



EVALUATION

The Rockefeller Foundation Program NYC Cultural Innovation Fund

October 2013

About Helicon Collaborative

Helicon Collaborative led the Evaluation Team for this project. Helicon is a research and consulting firm that collaborates with cultural organizations, funders, artists and other creative enterprises to make communities more vital, adaptive and just. The Evaluation Team was made up of Slover Linett Audience Research, Yancey Consulting and Nick Rabkin, who contributed to the research, data analysis and development of recommendations. The evaluation report was written by Holly Sidford, Alexis Frasz, Nick Rabkin and Lisa Yancey.

About the Rockefeller Foundation Evaluation Office

For more than 100 years, the Rockefeller Foundation's mission has been to promote the well-being of humanity throughout the world. Today, the Rockefeller Foundation pursues this mission through dual goals: advancing inclusive economies that expand opportunities for more broadly shared prosperity, and building resilience by helping people, communities and institutions prepare for, withstand and emerge stronger from acute shocks and chronic stresses. Committed to supporting learning, accountability and performance improvements, the Evaluation Office of the Rockefeller Foundation works with staff, grantees and partners to strengthen evaluation practice and to support innovative approaches to monitoring, evaluation and learning.

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Preface

The Rockefeller Foundation was an early investor in culture and innovation to achieve equity and sustainability – in both the environmental and field-wide senses of the term – through its NYC Cultural Innovation Fund (CIF). Created in 2007, CIF has granted \$16.3 million to support 99 efforts to leverage culture to achieve social innovation.

As we prepared to launch this evaluation, it became evident that, unlike many other fields, there is not a large body of evaluative literature on the effectiveness and impact of funds for the use of cultural innovation to achieve social change. This was a finding in itself – one that we identified before the evaluation even started. More evaluations have been conducted of programs that seek to support innovation in the arts for the sake of arts, but few have examined the degree to which arts innovation funds have actually brought about the intended societal level changes.

We are grateful to the Helicon Collaborative evaluation team and the Foundation Center’s Issue Lab for helping us think through the framing of this evaluation in a way that contributes to the Foundation’s learning around its NYC Cultural Innovation Fund, but also more generally to the field of culture for social change. We were not in a position to undertake an evaluation of the impact that each of CIF’s 99 grants had on the lives of people. However we did learn substantial lessons from evaluating a portfolio of grants awarded to individual projects by focusing on the common thread running through the portfolio – that of support for cultural innovation aimed at leveraging social change towards greater equity.

This effort revealed evaluative evidence of both incremental and disruptive innovations that, for example, are helping cultural organizations find new ways of engaging communities by enlisting community members as co-authors of creative works and presenting artistic work in unconventional venues. Other innovations supported the sustainability of the cultural field through such means as piloting new revenue-generating models. The evaluation also revealed the challenge of achieving more than a diffuse impact at the portfolio level, without first designing the fund to have a pre-determined goal or common framework. These lessons and others from the evaluation are now being used in the new work of the Foundation to realize greater social impact. The work being informed by this evaluation includes our continued support to cultural innovation for the sake of social change within the NYC Opportunities Fund. We hope the findings of this evaluation may create value for other funders who are supporting innovations in culture for the sake of achieving social change.

Edwin Torres

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The Rockefeller Foundation launched the NYC Cultural Innovation Fund (CIF) in 2007. Since then, it has supported six rounds of annual grantmaking, resulting in 99 grants to 86 nonprofit cultural and community organizations in New York City. Grants across the six years 2007–2012 totaled \$16.3 million.

An Evaluation Team headed by Helicon Collaborative assessed CIF for the period December 2012 to May 2013 based on Terms of Reference issued by the Rockefeller Foundation in September 2012.

Top findings

Was it worth it?

CIF supported a diverse portfolio of experiments, explorations and innovations by 86 different cultural and community organizations in New York City. Many of these projects would not have happened without the Rockefeller Foundation's support, and most appear to have produced valuable results at the level of the organizations themselves. Available data make it difficult to be conclusive about overall impacts at the community level, but CIF projects demonstrate that there is untapped potential for the arts to contribute meaningfully to the Rockefeller Foundation's goals. In the Evaluation Team's view, the program is well run and the transaction costs for CIF are worth the overall gains.

What came from it?

With the investment of approximately \$2.7 million per year and part-time staff allocation, CIF has:

- advanced understanding of the need for cultural innovation in New York City and nationally, and positioned the Rockefeller Foundation for further leadership in this sphere
- supported a wide variety of innovative projects that reached an estimated 400,000–500,000 people across New York City and, via the Internet, thousands more beyond
- expanded dialogue between cultural organizations and their communities
- supported an array of incremental innovations, helping cultural organizations experiment with new artistic programs and imaginative audience engagement strategies
- encouraged a more disruptive kind of cultural innovation by supporting projects that i) reflect the creative aspirations of low-income and minority people, and ii) contribute to the development of theory and practice integrating the arts into efforts to achieve cultural equity and community resilience
- enabled a number of promising ideas to be tested, many of which have relevance for the Rockefeller Foundation's future work.

Over the course of six years, CIF grants:

- increasingly aligned with the Rockefeller Foundation's goals of equity and resilience, and its four focus areas – securing livelihoods, revaluing ecosystems, advancing health and, most notably, transforming cities
- trended toward addressing challenges for New York City and its residents rather than problems of the arts sector

- trended toward funding smaller and newer organizations, and organizations in the outer boroughs
- trended toward intentionally engaging low-income populations
- trended toward using creative and artistic practices to achieve social change goals.

What's the opportunity going forward?

To understand the larger context in which CIF operates, it's helpful to view New York City as having two cultural sectors. The first is the more visible one, comprised of museums, performing arts presenters, dance companies, theaters and other arts groups – large and small – that create art works and present them to the public. This cultural sector is an essential component of New York City's identity and a major contributor to its economic and cultural vitality. With notable exceptions, most of these cultural organizations work in art forms rooted in Western European aesthetic traditions, and their audiences are predominantly well-educated people of middle and upper income.

The second cultural sector in New York is far less visible and possesses far fewer resources. This sector is focused on encouraging creative expression among, or presenting the artistic traditions of, lower-income and immigrant populations. It is comprised of a growing number of community-based cultural organizations, social service agencies, unions, social justice organizations and artists that see the arts as an important component of their efforts to understand and redress social and economic inequities and build strength and resilience at the neighborhood level. This cultural sector is challenging conventional ideas about what art is and what role it plays in society, and intentionally engages people and issues that are not served by traditional, prestigious cultural institutions.

Both cultural sectors are important to the future of New York City. Over the past six years, CIF has assisted many cultural organizations in the “first” cultural sector to explore innovations in the way they create and present artistic work and engage civic issues. On an innovation spectrum from incremental to disruptive, most of these projects have been largely incremental in nature, and the Rockefeller Foundation's support for such groups has been an extension of its distinguished history of philanthropy in the arts. CIF has also supported a growing number of organizations in the “second” cultural sector, recognizing their philosophical alignment with the Rockefeller Foundation's goals and validating the role of the arts in making communities more equitable and resilient. On the innovation spectrum, the program innovations of these groups tend to be further toward the disruptive end, and the Rockefeller Foundation's investment in them, in itself, is a distinctive innovation in arts philanthropy. The recent study on the distribution of funding for the arts, *Fusing Arts, Culture and Social Change*, revealed that more than 55 percent of all contributions go to just 2 percent of all cultural organizations – those with budgets over \$5 million.¹ By supporting smaller, more community-based organizations, the Rockefeller Foundation is interrupting conventional views of the arts and the kinds of organizations that do worthy work in this arena.

¹ Sidford, H. 2012. *Fusing Arts, Culture and Social Change*. National Committee on Responsive Philanthropy. <http://www.ncrp.org/paib/arts-culture-philanthropy>

The six years of CIF grantmaking have been a period of discovery as the Rockefeller Foundation has explored the ways that the arts can propel innovation, equity and resilience. With CIF, the Rockefeller Foundation has established a leadership position in the emerging field of cultural innovation, which it can build on and strengthen in coming years. To make a greater contribution to the Rockefeller Foundation's goals in the future, CIF needs a clearer connection to the Rockefeller Foundation's overarching strategy, an explicit theory of change that supports those desired impacts, and a plan for grantmaking and knowledge-capture that helps grantees achieve desired outcomes while documenting their experiences in ways that can inform and encourage others. Based on CIF's achievements, this report sketches three future options for the Rockefeller Foundation's consideration: i) make a modest adjustment to the current program design, ii) use the arts as a "distinct innovation solution" that continues the Rockefeller Foundation's commitment to support groundbreaking innovation in various fields, and iii) reconfigure CIF as a laboratory to build the nascent field of Art and Social Change.



Introduction

This report presents the findings of a formative evaluation of the NYC Cultural Innovation Fund (CIF) conducted between December 2012 and May 2013.

1.1 Background

The Rockefeller Foundation's NYC Cultural Innovation Fund was created in 2007 as part of an opportunity fund to “recognize and support innovation in the cultural arena and to strengthen the role arts play in the life of New York City.”² Since 2007, CIF has operated on an annual cycle of grantmaking. Between 2007 and 2012, CIF awarded 99 grants to 86 organizations, with a total expenditure of \$16.3 million.

1.2 Description of CIF – goal and intended outcomes

The stated intention of CIF at its launch in 2007 was to help New York City maintain its “traditional role as a global capital of creativity, culture and diversity” during a time of “tremendous economic, demographic, and social transformation.”³ The premise was that New York City's large and diverse community of arts and cultural organizations is critical to the City's overall health and international reputation.⁴ By providing grants focused on shaping the City's cultural and civic agenda, providing financial support to innovative new artistic works, linking cultural and community organizations with universities and the private sector, and alleviating bottlenecks to the expansion of cultural vitality, the Rockefeller Foundation sought to enhance New York City's role as a global center of creativity, culture and diversity, and strengthen its economic and cultural vitality.

Within the Rockefeller Foundation, there were other motivations for the creation of

² Memo to the Rockefeller Foundation Board, November 2007.

³ The Rockefeller Foundation. 2007. <http://www.rockefellerfoundation.org/our-work/current-work/new-york-city/nyc-cultural-innovation-fund>

⁴ Several reports at that time, such as The Center for an Urban Future's, Creative New York (2005) made the case for the cultural sector's central importance to New York.

BOX 1

CIF program goals and strategies: 2007–2012

Goal

To recognize and support programmatic innovation and new opportunities in the cultural arena that will strengthen and advance the role the arts play in the future of New York City.

Support for:

- creative engagement with the issues shaping New York City’s future cultural and civic agenda
- programming and premieres of new artistic works that demonstrate innovation and can activate new directions
- the artistic breadth and depth of institutions in the visual, performing and media arts
- partnerships that bring cultural and community-based institutions together with universities and the private sector
- interventions designed to confront longstanding bottlenecks and limitations on the expansion of cultural vitality with fresh approaches and solutions.

CIF. The Rockefeller Foundation’s priorities were shifting under the leadership of Dr. Judith Rodin, who had been appointed president in 2005. This included the decision to close its Creativity & Culture program, an international program operating since before 2000 that had funded many groups in New York City. Some of the Rockefeller Foundation staff members also worried that divesting the arts entirely posed a risk to the Rockefeller Foundation’s reputation, given its historic leadership position in cultural funding and its significant contributions to the development of key cultural institutions in New York.⁵

The Cultural Innovation Fund aimed to “catalyze cultural organizations throughout the city to undertake innovative and path-breaking programming and projects that build the city’s cultural vitality and open new pathways to creativity.”⁶ This emphasis on innovation aligned with the Rockefeller Foundation’s evolving institutional priorities. It also aligned with a growing realization among national arts leaders and other arts funders that the cultural sector needed to find innovative approaches to deal with growing challenges to its viability, including declining audiences, weak capitalization structures, and competition from commercial and technology-enabled entertainment alternatives. For example, both the Doris Duke Charitable Foundation and the James Irvine Foundation began innovation initiatives in the cultural sector around 2007–2008, and the Knight Foundation and Cleveland Foundation subsequently adopted some concepts from the CIF program.

CIF was situated within the Rockefeller Foundation’s New York City Opportunities Fund, which was created “to respond to important civic priorities in the City and as a manifestation of the Rockefeller Foundation’s commitment to its home city.”⁷ The New York City Opportunities Fund is comprised of the Opportunities Fund, the Jane Jacobs

⁵ P. Madonia, Rockefeller Foundation, personal communication, 2013

⁶ The Rockefeller Foundation website, 2007.

⁷ The Rockefeller Foundation. 2007. Internal Foundation document: “Rockefeller Foundation New York City Opportunities Fund, NYC Cultural Innovations Fund”.

Award and CIF, and supports other projects through grants related to building resilience and economic equity.

From the beginning, CIF has benefited from the counsel of experts in innovation and the arts who were asked to advise the program: Lowery Stokes Sims, Curator at the Museum of Arts and Design and former President of the Studio Museum in Harlem; David Thorpe, Vice President for Strategy and Analysis for Sapien; Andrew Zolli, Founder of Z+Partners and Curator of the annual Pop!Tech Conference; and Eungie Joo, former Keith Haring Director and Curator of Education and Public Programs at The New Museum.⁸ These individuals have provided CIF staff with general advice and have offered comments on specific grant proposals, when requested.

1.3 Theory of change of CIF

The goals of the CIF program have remained constant since 2007, but the interpretation of these goals shifted with the evolution of the Rockefeller Foundation's overarching priorities and a change in program officers. Initially focused on enhancing the role and status of the city's arts sector, over time CIF shifted toward enhancing results for New York City residents and the city itself. The Evaluation Team found that CIF had two distinct phases, which corresponded with the leadership of its two managers: Phase 1, from 2007 to 2009, operated under Joan Shigekawa, and Phase 2, from 2010 to 2012, under Edwin Torres. Table 1 summarizes the two phases of CIF.

TABLE 1: **Phases of CIF**

	PHASE 1	PHASE 2
Years	2007–2009	2010–2012
Total disbursed	\$7.8 million	\$8.5 million
Average grant	\$156,000	\$170,000
Program officer	Joan Shigekawa	Edwin Torres
Total grants	49	50
Grant goals	Published goals (2007–2012) <ul style="list-style-type: none"> • Addressing civic issues facing New York City • Innovative artistic programs or premieres of new work • New partnerships • Strategies to overcome constraints and structural challenges in the cultural sector 	Refined goals (2010–2012) (not formally published) <ul style="list-style-type: none"> • Access to cultural institutions for poor and vulnerable people • Innovations in cultural presentations including uncommon places • Innovations in cultural forms that reflect New York City's diversity • Engagement of the poor as co-authors and co-presenters • Leveraging creative expression to influence policy and practice • Innovations that decrease reliance on grant support

⁸ Lowery Sims stepped down as advisor in 2009 and Eungie Joo joined in 2011.



As reflected in internal documents and interviews with the Rockefeller Foundation staff members, the second phase of CIF put greater emphasis on serving and engaging poor and vulnerable people, making the arts more accessible to diverse people through presentations in unusual public places and recognizing the cultural diversity of New York City's communities.

This shift reflected the Rockefeller Foundation's increasing focus on equity and resilience, and on poor and vulnerable populations. The attention to the cultural diversity of New York City's populations sought to recognize "marginalized voices" – the perspectives and aspirations of people who previously had no place in the production or distribution of the arts. It also reflected CIF manager Edwin Torres's belief that dialogue between cultural organizations and audiences leads to greater relevance in cultural programming, particularly for underserved groups.

The evolving focus of the program was communicated to applicants primarily through discussions with Torres, and through modifications to guidelines for applications and grant reports.

Logic model

CIF has operated without an explicit theory of change. To understand the evolution of thinking behind CIF, the Evaluation Team used program documents to create a logic model retrospectively for each of the two phases. Conversations with Torres helped clarify and refine how the theory of the program evolved.

The two logic models (Figures 1 and 2) reflect the important shift that occurred between 2007 and 2012. Initially, CIF was primarily intended to strengthen New York City's role as a cultural capital, but as the program evolved, it focused more on broadening access and participation in the arts and strengthening the cultural options for low-income New York City residents and their neighborhoods.

