



New York Arts Recovery Fund

Experiences and Lessons Learned in a Time of Crisis

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Acknowledgements

We are grateful to our Board of Trustees, lead by then President Margaret C. Ayers, for the foresight to move quickly to establish the New York Arts Recovery Fund and for the wisdom of their oversight. NYFA's dedicated staff worked tirelessly as always in supporting artists and the arts community in a time of great need. Among staff, we must single out Amy Schwartzman Brightbill and Tema Fishbein who were charged with running the Fund's activities day-to-day. Their long hours of dedication and personal dedication to the Fund's goals are in large part responsible for its success.

NYFA ran the Fund in collaboration with the Alliance of Resident Theaters/New York, American Music Center, Arts & Business Council, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, Nonprofit Finance Fund, and New York City Arts Coalition. Representatives from each of these organizations gave generously of their time to attend meetings to discuss policies and to sit on the panels that made grant decisions.

We also must thank our friends at the San Francisco Foundation, who provided critical guidance and resources immediately following 9/11 based on their experiences assisting their arts community after the last major earthquake. Colleagues throughout the New York arts community, too numerous to mention here, provided counsel and support throughout the process.

Although the New York Arts Recovery Fund was a relatively small emergency-grant program in comparison to other funds formed at the time, we feel strongly that we were able to reach and provide resources for our community with both a rapid response and a caring hand. The outpouring of letters from recipients thanking us for our Fund has been overwhelming. We extend our appreciation to all the applicants to the Fund, who had the courage to continue their artistic work even while enduring great hardships.

Finally, we would have accomplished nothing without the speedy and generous support from hundreds of donors, including foundations, corporations, and individuals. The outpouring of support from across the country was heartening, in contrast to the devastation we witnessed first-hand. Many donors are acknowledged on page 26 of this report, with more listed in Appendix C.

Theodore S. Berger
Executive Director

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Preface

The New York Arts Recovery Fund represented recognition of the important role played by artists and small arts organizations in the life of New York City. With the large majority of philanthropic funds for the arts going to the major institutions that present art works to the public, this frequently overlooked sector received support from some of the country's largest foundations, as well as from individuals who bought concert tickets and school children who made and sold patriotic buttons to support the Fund.

The New York Arts Recovery Fund demonstrated that an often fractious arts community can pull together during difficult times. NYFA had established itself as the natural cynosure for such an effort through the completion of *Culture Counts*, a study of the effects of public funding on all parts of the arts community. Ironically, this report was sent to the printer on 9/11/2001.

The New York Arts Recovery Fund also showed that forces in the arts and funding communities can be mobilized quickly to respond to dire needs. Given the volume of applications and the needs of individual applicants, the review process involved considerable effort to evaluate each application to establish discernable and documentable financial loss. All funds were expended by August 2002 – encompassing ten months from the first dollar raised to the last dollar spent.

In all, the Fund granted \$4.635 million dollars to artists and arts organizations directly affected by 9/11, making awards to 352 individuals and 135 organizations. In addition, technical assistance in seeking relief from other funds was provided to thousands of additional artists and organizations.

In addition to providing relief to those most in need, we sought to make the process transparent while preserving the privacy of each applicant and to award all funds equitably following established standards and guidelines. We have learned a great deal from this process, which we are sharing with the community in this report.

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Publications (available on the Internet as PDF files at the URLs given)

An Artists Guide to September 11 Relief Efforts

http://www.nyfa.org/files_uploaded/9-11_artists_guide.pdf

A Nonprofit's Guide to September 11 Relief Efforts

http://www.nyfa.org/files_uploaded/9-11_non-profit_guide.pdf

Grant Application Guidelines

http://www.nyfa.org/files_uploaded/ARF-Appl_Guidelines.PDF

Grant Application for Individuals

http://www.nyfa.org/files_uploaded/ARF-Ind.PDF

Grant Application for Organizations

http://www.nyfa.org/files_uploaded/Arf-np.pdf

Creative Downtown

http://www.nyfa.org/files_uploaded/creativetown.pdf

Artists One Year Later

http://www.nyfa.org/files_uploaded/Report.pdf

This report was prepared and written by Amy Schwartzman Brightbill, Penny Dannenberg, Tema Fishbein, and Waddy Thompson and edited by Rados Piletech and Lisa Pue.

Executive Summary

The New York Foundation for the Arts established the New York Arts Recovery Fund to provide grants and services to artists and arts organizations that suffered economic losses as a result of the events of 9/11, 2001.

The New York Arts Recovery Fund was a four-part initiative:

- **Information Resources.** We worked with other arts and non-arts organizations to gather and distribute information concerning existing government and private resources available to assist with the effects of 9/11. The program then assisted artists and arts organizations in understanding the rules and regulations of the government and private disaster relief funding agencies. Through written materials, Web site information, and seminars, consultants provided technical assistance to the field. One-on-one sessions and group meetings further helped artists and organizations navigate the technical aspects of obtaining assistance from the appropriate agencies.
- **Advocacy.** We worked with others to articulate and advance the voice and needs of artists and arts organizations in the relief and recovery programs and services being developed on behalf of other individuals and organizations affected by the tragedy. Such an advocacy role was essential to ensure that artists, the arts, and the entire cultural community receive an appropriate portion of public and private funds being allocated for this effort.
- **Grants.** We developed an emergency grants program designed to meet the needs of artists and arts organizations. Using NYFA's extensive grantmaking experience for individual artists and organizations, we developed a regrant program for artists and organizations in all disciplines. Grants were given on a competitive basis through a review process, based on criteria developed by the Collaborative Partners (see below), with the most severely affected organizations receiving first priority. The application and review process for artists and arts organizations that was used following the 1989 San Francisco earthquake served as our model.
- **Public Programs.** We worked with others in the field to develop marketing and public promotion campaigns about the importance of the arts for communities. These included a panel discussion in November 2001 on *The Artist in Time of Crisis* and a large benefit concert in January 2002, *Arts on the High Wire*.

NYFA was responsible for raising money and administering the Fund. In developing policies and in deciding grant awards, NYFA worked in collaboration with the Alliance of Resident Theaters/New York, American Music Center, Arts & Business Council, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, Nonprofit Finance Fund, and New York City Arts Coalition. In addition, an *ad hoc* committee of NYFA's Board of Trustees provided oversight of the Fund.

Leadership grants from the Rockefeller Foundation and the Robert Sterling Clark Foundation made it possible for the New York Arts Recovery Fund to begin work immediately in fall 2001. The Andrew W. Mellon Foundation's \$2.65 million grant shortly thereafter firmly established the Fund as a significant resource for New York City artists and organizations. A total of \$5.23 million was raised for the Fund from foundations, corporations, public funders, and more than 1,000 individuals. Many of the individuals gave through Arts on the High Wire, a concert held in January 2002, which not only brought in contributions, but also raised public awareness of the effects of 9/11 on artists and arts organizations through extensive local and national media coverage. Contributions were also received from groups of artists and school groups through the U.S. (and one in Canada).

A total of ten months elapsed from first dollar in to last dollar out. We were able to accomplish this through the immediate and generous response from donors, the cooperation from our colleagues at other organizations, and the very hard work of staff in evaluating hundreds of applications in a very short period of time.

\$4.63 million of the funds raised were designated for grants, \$555,000 for technical assistance, information distribution, personnel, and other program costs. \$1.93 million was awarded to individual artists and \$2.7 million to nonprofit arts organizations. Grants were awarded to a maximum of \$10,000 for individuals and \$50,000 for organizations.

Nearly 500 individual artists, small artist businesses, and nonprofit organizations received grants. Awards were made to those who experienced a significant degree of loss as a direct result of 9/11, whether by the need to relocate space in which recipients lived or worked, clean up of debris, loss of income due to cancelled performances or exhibitions, or health related expenses. Awards were based on need. Although proof of an active life as an artist was required of individuals, the quality of their work was not a consideration.

The primary focus of the program was on those living and working below Canal Street. The next priority was those located below 14th Street. Artists and organizations in other areas of the city were also eligible. While it was clear that those artists and organizations in the vicinity of the World Trade Center needed immediate attention, it was evident that, as in other industries, all of the New York City, if not national, the arts community was affected by this disaster. In the end, 22% of the applicants were located in Manhattan below Canal Street, 28% between 14th and Canal Streets, and 27% in other parts of Manhattan. The remaining 23% were located in Brooklyn, Queens, the Bronx and Staten Island.

In addition to the many artists who lived or worked in the vicinity of the World Trade Center, many more artists and arts organizations were affected by the ripple effect produced by new security concerns, canceled arts events, difficulty of travel, and the rapidly declining economy. For example, the New York City Board of Education immediately put into place a moratorium on school trips, causing a devastating drop in income to arts and cultural organizations that rely on student visits, and made it difficult for part-time contractors (including many teaching artists) to come into the schools.

Through the applications submitted to the Fund, we learned that artists and arts groups had begun to experience a steady erosion of earned and contributed income prior to 9/11. The terrorist attack exacerbated this down swing, resulting in artists and arts organizations experiencing nearly a 50% cut in their income in that year. The Fund became the essential instrument for the arts community to understand that their community would survive and that this community had rallied together, was united, and was responsive to their needs.

Knowing that whatever amount we raised would be short of what was needed by all artists and small arts organizations, we devoted part of the money raised to assisting our constituencies in finding out about and applying to other emergency funds. Seminars were held in several locations and 10,000 information pamphlets were distributed and made available on our Web site. Throughout the application process, staff worked individually with applicants to refine applications to the Fund and to help them gain other means of assistance.

