

Attracting and Maintaining Funders after an Internal Crisis in an Arts Organization
Case: Dance Theatre of Harlem

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ABSTRACT

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Title Attracting and Maintaining Funders After an Internal Crisis in an Arts Organization. Case: Dance Theatre of Harlem.	Number of pages 137 + Appendices
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Abstract <p>For a non-profit performing arts organization to succeed in the United States, it has to systematically develop its organization and fundraising. Due to the tightened economic climate, the importance of strategic fundraising has increased also in Finland. This thesis explores, how a performing arts organization attracts and maintains funders after an internal crisis in the United States.</p> <p>The thesis is a qualitative case study of one performing arts organization, Dance Theatre of Harlem, which is located in New York, in the United States. The primary data of this research are 21 semi-structured personal interviews conducted between November 2012 and March 2013. In addition, the following materials are used: the organization's internal documents related to the fundraising strategy, news articles and personal observations at different events during 2012 and 2013, as well as during an internship period at the organization's corporate giving team in 2012. The thesis develops a theoretical framework for managing strategic fundraising in the 21st century. The core idea is to treat donations as investments. The return on investment is as a healthier arts organization that is better able to create new content in line with its mission and engage its donors and funders.</p> <p>The research reveals that Dance Theatre of Harlem (DTH) has engaged in a major restructuring process since 2004, when its internal crisis peaked. During the restructuring, DTH has kept its mission at the core. Followed by a market analysis, DTH has reformulated its organizational strategy for several times since the crisis. As a result, DTH's fundraising has become more strategic and cohesive. From the fundraising perspective, the restructuring era can be divided into five different phases: damage repair and building trust (phase 1), new artistic era (phase 2), restructuring fundraising (phase 3), relationship-building and engaging (phase 4) and new dance company, new opportunities (phase 5). In 2013, DTH is a stronger organization compared to 2004. The overall financial situation has improved and the funding mix is more diverse. DTH is better able to attract and engage its donors and funders, and this has also been noticed by the stakeholders as enhanced donor and/or funder engagement and increased communications. The research shows six critical bottlenecks that can either speed up or slower DTH's entire fundraising: monitoring the relationship between the fundraising strategy, budgeting and diverse funding mix (1), improving the Board mix and Board involvement (2), prospect identification (3), lack of resources for cultivation (4), available time to find strategic fit with the funder (5) and institutional communications and marketing (6). Strategic management of the fundraising, as well as performance management of the entire organization are vital for DTH's future.</p>	
Keywords Fundraising, Philanthropy, Donations, Strategy, Crisis, Sponsorship, Performing Arts, Dance, United States, New York	
Additional information	



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TIIVISTELMÄ

X Tutkielma
 Kirjallinen työ

Työn nimi Rahoittajien houkuttelevuus ja rahoittajasuhteiden ylläpitäminen taideorganisaatiossa sisäisen kriisin jälkeen. Case: Dance Theatre of Harlem.	Sivumäärä 137 + Liitteet
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Tiivistelmä Varainhankinta on elinehto yhdysvaltalaiselle taideorganisaatiolle: organisaatiota ja varainhankintaa on jatkuvasti kehitettävä. Kiristyneen taloustilanteen seurauksena strategisen varainhankinnan tärkeys on kasvanut myös Suomessa. Tämä tutkielma selvittää, miten yhdysvaltalainen esittävän taiteen organisaatio houkuttelee rahoittajia ja ylläpitää rahoittajasuhteita sisäisen kriisin jälkeen. Tutkielma on laadullinen tapaustutkimus esittävän taiteen organisaatiosta, Dance Theatre of Harlemista, joka sijaitsee New Yorkissa, Yhdysvalloissa. Ensisijaisena aineistona on 21 henkilökohtaista teemahaastattelua, jotka on tehty marraskuun 2012 ja maaliskuun 2013 välisenä aikana. Tutkimuksessa käytetään myös muita aineistoja: organisaation varainhankintastrategiaan liittyviä asiakirjoja, uutisartikkeleita sekä henkilökohtaisia havaintoja tapahtumista vuosilta 2012–2013 sekä varainhankintaosastolla vietetyn työharjoittelujakson ajalta vuonna 2012. Tutkielmassa kehitetään teoreettinen viitekehys strategisen varainhankinnan johtamiselle 2000-luvulla. Keskeisenä ajatuksena on lahjoitusten vertaaminen sijoituksiin. Sijoitetun pääoman tuotto näkyy terveempänä taideorganisaationa, joka voi tuottaa yhä paremmin toiminta-ajatuksensa mukaisesti sisältöä ja luoda tiiviimpiä suhteita lahjoittajiinsa ja rahoittajiinsa. Tutkimus paljastaa, että Dance Theatre of Harlem (DTH) on kokenut mittavan jälleenrakennuksen vuoden 2004 sisäisen kriisinsä jälkeen. Jälleenrakentaminen on lähtenyt organisaation toiminta-ajatukselta. Markkina-analyysin jälkeen DTH on uudistanut organisaationsa strategian useaan otteeseen, minkä seurauksena varainhankinnasta on tullut strategisempaa ja yhtenäisempää. Jälleenrakentaminen voidaan jakaa varainhankinnan näkökulmasta viiteen vaiheeseen: vahinkojen korjaaminen ja luottamuksen rakentaminen (vaihe 1), uusi taiteellinen kausi (vaihe 2), varainhankinnan uudistaminen (vaihe 3), suhteiden rakentaminen ja sitouttaminen (vaihe 4) ja uusi tanssiryhmä, uudet mahdollisuudet (vaihe 5). Vuonna 2013 DTH on vahvempi organisaatio kuin vuonna 2004: rahoitustilanne on parantunut, ja rahoituspohja on monipuolisempi. DTH houkuttelee ja sitouttaa paremmin lahjoittajia ja rahoittajia. Myös sidosryhmät ovat huomanneet tämän sekä lisääntyneen viestinnän. Tutkimus osoittaa myös kuusi kriittistä pullonkaulaa, jotka voivat joko nopeuttaa tai hidastaa DTH:n varainhankintaa: strategian, budjetoinnin ja laajan rahoituspohjan välisestä yhteydestä huolehtiminen (1), hallituksen laajentaminen ja sitouttaminen (2), rahoittajien tunnistaminen (3), puutteelliset henkilövoimavarat suhteiden hoitamiseen (4), käytettävissä oleva aika (5) ja organisaation viestintä ja markkinointi (6). Varainhankinnan strateginen johtaminen sekä suorituskeskeinen johtaminen ovat keskeistä DTH:n tulevaisuudelle.	
Hakusanat Varainhankinta, lahjoittaminen, lahjoitukset, strategia, kriisi, sponsorointi, esittävät taiteet, tanssi, Yhdysvallat, New York	
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1. INTRODUCTION

1.1. Background of the study

Arts organizations are characterized by a continuous struggle between producing high quality art and acquiring and maintaining an appropriate amount of funding. This dilemma is especially relevant in the field of performing arts due to high production costs and traditionally a limited number of seats (Kaiser 2008, ix).

Due to limited public funding, arts organizations in the United States actively engage in fundraising, which refers to all the means a non-profit organization uses to receive funding from different stakeholders, such as individuals, foundations, corporations, and the government. In the United States, contributed income accounts for 44.9 percent of the entire funding of most non-profit performing arts organizations. In other words, arts organizations have to fundraise nearly half of their income. The contributed revenue is further divided into income from individuals (20.3 percent), corporations (8.4 percent), and foundations (9.5 percent). The combined federal, state and local support accounts for only 6.7 percent. (National Endowment for the Arts 2012, 1)

“To help ensure financial stability, most nonprofit arts organizations rely on fund-raising activities to supplement subsidies and revenue from commercial operations; furthermore, capital funding (for building projects and to establish endowments) is becoming more topical.”
(Chong 2002, 113)

The culture of fundraising and philanthropy is unique in the United States due to the country’s history and the limited role the government has taken. According to the Giving USA¹ 2012 report contributions totaled 298 billion US-dollars in 2011. Of this, individuals, bequests and family foundations accounted for 88 percent and corporations for five percent. The majority of the giving was directed to religion (32 percent), followed by education (13 percent) and human services (12 percent). Of the total giving, four percent was directed to arts, culture and humanities. In addition,

¹ Giving USA is an annual report on philanthropy in the United States – published for the 57th time in 2012. The report is considered the most comprehensive description of giving in the United States. Giving USA is published by the Giving USA Foundation and researched and written by the Center on Philanthropy at Indiana University. More information can be found at: <http://www.givingusareports.org/about.aspx>

these figures are increased by funding from the corporate sector's marketing, corporate social responsibility and other budgets. Fundraising is also supported by the taxation system, which allows deductions for charitable giving as incentives.