FIGURE 1: **CIF Theory of change, Phase 1: 2007–2009**

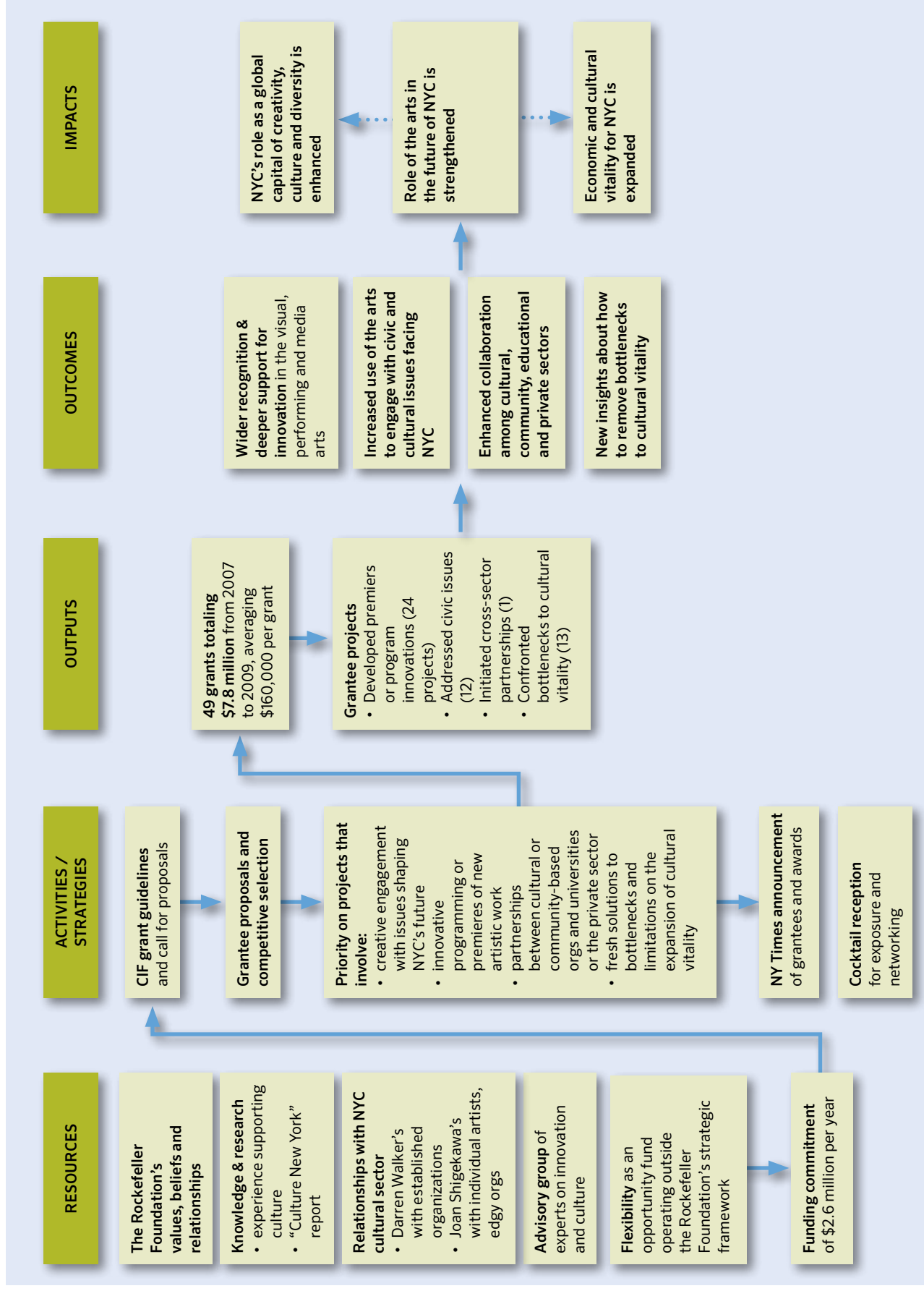
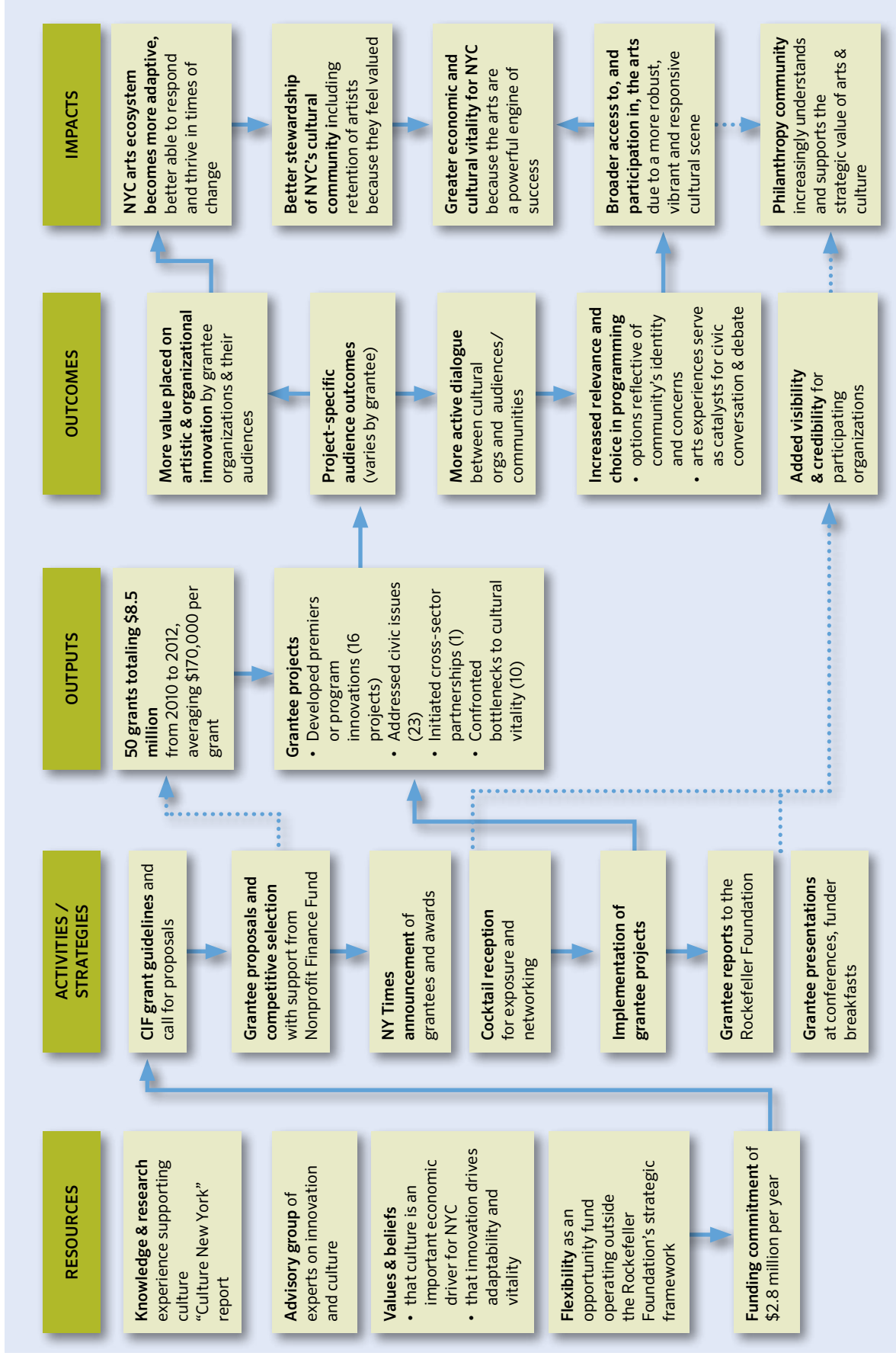


FIGURE 2 CIF Theory of change, Phase 2: 2010–2012



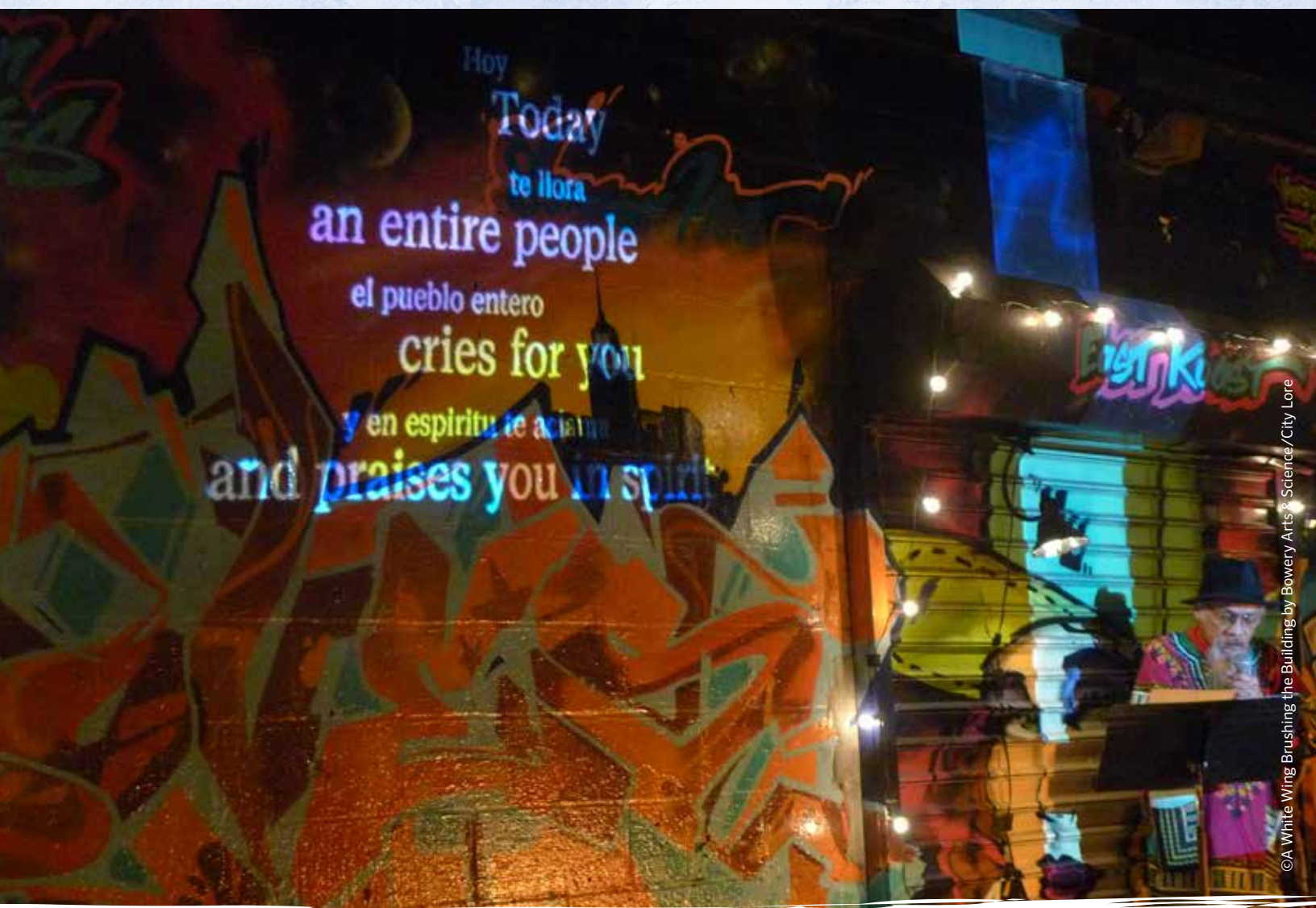
Purpose and objectives of the evaluation

The purpose of this evaluation, outlined in the CIF Evaluation Terms of Reference dated September 2012, is to:

1. categorize and analyze the grantmaking portfolio of CIF, taking into account the evolving focus and purpose of the CIF over time
2. assess the relevance, effectiveness and influence of the grantmaking in relation to the evolving goals of the program and the Rockefeller Foundation – more equitable growth and resilience
3. broadly inform the future work of the Rockefeller Foundation in arts innovation, equity, social change and resilience
4. contribute to knowledge generation for the Rockefeller Foundation and the field by capturing lessons in cultural arts innovation, with specific relevance to equity, social resilience and social change.

Findings and conclusions from the evaluation are intended to inform the strategy and future cultural innovation practice of the Rockefeller Foundation.

As part of its commitment to knowledge-building in its fields of practice, the Rockefeller Foundation provided financial support to the Foundation Center to conduct a synthesis review of relevant literature and evaluation studies in the field of cultural innovation. Titled “Key Lessons from the Field of Cultural Innovation”, it is the first in a series of such reviews for which the Rockefeller Foundation intends to provide financial support, in tandem with evaluations of its initiatives, to provide a broader understanding of the landscape within which the Rockefeller Foundation operates.



©A White Wing Brushing the Building by Bowery Arts & Science/City Lore

Context for the evaluation

A clear and shared definition of cultural innovation has not yet emerged in the arts sector. However, the concept is gaining attention as a result of initiatives such as CIF and the work of other funders such as the Doris Duke Charitable Foundation and the James Irvine Foundation. The Evaluation Team's interviews with grantees and national leaders confirmed that the term "cultural innovation" has different meanings to different people. Some view cultural innovation as any activity that is new to the cultural organization being studied, while others view it as activity that has never been tried before in the cultural sector. To most, cultural innovation suggests a broad array of activities focused on new ways to create art or present it to the public, and new approaches to the business models and financing structures of cultural organizations.

CULTURAL EQUITY. A small but important group of cultural leaders, researchers and theorists thinks about cultural innovation differently. For this group, cultural innovation entails a fundamental shift in thinking about the role of art in society, away from the traditional institution-based paradigm of artistic excellence toward a more participatory, community-centered construct.⁹ This conceptualization of cultural innovation is often connected with the idea of "cultural equity" and the use of the arts to advance social change. Coined by folklorist Alan Lomax in the 1970s, cultural equity encompasses efforts to democratize the arts, recognize the fullest spectrum of cultural traditions and afford all people opportunities to express their creative voices actively.

The concept of cultural equity has gained new currency in the past decade, as more funders, cultural leaders and artists have recognized the increasing demographic and cultural diversity of our country, and observe the power of the arts to help people address issues of inequality in their communities. This growing group of advocates for cultural equity asserts that communities of all kinds should have opportunities for creative expression, and that the current system of producing and distributing the arts in the nonprofit sector is tipped heavily toward larger, more established institutions and higher income, predominantly white audiences.¹⁰ In the words of urban planner and noted researcher Maria-Rosario Jackson:

⁹ Leading researchers in this movement include Bill Ivey, Maria-Rosario Jackson, Steven Tepper and Alika Wali.

¹⁰ Sidford, H. 2012. *Fusing Arts, Culture and Social Change*. National Committee on Responsive Philanthropy. <http://www.ncrp.org/paib/arts-culture-philanthropy>

Activity that is about cultural self-determination is incredibly empowering, especially when it has to do with expressing one's own history or aspirations, one's visions for the future. This is especially true for communities that have been historically demeaned or isolated. ... Participating in the arts as an individual or as part of a group can have transformative effects on participants, leading to greater personal agency, more stewardship of place and increased civic engagement (Maria-Rosario Jackson).

RESILIENCE. Resilience is a relatively new concept in the cultural sector, but it is gaining traction. A growing body of research is demonstrating that arts and culture can be critical partners in helping communities deal with sustained stress, trauma and upheaval of various kinds. The proponents of this view see the arts as an important tool in helping develop social capital and community flexibility, making community residents – particularly young people – more adaptive and creative.¹¹ The following excerpts from our interviews with youth development expert Shirley Brice Heath and futurist Andrew Zolli capture this viewpoint well.

Resilience depends on the ability to see ways out. Not a way out, but ways out, ways forward, ways ahead. That's important to all of us throughout life. It's about seeing possibilities and imagining pathways toward them. That kind of mental activity, that kind of openness is modeled in the arts ... projects that are extended, complex, that engage real-world questions of significance and risk failure as well as success (Shirley Brice Heath).

As we travel around the world looking at resilient communities, we have found that many of the most resilient communities are those that – paradoxically – experience a lot of disruption. These communities typically have a strong shared, cultural memory of the past failure that shapes their relationships, their preparedness, and their understanding of risk. And that cultural memory is often transmitted through the arts – in stories, songs, sculptures, food traditions, and other means of expression (Andrew Zolli).

¹¹ Proponents include, for example, the work of Maria-Rosario Jackson. Andrew Zolli and Mark Stern of the University of Pennsylvania Social Impact of the Arts Project and The Reinvestment Fund; cultural policy researcher Steven Tepper, and Shirley Brice Heath's work on the value of the arts in youth development programs.

Methodology

4.1 Approach

The CIF evaluation included the following elements:

- review of CIF program documents, grant summaries and internal reports
- interviews with 11 of the Rockefeller Foundation senior staff
- interviews with 16 grantees from a total of 86, including groups reflecting different organizational purposes, budget sizes, city boroughs, artistic disciplines and CIF program goals
- analysis of the complete CIF grant portfolio (Annex 3 includes a list of the grants)
- review of grantee websites for evidence that CIF projects were sustained beyond the grant period or influenced other programs of the grantees
- development of two logic models to represent the initial intentions of the program and its evolution
- electronic survey of all CIF organizations invited to submit full applications (470 organizations surveyed, 124 respondents)¹²
- interviews with nine local and national leaders with knowledge of philanthropy, innovation and resilience
- contributions to the synthesis review on cultural innovation conducted by the Foundation Center.

Evaluation instruments, including surveys, interview protocols and portfolio analysis criteria, can be found in Annex 4.

4.2 Data sources

Key data sources included:

- memoranda and other program documents of the Rockefeller Foundation
- grantee applications
- grantee interim and final reports
- grantee websites

¹² Of the 124 respondents, 68 were grantees (68 percent of possible grantee respondents) and 56 non-grantee applicants (14 percent of possible non-grantee respondents). The grantee response rate is high and suggests the survey results are representative of the overall grantee pool.

- interviews with grantees
- interviews with Rockefeller Foundation staff
- applicant survey
- interviews with national leaders.

The portfolio analysis examined CIF grantees along the following parameters:

- type of organization
- size of organization
- date of grant
- size of grant
- location of grantee
- project focus related to CIF goals
- project focus related to the Rockefeller Foundation goals and issue areas
- project focus related to the Rockefeller Foundation's definition of innovation.

Evaluation Team members reviewed all final reports from completed CIF grants, interim reports from those CIF grants that had not yet filed final reports, and applications from 2012 grants without any reports. In addition, Evaluation Team members reviewed press releases and internal memos regarding grants, and summary outputs and outcomes from 2010 and 2011 CIF grantees compiled by CIF manager, Edwin Torres, in April 2013. Team members also reviewed selected publications by the Rockefeller Foundation staff, including *Innovation for the Next 100 Years*, by Judith Rodin, published in the *Stanford Social Innovation Review*.¹³

4.3 Limitations of the evaluation

In conducting its work, the Evaluation Team encountered an important limiting factor in fully addressing the Terms of Reference. The Rockefeller Foundation does not require CIF grantees to report on outcomes or impacts. This limits the extent to which the Evaluation Team can assess the changes that have occurred as a result of an individual CIF grant or the portfolio as a whole.

