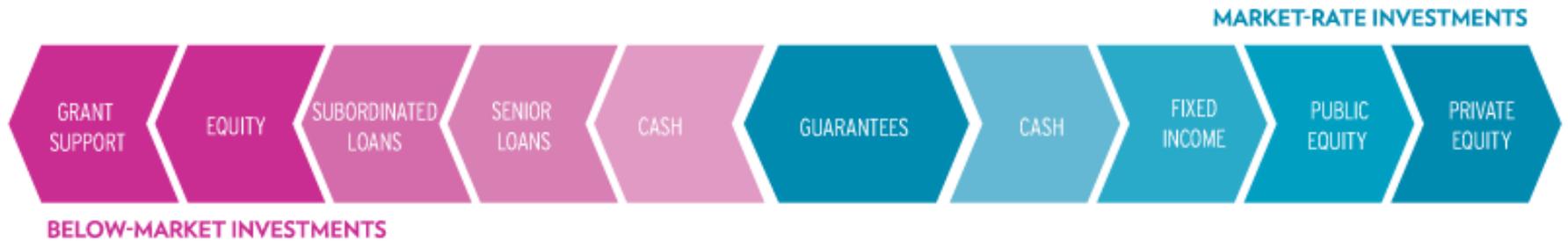
Twitter: @SustainableCT

Facebook: [www.facebook.com/sustainablect/](http://www.facebook.com/sustainablect/)



Net Impact

## IMPACT INVESTING ASSET CLASS/RETURN RATE SPECTRUM



Heron Foundation, adapted by GIIN

	Financial-only	Responsible	Sustainable		Impact		Impact-only
	Delivering competitive financial returns						
		Mitigating Environmental, Social and Governance (ESG) risks					
			Pursuing Environmental, Social and Governance opportunities				
				Focusing on measurable high-impact solutions			
Focus:	Limited or no regard for environmental, social or governance (ESG) practices	Mitigate risky ESG practices in order to protect value	Adopt progressive ESG practices that may enhance value	Address societal challenges that generate competitive financial returns for investors	Address societal challenges where returns are as yet unproven	Address societal challenges that require a below-market financial return for investors	Address societal challenges that cannot generate a financial return for investors
Examples:		<ul style="list-style-type: none"> <li>• PE firm integrating ESG risks into investment analysis</li> <li>• Ethically-screened investment fund</li> </ul>	<ul style="list-style-type: none"> <li>• "Best-in-class" SRI fund</li> <li>• Long-only public equity fund using deep integration of ESG to create additional value</li> </ul>	<ul style="list-style-type: none"> <li>• Publicly-listed fund dedicated to renewable energy projects (e.g. a wind farm)</li> <li>• Microfinance structured debt fund (e.g. loans to microfinance banks)</li> </ul>	<ul style="list-style-type: none"> <li>• Social Impact Bonds / Development Impact Bonds</li> </ul>	<ul style="list-style-type: none"> <li>• Fund providing quasi equity or unsecured debt to social enterprises or charities</li> </ul>	

“Spectrum of Capital”, Bridges Ventures, 2015

# Impact Investing

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## Public Investment Portfolios

- Positive Screens
- Negative Screens
- Shareholder Activism
- Equities and Bonds

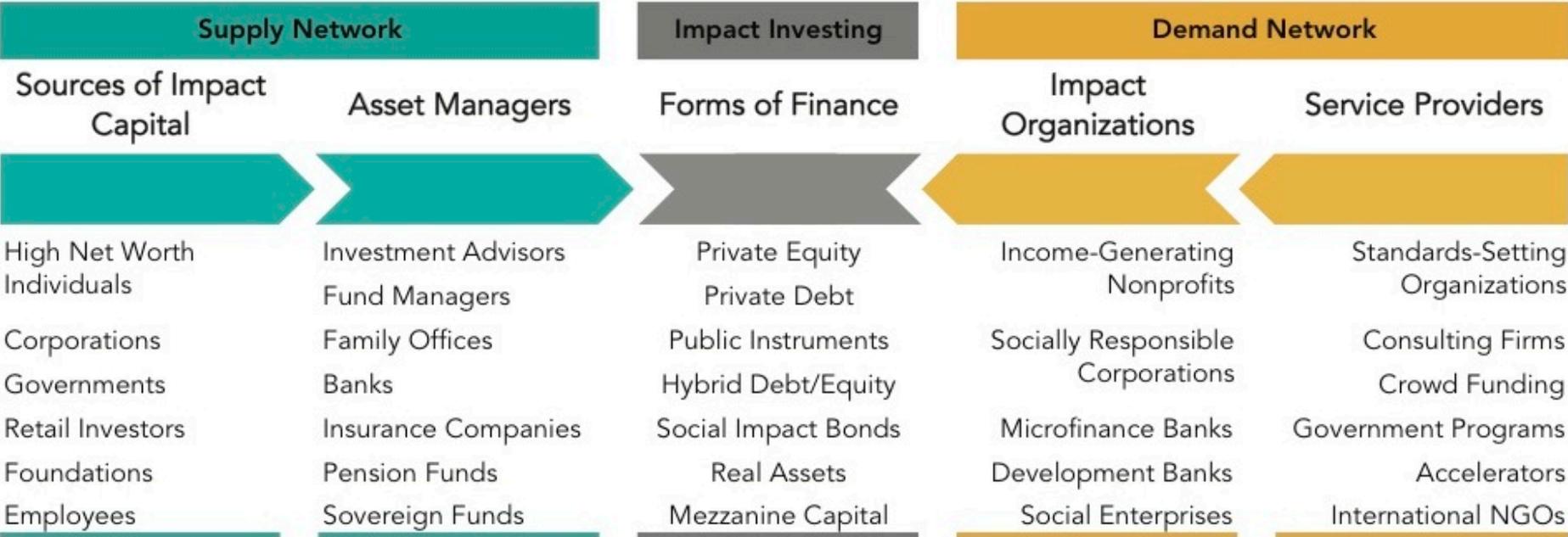
## Grants

- Academic centers
- Microfinance Organizations
- Community Development Financial Institutions
- Intermediaries

## Direct Investing

- Program-related Investing
- Mission-related investing
- Angel investment

# The Actors of the Impact Investing Industry



Source: Rockefeller Foundation and the UK's Social Impact Investment Taskforce



# Learning Differences Program

## Programmatic Highlights November 2017

### FOR REVIEW

- ✦ Learning Differences Program Strategy Update
- ✦ Learning Differences Grant Highlights
- ✦ Learning Differences Grantmaking Budget

### ADDENDUM

- ✦ Understood Common Message Overview

### BUDGET:

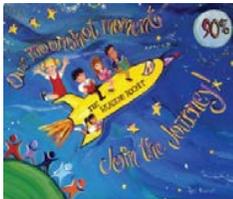
*\*see full budget for details*

2017	\$725,000
Committed	\$725,000
2018	\$802,000
Committed	\$ 25,000

### STRATEGY & TARGETS:

**For learners of all kinds to be recognized, supported and empowered to thrive, especially youth with dyslexia and related learning differences that are classified as learning disabilities.**

In addition to the continuing support for [Understood](#), our wrap-around efforts related to parents, youth and teachers have led us to several place-based initiatives where the 1 in 5 are thriving. The commitment to teacher training and instructional improvement in literacy within the Vero Beach and Philadelphia communities are bright spots nationwide.



[Moonshot Moment](#)

Key Organization:  
The Learning Alliance-  
Vero Beach, Florida

[Read by 4<sup>th</sup>](#)

Key Organization: Free  
Library of Philadelphia -  
Philadelphia,  
Pennsylvania



Both communities are a part of the [Campaign for Grade level Reading](#), a national network of more than 340 communities. The successes in the Vero Beach and Philadelphia are helping the Campaign to place a higher emphasis on our issues. We've also helped forge a stronger relationship between the Campaign and Understood, especially related to parent engagement efforts.

EHTF has also been a key partner with Understood in developing a shared communications frame. The central message is that ["1 in 5 kids has a learning or attention issue. Chances are you know someone with a learning and attention issue."](#) Please see the appendix to this memo for the complete communications tool kit.

This is the final year of the EHTF \$2.5 Million commitment to launching [Understood.org](#) (we have been giving approximately \$500K per year for the past five years). The LD Committee wants to maintain a significant level of support for the continued growth of Understood at half the launch investment (\$250,000 per year for the next two years).

A major factor in continuing support for Understood is their measured impact, which is shown, in part, below.

**We are increasing awareness of learning and attention issues**



**Parents whose children are struggling, but undiagnosed, are taking action...**



This funding shift will enable EHTF to remain a strong collaborative partner with Understood - and, at the same time, we will increase our grantmaking in the place based initiatives, which is where we see big transformations possible in terms of literacy instruction that supports the 1 in 5.

In this way, EHTF has a strong ground game to Understood's larger, national efforts. It will also help Understood go deeper on parent mobilization – and it will complement the new Understood for Educators initiative that is in development.

We see three key future areas for EHTF investments:

- Additional place-based models that can scale through national campaigns;
- Teacher professional development; and
- Innovations like student coaching that directly support self-agency for kids with LD.

Learning Differences

-  Understood
-  Parent Support/ Grassroots/ Community Bldng

	 Off Course	 Needs Improvement	 Proficient	 Accomplished	 Exemplary/ Forges new ground
PROGRAM CONNECTION TO MISSION					
PROGRAM STRATEGY ASSESSMENT			 		
CONNECTING BOARD/COMMITTEE MEMBERS TO PROGRAMS					
FIELD BUILDING EFFORTS					
CONNECTION TO OTHER FUNDERS/ OTHER SECTORS					
SHARING OUR LEARNING / MOVING AUDIENCES / STRATEGIC COMMUNICATIONS					

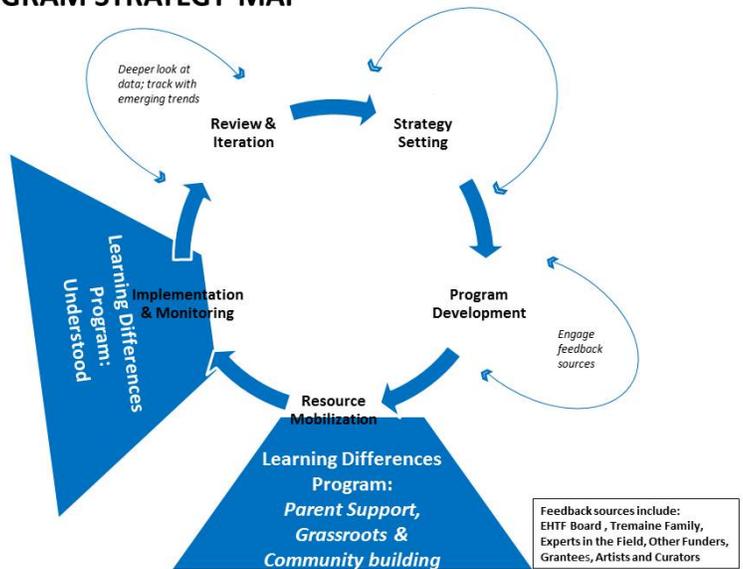
The LD Committee continues to use the **Program Assessment Framework** to prioritize next steps. For complementary grantmaking to Understood, we intend to increase our impact on “connecting board/committee to the LD program.” We will do this, in part, through the March 2018 site visit with The Learning Alliance in Vero Beach. In addition, our work in Philly is also improving our “connection to other funders.” New partners include the William Penn Foundation and Lincoln Financial Foundation.

