



跨世紀國際藝文資訊 從世界的視角
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On CULTURE And ARTS Experience in Resource
Management

議題一
藝術管理與文化經營
Arts Administration and Culture Management

藝文組織如何永續經營



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泰勒女士將於 2001 年 1 月 15 日接任「全國穩定藝術基金會」的執行長，是一位相當資深的專業藝術管理人，擁有豐富的企業策略規劃、金融管理及各項行政事務管理的經驗。

曾在英美兩地受教育，並於美國大學的行政體系及私人募款單位中工作，奠定她豐富的行政管理經驗，同時她也曾擔任美國芝加哥現代美術館開發部門的主管。1985 年，她受英國國家歌劇院之邀到英國，協助建立該歌劇院的第一個募款部門。她擔任了開發部門的主管四年，於 1989 年去職。因為她的推動，使得英國國家歌劇院是藝文界少數募款比例名列前茅的藝術團體。在這期間，她也在多所英國大學研究所教授藝術管理等課程。同時也榮獲賈瑞特大獎（Garrett Award），該獎項主要是頒給對英國藝術界有相當貢獻的人士，歷屆的 15 位受獎人中，泰勒女士是唯一榮獲此殊榮的美國人。

而於 1997 年，她再度受到該劇院的董事會之邀請，回到英國國家歌劇院擔任行政總監。英國國家歌劇院是英國政府的藝術穩定計劃的前導專案，泰勒女士成功的執行了該計劃同時也扭轉了該劇院十年以來長期的營收赤字，在她的領導之下，該劇團這三年來都創造盈餘。而劇院也因此得以重建，並獲得政府補助及來自民間的捐款，高達 6 千萬英鎊。此次的歷史建物重建，泰勒女士也是由所主導。

藝文組織如何永續經營

羅素·衛里絲·泰勒

非常感謝「國家文化藝術基金會」邀請我在「跨世紀國際藝文資訊交流研討會」中演講，在我進入正題討論如何改善藝術文化組織的管理機制之前，我想先簡短介紹「全國藝術穩定基金會」(National Arts Stabilization, 簡稱 NAS) 的歷史及我們的計劃方案，我相信有了這些背景知識之後，各位便能了解 NAS 如何評估並運用這些管理概念。

NAS 是以「全國藝術穩定基金會」的名義成立於三十多年前，屬於紐約市福特基金會 (Ford Foundation) 的一項計劃。福特基金會旨在加強美國藝文組織的財務資本及制訂計劃的能力，基金會先於 1966 年成立了「交響樂團計劃」(Symphony Orchestra Program)，為期十年，之後又推出儲備金及穩定專案。設立這些計劃的用意是要為參與計劃的藝文組織解決內部惡性循環的財務危機，除此之外，福特基金會也希望能協助這些組織穩定成長。

「交響樂團計劃」總計資助約二億美金給六十個交響樂團，其中八千萬美金撥自基金會的基金，而另外 1.2 億美金則是其他贊助單位按公眾捐款比例認捐的「配合捐款」(matching funds)；隨後，基金會透過儲備金及穩定專案陸續在 76 個藝文組織投資三千萬美金。

十七年前，在 1983 年，提供資金贊助及諮詢服務(或技術支援)的「穩定專案」(stabilization program) 因為施行頗有成效，因此 NAS 便獨立成爲一非營利組織，並獲得福特基金會、洛克斐勒基金會及美侖基金會 (Andrew W. Mellon Foundation) 提供的創建補助金，我們的任務就是要協助藝文組織及其領導人加強財務資本及管理技巧。

從 NAS 成立開始，至今我們已負責監督超過五千萬美金的投資金額，讓美國八個地區的 103 個藝文組織能達到長期的健全穩定，或是運用資金改善組織的經營現況。另外我們也致力於訓練組織領導人，因此在 1997 年成立「行政教育訓練計劃」，至今已有 22 個團體一千多位藝文組織領導人參與此項計劃。

既然我們要加強藝文組織及其領導人的管理技巧，那麼到底什麼才是正確的管理方式？NAS 在過去數年來已經研究發展出一套最佳管理系統，稱爲「藝文組織永續經營的理想特性」(Characteristics of a Sustainable Organization)，這是根據國際海灣集團 (Bay Group