- **LACK OF DATA ON OUTCOMES AND IMPACTS.** Grantee reports focus on the activities that organizations undertook during their grant periods, rather than on the outcomes or impacts on the larger cultural sector, the vitality of New York City, or poor and vulnerable populations. Grantees provided information on their planning and research activities, the public programs and events they sponsored, the websites they launched, the artists they worked with, the funds they raised, and other grant-funded accomplishments. Applicants were not asked to submit the theories of change in their proposals, and the Rockefeller Foundation's grant report forms did not specifically request information on external impacts until 2012.
- **INCONSISTENT USE OF TERMINOLOGY.** Grantees used the terms "impact" and "outcome" inconsistently, making comparisons difficult and holistic portfolio analysis challenging.

¹³ Rodin J. 2013, Summer. "Innovation for the Next 100 Years", *The Stanford Social Innovation Review*.

Interviews with grantees and conversations with Edwin Torres provided additional perspective on outcomes achieved by selected grantees, but there is no comprehensive data on the impacts of individual CIF grants or the full portfolio.

4.4 Definition of terms

The Rockefeller Foundation's thinking about cultural innovation and resilience has evolved since 2007, and its definitions of some key terms were not available to applicants and grantees until relatively recently. For the purposes of consistency and alignment with the evaluation's Terms of Reference, the Team used the following definitions offered by the Rockefeller Foundation at the start of the evaluation.

INNOVATION: A new product, process or service that is discontinuous from previous practice and yields new pathways for solving acute problems or fulfilling a mission.

SOCIAL INNOVATION: Often recombinant, it is a hybridization of existing elements that are combined across boundaries in new ways to yield better solutions, leaving healthier social relationships in their wake.

RESILIENCE: Capacity of individuals, communities and systems to survive, adapt and grow even stronger in the face of stress and change.

EQUITY: Equality of opportunity to achieve equality of circumstance.



Main findings and lessons

5.1 Distribution of CIF grants

Between 2007 and 2012, CIF awarded \$16.3 million through 99 two-year grants to 86 organizations in six grant cohorts. Grants ranged from \$25,000 to \$250,000; the average grant was \$214,000. This section reviews the distribution of CIF grants by type of institution, borough, size and age of grantee organization, and the focus of the CIF grant project.



Finding 1

DISTRIBUTION OF GRANTS BY TYPE OF INSTITUTION

More than two-thirds (68 percent) of CIF grants and grant funds (67 percent) went to arts producers, presenters and arts service organizations. The balance supported projects sponsored by community development, social justice, urban planning and environmental organizations.

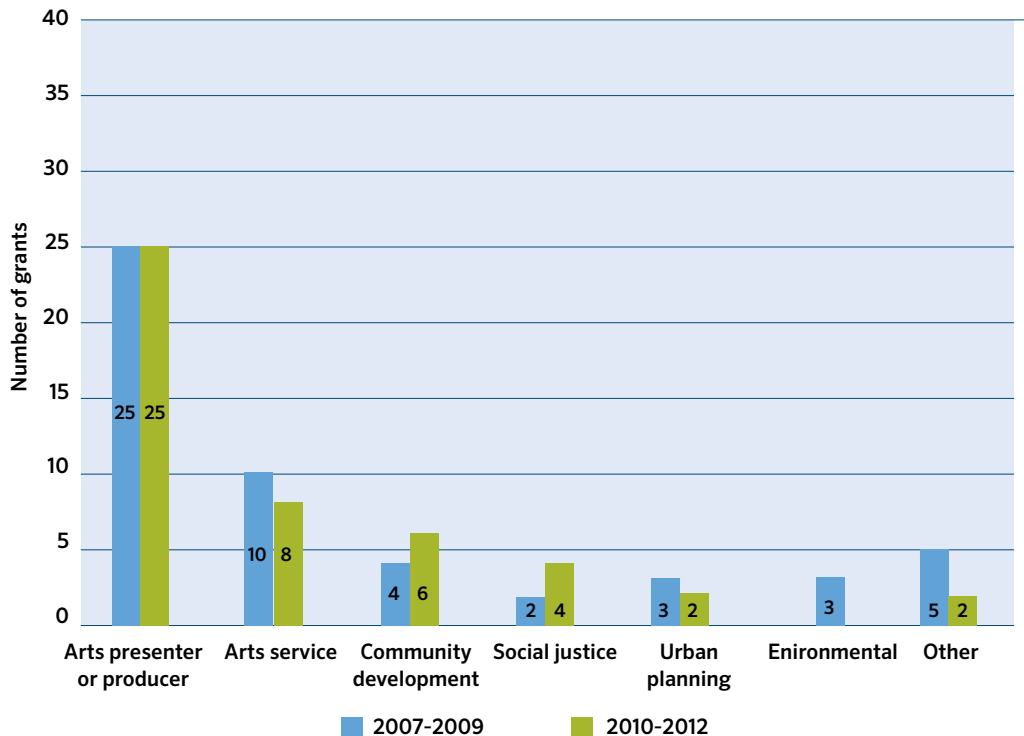
An analysis of the CIF grant portfolio shows that just over 50 percent of grants and grant funds went to arts producers and presenters such as performing arts groups and museums. Approximately 18 percent of grants and 17 percent of the grant funds went to arts service organizations, and approximately 34 percent of grants and grant funds were allocated to community development, social justice, urban planning, environmental and other kinds of organizations.

Figure 3 shows the primary purpose of the grantee organizations based on the Evaluation Team's reading of grant reports and review of grantee websites.

In the survey of organizations that submitted full applications to the CIF, 99 percent of the grantee respondents from the early cohort (2007–2009) defined themselves as nonprofit arts presenting, producing or arts service organizations (n=30).¹⁴ While

¹⁴ The survey respondents' self-identification differs from the Evaluation Team's categorization of the organizations for the early cohort (2007–2009). The Team's analysis suggested that 29 percent of organizations from this cohort are not primarily arts organizations. One possible explanation for this discrepancy is that the non-arts organizations in the first cohort – such as the Alliance for Downtown New York, Bronx Overall Economic Development and Times Square Management Association – were less likely to respond to the survey request.

FIGURE 1: CIF GRANTEE ORGANIZATION TYPES



a majority of the later (2010–2012) cohort (63 percent) also defined themselves this way, more than a third (37 percent) defined their organizational focus otherwise – as community development, social justice, environment/conservation or other. This reflects the overall shift of the focus of the CIF away from projects primarily related to advancing the interests of arts institutions and toward projects that use the arts as a means to achieve broader community goals.



Finding 2

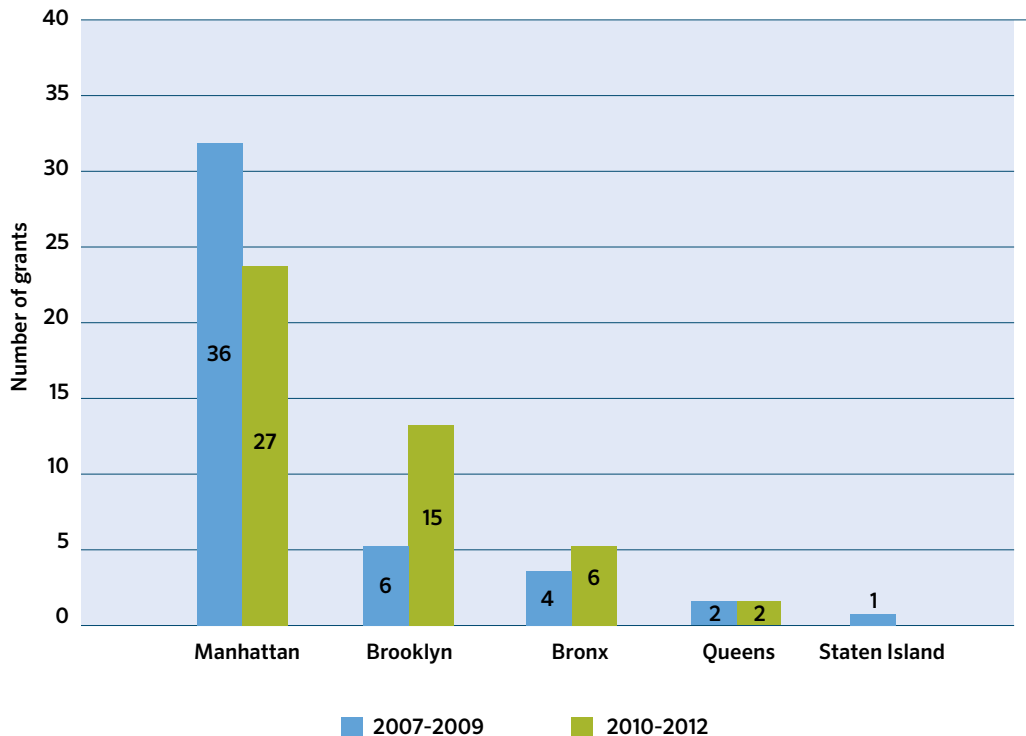
GEOGRAPHIC DISTRIBUTION OF GRANTS

CIF grants were awarded to organizations in all five boroughs of New York City. A significant majority (63 percent) of funded projects were sponsored by organizations based in Manhattan. They received 66 percent of total grant funds, followed by grants to organizations in Brooklyn (21 percent), Bronx (10 percent), Queens (4 percent) and Staten Island (1 percent).¹⁵

Figure 4 represents the geographic distribution of grants based on an analysis of the grant portfolio and results of the applicant survey.

¹⁵ Of the Manhattan grants, 45 reached general New York City audiences and 14 targeted specific neighborhoods in Manhattan, such as Harlem, Chelsea or Chinatown. Several reached other boroughs in addition to Manhattan – two reached the Bronx and two reached Brooklyn. Similarly, many of the grants made to organizations based in the outer boroughs reached audiences beyond the immediate neighborhood of the grantee.

FIGURE 2: CIF GRANTEE LOCATIONS



Finding 3

SIZE AND AGE OF GRANTEES

The survey revealed a shift in both the size and age of grantees between the two cohorts, toward smaller and younger organizations in the later cohort.

Overall, CIF grantees ranged in budget size from less than \$500,000 to more than \$50 million. In the early cohort, 18 percent of organizations (9 of 49 grants) had budgets under \$1 million compared with 54 percent of the later cohort (26 of 50 grants).

CIF grantees ranged from organizations in existence for less than three years to more than 150 years. About a third (31 percent) of grantees in the early cohort were founded after 1990, whereas 75 percent of the later cohort were founded after 1990. Of the later cohort, 44 percent were founded since 2000.

These data are in line with the shift in CIF's focus toward more community-based organizations and groups in the outer boroughs, which tend to be smaller and younger.



Finding 4

DISTRIBUTION OF GRANTS BY CIF GOALS

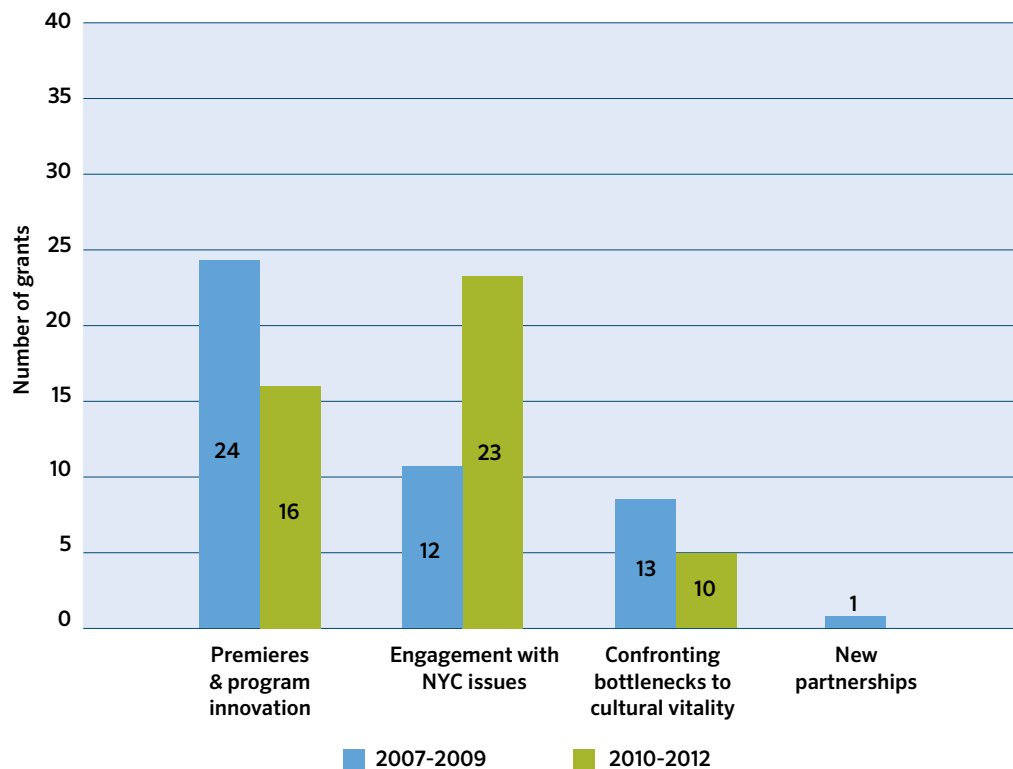
The funded projects were well aligned with CIF goals, with close to three-quarters of the grants focusing on two CIF goals: programming or premieres of new artistic work and addressing civic issues shaping New York City. Only 2 percent made new partnerships and alliances a key purpose of their grant.

Overall, 40 percent of grant projects (40 of 99 grants) focused on new work, premieres or program innovations, according to a review of grant reports. These ranged from a concert series featuring musical collaborations among Afro-Caribbean, jazz, hip-hop and reggae musicians to a festival of African American music at Carnegie Hall.

In addition, 34 percent of the projects focused on using the arts to address issues shaping New York City, such as gentrification, immigration, urban design and community redevelopment, while 23 percent of grant projects focused on bottlenecks in the arts system, such as the economics of small theater productions or the difficulties artists face due to the expense of living in New York. Many projects involved multiple partners and alliances, but only 2 percent made new partnerships and alliances a key purpose of the grant.

Figure 3 shows the categorization of CIF grants based on the primary purpose of each project relative to CIF's published goals.

FIGURE 5: GRANTS BY CIF GOALS





Finding 5

SHIFT IN PROGRAM FOCUS BETWEEN CIF GRANTEE COHORTS

The later cohort of grants (2010–2012) shifted project emphasis toward using the arts to engage issues shaping New York City and away from grants focused on art premieres and arts program innovations.

In the first period, 49 percent of grants (24 of 49 grants) supported premieres and arts program innovations but only 32 percent of those in the later cohort (16 of 50 grants) went to these purposes. In the second phase, 46 percent of grants focused on using the arts to engage issues shaping New York City, whereas in the first three years, only 24 percent of the grants had gone to this purpose. These data are consistent with other indicators reflecting CIF's shift from a focus on the needs of the arts sector to a greater community orientation.

5.2 Performance of the NYC Cultural Innovation Fund

The following section assesses the performance of the CIF program, providing answers to the questions outlined in the evaluation's Terms of Reference (see Annex 1). These findings fall in five categories: relevance, effectiveness (including distinctive innovations), efficiency, influence and impact.

Findings – Relevance of CIF



Finding 6

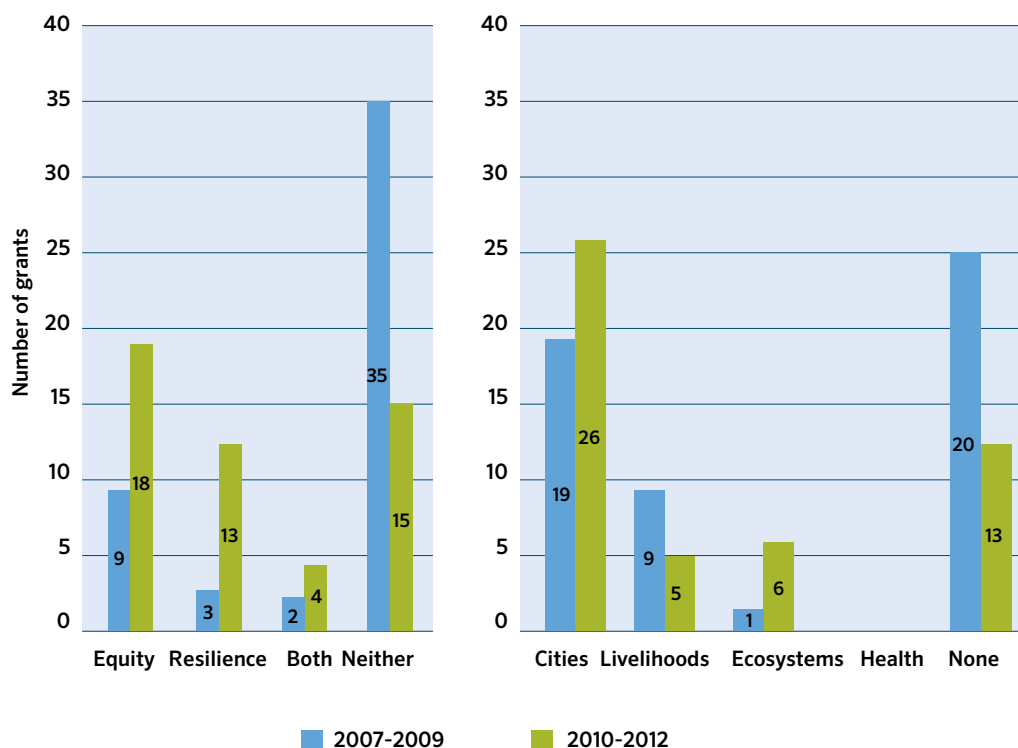
CIF GRANTS RELEVANT TO THE ROCKEFELLER FOUNDATION'S GOALS AND FOUR FOCUS AREAS

CIF grantees addressed the Rockefeller Foundation's goals of equity and resilience and its four focus areas. CIF grants that included equity and resilience objectives increased significantly as the program evolved. In the focus areas, grantees focused mostly on transforming cities followed by revaluing ecosystems and securing livelihoods. Only one focused on advancing health.