Program Strategy Map

The **Program Strategy Map** is a complement to the **Program Assessment Framework** and helps to orient us to our current phase of strategy development, as well as the type of inputs that will shape the evolution of the strategy. Below is the current orientation of the following Learning Difference elements:

- \* **Understood** (which will be at the Implementation and monitoring phase for at least the next 3 – 5 years)
- \* **Parent Support & Community Building** (which is moving toward the implementation and monitoring phase)

PROGRAM STRATEGY MAP



*Click on logos to hyperlink to grantee websites*



### **READ! BY 4<sup>TH</sup> | Pennsylvania**

*Current grant ends: February 28, 2018*

*Investment in organization: \$20,000 since 2017*

The focus of this grant is to transform teacher prep at undergraduate and graduate levels based on current brain science and evidence-based ways to teach reading literacy. This pilot is focused on Temple and Arcadia Universities, and it is also influencing Drexel University and St. Joseph's University. All of these schools educate the majority of the teachers hired to work in the Philadelphia School District. With EHTF support, Temple and Arcadia are seeking to achieve International Dyslexia Association (IDA) Accreditation on reading literacy.

We believe that having new teachers entering the classroom with these skills will improve the outcomes for youth with learning and attention issues and support learner diversity at a broad scale that will get all youth to grade level reading.

To date, Arcadia has completed the accreditation process at the **graduate level for special education** and is waiting for final confirmation. Temple University is still undergoing the process and should be accredited during the 2018 Spring semester. Temple's process is much more involved because they are breaking ground in pursuing IDA's accreditation at the **undergraduate teacher training level**. If Temple's effort is successful, we believe there will be positive implications for undergraduate teacher training reform nationwide.



### **Eye to Eye | New York**

*Current grant ends: December 31, 2017*

*Investment in organization: \$777,000 since 2004*

Eye to Eye continues to lead in the area of mentoring in the learning differences field with 65 chapters in 20 states across the nation.

The Young Leaders Organizing Institute (OI) held in August was a great success, serving as a vital training ground for more than 150 student coordinators who manage the regional mentoring programs for youth around the country. In this way, the OI builds Eye to Eye's organizational infrastructure.

During the OI, [Eye to Eye launched a new app](#) that provides a personalized learning plan through a game interface. It is designed as a virtual peer mentoring platform. This is one way Eye to Eye may be able to scale their model. [\(The app is available on iTunes.\)](#)

Eye to Eye is also engaged in a strategic business and fundraising plan to dramatically increase their reach among students annually by 2020 (Direct Services: 1,350 -> 4,500; Broader Services: 16,000 -> 165,000). They are aiming to increase their budget from \$2.4 Million annually to \$5.78 Million by 2020 from new sources including foundations and corporations.



**Ramapo for Children | New York**

*Current grant ends: December 31, 2017*

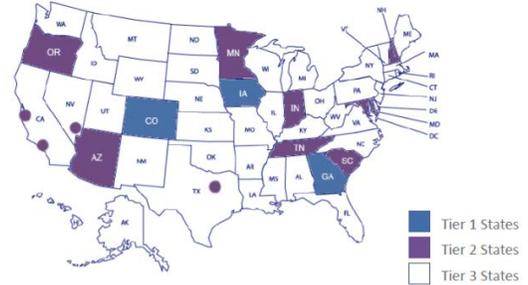
*Investment in organization: \$165,000k since 2013*

We continue to be impressed with the research and programming Ramapo delivers on social emotional issues and their ability to translate issues for the 1 in 5 kids with learning and attention issues. Over the past few years, we have been experimenting with ways that their programming can go beyond their classroom teacher training to help parents bridge school-to-home supports. The direct parent workshops proved ineffective at sustaining parent knowledge and practice. We are now supporting Ramapo in developing a curriculum for Parent Coordinators (positions funded by the NYC Board of Education and in other states around the country). Our hope is that this systems level investment will be more effective and replicable - and that it will better help parents improve youth supports from school to home related to the 1 in 5 with learning and attention issues.



Understood.org continues its impressive growth, including building-out its brand and its audiences, generating expert content, and developing new initiatives to take parent resources for the 1 in 5 kids with learning and attention issues beyond the online platform and into communities. Here are some updates:

- 26 Million+ visitors to the site since launch
- 2 Million visitors per month since launch
- Parent mobilization effort in 11 states and 4 cities/regions, including policy initiatives
- New and diverse partnerships are being developed
- A new Understood for Educators project is in early development



<u>Learning Disabilities Grantmaking Budget</u>		<u>2017</u>	<u>2018*</u>
<b>Learning Disabilities Program Budget</b>		<b>\$725,000</b>	<b>\$802,000</b>
<b>Committed (Bold)</b>		<b>\$400,000</b>	<b>\$25,000</b>
<b>Potential</b>		\$59,982	\$777,000
<b>Currently Unallocated</b>		\$265,018	\$0
<b><i>Understood: Parent Portal</i></b>		<b>\$250,000</b>	
	Poses Family Foundation	<b>\$250,000</b>	
	National Center for Learning Disabilities (NCLD)		\$250,000
<b>Empowering Advocates for Children with LD</b>			
	CAST		\$50,000
	CGLR LO- Learning Alliance - Projected Planning	<b>\$20,000</b>	\$65,000
	Streetwyze for the Learning Alliance	\$15,000	
	CGLR LO Read By 4th	<b>\$20,000</b>	\$50,000
	CGLR Learning Opportunity/ Place-Based		\$50,000
	Edge Foundation 2017	<b>\$25,000</b>	<b>\$25,000</b>
	Edge Foundation 2018		\$50,000
	Project Eye to Eye	<b>\$100,000</b>	\$110,000
	Ramapo for Children	<b>\$30,000</b>	
	NCLD - Social Justice		
	Additional LD Grants		\$140,000
<b><i>Consultation</i></b>			
	Board Member Travel & Meeting Costs	\$2,857	\$2,500
	Misc Consulting	\$12,125	\$9,500
<b>Currently Unallocated</b>		\$18	\$0
<b>Learning Disabilities Annual Total</b>		<b>\$725,000</b>	<b>\$802,000</b>
<b>Base Total at 75%</b>		<b>\$543,750</b>	<b>\$601,500</b>

\* Program Budget is a Planning Number

## Common Messages:

# Optimal message flow goes from facts to solutions





## Programmatic Highlights November 2017

### FOR REVIEW

- ▲ Art Program Strategy Update
- ▲ Art Program Grant Highlights
- ▲ Art Program Grantmaking Budget

### ADDENDUM

- ▲ Artists Thrive Summit Program Book

### **BUDGET:**

*\*see full budget for details*

2017	\$725,000
Committed	\$677,335
Uncommitted	\$47,665*

*\* Due to 4<sup>th</sup> quarter art events, the Art Committee has a short docket to approve in Nov.*

### **ART PROGRAM:**

[Support for Artist Careers](#) – we expand career opportunities for visual artists by increasing access to business development expertise, entrepreneurial skills, and related professional practice and career supports. We want the full spectrum of visual artists to thrive in the following ways: In traditional art settings; in integrating visual art and design benefits into the emerging economy; and in driving their careers in ever changing conditions.

[Support for Contemporary Art Curators](#) – we know that curators directly affect discourse in contemporary art, so in keeping with Emily Hall Tremaine’s desire to challenge critical thinking, we seek to support curators’ skill development, networking and learning, and overall field building efforts.

[Emily Hall Tremaine Exhibition Award](#) – this hallmark program offers curators the unique opportunity and creative freedom to research, redefine, and push new themes in contemporary art exhibitions.

## NEW PROGRAM ASSESSMENT FRAMEWORK

We continue to utilize the Program Assessment Framework to answer questions such as “what does success and impact look like,” and “what is our current performance level and how can we inform and set stretch goals together?”

Art Program		 EHTEA/Support for Curators  MEA/Support for Artists			
					
	Off Course	Needs Improvement	Proficient	Accomplished	Exemplary/ Forges new ground
PROGRAM CONNECTION TO MISSION					
PROGRAM STRATEGY ASSESSMENT			 		
CONNECTING BOARD/COMMITTEE MEMBERS TO PROGRAMS			 		
FIELD BUILDING EFFORTS					
CONNECTION TO OTHER FUNDERS/ OTHER SECTORS					
SHARING OUR LEARNING / MOVING AUDIENCES / STRATEGIC COMMUNICATIONS					

During the recent Art Committee meeting, committee members utilized the Assessment Framework to consider next phase strategy development related to the shift from MEA to **Artists Thrive**, and on potential shifts in the Exhibition Award/Support for Curators. As we launch Exhibitions of the Cusp (detailed in the next

section), we will seek to improve field building efforts and connection to other funders. In addition we aim to move the needle on moving audiences/strategic communications from “needs improvement” all the way to “forges new ground.” A key improvement area for Artists Thrive will be focused on “sharing our learning.”

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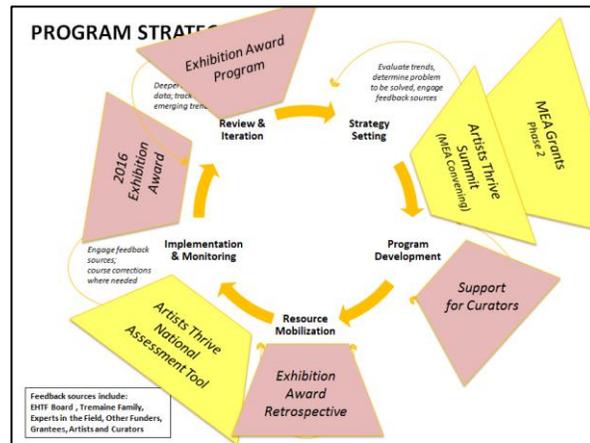
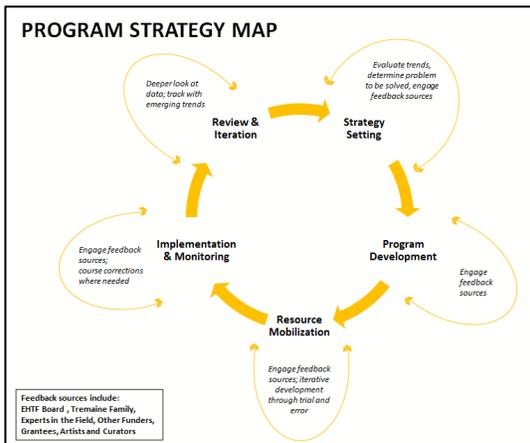


Strategic Thoughts

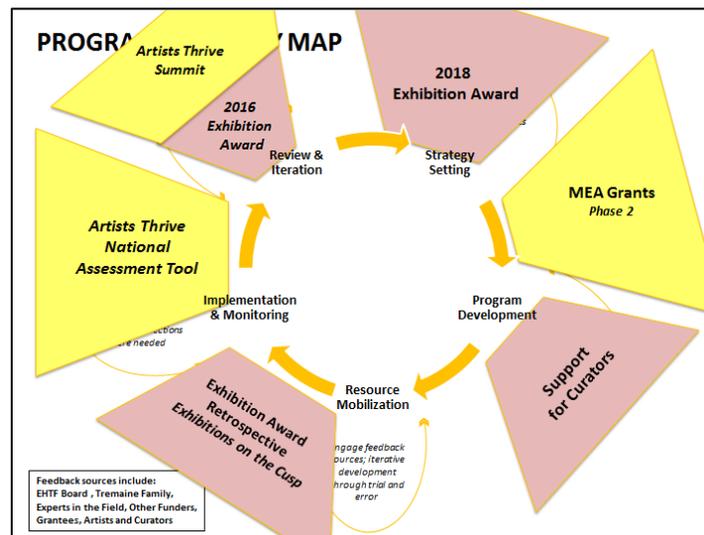
Recent work on many of the Art program initiatives is leading to shifts on the program strategy map.