International)、贊助中心(Support Center)、英國藝術協會：前導穩定計劃評估報告(Arts Council of England: Pilot Stabilization Programme Evaluation Report)及克里夫蘭基金會表演藝術研究委員會(Cleveland Foundation Civic Study Commission on the Performing Arts)所研發出的三大指標，以檢測組織是否健全，指標包括節目與觀眾、管理與組織健全度，及財務健全度。這三大指標的定義如下：

- 節目與觀眾
 - 藝術使命與節目編排
 - 藝文環境與品質
 - 觀眾參與程度與觀眾組成
- 管理與組織健全度
 - 領導階層、管理層級與全體職員
 - 對於外在環境、競爭與市場力量的了解
 - 制訂計劃、實際策略及預設目標
 - 在團體內部的參與度
 - 硬體設備
- 財務健全度
 - 財務體系
 - 增加收益，尋求資金贊助
 - 財務狀況的實力

在完整的文件報告上列有詳細的評估指標。我們在面對每一個組織與國家藝文界時，所要面臨的挑戰是必須衡量哪些指標對於短期及長期發展的影響都最為重要；我們以一個劇作品質與創造力都廣受好評的劇院為例，藝術家都渴望能進入這家劇院，因為劇院願意冒險創新來創作藝術，然而這家劇院內部缺少財務系統的運作，也缺少流動資金以應付現金流轉的需求，其結果各位可以預見，劇院負責人每天都要花費大半的時間解決資金危機，所以如果能夠妥善處理這類問題，劇院便更能全力創作藝術。

在運用這些評估指標時還會遇到另一個挑戰，就是指標並非適用於每個組織，比如組織成立的時間長短、規模大小、運作型態（如歌劇、博物館、劇院或綜合多種藝術表演的組織）及文化（例如不同國家有不同稅法、個人與公眾的文化價值觀不同，或公共政策可能相異），這些特性都可能影響指標的適用性。

NAS 做為一個國家級的組織，必須和藝文界保持密切的關係，這樣我們才能成功扮演輔助的角色，像是安排行政教育訓練課程，讓全國為數龐大的劇院經理人有機會參與，解決他們面臨的難題；至今我們提供的課程包括就競爭激烈的環境、經營組織採取的策略，及如何處



理或進行變革等議題進行分析探討，而有關組織發展的議題則包括組織管理及策略聯盟。我們曾進行為期十八個月的研究，就管理方面的問題請教藝文組織經理人、資金贊助單位，及政府官員，因而擬出上述所有課程議題。

NAS 如何幫助藝文組織建立一個系統化的管理架構？我們採取的方法根據各團體而有所不同，我們發現和某一特定團體內的數個組織長期合作會帶來正面效益，例如各組織可以彼此互相學習；在獎勵優良管理成效的課程中，能邀請團體中的資金贊助單位參與；還有因整個團體均獲得成效，這些藝文組織也愈趨受到重視。

接下來我先解釋何謂「穩定專案」(stabilization projects)。通常會和 NAS 合作的團體都希望加強藝文組織的經營能力，我們都相信一個管理良好、資金充裕的組織必能提供良性環境，有助於製作更好的藝術作品，為團體提供更好的服務，因此他們便希望能加入「穩定專案」；他們所面臨的問題包括內部財務危機惡性循環、資金來源中斷、因人事擴張而刺激組織成長，或是組織本身希望能完全發揮潛能，讓團體享受更好的藝文服務。而提供資金的單位會根據此項計劃的藝術文化組織數量及其編列的預算來捐贈資金，資金的運用分兩方面，一是規劃為藝文組織數年的補助金，一是支出 NAS 及諮詢顧問所提供的長期技術支援。

只要「穩定專案」獲得資金補助，NAS 便會開始分析評估當前的管理及財務架構，並和需要協助的組織共同討論所需的諮詢援助；我們採用三種分析評估方法以提供藝文組織基本資訊，並提出藝文組織必須重視的重要議題及可能面臨的難題。

這項評估工作促使 NAS 和藝文組織建立了合作關係，NAS 的職員和諮詢顧問與藝文組織的全體人員及董事會均產生了良好的互動。在評估過程中，NAS 舉辦多場會議，和藝文組織的董事會、主要職員及團體的代表共同協商，並檢討內部及外部的系統架構及文件報告，最後的會議結果便成為藝文組織往後發展的工作依據。