The Rockefeller Foundation's overarching goals (equity and resilience) and four focus areas (transform cities, secure livelihoods, revalue ecosystems, advance health) have been delineated relatively recently. However, the Evaluation Team's review of grant reports shows that approximately 49 percent of CIF projects have addressed the goals of equity and resilience and 66 percent have addressed at least one of the four focus areas.

Figure 6 represents the distribution of grantee projects across the Rockefeller Foundation's goals and four focus areas. It shows the number of CIF projects dealing with issues of equity doubled between the early and later cohort (from 9 to 18), and the number of projects dealing with resilience rose fivefold (from 3 to 13). The number of projects focused on improving New York City increased by 37 percent (from 19 to 26), and the number focused on ecosystems increased sixfold (from 1 to 6). These shifts

FIGURE 4: CIF PROJECT THEMES



clearly reflect Eddie Torres' efforts to elevate these themes in the CIF program and his work with applicants and grantees.

Examples of these projects, shown in Boxes 1, 2 and 3, illustrate the variety of approaches used.



Finding 7

DISTINCTIVENESS AND RELEVANCE OF CIF TO THE GRANTEES

CIF is increasingly distinctive to the majority of grantees because it provides cultural organizations with “risk capital” for early-stage innovation, which is highly relevant to their aims and needs.

A majority of survey respondents (53 percent) indicated that the opportunity to get support to innovate, try new approaches or conduct a type of work not supported elsewhere was the most appealing feature of the CIF grant, surpassing even “the money” as an answer choice in the survey. The results become more pronounced for the second cohort, where 80 percent said the opportunity to innovate was the most valuable factor of their grants. One survey respondent expressed the sentiments of many, stating that “few other grant programs in the arts encourage this kind of risk-taking.” Another respondent noted, “The grant helped us establish a new project that most funders didn’t understand. We are now in a position to make a solid case to funders who are not as innovative as CIF.”

BOX 1

Examples of relevance to equity

Twenty CIF projects addressed themes related to community and cultural equity. They did this by focusing on cultural programs that reflect non-Western cultures (the arts of immigrant populations from Africa, Asia, Latin America and the Middle East), providing a means of cultural production to people without ready access to it, or using the arts to explore and illuminate the challenge of equity in New York City.

- **The Civilians:** Produced *In the Footprint*, a play developed with neighborhood residents about the economic and political struggle over the Atlantic Yards redevelopment project in Brooklyn.
- **Museum of Contemporary African Diasporan Art:** Two CIF projects raised the profile of African-rooted culture in Brooklyn and made public housing sites venues for large-scale community arts events and festivals.
- **Ghetto Film School:** Taught filmmaking techniques to low-income teens in the South Bronx and helped them produce their own films and video projects, thus providing the only access these young people have to such artmaking techniques and pre-professional training in arts production.

BOX 2

Examples of relevance to resilience

Twelve CIF grant projects addressed resilience. CIF projects bolstered resilience in one of two ways: i) enhancing the resilience of the arts ecosystem of New York City or ii) strengthening the role of arts in making specific communities more resilient.

- **EmcArts Innovation Lab:** Provided training in innovation techniques to a group of 31 cultural organizations, including a cohort of CIF grantees, to enhance their adaptive capacity.
- **Casita Maria, Caribbean Cultural Center, Women's Housing and Economic Development Corporation, El Puente** and others made the cultural history of their neighborhoods integral to their strategies for local economic re-development and arts-based entrepreneurship – making specific communities more resilient through the arts.

BOX 3

Examples of relevance to four focus areas

Nearly half of CIF projects dealt with issues related to at least one of the Foundation's four issue areas. The vast majority of these (31) addressed issues related to Transforming Cities.

- **Architectural League's** online magazine *Urban Omnibus*, and the **Friends of the High Line's** public art project are examples of projects focused on enhancing urban infrastructure and people's engagement with urban spaces.
- **Wildlife Conservation Society's** project on urban environmental systems and **CUNY's** *Atlas of the New York Environment* are examples of CIF grants relating to natural ecosystems.
- **Harvestworks'** partnership with the Industrial and Technology Assistance Corporation to develop artists' entrepreneurial ventures, and **ArtHome's** efforts to establish microloans and individual development accounts for artists are examples of grants relating to sustainable livelihoods.

In interviews, a number of grantees expressed appreciation for the Rockefeller Foundation's recognition, noting that they had not previously had access to national funders and had never been funded by the Rockefeller Foundation. As one survey respondent put it, "The last few years of the CIF grant program have brought support and validation to a lot of smaller organizations doing really innovative work that is often under the radar of the traditional arts funding community, as well as press and audiences."

In interviews, both grantees and national leaders commented that cultural organizations need to innovate to become more relevant and adaptive in the future. Several interviews supported the survey's findings on the importance of risk capital and the resources to innovate, observing that old paradigms about the way artists and cultural groups operate are being challenged by shifts in demographics, technology, the economy, and the way people interact with arts and culture; and that new approaches are required to respond to these developments. Several suggested that the cultural sector must make meaningful contributions to community equity and resilience if it is to remain relevant. They also noted that promising practices are being developed but this kind of work is difficult, especially for conventional arts groups. As cultural policy researcher Steven Tepper put it, "The infrastructure we've developed is about supporting professional artists and managers in presenting excellent arts. It's good for people to have access to that. But when you think deeply about the public interest in the arts, it changes the criteria and we need new approaches to make the arts more relevant to more and different people."



Finding 8

MOTIVATION OF GRANTEES

The most important motivation for grantees' CIF projects across both grantee cohorts was the desire to serve their community in new ways followed by desires to move forward a kind of work already started and to explore a challenging problem for their community or New York City.

The vast majority of survey respondents (91 percent) reported that the desire to serve their community in new ways was a very important motivator for their CIF projects.

Organizations in the second cohort were motivated more strongly by the desire to explore a challenging problem for their community or New York City. In the second cohort, 90 percent reported this as a very important motivator, compared with 73 percent in the first cohort. These findings reinforced other data that also indicated the shift in CIF's focus away from innovations in arts programming and toward innovations serving City residents and neighborhoods.

Grantee interviews reinforced the shift revealed in the survey and added nuance to it. A 2009 CIF grant to the Alliance of Resident Theaters/NY is a good example of addressing a challenge facing the arts sector. The project supported research on innovative ways to reduce theater production costs and develop cooperative management systems for small theater groups. "The operating model for nonprofit theater is

broken,” according to the Alliance’s Executive Director Virginia (Ginny) Louloutes. “The problems are systemic. Our costs are rising and our income is fixed. It’s not just an economic problem, but until we make the model work, we are in trouble.”

CIF’s 2010 grant to the Foundry Theater reflects CIF’s shifting emphasis toward addressing challenges for a neighborhood or struggling community. “The arts are vital to social change,” according to the Foundry’s artistic director, Melanie Joseph. “Not only art that carries a social change message but art that works to help people imagine and prefigure the more just world we struggle for.” With its CIF grant, Joseph reported, the Foundry “worked with Families United for Racial and Economic Equality – mostly Caribbean and African American families – on creating new work, including an adaptation of Pins and Needles, a Depression-era Broadway revue originally produced by the ILGWU. The parallel that participants made between the two eras – 1930s and 2010s – and the continuing struggle to make the world better was very powerful. In the social justice sector you see a lot of work on ‘prefiguration,’ the idea of living the future now. That’s what we do in the arts, too, but we too rarely make connections with the social justice movement. There is powerful chemistry when it happens.”

Overall, just over half (55 percent) of grantees reported that engaging low-income people in art activities was an important motivation for their CIF project. There also was a significant difference between the cohorts, with 64 percent in the first cohort reporting this was very important but 43 percent in the second cohort. This data point is at odds with other information regarding the shift in CIF’s emphasis toward engaging low-income people, and it is difficult to explain. It may be that the way that the survey choice was worded: “we wanted to engage low-income people in art activities” may not have fully encompassed the ways that organizations in the later cohort were engaging communities. It is also possible that this motivation was an inherent part of these organizations’ programming, and not a motivation for a particular project. However, this motivation ranked seventh for the early cohort and ninth for the later cohort, suggesting that it was not one of the most important motivators for either cohort.

Findings – Effectiveness

At the portfolio level



Finding 9

CIF HAS RAISED THE VISIBILITY OF CULTURAL INNOVATION WITHIN THE NEW YORK CITY CULTURAL SECTOR AND WITH NATIONAL ARTS FUNDERS

CIF has drawn attention to the issue of cultural innovation and the need to support innovative practices in the cultural sector.

All five foundation officers that the Evaluation Team interviewed (senior staff at foundations in New York City, California, Ohio and Massachusetts) were aware of CIF and two specifically mentioned the New York Times ads about the program awards. Grantee interviews indicated that CIF is broadly visible in the nonprofit cultural sector,

and many credited the Rockefeller Foundation for leadership in raising awareness of the need for innovation in this field. One survey respondent commented, “CIF has become an important part of the arts ecology in New York City.”



Finding 10

GRANTEES SUPPORTED CIF GOALS INDIVIDUALLY BUT THERE WAS LITTLE CONNECTION AMONG GRANTEES

All grantees pursued CIF goals. However each pursued them differently and there was little connection among grantees for broader impact.

CIF has seeded a broad test bed of experiments and explorations in the area of cultural innovation. As data above indicate, CIF grantees supported the goals of the Rockefeller Foundation, addressing the four different initiative goals¹⁶ and the Rockefeller Foundation’s overarching aims of equity and resilience.

Applicants interpreted CIF goals differently, and each pursued a distinct project in a distinct context. Their relative or collective impacts are therefore difficult to discern. While grantee interviews suggested that some CIF grantees were aware of other CIF projects, they had little interaction with each other and did not collaborate to achieve greater impact.



Finding 11

GRANTEES UNCLEAR ABOUT THE ROCKEFELLER FOUNDATION’S DEFINITION OF INNOVATION

A significant portion of respondents reported that they were unclear about the Rockefeller Foundation’s definition of innovation.

Overall, 40 percent of all applicants and grantees that responded to the survey reported that they had a clear understanding of the Rockefeller Foundation’s definition of innovation, and only 34 percent clearly understood the criteria the Foundation uses to make grant decisions. The later cohort of grantees was less clear about the definition than the early cohort – 57 percent of the later cohort reported they were unclear compared to 41 percent in the first cohort. Unsuccessful applicants from the first cohort reported a very low level of understanding (just 22 percent had a clear understanding), while unsuccessful applicants from the second cohort reported a higher level of understanding (50 percent) than successful grantees from that cohort (41 percent).

Comments from 20 percent of the survey respondents and observations in multiple grantee interviews related to a lack of clarity about what the Rockefeller Foundation considers innovation. “We struggled with the definition of innovation, which is not clear in the guidelines,” said one. “The Rockefeller Foundation has a very specific definition of innovation,” said another, “which is not what one would intuitively imagine the word to mean.” Several respondents expressed confusion about what was innova-

¹⁶ CIF goals: i) addressing civic issues facing New York City, ii) innovative artistic programs or premieres of new work, iii) new partnerships and iv) strategies to overcome constraints and structural challenges in the cultural sector.

tive about some of the CIF projects, suggesting they were worthy but not especially groundbreaking.

At the individual grantee level



Finding 12

CIF INNOVATIONS RANGE FROM “COMPLETELY NEW” TO “INCREASING SCALE OR SCOPE OF EXISTING PROGRAM”

Overall, 46 percent of grantee survey respondents indicated that the CIF grant allowed them to do work that was completely new to their organizations.

Grantees in the early cohort were more likely to say their grants allowed them to do work that was completely new (54 percent) than groups in the later cohort (40 percent). Nearly two-thirds of grantee organizations that are not primarily arts organizations (62 percent) reported using the grant to do something new for their organizations, compared to 44 percent of arts presenters and 36 percent of arts service organizations. However, 94 percent of arts presenters said their CIF project did something that was new for the arts sector.

Approximately one-quarter (27 percent) of the grantee survey respondents in both cohorts said that their project was new, but similar to something that they had done in the past. Another quarter of all grantee respondents said that the grant enabled them to increase the scope or scale of something that they had already started. Groups in the later cohort of grantees were more likely to say their CIF projects supported an increase in scale or scope of pre-existing work than groups in the early cohort (30 percent vs. 19 percent).

Qualitative information from interviews with grantees provides a more nuanced picture about the degree of originality of the CIF projects. Most of the grantees interviewed acknowledged that their projects were grounded in prior work. Even unusual projects, such as the Wildlife Conservation Society’s (WCS’s) web-based interactive ecological map of New York City, for example, grew out of WCS’s earlier research on New York Harbor before the arrival of Henry Hudson. Similarly, the Casita Maria Center for Arts and Education’s innovative idea to collaborate with Dancing in the Streets and integrate the arts into its neighborhood economic and community development efforts has built on the community center’s historic programming in the arts.



Finding 13

MOST DISTINCTIVE INNOVATIONS

In the context of the Rockefeller Foundation’s goals, the most distinctive innovations in the CIF portfolio were projects that effectively focused on building community equity and resilience (10 projects), and projects contributing to theory, practice and information about the role of arts in equity and resilience (11 projects).

Innovation occurs along a spectrum, from incremental change to disruptive intervention. Using grantee reports and interviews, the Evaluation Team analyzed CIF grants along this continuum, noting i) where a CIF project was an extension of a previous practice and likely to lead to similar results as in the past, and ii) where a CIF project represented a significant divergence from previous work by the grantee and had the prospect of having lasting positive impacts on vulnerable populations and social relations.

The most distinctive innovations fell into two categories.

1. Projects making art with low-income people or communities and contributing to the goals of equity and resilience. For example:
 - **THE CIVILIANS**, a New York-based theater company collaborating with community residents to write and produce a play about the Atlantic Yards development project
 - **CASITA MARIA** developing a long-term collaboration with a dance organization to involve local residents in producing programs illustrating the cultural legacy of the South Bronx
 - **QUEENS MUSEUM** emphasizing the role of artists in community development and launching a Masters of Fine Arts in Social Practice with Queens College
 - **WOMEN'S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION** incubating a cross-cultural performance series with residents in an affordable housing project in the Bronx.
2. Projects contributing to the development of theory, practice and information about the role of arts in equity and resilience. For example:
 - **ARCHITECTURAL LEAGUE OF NEW YORK** launching an online magazine to track and stimulate cross-disciplinary and cross-sector thinking about the urban landscape
 - **GREENPOINT MANUFACTURING AND DESIGN CENTER**, developing a city-wide network of Naturally Occurring Cultural Districts that reflect the cultural diversity of New York City neighborhoods and link cultural entrepreneurship with community resilience
 - **DEMOS**, a public policy organization, conducting research on the ways that arts and culture contribute to urban economies that will support cultural and civic activism and policy change.



Finding 14

EXTENT OF DISTINCTIVE INNOVATION

Distinctive innovations increased by 100 percent between the first and second grantee cohort, with 14 of a total of 50 grants deemed to be distinctive innovations in the second cohort.

Using grant reports, website reviews and grantee interviews, the Team's analysis suggests there were seven such grants in the early cohort and 14 in the later one. A list of these grantees is provided in Table 2. Profiles of some of the most distinctive innovations are included in Annex 2.

TABLE 2: **Distinctive innovation grantees**

2007-2009	2010-2012
Architectural League of New York Creative Time Fractured Atlas Institute for Urban Design Parsons The New School New York University Polytechnic Institute The Civilians	Casita Maria Creative Time Demos El Puente Foundry Theater Ghetto Film School Greenpoint Manufacturing District Laundromat Project Museum of Contemporary African Diaspora Parsons The New School People's Production House Pratt Center for Community Development Queens Museum Women's Housing and Educational Development Corporation



Finding 15

COMMON INNOVATION THEMES

Themes that occurred repeatedly across the six years of grants included:

- involving community residents in the exploration or creation of new art work or urban design processes (18 projects)
- presenting visual or performing arts in unconventional venues (12 projects)
- showcasing the work of minority artists and immigrant cultures (9 projects)
- enabling artists to gain financial or entrepreneurial skills (8 projects)
- piloting new revenue-generating approaches or new business models to sustain artists and organizations (6 projects).



Finding 16

CIF GRANTS INCREASED CAPACITY FOR INNOVATION

Overall, 73 percent of grantee survey respondents reported the CIF grant increased their capacities to innovate as organizations, and 66 percent reported the CIF helped them become more adaptive.

In the survey, 78 percent of groups in the later cohort reported that the CIF grant helped them become more adaptive and better able to respond and thrive in times of change, compared to 60 percent of groups funded between 2007 and 2009.

One survey respondent reflected the comments of many: “The grant jump-started a complex project ... and we were able to beta-test it and enhance our capacity while serving our constituency at the highest level.” In an interview, one grantee reported, “As a service provider, we tend to focus on problems to prevent crises. In Rockefeller foundation speak, it is deficit-oriented by definition. The work we were able to do with CIF support changed the culture of our organization, pushing us to focus on a more assets-based approach. We are touching people, showcasing creative people who are assets, and introducing them to others they would never have known. This has transformed our capacity.”