For a non-profit performing arts organization to succeed in the United States, it has to systematically develop its organization and fundraising. The need for strategic development and fundraising is further highlighted in situations when an arts organization has overcome an internal crisis and is seeking to rebuild its organization. In fact, Kaiser emphasizes that an arts organization has to strategically revise its entire operations – not only fundraising – to overcome a crisis. “The turnaround is about creating a sustainable organization, a well-functioning economic engine” (2008, 177).

In Finland, philanthropy existed visibly in the arts in the end of the 19th and the beginning of the 20th century. Industrialists, such as Gösta Serlachius and Antti Ahlström, were major patrons for the arts. For example, Serlachius supported the sculptors Hanner Autere and Emil Wikström, as well as the artist Akseli Gallen-Kallela. Serlachius also was a major donor when building the Kunsthalle in Helsinki. (Metsäteollisuus ry 2013a). Waenerberg's research (as cited by Metsäteollisuus 2013b) describes that the arts had a significant role in creating the national identity some 100 years ago. Forest corporations acted as arts patrons to create an impression of a stable and reliable corporation. Sibelius, the most known Finnish composer, received funding from the government, but was also supported by Axel Carpelan (Ainola 2013).

Public support for the arts and culture started to expand later in the 20th century. A larger financial public support system for the arts, cultural institutions and cultural services came into effect following the legislative changes during the 1960's and 1970's. (Compendium 2013)

Currently, according to the Finnish cultural policy, culture should be accessible to all. “Another aim is to secure a stable financial base for culture. Cultural policy is a significant factor in the implementation of welfare, regional and innovation policies.” (Ministry of Education and Culture 2013a).

The State and municipalities have a major role in financing the arts and culture in Finland. The areas financed by the state and municipalities are artistic creation (arts education, support to artistic work), cultural and art institutions (most importantly libraries, theatres, orchestras and museums) and the maintenance of cultural heritage.

(Ministry of Education and Culture 2013b). In 2013, the State's budget allocated some 434 million euros (565 million US-dollars) for the arts and culture. Of this, 52 percent was financed from the Finnish lottery funds. The overall State budget is 54.2 billion euros (70.4 billion US-dollars).

Arts patrons still exist to some extent in Finland, but their role is not similarly highlighted in the Finnish society as in the United States – partly due to the patrons' own wishes to remain anonymous and act "behind the scenes".

The economic climate has tightened both in the United States and in Finland, increasing the importance for strategic fundraising in both countries. Should the government support decrease as predicted, Finnish arts organizations are forced to become more proficient in strategic fundraising. Simultaneously, there is a need for active building of a culture of philanthropy with tax incentives that stimulate giving.

1.2. Problem formulation

Due to the government's current strong focus on culture and arts in Finland, most non-profit arts organizations have chosen a rather passive role in fundraising until today. Fundraising is usually non-strategic and aimed at a narrow scope of funding sources. Most arts organizations do not actively fundraise from individuals, but rather concentrate their efforts on grant applications to different foundations. Furthermore, the arts field has not been able to attract as many corporate partners, as the sports field has, for example. Furthermore, the Finnish legislation has traditionally not encouraged donations for the arts. Charitable tax deductions were only introduced for the field of higher education as part of the University Reform, starting in 2010. Also, according to the current Money Collection Act, any organization must acquire a separate permit for fundraising (Kajander 2011, 6; Ministry of the Interior 2013a).

While the arts organizations have a rather passive role in fundraising, the importance of fundraising is constantly increasing in Finland due to the tightening economic climate and pressures to cut the State budget. For example, Finnish universities have been required to fundraise as of 2010 in line with the new Universities Act – to supplement the core funding they continue to receive from the government. (Ministry of Education and Culture 2013c). Furthermore, new forms of philanthropy have started to emerge in Finland recently. In 2012, the first Finnish crowd funding service, Mesenaatti.me (2013) started its operations. Shortly after the beginning of 2013, a

Swedish crowd funding service, FundedByMe, came to Finland. Also in 2013, a new foundation (Uusi lastensairaala 2017) was established to fundraise for a new children's hospital in Helsinki (2013). Additionally, a public questionnaire was opened to gather the citizens' opinions regarding Money Collection Act during March 2013. The Parliament of Finland is to decide on possible changes for this Act in the fall of 2013. (Ministry of the Interior 2013b)

Fundraising is a rather young field globally with most research being conducted at the Center on Philanthropy at Indiana University, in the United States. In Finland, research regarding the funding of arts organizations has mainly focused on sponsorship, marketing and corporate social responsibility – and mainly at the Master's thesis level. Furthermore, the majority of the sponsorship research has been conducted in the field of sports, rather than in the field of arts. Finnish research on fundraising – especially in the arts field – has been very limited.

Vottonen (2012), researched sponsorship of non-profit organizations in Finland. Based on his research exclusivity, different target segments, low risk and the emphasis on image and stakeholder benefits can be considered as the main benefits of cultural sponsorship. Li's (2011) research focused also on business partnerships – in international arts festival settings. Pälli (2008), on the other hand, explored the classical music genre from the marketing point-of view, having the Helsinki Philharmonic Orchestra and the Finnish Radio Symphony Orchestra as case studies. Salo (2011) examined sponsorship in the field of sports concluding that it offers a strong tool for international marketing communications.

Lassila's (2010) study is one of the few fundraising studies – however focusing on humanitarian non-profit organizations. The study examined how the organizations can best use social media, more precisely Facebook and Twitter, in fundraising. Although the organizations are familiar with this media, they have challenges in measuring the platforms' effectiveness and interacting with the organization's fans. Another fundraising research was conducted by Heikkilä (2010). This study focused on the challenges of Finnish universities' fundraising. The research stresses the importance of building relationships with the alumni.

“Universities have to concentrate in the future more to create and maintain a long-term relationship with their partners and alumni as

well as to integrate their present and potential donors within the activities of the university.” (Heikkilä 2010, 4).

In addition to research conducted at the universities, the Arts Promotion Centre Finland (2013) regularly publishes statistics on corporations’ support for the arts and culture in Finland. The latest research focuses on the time period from 1999 to 2008.

This study will expand knowledge on fundraising in the arts field in the United States. The research contributes both the field of arts management and fundraising in Finland.

1.3. Aim of the study

The aim of this study is to illuminate and analyze fundraising strategies and best practices used during a period of a crisis and transition in a performing arts organization. In this thesis, crisis refers to an internal crisis within the organization – not a larger crisis due to the external economy.

The main research question is:

- How does an arts organization attract and maintain funders after an internal crisis?

The following questions are used as supporting research questions to guide the study:

- How does an arts organization formulate its fundraising strategy after a crisis?
- What issues are emphasized in the strategy?
- What are the different funder and donor categories and how are different funders and donors being approached?
- How are the funder and donor relationships being rebuilt and maintained?

The thesis explores fundraising practices in the field of performing arts in the United States; more precisely in New York. The focus is on non-profit arts organizations, as these organizations actively engage in fundraising. New York and United States have been chosen for several reasons. First of all, due to the different history and limited public funding, the arts organizations have had to engage in active fundraising for a longer time than in Finland.

Secondly, the United States is considered to be the home for fundraising and philanthropy. For example, Center on Philanthropy at Indiana University, founded in 1987, is considered to be the best research center in the field.

The third reason relates to personal interests and background. Having lived in New York since 2010, I have become personally connected with fundraising of the performing arts organizations. In addition, I have been able to experience the culture of philanthropy, and acted as a donor myself. Furthermore, I have studied at the Fundraising and Grantmaking Master's program at New York University as a Fulbright Scholar since 2011. This additional education has provided information on both fundraising and philanthropy through lectures, research and contacts with professionals working in this field in New York.

1.4. Research approach

The research is a qualitative case study. Dance Theatre of Harlem was chosen as the case, representing a non-profit performing arts organization in the United States.

Dance Theatre of Harlem was chosen due to several reasons. First of all, it has both experienced an internal crisis, as well as rebuilt its organization and fundraising to attract and maintain funders. The dance organization had to close part of its operations, its professional dance company, in 2004 as a result of an internal crisis. Since then, Dance Theatre of Harlem has been strategically rebuilding its fundraising. In 2012, the professional dance company returned. Dance Theatre of Harlem is still in a rebuilding phase, although the new company has started performing. This case describes one current example of rebuilding a performing arts organization's fundraising in the United States.