在評估藝文組織的過程中，NAS 提供下列協助：

- 先了解該組織的運作模式與系統；
- 確立該組織的主要問題所在；
- 了解該組織設立的目標，並協助他們確認欲達到這些目標所需具備的知識與技巧；
- 分析該組織所處的環境；
- 提供局外人的觀點；
- 比較該組織提供的藝文表演內容和當地環境的特性。

「財務評估」係提供藝文組織六至八年的財務概況，著重在該組織的資本額變動，研究報告是以資本額的變動趨勢對照財務基準 (benchmarks) 而進行比較，NAS 所設定的財務基準



包括流動資金及贊助金額，除此之外，我們也會分析財務來源及費用支出的趨勢。

另外，因為每個組織的需求不同，而技術上遭遇的困難通常會阻礙改革的能力，因此 NAS 也進行個別的資訊科技評估。這份技術評估報告著重在硬體、軟體、通訊、網際網路連結性、資料庫及辦公室的生產力應用，該組織得知評估結果後，便能了解他人對於組織內部資訊科技系統的觀點。

除此之外，NAS 會協助該組織定出短期與長期的需求，並提出階段性的技術計劃作為改善建議，以幫助該組織提升科技技術，俾能達到高效率的運作；要達到此標準，組織內部必須具備高效率的會計系統，功能完備的資料庫以進行行銷與籌募資金的活動，及適當的軟硬體設備以執行每天的文書工作。

一待所有評估工作完成，NAS 和各組織的負責人便會共同訂定一套工作計劃，作為該組織應依循達成的目標。我們會與該組織共同制訂流程與時間表，以處理近程必須解決的問題，這套工作計劃就像是組織與 NAS 所簽訂的契約，載明了該組織必須處理的重要問題。之後我們會提供實地的技術支援及電話協助，NAS 會指派職員及諮詢專家，同時為藝文組織提供最優秀的經驗傳承與專業指導，我們會根據各組織的需求及內部的發展潛能，提供多樣化的技術支援，包括組織管理、財務金融、長期計劃、資訊科技、建立觀眾及增加收益。

贊助藝文組織的補助金分數年陸續發給，只要該組織達到一定的財務及管理標準，便可獲得補助做為獎勵；而在「穩定專案」接近尾聲之時，參與的藝文組織在資本流通及管理方面都有明顯成效，各位手上的補充資料有圖表顯示每個組織在參加「穩定專案」的期間一直到結束，其流動資金及資金贊助都獲得成長改善，但是管理成效的提升及變化卻很難以圖表表示。NAS 制定了為期四年的研究專案，現在是第三年，我們希望在提供諮詢以協助藝文組織達到預定目標的同時，能定出一套機制以衡量管理效力上的變化，因為這會直接影響到我們欲提供的諮詢內容，NAS 預定在 2001 年第四季舉辦會議發表研究結果。

以下我將簡要提出 NAS 於十七年來在促進藝文組織健全方面所獲致的成果與感想：

- 成果絕非一蹴可幾。
- 相關計劃必須由團體紮根做起。
- 藝文組織必須有充分的準備，面對他們真正的挑戰。
- 資金贊助單位必須全力支持配合。
- 資金贊助配合技術支援才是最有效的協助方法。
- 透過團體學習，可以達到高效率的學習成果。
- 擁有充裕資金的藝文組織解決困難的能力較好。
- 優良的技術支援包括提供專業知識及輔助技巧，而且必須集中在最重要的問題上。



■ 不能只是注重財務問題，必須以該組織的整體需求為考量重點。

此項計劃比較不適用於小型藝文組織，因為花費成本較高，有些組織規模過小，不適用此種方法。

藝文組織永續經營的理想特性

「全國藝術穩定研究專案」(National Arts Stabilization Research Project)目前正在研究藝術穩定和促進發展兩項計劃的成效，制定這兩項計劃的前提是認為藝文組織參與研究計劃之後，對於組織本身及他們所服務的團體都有正面的長期效益，如果藝文組織在財務、管理及組織狀況方面更加健全，則此機構創作的節目及觀眾組成的素質也會相對提升。

這套專案會針對預設的理想組織特性進行測試，這些特性能幫助藝文組織適應環境快速的變遷，甚至能配合環境變化進行組織本身的改造，這些特性也表現出一個機構要永續經營所必須面臨的所有變數，我們和各種不同的藝文組織合作進行測試，我們並不期望每個機構都要達到所有的理想特性，而機構本身也不必非一一達到這些要求，才能永續經營。