- **The Exhibition Award Retrospective is being mobilized through the build-out of the online platform for Exhibitions on the Cusp.** This initiative will launch in November as a year-long monthly e-publication with thematic issues drawn from exhibitions award winners.
- The **Exhibition Award program** has been under review and is now in strategy setting mode. This process will be informed through multiple feedback loops tied into Exhibitions on the Cusp.
- The 2016 **Exhibition Award** winner, *Museum of Capitalism*, closed in late August after a successful 3-month run (travel opportunities are under review).
- **Artists Thrive is in now in full implementation mode and the inaugural Artists Thrive Summit** took place Sept. 6-9 in Berea, KY. We are now reviewing next steps related to the Summit.
- The **Artists Thrive** interactive website platform launched in time for the Summit. Nationally, this is the first interactive field-wide formative assessment tool that allows users to conduct self assessments and continuously add stories and resources that support the tool.

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## EXHIBITION AWARD RETROSPECTIVE – EXHIBITIONS ON THE CUSP

Since our last board meeting, the Art Committee and staff worked with consultants at Pitch Design Union to move from concept to development on a celebration, retrospective and exploration of what's next after the 20<sup>th</sup> year of the Exhibition Award. Through polling and feedback within the art community, *Exhibitions on the Cusp* was selected as the name of the initiative. The name plays on the EHT biography and it also highlights that the award is about curators, themes, and artists engaged in cutting edge contemporary art exhibitions.

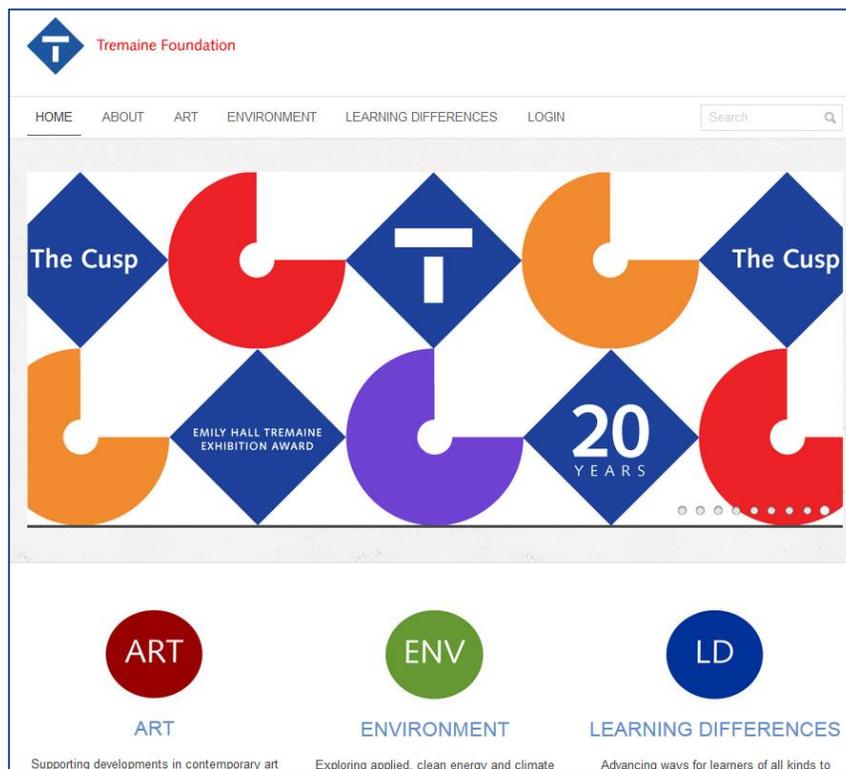
*Exhibitions on the Cusp* will be a monthly e-publication that uses select EHTEA archive material as the base of discussion "for the progressive advancement of the arts." Each issue will feature a different theme, and content will include essays,

interviews, and articles that are organized in three areas: Community, Curators, and Creators.

Audiences will be able to access *Exhibitions On The Cusp* in multiple ways, including via a link from the Foundation's homepage (mocked up below) and directly via the url: [www.exhibitionsonthecusp.com](http://www.exhibitionsonthecusp.com). The full site goes live in November. In the meantime, the site features a welcome teaser with the opportunity to sign-up to receive the monthly e-publication in your inbox.

The project site is an independent platform, and it will feature the Foundation's logo in various spots – similar to the way an exhibition credits the Foundation in its publication or webpage.

[www.tremainefoundation.org](http://www.tremainefoundation.org) homepage with added rotating banner.



The inaugural issue will introduce the publication and provide a primer on the Tremaine Foundation and the Exhibition Award. Ideas for the opening community, curator, and creator content areas include the following angles:

- Tempestt Hazel, a Chicago art writer, will discuss impact of the Award on **community** discourse.
- Harry Philbeck, the former curator at the Aldrich (1<sup>st</sup> recipient of Award), will be interviewed regarding the impact of the award on **curators**.

- Timothy Rodgers, Executive Director at the Wolfsonian and SMOCA during their openings, will address the impact of award **on institutions/creators**.

In addition to the thematic focus, visitors will also be able to navigate the site to learn about each exhibition award, search by each contributor, and interact through comments and social media.

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After the inaugural issue, thematic ideas for the remaining 11 months include the following topics:

- Behind the Curtain: Unique Exhibition Logistics
- Behind the Curtain: Curatorial Stories
- Site-specific Art
- Art Outside the Gallery
- Environment/Ecology
- Race/Identity
- Engaging the Viewer
- Art and Capitalism
- Art in the Information Age
- Art and Social Justice
- Democratization of Art

We recently hosted a curator and artists focus group in New York City to gain ideas and recommendations regarding themes, stories, and content. The input was affirming and

there is excitement about the project. Over the next few weeks we will be synthesizing the information and fine-tuning the direction of the themes based on the high quality input. We also believe the high caliber focus group may become “super users” of the site and overall influencers in helping their networks engage with *The Cusp*.

The project will culminate in November 2018 and the board will be included in the final event (in conjunction with the November 2018 Board meeting (Nov 9-11) ). We will also use 2018 to explore the potential for this project to be spun-off and continue beyond EHTF’s one-year commitment. There are already preliminary ideas regarding another entity to take over the site and the opportunity to create a Year-1 printed compilation of *Exhibitions on the Cusp*.

## 2018 EMILY HALL TREMAINE EXHIBITION AWARD

In September, the Art Committee met to discuss the 2018 cycle of Exhibition Award. The outcome is that the cycle will be suspended in 2018 as we focus on *Exhibitions on the Cusp*.

We know that the Award is well known, valued and respected in the contemporary art field – and we know it is valued by the Board as a signature initiative. *The Cusp* will celebrate the 20 year history and invite curators and related practitioners to submit field-wide feedback so we can better understand the needs of curators today.

In addition, we will do some exploratory and test grants on curatorial supports that are already on our radar screen.

The intention is to announce a refreshed Exhibition Award and/or additional opportunities to support contemporary art curators at the November 2018 culminating event in New York City.

## ARTISTS THRIVE UPDATE

**Artists Thrive** has launched as a field-wide success matrix / formative assessment tool. It currently includes two rubrics: 1) **Working with Artists** (targeted at arts professionals and cross sector work that includes work with artists); and 2) **Artists** (designed for individual artists).

The inaugural Summit took place September 6-9 in Berea, KY. The appendix to this memo provides you with the event program book. The event was attended by 150 thought leaders and we continue to receive highly positive feedback on the programming, experiential learning, peer networking, and inspiration to connect on ways to improve conditions for artists.

Here are some excerpts:

- *What a pleasure it was to be part of the Artists Thrive Summit last week. My brain is still processing the incredible information, conversations, and experiences I enjoyed as part of the gathering . . . As with any*

*great summit, I left with much more than I brought. I am indebted to you and your team for all you do.*

- *It was a fantastic opportunity to think about our support for artists within a framework, to meet and reconnect with others doing this work, and to learn about the practice and place of creative enterprise and art-making in Kentucky.*
- *I was really moved and inspired and learned so much!*
- *It was brilliant to have the conference in KY – it was so great to do a deep dive into a region/ state’s art scene. . . Very impactful and I really heard the urban folks impressed about what they learned about community networks from “small” towns. Really cool. On point in this era of political heartland alienation.*

The Summit immediately resulted in an invitation to hold two sessions on **Artists Thrive** at College Art Association’s national conference in Los Angeles (February 2018). In addition, we have received positive response from many higher education

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associations and professors. Based on this response, we are considering convening a 2018 working group to draft a complementary **Artists Thrive** rubric/success matrix for the higher education sector.

Another immediate next step is hosting an Artists Thrive funder dinner during the Grantmakers in the Arts conference (Oct. 29). These are funders who attended the Summit and who are excited to explore more opportunities, including the potential for a complementary **Artists Thrive** rubric/success matrix for funders.

The **Artists Thrive** website, designed by consultants [P'unk](#)

[Avenue](#), launched just before the **Artists Thrive** Summit. As we have shared, this is the first interactive, field wide, formative assessment tool in the nonprofit sector. Summit participants were impressed and their input is driving some exciting revisions.

As we are collecting the next round of public feedback on **Artists Thrive**, we invite all Board and family members to contribute their input via the website. We will also schedule an in-depth webinar for anyone who would like a detailed walk-through of the site and internal conversation regarding their reactions to and experience with the site.

## GRANTEE HIGHLIGHTS

*Click on logos to hyperlink to grantee websites*

### MARKETPLACE EMPOWERMENT FOR ARTISTS



#### **Americans for the Arts (AFTA) | Washington, DC**

*Current grant ends:* June 30, 2018 (renewal to be reviewed in 2018)

*Investment in organization:* \$50,000 since 2017

AFTA is creating its first Learning Lab focused on equitable and effective support of artists. The virtual curriculum is the first of its kind, providing education specific to the needs of arts administrators working with individual artists. Additionally, **AFTA is utilizing the Artists Thrive rubric as its foundation for the curriculum** and has just launched the pilot 30 administrators with two cohorts.