Finding 17

GRANTEES FULFILLED GRANT TERMS

The vast majority of CIF grantees have completed projects, fulfilled the terms of their grants and advanced their goals. Only one grantee was unable to complete its project.

For grants made between 2007 and 2010, grant reports confirm that fewer than ten groups needed to adapt their plans or extend their grant period, and only one grantee was unable to complete its project. Grants made in 2011 and 2012 are still active but interim grant reports suggest that nearly all are on track to complete their grant terms.



Finding 18

FACTORS SUPPORTING AND HINDERING GRANTEES

Unique funding, size and length of grants, and recognition by the Rockefeller Foundation were factors supporting grantee success, while insufficient funding, inadequate personnel or technical expertise, lack of connections with other innovators and the recession were cited as hindering factors for grantees.

Survey results suggest the following factors were very influential in CIF grantees' success:

- support for a type of work not supported elsewhere
- the funding itself
- recognition by the Rockefeller Foundation.

Survey respondents indicated that support for work not funded by others was the most valuable factor of their CIF grant. In the survey, this was ranked as the most important factor of the grant by a majority of grantees (53 percent) and one of the top three factors by 80 percent of grantees.

While recognition from the Rockefeller Foundation ranked third in the grantees' assessment of the three most valuable factors about the CIF grant – after “the money” and “the opportunity to get support for a type of work not supported elsewhere” – the value of recognition from the Rockefeller Foundation was mentioned repeatedly in grantee interviews and survey comments. Funding from the Rockefeller Foundation boosted grantees' confidence and their ability to raise other funds.

From interviews with grantees, the Team also heard that the size of the grants and their two-year terms were helpful in achieving results. In addition, grantees reported that good planning and preparation for the project tended to strengthen organizations' ability to achieve their aims. Three-quarters of survey respondents (76 percent) indicated that Rockefeller Foundation staff helped them achieve their CIF project goals, and CIF manager, Edwin Torres, was repeatedly complimented, both in grantee interviews and survey comments, for his helpfulness and his accessibility during the grant period.

The most important factors that inhibited success in achieving CIF aims, as reported by grantees in interviews and grantee reports, included:

- insufficient funding for the project
- inadequate personnel or technical expertise on the part of the grantee
- lack of connection to other innovators trying similar kinds of experiments
- stress on grantees due to the recession.

In survey comments, numerous grantees expressed regret that there had not been meetings other than the award reception, nor opportunities for CIF grantees to gather across the cohorts or meet with other recognized innovators inside and outside of the arts to learn more about innovation practice and effective strategies. Looking forward, survey respondents said they would be interested in receiving help to i) connect to others doing similar work and ii) measure the outcomes of their programs. A significant percentage of younger organizations (80 percent) would welcome help with communications strategy.

Findings - Influence



Finding 19

BENEFITS FOR LOW-INCOME POPULATIONS

Projects with an intentional focus on low-income populations increased between the first and second grantee cohort (by nearly 400 percent) with 15 of a total of 50 grants aimed at these audiences in the second cohort.

Programs of other CIF grantees may also have reached low-income, poor or vulnerable communities, but doing so was not central to the project. Because the grantees did not report quantitative data about their audiences or participants, it is difficult to determine how successful they were in reaching or engaging these audiences.

Data from grant reports and grantee interviews suggest that types of programs that intentionally engaged low-income populations included:

- engaging poor people in creating artwork in Harlem and the Bronx (e.g. Casita Maria, Groundswell Community Mural, Laundromat Project)
- involving low-income teens and adults in urban design decision-making in Manhattan and Brooklyn (e.g. Fourth Arts Block, Greenpoint Manufacturing, Parsons The New School)

- providing discount ticket services to low-income communities in the South Bronx, Washington Heights and East Harlem (Pregones Theater)
- hosting artists' residencies in ethnically and economically diverse communities in Queens and the Bronx (e.g. Casita Maria, Queens Museum)
- developing a performing arts series in an affordable housing project in Brooklyn and a mixed-use development in the Bronx (e.g. Museum of Contemporary African Diasporan Arts, Women's Housing and Economic Development Corp.).

Grant reports and interviews confirmed that in a few instances, such as Casita Maria in the Bronx and the Queens Museum, CIF funding helped establish programs serving low-income people that the sponsoring organizations intend to sustain after the CIF grant.

The number of CIF projects intentionally focused on reaching low-income people grew substantially between the two grant cohorts, from four to 15, as shown in Table 3.

TABLE 3: **CIF projects focused on low-income populations**

2007-2009	2010-2012
Bronx Council on the Arts	Caribbean Cultural Center
Chez Bushwick	Casita Maria
Creative Time	CEC ArtsLink
The Civilians	Center for Urban Pedagogy
	Chimpanzee Productions
	El Puente
	Foundry Theater
	Groundswell Community Mural
	Hostos Center for Arts and Culture
	Laundromat Project
	Museum of Contemporary Diasporan Arts
	Parsons The New School
	People's Production House
	Queens Museum
	Women's Housing and Educational Development Corporation



Finding 20

INFORMING PUBLIC POLICY

Projects with an intentional focus on public policy increased slightly (20 percent) between the first and second grantee cohorts with 12 of a total of 50 grants aimed at policy issues in the later cohort. Overall, 22 CIF projects addressed public policy issues related to gentrification, urban design, public spaces and strengthening the creative sector of New York City.

Affecting public policies takes time and, in most cases, much longer than two years. While no specific policy changes can be attributed to CIF projects from available data in grant reports, interviews and review of grantee websites, a number of CIF grantees are engaging New York City agencies or elected officials and these efforts have the potential to influence public policies in the future. For example:

- **GREENPOINT MANUFACTURING** is supporting the development of a city-wide network of Naturally Occurring Cultural Districts, including working with elected officials to inform policies regarding arts-based entrepreneurial ventures and community development in a variety of neighborhoods, including some in low-income areas.
- **THE QUEENS MUSEUM** has been invited by its City Councilman to be the central planning coordinator of the rehabilitation process underway at Queens' Corona Plaza, as a result of its Studio Corona project embedding artists in the local neighborhood
- **PARSONS THE NEW SCHOOL's** partnership with Public Policy Lab and the New York City Department of Housing Preservation and Development (HPD) is empowering City residents to participate as co-designers and co-producers of housing services and influencing the practices of the HPD.

The number of projects focused on public policy increased between the two cohorts, from 10 to 12 grants, as shown in Table 4.

TABLE 4: **CIF projects focused on public policy**

2007-2009	2010-2012
Architectural League	Alliance of Resident Theaters/NY
Bronx Museum	Creative Time
Bronx Overall Economic Development Corporation	Demos
Council on the Arts & Humanities of Staten Island	Fourth Arts Block
Fractured Atlas	Greenpoint Manufacturing and Design Center
HERE Arts Center	National Association of Latino Independent Producers
Institute for Urban Design	New York Foundation for the Arts
New York University Polytechnic Institute	New York University Hemispheric Institute
Parsons The New School	Parsons The New School
Performa	Pratt
	Wildlife Conservation Society
	Word Above the Streets



Finding 21

CIF GRANTS LEVERAGED OTHER FUNDING

A large majority of survey respondents (82 percent) reported that their CIF grant helped them attract a substantial amount of other funds.

This is the most quantifiable leverage that has been achieved by CIF grantees to date. More than half (54 percent) of survey respondents reported that they attracted over \$100,000 in additional funding as a result of their CIF grant, and 15 percent attracted over \$500,000. This suggests that the CIF grants have been important seed funding for new ideas, many of which needed substantial additional capital to be fully realized. Comments in grantee interviews and the survey reinforced the value of the Rockefeller Foundation's validation in the eyes of other funders. There is no data on whether CIF grants enabled organizations to become less reliant on grant funding overall.



Finding 22

CIF INNOVATIONS INFLUENCING OTHERS

Innovations piloted by CIF grantees are influencing the behavior of other cultural organizations.

Interviews and grantee reports indicate that the CIF projects are being replicated or adapted by other cultural groups or communities.

- **FOUNDRY THEATER.** The Public Theater is embracing concepts piloted under the Foundry Theater's CIF grant in which theater artists worked with social justice organizations. The Public Theater has hired former Foundry artistic personnel to start its new Public Works program.
- **FRACTURED ATLAS.** The lessons that Fractured Atlas, a national artist service organization, learned through its CIF-funded effort to map cultural assets in low-income Brooklyn communities became the basis for its Archipelago software program. The program, further developed with funding from the Hewlett Foundation, has been used to map cultural assets in the Bay Area and now is being used by Sustain Arts, a national initiative at Harvard University's Hauser Center.
- **ARTHOME.** The Individual Development Account Initiative, piloted by ArtHome with a CIF grant, supports artists in developing businesses to sustain their art making and is being replicated in Minneapolis and Cleveland.

Findings – Impact



Finding 23

CIF GRANTS HELP GROUPS LEVERAGE CREATIVE PRACTICE FOR SOCIAL CHANGE

Close to half of all survey respondents said the CIF grant leveraged creative and artistic practice to achieve social change goals.

The number of CIF grantees who used their grants to lever social change increased between the two cohorts. Two-thirds (67 percent) of the later cohort reported that their grants helped them leverage creative practice for social change, compared with 40 percent of the early cohort.

Strategies used by grantees included:

- empowering people by providing them with creative means to express their views and opinions (e.g. Civilians, Foundry Theater, Laundromat Project, People’s Production House, Queens Museum)
- engaging people in urban design decision-making (e.g. Fourth Arts Block, Groundswell Mural, Parsons The New School)
- educating people about the development of public policies that affect their lives (e.g. Center for Urban Pedagogy, Greenpoint Manufacturing).

Findings – Efficiency



Finding 24

PROGRAM MANAGEMENT HAS BEEN EFFICIENT

Benchmarked against other arts foundations’ programs with similar payout, the size and number of grants in the CIF portfolio is consistent with field norms, but the number of submissions to process is far higher.

In fewer than 15–20 hours per week, on average, each year the CIF staff has:

- communicated with cultural organizations, other funders, civic leaders and others to identify interesting prospects for the program
- met with, site-visited or talked with between 150 and 200 organizations to discuss potential applications
- reviewed 400 to 500 “idea submissions” and winnowed these to 50–75 finalists
- counseled the 50–75 finalists in preparing full applications to the Rockefeller Foundation
- contributed information for the due diligence process on grantees and final proposals from 50–75 organizations, including consultations with CIF program advisors
- prepared recommendations for 15–20 grants for the president’s consideration
- contributed to information for grant agreements for 16–18 awarded grants
- collaborated with the Rockefeller Foundation’s Communications Office on the public announcement of awards and annual reception for grantees
- maintained contact with 30–50 active grantees, including making site visits and answering inquiries
- responded to ongoing internal and external inquiries about CIF
- represented the Rockefeller Foundation and CIF at national, regional and local meetings of grantmakers.

The Evaluation Team benchmarked the CIF portfolio against the grant programs of five other arts funders, including the James Irvine Foundation, Walter and Elise Haas Fund, Marin Community Foundation, Pew Center for the Arts & Heritage and Robert Rauschenberg Foundation. While every grant program has particular features, CIF's workload appears to be in keeping with other programs with payout in the \$2–3 million range. While CIF's processing of the 400 to 500 initial submissions and reviewing 50–75 full proposals was higher than the norm, managing a portfolio of 16–18 annual grants is on par with other arts and culture grants programs.

Survey respondents commented on their perceptions of the program's administration: "CIF staff is very helpful, and the program is exceedingly well-run," according one respondent. Another commented, "I applied many years for CIF and found it a difficult and time-consuming process. I greatly appreciate the streamlining of the proposal form and the willingness of Eddie Torres to do site visits and give feedback," while a third respondent added, "The Rockefeller Foundation is really at the top as a grantor."



Finding 25

CIF LEADERSHIP HAS ACHIEVED VISIBILITY BUT NOT CLARITY

The Rockefeller Foundation has achieved visibility for CIF in the cultural sector and among arts funders, but the positioning of CIF's view of innovation has been less effective due to unclear communication.

As reported in the grantee survey, 60 percent of survey respondents are not clear about the Rockefeller Foundation's definition of innovation. A number of informants in the New York City area mentioned they had seen the Rockefeller Foundation's advertisements about CIF awards in the New York Times but they also noted that these ads did not increase their understanding of the program. Interviews with national leaders across the country revealed awareness of CIF but little knowledge of its goals or results. Comments from 15 respondents in the survey suggest that many are not clear about why the Rockefeller Foundation considered the funded projects to be innovative. These results suggest that communications about CIF have not been particularly effective.



Finding 26

TRANSACTION COSTS WORTH OVERALL GAINS

The transaction costs for CIF appear to be well worth the overall gains.

Based on a review of program operations, grantee reports and interviews with grantees and national leaders demonstrate that CIF has garnered widespread visibility for the issue of cultural innovation and the Rockefeller Foundation's leadership in this sphere, both in New York City and nationally. A diverse array of innovative projects has been supported, serving hundreds of thousands of people in all five boroughs of New York City. The vast majority of CIF projects have been completed successfully. In addition, a number of promising new concepts have been tested, many of which have relevance both for the cultural and community organizations involved and for the Rockefeller Foundation's future work.

Lessons, recommendations and options for the future

6.1 Lessons

From its assessment of the CIF program, the Evaluation Team drew these primary lessons.

1. The Rockefeller Foundation's leadership has helped draw national attention to the importance of cultural innovation.
2. Support for cultural innovation that focuses on equity and resilience is a new and potentially disruptive strategy for arts philanthropy in New York City and nationally.
3. A growing number of artists, cultural groups and community organizations are interested in using artistic practice to achieve equity, resilience and social change. CIF gave some of these organizations resources to develop their practice, and CIF grants demonstrated some of the ways that the arts can advance those objectives.
4. The success of many CIF grantees in attracting substantial additional funding for their projects suggests there may be growing interest in this kind of work in the philanthropic sector, which could represent a window of opportunity for the Rockefeller Foundation to partner with other investors in the future.
5. While the Rockefeller Foundation has been forward looking, its thinking about innovation overall and about cultural innovation in particular has not been clearly communicated. This has diminished the impact of CIF on the Rockefeller Foundation's goals at both the individual project and portfolio levels.
6. To achieve greater impacts in the future, CIF needs clearer connection to the Rockefeller Foundation's overarching strategy, clearer definitions of terms such as innovation, resilience and equity as they relate to arts and culture, an explicit theory of change that supports the desired impacts, and a grantmaking approach that will advance practice, capture lessons and share learning with others.

6.2 Recommendations

For the Rockefeller Foundation

1. Develop explicit connections between CIF and the Rockefeller Foundation's overall goals and strategies.
2. Develop clear definitions of “cultural innovation”, “cultural equity”, and “cultural resilience”.
3. Clarify definitions of “outcomes” and “impacts” for innovation in the cultural sector.
4. Clarify and make explicit the Rockefeller Foundation's “innovation spectrum”, and define terms such as “incremental” and “disruptive” in the context of arts and culture.

For the CIF Program (current iteration)

1. Clarify the Rockefeller Foundation's program objectives: What kinds of innovation does CIF support? What kinds of outcomes it is hoping to achieve, for what populations?
2. Develop an explicit theory of change for CIF: How do CIF's funding and other inputs lead to desired outcomes and impacts?
3. Structure the grantmaking to achieve the Rockefeller Foundation goals:
 - improve communication with applicants
 - enable CIF staff to focus more time on supporting grantees in achieving outcomes and capture learning by:
 - subcontracting with an intermediary or service provider to manage the application process, and
 - using a panel process (a rotating panel of 8–12 field experts) to select grantees, expanding advisors to the program and field knowledge about it
 - develop a system to capture information on outcomes and impacts at the individual grantee and at portfolio levels (focus less on what grantees did and more on what they changed)
 - help grantees develop capacity to reflect on their innovation practices
 - consider follow-up grants to the most promising projects, enhancing chances of long-term impact
 - analyze grantee reports on an ongoing basis, perhaps by appointing evaluators or an intermediary to study the grantees' practices, evaluate outcomes and further refine the theory of change
 - convene grantees at critical junctures to learn from each other and build collaboration and synergies, and to discuss and learn from their strategies, successes and failures
 - communicate results of CIF investment regularly with the cultural sector, civic leadership and other funders.

6.3 Options for the future

In the Evaluation Team's assessment, the CIF is an important part of the Rockefeller Foundation's suite of grantmaking programs. Its impacts in the future can be heightened with greater clarity of focus and a systematic effort to capture and disseminate lessons from its grantees' practice. For the purpose of stimulating discussion, the

Team offers three possible options for reconfiguring the CIF in ways that could lead to greater impact.

OPTION 1: Status Quo-Plus – CIF as an opportunity fund for a range of innovative projects

CIF could continue to serve as an open-ended, “free-wheeling” program relatively detached from the Rockefeller Foundation’s Innovation, Intervention and Influence Pathways. CIF also could continue to support a range of innovative approaches to strengthening the arts and culture in New York City and advancing the sector’s contribution to civic leadership issues, including better serving poor and vulnerable populations. This approach would allow the Rockefeller Foundation to remain nimble and flexible, supporting innovations that improve the resilience of arts organizations and the arts field, as well as innovations that contribute to the Rockefeller Foundation’s broader aims. It would allow the Rockefeller Foundation to respond to interesting opportunities that arise, pursue innovative cultural partnerships and collaborations, and be a “good neighbor” in its home city.