節目與觀眾

1. 藝術使命與節目編排－永續經營的藝文組織透過下列方式實現藝術使命、完成節目編排
 - 1.1. 提出清晰簡要的藝術使命，組織主要成員都能認同，董事會也核准通過。
 - 1.2. 製作符合藝術使命的節目。
 - 1.3. 能配合環境改變，但仍然堅守藝術使命。
2. 藝文環境與品質－永續經營的藝文組織能塑造適合的環境供藝術創作
 - 2.1. 為實現高藝術水準而努力，創作高品質的節目，並獲得團體內的成員認同。
 - 2.2. 塑造一個適合的環境，吸引並培養藝術創作人才。
 - 2.3. 確實管理節目製作的財務和人力資源，俾能控制成本預算。
3. 觀眾參與程度與觀眾組成－永續經營的藝文組織能一方面創作有益的藝術節目，一方面兼顧大眾需求及善用可利用的資源，二方面取得平衡
 - 3.1. 設定欲吸引的觀眾層級及大眾參與度的目標，並朝這些目標努力。
 - 3.2. 在決定提供何種節目及服務時，要同時衡量藝術使命、大眾口味及有限的資源。
4. 只適用於有相似藝術使命或策略的藝文組織－如果組織的藝術使命和既定的策略與下列相符，則該藝文組織適用這些方法
 - 4.1. 肯定並鼓勵本土藝術。
 - 4.2. 透過研究及發展以鼓勵新想法，製作創新的藝術節目，並能掌控可能發生的風險。
 - 4.3. 吸引新的觀眾群，讓觀眾組成更加多樣化。



管理健全度

1. 領導階層、管理層級與全體職員－在永續經營的藝文組織中，領導階層、管理層級與全體職員會透過下列方式合作實現該機構的藝術使命
 - 1.1. 董事會多數成員皆視藝文組織為第一優先，願意付出時間支持奉獻，在團體中也會代表該機構積極表現。
 - 1.2. 把董事成員視為服務對象的代表。
 - 1.3. 以董事會組織及其制定的程序經營藝文組織。
 - 1.4. 選出一位行政領導人帶領組織實現所有預設目標。
 - 1.5. 了解職員對於實現藝術使命的要求，並塑造適合的工作環境。（「職員」包括藝術及管理部門）
 - 1.6. 劃分職權角色及責任歸屬，促進職員、義工及董事會成員之間有效的溝通。
 - 1.7. 有關主要領導人的交接問題，制定策略明文規定。
2. 外在環境、競爭與市場力量－永續經營的藝文組織透過下列方式適應外在環境、競爭與市場力量
 - 2.1. 了解影響藝文市場的主要環境因素。
 - 2.2. 明確定義並定期觀察觀眾、出資者、供應者、現在或將來可能出現的競爭對手，或替補的提供者。
 - 2.3. 了解機構本身的競爭優勢，並發展有效策略以運用它的市場力量。
 - 2.4. 多和組成人員溝通，讓他們能常常了解機構的願景和活動。
3. 制訂計劃、實際策略及預設目標－永續經營的藝文組織會制訂長期的策略願景，發展方法如下
 - 3.1. 時常制訂可完成的目標，並確實達成。
 - 3.2. 探討在想要製作的節目產量和財務限制兩者之間自然存在的緊張情勢。
 - 3.3. 預設計劃、策略可能產生的結果，並制定評估成果的衡量方法。
4. 在團體內部的參與度－永續經營的藝文組織會在團體中扮演重要的角色：
 - 4.1. 會和其他機構合作實現自己的藝術使命。
 - 4.2. 會和其他機構合作促進團體的文化和經濟力量。
5. 硬體設備－永續經營的藝文組織擁有適用的設備：
 - 5.1. 不論租借或購買，組織內部必有足夠的設備以實現藝術使命及供員工使用。
 - 5.2. 運用電腦科技設備。
 - 5.3. 維修保養硬體設備，並定期升級。