Secondly, fundraising is closely connected to the organization's mission and strategy, as well as to its communications and marketing. Thorough research and understanding of the fundraising strategy and practices require a large access to the organization, and the institution's willingness to share internal and strategic information. As a result of my four-month internship in Dance Theatre of Harlem's development department in 2012, I have been able to build personal relationships within the organization. For this thesis, I have been given access to a wider array of materials that I would not have been able to access from other arts organizations. I have also volunteered at Dance Theatre of Harlem in 2012 and 2013 and have been a modest donor since January 2013. This

has provided me further, personal experience on their donor cultivation and stewardship.

The study focuses on the restructuring era at Dance Theatre of Harlem after the crisis that peaked in 2004. A crisis marks a turning point for any arts organization and all the aspects of the organization have to be re-evaluated and restructured. The study examines the entire spectrum and the different phases of strategic fundraising.

The primary method of this research are 21 semi-structured, personal interviews. The interviews were conducted between November 2012 and March 2013. In addition, the following materials are used: the organization's internal documents related to the fundraising strategy and news articles from New York Times and other mainstream media between 2002 and 2013. In addition, the research includes personal observations at different events during 2012 and 2013: the annual Vision gala in 2012 and 2013, Sunday Matinees and fundraisers or other events arranged for the existing and potential donors, such as a planned giving event. The research also includes personal observations from the period, when I was interning at Dance Theatre of Harlem: from January 2012 until May 2012.

Fundraising literature forms the cornerstone for the theoretical framework. This is combined with additional, relevant management, communications and marketing literature. In addition, literature on the history of philanthropy and legislation regarding charitable tax deductions is included.

The key definitions used in this thesis are presented in Appendix 1.

1.5. Structure of the thesis

This thesis consists of altogether eight chapters.

The second chapter will describe arts funding and philanthropy in the United States. This chapter includes discussing the role of tax incentives for charitable giving.

The theoretical framework will be presented in chapter three. The chapter is divided into two sections. After describing the theory and practice of fundraising, I will discuss my interpretation of strategic fundraising by comparing fundraising at non-profit

organizations to investor relations at for-profit organizations. Relevant concepts are introduced from the management, communications and marketing theories.

The fourth chapter of this thesis describes the research method. This is followed by a description of the case, Dance Theatre of Harlem, in the fifth chapter.

The analysis will be presented and discussed in chapter six. Conclusions will be given in chapter seven, followed by discussion in chapter eight.

2. ARTS FUNDING AND PHILANTHROPY IN THE UNITED STATES

This chapter will describe the funding structure for the performing arts in the United States, as well as the country's history and culture of philanthropy in general. This is essential for understanding the environment, in which the arts organizations operate and fundraise in the United States.

2.1. Funding for the performing arts

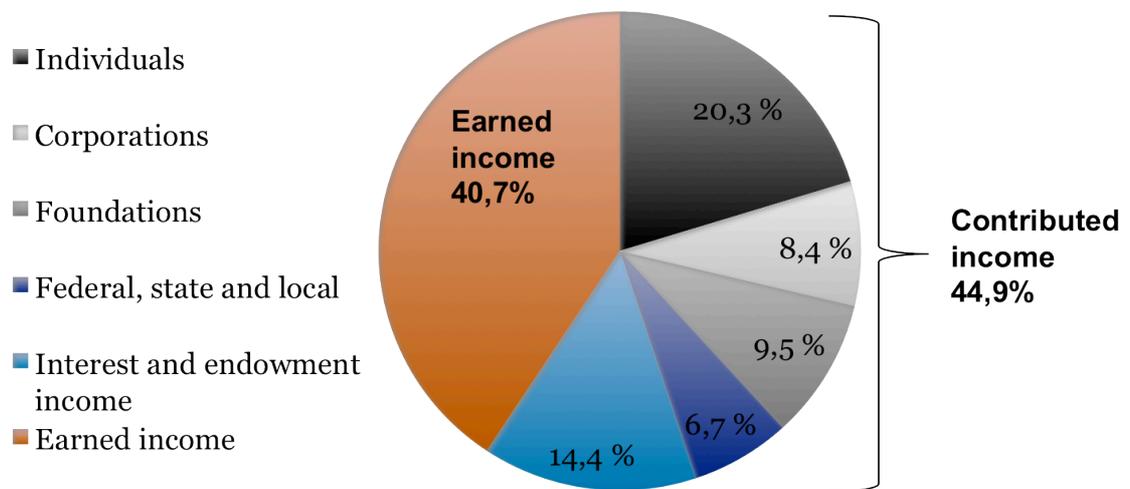
2.1.1. Overview

The nonprofit arts and culture sector has a significant role in the United States. The industry generated nationally 135.2 billion US-dollars of economic activity in 2010. Of this, 61.1 billion US-dollars were provided by the organizations themselves, and 74.2 billion US-dollars by event-related expenditures by their audiences. Furthermore, this field creates 4.1 million full-time jobs and creates 22.3 billion US-dollars in government revenue. (Americans for the Arts 2012, 4)

The funding structure for the arts is unique in the United States. It consists of public and private entities, tax policies, legislative allocations, donated bequests, restricted endowments, education mandates, and social agendas (National Endowment for the Arts 2012, 2). In principal, arts organizations have three streams of funding: direct public funding (National Endowment for the Arts; state, regional, and local arts agencies), other direct and indirect public funding (various federal departments and agencies), and private sector contributions (individuals, foundations and corporations) (National Endowment for the Arts 2012, 1).

The need for fundraising is evident, as altogether 44.9 percent of the income is contributed income: from individuals (20.3 percent), corporations (8.4 percent), foundations (9.5 percent), federal (1.2 percent), state (2.2 percent) and local (3.3 percent). Of the entire revenue, 40.7 percent is earned income. Interest and endowment income represent 14.4 percent. (National Endowment for the Arts 2012, 1)

Figure 1. Revenue sources of non-profit performing arts organizations and museums in the United States²



Source: National Endowment for the Arts 2012, 1

2.1.2. Public funding

In the United States, a variety of government subsidies fund the arts. In total, some seven percent of the country’s total investments is targeted for non-profit arts organizations. The largest single funder of the arts is the National Endowment for the Arts (NEA). However, additional streams of funding stem from other federal, state, regional and local agencies. “In any case, direct grants do not finance the bulk of artistic activity in the U.S.; they fill gaps, enhance arts education, nourish arts creation, assist in the presentation and delivery of artworks, and enable preservation”. (National Endowment for the Arts 2012, 3)

Established in 1965, NEA is an independent federal agency, “dedicated to advancing artistic excellence, creativity, and innovation for the benefit of American individuals and communities”. In 2012, its budget was 146 million US-dollars, of which 80 percent went toward grantmaking. Most grants are awarded through the Grants for Arts Projects program, which has two categories: Art Works and Challenge America Fast-Track. (National Endowment for the Arts 2012, 3-5)

² The estimates are based on an analysis of data from 2006–2010 from the Urban Institute’s National Center for Charitable Statistics and the U.S. Census Bureau’s Economic Census. Additional sources have also been used when preparing the estimates.

The NEA collaborates with state and regional agencies in funding the arts. State arts funding peaked in 2001. In addition to federal, state and regional arts agencies, also some 5,000 local arts agencies exist in the United States. (National Endowment for the Arts 2012, 7-9)

In addition to direct public funding, there is also other public funding for the arts and culture from various federal departments and agencies. In the field of performing arts, one example is the John F. Kennedy Center for the Performing Arts, which receives direct funding from the Congress. In 2012, the amount was 23 million dollars. (National Endowment for the Arts 2012, 12-14)

2.1.3. Private giving and tax incentives

Private giving from individuals, foundations and corporations forms on average 38 percent of a performing arts organization's budget in the United States (National Endowment for the Arts 2012, 1). In addition, crowd funding, collective funding by individuals, has emerged during the recent years with the launch of companies, such as Kickstarter. (National Endowment for the Arts 2012, 20). These figures also exclude corporate sponsorship. In 2012, the arts received 891 million US-dollars via sponsorships. This represented 2.5 percent of the entire amount of corporate dollars directed at sponsorships. (IEG 2013)

The legislative structure of tax exemption to the charitable and voluntary sector in the United States was developed between 1894 and 1969 (Arnsberger et. al 2008, 106). Since the Revenue Act of 1917, individuals have been allowed to deduct contributions made to tax-exempt charitable organizations. "This deduction was conceived as a way to encourage charitable contributions at a time when income tax rates were rising in order to fund World War I." Corporations received the right for charitable deductions starting in 1936 – however, limiting it to five percent of the corporation's net income. Currently, a corporation may deduct contributions up to 10 percent of its taxable annual income. (Arnsberger et. al 2008, 107; Joint Committee on Taxation 2011, 4-5; 18)

The Internal Revenue Code allows taxpayers to reduce their income, estate, and gift tax liability with deductions for gifts to certain organizations. In addition to charities, these organizations include governmental units and other organizations, such as veterans'

organizations and civil defense organizations (Joint Committee on Taxation 2011, 1). “As a term, “tax incentive” is singularly appropriate; for every dollar the U.S. Treasury foregoes per tax deduction, donors are motivated to give private not-for-profits a donation in the range of 80 cents to 1.30 US-dollars, according to recent estimates” (National Endowment for the Arts 2012, 18).