Many organizations reported to us that the events of 9/11 brought a stronger awareness and admission of their weakness in financial resources. They also expressed a greater determination to address these weaknesses through board development, additional revenue generating events, and the cultivation of new donors. Many organizations have streamlined their administrative support staff to the bare minimum to survive. They describe an increasing amount of personal stress to do more with less money. The minimal staff works longer hours at reduced salary rates, boards are confronted with the need to raise more money, and their donors are besieged on all fronts. Yet through all this the arts community learned that in a time of widespread crisis, individuals and organizations in a position to do so will be generous to the arts. The Fund's grants validated artistic production and allowed the recipients to begin to put 9/11 behind them.

We have included in this report detailed information on the workings of the Fund to serve both as a document of what transpired and to serve as a road map for others should a similar need arise in the future. Those of us at NYFA consider it a privilege to have administered the New York Arts Recovery Fund. It was unlike any program we had run in our thirty years and more emotionally draining than any we hope to ever have to run. The generosity of funders, ranging from major foundations to a group of fifth graders in New Paltz, vividly reinforced the wide recognition of the importance of the arts to our City and nation.

The Economic Impact of 9/11 on New York City's Artists and Arts Organizations

The arts are an integral part of New York City to a degree perhaps greater than anywhere else in this country. The arts' role in driving the City's \$25 billion tourism industry is often cited, as is the role of the arts in development of areas from SoHo to downtown Brooklyn to Long Island City, Queens. Less acknowledged is the vital role artists themselves play in giving New York its unique character and in providing talent to varied economic sectors, including advertising, entertainment, and software design.

In the aftermath of 9/11, artists and arts groups were called upon repeatedly to assist in the healing process through free concerts and free access to exhibitions, as well as presenting arts events in downtown areas to encourage the general population to return to that area and to ease the way back for those who live and work there. Yet few relief funds recognized artists and arts organizations as a sector in need of recovery assistance. Artists and arts groups were among the many hidden victims of 9/11 – those that were significantly affected while not falling into any standard definitions of "victims."

The economic downturn following 9/11 revealed the financial fragility that already existed in the arts sector, although a number of effects directly related to 9/11 can be identified.

How Artists Were Affected by 9/11

- The 25 artists with studios provided through the Lower Manhattan Cultural Council in the World Trade Center (WTC) sustained the greatest losses in materials and equipment (as much as \$200,000), as well as art work valued by the artists at \$650,000. One artist lost his life.
- Several hundred artists living closest to the WTC incurred substantial expenses in cleaning their studios and art work.
- Artists lost income because of cancelled or reduced performances, exhibitions, and benefits in New York City or through tour dates that were cancelled due to drops in attendance in other parts of the country.
- Artists lost income because of the general decline in public and private funding for arts organizations that support artists indirectly and those with specific direct-support programs such as NYFA's fellowship program.
- Teaching artists were greatly affected because of the decline in New York City arts-in-education funding. Decreased contracted services of arts organizations reduced the livelihoods of the artists who provided services in schools, usually as independent contractors.
- Just as other individuals faced unemployment from the eroding economy and from the WTC attack, artists lost their day-jobs, many of which were in the hardest hit sectors such as restaurants.
- Artists saw fewer people interested in buying their work.

How Arts Organizations Were Affected by 9/11

- Small theatres and nonprofit exhibition spaces below 14th Street were unable to operate for many weeks following 9/11 and continued to suffer for months thereafter from the unwillingness of audiences to venture anywhere near Ground Zero.
- The erosion of tourism nationally as a result of the public's concern about the safety of air travel resulted in cancelled tours by New York City performing arts groups.
- Faced with reduced endowments, foundations were reluctant to take on any new organizations and reduced the size of grants to current grantees.
- Corporate funding declined as funds were diverted to 9/11 relief and companies' profits fell.
- Repeated reductions in public funding left organizations not only poorer, but unable to depend on previous commitments.

The affects of 9/11 on commercial Broadway theatre dominated headlines, but the majority of arts and culture activities in New York City are supported by nonprofits. These range from the Metropolitan Museum of Art with its \$130 million budget to some 128 theatre companies with budgets under \$100,000.

The Magnitude of the Arts Community's Needs

The actual number of individual artists in all disciplines living and working below 14th Street still remains unknown. Based on the New York Foundation for the Arts' (NYFA) statistics, we did know that 2,200 originating artists below 14th Street had applied to NYFA for fellowship assistance in the previous two years, 700 of whom lived below Canal Street. In reality, the numbers were much higher, for NYFA's applicant pool is not representative of the totality, as it reflects only people who chose to apply for fellowships and it does not include any interpretive artists, such as actors, musicians, and dancers.

The New York State Council on the Arts (NYSCA) and the Department of Cultural Affairs (DCA) indicate that there were about 230 arts organizations below 14th Street, of which 90 were below Canal Street. In a citywide survey undertaken in October 2001 by the New York City Arts Coalition, the impact in lost income, contributions, and new expenses from 9/11 to 9/30 was estimated at \$23 million. The survey also showed \$35 million in projected losses over the six months after October 2001.

As expected, the reductions in contributed income were not short term – they persist today, nearly two years after the attacks. Most organizations have had to depend more heavily on their boards and past contributors to get by in the absence of new sources of income. All major capital projects were in jeopardy (and many were cancelled or postponed). Groups that believed that they would make it through the 2001-2002 fiscal year relatively unscathed, saw the 2002-2003 year as an even greater challenge.

Time has shown the assumptions for recovery in late 2001 to have been optimistic. As the economic recession deepened, arts groups and artists found themselves facing even harder realities in the absence of 9/11 relief funding, which had been exhausted.

A survey conducted in August 2002 by Government Outreach Committee of DowntownNYC! on behalf of the New York Foundation for the Arts and Consortium For Worker Education looked at the economic impact of September 11th on the estimated 150,000 working artists of all disciplines, who are the key drivers for the arts and entertainment industry in New York City. That survey found that as a result of 9/11:

- 22% of respondents became unemployed
- 66% lost sales/income
- 69% lost business opportunities/independent contractor jobs.

Almost a year after the 9/11 attacks, four out of five artists who responded are still suffering income loss and this income loss is directly tied to the arts and entertainment sector. The average loss in individual income is over 46%. Prior to the attack in 2001, only one in five artists reported income losses as a result of the weak economy. No other industry in NYC has reported a September 11th-related income loss this great. Resources to address these individual needs have not been forthcoming.

To respond to the needs of organizations, NYFA began a new initiative the day the New York Arts Recovery Fund closed, Arts Rebounding. The new multi-part program seeks to (1) help arts managers run their organizations more wisely through the NYFA Leadership Initiative, (2) provide small grants to assist in capacity building and staff professional development, and (3) supply wage subsidies to get people back to work. All three parts of the program were active in 2002-2003, but funding cuts from all sectors makes their continuation uncertain.

Leadership and Fund Structure

NYFA Board of Trustees

NYFA's Board's dedication to the arts in New York City was instrumental to the formation of the Fund both in attracting financial support and establishing the Fund's policies, criteria, and guidelines. Board President Margaret C. Ayers formed an *ad hoc* committee to oversee the Fund. The Committee held meetings to discuss policy and received progress reports from staff on policies, budgets, award allocations, and staffing to oversee the Fund's successful completion. A listing of the Board of Trustees appears at the back of this report.

Collaborating Organizations

NYFA worked with eight other service organizations in the governance of the New York Arts Recovery Fund – Alliance of Resident Theaters/New York (A.R.T./New York), American Music Center, Arts & Business Council, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, Nonprofit Finance Fund, and New York City Arts Coalition.

Through the Andrew W. Mellon Foundation's Arts Relief Fund, the Alliance of Resident Theatres/New York made grants of \$2.5 million to 156 nonprofit theatre companies with annual budgets below \$4 million. They also were responsible for disseminating information about the New York Arts Recovery Fund throughout the theatre community.

American Music Center also received \$2.65 million from the Mellon Foundation, with which it created the Music Liberty Initiative for New York, awarding \$2.5 million in grants to composers and nonprofit music groups. They provided information and technical assistance to the Fund and helped disseminate information in the music community.

Arts & Business Council created a campaign, Arts for Hope, to increase public awareness of what the arts had to offer and also of the needs of the arts community. They recruited volunteers to assist workshop and outreach meeting participants complete applications for various relief Funds.

Asian American Arts Alliance, Association of Hispanic Arts, and Harlem Arts Alliance each served as the principle means of disseminating information about the Fund and other relief efforts within their particular communities. They also provided technical assistance to their constituents and served on grant panels.

The New York City Arts Coalition provided leadership on advocacy issues, pressing FEMA and SBA especially on issues related to the artists and nonprofit organizations. The Coalition began work within weeks of 9/11 to compile information that later appeared in the two guides to 9/11 assistance published by the Coalition and the Fund. It also authored *Creative Downtown*, a report on the role of the arts in redeveloping downtown New York. (See pages 20–21 and the appendices for further discussion and sample publications.)

Nonprofit Finance Fund ran another grant program for nonprofit organizations, and provided technical assistance to those groups. When their funds for arts groups were exhausted, they referred applicants to the New York Arts Recovery Fund.

NYFA was responsible for the coordination, administration, fundraising, and reporting for the fund. This included keeping the public, funders, and the collaborating members informed about the Fund, consulting legal counsel as needed, issuing checks and grant award and declination letters, reporting to oversight agencies and to funders, and hiring and supervising staff.

Staffing

At the onset, NYFA's staff leadership (Penelope Dannenberg, Director of Programs, and Theodore S. Berger, Executive Director) worked to structure and define the Fund. Amy Schwartzman Brightbill was soon brought in as Information Officer to researcher and write the artist and nonprofit guides to 9/11 funding. Mary Hays, an independent arts consultant, assisted with the initial draft of the guidelines and the application form. NYFA's development department was responsible for raising money for the Fund.