5.4. 定出短、長期的設備需求，並分配資源以解決這些問題。

財務健全度

1. 財務體系－ 永續經營的藝文組織設立有效的財務系統，包括政策、程序及實際運作
 - 1.1. 利用財務管理系統達到正確的控制管理，並提供及時有用的資訊。
 - 1.2. 編列並採用正確完整的預算，而且必須達到平衡、實際可行。
 - 1.3. 不論短期、長期的投資運作，都要審慎管理資金。
 - 1.4. 表現資金流通管理的專業知識。
 - 1.5. 設立足夠的員工及系統達成以上目標。
 - 1.6. 購買足夠的保險以保護組織的資產。
2. 增加收益，尋求資金贊助－ 永續經營的藝文組織透過下列方式增加收益
 - 2.1. 擁有多種來源以持續贊助組織。
 - 2.2. 加強與觀眾及出資者的關係。
 - 2.3. 以節省成本的方法增加收益。
3. 財務狀況的實力－ 永續經營的藝文組織透過下列方式增加財務實力
 - 3.1. 確立現在與未來的財務需求，訂立一套模式分配資源以支持藝術策略。
 - 3.2. 維持足夠資源解決資金流通需求，提供資金以達到預期的成長，並投資較具風險的藝術事業。
 - 3.3. 扣除折舊費用後每年仍有盈餘。

參考資料

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RUSSELL WILLIS TAYLOR

Executive Director, English National Opera (until December 2000)

Incoming President, National Arts Stabilization (as of January 15, 2001)

Russell Willis Taylor, who becomes president and CEO of National Arts Stabilization (NAS) on January 15, 2001, has extensive experience as a director and management consultant in strategic business planning, financial analysis and planning, and all areas of operational management.

Educated in England and America, she gained a thorough grounding in the United States in university administration and private sector fund raising, and served as director of development for the Chicago Museum of Contemporary Art, before returning to England in 1985 at the invitation of the English National Opera (ENO, or the Company) to establish the Company's first fund raising department. In the four years she served as director of development (she left the position in 1989), she was responsible for positioning ENO in the front line of arts fund raising. During this time, Mrs. Taylor was a frequent lecturer at graduate programs of arts and business management throughout Britain and also received the first Garrett award, an annual recognition for one individual's outstanding contribution to the arts in Britain. After 15 recipients, she remains the only American to have received the award.

Mrs. Taylor has held a wide range of managerial posts over the past ten years, including non-executive director of the advertising agency DMBB from 1989 to 1992; head of corporate relations at Stoll Moss; director of The Arts Foundation; special advisor to the Heritage Board, Singapore; chief executive of Year of Opera and Music Theatre (1997); judge for Creative Britons; and lecturer on business issues and arts administration. She is currently on the boards of A&B (Arts and Business), Cambridge Arts Theatre, Arts Research Digest, and SOLT (Society of London Theatre).

Mrs. Taylor rejoined ENO in 1997 as interim managing director at the invitation of the board. The English National Opera was the largest pilot project in the United Kingdom's Stabilization Programme, and Mrs. Taylor assisted the Company in successfully completing the requirements of the Programme and clearing the Company's debts. Under her leadership, the Company has produced cash surpluses for the past three years, following ten years of operating deficit positions. The Company has also successfully begun a restoration of its theater, funded by government and private sector funds that will total approximately \$60 million. Mrs.

Taylor has been the project leader on this historic restoration. Following the appointment of Nicholas Payne as general director of the English National Opera, Mrs. Taylor was offered the new permanent post of executive director, and has now been with the ENO a total of eight years.



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The Sustainable Management of Arts Organization

Mrs. Russell Willis Taylor

Thank you for allowing me the honor of addressing the National Culture and Arts Foundation's International Symposium on Culture and Art. Before addressing the specific issues of how to strengthen the management of arts and cultural organizations, I would like to give you a brief history of National Arts Stabilization and describe our programs. This background will, I believe, provide the context for how NAS has tested and worked with these management concepts.

National Arts Stabilization, founded as the National Arts Stabilization Fund, began over 30 years ago as a program of The Ford Foundation in New York City. The Ford Foundation sought to strengthen the financial capitalization and planning abilities of arts organizations throughout the United States, first through the Symphony Orchestra Program, a decade-long program launched in 1966, and subsequently through the cash reserve and stabilization programs. These programs were designed to break the inherent cycles of financial crisis that the participating organizations exhibited. In addition, The Ford Foundation hoped to fuel sustainable growth in the organizations. In total, the Symphony Orchestra program infused endowment capital of approximately \$200 million, including \$80 million of Foundation funds and \$120 million in matching funds, in 60 symphony orchestras. Subsequently, the Foundation invested \$30 million in 76 arts organizations through the cash reserve and stabilization programs. Seventeen years ago, in 1983, the stabilization program, consisting of a combination of grant making and consulting services, or technical assistance, was deemed successful and National Arts Stabilization was spun off as a separate nonprofit entity with founding grants from The Ford Foundation, The Rockefeller Foundation, and The Andrew W. Mellon Foundation. Our mission is to strengthen both the financial capitalization and management skills of communities of arts organizations and their leaders.