#### **Arizona Commission on the Arts | Arizona**

*Current grant ends:* June 30, 2018 (renewal to be reviewed in 2018)

*Investment in organization:* \$80,000 since 2015

The Arizona Commission on the Arts has partnered with Arizona State University to create *AZ ArtWorker*. This program represents the largest and most comprehensive programmatic investment in individual artist training in the Arts Commission's recent history. The program utilizes socially-engaged methodologies, creative practices, and entrepreneurial training. Their 2015 pilot successfully launched in three diverse Arizona communities: Douglas, Phoenix and Tucson. The program will continue to build in these markets and has expanded into Sells, a rural community on a Native American reservation.



#### **Artists U (fiscal agent: Fringe Arts) | Philadelphia, PA**

*Current grant ends:* June 31, 2018 (renewal in 2018)

*Investment in organization:* \$40,000 since 2016

Artists U works with intermediary organizations across the country to provide professional development and career support to artists. They are currently piloting a new program, *Working Groups*, that enables artists to independently support each other with backbone support from Artists U. This is a new, scalable professional development platform that has the potential to shift how state agencies and other organizations with larger geographic scopes can support and engage with more artists.

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**Arts & Business Council of Greater Boston | Massachusetts**

*Current grant ends:* June 30, 2018 (renewal to be reviewed in 2018)

*Investment in organization:* \$595,000 since 2004

In 2014, the Council launched the Creative Entrepreneur Fellowship. This program intentionally embedded their Artist Professional Toolbox and workshops into “Discover Roxbury” - an underinvested in African-American artist community. Building on their success with Roxbury, they have expanded the Fellowship class to surrounding communities. The interest in the Fellowship is high. At this point the Council is only able to accept a quarter of the applicants per program cycle.



**Montana Arts Council | Montana**

*Montana Artrepreneur Grant ends:* December 31, 2017 (final grant)

*The Keepers: American Indian Culture Bearers ends:* December 21, 2018

*Investment in organization:* \$175,000 since 2013

This year the Council piloted a new model within the Montana Artrepreneur Program (MAP) for alumni called reMAP. This program will take alumni back through the training in ways that help address learning or experience gaps. This notion of retraining that will enable arts organizations to better master and deliver the core Artrepreneur program could influence similar arts business development offerings across the country.

Additionally, the Arts Council will pilot an idea to connect with the 11 tribal nations and seven reservations across Montana to better serve the needs of Native Americans Culture Bearers in low income and rural settings. This grant provides the Montana Arts Council the required matching leverage to receive \$50,000-\$75,000 from the Montana Department of Commerce.



**PREVIOUS MEA GRANTEES**

Arts Organizations

- AIR Institute at Berea College, Kentucky
- Artist Trust
- Artists in Context
- Artspace, New Haven, CT
- Arts Council of New Orleans
- C4 Atlanta
- Cannonball, Miami
- Chicago Artists’ Coalition
- Connecticut Local Arts Agencies  
(Fairfield County, New Haven & Hartford)
- Creative Capital
- Creative Many, Michigan

- CUE Art Foundation, New York
- DiverseWorks, Houston
- International Festival of Arts & Ideas
- Montana Arts Council
- New England Foundation for the Arts (NEFA)
- New Museum/New Inc
- New York Foundation for the Arts (NYFA)
- Pittsburgh Arts Center
- Side Street Projects, LA
- Springboard for the Arts, St. Paul, MN
- University of Missouri – KC Innovation Center (UMKC), Artist Inc.

Universities

- California College of the Arts (CCA)
- California Institute of Arts (CalArts)
- Columbia University
- Maryland Institute College of Art (MICA)
- The Ohio State University (OSU)
- Parsons The New School for Design
- Pratt Institute
- Rhode Island School of Design (RISD)
- San Francisco Art Institute (SFAI)
- Savannah College of Art and Design (SCAD)
- School of the Art Institute of Chicago (SAIC)
- School of the Museum of Fine Arts Boston (SMFA)
- University of Texas at Austin
- University of Wisconsin-Madison
- Virginia Commonwealth University (VCU)

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## FIELD SUPPORT



**Indiana University** | New York, NY

*Current grant ends:* December 31, 2018 (renewal to be reviewed in 2018)

*Investment in organization:* \$60,000 since 2015

Indiana University administers the Strategic National Arts Alumni Project (SNAAP) - a survey and data management initiative that is designed to improve arts-school education. The most recent research findings from the Career & Entrepreneurial Skills module that EHTF funded is posted on the login section of EHTF's [website](#). Based on feedback regarding the high value of the information to the field, the Art Committee renewed support for the analysis and dissemination of results from the Career Skills & Entrepreneurship module for the next 2 survey cycles.

## CURATOR MENTORSHIP GRANT



**Association of Art Museum Curators (AAMC)** | New York, NY

*Current grant ends:* July 1, 2018 (renewal to be reviewed in 2018)

*Investment in organization:* \$90,000 since 2014

EHTF supports 3 pairs of mentor/mentees in contemporary art each year. AAMC's long-term goals for its alumni program include career advancement support, ongoing relations with AAMC via board service or engagement with AAMC's Career Support Committee, and/or opportunities to serve as future mentors. As part of this program, AAMC has been recording webinars focused on curatorial professional development. The [webinars](#) are now available to the public on AAMC's website. They are now reviewing the current program with hopes to iterate their work to better serve more curators across the country.

AAMC has also become a partner with the Foundation on a number of initiatives. AAMC has helped provide the Art Committee with 'on the ground' needs for today's contemporary arts curators and they are poised to partner with *Exhibitions on the Cusp* to connect the content contributors and influencers.

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## Art Committee Budget Summary

### Art Grantmaking Budget

	2016	2017	*2018
Art Program Budget	\$660,000	\$725,000	\$812,000
Committed (Bold)	\$660,000	\$677,335	\$205,000
Projected	\$0	\$47,665	\$247,500
Currently Unallocated	\$0	\$0	\$359,500

### **Marketplace Empowerment for Artists**

Americans for the Arts	\$0	\$25,000	\$25,000
Artist Trust (ended - renewal under consideration)	\$45,000	\$0	\$0
Artists U - Philadelphia (ends June 2018)	\$10,000	\$20,000	\$10,000
Arizona Commission on the Arts (ended)	\$15,000	\$0	\$0
Arizona Commission on the Arts (ends June 2018)	\$20,000	\$40,000	\$20,000
Arts & Business Council Boston (ends June 2018)	\$17,625	\$22,375	\$10,000
Arts & Ideas Festival	\$10,000	\$10,000	\$0
Arts Council of Metro Kansas City (ended)	\$50,000	\$0	\$0
Arts Incubator of the Rockies (ended)	\$50,000	\$0	\$0
ArtServe Michigan/Creative Many (ended)	\$25,000	\$0	\$0
Artspace (ended)	\$0	\$10,000	\$0
C4 Atlanta (ended)	\$50,000	\$25,000	\$0
Chicago Artist Coalition (ended)	\$50,000	\$0	\$0
For the Love of Art Movie Community Engagement		\$0	\$50,000
Montana Arts Council - Native American artists	\$0	\$0	\$25,000
Montana Arts Council - final year funding MAP	\$0	\$50,000	\$0
New Museum/New Inc. (ended)	\$39,500	\$0	\$0
New England Foundation for the Arts (NEFA) (ended)	\$0	\$10,000	\$0
New York Foundation for the Arts (NYFA) (renewal under consideration)	\$15,000	\$15,000	\$0

### **Emily Hall Tremain Exhibition Awards\***

2014 EHTEA Winners (3)	\$120,000	(\$4,000)	\$0
2016 EHTEA Winner (1)	\$0	\$150,000	\$0
2016 EHTEA Curator Prof. Dev.	\$0	\$5,000	\$0
2016 EHTEA Video Documentation	\$0	\$25,000	\$0
Exhibit Winner Travel	\$0	\$0	\$20,000
Living Artist Stipends	\$19,000	\$15,000	\$0
2018 EHTEA Winner (1)	\$0	\$0	\$0

### **Other Grants**

Grantmakers in the Arts - dues	\$5,000	\$5,000	\$5,000
Grantmakers in the Arts - annual conference sponsor	\$0	\$0	\$5,000
Association of Art Museum Curators - Mentorship Program	\$25,000	\$25,000	\$25,000
EHTEA 20 year Retrospective	\$0	\$45,937	\$75,000
SNAAP	\$0	\$20,000	\$20,000
NEA	\$25,000	\$0	\$0
PAVE Fellowship	\$9,419	\$0	\$9,500

### **EHTEA Consultation**

EHTEA Jury Process	\$6,499	\$0	\$0
Press/ Publicity	\$0	\$22,961	\$0

### **Other Consultation**

Artists Thrive Summit	\$23,951	\$62,000	\$75,000
Board Travel to EHTEA openings	\$0	\$0	\$0
Artists Thrive Rubric	\$23,862	\$73,460	\$70,000
Yale Summer Art Intern	\$4,020	\$3,920	\$4,000
Misc Consulting	\$396	\$0	\$2,000
Misc Communications	\$728	\$682	\$2,000

### **Currently Unallocated**

\$0      \$47,665      \$359,500

\* Program Budget is a planning number

Art Base Annual Total	\$660,000	\$725,000	\$812,000
Base Total at 75%	\$495,000	\$543,750	\$609,000

**ARTISTS  
THRIVE**

**INAUGURAL SUMMIT**

**SEPTEMBER 6-9, 2017  
BEREA, KY**

# ARTISTS THRIVE

Welcome to the inaugural **Artists Thrive Summit**. We aim to gather with compassion, purpose, and fearlessness in our shared work to celebrate, elevate, and proclaim the necessity of valuing artists. This work is foundational to hope, vision, solution making, self-empowerment and interconnected action. We are so glad to have you as partners in creating and holding the space for our time together.

And what a time it is. Some segments of our society have hit a repeat button on disturbing historical patterns. Some are experience structural inequities as painfully status quo. And some feel this as a time of increasing political complexity. Yet there is a future available to us where mutual support and cooperation shine brightly and where diversity and connectivity roll-up into beautiful resilience. It is with this consciousness and intention that we have set the Summit table.

As you make your way to the Summit, we thought it might be helpful to share a short origin story of **Artists Thrive** and its fledgling suite of tools designed to help us reach a shared vision of success. For more than 15 years, a dedicated group of arts service organizations has been building best practices around business and entrepreneurial skills development in support of artists (supported, in part, by the Emily Hall Tremain Foundation). Two years ago, they felt ready to take-on more together and they posed some pretty big questions: What new heights could we reach as organizations and individual leaders if we strengthen our connections and improve our individual and collective impact? How might we better identify, understand, influence and **scale** conditions that help artists thrive? How might we begin to shift - in positive directions - the dominant narrative around the way artists are viewed, valued, and engaged?

In the embryonic phase of **Artists Thrive**, this cohort drew from *The Social Profit Handbook* and set out to develop a field-wide framework on measuring what matters. The first two **Artists Thrive** tools (one for artists and one for those who work with artists) are freshly hatched.