The donative intent is decisive: the deduction is only allowed for that part of the donation, that is conducted “without the expectation of a benefit of substantial economic value in return”. (Joint Committee on Taxation 2011, 5; 14) The calculations vary based on the type of the non-profit organization.

Tax deductions for charitable contributions are constantly being argued for and against – latest during the Presidential elections in the fall of 2012 and during the heated federal budget discussions in the beginning of 2013. These arguments revolve around the questions: would donors donate despite the deductions, do the charities serve a wide enough public or a narrow group of people, what should the role of the government be in providing services and what benefits do the charitable organizations create. (Joint Committee on Taxation 2011, 33) The Founding Dean of the Indiana University School of Philanthropy was selected to testify at a congressional hearing in mid-February 2013 regarding the impact of tax policies on charitable giving. Tempel commented:

"Charitable giving is an important way that citizens exercise their democratic freedoms and is an essential component to the creation of a caring and thriving society, and we are pleased to be able to contribute to the public dialogue on this issue."

(The School of Philanthropy at Indiana University 2013)

Although tax deductions are not the main motivator for giving in the United States, it can be argued that tax deductions act as an incentive for giving, especially among the wealthy individuals. For example, a study of high net worth philanthropy revealed, that nearly 67 percent of wealthy households would “somewhat or dramatically” decrease their charitable giving, if the tax deductions were entirely removed (The Center on Philanthropy 2010, 10).

2.1.4. Recent financial challenges

Since 2008, arts organizations have had to overcome devastating effects of the country's economic financial crisis. Individual giving has remained almost at previous levels. However, funding has decreased from the National Endowment for the Arts, State Arts Agencies, corporations and foundations (See Appendix 2). Corporations have also become more strategic in their giving and changed their giving policies towards community and educational project. A study from 2010 revealed that corporations decreased their giving to the arts by 14 percent between 2006 and 2009 (Business Committee for the Arts 2010, 1).

In addition to decreased funding from the National Endowment for the Arts, State Arts Agencies, corporations and foundations, arts organizations have encountered challenges with evolving patterns of arts participation (blurring of genres, categories and traditions), as well as shifting boundaries between the professional and amateur arts sectors. Arts organizations have yet another dilemma: they have to manage increasing expenditures for artists, the actual art and educational projects, as well as forecast the revenues needed to enable their program goals. (National Endowment for the Arts 2012, 2)

2.2. Philanthropy

2.2.1. History

Fundraising stems from the culture of philanthropy, which has prevailed in the United States for centuries. This culture occurs across different fields, the arts and culture being one of them.

What is philanthropy? The origin of the word is Greek and means love of humankind (Rooney and Nathan 2011, 117). The Webster dictionary from 1828 describes philanthropy as “the love of mankind; benevolence towards the whole human family; universal good will. It differs from friendship, as the latter is an affection for individuals”. Furthermore, the Merriam-Webster dictionary (2013) defines philanthropy as “goodwill to fellow members of the human race; especially: active effort to promote human welfare”. The secondary definitions are “an act or gift done or made for humanitarian purposes” or “an organization distributing or supported by funds set

aside for humanitarian purposes”. Often, philanthropy is also described as “private initiatives for public good,” distinctive from government or “public initiatives for public good” (see McCully 2008, i).

Some researches do not make a distinction between philanthropy and charity. For example, Robert Payton, the founder of the Center for Philanthropy at Indiana University, describes both with a similar meaning (Gross 2003, 31). According to Payton (1988), philanthropy can be defined as “voluntary action for the public good through voluntary action, voluntary association, and voluntary giving”.

Gross (2003, 31-32), however, sets a clear distinction between philanthropy and charity, which also forms the basis of my theoretical framework. According to him, charity refers to individual and concrete giving, whereas philanthropy refers to more organized and institutional actions to change and influence the society.

“Charity expresses an impulse to personal service; it engages individuals in concrete, direct acts of compassion and connection to other people”, Gross says. Furthermore, he describes: “... it (philanthropy) aspires not so much to aid individuals as to reform society... By eliminating the problems of society that beset particular persons, philanthropy aims to usher in a world where charity is uncommon – and perhaps unnecessary”. (Gross 2003, 31)

Gross uses charity as a metaphor for pain reliever, whereas philanthropy can rather be viewed as finding the cure for a disease.

The history of benevolence – and thus both charity and philanthropy – in America can be traced back to early 1600’s, when New England was settled by the Puritans. Referring to Gross, the early forms of benevolence can be described as charity. This charity was strongly tied to religion, Christianity. People helped each other, especially the poor and the orphans, to get closer to God. The most famous document from the era is John Winthrop’s sermon “A Model of Christian Charity” from 1630. This era of charity lasted until the Revolutionary War and Constitution, which came into effect in 1789. (Gross 2003, 32-33)

The Revolutionary War in the late 18th century changed the ideology. Enlightenment, led by Adam Smith, emerged. Religion and individual started to separate. Two of the

major figures of this young Democracy were Benjamin Franklin and Thomas Jefferson. (Gross 2003, 38; McGarvie 2003, 94). Benjamin Franklin changed the course of benevolence by embracing secularity: practical improvement in the human condition. With his democratic approach, Franklin started to form societies for the general welfare. Furthermore, Franklin aimed to eliminate poverty by helping the poor to help themselves (Gross 2003, 37-39) Franklin also initiated the idea of matching gifts (Rooney & Nathan 2011, 119).

The early 1800's marked an era of new voluntary associations and the Age of Benevolence. By 1820, some 2,000 benevolent institutions were formed in the country. French Alexis de Tocqueville also emphasized the significant number of associations in his *Democracy in America* in 1835. (Gross 2003, 29-30) Benevolence in the 1800's can be characterized by a significant number of religious groups and women as active participants. (Gross 2003, 40)

Although philanthropy started to emerge already in 1770's, it was not until the Civil War (1861-1865) that philanthropy distinguished itself from the earlier form – charity. Since the Civil War, philanthropy has been more organized aiming to create change in the society.

The Civil War in 1860's and the Second Industrial Revolution from 1880's until 1920's created yet another phenomenon: the emergence of rich industrialists. Several of these industrialists chose to donate part of their fortune to create change in the society. For example, John D. Rockefeller, founder of the Standard Oil Company, contributed to medical research, as well as established the Rockefeller University. The founder of the Carnegie Steel Company, Andrew Carnegie, established several libraries, schools and universities. Although these and other industrialists of the era acted as significant philanthropists, they are often called Robber Barons, since there is dispute on how they gained their fortune. (See Gross 2003, 47-48) Many of the industrialists were also major arts patrons. For example, Carnegie Hall was built by Andrew Carnegie (Carnegie Hall 2013). Paul Mellon gave a hundred important old masters paintings to the National Gallery of the Smithsonian Institution in 1937 (Hammack 2003, 276).

Early 1900's were characterized by the establishment of philanthropic foundations: "a new kind of institution designed to administer large philanthropic resources to various communities of recipients". By 1930, there were over 200 foundations in the United States. (Zunz 2012, 22)

The New Deal was launched in the mid-1930's, in the aftermath of the Great Depression. Foundation was laid for taxation of donations. (Arnsberger et. al. 2008, 107) The era after the Second World War was heavily characterized by internationally operating foundations, such as the Ford Foundation (Hess 2003, 319). To increase transparency, the Foundation Center was established in 1956. In 1975, the Filer Commission published its extensive report, which strengthened the philanthropic sector's presence in the United States (Hall 2003, 376).

The end of the 20th century marked professionalization in the philanthropic sector in the United States. Followed by the founding of the Independent sector (I.S.) agency in 1980, the status of philanthropy was significantly strengthened. In 1983, I.S.'s Research Committee recommended that philanthropy become an interdisciplinary research field in American higher education. (Friedman 2003, 1)

The most known research and education center in the field of philanthropy and fundraising is the Indiana University School of Philanthropy (previously Center on Philanthropy), established in 1987. The Fund Raising School, one arm of this school was established already as early as 1974 by Rosso et al. Rosso's "Achieving excellence in fund raising" from 1991 is considered one of the classics in the field. Philanthropy and fundraising have spread out to other universities, such as New York University, as well.