Key steps in moving this concept forward might include:

1. defining the theory of change
2. developing more rigorous assessment of the value of different kinds of innovation – to the field of the arts, to New York City and to the Rockefeller Foundation
3. revising application guidelines and reporting forms to reflect revised purpose, and desired outcomes and impacts
4. subcontracting with an intermediary to manage the application process and/or using a rotating panel of field leaders to adjudicate application review
5. convening grantees to discuss their innovations and lessons, and encouraging groups doing similar projects to exchange lessons on successes and failures
6. measuring success at both individual grant and portfolio levels, and tracking progress towards outcomes
7. consolidating and disseminating lessons of practice through publications, online strategies and other means.

Option 2: CIF as a “distinct innovation solution” in the Innovation Pathway

The Rockefeller Foundation could move CIF to the Innovation Pathway, making arts and culture a “distinct innovative solution” to advance equity and resilience and achieve the Rockefeller Foundation goals in one or more of the focus areas. This approach would build on the relevant practices, discoveries and innovations of CIF grantees and other innovators in these fields. CIF might be linked to the Rockefeller Foundation’s recently announced 100 Resilient Cities Initiative or connected to another appropriate initiative.

Key steps in moving this concept forward might include:

1. clarifying the focus areas in which the arts and culture are a readily applicable “solution” – likely Transform Cities and Revalue Ecosystems
2. articulating the range of arts and culture strategies that have been used successfully to advance work in these areas, from the CIF grantees’ experiences as well as from strategies identified by other funding programs and research

3. clarifying the hypothesis or logic model for applying arts and culture as a strategic solution
4. framing a portfolio of grant investments to test the hypothesis
5. working with grantees and evaluators to determine appropriate and measurable outcomes and results
6. investing in field-building efforts such as research, convening and support for intermediaries to sustain the gains made by individual grantees
7. capturing qualitative and quantitative information and lessons from the projects and disseminating that knowledge to relevant fields and funders.

OPTION 3: CIF as leading laboratory for art and social change

CIF might be reconfigured as a laboratory dedicated to the emerging field of arts and social change. In this option, CIF would identify, study and support breakthrough innovations that use the arts and culture to address issues of community equity and resilience, and empower poor and vulnerable communities. The Rockefeller Foundation would take a philanthropic leadership position in this emerging field, organizing a multi-site, multi-funder national initiative to validate and elevate this work as a critical component of lasting community change. The laboratory would support leading organizations and innovative practices, capture and disseminate knowledge about effective innovations, build networks, bridge connections with other sectors, evaluate impacts, and sponsor research to bolster the theoretical underpinnings of this emerging field.

Key steps in moving this concept forward might include:

1. developing a theory of change
2. identifying a cluster of funding partners committed to arts and social change and willing to collaborate with the Rockefeller Foundation to create a network of “local laboratories” in 5–10 places which would help catalyze and invest in multiple local organizations that are advancing promising practices
3. with the funding partners, commissioning research on the theory and practices necessary to extend this work and support its most innovative practitioners, including both organizations and creative individuals
4. with the funding partners, identifying the key questions that the laboratories are intended to explore, e.g. What are the ways that the arts are contributing to equity and resilience? What are the conditions that make these innovations possible? What helps sustain innovation in this field and spread its principles to other sites?
5. with the funding partners, and informed by the research findings, inviting proposals to test different ways that arts/culture can advance the goals of equity, resilience and social change, holding some variables constant so comparisons between projects can be made and lessons of effective practice extracted
6. working with grantees as partners to achieve measurable outcomes and impacts, and investing over 3–5 year periods
7. investing in field-building efforts such as research, convening and support for intermediaries to sustain the gains made by individual grantees, and strengthening the network of national practitioners advancing this new field
8. capturing qualitative and quantitative information and lessons from the program and disseminating that knowledge to relevant fields and funders.

Annexes

ANNEX 1: TERMS OF REFERENCE

Summary Outline

Terms of Reference for

The Evaluation of the Rockefeller Foundation Cultural Innovation Fund (CIF)

September 2012

1. Introduction

The Rockefeller Foundation is undertaking an evaluation of its NYC Cultural Innovation Fund (CIF) in order to learn what has worked most effectively in promoting innovations in the cultural arena, account for funds invested in the CIF to date, and to inform future Rockefeller Foundation work in arts innovation, equity, social change, innovation and resilience.

2. Background to the Cultural Innovation Fund

Created in 2007, the CIF operates on an annual cycle of grant making. From 2007-2012 a total of 96 grants were awarded to 87 grantees for a total expenditure of over \$15 million. The CIF is one of the means by which the Rockefeller Foundation supports innovation. The CIF was established as part of an opportunity fund to support the expansion of cultural vitality and its overlap with NYC's civic community. The CIF is run as a competition, the selection for which is made by an external group of jurors.

The Rockefeller Foundation has used the Fund to leverage innovation to address specific problems of equity and social and cultural inclusion. These problems include: 1) Only 10 percent of cultural philanthropy explicitly benefits low-income populations; 2) Less than 4 percent of cultural philanthropy focuses on advancing social change; and 3) Rates of participation in formal cultural presentations have seen steep declines in the past 20 years, especially amongst the young.

The rationale and focus of the Fund has evolved over time to integrate the principles of more equitable growth and resilience for poor and vulnerable populations. In evolving the focus and purpose of the Fund, the Rockefeller Foundation believed that the CIF could take advantage of concomitant opportunities such as the following: 1) As rates of attendance at formal cultural events decrease, informal participation increases; 2) Creative expression can function as a communication tool that moves people emotionally, influencing stakeholders; and 3) Cultural producers have outputs that can be monetized – in turn this income can be used as risk capital.

In response to these problems and opportunities, the aims of the CIF have evolved as follows:

1. Increase access to cultural institutions for poor and vulnerable people and communities.

2. Support innovations in cultural presentation including uncommon places (public housing, commercial Laundromats, etc.) where the poor or vulnerable are more easily reached.
3. Support innovations in cultural forms that reflect the diversity of NYC's population.
4. Ensure that culture speaks to the concerns of poor or vulnerable people through the engagement of the poor as co-authors and co-presenters of works of creative expression.
5. Leverage creative expression to influence changes in policy and practice.
6. Support organizational innovations, including those that decrease artists' and arts organizations' reliance upon grant support.

Under its refined strategy, the CIF partners cultural organizations with grantees to creatively articulate the views of poor and vulnerable people through exhibitions, works of theater, etc. that have been informed by both poor and vulnerable people and the targets of influence. It also brokers partnerships with those whose practices or policies the Rockefeller Foundation aims to influence to bring greater public attention and leverage influence to achieve social change.

3. Objectives of the Evaluation

The objectives of the CIF Evaluation are to:

1. Categorize and analyze the grant making portfolio of the CIF taking into account the evolving focus and purpose of the Fund over time.
2. Assess the relevance, effectiveness and influence of the grant making in relation to the evolving goals of the Fund and the goals of the Rockefeller Foundation – more equitable growth and resilience.
3. Broadly inform future the Rockefeller Foundation work in arts innovation, equity, social change, innovation and resilience.
4. Contribute to knowledge generation for the Rockefeller Foundation and the field by capturing the lessons and case studies in cultural arts innovation, with specific interest in issues of equity, social resilience and social change.
5. Findings and conclusions will inform the strategy and future cultural innovation practice of the Rockefeller Foundation.

4. Evaluation Criteria and Key Questions

The CIF evaluation has taken into account key aspects of the evaluation of the Accelerating Innovation for Development Initiative, completed in 2012, including use of some key questions from that evaluation, and a focus on the metrics and approaches appropriate for evaluating innovation practices and processes, rather than those for evaluating innovative products, processes or services.

Questions and analysis will focus on three levels – the overall CIF Fund, intermediate support grantees, and individual CIF grantees. The detailed TOR will set out the full range of questions to be covered in each of these levels. In summary, the key questions are:

Relevance

- How relevant is the CIF to the needs and aims of individual grantees?
- How is the CIF distinctive from other cultural arts-funding programs?
- Is the role of innovation in the theory of change of the CIF appropriate and relevant?
- How aligned is the CIF (especially the 2010 – 2012 cohorts) with the goals of the Rockefeller Foundation - More Equitable Growth and Resilience? To what extent do these goals feature in, or at least relate to, the work of grantees?

Effectiveness

- At the portfolio level, how effective has the CIF been in achieving the aims of the Fund and in supporting the goals of the Rockefeller Foundation?
- Does the CIF portfolio have a value greater than the sum of the parts, or are the gains confined to individual grants?
- Is a competition adjudicated by external jurors the best structure for this program?
- At the individual level – to what extent have grantees achieved the objectives of their respective CIF grants? Specific questions at individual level will focus on Innovation, Visibility, Resilience, Equity. See Annex 1 for examples.
- What are the most distinctive innovations that have resulted from the grants? What are the common innovation themes across the portfolio? Have grantees succeeded in innovating in light of the Rockefeller Foundation's definition of innovation? In what way? Did support for reducing grantees' reliance on grant support yield increased capacity for innovation?
- What factors have supported and hindered grantees in achieving the aims of the CIF?

Efficiency

- How efficient and effective is the management and leadership of the CIF? Could time and resources have been used more efficiently? If so, in what way? Are the transaction costs of managing the annual cycle of CIF grants worth the overall gains made?

Influence

- Have CIF grants influenced public policy and practice at individual, community and/or institutional levels to benefit poor and vulnerable populations in NYC? Where and in what way?
- What role has innovation played in achieving influence?
- What leverage has been achieved for grantees by CIF grants?

Impact

- Has the CIF improved the lives of poor and vulnerable people in NYC either directly or indirectly? In what ways? For whom? Where? How?

Lessons

- What are the lessons from CIF and how should they inform the strategy and future cultural innovation practice of the Rockefeller Foundation as well as work on equity, social resilience and social change?

- What potential does CIF have to add value to the new Issue Areas?
- How should the CIF portfolio evolve to better align with the work of the Rockefeller Foundation?

5. Methodology

The methodology of this evaluation will include the following components:

1. Portfolio analysis - Review of the portfolio of the CIF grants to categorize and analyze the grant making in relation to a set of criteria to identify grants with similar objectives and to assess them (or a sample) in relation to their contribution to the evolving objectives of the Fund and the goals of the Rockefeller Foundation – more equitable growth and resilience – and the potential to contribute to the new Focus Areas. Criteria for the Portfolio Review will be finalized with the Grantee and Rockefeller Foundation staff.
2. A basic survey of the majority, if not all, CIF grantees and partners to determine alignment and value added of the Rockefeller Foundation's support for their work.
3. Follow-up interviews with a limited number of CIF grantees and partners selected because of specific learning opportunities related to their work in arts innovation, equity and resilience, and possibly new Focus Areas work. Criteria to be finalized with Evaluation grantee based on the results of the portfolio review, interviews and survey.
4. Case studies with a small number of CIF grantees to be selected after the first round of surveys and interviews. This includes video coverage of the work of grantees.
5. Interviews with the Rockefeller Foundation leadership and managers, and peers from foundations with similar cultural innovation funds.
6. Synthesis of lessons from evaluations and studies of Cultural Arts Funds and Programs. This component of the Evaluation will be undertaken by the Foundation Center as part of their work related to the Sustainable Arts in America project of Harvard University's Hauser Center for Non-profit Organizations.

A small informal reference group will be used for this evaluation comprised of peers in evaluation from foundations who work on evaluation in the cultural arts innovation field.

Deliverables from this grant will include:

1. A portfolio analysis of the CIF
2. A set of case studies of the CIF
3. A short video depicting the case studies and lessons learned from the CIF
4. An evaluation report
5. A synthesis of lessons from the field of cultural arts innovation as a public good knowledge product. This is to be undertaken by the Foundation Center in conjunction with their work on the Sustainable Arts in America project of Harvard University's Hauser Center.

6. Budget

The budget for the evaluation will be \$300,000 broken down as follows:

- \$200,000 for data collection, analysis and reporting
- \$100,000 to produce 1) selected CIF case studies; 2) a companion video of the CIF case studies; and 3) and a synthesis of lessons from Cultural Arts Innovation programs. This product will be undertaken by the Foundation Center in conjunction with their work on the Sustainable Arts in America project of Harvard's Hauser Center.

7. Timeframe - Milestones, Deliverables

DATE	KEY MILESTONES AND DELIVERABLES
August-September 2012	Evaluation TORs and Scope of Work agreed with the Rockefeller Foundation leadership
October-early November 2012	RFP, selection of Grantee
November-December 2012	Grant approval and grant agreement
November 2012	Evaluation workplan, development of data collection tools Interviews with the Rockefeller Foundation managers, portfolio analysis, survey of CIF grantees
November-December 2012	Interviews with grantees, focus groups Case studies, video interviews Synthesis review
January 2013	Analysis of findings
February 2013	Draft report delivered to Evaluation Office, CIF Fund manager Presentation to the Rockefeller Foundation VPs, senior managers Comments, revisions
Late February 2013	Final report
February-March 2013	Sharing of lessons and synthesis review findings – Learning Forum with grantees and Foundation Center, Hauser project on Sustainable Arts in America.

8. Indicative questions for individual grantee level

An Evaluation Matrix will be developed with the grantee to include questions for all three levels of the evaluation – overall Fund, intermediaries, individual grantees. The questions below are illustrative of the individual level questions.

INNOVATION

- Did your supported project achieve your mission in ways that were divergent from past approaches?
- Did your supported project combine elements & approaches from different disciplines & sectors?
- Did these combinations leave healthier social relationships in their wake?

VISIBILITY

- Have you seen evidence of increased visibility?
- Has this coverage been framed in terms of innovation?
- What was the tone of the coverage?
- For what larger social issues have you increased visibility?

RESILIENCE

- Have your constituents' ability to adapt, change and experiment increased?
- Have your artists' ability to adapt, change and experiment increased?
- Has your organization's ability to adapt, change and experiment increased?
- Have your organization, artists or community members developed new or sustainable revenue streams?
- What larger social goals have you contributed to?

EQUITY

- What evidence of increased equity have you seen?
- What larger social goals have you contributed to?
- Did you create new ways for NYC residents to access creative expression?
- Was this access created for the poor and vulnerable?
- Did you create new means by which the poor and vulnerable were able to creatively express themselves, their issues & concerns? Did you create new audiences for their self-expression?

ANNEX 2: EXEMPLARY PROJECT PROFILES

Examples of successful efforts to make art with low-income people or communities and contribute to the goals of equity and resilience.

CASITA MARIA is a venerable settlement house, founded in East Harlem in the 1930s, Casita Maria followed the Latino immigrant community to the South Bronx in 1960. Casita Maria weathered the economic collapse of the area in the 1970s, when its neighborhood was devastated by an arson epidemic, unemployment, street gangs, and drugs. Recognizing that the South Bronx has been a hub for cultural innovation and hybridization that has influenced American popular culture for decades—Jewish culture from the 1930s, the emergence of Latin music as Caribbean immigrants moved in, doowop in the 50s and 60s, and rap and hip hop in the 1980s—Casita decided to move the arts to the center of its identity as a social service organization and use the arts to change the way people think about the South Bronx. “People from outside the area, but also local residents have internalized its identity of helplessness and hopelessness. What this area needs is respect,” said, executive director Sarah Calderon. Casita has chosen the area’s rich cultural legacy as a strategy for cultivating that respect. Casita has brought Dancing in the Streets into its building as a resident company. Dancing in the Streets is a producer of adventurous free public performances in unexpected places—from grain silos, beaches, parks, rooftops, and fire-escapes to the middle of the street. Casita’s building, which is shared with a public school, also includes a gallery and a theater. The two organizations have mapped the South Bronx Culture Trail, which maps historic cultural sites and venues from the first Latin record store to the Fort Apache police station. Last fall they began to breathe life into the Trail with tours and live performances on the fire escapes, stoops, and sidewalks of Hunts Point and Longwood. Dancing in the Streets will continue to animate the Trail for at least another year with mambo dancers, conga players, stickball games, and a salsa concert in a walking and dancing celebration of the neighborhood featuring professional and neighborhood residents.

THE CIVILIANS, a community-engaged theatre company, explored the Atlantic Yards development in a participatory process with community residents that led to production of a new musical. Working with material collected at public hearings, community meetings and demonstrations, as well as interviews with key participants and urban planning professionals, The Civilians built a play about the struggle over the largest urban development project in Brooklyn history. The NY Times said In the Footprint was “an edifying if not always cheering lesson in the way that cities and cultures evolve, and the way the balance of power between the mighty brokers of New York and its unmonied citizens does not. [It] also illuminates how the changing demographics of the neighborhood have informed (and inflamed) the relationships between the black and white populations and how the redevelopment plan sowed division among the area’s black residents. This may make the show sound like a civics class... but this seminar is delivered...by a chorus of distinctive voices: impassioned, cynical, outraged, aggrieved, but always bristling with personality. New Yorkers to the core, in other words.” The Civilians has now commissioned the playwright and composer who created In the Footprint, Lynn Nottage and Kirsten Childs, to write another show grounded in the Atlantic Yards material but a less specific exploration of the dynamics of development, politics, race, class, displacement and gentrification on real lives.

EL PUENTE is Brooklyn's most comprehensive Latino arts and cultural center. Its mission is to use the arts as a tool for social change, engaging artists and activists in the creation and facilitation of arts projects focused on artistic mastery and community development. It provides leadership training and pre-professional training in dance, drama, voice, dj/scratch, filmmaking, studio/mural art, graphic design and Hip-Hop in four centers, and it manages the El Puente Academy for Peace and Justice, a public school. The Green Light District, its CIF project, is an initiative that is using the arts to connect longtime Latino residents of Williamsburg with new and more affluent residents through arts projects and programs. Frances Lasorda, a founder of El Puente explained, "The gentrification of Williamsburg has had huge repercussions for the Latino community. Thousands of people have been displaced. The process of gentrification breaks down that spirit. It disempowers people. Those that remain struggle with that, and with all the standard measures of wellness—health, access, education. We can address all of that through the arts in the Green Light District." The project is ten-year initiative to sustain, grow, green, and celebrate Williamsburg's Southside community with task forces organized around affordable housing, arts & culture, education, greening spaces & environmental justice, and health & wellness. "The Green Light District seeks to flip the disempowerment of gentrification and put the power of transformation in the hands of its residents and stakeholders," and artists are central to the strategy.