You – as one of approximately 150 folks in the inaugural **Artist Thrive Summit** – represent a community of supporters that can raise **Artists Thrive** to new heights. Might you take on roles of fellow learner, cheerleader, developer, maker, content contributor, connector, advocate, critic, or organizer? Can you see yourself strengthening and amplifying the suite of Artists Thrive tools? Might you issue calls to action around this work? Could you call on others to help you through the messy process of applying something new? Will you challenge yourself to open to your highest energies and breathe profound hope into the work you want to do with others? We invite all of this and more!

We know that interaction propels us beyond the ability of the individual. For these reasons, we value the deep opportunities to learn from each other and from place. Part of our hope is that you will leave the Summit with new allies, peers, and friends, along with an inspired sense of direction, energy, will and commitment. We also hope **Artists Thrive** becomes a touchpoint – something we continuously create and share with ever growing numbers curious and creative souls. And we dream that **Artists Thrive** becomes a continuously morphing community voice on the value of artists that feeds complex, complicated, personal and systems level transformation.

With gratitude to all, excitement about our time together and profound thanks to our Berea, KY hosts –



Michelle Knapik  
President  
Emily Hall Tremain Foundation



Heather Pontonio  
Art Program Director  
Emily Hall Tremain Foundation



Beth Flowers  
Director  
AIR Institute of Berea College

# ARTISTS THRIVE SUMMIT

# SCHEDULE

<b>WED, SEPT. 6<sup>TH</sup></b>	5:00-6:30pm	Welcome Session	Boone Tavern Conference Center	
	6:30-8:15pm	Reception	Kentucky Artisan Center at Berea	Buses will continuously loop from Boone Tavern throughout the reception.
	8:15-9:30pm	Dinner	Boone Tavern	Check your name badge for drink tickets.
	9:30-11:00pm	Networking Time	Boone Tavern lobby	

<b>THURS, SEPT. 7<sup>TH</sup></b>	Prior to 9:00am	Breakfast on your own		Hotels offer complimentary breakfast.
	9:00-10:50am	Session: Power, Vulnerability and Language <i>Facilitator: Mitzi Sinnott, All Here Together Productions</i>	Berea College, Alumni Building Baird Lounge	
	10:50-11:00am	Break		
	11:00am-1:00pm	Arts & Culture Experiences	Multiple locations	Sign up through the ConnexMe app.
	1:00-1:30pm	Lunch	Berea College, Alumni Building Middlesex Food Court	
	1:30-2:10pm	Breakout sessions highlighting <i>Artists Thrive</i> "Working with Artists" categories	Berea College, Alumni Building	
		Community Connections	<i>Carter G. Woodson Library</i>	
		Advocacy	<i>Baird Lounge</i>	
		Programs and Services	<i>Activities Room</i>	
		Utilizing <i>Artists Thrive</i> in your work	<i>Hutchins Room</i>	
2:10-2:20pm	Break			
2:20-3:00pm	Breakout sessions highlighting <i>Artists Thrive</i> "Working with Artists" categories:	Berea College, Alumni Building		
	Organizational Capacity	<i>Carter G. Woodson Library</i>		
	Funding Artists	<i>Baird Lounge</i>		
	Programs and Services	<i>Activities Room</i>		
	Utilizing <i>Artists Thrive</i> in your work	<i>Hutchins Room</i>		
3:00-3:15pm	Break			
3:15-5:45pm	Session: Practicing Change <i>Facilitators: Samara Gaev &amp; Kavitha Rao, Center for Whole Communities</i>	Berea College, Alumni Building Baird Lounge		

# ARTISTS THRIVE SUMMIT

# SCHEDULE

<b>THURS, SEPT. 7<sup>TH</sup></b>	5:45-6:00pm	Break		
	6:00-8:00pm	Arts & Culture Experiences	Multiple locations	Sign up through the ConnexMe app
	8:00-11:00pm	Taste of KY event <i>Thank you to the Kentucky Arts Council for generously underwriting and organizing this event.</i>	Churchill's	Buses will continuously loop hotels throughout the event.

<b>FRI, SEPT. 8<sup>TH</sup></b>	7:00-7:45am	Group Breakfast Presentation by Chad Berry, Berea College Academic Vice President and Dean of the Faculty; Goode Professor of Appalachian Studies	Boone Tavern Conference Center	
	7:30am-6:30pm	Bus Tour to Hazard, Hindman and Whitesburg  Experience Hazard's River Arts Greenway, ArtStation, and an international festival at the Hazard Community & Technical College campus to learn about the community wide effort to connect art into every aspect of community and economic development during this time of Appalachian transition.  Located in Whitesburg, KY, in the heart of the central Appalachian coalfields, Appalshop houses media production and training facilities in film and video, a community radio station, a 150-seat theater, art gallery, and regional archive of over 4,000 hours of film, audio recording, and still images. Appalshop staff will lead a discussion about the changing reality of digital technology's effect on making art and the value and funding changes that are transforming the way arts organizations collaborate with communities.  In Hindman, population 900, we will visit three cultural institutions that are important regional draws: the Hindman Settlement School, the Appalachian Artisan Center, and the Kentucky School of Craft. Leaders will share their facilities and their town's creative placemaking journey and the challenge of trying to serve a region and a local community with a big vision.		3 buses will take different routes and visit the same locations.
	6:30-10:00pm	Levitt AMP Berea event	Old Town Berea	Dinner is on your own – explore the event food trucks or a local restaurant.
	9:30-11:00pm	Networking Time	Boone Tavern lobby	

<b>SAT, SEPT. 9<sup>TH</sup></b>	Prior to 9:00am	Breakfast on your own		Hotels offer complimentary breakfast.
	9:00-11:00am	Closing Session	Boone Tavern Conference Center	
	11:15am	Bus departs for Lexington Airport	from Boone Tavern	

# THURSDAY'S ARTS & CULTURAL EXPERIENCES

Unless noted, all opportunities are available at both the 11am-1pm and 6pm-8pm times

## **LEARN: Build Your Local Creative Economy Network** **11am-1pm time only**

Learn how AIR Institute is using creative entrepreneurship as a community building activity. The session will share strategies and assessment tools to help grow your local creative economy and connect your artists and arts organizations to business and other community-focused sectors.

## **LEARN: Dive Into Rubrics With David Grant**

Dig into rubric building, gain a deeper understanding of formative assessment, hear how others are crafting their rubrics, and have an opportunity to ask your questions to David Grant, guru of rubric building!

## **LEARN: Berea Artist Accelerator**

The session will include a panel conversation and tour to meet the artisans. A panel of founders will share how they funded and developed the Accelerator and how this can be replicated in your community. The ultimate goal of the Artist Accelerator is to create this pipeline of locally grown entrepreneurs that will help with Berea's desire to enhance and grow Berea tourism.

## **LEARN: Using the Power of Local Knowledge and Technology to Transform Race, Space, and Place within the Community Arts and Maker Movements** **6pm-8pm time only**

Learn how an innovative technology platform, *Streetwyze*, plans to partner with artists, activists, and creative place makers/keepers to create a dynamic city-wide map of cultural facilities that will help enable artists, movers and makers to resist gentrification and displacement.

## **LEARN: Creative Entrepreneurship & Higher Education** **6pm-8pm time only**

Beth Flowers will share the emerging systems approach for using AIR programs with Higher Education at the community college, small, private college, and larger, state university levels. Partnerships between higher education, CDFIs, existing business support programs, and funders are key to this artist entrepreneurship model that is being piloted in Kentucky and Virginia.

## **EXPLORE: Tour Berea College & Berea Crafts** **11am-1pm time only**

Founded in 1855 by ardent abolitionists and radical reformers, Berea was the first interracial and coeducational college in the South.

## **EXPLORE: Hike The Brush Fork Trail** **11am-1pm time only**

Explore the Brushy Fork Trail with Berea College's Forrester! Brushy Fork features plenty of open field space as well as miles of trails for exploring. Trails range from easy to moderate and provide limited overlook views.

## **EXPLORE: Jammin' On The Porch** **6pm-8pm time only**

Explore the Artisan Village and take part in a music jam starting at 7pm. Storytellers, poets, and musicians are invited to come and share. Led by father and daughter Donna and Lewis Lamb, musicians that specialize in "old time" mountain music and bluegrass. Out of towners are just as welcome as local folks, and all ages and all skill levels participate.

The following art making experiences require advance registration via the ConnexMe App and have an additional cost.

## **MAKE: Blow Your Own Glass Ornament or Paperweight** **11am-1pm time only**

With the help of the glass artisan, participants will color and form the glass using traditional glass working methods to create a hand blown glass ornament or paperweight. Dress in cotton and wear long pants, no synthetics. Long sleeves are recommended. Wear sturdy closed toed shoes and expect hot work conditions.

Cost: \$72

Max capacity: 10

## **MAKE: Roundtree Broom** **11am-1pm time only**

All students will leave the class with one completed multi-color roundtree broom. Wear close toed shoes that cover the entire foot and clothes you don't mind getting dirty. All necessary safety equipment will be provided. Participants must have full dexterity in their hands and feet. This workshop requires upper body strength.

Cost: \$39

Max capacity: 20

## **MAKE: Fiber Frenzy - Spinning Fine Wool Into Art Yarn**

In this workshop we'll explore the base elements - fiber and twist. You'll learn how to draft fiber, control the twist and

spin wool into yarn! You'll take home a nice drop spindle, a good quantity of hand spun yarn and enough fiber to spin about a total of 200 yards. Note: We will be working with sheep wool, to which a very few people are allergic.

Cost: \$55

Max capacity: 25

## **MAKE: Forged Copper Bracelet**

Learn the ancient art of cold forging and stamping copper. Work with Master Craftsman, Ken Gastineau, to make one custom sized bracelet in copper using a hammer, anvil and stamps. Please wear closed-toe shoes.

Cost: \$66

Max capacity: 4

## **MAKE: Stained Glass Suncatcher With Overlay**

Participants will learn to frame a square piece of art glass with zinc came, cut a tree, horse, or sun from a copper sheet, coat it with solder, and attach it as overlay. Please wear long pants and closed toed shoes. Bring reading glasses if you need them for close work.

Cost: \$55

Max capacity: 5

# CONNEXME APP



EVENIUM  
ConnexMe

Download the ConnexMe Summit app in the Apple or Android stores or online at [en.evenium.com/c/connexme](http://en.evenium.com/c/connexme). The Summit code is: ArtistThriveSummit.

This app will allow you to interact with attendees, customize your agenda, sign-up for the art-making experiences, link to documents and slides, and complete Summit polls.

Activate push notifications to receive live updates (such as bus locations) during the event.

## DO YOU HAVE A STORY THAT BRINGS THE *ARTISTS THRIVE* TOOLS TO LIFE?



We want to include your voice in the new *Artists Thrive* website!

See our videographer, Justin, in Boone Tavern on Wednesday or in the Alumni Building on Thursday to record your 1-minute story! Story collection and story sharing will build *Artists Thrive*, better connect our community, and elevate our work.