Since that time we have overseen the investment of over \$50 million in long-term stabilization or capacity building projects with 103 organizations in 8 communities across the United States. With our focus on strengthening the leadership of organizations, we launched an executive education program in 1997, which has served over 1,000 arts leaders in 22 communities.

If one's mission is to strengthen management practices of arts organizations and their leaders, how

does one define systematically what constitutes good management practice? National Arts Stabilization has developed, over the past several years, a list of best practices for management systems that we call Characteristics of a Sustainable Organization. We built upon the work of The Bay Group International, The Support Center, The Arts Council of England: Pilot Stabilisation Programme Evaluation Report, and The Cleveland Foundation Civic Study Commission on the Performing Arts to develop indicators of organizational sustainability in three areas: program and audience, management and organizational health, and financial health. Broad categories of the indicators include:

- Program and Audience
 - Mission and programming
 - Artistic environment and quality
 - Audience participation and composition

- Management and Organizational Health
 - Leadership, governance, and staffing
 - Understanding of the external environment, competition, and market forces
 - Planning practices, realistic strategy, and measurable goals
 - Involvement in community
 - Facilities and equipment

- Financial Health
 - Financial systems
 - Revenue generation, earned and contributed
 - Strength of financial profile

There are myriad indicators listed in the complete document. The challenge we face with each organization and with the national arts community is to identify which of these indicators are most important to address both in the short term and the long term. For example, consider a theater company that is noted for the quality and creativity of its work. Artists aspire to work in this theater because the company is artistically adventuresome and will take risks. However, the theater suffers from a lack of internal financial systems and a lack of working capital to meet projected cash flow needs. The result here is as you would expect: the company, right up to the artistic director, spends a significant portion of each day addressing cash crises. If these capacity issues were strengthened, the company would be better able to focus on planning for future productions.

Another challenge in effectively using the indicators is to be sensitive to the fact that the appropriateness of the indicators may vary based on the age of the organization, size of the organization, type of organization (for example, opera, museum, theater or multi-disciplinary organization), and culture (examples include differences between various nations' tax laws, cultures of personal versus public giving, and public policy).

On a national scale, NAS must stay closely connected to the industry we serve in order to identify where we can be of the best help by developing executive education opportunities to address issues faced by significant numbers of managers nationally. Programs offered to date address analysis of the competitive environment, or organizational strategy, and how to manage and implement change. Programs in development include governance and strategic alliances. All of these programs address issues identified during 18 months of research of managerial needs articulated by arts organization managers, grant makers, and public officials.

How does National Arts Stabilization help organizations define and build a systematized management structure? NAS's approach is always community based. We feel strongly that there are benefits to working long term with several organizations in a given community. Benefits include the organizations' ability to learn from each other, the convening of funders in the community around a program that rewards good management, and the increased visibility of the organizations as the community celebrates their successes.

Let me describe what we have come to call stabilization projects. A community approaches NAS with a desire to strengthen a group of organizations. Inherent in the discussion is the belief that a well-managed and well-capitalized organization provides an environment conducive to producing great art and better serving people in their communities. There are many local conditions that contribute to the desire to engage in a stabilization project. Some examples are recurring cycles of financial crisis, disappearance of funding sources, growth in population that fuels growth in organizations, or a desire for organizations to achieve their full potential in delivering services to their community. A consortium of funders donates a pool of funds, whose size is determined by the number of participant arts and cultural organizations and their budget sizes. The pool of funds is used both to make multi-year grants to the organizations and pay the cost of long-term technical assistance from NAS and its consultants.

Once a stabilization project is funded, NAS begins the process of analyzing the existing management and financial structure and agreeing with the client organization on appropriate

consulting assistance. We use three types of analysis or assessments of the organization to provide baseline information, and highlight key issues and capacity gaps that an organization should address.

The assessment process establishes a partnership between the organization and NAS by promoting an open dialogue between NAS staff and consultants and the organization's staff and board. The assessments are completed after extensive on-site meetings with key board and staff members and members of the larger community, and review of internal and external systems and documents. The resulting reports become the basis for a work plan for the organization.