FOUNDRY THEATRE has hosted a dialogue series with community activists for nearly 20 years, exploring issues and ideas of contemporary social and political resonance. In 2007 the company hired a community organizer to deepen those relationships, and in 2010, it decided to do a series of dialogues on visions of the 'global city' with five community and social justice organizations. The collaborations quickly developed more ambitious goals: to make new works of theater together. The result was five new theater works loosely structured around that theme. Members of the community organizations worked with Foundry staff and artists on all aspects of the new shows including acting, singing and dancing. The most ambitious was an adaptation of *Pins and Needles*, a Depression-era musical, originally produced by the International Ladies Garment Workers Union, which ran on Broadway for three years. Produced with Families United for Racial and Economic Equality (FUREE), whose members collaborated in the adaptation (18 performed in the show, which was a regular part of Foundry's season), the show was updated to illuminate the parallel between FUREE's and the union's organizing efforts seventy-five years earlier. (Surviving members of the original cast were able to attend a performance.) As artistic director Melanie Joseph explained, the collaboration was not easy, but it was enormously rewarding for both the theater and the community organizations. "Making work with people who are not artists for audiences that are not regular theater-goers has changed me, made me ask how we broaden the circle involved in the rigorous inquiry that goes into making art. We will continue to do that." Joseph is convinced that will make better art and contribute to richer visions of a more just society.

GREENPOINT MANUFACTURING AND DESIGN CENTER (NATURALLY OCCURRING CULTURAL DISTRICTS) When thinking about "cultural districts," people generally imagine large planned developments in which impressive arts venues are clustered together, such as Lincoln Center. Naturally occurring cultural districts are smaller and emerge more or

less spontaneously “in the context of their neighborhoods, tapping into and strengthening local clusters of creative assets” often associated with the ethnic or racial composition of the neighborhood, or as a result of attractive and affordable rents for artists or arts organizations. The organization Naturally Occurring Cultural Districts (NOCD) is a collaboration among organizations and individuals representing organic cultural districts in all five boroughs of New York City. Greenpoint Manufacturing and Design Center, the City’s leading non-profit industrial developer, represents one of the districts and serves as the fiscal agent for the collaborative. Other members include arts councils, ethnic museums, an art museum, a community development corporation, a dance company, a cultural facilities development corporation, and several others. Members have deep knowledge of the complexities of communities, extensive databases and networks, civic engagement and community organizing methodologies and culturally-based pedagogies. Their skills include coalition building, youth development, low cost financing, real estate development/management, community design, place making, plaza development, community-based research and mapping. NOCD’s goals are to improve its members’ practices through peer mentoring and training. Its vision is to help New York City’s diverse community cultural districts grow and strengthen local economies, sustainable, equitable, and engaged communities, and richer lives for New Yorkers.

MUSEUM OF CONTEMPORARY AFRICAN DIASPORAN ARTS is a community-based museum located in Brooklyn’s Fort Greene area. MoCADA’s first CIF project established a collaboration of 32 African Diaspora arts organizations called Soul of Brooklyn that has built partnerships with the local businesses in central Brooklyn neighborhoods around arts programming to promote their businesses and the enormous diversity of art rooted in the African diaspora. The keystone of Soul of Brooklyn is its annual Block Party, a summer event that draws some 20,000 people. MoCADA’s second project, #SoulOfBK, will bring arts programming to public spaces in four public housing developments in Brooklyn’s Fort Greene and surrounding neighborhoods on a monthly basis. The series began in February with a screening of the award-winning feature, *Middle of Nowhere*, a film that explores the effects of incarceration on women who lose their loved ones to prison. The screening, cosponsored by the Ingersoll Homes Tenant Association, was attended by a balance of residents and non-residents and followed by a discussion with CNUS, a ‘think tank of formerly incarcerated professionals...working for justice.’ Upcoming programs include a jazz performance, a screening of the Harry Belafonte’s biopic *Sing Your Song* with Belafonte present, a dance performance with ‘the street dance king of Brooklyn’, and participatory arts projects in the public housing tenant gardens led by MoCADA teaching artists. The programming is designed to weave together MoCADA’s commitments to the cultural interests and needs of public housing residents, breaking down the boundaries that isolate them from the gentrified neighborhoods that surround them, the museum’s exploration of the rich complexity of African-rooted expression, and dialogue about the difficult issues facing the large and complex black community of Brooklyn.

QUEENS MUSEUM OF ART. Convinced “that art can have a social impact outside the precinct of individual aesthetic appreciation...or economic development,” the Queens Museum of Art “embedded” interdisciplinary artist Tania Bruguera in a storefront in Corona, a gateway community of immigrants, many of whom are undocumented.

The museum also launched, with Queens College, an MFA program in Arts Social Practice – the first such program on the East Coast – to train young artists in the skills required for artistic practice in community environments. Its students are developing their skills on site in Corona Studios. Bruguera refers to her work as “useful art ... that creates the proposal and implementation of possible solutions” to pressing problems. In Studio Corona Bruguera has provided space rehearsals for an emerging local youth orchestra, public discussions with art world figures, a weekly film series, one-on-one legal consultations for artists and community residents, immigrant rights workshops, and art classes that also teach English. As the museum’s Jose Serrano explained, “Social practice art is radically different from conventional art forms in that it does not place the artist at the center of the universe; the artist is a facilitator ... a listener, a synthesizer.” The Queens Museum is among leading arts institutions that, as a recent NY Times article suggested, “are grappling with how to bring [social practice] within museum walls and make the case that it can be appreciated along with paintings, sculpture and other more tangible works.”

WOMEN’S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION (WHEDCO) A community development corporation that has done work in the Bronx for two decades, WHEDco incorporated the arts into the heart of its largest development project, Bronx Commons, a mixed use development scheduled for completion in 2015. Recognizing the Bronx’ rich musical history, WHEDco will reinvigorate music in the Bronx through its Bronx Music Heritage Center, which will provide free music programming and support the work and development of contemporary Bronx musicians at Bronx Commons. The BMHC Lab is already prefiguring the Center’s work in an incubator site, and programming music across the borough. “The social fabric in the Bronx is more than frayed,” said Nancy Bieberman, WHEDco’s executive director. “There’s some good news, but not enough. The Bronx is still at the bottom in health indicators and has the poorest congressional district in the country. The kids we work with internalize powerful negative images of the Bronx. Our goal is to erase the negative imagery of the place and change how people feel about the Bronx. And we think music can play a huge role in doing that.”

Examples of projects contributing to the development of theory, practice and information about the role of arts in equity and resilience.

ARCHITECTURAL LEAGUE OF NEW YORK The League developed a web-based ‘magazine’, Urban Omnibus, “dedicated to defining and enriching the culture of citymaking” that has become a lively vehicle for discourse about socially-engaged design. The site features new content every week, covering urban issues, architecture, art, activism, and policy by journalists, scientists, designers, artists, and others, all intended to support “a more sustainable and equitable built environment, and foster a more stimulating and participatory urban culture.” Original and exemplary ideas, projects, proposals, and controversies are covered; there are reviews of lectures and exhibits, and roundups and updates of news; and high quality multimedia productions are posted—advancing understanding of how cities can be improved for the common good. The site remains robust long after the CIF grant was completed. The site offered regular updates about Superstorm Sandy’s effects on the city’s infrastructure and communities, coverage of emerging ideas for protecting the city from the effects of climate change in the future,

and in-depth analysis of why Occupy Sandy—an all-volunteer effort led by veterans of Occupy Wall Street—was such an effective relief initiative.

CREATIVE TIME Creative Time received two awards, both supporting projects that had international scope. The organization’s 2008 award supported the re-imagining of artists’ residencies from retreats from the pressures of daily life where artists can focus, develop, and reflect on their work to international engagement with “burning questions”. Creative Time has provided financial and other supports for selected artists to do “global residencies” since 2010, when six artists explored “burning questions” in communities spanning four continents. Maya Lin investigated environmental degradation and species extinctions in 12 countries as she prepares to create the last in her distinguished series of memorials. Swoon helped build housing in Haiti as she explored how artists can contribute to communities that have suffered catastrophic losses. K8 Hardy examined how gay liberation movements have affected feminist and lesbian art making in Latin America. Creative Time has sustained the project beyond the CIF grant period, and artists who will do global residencies in 2013 include: Theaster Gates, who will explore the potential of creating an economically viable creative work in Haiti by “infusing local fiber crafts with contemporary design;” Suzanne Lacy, who will work with indigenous people in Ecuador and Columbia, exploring the relationships between activism, service, and arts practice; and Naeem Mohaiemen, who will travel to Bangladesh, Pakistan, and the Netherlands to explore “the paradox” of hope and utopian movements in the face repression and the likelihood of failure.

Aiming to address the “absence of artists’ voices” in mainstream media, Creative Time’s 2010 CIF award supported Creative Time Reports (originally Artists on the News), which gives artists travel opportunities to do research and write about a range of serious global concerns. The project’s first efforts did not meet their hopes, and Creative Time adjusted its business plan and hired an experienced editor to help artists frame issues, improve their writing, and build partnerships that will enable the Reports to reach audiences beyond the Creative Time website. The website ‘went live’ in October, 2012, and has been populated with original content by more than 70 international artists, including editorials, interviews, podcasts and video segments about breaking news. Recent posts include opinions on DOMA and gay marriage, a retrospective on Iraq ten years after the start of the war, a photographic exploration of the designs of maximum security prisons and suburbs, and dispatches from Venezuela, Hungary, and Kenya.

FRACTURED ATLAS Fractured Atlas is a national organization that provides a range of supporting services to artists and arts organizations. It has developed a complex understanding of how the ‘ecology’ of the arts is embedded within communities, cities and regions. In 2006, Fractured Atlas held a series of symposia on the role of the arts in economic development and strategies for community sustainability in Williamsburg, Brooklyn. It found that artists and other community members were panicked about spiraling real estate prices; longtime residents were mistrustful of the artists who had moved in; local Latino artists resented the attention showered on the newcomers; and a majority of artists felt politically disaffected and powerless in the face of rapid change. Fractured Atlas’ CIF project, Place+Displaced, aimed at fostering dialogue and alliances between artists and residents at risk of displacement by creating a picture of

how arts and culture connect with strategies for sustainable and equitable community development. Using participant action research, the project generated a rich cultural profile of Williamsburg and other neighborhoods in Brooklyn and Queens.

While the project did not catalyze the strong alliances Fractured Atlas had anticipated, this effort led Fractured Atlas to develop a new, more efficient data collection and mapping software, Archipelago, which is capable mapping information about who is making art, who is engaging with it, where it is happening, and how it is funded? Archipelago captures data on nonprofit arts organizations and on for-profit arts business from existing databases. It adds data from arts funders and on other nonprofits that are 'arts-related'. The Hewlett Foundation supported an Archipelago-based cultural mapping project of the Bay Area, and it is being used as the software for Sustain Arts at Harvard University's Hauser Center. "The CIF grant leveraged multiple initiatives on a huge scale," said Fractured Atlas's Adam Huttler. "CIF's \$150,000 led to \$500,000 from Hewlett and \$750,000 from Harvard to develop technology we prototyped on the CIF project."

ANNEX 3: CULTURAL INNOVATION FUND GRANT RECIPIENTS

2007

- **THE ARCHITECTURAL LEAGUE OF NEW YORK** to launch Urban Omnibus: a Broadband Channel for Architecture, Infrastructure and Environment in New York City, to bring together the most innovative ideas about the future of the urban landscape in New York City
- **BANG ON A CAN** for the Bang on a Can Marching Project, to take contemporary music out of the concert hall and into the streets through the creation of mobile marching music ensembles
- **THE BILL T. JONES / ARNIE ZANE DANCE COMPANY** for Breaking Ground – A Community Dialogue Series with Bill T. Jones, a cultural and civic dialogue about contemporary issues with the Harlem community
- **THE BRONX MUSEUM OF THE ARTS** for Phase II Capital Master Plan and Design, for an expansion of the museum and development of a moderate income residential tower and underground parking garage using principles of green building design
- **BROOKLYN ACADEMY OF MUSIC / THE ASIA SOCIETY** for Illuminating Islam, a ten-day arts festival highlighting the range and scope of global Muslim culture
- **CARNEGIE HALL** for a festival that will showcase African-American music, to be curated by Jessye Norman, and a festival about the human voice, to be curated by Bobby McFerrin
- **THE CIVILIANS** for Development and Brooklyn Neighborhoods, a two-year theater lab exploring the Atlantic Yards Project
- **CUNNINGHAM DANCE FOUNDATION** for Mondays with Merce, a new program of live studio internet webcasts to provide public access to Merce Cunningham's creative process
- **THE FIELD** for Economic Revitalization for Performing Artists, a two-year entrepreneurial development lab for artists
- **FRIENDS OF THE HIGH LINE** with Creative Time and the New York City Department of Parks and Recreation to create a new, large-scale public art commissioning program for the High Line's Chelsea Market Tunnel
- **HARLEM STAGE** for Waterworks, to establish creative residencies and commissions for artists of color at The Gatehouse, a new performing arts space in Harlem
- **MUSEUM OF CHINESE IN AMERICA** for The Chinese American Experience, a comprehensive historical interactive exhibition to mark the debut of its new museum in Chinatown

- **MUSEUM OF THE MOVING IMAGE** for Massively Multiplayer: the Art of Online Virtual Worlds, to bring online virtual space into the physical realm in a new technologically-advanced exhibitions gallery
- **NEW YORK CITY CENTER** for the establishment of its new resident ballet company, Morphoses, the Wheeldon Company, led by choreographer Christopher Wheeldon
- **RHIZOME COMMUNICATIONS AT THE NEW MUSEUM** for Rhizome Events, to give voice to artists working at the leading edge of technology
- **WORLD SCIENCE FESTIVAL** for Science and the Arts — New Works Series, to produce and present original works that reflect the role of science in modern life

2008

- **3-LEGGED DOG, INC.**, for a creative incubator and state-of-the-art theater production lab for large scale mixed media artworks
- **ALARM WILL SOUND** for the premieres of two works that challenge the conventional concert experience by integrating musical performance with choreographed staging and multimedia in an exploration of themes connecting people, history, and ideas
- **BRONX COUNCIL ON THE ARTS** for a new platform to showcase the hybrid creative forms of young artists from the South Bronx and the arts-related entrepreneurs who support them
- **BRONX OVERALL ECONOMIC DEVELOPMENT CORPORATION** for a strategic partnership between the Bronx and CEOs for Cities, a national urban leadership organization, to advance the creative sector
- **CHEZ BUSHWICK** for a community development program that addresses the crisis of displacement in Williamsburg and Bushwick by creating a strategic team of Brooklyn artists, local residents, nonprofits, and small businesses to form a nucleus of economic development, urban revitalization, and cultural programming
- **CREATIVE TIME** for a new effort to help artists convert the power of their ideas into works that inspire social change and stimulate public dialogue through a strategy to give artists both the gift of time and access to humanitarian networks
- **DOWNTOWN COMMUNITY TELEVISION CENTER** to complete the first digital cinema theater in New York devoted exclusively to documentaries
- **FRACTURED ATLAS** to reposition artists from harbingers of gentrification to partners in community empowerment using inclusive community cultural mapping

- **LINCOLN CENTER FOR THE PERFORMING ARTS** for a new Harmony Atrium Discount Ticket Facility
- **MISNOMER DANCE THEATER** to create high-tech pathways for deeper audience engagement by using online technologies to break down barriers between contemporary dance companies and their audiences
- **NEW YORK FOUNDATION FOR THE ARTS** To create the first of its kind online Studio Space Directory for visual artists in New York City
- **THE NEW YORK HISTORICAL SOCIETY** for the first major historical exhibition about the role of the Spanish-speaking world in New York City's prosperity from 1624 to the present
- **NEW YORK UNIVERSITY TISCH SCHOOL OF THE ARTS** to create an independent, multi-school center for the research, design, and development of digital games
- **SEVENTH REGIMENT ARMORY CONSERVANCY** to launch an annual contemporary exhibition program for extremely large-scale visual arts and mixed media projects
- **PERFORMA INC.** for the first city-wide biennial arts festival and think tank about the cultural future of New York City
- **THE TIMES SQUARE DISTRICT MANAGEMENT ASSOCIATION** to bring public art installations and performances to Times Square

2009

- **THE ALLIANCE FOR THE ARTS**, to pioneer open-source Web applications for the New York City cultural community
- **ALLIANCE FOR DOWNTOWN NEW YORK, INC.**, for a creative arts district prototype that supports permanent artists' work spaces and commercial growth
- **ALLIANCE OF RESIDENT THEATRES/NEW YORK**, to develop sustainable business models that enable Off- and Off-Off-Broadway theaters to survive and thrive
- **ASIA SOCIETY**, for a series of debates in which artists, scientists, business leaders, and scholars use ancient forms of dialogue to address contemporary challenges
- **BRIC ARTS | MEDIA | BKLYN**, to inaugurate a creative laboratory and residency program linking the visual, media, and performing arts
- **THE COUNCIL ON THE ARTS AND HUMANITIES FOR STATEN ISLAND**, to redesign and repurpose the North Shore waterfront as an incubator for the creative sector
- **CREATIVE CAPITAL**, to harvest successful business and NGO capital-generation models for the benefit of artists