## WELLNESS OPTIONS

### SEABURY CENTER

(★9 on the map)

*Show your Summit badge for entrance*

Cardio & Weight Rooms  
Indoor & Outdoor Track  
Swimming Pool

#### Hours

Monday–Thursday 6am–10pm  
Friday 6am–9pm  
Saturday 10am–6pm

#### Pool Hours – Lap Swim

Wednesday: 6:30 AM – 7:20 PM  
Thursday: 50 min. slots - 12pm, 7pm, 8pm



Additional details at: [www.berea.edu/seab](http://www.berea.edu/seab)

### BRUSHY FORK PARK

(enter behind Alumni Building ★28 on the map)

Brushy Fork Park offers a beautiful, serene setting complete with a flowing creek and shaded picnic tables. Brushy Fork is located right in town, directly behind Berea College's Alumni building, about a half-mile from Boone Tavern - off of Scaffold Cane Rd.

Brushy Fork features plenty of open field space as well as miles of trails for exploring. Trails range from easy to moderate and provide limited overlook views during the Summer when the trees are fully green and leaved. Brushy Fork teems with wildlife all year long. Listen for Barred Owls calling to one another in the early mornings, watch Indigo Buntings dart above the brush and brambles by the creek, and if you're quiet enough, you can spot deer in the fields and along the trails.



Additional details at: [www.thisisbera.com/brush-fork-trails](http://www.thisisbera.com/brush-fork-trails)



## WORKING WITH ARTISTS RUBRIC

**ARTISTS PLAY CRUCIAL ROLES IN DEMOCRACY, IN CULTURE, IN ECONOMIES, IN COMMUNITIES – AND ARTISTS ARE THE HEART OF ARTS AND CULTURE.**

Whether your definition of artist is rooted in visual and performing arts or includes makers, innovators and creatives, we know that creativity helps humanity thrive. And we know that our culture needs the conversations that artists—sometimes only artists—can build.

That means we need thriving artists to have a thriving arts sector. And we need thriving artists for critical cross sector engagement.

### **SO HOW CAN WE IMPROVE CONDITIONS SO THAT ALL ARTISTS THRIVE?**

*Artists Thrive* is a “rubric,” a dynamic measurement tool that invites a holistic valuation of artists. It helps us see what we are doing now, and what we could do differently to improve conditions for artists. It is aspirational, not judgmental because it outlines a spectrum of performance to spur continuous improvement among artists, arts professionals, and others who work with—or want to work with—artists. Rubrics describe actions, levels of performance and success along a spectrum. This spectrum is applied then applied to a number of categories. The current *Artists Thrive* categories include things like artist practice, engaging with artists, advocacy, power, paying artists, etc.

With your help, *Artists Thrive* can be movement building fuel to raise the value of arts and creativity in every community.

### **YOU ARE INVITED**

We want you – as an individual, a funder, a community member, a business person, an academic, a person of faith, an elected official, a student, a teacher, a lover and/or maker of art – to help build this national assessment tool.

### **NOTES**

- The rows or categories are extensive, interrelated, and meant to underscore the overall ecosystem affecting artists.
- “We” in the rubric can refer to any group, organization, or network that works—or wants to work—with artists. We invite you to define your own “we” in the way that seems most generative for your work.
- If a rubric row doesn’t apply to your work, ask: who else in my community might it apply to? And does the row allow me and them to thoughtfully and rigorously assess their work?
- We encourage you to start working with the rubric within your work, communities, organizations, public processes, practice, etc. The order of the rows can be changed based on your needs. You are welcome to modify the rubric for the task at hand.

# ARTISTS THRIVE

## Working With Artists Rubric

ENGAGING WITH ARTISTS			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
We do not engage with artists.	We have limited engagement with and curiosity about artists and their needs .	We frequently engage with artists and are open to and curious about artists' skills and needs.	We always seek out, engage and partner with artists, and their skills and needs guide our work.
We see artists as needy.	We see artists as competent.	We see artists as skilled.	We see artists as leaders.
Artists do not seek us out.	Artists only seek us out as a last resort.	Artists call us for guidance and to share their insights, successes, and challenges.	Artists actively engage us as their partners in all aspects of their practice.
We have no outreach mechanisms for artist input.	When we do seek input from artists, it often lacks full intention or purpose and/or it is likely to be with an exclusive or limited group of artists.	We utilize an array of informal and formal outreach mechanisms for getting artist input on projects.	We partner with artists to craft a full array of outreach mechanisms and feedback loops for ongoing input on all projects, processes and organizational development.
The value and role of the artist is missing from our work.	The value and role of the artist minimally guides our work.	The value and role of the artist consistently guides our work.	The value and role of the artist is the central guide to our work.

SERVICES AND PROGRAMS			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
We do not offer services and programs targeted to artists.	We offer infrequent, limited, or not well publicized artist-targeted programs.	We offer ongoing programs and trainings relevant to artists across disciplines, career points, and cultural backgrounds.	We offer high quality, accessible, rigorous, stable and regular services for artists that continually evolve and adapt to new art forms.
We just <i>do what we do</i> , never coordinating or linking our programs to other resources.	We are aware of local programs that are relevant to our work and we avoid duplicating services (e.g., small business association offerings, financial literacy programs, etc.).	We connect our programming to resources locally and nationally and try not to duplicate or offer conflicting programs. (e.g., small business association offerings, financial literacy programs, cross sector offerings, etc.).	We coordinate our work locally and nationally, within and across sectors, to build a comprehensive and responsive network of resources (e.g., peer networking with small business associations, financial literacy providers, cross sector professional development, etc.).
We do not invite artists to traditional business or general audience services or programs.	We rely on artists to translate non-arts specific resources themselves in order for it to be relevant.	We try to include artist-friendly and welcoming language and tools in non-arts specific programs and services.	We ensure that there is artist-centric, welcoming and inclusive language and tools in non-arts specific programs and services.
We do not assess accessibility concerns when launching services.	Our programs and services have limited reach based on accessibility and inclusions challenges (e.g., schedule, location, content, focus on a particular art practice, etc)	Our efforts to address accessibility and inclusion challenges include measures such as program scholarships, remote learning, offerings for part-time, full-time and emerging artists and other technical assistance/ support.	Our services and programs support all artists in our community through rigorous and constant work on equity, inclusion and accessibility.

# ARTISTS THRIVE

## Working With Artists Rubric

PAYING ARTISTS			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
<p>We almost always ask artists to donate their time and assume the exposure is compensation enough.</p> <hr/> <p>When we do pay artists, it is at our discretion and there is no transparency about artist fees.</p> <hr/> <p>We do not consider each artist's unique practice and goals in terms of how we or others compensate or fund them.</p>	<p>We sometimes compensate artists for work (as budgets permit), but generally below a living wage.</p> <hr/> <p>We are transparent about artist fees when it suits us.</p> <hr/> <p>We occasionally consider each artist's unique practice and goals in terms of how we or others compensate or fund them.</p>	<p>We routinely compensate artists for their work, but struggle to fully account for all labor costs (e.g., artistic process, administration, community work, planning, production, etc.).</p> <hr/> <p>We track and disclose the percentage of budgets that go to artists.</p> <hr/> <p>We always consider each artist's unique practice and goals in terms of how we or others compensate and fund them, but we have no clear policy or means to assert this as a standard practice.</p>	<p>We work with artists to create an artist fee structure that integrates living wages into every transaction and initiative with artists.</p> <hr/> <p>We set and share our robust budget targets that go to artists, and we and others hold us accountable to these targets.</p> <hr/> <p>We integrate each artist's unique practice and goals in terms of how we compensate and fund them, and we strive to make this a best practice in the field.</p>

COMMUNITY CONNECTIONS			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
<p>As arts providers, we do not have the capacity or interest to help artists who want to work with community.</p> <hr/> <p>As service providers outside the arts sector, we are not interested in establishing mechanisms to find or support artists or for artists to propose project ideas to us.</p> <hr/> <p>We do not pay attention to standards or best practices regarding artists engaging with community.</p>	<p>As arts providers, we have limited capacity and interest in helping artists who want to work with community, resulting in unclear processes for collaboration (e.g., Individual staff are adept at supporting artist-led community engagement, but this expertise and understanding is not shared across the organization).</p> <hr/> <p>As service providers outside the arts sector, we do not have well developed mechanisms for artists to connect with us or for us to identify, invite or support artists in relation to our work.</p> <hr/> <p>We have some awareness of standards and best practices regarding artist engagement with community, but we are not well versed in utilizing them and assume that good intentions will lead to good results.</p>	<p>As arts providers, we have capacity and interest to support artists and community members in exploring expectations and roles for artists working with community, and we seek to engage and coordinate with service providers that are outside the arts sector.</p> <hr/> <p>As service providers outside the arts sector, we see value in including artists in our work and we frequently ask artists to be at the table at the beginning of our community work.</p> <hr/> <p>We track and try to utilize standards and best practices that support collaboration between artists and community and we listen and reflect during artist-community projects, gaining insights into histories, cultural differences, and power.</p>	<p>We have dedicated expertise in and processes for supporting artists, creatives and community members who want to work together in their community; this includes building learning networks with service providers that are outside the arts sector.</p> <hr/> <p>As service providers outside the arts sector, we acknowledge our role as part of a whole system (community development, etc.) that understands the value of art/artists/creativity and provides resources and mechanisms to make partnership easier and clearer.</p> <hr/> <p>We actively track, utilize and contribute to standards and best practices that support collaboration between artists and community and we build tools for listening and reflection before, during and after artist-community engagement, constantly deepening our self-awareness and connections.</p>

# ARTISTS THRIVE

## Working With Artists Rubric

COMMUNITY CONNECTIONS – CONTINUED			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
<p>We do not provide professional development and/or training opportunities for artists engaging in community work.</p> <hr/> <p>We do not connect artists to career advancement opportunities.</p> <hr/> <p>We work in ways where connections among artists, communities, and organizations are governed by hierarchies, lack of mutual understanding, and inequitable resources. Community projects reinforce inequities and barriers.</p> <hr/> <p>As service providers outside the arts sector (Small Business Administrations, Community Development Corporations, etc.), we have no desire, entry points, or tools to work with artists, and vice versa.</p>	<p>We provide some access to professional development and/or training opportunities for artists engaging in community work, but equity factors are not prioritized, so access is limited.</p> <hr/> <p>We help selected artists access career advancement opportunities based on our assessment of relevance.</p> <hr/> <p>We work in ways where artists, communities, and organizations have limited mutual understanding or shared power. Community projects perpetuate inequities and barriers.</p> <hr/> <p>As service providers outside the arts sector, we have limited entry points and tools to work with artists; it feels like we have to “reinvent the wheel” each time.</p>	<p>We consider support and community training opportunities for artists and we intentionally factor in considerations around equity and access.</p> <hr/> <p>Grounded in each artist’s practice and goals, we proactively connect a range of artists to career advancement opportunities locally, nationally, and internationally, breaking down barriers to entry.</p> <hr/> <p>We work in ways where artists, communities, and organizations have tools to generate dialogue and mutual understanding. Community projects challenge inequities and barriers.</p> <hr/> <p>As service providers outside the arts sector, we seek out arts and other providers who work regularly with artists, building a base of shared learning and networks.</p>	<p>We are committed to offering and contributing to best practices in community training with, by and artists. Equity and access are embedded in this work.</p> <hr/> <p>We create new career advancement opportunities for artists, embedding their work across sectors.</p> <hr/> <p>We work in ways where artists, communities, and organizations partner consciously and ambitiously from a base of shared power, self-determination, and mutual learning. Community projects begin to shift inequities and barriers.</p> <hr/> <p>As service providers outside the arts sector, we focus on and build partnerships across all sectors so that we can include artists in community programs and development.</p>