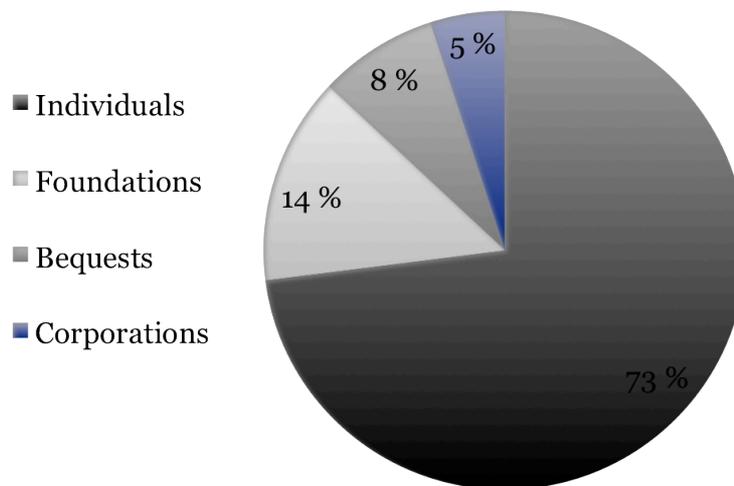
2.2.2. Philanthropy today

Today, both philanthropy and charity exist in the United States. Charity, as also I define it in this thesis, is connected to the strong volunteerism prevailing in America. People support causes they value both by donating their time as volunteers and by donating money. Approximately 26.3 percent of Americans over the age of 16 volunteered through or for an organization between September 2009 and September 2010. (National Center for Charitable Statistics 2013) Philanthropic foundations and philanthropic individuals have a significant role in enabling various innovations, risky endeavors and changes that have needed fast decisions and actions.

At the end of 2012, there were some 1.5 million tax-exempt organizations in the United States. Of these 973,961 were public charities, 98,785 private foundations and 495,169 other types of non-profit organizations, including chambers of commerce, fraternal organizations and civic leagues. (National Center for Charitable Statistics 2013)

Combined contributions totaled 298 billion US-dollars in 2011. Of this, individuals, bequests and family foundations accounted for 88 percent and corporations for 5 percent. Majority of the giving was directed to religion (32 percent), followed by education (13 percent) and human services (12 percent). Of the total giving, 4 percent was directed to arts, culture and humanities. (Giving USA 2012, 10-11) In addition, these figures are increased by various corporate dollars from the corporations' marketing, corporate social responsibility and other budgets.

Figure 2. *Distribution of giving in the United States in 2011*



Source: Giving USA 2012, 8

Non-profit organizations act as fundraisers and fund recipients in the culture of philanthropy. To obtain a non-profit status, an organization must show that its purpose serves the public good, as opposed to a private interest (Arnsberger & Graham 2011, 1). The main types of non-profit organizations are public charities and private foundations, of which this thesis focuses on public charities – more specifically non-profit performing arts organizations.

A public charity has to operate within both federal and state laws and regulations. (Panel on the Nonprofit Sector 2007, 8). It receives a tax-exempt status, which is based on the section 501(c)(3) of the Internal Revenue Code (IRS). Vice versa, contributions to public charities are deductible in the income taxation, which encourages giving. The non-profit status has certain requirements and restrictions for the organizations. One of the main requirements is filing the 990 form to IRS³. The form describes the

³ The 990 forms can be viewed for free at Guidestar's website: <http://www.guidestar.org>

organization's purpose, Board members, sources of funding, as well as other information (Panel on the Nonprofit Sector 2005, 12).

3. THEORETICAL FRAMEWORK

This theory chapter will form the framework through which the case of Dance Theatre of Harlem will be discussed and evaluated. The first part of this chapter will describe the theory and practice of fundraising currently prevailing in the United States. The definitions and concepts introduced in this section are rather established in the field, and there is not much variation by the researcher or writer.

In the second part I will discuss my interpretation of strategic fundraising – the key concept for examining the Dance Theatre of Harlem case. When forming this definition of strategic fundraising, I will compare fundraising in non-profit organizations to investor relations in for-profit organizations. Fundraising is discussed also in relation to relevant management, communications and marketing concepts. Throughout the chapter, various outcomes from previous research and literature will be presented. To conclude this chapter, I will present my interpretation of managing strategic fundraising in the 21st century. This model is crucial for the analysis of the Dance Theatre of Harlem case.

3.1. Theory and practice of fundraising

3.1.1. Definition

”Fundraising is the gentle art of teaching people the joy of giving”.
(Henry Rosso, Founder of the Center on Philanthropy at Indiana University in Hodge 2011, 70).

Fundraising refers to any active effort by a non-profit organization to raise funds from individuals, foundations, corporations or governmental institutions. Fundraising occurs in philanthropic cultures. In fact, according to Rosso (2011a, 3) fundraising is a servant of philanthropy.

Some researchers rather discuss fund development, which is typically shortened to development. Joyaux and several others argue that the term fund development is more strategic and encompassing than fundraising. (2011, 4).

“Fund development is the essential partner of philanthropy. Fund development makes philanthropy possible by bringing together a particular cause and donors and prospects who are willing to invest in the cause.”

(Joyaux 2011, 4)

Drozdowski offers another description between fundraising and development:

“The time we spend cultivating or soliciting donors is fund raising; that spent aligning fund-raising goals with institutional planning and maturation is development.” (Drozdowski 2003)

Seiler (2011a, 42) describes: “Development is growth of mission; it includes planning, communications and fundraising”. Additionally, development is referred to developing the organization’s resources to fundraise, as well as building relationships with prospects and donors. Consequently, most fundraising departments are called development departments in the United States.

In the United States, many non-profit organizations have fundraising – or development – professionals, as fundraising is crucial for these organizations to survive. The size of the development department varies by organizations. Larger non-profit organizations can have a remarkable department working with various aspects of development. Normally, an organization has a development director and professionals focusing on the following areas: prospect research, annual gifts, major gifts, corporate and foundation relations, special events and capital campaigns. In addition, there are personnel in the development department, who are connected to the monetary flow of gifts. In very small organizations the Executive Director is also the Chief Fundraising Officer.

In my analysis and conclusions, I have combined the ideology of fundraising and fund development into strategic fundraising, which I define as follows:

Strategically developing the non-profit’s organizational structure and resources, as well as relationships with the prospects and donors to be able to effectively raise funds from individuals, foundations, corporations or governmental institutions.

3.1.2. Fund development strategy

For an organization to succeed in fundraising and development, it needs to formulate a separate strategy that develops and nurtures a diversified funding base (Seiler 2011a, 41). This development strategy stems from the organization's overall strategy and typically covers one year.

Fundraising lies at the core of the development plan and is often the ultimate goal of the plan (Seiler 2011a, 42). Seiler emphasizes that fundraising is a wider concept than asking for money. "Fundraising involves the development of a relationship between prospective donors and the organization, a relationship fostered by mutual values and shared interests" (Seiler 2011a, 43).

Joyaux describes the content of the development strategy as follows (2011, 349):

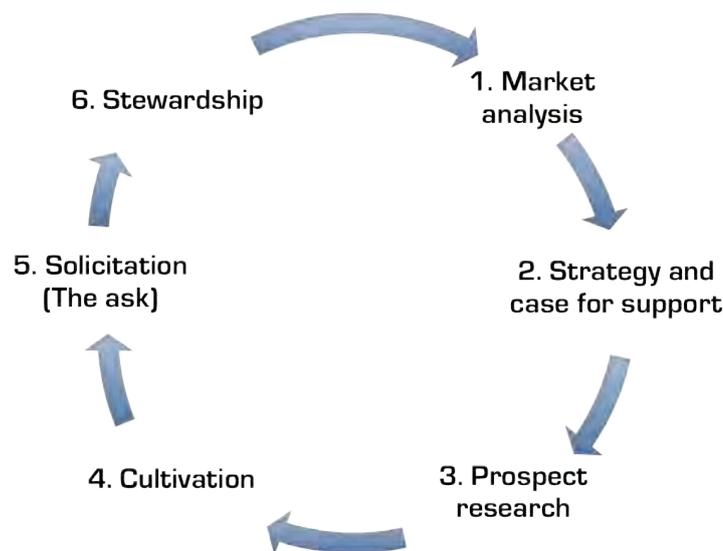
- Organization mission and values
- Mission, vision, and values for fund development
- Strategic goals
- Financial goals
- Relationship-building strategies (cultivation and communication)
- Solicitation strategies
- Retention, acquisition, and upgrading strategies
- Case for support—key messages
- Measures and benchmarks
- Assignments of responsibility
- Timetable/calendar
- Resources/way of working
- Monitoring progress and evaluating performance

Lysakowski further stresses technology's presence in the development plan (2007, 10). The importance of social media has significantly increased in fundraising during the past couple of years.