During the creation of the organization assessment NAS:

- learns about the organization's practices and systems;
- identifies the organization's key issues;
- learns about the organization's goals and helps them identify the knowledge and skills that will assist them in achieving those goals;
- analyzes the organization's environment;
- provides an outsider's perspective; and,
- provides a basis for comparisons within the context of the organization's discipline as well as their local environment.

The financial assessment provides a six- to eight-year financial profile for the organization. The profile highlights changes in the capitalization of the organization. The study compares capitalization trends against potential benchmarks. Samples of NAS financial benchmarks include working capital and endowment targets. In addition, we profile trends in revenue sources and functional expenses.

NAS completes a separate information technology assessment because each organization has specific needs, and technological challenges often hinder capacity for change. The technology assessment focuses on hardware, software, communications, Internet connectivity, database, and office productivity applications. The assessment provides the organization with an external view of its current state of information technology systems. In addition, NAS assists the organization in defining both long- and short-range needs and makes recommendations, in the form of a phased technology plan, to bring the organization to a standard level of technology crucial for effective operations. This standard level includes an effective internal accounting system, an effective and usable database for marketing and fund raising activities, and adequate hardware and software to perform everyday office functions.



Once the assessments are completed, NAS and the leadership of each organization develop a work plan to use as a roadmap for the organization. We work with the organization to establish a process and timeline to address their near-term issues. This work plan acts as a contract between the organization and NAS to address the most important issues that the organization must face. On-site technical assistance and telephone support follows. NAS uses a combination of staff and consultants to provide the best mix of experience and expertise. Depending on the needs and internal capacity of the organization, potential areas of technical assistance include governance, finance, long-range planning, information technology, audience development, and revenue generation.

Grants are made to the organizations over several years as a reward for achieving specific financial and managerial benchmarks. Participants in the stabilization projects are demonstrably better capitalized and managed at the end of the project. The graphs in the handout materials demonstrate the improvements in working capital and endowment during and after our work in each of the sites. The improvements and changes in management are not so easy to graph. NAS is in the third year of a four-year research project designed to create a mechanism to define and measure changes in management strength that have a direct relationship to the consulting provided to achieve the defined goals of a program. National Arts Stabilization will host a meeting in the fourth quarter of 2001 to disseminate the findings.

In an effort to distill what National Arts Stabilization has learned in its work in stabilization and capacity building during the past 17 years, I offer you the following:

- Results take a long time.
- Programs need to be rooted in the community.
- Organizations must be ready to recognize and work on their real challenges.
- Grant makers have to commit to the process.
- Grants and technical assistance are a powerful combination.
- Group learning can be effective and efficient.
- A well-capitalized organization can manage risk better.
- Successful technical assistance includes both technical expertise and facilitation skills, and should focus on the most critical issues.
- A financial focus is not enough. We must be able to address the broad array of organizations' needs.
- It is more costly to work with smaller organizations than large. Some organizations are too small for this approach to be appropriate.

HYPOTHESES FOR THE CHARACTERISTICS OF A SUSTAINABLE ORGANIZATION

The National Arts Stabilization Research Project is developing a methodology to measure the impact of arts stabilization and capacity building programs. Stabilization and capacity building programs are based on the premise that the process that participating arts organizations go through has a positive and long-term impact on both the arts organizations and the communities they serve. The arts organizations are stronger in financial health and management and organizational health, and, as a result, their program and audience components are stronger.

The project will test a series of hypotheses about the characteristics that enable an organization to adapt to, and successfully change with, evolving circumstances. The characteristics represent a broad range of factors that contribute to sustainability, and they will be tested in a diverse set of arts organizations. We do not expect that any one organization will meet every one of the characteristics, nor do they have to in order to be sustainable.

PROGRAM AND AUDIENCE

4. Mission and Programming - A sustainable organization accomplishes its artistic mission and programming by:
 - 4.1. Articulating a clear, concise mission that is understood by all key constituencies and approved by the board.
 - 4.2. Having programs that support its mission.
 - 4.3. Responding to changing circumstances without losing its focus on its mission.

5. Artistic Environment and Quality - A sustainable organization supports and nurtures the environment in which art is created by:
 - 5.1. Achieving its goals for artistic quality and creating programs perceived as quality by the constituents in the community it serves.
 - 5.2. Creating an environment that attracts, sustains, and develops artistic talent.
 - 5.3. Managing its programs' financial and human resources so that the expense budget is achieved.