In January, staff expanded to include Tema Fishbein, Grants Officer, and Melissa Patton, Program Assistant. As the program progressed, we gradually increased the staff from 390 staff hours monthly at the beginning to 580 staff hours monthly at its peak. Throughout the process, the Fund had six part-time financial analysts vetting applications and four part-time application reviewers. NYFA program, administrative, finance, and development staff also put in long hours to facilitate the operation of the Fund.

Application Criteria

The application and review process for artists and arts organizations used following the 1989 San Francisco earthquake served as our model. Colleagues at the San Francisco Foundation shared this information and provided counsel in the early days of the Fund.

Specific criteria for eligibility were established for awarding grants:

- Individual artists (who are not students) who are active in the field and living or working in New York City
- Nonprofit arts organizations located in New York City
- Losses directly attributable to the time period immediately surrounding the attacks
- Proximity to the World Trade Center
- Losses not covered by other sources:
 - Cleanup and repair expenses including air quality purification and cleaning of artwork
 - Relocation costs, permanent or temporary

- Expenses incurred prior to 9/11 for cancelled events such as performances, exhibitions, and fundraising benefits
- Other documentable losses of income
- Health-related expenses (for individual artists).

Artists and arts organizations in any discipline were eligible with the exception of composers, nonprofit music organizations, and nonprofit theaters. Those artists and organizations were eligible for awards through A.R.T./New York and American Music Center.

For NYFA, the unique aspect of applications to the Fund was that artistic merit was not part of the application process. Applicants could either be individual artists or individual artists applying as small artist businesses. All applicants had to be established in their artistic field, identifying themselves as working artists, although not necessarily supporting themselves from their art practice.

In anticipation of a large number of applications and the likely amount that could be raised for regrants, a maximum of \$10,000 was designated for individual artists and \$50,000 for arts organizations.

The Review Process

Applications were reviewed by staff and panels and grants were awarded on an ongoing basis. Staff worked to accommodate applications as quickly as possible given the influx of applications to determine whether applicants made adequate information available. On the final day of the rolling process, the Fund received nearly 200 applications. In total, 781 applications were received, far exceeding our predictions for applicants and expectations for the staff needed to administer the Fund. Total requests for funds exceeded \$9 million.

Two staff reviewers and one financial analyst evaluated each application. After all reviewers came to agreement regarding the award amount (or a recommendation not to make an award), the applicant was then brought to the panel review process. As the fund advanced and the volume of applications increased, reviewers became increasingly more efficient in their evaluations. The review process was ultimately streamlined so that by the final stages of the Fund, reviews were made by one reviewer and one financial analyst.

The first step in the internal review process began with the applicant's narrative statement, which contained the specific details of loss or damage directly related to 9/11. Reviewers examined the applicants' location (particularly their proximity to the World Trade Center) and each applicant's circumstances, i.e., exhibitions, performances, or work that was interrupted because of 9/11. The narrative was compared to the financial information in the application, and any discrepancies were discussed with the applicant. Supporting documents were checked for completeness and analyzed for accuracy.

Both losses and financial need had to be itemized and verified by supporting documentation provided by the applicant, including receipts, bills, lease agreements, bank records, income tax records, contracts, and other documents to support the narrative statements. Many individual artists had difficulty in submitting this information, due to poor record keeping or the many sources of income that artists typically patch together to make a living. Staff worked closely with these artists to identify different means of establishing prior levels of income as well as estimating losses.

Because requests for assistance outpaced availability of funds, financial need, or ability to otherwise handle losses, was an essential criterion for granting awards. Additionally, losses submitted for recovery could not be supported by other sources, i.e., monies already received from insurance or other relief funds. In the case where applicants received funds from other sources, that amount was subtracted from the total loss they could seek from the Fund. Approximately 40% of applicants, however, had not received support from any other relief agency.

An artistic resume or other proof of professional activity was required to confirm activity as an artist, but artistic merit was not a consideration and representational samples of work were not accepted. Nonprofit arts organizations were also required to supply budgets, balance sheets, audited financial statements, a list of board members, and evidence of nonprofit status.

Both internal reviewers and financial analysts evaluated the applications and prepared a written recommendation for each applicant. These recommendations were compiled in a grant summary and presented in a panel book for panelists in advance of panel meetings.

The Fund was registered with the New York State Attorney General's office, which assisted in the coordination of awards among the many relief funds. Legal counsel reviewed the grant application form, the criteria set for awards, and the processes we used.

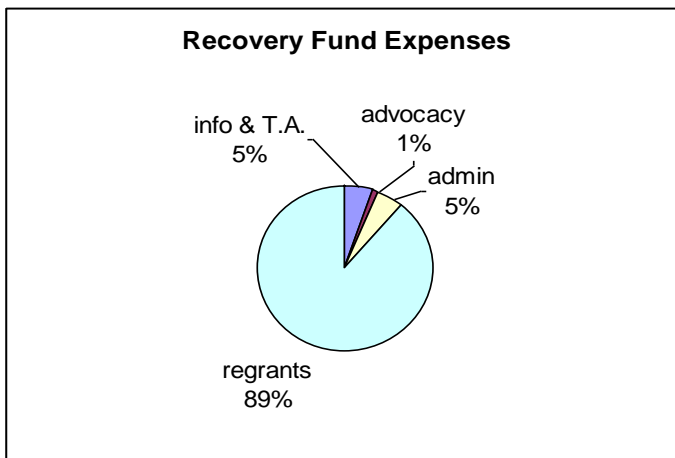
The Panels

Panelists were either representatives of or recommended by the collaborating partners. The panels were diverse and comprised of members of various artistic disciplines, such as film, literature, dance, and arts education, to offer a broad perspective of the artistic community and identify specific trends within a community or field. The panel's function was to ascertain if the applicant met the specific criteria of the fund and to vote for or against, or for a modification of the recommendation provided by the reviewers as presented in the panel book. Nine panel meetings were conducted. A reviewer presented each application after which questions and comments could be made, panelists voted, and final awards were determined by a majority vote.

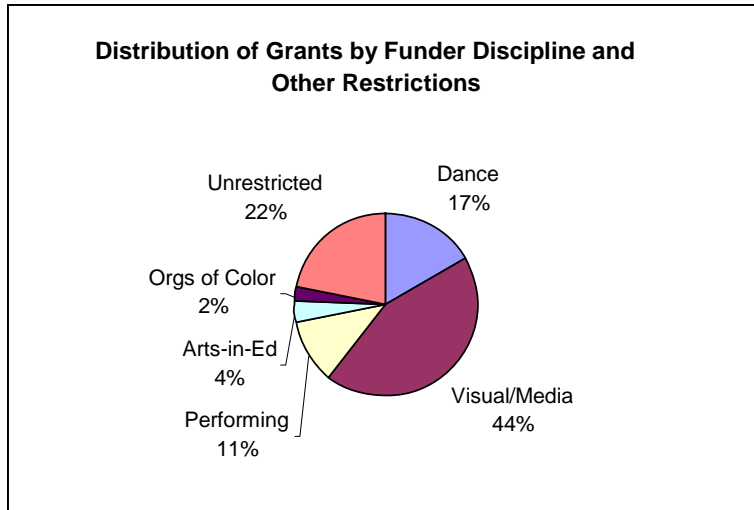
Prior to the installation of a panel, panelists were required to sign the Code of Ethics governing the confidentiality of the information gained from applications and other issues, and at the first meeting of a new panel, members were given instructions regarding the criteria for eligibility and the Charge to Panel describing the evaluation process. These are included in the appendices.

Distribution of Funds

The New York Arts Recovery Fund received \$5.23 million from a variety of sources. \$4.67 million (89%) was designated for regrants and \$555,000 (11%) was earmarked for administrative expenses, technical assistance and information, personnel, advocacy, and program costs.



Funds were allocated by some donors for specific disciplines, for various segments of the arts community, or for sections of New York City. Within these designations, the Fund allocated \$1.93 million for individual artists and small artists businesses and \$2.7 million for nonprofit arts organizations.



Applications Received

Application and guidelines were mailed to 2,000 artists and organizations and posted on the NYFA's Web site. Eventually 8,000 copies of the application were distributed. Prior to publishing the application, we received 60 applications from arts organizations that had responded directly to the Andrew W. Mellon Foundation's announcement of a \$50 million fund to assist cultural and performing arts organizations. Whereas the Mellon Foundation accepted the applications from major arts organizations, they asked that we incorporate the applications from smaller groups as part of our Fund's work.

Of the 781 who applied to the Fund (including the 60 forwarded to us by Mellon), 590 applications came from individual artists and small artists businesses and 191 from nonprofit arts organizations. The large number of applications and broad range of artistic discipline reflects the profound effect of 9/11 throughout the arts community. Of the total applications received from artists and organizations 312 were classified as visual arts, 196 multidisciplinary, 75 dance, 53 literary arts, 50 performing arts, 88 music, 4 film and video, 2 arts services, and 1 in theatre.

The demographics we obtained from the applications demonstrate the extensive effects of the 9/11 disaster on the arts community as a whole. The largest group of applicants was located in Manhattan, of those 22% were/are located below Canal Street, 28% were/are located between Canal and 14th Street, and 27% are located elsewhere in Manhattan. The remaining 23% of applicants are located in Brooklyn, Queens, New Jersey, Bronx, Staten Island, Long Island, and the counties just north of New York City.

After an initial review by staff of each application's completeness, applicants were called and requested to submit additional materials as needed. Applicants were given a sufficient amount of time to send in requested items. Those applicants that chose not to respond were not brought to panel. 143 applicants or 18% failed to supply necessary documents to satisfy criteria and were therefore considered incomplete. Through the granting process we were able to award 487 applicants, or 62% of those who applied, thereby distributing all of the \$4.67 million designated for grants.

Applicants who provided insufficient information, and those who applied after the application deadline of April 30, 2002, were not brought to panel. Those applications that were not approved by the panel were then considered rejected. Declination letters were sent to applicants rejected by the panel. We rejected 65 applications or 8% of the total applications.