Traditionally, fundraising is described as a cycle – starting from examining the case for support, proceeding through various steps of planning to building a relationship with a donor, asking for a gift and further strengthening the relationship with the new donor (Seiler 2011a, 11).

Different researchers present the cycle differently but the main steps apply – starting from the market analysis. Furthermore, all the researchers stress the importance of planning and building phases before the actual solicitation – asking for the gift. If a gift is asked for too early and without proper preparation, the prospect will most likely decline (Seiler 2011a, 10). The figure 3 describes my selection of the key areas in this cycle.

Figure 3. *The fundraising cycle*



Source: Adapted from Seiler 2011a, Joyaux 2011 and Lysakowski 2007

3.1.3. Constituencies and relationship building

“People give to people with causes” and “they give to people who ask on behalf of the causes that matter to them.” (Rosso 2011b, 52)

“People give to people they like.” (Common saying in fundraising.)

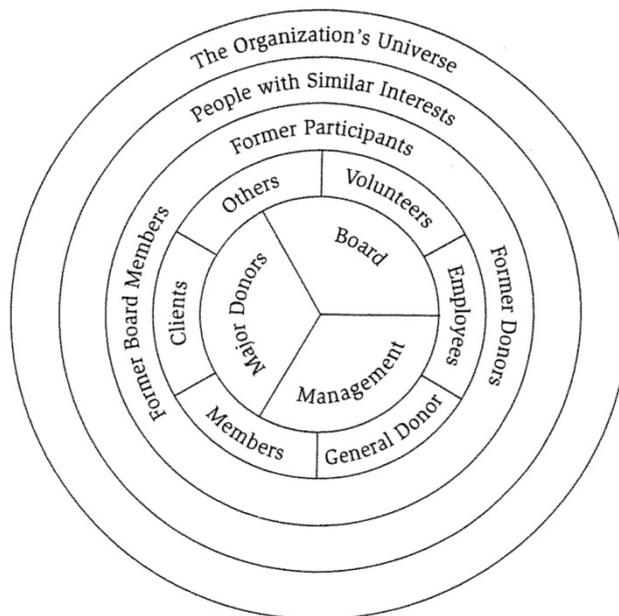
“Why do most people give? Because they are asked.” (Joyaux 2011, 15)

The American tradition of fundraising emphasizes that fundraising is foremost development of long-term relationships with both prospects and existing donors. This ideology guides the entire fundraising efforts. (Seiler 2011b, 16) Chong argues that fundraising can be an instrument for engaging and energizing donors who can develop an emotional tie to the organization (2002, 114).

“With the donor at the center, fund development nurtures loyalty and lifetime value, thus facilitating philanthropy. You know if your relationship building works, because your retention rates and the lifetime value of your donors and volunteers increase.” (Joyaux 2011, 4)

The constituency model is one of the key concepts in the fundraising theory. This model describes the key stakeholders for the organization. The better the non-profit organization knows its constituents, the more effective its fundraising will be (Seiler 2011c, 18). The inner circle has the strongest energy and bond to the organization. Fundraising should start from the constituents at the very center of the circle – ideally the Board of Directors, management and major donors. Rosso has also emphasized that the constituents fluctuate within the circle. One person might be a major donor one year and an annual or general donor the next year. (Seiler 2011c, 18-21)

Figure 4. *The constituency model*



Source: Seiler 2011c, 20

After a detailed prospect research, prospective donors are selected, and each prospect is categorized and rated using three criteria:

- Linkage: what is the prospect’s natural link to the organization? Has he/she been a volunteer or does he/she know a Board member?
- Ability: how much could the prospect give based on his/her wealth?

- Interest: what interests this prospect and resonates with him/her?
(see Seiler 2011b, 15)

Donor motivations and giving patterns have been researched a great deal in the United States. Several studies show that donor motivations vary by income level, geographic location, education and also by gender and ethnicity. For example, African Americans don't generally view helping others as philanthropy. Philanthropy is rather seen as a strategic activity of larger institutions. Furthermore, African Americans tend to support specific causes rather than to give general support. The church is to main institution for African Americans to help. (Wagner 2011, 191) This pattern is changing with the younger generations. Johnson & Bret, on the other hand, reveal in their research that donors who receive extrinsic benefits and communications that are extrinsically focused will more like attribute their donations to extrinsic motivations. According to this study, performing arts organizations can use communications and the benefits they offer as tools to influence donor motivations (2011, 5).

The relationship building is further emphasized in the different phases of fundraising: cultivation, solicitation and stewardship. Cultivation refers to the phases prior to asking for the gift. It refers to all the different ways that are used to move constituents, prospects and donors from an interested stage to an engaged stage. (Joyaux 2011, 273)

“Engagement is a mutual state, shared between the organization and its constituent. When engaged, a constituent is ready to be asked. When engaged enough, a constituent is more likely to respond well to your request.” (Joyaux 2011, 273)

In addition to carrying out standard business operations and communications, cultivation includes special activities (Joyaux 2011, 278). Cultivation can occur in the form of personal communications, newsletters and special events, for example.

Solicitation refers to the actual “ask” for a gift. Ideally an organization can evaluate what the best time for solicitation is. Ideally, there is an optimum intersection of interest, readiness and capacity from the prospect's or donor's part (Joyaux 2011, 285). The method for solicitation differs based on the size of the gift. Annual gifts can be asked for also via mail and e-mail, whereas major gifts are always asked in private meetings.

Finally, stewardship refers to the phase after a donor has given the first gift. Thanking the donor with a personal, signed letter is highly stressed in the fundraising culture in the United States. Stewardship, however, is a much larger concept. It is about nurturing the newly established donor relationship in all the possible ways to engage the donor even further and to guide the donor to give further gifts. “In addition to expressions of gratitude, stewardship calls for a high level of accountability for the wise and responsible use of gifts entrusted to the nonprofit” (Enright & Seiler 2011, 269). Ideally, a donor relationship will grow and evolve to encourage the donor to increase the sizes of his/her gifts and finally give his/her ultimate gift – planned gift or legacy gift – to the non-profit organization.

3.1.4. From annual to planned gifts

Fundraising has historically been categorized based on the different kinds of financial needs: annual fund (ongoing support), major gifts (special purpose needs), capital campaign (capital needs) and planned giving (endowment needs) (Seiler 2011a, 43).

The annual fund, consisting of annual gifts, is the foundation for successful fundraising. Major gifts are larger gifts given to an organization. Each organization defines their own monetary level for major gifts. Capital campaigns are conducted to fundraise for certain assets, such as new operating facilities. Planned gifts or legacy gifts are at the top of the pyramid. These gifts represent the ultimate gifts that a donor gives for an organization, for example in the form of a bequest, charitable gift annuity, charitable trust or pooled income fund. (Seiler 2011a, 43-46) When fundraising for the endowment, the organization has to ensure policies also for management of the endowment. Generally, only five percent of the principal will be expended annually. (Pierpont 2011, 81)

The donor or giving pyramid is one of the conventional models of fundraising. This graph visualizes the typical process of donor involvement. The annual giving forms the foundation for the organization’s fundraising and gifts. The more committed the donor becomes with the organization, the more he or she is likely to increase the amount of the gifts. Planned gifts or legacy gifts are at the top of the pyramid, as they are the ultimate gifts a donor can give. (Seiler 2011a, 43-46)

“Its [the donor pyramid’s] primary value is in demonstrating the interrelatedness of all the components of the integrated development plan. Effective fundraising recognizes how the components are interdependent and manages the process of developing the components as mutually reinforcing.” (Seiler 2011a, 46)

Figure 5. *The donor pyramid*



Source: Adapted from Seiler 2011a, 45

One key aspect of the pyramid is the correlation between personal contacts to the donor and the increased size of the gift. For example, while direct mail, internet or door-to-door cultivation and solicitation techniques can be used for first-time donors; prospects for major, capital and planned gifts should only be contacted personally.

3.1.5. Supporting infrastructure

Strategic and effective fundraising requires a database – similar to for-profit businesses’ customer relationship management systems. The magnitude of the database and recorded transactions vary by organization. The core data includes contact information, as well as information concerning employment and historical giving transactions (Lindauer 2011, 341). Additional data elements are information concerning cultivation and solicitation history, events and activities, personal

interaction, wealth and ability, as well as different kind of organization-specific information, such as ethnicity of the donors (Lindauer 2011, 342-344).

3.2. Towards a strategic fundraising in the arts

3.2.1. Fundraising and investor relations

Chapter 3.1. introduced the prevailing theory and practice of fundraising in the United States. The discussed concepts are commonly used in the field, and there is not much variation by the researcher or writer.