- **HERE ARTS CENTER**, for an interactive video, blog, and podcast series examining the real-life survival challenges of New York City artists
- **INSTITUTE FOR URBAN DESIGN**, to launch Urban Design Week with an open-air festival celebrating the year's innovations in architecture and design
- **THE JOYCE THEATER FOUNDATION, INC.**, to use creative arts residencies to support emerging art forms combining theater and dance
- **NEW YORK CITY BALLET**, for a convergence of architecture and dance through commissioning new ballets for a set designed by architect Santiago Calatrava
- **THE NEW SCHOOL**, for a design and public policy partnership with Parsons The New School to promote neighborhood-based solutions for shared public spaces
- **POLYTECHNIC INSTITUTE OF NYU**, for community access to an online platform showing proposed urban design and public art projects in 3-D on real streets
- **PREGONES THEATRE**, to create a VIP discount ticket service for South Bronx, Washington Heights, and East Harlem zip codes
- **PROJECT ENTERPRISE**, to help artist entrepreneurs build assets and equity through an artist peer loan program
- **QUEENS COUNCIL ON THE ARTS**, to design an interactive cell phone cultural map that transforms the #7 train into an "art express"
- **RINGSIDE INC. (STREB)**, to spark new dance forms by incorporating extreme action techniques such as high-wire moves and skydiving
- **TEATRO CÍRCULO**, to grow Latino audiences by training micro-entrepreneurs, from empanada vendors to beauty-shop owners, to become sales agents for cultural events

2010

- **3-LEGGED DOG** to develop a financial support structure for performing arts groups modeled after the fiscal structure used by Nascar
- **BOWERY ARTS & SCIENCE** in partnership with City Lore for A White Wing Brushes the Building, to project the poems of 16 culturally diverse poets onto public spaces in a diverse range of New York City neighborhoods
- **CUNY INSTITUTE FOR SUSTAINABLE CITIES** in partnership with Artist as Citizen for an online atlas that describes the city from an environmental standpoint
- **CREATIVE TIME for Artists on the News**, which uses major media partnerships to feature the perspectives of artists who have developed content regarding and expertise on the most important issues of the day

- **DANCE THEATRE OF HARLEM** for Harlem Dance Works 2.0, in which dancers and choreographers collaborate with non-dancers to create new works
- **DEMOS** for The Institute for Culture in the Service of Community Sustainability, to conduct research on all the ways that arts and culture operate in urban economies, in order to support cultural and civic activism and policy interventions
- **EMCARTS** to develop an Innovation Lab for New York City arts organizations to formalize a learning community around innovation in the arts
- **EXIT ART** to develop New York's first theater focused on micro-financed national and international digital cinema from under-represented countries, supporting films that defy standard distribution models and launching premieres of rare and youth-produced films
- **THE FOUNDRY THEATRE** for New York: Just Like I Pictured It, in which artists work with community-based and social justice organizations to collaboratively develop dialogue programming and new musical theater works
- **HOSTOS CENTER FOR THE ARTS AND CULTURE** for The Young Roots Series, in which young masters of Afro-Caribbean music add elements of jazz, hip-hop, rock and reggaeton in collaborations that eschew national distinctions
- **INTERNATIONAL WOW COMPANY** for Reconstruction, a teaching/interactive drama in which the audience conducts green retrofits on the theater space over the course of the play's run
- **MUSEUM OF CONTEMPORARY AFRICAN DIASPORAN ARTS** in partnership with the Brooklyn Arts Council to develop the Soul of Brooklyn, a tourism initiative designed to brand Brooklyn as a destination for a unique and authentic experience of the African diaspora
- **NEW YORK FOUNDATION FOR THE ARTS** in partnership with Cambodian Living Arts to stage the first multi-disciplinary festival of Cambodian arts in the United States
- **NEW YORK HALL OF SCIENCE** for ReGeneration, in which artists work with the Queens community to create art that explores the connections between immigration, urbanization, cultural vitality and sustainability
- **PARK AVENUE ARMORY** to inaugurate Dance Hall, New York City's first permanent, grand-scale, non-proscenium dance space, which will include the final performance by Merce Cunningham Dance
- **PRATT INSTITUTE** for a partnership between Pratt Center for Community Development and Pratt Institute's Initiative for Art, Community and Social Change to develop visual and performance art to complement urban communities' efforts to embrace sustainable practices

- **QUEENS MUSEUM OF ART** to launch Studio Corona, a residency embedding artists in the heart of the most ethnically diverse community in the United States and, in partnership with Queens College, CUNY, to develop a Masters of Fine Art in Social Practice
- **RANDALL'S ISLAND SPORTS FOUNDATION** in partnership with Bronx Museum of the Arts and Made Event to present works of public visual art focused on environmental themes

2011

- **BROOKLYN ACADEMY OF MUSIC** to explore and develop creative approaches to serving local artists, community-based organizations, and audiences
- **CASITA MARIA** to host Dancing in the Streets as a company in residence and work together with their community to develop a performance series illuminating the South Bronx's cultural legacy
- **CEC ARTSLINK** to launch One Big City a series of public events created collaboratively by New York City and international visiting artists engaging with and responding to New York City's diaspora communities, presented at local cultural venues
- **CENTER FOR URBAN PEDAGOGY** to develop a design clinic that helps community organizations to demystify and visualize complex urban issues
- **CHIMPANZEE PRODUCTIONS** to bring to life New York City's hidden visual history using personal family photographic archives and stories through the interactive Digital Diaspora Family Reunion: One City, One Family project
- **DANCE FILMS ASSOCIATION** to produce, market and distribute high definition and 3D films of NYC dance companies' performances in partnership with TenduTV
- **EL PUENTE** to investigate the overlap between the creative, health and sustainability practices of their Southside Williamsburg community
- **GREENPOINT MANUFACTURING AND DESIGN CENTER** to develop a city-wide network of Naturally Occurring Cultural Districts in partnership with Arts + Community Change, Fourth Arts Block, El Museo del Barrio, El Puente, NY Chinatown History Project, Queens Museum of Art, and others
- **GROUNDSWELL COMMUNITY MURAL PROJECT** to partner with The Majora Carter Group for youth, artists and other community members to identify transportation-related concerns in the South Bronx and recommend design, signage and policy solutions with the Department of Transportation
- **MISNOMER DANCE THEATER** to utilize behavioral science for a stakeholder-engagement program for NYC's performing arts organizations in partnership with strategy and marketing firm Orcasci

- **NATIONAL ASSOCIATION OF LATINO INDEPENDENT PRODUCERS** to provide professional mentoring to New York Latino/a and Native writers, producers and directors of narrative and documentary projects to create and advance new films
- **NEW YORK FOUNDATION FOR THE ARTS** in partnership with Mary Miss Studio for a public art installation along the length of Broadway that makes the city's sustainability initiatives tangible to citizens at street level through collaborations between the artist, scientists and the community
- **NEW YORK LIVE ARTS** which is the re-imagining of the Bill T. Jones/Arnie Zane Dance Company and Dance Theater Workshop, to support a new mid-career resident artist program
- **NEW YORK UNIVERSITY AND THE HEMISPHERIC INSTITUTE OF PERFORMANCE AND POLITICS** for their collaboration with a series of NYC arts organizations to support and train performance-based political artists to develop and share new work
- **PERFORMANCE ZONE (THE FIELD)** in partnership with OurGoods to expand OurGoods.org, an online barter network for creative people
- **WILDLIFE CONSERVATION SOCIETY** to build an online forum that allows the public to develop and share their own preferred ecological climate-resilient designs for Manhattan

2012

- **ALLIANCE OF RESIDENT THEATRES/NEW YORK** for development of a new model for non-profit arts organizations in which administrative functions are delivered through a shared agency owned by its clients, allowing them to focus on the creation and presentation of art
- **APOLLO THEATER** to leverage their brand and intellectual property to secure sustainable earned-income through licensing, merchandising and broadcast
- **ARTHOME**, fiscally sponsored by Fund for the City of New York, to offer Assets for Artists: an Individual Development Account program that supports artists' entrepreneurial ventures
- **CARIBBEAN CULTURAL CENTER - AFRICAN DIASPORA INSTITUTE** to map a historic and cultural tour of El Barrio through an augmented reality platform accessible via handheld personal devices
- **EYEBEAM ATELIER** to facilitate the development of new approaches and markets for wearable technology, combining NYC's rising technological prowess with its legacy of design and production of fashion
- **FOURTH ARTS BLOCK** in partnership with Cooper Union Institute for Sustainable Design to transform East 4th Street Cultural District into a sustainable city block,

using the arts as a tool for engagement and as the means to share lessons learned with the rest of NYC

- **GHETTO FILM SCHOOL** to teach students to research and film trends analyses to better develop their creative and production skills
 - **HARVESTWORKS** to partner with The Industrial and Technology Assistance Corporation to develop artists' technological innovations into entrepreneurial ventures
 - **THE LAUNDROMAT PROJECT** to promote civic participation by organizing art workshops in local coin-operated laundromats with community partners including Majora Carter and Hometown Security Lab, New York University and Rada Film Group
 - **MUSEUM OF CONTEMPORARY AFRICAN DIASPORAN ARTS** to engage traditionally underserved communities by bringing arts programming to public housing
 - **MAPP INTERNATIONAL PRODUCTIONS** to partner with twelve cultural organizations and educational institutions to produce a retrospective of the life's work of Sekou Sundiata, bringing a fresh look at his artistry and legacy to audiences citywide
 - **PEOPLE'S PRODUCTION HOUSE**, fiscally sponsored by the Fund for the City of New York, to team artists, advocates, and technologists with low-wage workers, immigrants, and youth to produce vibrant stories about NYC
 - **PARSONS THE NEW SCHOOL FOR DESIGN** and the Public Policy Lab to partner with the NYC Department of Housing Preservation and Development to empower NYC residents as co-designers and co-producers of housing services
 - **ST. ANN'S WAREHOUSE** for an immersive theater experience to activate dialogue on the crime of human sex trafficking
 - **WOMEN'S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION** to incubate a cross-cultural performance series of emerging and established artists at key locations across the Bronx before settling at the Bronx Music Heritage Center, a new community hub in a mixed-used affordable housing development
 - **WORD ABOVE THE STREET** to launch The Water Tank Project, an NYC public art initiative to raise awareness of and activate dialogue about the global water crisis
-

ANNEX 4: EVALUATION INSTRUMENTS

The Rockefeller Foundation Staff Interview Protocol

The Evaluation Department of the Rockefeller Foundation has hired Helicon Collaborative to conduct an evaluation of the Cultural Innovation Fund. As part of this assessment, we are interviewing the Rockefeller Foundation staff members that have knowledge of the program and insights about its development and potential. These interviews will be confidential and nothing you say will be attributed to you in our report to the Rockefeller Foundation.

Thank you for sharing your time and thoughts with us.

1. What is your role at the Rockefeller Foundation and what has been your relationship to the Cultural Innovation Fund (CIF)?
2. What has been the purpose of the CIF, in your view?
3. What have been the program's distinctive accomplishments to date? Any disappointments or areas where you feel the program can improve?
4. How does the CIF relate to the primary goals and strategies of the Rockefeller Foundation – promoting resilience, equity and innovation?
 - a. How does the concept of resilience relate to culture and the arts? What needs to be made more resilient, and how would that work?
 - b. How does the concept of equity relate to culture and the arts? What needs to be made more equitable and how can that happen?
 - c. How do you think about innovation within the CIF framework? How do you think about innovation with respect to culture?
5. Are there ways the CIF could better support the Rockefeller Foundation's primary goals and strategies going forward?
6. How might the CIF add value to the Rockefeller Foundation's Focus Areas (Ecosystems, Livelihoods, Health and Cities)? How might the CIF be adjusted to enhance that value?
7. Given your knowledge and work within the Rockefeller Foundation and this conversation, do you have any thoughts or recommendations for improving the CIF?
8. Any other comments or observations?

CIF Grantee Interview Protocol

1. Let's start at the beginning of your CIF project: What issues were you attempting to address through the initiative? Why were they compelling to you?
 - a. Organizational issues?
 - b. Issues for the arts in general?

- c. And issues for NYC or your community in NY?
2. Have you made progress around those issues? What have you achieved so far? Where are you struggling? (Or if the project is complete, did you achieve what you'd hoped for?)
3. Did you do this kind of work prior to the CIF award, and would you have done this project, or this *kind of project*, even without the CIF award?
4. How is (was) the project innovative?
 - a. For your organization?
 - b. For the arts?
 - c. For NYC or your community in NY?
5. What have you learned from your project, and in what ways have those lessons changed, or influenced
 - You and our organization?
 - Your particular community or NYC (as appropriate)?
 - The arts community?
 - What role did stumbles, mistakes, and failures play in the learning?
 - What are you hoping for in the future?
6. Can you identify tangible and intangible benefits that have flowed from the project?
 - To the organization?
 - To your community or NYC?
7. Do you think the arts play a role in advancing equity and social change? If yes, how so? Further, did you conceive of your project as a social change initiative?
8. Has your project made (or will it make) your organization stronger and more resilient? How?
9. What is the potential of your CIF project going forward? Are you likely to continue the project after the Rockefeller Foundation support ends? (Or if the grant period is complete, what has happened to the effort?) What are your next steps?
10. Can you imagine systemic ways to overcome the obstacles to sustaining the work you are doing (did) in your CIF project?
11. Was the CIF well-managed, from your point of view; was the Rockefeller Foundation respectful to your ideas; did it take a real interest in understanding the work? How could program management be improved?

National Leader Interview Protocol

Created in 2007, the CIF Fund operates on an annual cycle of grant making. From 2007-2012 a total of 99 grants were awarded for projects to 86 grantees for a total

expenditure of over \$16m. The projects were expected to address civic and cultural issues pertinent to New York City, expand cultural vitality, create innovative new programming, or support new multi-sectoral partnerships. CIF is one of the means by which the Rockefeller Foundation supports innovation.

The rationale and focus of the Fund has evolved over time to integrate the principles of more equitable growth and resilience for poor and vulnerable populations. In evolving the focus and purpose of the CIF, the Rockefeller Foundation believed that CIF could take advantage of concomitant opportunities: 1) As rates of attendance at formal cultural events decrease, informal participation increases; 2) Creative expression can function as a communication tool that moves people emotionally, influencing stakeholders; 3) Cultural producers have outputs that can be monetized – in turn this income can be used as risk capital.

Questions:

1. Do you believe that the arts contribute to increased equity and resilience in our society? How?
2. What kinds of artistic practices are, from your perspectives, showing the greatest potential to advance the Rockefeller Foundation's goals of equity and resilience? Can you cite any particular philanthropic programs that already support that work?
 - a. Any others that are related or, perhaps, use different language for the same ideas?
3. Have you seen any exemplary artistic practice that addresses any of the four issues on which the Rockefeller Foundation has chosen to focus: transforming cities; revaluing ecosystems; sustainable livelihoods; health? Can you cite any philanthropic programs that support that work?
 - a. Others that focus on issue-based work in the arts?
4. Most of the projects the Rockefeller Foundation supported through the CIF were fairly small-scale. Can you imagine strategies or policies that might magnify their impact or influence?
5. In what other domains can the arts contribute to efforts towards greater equity and resilience? How?

Portfolio Analysis

QUESTION	SOURCES
How effective has the CIF been in achieving the aims of the Fund and supporting the goals of the Rockefeller Foundation?	Portfolio analysis, grantee interviews, the Rockefeller Foundation staff interviews)
Has the CIF improved the lives of poor and vulnerable people in NYC directly or indirectly? In what ways, for whom, and how?	Portfolio analysis, grantee interviews, the Rockefeller Foundation staff interviews)
Could time and resources have been used more efficiently?	The Rockefeller Foundation staff interviews, portfolio analysis
Are the transaction costs of managing the annual cycle of CIF grants worth the overall gains made?	The Rockefeller Foundation staff interviews, portfolio analysis
Does the CIF portfolio have greater value than the sum of the parts, or are gains confined to individual grants?	Portfolio analysis, grantee interviews, national interviews, the Rockefeller Foundation staff interviews)
What are the lessons of CIF?	The Rockefeller Foundation staff interviews, portfolio analysis, grantee interviews, national interviews, Foundation Center synthesis review
How should these lessons inform the strategy and future cultural innovation practice of the Rockefeller Foundation and its work on equity, resilience and social change?	The Rockefeller Foundation staff interviews, national interviews, grantee interviews
How might the CIF add value to the new Focus Areas (Revalue Ecosystems, Securable Livelihoods, Advance Health, Transforming Cities)?	The Rockefeller Foundation staff interviews, Foundation Center synthesis review
How should the CIF portfolio evolve to better align with the work of the Rockefeller Foundation?	The Rockefeller Foundation staff interviews

Grantee Portfolio Review

1. Quantitative

- Categorize by year and in aggregate
Number of grants and grant dollars by
 - size of grant
 - type of organization funded
 - purpose of grant
 - type of innovation
 - geographic location
 - target population
- Examine administrative costs (staff, panel, etc) relative to grant budget
- Examine program management in terms of efficiency and effectiveness
- Examine panel process and its contribution to program success

2. Qualitative

- Sort grants by intention (as defined by grantees). Map to the Rockefeller Foundation goals – equity, resilience, social change

- Categorize strategies used by grantees.
- Summarize key results of grantees.
- Identify relationship to public policy benefiting poor or vulnerable populations in NYC
- Assess the extent to which the grantees have achieved the objectives of their grants
- Identify organizations and strategies linked to key goals – equity, resilience, social change, other
- Identify common innovation strategies across the portfolio
- Identify distinctive innovations in approach or practice
- Identify cases of leverage – where CIF triggered other results for the grantee