Technical assistance was a fundamental component of the Fund and was available for inquiries prior to applying and available throughout the review process. Applicants could access application assistance either via phone, interview, or email. We were aware that the circumstance of each applicant was potentially unique and therefore required detailed supervision to complete the application successfully. Applicants were encouraged to present all relevant materials including documentation to substantiate losses, an essential component of our guidelines.

In the instances where documents could not be obtained, the applicants were encouraged to submit a lost document form or a signed affidavit attesting to the absence of substantiating materials.

Emergencies

In a limited number of cases, in which an applicant demonstrated dire need for aid due to eviction or other urgent circumstances, the fund reviewed and made awards outside the standard review process. In six instances applications were expedited; reviewers made recommendations and individual panelists were asked for approval, after which awards were immediately distributed.

Needs Assessment

In reviewing such a large number of requests for economic assistance, various patterns emerged:

- Loss as a result of cancelled events. Applicants were forced to cancel or postpone events such as performances, exhibits, classes, broadcasts, tours, fundraisers, or conferences.
- Loss related to the location of an applicant. Those who worked or lived in the “frozen zone” were directly harmed by the resulting physical damage or were prohibited access to their facilities and therefore were unable to pursue their artistic work.

- Loss due to canceled contracts with the Board of Education. These cancellations had a serious and deleterious effect on arts education and individual teaching artists as well as organizations that devote only a small portion of their resources to education.
- Increases in production costs, i.e., increased insurance fees and the need to reproduce marketing materials due to performance schedule changes.

Needs Outside Fund Guidelines

Many artists and organizations submitted proposals that were outside the guidelines of the New York Arts Recovery Fund and were not awarded grants. Those applicants suffered from financial losses as a result of the economic downturn (rather than directly related to 9/11), funds redirected for other purposes, limited new support new, and failed capital campaigns, and job loss prior to 9/11.

Examples of Grants Made to Individuals

A painter who worked regularly as an arts educator found her hours severely cut back after 9/11. She had to give up her studio, and thus could not paint (and therefore not create work) nor did she have a place to show work to potential collectors or gallery owners. The part-time work with Studio in a School disqualified her from unemployment payments. Her husband lost his job, making her the sole provider. She was awarded \$10,000.

A painter's home and studio was located directly across the street from the World Trade Center at Cedar Street (home to many artists, many of whom were helped by the Arts Recovery Fund). The entire contents of her apartment, including art works, art making materials and archives, were damaged or destroyed. She had to evacuate her premises and continued to reside in temporary housing for many, many months. The process to clean asbestos residue, fiberglass, and debris from some 20,000 slides of her work and to restore her studio to working order will be exhaustive. The \$10,000 grant covered part of these costs.

An actor who lived on Edgecombe Avenue uptown had supplemented his acting income working for an advertising agency that closed two weeks after 9/11. He had been unable to find any other temp work, and had been threatened with eviction from his apartment and had other overdue bills. He was awarded \$5,000 to cover some of these costs.

A screenwriter had developed and written a screenplay for a film centered on the World Trade Center and Lower Manhattan waterfront that was scheduled to begin production on September 15, 2002. After 9/11, the screenplay could not be produced and investors abandoned the project. Subsequently, she was unemployed for seven months. Her \$10,000 grant helped replace the lost income from this project.

Examples of Grants Made to Organizations

Tribeca Performing Arts Center, located at the Borough of Manhattan Community College, is a multidisciplinary arts presenter. Its two theaters, which ordinarily present music, dance, and theatre, became a command and triage center for up to 3,500 rescue workers from the New York City Police and Fire Departments. In addition to the loss of income from cancelled performances, reduced box office and rentals, the facility suffered from twenty-four hour use by rescue workers. The \$50,000 grant helped restore the facility to usable condition.

New York Fu Kai Cantonese Opera Training Center presents classic Cantonese opera in a venue in Chinatown. A major production was to have opened on September 11. This and subsequent performances were cancelled because of the inaccessibility of Chinatown in the following weeks. In addition, student enrollment fell 75%. The grant of \$24,896 replaced income from the cancelled performances.

Creative Time presents public arts works in a variety of venues, many downtown. Prior to 9/11, they occupied a performance space within the anchorage of the Brooklyn Bridge. The space served as a venue for their own work and also produced significant rental income. Due to post-9/11 security concerns, they were no longer allowed to use the space. Events in other downtown venues were postponed. Because their offices are in midtown, they were ineligible for assistance from FEMA. Their \$50,000 grant helped offset financial losses while an alternative to the anchorage space was found.

African Voices, located on West 96th Street, publishes a quarterly literary magazine and sponsors literary readings, workshops, and other community events. Their annual benefit was cancelled, representing 40% of the organization's revenue. Their award of \$14,154 helped replace lost income from the benefit and made it possible for the magazine to continue publication.

Outreach and Information Distribution

The first grant received for the New York Arts Recovery Fund (from the Rockefeller Foundation) was restricted to outreach, information distribution, and advocacy. With so many groups raising funds for disaster relief, there was wide-spread confusion as to who was eligible for which funds and for what kinds of losses. Beyond the families of casualties from the attacks, everything else was subject to interpretation. It especially was unclear whether nonprofit organizations in general (and arts groups specifically) would be eligible for any assistance. It was therefore appropriate that the first efforts of the Fund were to gather and distribute information about the existing sources of relief funds and at the same time to serve as an advocate for the field.

Within weeks of the disaster, the New York City Arts Coalition contracted Amy Schwartzman Brightbill, former executive director of Volunteer Lawyers for the Arts, to begin work on a comparative guide to the many relief funds, including government programs. An emergency grant from the Liman Foundation enabled this work to begin. Shortly thereafter, the New York Arts Recovery Fund assumed responsibility for production and distribution of the guides.

An Artists Guide to September 11 Relief Efforts and *A Non-Profit's Guide to September 11 Relief Efforts* were distributed by mail and through locations where it was likely artists of many disciplines would find them including Council for the Arts and Humanities' kiosk at the Manhattan Staten Island Ferry Terminal, Pearl Paint, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, ASCAP, Arts & Business Council, P.S. 122, Dance Theatre Workshop, A.R.T./New York, Association of Independent Video and Film, Women Make Movies, Independent Feature Project, Printed Matter, The Knitting Factory, the lobby of One East 53rd Street (where VLA, Young Audiences, Studio in a School, and MUSE, among others, have their offices), Actors Equity, Actors Fund, Dance Space, and DanSpace Project at St. Marks Church-in-the-Bowery. 10,000 copies of the guides were distributed to individuals and arts organizations. The information was also posted on the NYFA Web site, where it was downloaded hundreds of times.

The outreach meetings served to increase awareness of the granting program and to facilitate the application process by clarifying the criteria for eligibility and detailing the types of documentation necessary for awards. Individual artists and arts administrators that attended meetings were taken through the entire application process from initial application, guidance and investigation with reviewers, internal review recommendations, panel review, final determination, and grantee reporting.

Ms. Brightbill led five workshops in November and December 2001 to talk about the different kinds of relief available, to understand better the kinds of problems people had been encountering, and to introduce the Fund. Information and technical assistance meetings were held at NYFA's offices and at sites in Brooklyn, Staten Island, the Bronx, Harlem and Chinatown. These meetings were co-hosted with Brooklyn Arts Council, Council on the Arts and Humanities for Staten Island, Bronx Council on the Arts, and the Harlem Arts Alliance,

the Asian American Arts Alliance, and the Association of Hispanic Arts—our community partners. We also held a clinic for applicants assisted by volunteers from the Arts & Business Council and the Arts Federal Credit Union. Ms. Brightbill assisted numerous individuals by phone, email, or appointment who needed help in negotiating the maze of organizations and relief efforts.

Along with mailing and posting on the Web site, grant applications were distributed throughout the City at sites frequented by artists in order to insure that applications would be widely available. Additionally, staff met individually with applicants to complete applications and contacted many of them several times to solicit additional support materials to ensure that every application could be presented to the panels in its best form.

Advocacy

The Fund developed contacts at FEMA and New York City Economic Development Corporation (EDC), advising them about how the system and processes they were developing were problematic for artists and arts organizations on a conceptual level and how they needed to be changed. The Fund also advocated on behalf of specific individuals who had been denied different kinds of FEMA relief. This advocacy succeeded in changing procedures and how people were dealt with at that agency. For example, after speaking with a Senior Vice-President at EDC about how some of the initial bank loan program requirements were prejudicial to nonprofit organizations, these requirements were dropped.

The Fund's staff assisted Norma Munn, executive director of the New York City Arts Coalition, in advocating with the Small Business Administration (SBA) loan program, which initially did not allow nonprofit organizations to get Economic Injury Loans, but only physical damage loans. Staff also assisted her with commentary on the proposed World Trade Center Business Recovery Grant Program, asking them to clarify that nonprofit organizations qualified for these programs and that they be treated similarly to for-profit businesses when appropriate. Some of the Fund's requests for changes were integrated into the final program.

Ms. Munn continued to advocate on these and other issues with local, state and federal elected and appointed officials. One of the critical areas of concern for the Fund was the removal of the geographic restriction requirement to qualify for FEMA's Mortgage and Rental Assistance Program. Originally this program required that one had to live below Canal Street to get the up to 18 months of mortgage or rental assistance authorized under the program. One of the most significant findings of the Fund was that the economic fallout was not limited to people who lived downtown. (When we later conducted our survey of individual artists, this was statistically confirmed.)

An important part of the advocacy effort also involved keeping the national arts community aware of what was happening with New York City's artists and arts organizations. *NYFA Current* (then known as *Arts Wire Current*) carried news and commentary about the situation in regular reports written by editor Judy Malloy over the course of the year following the attacks. These issues serve as an archive of news and events as they happened. NYFA has preserved them on its Web site at http://www.nyfa.org/current_archive/2002/911.html.