6. Audience Participation and Composition - A sustainable organization is able to balance the availability of its artistic programs with both the public demand and available resources by:
 - 6.1. Setting targets for audience levels and public participation and consistently meeting those targets.
 - 6.2. Achieving a balance between mission, public demand for programs, and limited resources when determining programs and services.

4. FOR ORGANIZATIONS WITH RELATED MISSION OR STRATEGIES ONLY

Hypotheses listed below apply only if they are in accordance with the mission or defined strategies of an arts organization.

- 4.4. Recognizing and encouraging local art.
- 4.5. Employing calculated risk by encouraging new ideas through research and development and producing projects that are artistically adventuresome.
- 4.6. Diversifying its audience by building new constituents.

MANAGEMENT HEALTH

6. Leadership, Governance, and Staffing - The leadership, governance, and staff of a sustainable organization work together to achieve the mission by:
 - 6.1. Having a majority of board members who make the organization a personal priority for their time and support, and who represent it actively in the community.
 - 6.2. Including board membership that represents the constituencies served.
 - 6.3. Operating with a board structure and procedures that serve the organization.
 - 6.4. Supporting an executive leader who guides the organization to the achievement of its goals.
 - 6.5. Understanding staff requirements for accomplishing the organization's mission and having in place a supportive work environment ("staff" includes artistic and management).
 - 6.6. Defining roles and responsibilities, and effective lines of communication among staff, volunteers, and board members.
 - 6.7. Having strategies for succession of key leaders in place.
7. External Environment, Competition, and Market Forces - A sustainable organization responds to the external environment, competition, and market forces by:
 - 7.1. Understanding the key environmental forces affecting its market.
 - 7.2. Defining and regularly monitoring its audience, donors, suppliers, and existing and potential new competitors or substitute providers.
 - 7.3. Identifying its competitive advantage and developing an effective strategy to capitalize on its

market strengths.

- 7.4. Communicating with its constituents in such a way that they are regularly and consistently informed of the organization's vision and its activities.

8. Planning Practices, Realistic Strategies, and Measurable Goals - A sustainable organization operates with a long-term strategic vision that is developed by:
 - 8.1. Regularly setting realistic goals and consistently achieving them.
 - 8.2. Addressing the natural tension between desired program output and financial constraints.
 - 8.3. Identifying expected outcomes of plan strategies and developing procedures for ongoing evaluation of their achievement.

9. Involvement in the Community - A sustainable organization becomes a vital and integral component of its community by:
 - 9.1. Collaborating with other organizations to carry forward its artistic mission.
 - 9.2. Collaborating with other organizations to strengthen the community culturally and economically.

10. Facilities and Equipment - A sustainable organization maintains appropriate facilities and equipment by:
 - 10.1. Ensuring adequate facilities and equipment, rented or owned, for both the artistic mission and staffing needs.
 - 10.2. Using computer technology appropriate to needs.
 - 10.3. Maintaining facilities and equipment and upgrading them on an ongoing basis.
 - 10.4. Defining long- and short-term facilities and equipment needs and allocating resources to meet those needs.

FINANCIAL HEALTH

4. Financial System - A sustainable organization maintains an effective financial system of policies, procedures, and practices by:
 - 4.1. Employing financial management systems that use appropriate controls and produce useful and timely information.
 - 4.2. Preparing and using accurate and complete budgets that are balanced and realistic.
 - 4.3. Employing investment practices that ensure prudent management of funds for the short and long term.
 - 4.4. Demonstrating cash flow management expertise.
 - 4.5. Having adequate staff and systems to achieve the above.



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- 4.6. Having adequate insurance to protect the organization's assets.

5. Revenue Generation, Earned and Contributed - A sustainable organization generates revenue by:
 - 5.1. Having a diverse base of sustainable support.
 - 5.2. Strengthening relationships with audience and funders over time.
 - 5.3. Generating revenue in a cost-effective manner.

6. Strength of Financial Profile - A sustainable organization strengthens its financial profile by:
 - 6.1. Defining current and future financial needs and showing a pattern of allocating resources to support the artistic strategy.
 - 6.2. Maintaining adequate resources to meet cash flow needs, fund planned growth, and invest in desired risky artistic ventures.
 - 6.3. Having annual operating surpluses after depreciation expenses are deducted.

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