In this chapter 3.2. I will discuss fundraising from a broader point-of-view – by comparing a non-profit organization’s fundraising to a for-profit organization’s investor relations function. This view is rarely presented in fundraising-related research. Yet, both fields – fundraising and investor relations – share various similarities and draw concepts from management, communications, marketing and finance theories.

The carrying idea is that a donation for a non-profit organization should be considered an investment – similarly as in the for-profit organizations. In both fields, the outcome is a return on investment. When investing to a stock-listed company, a person is aiming to receive increased shareholder value. When investing to a non-profit performing arts organization, the return on investment (ROI) is a stronger arts organization, which is better able to act in line with its mission.

3.2.2. Mission at the core of a non-profit organization

Since non-profit arts organizations are to serve public good, their mission is the cornerstone for any operations (Drucker 1990, 3; 5). A thoroughly thought-out and well-formulated mission statement lays the foundation also for successful fundraising (Rosso 2011a, 6-7).

“Fundraising is and must always be the lengthened shadow of the not-for-profit entity, reflecting the organization’s dignity, its pride of accomplishment, and its commitment to service. Fundraising by itself

and apart from the institution has not substance in the eyes and heart of the potential contributor.” (Rosso 2011a, 7)

For-profit organizations are more likely to fine-tune or even change their mission according to market forces. Non-profit organizations, on the other hand, tend to keep their mission unchanged. Despite this, a periodical review is needed (Wolf 2012, 10; Drucker 1990, 45–46). A more critical review of the mission has to be done after a crisis.

According to Kaiser (2010, 10) the mission has to be clear, concise, complete and coherent. Furthermore, Joyaux argues that the mission is two-fold. The first part is the actual issue, such as saving the whales. The other part is philanthropy and fund development (Joyaux 2011, 4).

3.2.3. Market analysis drives strategic thinking

The fundraising strategy is part of the non-profit organization’s overall strategic plan. It, as well, derives from a thorough market analysis. The traditional management tools from the for-profit world, especially the SWOT analysis and Porter’s Five Forces model, can be applied also to the non-profit organizations.

The SWOT analysis refers to an analysis of internal strengths and weaknesses, as well as to external opportunities and threats (Helms & Nixon 2010, 216; 224). The analysis aims to identify the organization’s major competences and challenges. These are then linked to a plan of action or strategy by leveraging the competences, while protecting oneself from the main challenges (Helms & Nixon 2010, 229). SWOT has been criticized, as well. The major criticism refers to emphasizing strengths and not exploring the link with weaknesses and performance (Helms & Nixon 2010, 237). Another criticism stresses that SWOT describes only a certain time in an organization’s life cycle (Helms & Nixon 2010, 239). While the criticism is valid, the SWOT analysis suits especially well a non-profit organization immediately after a crisis. After a crisis an organization aims to analyze its situation at that moment to restructure its operations for the future.

The SWOT analysis can be combined with Porter's model of five competitive forces that affect the strategy. This model examines the following forces that affect any organization:

- Rivalry among existing competitors
- Threat of new entrants
- Bargaining power of buyers
- Threat of substitute products or services
- Bargaining power of suppliers

(Porter 2008, 80)

The forces that affect an organization vary by industry – or in the case of non-profit operations by their field of operations and causes. As the environment of a non-profit organization is constantly changing, the forces shift, as well (see Porter 2008, 87).

“The forces reveal the most significant aspects of the competitive environment. They also provide a baseline for sizing up a company's strengths and weaknesses” (Porter 2008, 88).

In addition, a non-profit organization should conduct a needs assessment. This defines the resources required to carry out programs and deliver services in line with the organization's mission (Seiler 2011b, 13).

“The needs statement shapes future fundraising goals and objectives and must include not only annual operating needs but also longer - term fundraising plans for capital and endowment.” (Seiler 2011b, 13)

Opposite to Seiler, Joyaux argues that the need assessment should be external: examining what the community needs and ensuring that the non-profit organization is relevant for its community (2011, 190).

After the SWOT and Five Forces analyses, as well as the needs assessment, a non-profit organization should formulate its strategy, fundraising being one of the elements in the overall strategy. “Strategy can be viewed as building defenses against the competitive forces or finding a position in the industry where the forces are weakest” (Porter 2008, 89). The content of the fundraising strategy was described in the chapter 3.1.2.

3.2.4. Arguing the case for support

A case for support has a pivotal role in fundraising. It describes, why to donate for a particular non-profit organization at a given time (Seiler & Aldrich 2011, 27-28; 38). In a non-profit organization, the case for support emphasizes the organization's mission.

A good case is well narrated and argued, persuasive and has an emotional appeal. Seiler and Aldrich argue that the case should stress the following issues: relevance, proximity, sense of the future, immediacy, excitement and importance (2011, 35).

“Case statements need to excite the reader (or listener). Much of philanthropy begins with an emotional response to the external need as defined in the case for support.” (Seiler & Aldrich 2011, 35)

Preparing the case is closely linked to classical rhetoric and argumentation theories. Already in classical Greece and Rome, “rhetoric was the means to quickly and skillfully pitch one's position, to argue both sides, and respond to argument” (Povozhaev 2013, 52).

Seiler and Aldrich stress three paths when arguing the case for the donors. The first path is to appeal to donors' emotions and to make them believe passionately about the organization's cause. The second is to appeal to the donors' reason and to convince them intellectually. The third option is to appeal to the credibility of the non-profit organization demonstrating that the organization keeps its promises. Ideally the case for support includes all these three aspects. (Seiler & Aldrich 2011, 37)

Joyaux emphasizes the donating being an emotional act. “Your organization is the means by which donors live out their own interests and aspirations. Your organization is the conduit to achieve the donor's desires” (Joyaux 2011, 11).

Povozhaev stresses the importance of metaphors in argumentation (2013, 52). She defines a metaphor as emotive change: “a use of language that expresses emotion and evokes emotion, which can inform behavior and persuade”. Metaphors combine reason and emotion. “Metaphors are sensory experiences, images brought-before-the-eye, which effect persuasion as rhetorical tools in argument”. (2013, 44)

The case for support uses characteristics of storytelling, as well (Joyaux 2011, 270). According to Boje & Baskin (2011, 416), people do not experience events in a raw, unmediated manner but rather experience events in form of stories. “Forward-looking antenarratives are the most abundant in business, yet the most overlooked in research and consulting practice” (Boje 2008, 13).

3.2.5. Continuous communications and marketing

Similarly to investor relations, relationship-building is essential in fundraising. The tools for enhancing relationships are proactive and continuous communications and marketing. (Joyaux 2011, 253) Successful arts organizations not only provide innovative and high-quality artistic and educational programs but they also market themselves aggressively. When an organization is able to combine great programming with effective marketing, it can attract more constituents (Kaiser 2010, 1).

“Marketing is the continuous diagnosis and analysis of the changing needs and perceptions of customers, clients, and constituents and devising strategies to meet these needs and perceptions. Marketing is the creation of an appropriate brand for a product, service, or organization.” (Wolf 2012, 146)

The brand can be defined as the combined beliefs, ideas and impressions people have about the organization (Wolf 2012, 150).

The most relevant theory for fundraising is the marketing communications theory, since the aim is to convince prospects and donors to support the organization. Kotler and Scheff argue that communications is foremost a matter of informing, persuading and educating the constituents for action in a particular way (1997, 300). In fundraising, another aspect is emphasized: listening and interaction. Communications should be seen as a two-way model between the organization and its constituents.

The traditional marketing communications mix consists of four major tools: advertising, personal selling, sales promotion and publicity (Kotler & Scheff 1997, 301). In fundraising, the case for support is always at the center as described in the chapter 3.2.4.

Colbert addresses three contemporary marketing challenges that arts organizations have to manage: the positioning of their brand, the quality of their customer service and expectations regarding the information technology (2009, 15).

Although the quality of the art is of high importance, it is not enough. “What is also needed is communication about the artistic work: a message that can be heard above the din of the market of the market...” (Colbert 2009, 20).

The internet has significantly increased the demands for non-profit arts organizations. The demands for content creation have increased. Simultaneously, arts organizations have a new tool for interactive communications with its constituents (Preece & Johnson (2011, 23).

3.2.6. Management and Board of the Directors

As stated in the chapter 3.1.3., successful fundraising starts from three constituent groups: management, Board of Directors and volunteers.

Both the management and the Board have to have clear roles and be committed to fundraising. The role of the Board of Directors is especially significant for any non-profit arts organization’s fundraising. The members of the Board not only ensure and supervise the organization’s fundraising activities, but they also act as organizational advocates and leaders in gifting. (Grossnickle 2011, 276-282) Most non-profit Boards have a written give and/or get policy indicating, how much each Board member should give and how much should he or she fundraise within a year.