Two public events related to the Fund were responsible for dramatizing the role of the arts in addressing the tragedy and in recovery. Four prominent artists were brought together for a panel discussion, *The Artist in Time of Crisis*, moderated by choreographer Elizabeth Streb on November 14, 2001. Mina Alexander (poet), Philip-Lorca diCorcia (photographer), Richard Gluckman (architect), and Lar Lubovitch (choreographer) discussed their immediate reactions to 9/11, its affect of their work, and the role of artists in times such as these. The Drawing Center in SoHo was packed with a standing-room-only audience for this event.

The **Arts on the High Wire** benefit dramatized the role of the arts in the recovery process and their ongoing importance to the people of New York City. Independent Producer Chris Wangro and a large number of colleagues organized this event, recruiting a wide variety of artists to participate including Laurie Anderson, Chuck Close, Pete Hamil, Joe Jackson, Elizabeth Streb, and Suzanne Vega, to name a few. Philippe Petite walked the high wire in remembrance of his historic walk between the Twin Towers at the sold-out concert. With the *New York Times* and WFMU-FM (which broadcast the event live) as media sponsors, the event gained wide-spread attention. Philippe Petite was interviewed on *The Today* show and the concert was later featured on WNET's "New York Voices."

Post-Crisis Publications and Meetings

The Fund commissioned the New York City Arts Coalition to create a report on the role the downtown arts community had and what roles it could and should play in any rebuilding effort downtown. This report, entitled “Creative Downtown,” specifically did not focus just on the World Trade Center area, but on the community below 14th Street. Kinshasha Holman Conwill, Roberto Bedoya, and others collaborated on this report. Information for the report was gathered through town meetings, focus groups, and other research. The result report made recommendations for, among other things, a cultural land trust.

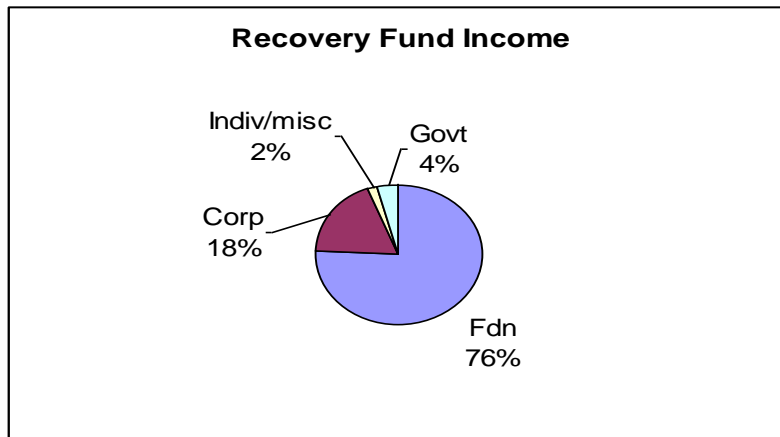
Several of the recommendations of *Creative Downtown* were later integrated into “Artists One Year Later.” This report came about through an alliance with the Government Outreach Committee of Downtown NYC! and the Center for Worker Education. The former was contracted by NYFA to survey artists citywide about the effects of 9/11 one year later and write a report on the results of the survey. NYFA staff contributed to the final document. The survey was circulated both online and through mailing. Mailing lists came from NYFA's lists of artists, the database of applicants to the Fund, Local 802 members, Actors Equity, and other theatrical union members, etc. Additionally, an email outreach campaign was done for those on these lists. A news conference announcing the survey's findings was held in September 2002, and the final report published in November 2002.

NYFA sponsored a day-long meeting with emergency funders in the arts to talk about their programs and the issues that emerge in these contexts. The Gottlieb Foundation, Artists Trust (Seattle), Jazz Foundation of America, Craft Emergency Fund, and the Pollock-Krasner Foundation all sent representatives.

All of the information gathering, information distribution, and advocacy activities presented occasions for NYFA to teach and to learn more about the field, its needs in a time of crisis, and how those needs could best be addressed.

Funding

There was an unprecedented outpouring of support from the people of New York and throughout the US following the 9/11 terrorist attacks. This was true in the cultural community as well. Leadership grants from the Rockefeller Foundation and the Robert Sterling Clark Foundation made it possible for the Fund to begin work immediately in fall 2001. The Andrew W. Mellon Foundation's \$2.65 million grant shortly thereafter firmly established the Recovery Fund as a significant resource for New York City artists and organizations. This was part of that foundation's exceptional \$50 million relief effort for the arts.



Some of the other contributors to the Arts Recovery Fund include:

- A group of artists (many ex-New Yorkers) in Seattle led by Spider Kedelsky held a benefit concert in October 2001 (\$10,000)
- The Beaumont Ballet of Beaumont, Texas held a benefit concert (\$5,575)
- Senior dance class at Ohio State University directed their annual class donation to the Fund (\$1,000)
- Middle and high school students from the New Paltz (New York) Central School District sold patriotic pins they had made to benefit the Fund (\$551)
- The Thompson Street Association in SoHo raised money through an art sale in their stores (\$7,500)
- Several individuals and organizations in Oklahoma City sent in donations through Americans for the Arts (\$2,580)
- *The New Yorker* contributed proceeds from two readings (\$2,800)
- 1,100 people attended the sold out Arts on the High Wire benefit at Manhattan Center, with people coming from as far away as Alaska and Great Britain.

A total of \$5.23 million was raised for the Fund from foundations, corporations, public funders, and more than 1,000 individuals. Many of the individuals gave through the Arts on the High Wire event in January 2002, which not only brought in contributions, but also raised public awareness of the effects of 9/11 on artists and arts organizations. The source of funding departed dramatically from the sources of funds for the more than \$2 billion donated

for all relief efforts. Overall, the majority of funds came from individuals, followed by corporations, and foundations.

A complete list of donors appears an Appendix B of this report.

Conclusion

In response to the events of 9/11, the New York Foundation for the Arts created the New York Arts Recovery Fund to help artists and arts organizations recover from losses due to the effects of 9/11. With record support from thousands of donors, the Fund raised \$5.2 million, of which \$4.32 million was awarded to nearly 500 individual artists, small artist businesses, and nonprofit arts organizations.

Overall the attacks of 9/11 and the limited funding available to individual artists and small and mid-sized arts organizations prompted the Fund to focus on these groups and their susceptibility to economic instability. The Fund was directed toward those who were in the most immediate distress. Our \$5.2 million represents less than one-quarter of one percent of the more than \$2 billion raised nationwide for all relief efforts. Yet the Fund did make a significant impact on the arts and on the lives of the recipients, and ultimately on the public who was able to attend a performance, enjoy a refurbished facility, or appreciate new art works and performances produced by artists supported by the Fund.

NYFA's 30 years of experience in grantmaking assisted us in creating a grant program that was lauded as fair and equitable. This was in contrast to some of the newly formed charities with no experience in grantmaking that either had administrative problems distributing their money or in some cases found that a specific category of victims was much smaller than originally expected. NYFA kept to its primary constituency – artists and the small arts groups that serve them – and in doing so was able to successfully disperse all funds within a ten-month period.

One hates to speak of benefits to the arts community resulting from the national tragedy, but post-9/11 there seems to be a greater awareness of the role the arts (and especially the nonprofit arts sector and individual artists) play in making New York City one of the world's greatest cities. The sold-out Arts on the High Wire benefit on January 11, 2002, in particular dramatized the wide-spread support of the arts in our City. Some 40 performers donated their services, as did most of those behind the scenes. It was a wonderful moment of true community in a community that ordinarily is more characterized by divisions by discipline, individual vs. organizations, big vs. small, and geography. The increased dialogue that has resulted bodes well for long-term recovery for artists and the arts.

Could more funds have been given away? Are more funds needed right now? Absolutely yes, to both questions. But that will, unfortunately, always be the case. NYFA's holistic approach to the support of artists through grants combined with information resources and training to help artists become artist-entrepreneurs offers the best hope for a healthy community of artists in New York City. We hope it will also serve as a model for communities elsewhere.

In closing, we again extend our thanks to the many generous donors, the staff members who worked long hours to make the Fund work, and to the recipients of the Fund's grants who are continuing to keep alive the sparks of creativity that help make us human.

*Never believe that a few caring people can't change the world.
For, indeed, that's all who ever have – Margaret Mead*

Afterword

The New York Arts Recovery Fund accomplished many of its goals as it faced difficult and sometimes overwhelming circumstances. Clearly, we learned once again that artists and arts organizations are vulnerable to economic instability and exist with little or no safety net. What remains inspiring from the process is the unflagging commitment on the part of artists to continue their craft and to create art despite inadequate support, an economic recession, and a kind of devastation that is beyond comprehension.

The repercussions of 9/11 were as varied as the artists themselves. Clearly many artists were evacuated from their homes and studios, which were located in what is called ground zero. Their homes and offices were covered with debris or used for rescue centers. Furthermore, downtown's lockdown caused exhibit cancellations and postponements. In addition, the city Board of Education budget cuts struck a blow to teaching artists unable to rely on the education community for employment. The Chancellor's moratorium on school trips caused devastating harm to art and cultural organizations that rely heavily on student visits. Organizations experienced severe reductions in box office sales following traffic diversions and transportation problems. And New York City's numerous losses and destruction, accompanied by almost paralyzing fear, exacerbated the economic slowdown that had already begun 18 months prior to 9/11.

Despite the tragedy and shock, and given its close proximity to the World Trade Center, the New York Foundation for the Arts, and its collaborative partners, established the New York Arts Recovery Fund and ran its services and grants programs. The Fund's grants program fulfilled its primary goals (1) to assist artists and small arts organizations in financial need and (2) to provide informational services to return artists to their art making.