ADVOCACY			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
<p>We are wary of artists who self-organize around their issues and goals.</p> <hr/> <p>We assume that we are aware of artist issues.</p>	<p>We are open to listening to artists who self-organize and we may include their ideas in our advocacy work.</p> <hr/> <p>We do not have mechanisms for fully understanding artist’ issues and perspectives.</p>	<p>We offer limited support to artists who self-organize, and we make space for their voices in local and national conversations.</p> <hr/> <p>We have some mechanisms for seeking and understanding artist’ issues and perspectives.</p>	<p>We celebrate, resource and build capacity among artists who self-organize. Together we strategize and share power to build local and national artist-centric advocacy platforms and long-term change.</p> <hr/> <p>We have robust outreach and mechanisms for seeking and understanding artist’ issues and perspectives.</p>

# ARTISTS THRIVE

## Working With Artists Rubric

### ADVOCACY – CONTINUED

ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
We do not include artists in policy, funding or related advocacy conversations or actions.	At best, we occasionally invite artists into policy, funding and related advocacy conversations, and we pursue artist issues that dovetail with our own needs.	We regularly seek early input from artists to build inclusive, generative conversations on policy, funding and related advocacy agendas, and we are open to advocating together.	We always directly engage with a diverse and full range of artists on the development of policy, funding and related advocacy agendas. Together we pursue advocacy goals, and we collect feedback on artist' issues to refine advocacy goals and develop new solutions.
We do not invite artists to leadership roles within the organization.	We occasionally invite an artist into an organizational leadership role, but there is no ongoing commitment to include artist representation.	We have dedicated opportunities for artists to be in organizational leadership roles.	We hold artist leadership as a core value and practice in our organizational structure and operation.

### FUNDING INDIVIDUAL ARTISTS

ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
We do not support the creation of new work or individual artists.	We occasionally support the creation of new work, but artists are not clearly or intentionally supported and the funding opportunities are not significant.	We routinely support the creation of new work, including substantial grants to artists that address a range of conditions: timelines ( <i>short term, long term, multi-year</i> ), functions ( <i>project, fellowship, capacity</i> ), communities, and career points.	We are committed to the creation of new work as evidenced in our central strategies and robust and full ecosystem of funding for artists that integrates artist' defined needs and intentions, timelines, functions, cultural backgrounds, communities, and career points. We also encourage others to support artists and the creation of new work.
Our applications and reporting processes are not adapted for individual artists.	Our application and reporting processes can be adapted for individual artists, but the process strongly favors those familiar with grant writing.	Our applications and reporting processes include tracks for individual artists that are streamlined and straightforward.	Our application and reporting processes for artists are designed by artists and offer multiple ways to submit visual, performance and hybrid forms of art.
If/when we serve as an intermediary funder, we do not assess artist participation in organizational grants and projects.	If/when we serve as an intermediary funder, we encourage arts organizations to include artists in project and funding requests.	If/when we serve as an intermediary funder, we expect organizations to include artists in project and funding requests.	If/when we serve as an intermediary funder, we require organizations to include artists in project and funding requests and we provide resources to assist in building these relationships.

# ARTISTS THRIVE

## Working With Artists Rubric

POWER (OPEN, EQUITABLE, AND CULTURALLY RELEVANT)			
ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
<p>We have no consciousness or intention to build open, culturally relevant and culturally competent programs and offerings based on shared power, the lived experience of the communities we are a part of, artist self-determination, and the expertise within the community.</p>	<p>We have a minimal level of consciousness and intention to build open, culturally relevant and culturally competent programs and offerings based on shared power, the lived experience of the communities we are a part of, artist self-determination, and the expertise within the community.</p>	<p>We have a growing level of consciousness, intention and action to build open, culturally relevant and culturally competent programs and offerings based on shared power, the lived experience of the communities we are a part of, artist self-determination, and the expertise within the community. We have an awareness and recognition of the many resources available to support this work, and a commitment to ongoing learning.</p>	<p>We have a high level of consciousness, love, and intention and a record of action to build open, culturally relevant and competent programs and offerings based on shared power, the lived experience of the communities we are a part of, artist self-determination, and the expertise within the community. We honor and generate the resources to support this work, and we commit to ongoing learning.</p>
<p>Our approach <u>reinforces</u> structural inequities, systemic injustice, exclusionary conditions and implicit bias in programs and offerings, employment and/or community interaction.</p>	<p>Our lack of capacity (financial, personnel, organizational governance, partners, professional development, etc.) to translate our intentions to be open, equitable, and culturally relevant directly and indirectly <u>perpetuates</u> structural inequities, systemic injustice, exclusionary conditions and implicit bias in programs and offerings, employment and/or community interaction.</p>	<p>With adequate capacity (financial, personnel, organizational governance, partners, professional development, etc.) we have begun to translate our intentions to be open, equitable, and culturally relevant and we are taking steps <u>to address and/or shift</u> structural inequities, systemic injustice, exclusionary conditions and implicit bias in programs and offerings, employment and/or community interaction.</p>	<p>With high capacity (financial, personnel, organizational governance, partners, professional development, emotional spiritual, etc.) we are adept at translating our intentions to be open, equitable, and culturally relevant and we are leaders in <u>removing</u> structural inequities, systemic injustice, exclusionary conditions and implicit bias in programs and offerings, employment and community interaction.</p>
<p>We refuse to be in the community to learn and talk about matters of race, equity and diversity, and we build no feedback loops for change in relation to these matters.</p>	<p>We have limited capacity to be in the community to learn and talk about matters of race, equity and diversity, and we build weak feedback loops for change in relation to these matters.</p>	<p>We have growing capacity to be in the community to learn and talk about matters of race, equity and diversity, and we have defined feedback loops for change in relation to these matters.</p>	<p>We have robust capacity to be in the community to learn and talk about matters of race, equity and diversity, and our strong feedback loops for systems change in relation to these matters are under continuous improvement.</p>
<p>On a practical level, our programs and offerings fail to take into account the diversity of needs around geography, time of day, transportation, child care, affordability, learning differences, etc.</p>	<p>On a practical level, our programs and offerings incorporate a limited range of options related to geography, time of day, transportation, child care, affordability, learning differences, etc.</p>	<p>On a practical level, our programs and offerings often incorporate a growing range of options related to geography, time of day, transportation, child care, affordability, learning differences, etc.</p>	<p>On a practical level, our programs and offerings consistently survey for and incorporate an expansive range of options and innovations related to geography, time of day, transportation, child care, affordability, learning differences, etc.</p>
<p>Our narrow and exclusive understandings of artistic value and aesthetics produce a narrow definition of 'artist' and create environments hostile to artists outside of that definition.</p>	<p>Our receptiveness to expanding our understandings of artistic value and aesthetics produces a broader definition of 'artist' and creates environments minimally more welcoming to artists outside that definition.</p>	<p>Our broad understandings of artistic value and aesthetics produce an expansive definition of 'artist' and create environments welcoming to a range of artists.</p>	<p>Our open, responsive understandings of artistic value and aesthetics produce evolving artist- and community-defined roles for 'artist' and environments inviting to the full range of artist practice.</p>

# ARTISTS THRIVE

## Working With Artists Rubric

### POWER (OPEN, EQUITABLE, AND CULTURALLY RELEVANT) - CONTINUED

ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
The racial, gender, and sexual orientation diversity of the community is absent in our leadership, and there is no accountability to equitable outcomes.	The racial, gender, and sexual orientation diversity of the community is rarely reflected in our leadership, and there is minimal accountability to equitable outcomes.	The racial, gender, and sexual orientation diversity of the community is beginning to be reflected in our leadership and there is growing accountability to equitable outcomes.	The racial, gender, and sexual orientation diversity of the community is reflected in our leadership and there is full and shared accountability to equitable outcomes.

### ORGANIZATIONAL CAPACITY

ARTISTS GIVE UP	ARTISTS STRUGGLE	ARTISTS SURVIVE	ARTISTS THRIVE!
We will not commit our limited funds or resources to meet artists' needs.	We have not prioritized our funding or resources to establish or grow programs based on changing artist needs.	Our funding and resources include capitalizing artist services and programs through multiple streams to ensure broad support and sustainability (e.g., via our operating budget, grants, individual donors, workshop fees, and other income).	We prioritize, take risks, innovate, and have sustained, dedicated, multiple and diverse funding sources for working with artists. Our work with funders has resulted in long-term capacity support that covers a healthy arts ecosystem (i.e. benefits, affordable space, training, diversity and inclusion investment, board support, and ongoing consulting, leadership development, etc.).
We experience high turnover or are in perpetual start-up mode, therefore staff has almost no capacity to understand, work with or provide resources to artists.	We have limited staff with the time or expertise to understand, work with or provide resources directly to artists.	We have adequate staff capacity to work with and provide resources directly to artists.	We have robust staff capacity to co-craft and design resources for artists.
We do not invest in any staff professional development.	We invest in a modest range of professional development on what we consider core competencies, which does not include skills to work with artists.	We invest in a broad range of professional development. Our offering don't formally focus on skills to work with artists, but we wouldn't deny staff pursuing such skills.	We have progressive HR development policies, a continuity of internal expertise, and a network of experts that enable us to work authentically and effectively with artists as our partners.
We do not consider artists in our hiring process.	Artists on our staff are not encouraged to share their artistic interests or talent with the organization.	We are committed to hiring artists and having artists part of shaping our overall strategy and program/service design.	Artists are embedded in every level of our organizational structure and are central to forming and driving strategy, program/service design, and assessment. They are also active ambassadors of our shared mission.
We do not have any mechanisms to measure or evaluate program impact on artists.	We have crude and/or infrequent measures to gauge our work with artists that results in slow responses to changing conditions.	We have various measures and pre/post evaluation for our work with artists that intentionally provides feedback to shape or reshape our efforts.	We have formalized paths for artist input and feedback at all stages of work. Our ongoing quantitative and qualitative assessment of work in partnership with artists is the basis of our strategy development.