With this said, I believe that throughout the nearly year-long process, we gradually progressed through phases of disbelief, shock, and numbness, finally reaching a tentative sense of resolve. Over time, we found a way to fit the tragedy of 9/11 into an adjusted view of both our physical and interior landscapes. The strength to recover undoubtedly came from each individual's reserves of strength and, at the same time, a caring community that offered support, assistance, and guidance.

Tema Fishbein, Grants Officer, New York Arts Recovery Fund

Appendix A

Financial Report: New York Arts Recovery Fund

EXPENSES

Personnel

Executive staff allocation	\$83,000
Finance & devl. dept. staff allocation	\$52,000
Info & Technical Assistance Officer	\$54,581
Advocacy consultants	\$12,800
Grants officer	\$60,259
Grants financial consultants	\$27,719
Researcher/writer	\$15,050
Grants assistant	\$17,565
Program assistant	\$20,269
Fringe benefits (payroll employees only)	\$45,895

SUB-TOTAL: PERSONNEL \$389,138

Project costs

Re-grants to artists and arts organizations	\$4,635,000
Fees to Collaborative Partner Organizations	\$79,800
Meeting/assembly expenses	\$4,710
Grants panelists honoraria	\$4,000
Arts Leadership Initiative	\$45,000
Web site	\$8,622
Telephone	\$1,262
Printing/Duplicating	\$13,582
Equipment (for additional computers for temp. staff)	\$7,288
Postage/delivery	\$8,220
Travel	\$533
Supplies	\$4,191

Misc. \$368

Indirect costs \$33,515

SUB-TOTAL: PROJECT \$4,846,091

TOTAL EXPENSES \$5,235,229

INCOME

Andrew W. Mellon Foundation	\$2,650,000
Rockefeller Foundation	\$350,000
Robert Sterling Clark Foundation	\$250,000
Rockefeller Brothers Fund	\$150,000
Nathan Cummings Foundation	\$60,000
Dedalus Foundation	\$20,000
Jean and Louis Dreyfus Foundation	\$15,000
Comm. Fdn of Western Mass.	\$5,000
Golden Foundation	\$1,000

SUB-TOTAL: FOUNDATIONS \$4,001,000

JP Morgan Chase	\$375,000
Deutsche Bank	\$150,000
The Producers of "The Producers"	\$100,000
New York Times Company Foundation	\$250,000
American Express	\$75,000
Management Consultants for the Arts	\$3,000
Golden Artists Colors	\$3,000
The New Yorker	\$4,876

SUB-TOTAL: CORPORATIONS \$960,876

City of New York/NYC & Co.	\$200,000
NYSCA	\$14,000

SUB-TOTAL: GOVERNMENT \$214,000

SUB-TOTAL: INDIVIDUALS AND MISC. \$59,353

TOTAL INCOME \$5,235,229

Appendix B

NEW YORK ARTS RECOVERY FUND

CHARGE TO PANELS

Charge to Panelists

About the panel schedule: The afternoon will begin with lunch, and we will outline the format for application review as well as discuss some overarching issues that we have faced as we have reviewed applications and made internal recommendations.

Goals: We calculate that 5 hours will be sufficient time to make final determinations for 50-70 applications at this panel review.

Process

This is the final panel review meeting for an extremely unique granting process; one not based on artistic merit. What we, as a group, have learned from each panel meeting has been incorporated into all panels as it has been our intent to adapt the procedure to best meet the needs and requirements of all applicants, while keeping the basis for the decision-making process consistent.

Each application has been reviewed by either financial reviewer or reviewed by one internal reader who made recommendations to the panel. This recommendation will be presented by the reviewer during the panel meeting. The charge to the panel is to ascertain if each applicant meets the specific criteria listed below and vote for or against, or a modification of the recommendations provided.

Must be active in their field

- ◆ Individual Artist (whether as sole practitioners or small artist business)
- ◆ Nonprofit Arts Organization

Applicants live, work, and/or based in New York City

Losses related to September 11

- ◆ Losses directly attributable to the time period
- ◆ Proximity to the World Trade Center
- ◆ Losses not covered by other sources

Need or Distress (not necessary for non-profits, individuals injured, wounded or ill.)

Lack of resources to meet ones physical, mental and emotional needs (resources include cash, assets easily disposed of without causing hardship, or anticipated cash from all sources)

NEW YORK ARTS RECOVERY FUND CODE OF ETHICS FOR PANELISTS

It is essential that the panel maintain high standards of integrity and impartiality in its decision-making and that this process be free from actual conflicts of interest. In order to function credibly, the New York Arts Recovery Fund Grant Program must sustain the trust of the community of artists in New York City. Therefore, even the appearance of a conflict of interest must be avoided in each review. No panelists should have any direct or indirect interest, financial or otherwise, or engage in any business or transaction, or incur any obligation of any nature that conflicts with proper discharge of the panelist's responsibilities. In short, all decisions must be based solely on the criteria established for the New York Arts Recovery Fund.

1. No panelist may disclose confidential information acquired in the course of his or her panel service.
2. Panelists are required to note any relationship to an applicant, personal or professional. In the case that a panelist has such a relationship with an applicant, the panelist will be allowed to participate in discourse of the applicant's circumstances, however will be asked to refrain from voting.
3. Panel meetings are not open to the public. This protects the privacy of panel discussion and encourages the candid review of artists' support materials. Comments by panel members at panel meetings are absolutely confidential. Also, it is a matter of protecting the privacy of individual applicants.

In short, even the appearance of a conflict of interest within the panel process would destroy the credibility of the review and quickly undermine the public support that sustains this program. The New York Arts Recovery Fund asks that you study carefully this Code of Ethics prior to the date of the panel meeting.

As a general rule, if your judgment of an application under review is seriously affected by your personal involvement with an applicant, then you should abstain from voting on that applicant. The following are examples of such situations:

1. Anyone with whom you have a recent and significant financial connection.
2. A current student or protégé.
3. Anyone with whom you have a close personal or professional relationship..
4. Any situation which would lead you to judge the artist or organization rather than their need.

Appendix C

Donors to the New York Arts Recovery Fund*

\$2,000,000 or more

The Andrew W. Mellon Foundation

\$250,000 or more

Robert Sterling Clark Foundation
Doris Duke Charitable Foundation
J.P. Morgan Chase Foundation
The New York Times Company Foundation
The Rockefeller Foundation

\$100,000 or more

Deutsche Bank Americas Foundation
City of New York Dept. of Cultural Affairs
The Producers of The Producers:
the New Mel Brooks Musical
Rockefeller Brothers Fund, Inc.

\$10,000 or more

American Express Company
Arts on the High Wire
The Nathan Cummings Foundation
Dedalus Foundation, Inc.
Jean and Louis Dreyfus Foundation
New York State Council on the Arts
Town Hall Association Seattle

\$1,000 or more

Advance Magazine Publishers, Inc.
Americans for the Arts
Art in Context
Artrider Productions, Inc.
Arts Council of Oklahoma City
Association of Independent
Commercial Producers, Inc.
Beaumont Civic Ballet (Texas)
Binney & Smith, Inc.
Community Foundation of Western
Massachusetts
Charles Cosler Theatre Design, Inc.
The Durst Foundation, Inc.
1100 Architect, P.C.
Festival of Arts, Laguna Beach, Calif.
Gabor Szabo
Golden Artist Colors, Inc.
The Sam & Adele Golden Foundation
for the Arts, Inc.
Management Consultants for the Arts

Gilbert Garcia
James Gilroy
Larry Rivers
Barbara Desind Kernan
Sol Lewitt
Daniel Lindau
Mary Ellen Mark
Judy Pfaff
Camille Taylor
Lisa Ann Wilson
Ohio University School of Dance
Partnership for After School
Education, NYC
Phoenix Theatre, Inc.
The John Schreiber Group
Silver Springs, LLC, Denver, Col.
Thompson Street Merchants Association
Anonymous (1)

\$100 or more

Toby Allan
Art Alliance, Shepardstown, W.Va.
The Arts Partnership of Greater Spartanburg
(S.C.)
Amy Schwartzman Brightbill
Kwame K. Campbell, Sylvia Heisel, Inc.
Art in Context
Marjory & Jeff Bauml
Asya & Ted Berger
Ossie & Ruby Davis
Elizabeth K. Eickman
Allen & Sherron Evans
Marek Fludzinski
Pamela Groben
Rose Hartman
Mary Hays
Nana B. Henderson
Debra & Arliss Howard
Kathleen Hughes
Ikuko Inaba
Ina Designs, Inc.
International Sculpture Center
Jackie L. Jones
Barbara Desind Kernan
Barbara L. Kerrick
Metro Arts Alliance of Greater
Des Moines

New Paltz Central Schools, grades 5—7
The Safer-Fearer Fund of the
New York Community Trust
New Zone Arts Collective,
Eugene, Oregon
Nicole Aimiee Macaluso
Mary Ellen Mark
Nello McDaniel
Siobahn McDermott
Susan Meyers
Tricia Mire
Linda Pagan, The Hat Shop
The Parrish Art Museum, Inc.
Partnership for After School Education
Paseo Artists Association, Inc.,
Oklahoma City
Michael S. Samis
Susan Schear
Yuri Shimojo
Susan Sollins
Robin Tewes
Elizabeth McMahan Tolbert
Cheryl A. Vaught
Michael Washburn
Suzanne S. Weil
Lisa Ann Wilson

Less than \$100

Brian Ach
Art 21, Inc.
Artistic Stage Productions, LLC
R. Evette Axelrod-Glauber
Mary Lou Benjamin
Nicolette Clarke
Jack & Cynthia Cope
Shaila Kumari Dewan
Peter Dolese
Paula N. Dubrow
Mary Ann Eddy
Randy Finch
Fox-Nahem Design
Elena K. Frampton
Stephen A. & Lucy A. Fraser

Fern & Anthony Gentile
Kay Goebel
Virginia H. Greenberg
David & Hetty Griffiths
Stephanie N. Harte
Debra & Arliss Howard
Stephanie Ann Joel
Fedor Kabalin
Sanja Kabalin
David A. Kirschenbaum
Susan Kravitz
Stephen Loeb
William Loeb
John & Annetta Love
Martina Lutz
Morton Makler
Michelle Marshall
Cynthia Mayeda
Gerald McDonald
Gail D. Meltzner
Mary O'Connor
Hope O'Keeffe
Martha Parsont
Timothy Pavlis
Antony Wayne Richards
Susan B. Rothschild
William Schmitt
Francine Schore
George Schroth, Jr.
Suzanne Shaker
Felicia Shapiro
William Shubick
Mario Sotolongo
John A. Strazza
Mark Thomas
James E. Thompson
Billie L. Thrash
Judith Uman
Vendor Creative Ventures, Inc.
Kerri Ann Walsh
Robert Westervelt
Andrea Wood
Worcester Art Museum

*Does not include individual ticket purchasers to Arts on the High Wire

Appendix D

Arts Organizations Receiving Grants from the New York Arts Recovery Fund

African Film Festival
African Voices
Afro Brazil Arts
Andrew Janetti & Dancers
Anthology Film Archives
Art 21
Art in General
Art Resouces Transfer, Inc.
Artemis & The Wild Things
Artists Space
Arts Resources in Collaboration, Inc.
ArtsConnection
Artsgenesis
Avignon/New York Film Festival
Ballet Hispanico
Battery Dance Corporation
The Blanco Performing Arts
Foundation, Inc.
BluePrint Productions
Bomb Magazine
Bronx Dance Theatre
Brooklyn Arts Exchange
Trisha Brown Dance Company
Camera News, Inc
Career Transition for Dancers, Inc.
Center for Traditional Music and Dance
H.T. Chen Dance Company, Inc.
Children's Arts Carnival
Circuit Productions, Inc.
Clememte Soto Velez Cultural & Educational
Center, Inc.
Coloquium Contemporary Dance Exchange
Community Works New York City
Creative Time, Inc.
Dance As Ever, Inc.
Dance Collective
Dance Forum Inc.
Dance Rink
Dance Space Center, Inc.
Dance Theater of Nepal
Dance Theatre Workshop
Dances by Isadora
Dancing with Horses
Deep Dish TV
Dieu Donne Papermill
Dixon Place
Downtown Arts Project
The Early Stages Program, Inc.
Earth Celebrations
ENACT, Inc.
Enrichment Through the Arts, Inc.
Exit Art
The Field
Flushing Council on Culture and the Arts, Inc.
Fly-By-Night Dance Theater, Inc.
A Gathering of Tribes
Foundation for Independent Video & Film,
Inc.
Fractured Atlas
Franklin Furnace Archive, Inc.
French Institute Alliance Francaise
Gale Gates
Global Action Project
Harvestworks
The Infinite Mind/Lichtenstein Creative
Media
International Agency for Minority Artist
Affairs, Inc.
Irish Arts Center
Jamaica Center for Arts & Learning
John Jasperse Company
JenniferMuller/The Works
The Jewish Heritage Project, Inc.
Bill T. Jones/Arnie Zane Dance Co.
Kathak Ensemble & Friends
The Kitchen
Jose Limon Dance Foundation
Lar Lubovitch Dance Co.
Lower Manhattan Cultural Council
The Macedonian Arts Council, Inc.
Mad Alex
Michael Mao Dance
Manhattan Art Program
Millenium Film Workshop
Monte/Brown Dance
Muae Publishing, Inc.
Museum of Contemporary African
Diasporin Arts
The New American Cinema Group, Inc.
The New Press
New York Chinese Cultural Center, Inc.
New York Fu Kai Cantonese Opera

Training Center
New York International Children's Film
Festival
New York Stage and Film Co.
On Television, Ltd.
Parsons Dance
PEN American Center
Pentacle, Danceworks, Inc.
Poetry Society of America
Printed Matter, Inc
Promote Arts Works, Inc.
Rockaway Music & Arts Council, Inc.
Shine, Inc.
Snug Harbor Cultural Center

Society of the Educational Arts, Inc.
Soundance
St. Ann's Center
Teachers & Writers Collaborative
Tribeca Performing Arts Center
Triple Candie
Troika Ranch
Donna Uchizono Company
Urban Glass
Working Playground, Inc.
World Music Productions
Young Dancers in Repertory

Appendix Press Release Announcing the Fund

January 2002

NEW YORK ARTS RECOVERY FUND GRANTS NOW AVAILABLE THROUGH THE NEW YORK FOUNDATION FOR THE ARTS

Grants from the New York Arts Recovery Fund, a post 9/11 emergency fund administered by the New York Foundation for the Arts, are now available for individual artists and nonprofit arts organizations that were adversely affected by the events of 9/11.

Application Workshops will be conducted February 11-March 11, 2002 throughout NYC. Seminars will cover eligibility, procedure and priorities, and any other questions. *Please see attachment for location and times.*

New York Arts Recovery Fund Grants

New York Art Recovery Fund grants are intended to help artists and arts organization throughout New York City recover from 9/11 and continue or resume the production of artistic work.

Applications are being accepted immediately and will be considered as received through April 30, 2002. Guidelines and applications can be downloaded at www.nyfa.org/9-11.htm or received by calling 212-366-6900, x 253. It is expected that grants will be disbursed within 60 days of application.

“Artists and arts organization are in an economic crisis as a result of September 11,” said Theodore S. Berger, executive director of New York Foundation for the Arts. “Through the New York Arts Recovery Fun, we hope to bring artists back to a more stable ground so that they can keep on working, living, and creating.”

Grants are available for cleanup/repair expenses, relocation costs, expenses previously incurred for events cancelled as a result of September 11, other documentable losses, including loss of income, suffered as a result of September 11, and health-related expenses for individual artists.

Grants to individual artists are not expected to exceed \$10,000 and grants to nonprofit arts organizations are not expected to exceed \$50,000. Grants to artist businesses may exceed \$10,000 where budget size, number of employees and need justify larger awards.

New York Arts Recovery Fund

New York Arts Recovery Fund, administered by the New York Foundation for the Arts, is an effort of New York City service organizations dedicated to helping the arts community recover from the aftermath of the World Trade Center attack of September 11, 2001.

Members of the New York Arts Recovery Fund are American Music Center, A.R.T./New York, Arts & Business Council, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, New York City Arts Coalition, New York Foundation for the Arts, Nonprofit Finance Fund.

The New York Arts Recovery Fund grant program has been made possible through a major grant received from the Andrew W. Mellon Foundation. Other major funders include Rockefeller Foundation, JP Morgan Chase, Robert Sterling Clark Foundation, the producers of “The Producers, a new Mel Brooks musical” and Rockefeller Brothers Fund, with additional support from Nathan Cummings Foundation, Management Consultants for the Arts, New York State Council on the Arts, Seattle Town Hall Association, Thompson Street Association, four anonymous donors and many individuals (as of 1/24/02).

NYFA

Now celebrating its 30th anniversary, New York Foundation for the Arts (NYFA) gives more money and support to arts organizations and artists of all disciplines than any other comparable organization in the country: nearly \$11 million in grants and services annually.

Its Fellowships of \$7,000 each go to as many as 170 New York State artists every year from a field of 16 disciplines, covering the visual, performing, media, and literary arts. NYFA also gives grants and services to strengthen small arts organizations and provides artists with career development support through workshops, hotlines, and print and electronic publications.

NYFA's annual budget of nearly \$12 million comes from individual, corporate, foundation, and public sources, as well as NYFA's fiscal sponsorship services for artists and emerging organizations.

Appendix

Press Release Announcing Distribution of Funds

NEW YORK ARTS RECOVERY FUND DISTRIBUTES OVER \$4.6 MILLION TO XXX CITY-BASED ARTISTS AND XXX ARTS ORGANIZATIONS

New York Foundation for the Arts (NYFA)-Administered Fund, Created Immediately After Attacks of 9/11, Completes Mission of Crucial, Timely Support

NEW YORK, NY -- The New York Foundation for the Arts (NYFA) announced that the New York Arts Recovery Fund, created to respond to the post-September 11 fiscal crisis for individual artists and arts organizations, has fully distributed \$4,635,000 to xxx organizations and xxx individuals in New York City.

The grants enable resumption of artistic work in New York City, and were based on proof of measurable financial loss due to the World Trade Center attacks, including loss of income, physical loss/damage to property or health, relocation costs, or other specific economic harm.

Grants to nonprofit arts organizations were made up to \$50,000 each; grants to artists/small businesses were made up to \$10,000 each. (A complete list of organizations receiving grants is attached; names of individual recipients are not being released.)

The Arts Recovery Fund began in November 2001 with leadership gifts from The Rockefeller Foundation and the Robert Sterling Clark Foundation, and grew dramatically with a \$2.65 million grant from The Andrew W. Mellon Foundation, which made similar grants to the American Music Center and the Alliance of Resident Theatres/New York.

“Because of NYFA’s ongoing support and services to artists and arts organizations, we were aware that the needs of artists would be unique after 9/11,” said Theodore S. Berger, Executive Director of NYFA. “In many cases, their tools — canvasses, paints, video cameras, tapes, and other materials — are not considered replaceable by other agencies. Artists also have live/work spaces issues that confound bureaucratic agencies, no matter how well intentioned.

“NYFA also knew of severe financial crises endured by artists after 9/11. Rather than wait until all applications had been received by the April 30 deadline, NYFA reviewed and acted on applications through an ongoing process to disburse funds as quickly as possible. The earliest of these went out in March, and all applications were read immediately upon receipt to assist with financial emergencies,” said Mr. Berger.