# ARTISTS THRIVE

## Working With Artists Rubric

<b>ORGANIZATIONAL CAPACITY – CONTINUED</b>			
<b>ARTISTS GIVE UP</b>	<b>ARTISTS STRUGGLE</b>	<b>ARTISTS SURVIVE</b>	<b>ARTISTS THRIVE!</b>
We will not commit our limited funds or resources to meet artists' needs.	We have not prioritized our funding or resources to establish or grow programs based on changing artist needs.	Our funding and resources include capitalizing artist services and programs through multiple streams to ensure broad support and sustainability (e.g., via our operating budget, grants, individual donors, workshop fees, and other income).	We prioritize, take risks, innovate, and have sustained, dedicated, multiple and diverse funding sources for working with artists. Our work with funders has resulted in long-term capacity support that covers a healthy arts ecosystem (i.e. benefits, affordable space, training, diversity and inclusion investment, board support, and ongoing consulting, leadership development, etc.).
We experience high turnover or are in perpetual start-up mode, therefore staff has almost no capacity to understand, work with or provide resources to artists.	We have limited staff with the time or expertise to understand, work with or provide resources directly to artists.	We have adequate staff capacity to work with and provide resources directly to artists.	We have robust staff capacity to co-craft and design resources for artists.
We do not invest in any staff professional development.	We invest in a modest range of professional development on what we consider core competencies, which does not include skills to work with artists.	We invest in a broad range of professional development. Our offering don't formally focus on skills to work with artists, but we wouldn't deny staff pursuing such skills.	We have progressive HR development policies, a continuity of internal expertise, and a network of experts that enable us to work authentically and effectively with artists as our partners.
We do not consider artists in our hiring process.	Artists on our staff are not encouraged to share their artistic interests or talent with the organization.	We are committed to hiring artists and having artists part of shaping our overall strategy and program/service design.	Artists are embedded in every level of our organizational structure and are central to forming and driving strategy, program/service design, and assessment. They are also active ambassadors of our shared mission.
We do not have any mechanisms to measure or evaluate program impact on artists.	We have crude and/or infrequent measures to gauge our work with artists that results in slow responses to changing conditions.	We have various measures and pre/post evaluation for our work with artists that intentionally provides feedback to shape or reshape our efforts.	We have formalized paths for artist input and feedback at all stages of work. Our ongoing quantitative and qualitative assessment of work in partnership with artists is the basis of our strategy development.
Our board is not interested in working directly with artists.	Our board has some interest in working with artists, but they are consumed with basic fundraising, governance and planning activities.	Our board is committed to working with artists as reflected in our strategic plan, committee engagement, fundraising and more.	Our board membership includes artists and related experts who hold as a key tenet advancing the value and roles of artists in our work and in society at large. This value is reinforced in our leadership development, strategic plan, committee engagement, dedicated fundraising, succession planning and more.
Our staff does not interact with the board on artist issues.	Staff is often ahead of the board on ideas about working with artists, which can cause internal tensions.	Our staff and board work together to learn and be nimble in addressing changing conditions that may impact artists. Our leadership sees supporting artists as important to mission.	Our staff and board regularly work with artists in devoting non-urgent learning time and reflection to understand and improve conditions that may impact artists, including spending political capital on critical issues and championing support of artists in their broader lives and work.

# THANK YOU!

The Inaugural Artists Thrive Summit was made possible through a collaborative process. Thank you to all the individuals and organizations who devoted countless hours to making this Summit a success!



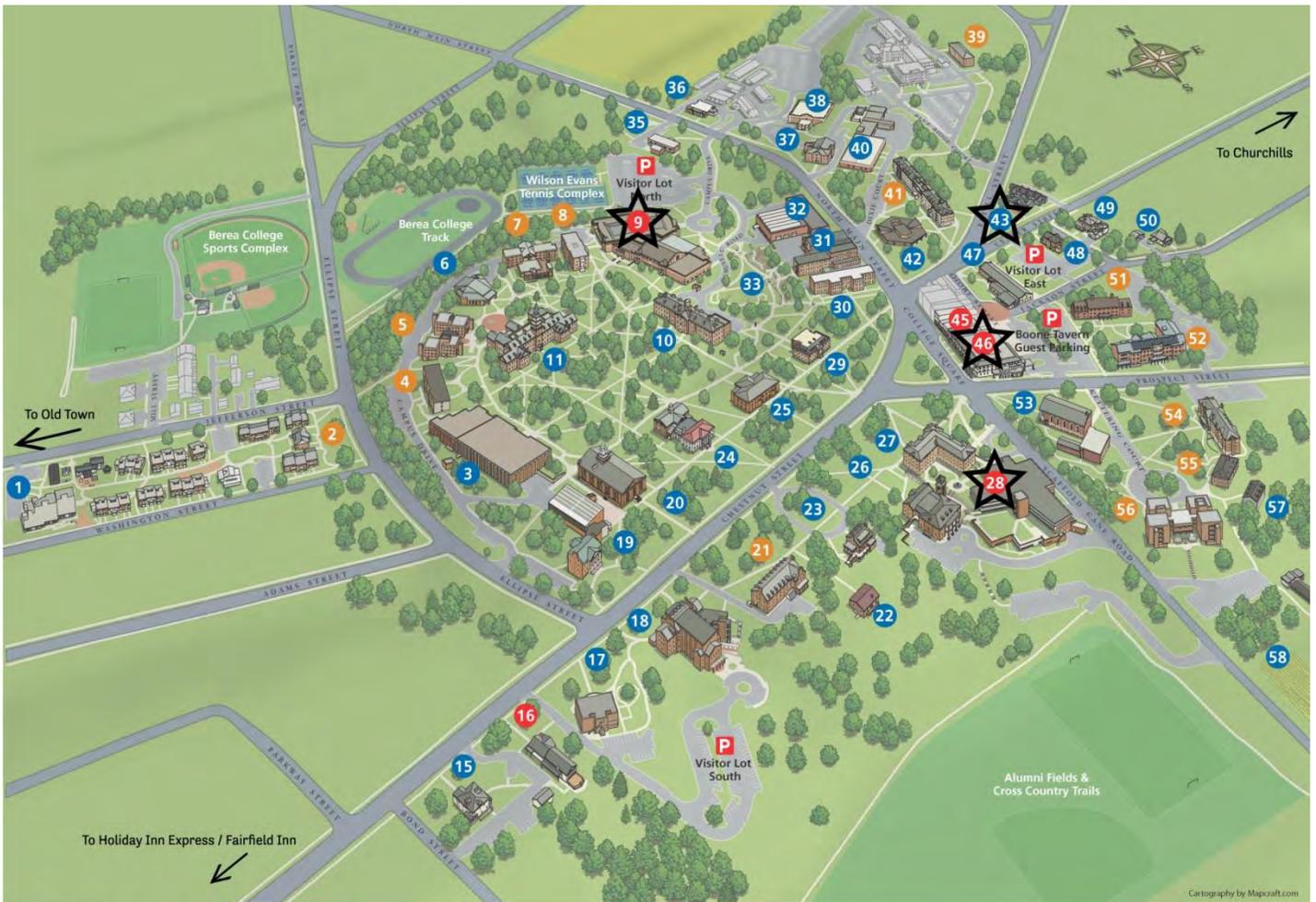
Tremaine Foundation

## ARTISTS THRIVE SUMMIT STEERING COMMITTEE

Lydia Bailey Brown, Executive Director, Kentucky Arts Council  
Bob Booker, formerly Executive Director, Arizona Commission on the Arts  
Beth Flowers, Director, AIR Institute of Berea College, Berea, KY  
Tatiana Hernandez, Hemera Foundation  
J Mase III, awQward Talent, Poet, Educator  
Ebony McKinney, Program Officer Community Investments, San Francisco Arts Commission (in memorial)  
Ashley Minner, Coordinator, Artists U Baltimore  
Megan Koza Mitchell, Director of Operations, Prospect New Orleans  
Samora Abayomi Pinderhughes, Musician  
Heather Pontonio, Art Program Director, Emily Hall Tremaine Foundation  
Casey Gill Summar, formerly Executive Director, Arts & Business Council, Nashville

## ARTISTS THRIVE LEADERSHIP TEAM

Beth Flowers, Director, AIR Institute of Berea College, Berea, KY  
Jim Grace, Executive Director, Arts & Business Council of Greater Boston  
David Grant, Principal, Grant Associates  
Jessyca Holland, Executive Director, C4 Atlanta  
Michelle Knapik, President, Emily Hall Tremaine Foundation  
Andrew Simonet, Founder, ArtistsU  
Laura Zabel, Executive Director, Springboard for the Arts



## Campus Map Key

- |  |  |                                 |                        |                                    |
|--|--|---------------------------------|------------------------|------------------------------------|
| 16 Admissions – Haaga House              | 58 Gardens and Greenhouses                         | 20 Phelps Stokes Chapel         | <b>Residence Halls</b> |                                    |
| <b>28 Alumni Building</b>                | 37 Goldthwait Agriculture Building                 | 23 President's House            |                        | 51 Anna Smith Residence Hall       |
| 49 bell hooks Institute                  | 42 Hafer-Gibson Nursing Building                   | 18 Presser Hall                 |                        | 4 Bingham Residence Hall           |
| 45 Berea College Visitor Center & Shoppe | 10 Hall Science Building                           | 19 Rogers-Traylor Art Buildings |                        | 39 Blue Ridge Residence Hall       |
| 38 Central Utility Plant                 | <b>46 Historic Boone Tavern</b>                    | <b>9 The Seabury Center</b>     |                        | 7 Dana Residence Hall              |
| 1 Child Development Laboratory           | <b>Hotel &amp; Restaurant</b>                      | 31 Stephenson Hall              |                        | 5 Danforth Residence Hall          |
| 11 Danforth Chapel (Draper Building)     | 22 Home Management House                           | 15 Sturt Cottage                |                        | 52 Deep Green Residence Hall       |
| 32 Danforth Technology Building          | 3 Hutchins Library                                 | 43 Sunshine Ballard Cottage     |                        | 2 Ecovillage                       |
| 11 Draper Building                       | 6 Jelkyl Drama Center                              | 53 Union Church                 |                        | 21 Elizabeth Rogers Residence Hall |
| 30 Edwards Building                      | 17 Knapp Hall                                      | 26 Woods-Penniman               |                        | 54 James Residence Hall            |
| 29 Emery Building                        | 25 Lincoln Hall                                    |                                 |                        | 41 Kentucky-Talcott Residence Hall |
| 36 Facilities Management                 | <b>43 Log House Craft Gallery</b>                  | <b>Visitor Parking</b>          |                        | 56 Kettering Residence Hall        |
| 27 Fairchild Hall                        | 40 Mueller Student Crafts Building                 | P Visitor Parking Lot East      |                        | 8 Pearsons Residence Hall          |
| 35 Farm Store                            | 48 Office of Human Resources                       | P Visitor Parking Lot North     |                        | 55 Seabury Residence Hall          |
| 33 Fee Glade                             | 47 Office of Integrated Marketing & Communications | P Visitor Parking Lot South     |                        |                                    |
| 24 Frost Building                        | 50 Office of Sustainability                        | P Boone Tavern Guest Parking    |                        |                                    |
| 57 Frost Cottage                         |  |                                 |                        |                                    |

## PARKING

Parking is only permitted in Boone Tavern or College Visitor Lots. Please be courteous of all the students and teachers on campus and utilize the Summit shuttles from the hotels whenever possible. Thank you.