Margaret Ayers, Chairman of NYFA’s Board of Trustees, praised the speed and spirit among contributors that enabled the Arts Recovery Fund to raise nearly \$5.3 million. (Of the

\$5,268,000 raised, seven percent was used per grantor instructions to provide technical assistance to thousands of members of the arts community through workshops and the publication of guides to relief funding, and five percent was allotted for administration of the fund.)

“NYFA moved to ensure that the money raised was granted as quickly as possible to the people who needed it the most,” said Ms. Ayers. “We’re proud that NYFA was successful in channeling emergency support to the arts community, which contributes so much in shaping our city’s unique character.”

“When foundations and individuals recognized artists’ needs after 9/11, they turned to NYFA in acknowledgment of our ongoing relationships and communications with this community,” she said.

Although the Fund has now completed its mission, NYFA—aware of the continued financial fragility of small and mid-sized arts groups and the tenuous state in which artists live—is exploring how both grants and professional training can be used to move the arts community from recovery to rebuilding.

New York Arts Recovery Advisory Committee

The New York Arts Recovery Fund was created by NYFA with cooperation from American Music Center, A.R.T./New York, Arts & Business Council, Asian American Arts Alliance, Association of Hispanic Arts, Harlem Arts Alliance, New York City Arts Coalition, and the Nonprofit Finance Fund.

New York Foundation for the Arts

Now in its 31st year, New York Foundation for the Arts (NYFA) gives more money and support to arts organizations and artists of all disciplines than any other comparable organization in the country: nearly \$11 million in grants and services annually.

Its Fellowships of \$7,000 each go to as many as 160 New York State artists every year from a field of 16 disciplines, covering the visual, performing, media, and literary arts. NYFA also gives grants and services to strengthen small arts organizations and provides artists with career development support through workshops, hotlines, and print and electronic publications.

NYFA's annual budget of nearly \$12 million comes from individual, corporate, foundation, and public sources, as well as NYFA's fiscal sponsorship services for artists and emerging organizations.

For complete information about NYFA and its ongoing programs, activities and services, please see www.nyfa.org or call 212-366-6900.

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Appendix Press Release for Arts on the High Wire

FOR IMMEDIATE RELEASE

NEW YORK ARTS COMMUNITY GALVANIZES IN SUPPORT OF THE NEW YORK ARTS RECOVERY FUND

Hammerstein Ballroom Hosts a January 11, 2002 Celebration of

NY Arts with Top Musicians, Writers, Performers, Visual Artists, Dancers

NEW YORK, N.Y. DECEMBER 3, 2001 - In the aftermath of September 11, a fiscal crisis has hit the New York arts community. In a passionate show of support, New York artists and performers from every discipline will bring together the arts community and its supporters for an evening of performance on Friday, January 11, 2002, 8:00 PM at the Hammerstein Ballroom at Manhattan Center.

Among the first artists to join the event, titled **Arts on the High Wire**, are Laurie Anderson, Paul Auster, Roy Blount Jr., Don Byron, Jim Carroll, Chuck Close, Bruce Davidson, Bill Irwin, Joe Jackson, Ben Katcher, Art Spiegelman, Elizabeth Streb, Suzanne Vega, The Executioners, and John Zorn. In tribute to his 1974 walk between the Twin Towers, Philippe Petit will also walk the high wire.

All proceeds will benefit the newly formed New York Arts Recovery Fund, a post-9/11 emergency fund for the New York arts. The fund was created and spearheaded by the New York Foundation for the Arts (NYFA) in conjunction with several other arts organizations.

Tickets are priced at \$25 and \$15 and are available for purchase at www.nyfa.org/concert.htm or (212) 366-6900, ext. 278, and at the Hammerstein Ballroom at Manhattan Center Box Office, 311 W. 34th Street (open noon — 5:00 PM daily). Donor-level boxes will also be available. For more information about the event, please go to www.nyfa.org/concert.htm.

"We may be facing the greatest crisis for the arts in our time," said Elizabeth Streb, acclaimed choreographer and MacArthur Fellow. "As artists and as New Yorkers, we have to take action to help each other and our community."

Arts on the High Wire will bring together an exceptional group of artists from all fields -- writers, musicians, visual artists, performers and dancers -- to show their support through performances. The evening will celebrate the vital importance of the arts to the fiscal and spiritual health of New York and the country. The performances will emphasize the profound and inspiring relationship between New York and its artists.

"NYFA is grateful to the producers and performers of this inspiring event," said Theodore Berger, executive director of New York Foundation for the Arts. "The New York Arts Recovery Fund will help restore the vitality of artists and groups who suffered losses due to

the tragedy of September 11, by creating a way for the public to channel support to this artistic community."

Arts on the High Wire was created by a collective of artists and producers, with all services being donated or provided at cost. The behind-the-scenes, backstage community is also committing its support. The Hammerstein Ballroom at Manhattan Center, Zaragunda Inc., Eyemag Media, See Factor and Rock Systems Audio are among the many companies involved.

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FACT SHEET

About The New York Arts Recovery Fund

An emergency fund created in response to the post-September 11 fiscal crisis, The New York Arts Recovery Fund combines the strength of key New York service organizations by creating a collaborative, comprehensive effort to address immediate, short-term, and long-term challenges facing New York's artists and arts organizations most affected by the tragedy.

The primary focus of this program will be on the 200 arts organizations and several thousand artists located below Canal Street. Depending on the availability of funds, artists and organizations in other areas of the city will be eligible. In this time of uncertainty, a collaborative and unified effort among the arts community and its potential fundraisers is critical to help meet the needs of artists and arts organizations to rebuild and move forward.

The New York Foundation for the Arts (NYFA) is spearheading the development of the New York Arts Recovery Fund and will serve as its fiscal and administrative hub. The Fund is a partnership of New York's arts service organizations, including the Alliance of Resident Theaters/New York (ART/NY), New York City Arts Coalition, Nonprofit Finance Fund and Arts & Business Council, the Asian American Arts Alliance, Association of Hispanic Arts, and Harlem Arts Institute, among others.

About NYFA

Now celebrating its 30th anniversary, New York Foundation for the Arts (NYFA) gives more money and support to arts organizations and artists of all disciplines than any other comparable organization in the country: nearly \$11 million in grants and services annually.

Its Fellowships of \$7,000 each go to as many as 170 New York State artists every year from a field of 16 disciplines, covering the visual, performing, media, and literary arts. NYFA also gives grants and services to strengthen small arts organizations and provides artists with career development support through workshops, hotlines, and print and electronic publications.

NYFA's annual budget of nearly \$12 million comes from individual, corporate, foundation, and public sources, as well as NYFA's fiscal sponsorship services for artists and emerging organizations.

Appendix

Press Release for The Artist in Time of Crisis

Media Alert

WHAT: New York Foundation for the Arts Panel Discussion:
THE ARTIST IN TIME OF CRISIS

WHEN: Wednesday, November 14, 2001 7 PM

WHERE: The Drawing Center
35 Wooster Street
New York City (Soho)
[Admission is free.]

In the past, artists have created works that act as agents of healing, that help comprehend the incomprehensible, and that have allowed future generations a glimpse into the hearts and minds of those who experienced events firsthand.

In light of the recent tragedies at the World Trade Center and Pentagon, the **New York Foundation for the Arts (NYFA)** has asked prominent artists to discuss how they view their role as artists in these challenging times.

Panelists include:

Meena Alexander, poet, whose works including including *Nampally Road* and *House of a Thousand Doors* has been widely translated and anthologized;

Philip DiCorcia, photographer, whose body of work *Streetwork* has been widely exhibited around the world;

Maria Irene Fornes, dramatist of *Promenade* and Signature Theatre Company's Playwright-in-Residence for the 1999-2000 season;

Richard Gluckman, architect, who designed the Andy Warhol Museum in Pittsburgh, and the expansion of the Whitney Museum in New York;

Lar Lubovitch, choreographer and founder of *Lar Lubovitch Dance Company*, which recently celebrated its 30th anniversary at New York's City Center Theater with the world premiere of *Thus Is All*;

Larry Rivers, painter, whose exhibition, *Fashion Show*, was recently featured at the Marlborough Gallery in New York.

Moderator is **Elizabeth Streb**, choreographer and founder of the dance company, *STREB*.

"Now, more than ever, artists are vital to the human and national spirit. Artists create works that are an integral part of our healing process and of learning how to live with our differences," said **Theodore S. Berger**, Executive Director of NYFA. "A number of artists have already begun to create works that reflect upon, memorialize, and try to interpret the tragic events of September 11. We hope that this panel will open discussion and serve as a forum for artists to come together and understand their role in these times of crisis."

The panel will be asked to address questions such as:

- When society is in crisis, does artistic activity become more or less important?

- Are there ways artists can/should respond to radical events?
- What are some of the ways your art has been/might be affected by current events?
- Have recent events altered audiences' reactions to your work?
- Has your view of your own work changed because of recent events?

The program is made possible by a generous grant from The Liman Foundation.

For more information about the panel and detailed biographies of the panelists, visit http://www.nyfa.org/about_nyfa/crisis.html or contact 212-366-6900 x322.

New York Foundation for the Arts (NYFA)

Now celebrating its 30th anniversary, New York Foundation for the Arts (NYFA) has a unique overview of the City and State cultural landscapes. NYFA gives more money and support to arts organizations and individual artists of all disciplines than any other comparable organization in the country: nearly \$11 million in grants and services annually.

Its Fellowships of \$7,000 each go to as many as 170 New York State artists every year from a field of 16 disciplines, covering the visual, performing, and literary arts. NYFA also gives capacity building grants and services to small arts organizations and provides artist career development support through workshops, hotlines, and print and electronic publications.

NYFA's annual budget of nearly \$12 million comes from individual, corporate, foundation, and public sources, as well as NYFA's fiscal sponsorship services for artists and emerging organizations.

For information about NYFA and all of its programs: www.nyfa.org

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