Many non-profit arts organizations have a large group of volunteers. These volunteers act as important advocates for the organization – communicating the case for the support. As a volunteer is already committed to the organization, he or she is better able to persuade others’ to join his or her cause. Volunteer management is, thus, essential for any non-profit arts organization. (Freeman 2011, 286)

3.2.7. Managing strategic fundraising in the 21st century

I have now presented the theory and practice of fundraising and compared fundraising in a non-profit organization to investor relations in a for-profit organization.

As stated before, this thesis uses the following definition for strategic fundraising:

Strategically developing the non-profit's organizational structure and resources, as well as relationships with the prospects and donors to be able to effectively raise funds from individuals, foundations, corporations or governmental institutions. In strategic fundraising the donor is treated as investor and the donation as an investment.

Strategic fundraising in the 21st century combines theories from various fields: investor relations, communications, marketing, management and finance. By combining the theoretical concepts presented both in chapters 3.1. and 3.2., my theoretical framework for analyzing the case of Dance Theatre of Harlem is presented in figure 6.

Figure 6. Managing strategic fundraising in the 21st century



Source: Combined from the presented theoretical literature

The core for fundraising is the organization's mission. Opposite to the for-profit world, a non-profit organization's mission is not driven by market forces. Rather than following market trends, a non-profit organization seeks for donors and funders who believe in the organization's mission.

First, a non-profit organization needs to conduct a situational analysis of the organization's internal strengths and weaknesses, as well as external opportunities and threats, as well as analyze the environment as the Five Forces model suggests. A successful fundraising strategy is derived from the organization's strengths and weaknesses and is closely tied to the organization's budgeting. Ideally a non-profit organization has a diverse funding mix. This analysis is combined with needs assessment for the organization, as well as its community.

After this basis has been created with adequate human resources and supportive structures, such as the donor database, strategic fundraising is foremost relationship-building and engaging the donors through the various steps: identification, cultivation, solicitation and stewardship. Communications and marketing are the key tools in this relationship-building process and at the heart of any non-profit organization. This includes proactive communications, as well as reporting after the donor has made the investment. The Board of Directors, management and volunteers have a crucial role in acting as the organization's advocates and spreading the mission. The Board should lead by example: give and fundraise itself, as well.

A fundraiser is a storyteller and an excellent listener. The case for support describes why to invest in the organization and why at that exact moment. A good case is a well-phrased story that includes emotional aspects to attract donors – similarly to marketing. A fundraiser is constantly searching data of prospects and donors, as well as listening to them, in order to find the ideal strategic fit.

Strategic fundraising in the 21st century treats donors as investors. The return on investment is a stronger and more competitive arts organization that can create more content in line with its mission. A donor of the 21st century is increasingly more cautious on the usage of his/her money and is constantly seeking measurable results for his/her investment.

Finally, for strategic fundraising to succeed, this entire process has to be managed carefully. Performance management is crucial and should be an integral part of the

strategic management of a non-profit organization (Chong 2002, 106). Changes in one area, such as the budget, have to be immediately taken into account to reflect the fundraising effort. “The most important task of an organization’s leader is to anticipate crisis... You cannot prevent a major catastrophe, but you can build an organization that is battle-ready...” (Drucker 1990, 9). This is even more important for an organization, such as Dance Theatre of Harlem, that has already experienced one major and several smaller crises.

In chapter 6, the case of Dance Theatre of Harlem will be analyzed and compared to this theoretical framework.

4. RESEARCH METHOD

This chapter will describe the case study research method and the rationale for choosing this method for the research. In addition, the selection of the case, as well as the scope and content of the data, data collection and analysis will be explained. Finally, the chapter includes a critical discussion of the research process and the researcher's role.

4.1. Case study research method

“Predictive theories and universals cannot be found in the study of human affairs. Concrete, context-dependent knowledge is, therefore, more valuable than the vain search for predictive theories and universals.” (Flyvbjerg 2006, 224)

The choice for the most appropriate research method stems from the aim of the research. What research method will be the most suitable for the research question? In this research, the aim is to illuminate and analyze fundraising strategies and best practices used during periods of a crisis and transition in a performing arts organization. The exact research question is: How does an arts organization attract and maintain funders after an internal crisis?

To answer this research question, the researcher needs to gather a wide array of data within the organization and have access to internal documents, such as strategic plans.

Of all the different research methods, a qualitative case study method provides the best tools for analyzing deeper organizational issues, as it uses a large variety of data collection methods, extensive data and it places the data in the center. In fact, Yin (2003, 9) argues that a case study method has a distinct advantage, when a contemporary phenomenon is being explored by asking “how” or “why” questions.

“In qualitative case study, we seek greater understanding of the case. We want to appreciate the uniqueness and complexity of, its embeddedness and interaction with its contexts. Hypotheses and goal statements sharpen the focus, minimizing the interest in the situation and circumstance.” (Stake 1995, 16)

Similarly, Eisenhardt (1989, 534) says: “the case study is a research strategy which focuses on understanding the dynamics present within single settings.” Yin (2003, 14) defines case study even more broadly: “... the case study as a research strategy comprises an all-encompassing method – covering the logic of design, data collection techniques, and specific approaches to data analysis”.

As a qualitative research method, the emphasis is on interpretation (Stake 1995, 8). Other major characteristics of a qualitative study – compared to a quantitative study – are the researcher’s stronger personal role and the ideology of knowledge being rather constructed than discovered (Stake 1995, 37; 99). A qualitative study treats the phenomena more holistically (Stake 1995, 43).

As the case study method focuses on the data arising from the case study, there has also been argumentation against this method. There is debate between theory and practice, generalization, providing hypotheses, verification and summarization. Flyvbjerg (2006, 219), however, argues in favor of the case research method in his article:

“...scientific discipline without a large number of thoroughly executed case studies is a discipline without systematic production of exemplars, and a discipline without exemplars is an ineffective one. Social science may be strengthened by the execution of a greater number of good case studies.” (Flyvbjerg 2006, 219)

To summarize, a qualitative case study research method enables a versatile and in-depth analysis. As data collection and analysis continuously interact with each other, the case study can provide valuable, new information, which arises from the data.

4.2. Selecting the case

The relevance of the case study findings and conclusions largely depend on the chosen case. As Stake argues, maximizing the knowledge and learning should be the main criteria for selecting the case (1995, 4). Eisenhardt further stresses: “The goal of theoretical sampling is to choose cases which are likely to replicate or extend the emergent theory (1989, 537)”.

Dance Theatre of Harlem was strategically chosen as an extreme case through an information-oriented selection process (Flyvbjerg 2006, 230). The aim was to obtain a

broad understanding of fundraising in a performing arts organization that has overgone an internal crisis.

The selection of Dance Theatre of Harlem can be justified by several issues. First of all, Dance Theatre of Harlem provides a current case for exploring a performing arts organization's fundraising after an internal crisis. The organization has both experienced an internal crisis in 2004, as well as rebuilt its organization and fundraising to attract and maintain funders. It has slowly regained trust from its donors and funders, being able to bring back its professional Dance company in 2012, after an eight-year hiatus. As Dance Theatre of Harlem is still in the restructuring phase, the case study provides a current example of a performing arts organization in the United States.

The second reason for choosing Dance Theatre of Harlem is related to access. After my four-month internship in the development department in 2012, I have been able to build personal relationships within the organization. This has provided access to a wider range of interviewees, as well as materials, than I would have otherwise had. I have also volunteered at Dance Theatre of Harlem in 2012 and 2013 and been an individual donor with a small gift since January 2013. This has also provided me further personal experience on the organization's donor cultivation, solicitation and stewardship. As fundraising is closely connected to the organization's mission and strategy, this access and interaction enables further and more in-depth understanding of the organization.

The study focuses on the time period between 2004 and early 2013 – the restructuring era at Dance Theatre of Harlem after the crisis that peaked in 2004. A crisis marks a turning point for any arts organization and all the aspects of the organization have to be re-evaluated and restructured. Most arts organizations do major restructuring in their fundraising and development operations especially after a crisis. Due to my personal access to this organization, this study is able to examine the restructuring era by analyzing multiple data – rarely open for researchers. This enables analyzing the entire spectrum and the different phases of strategic fundraising.

Due to the extensive amount of research data, it is justified that Dance Theatre of Harlem was chosen as the only case in this research. Dance Theatre of Harlem is introduced in chapter 5.

4.3. Data collection

The data for this research was collected using multiple data collection methods, which is a typical characteristic of a case study research. The data is mainly qualitative. However, also quantitative data, such as key financial figures and budgets, are used (Eisenhardt 1989, 533-534).

The primary data consists of 21 personal, semi-structured interviews, as well as a wide range of internal documents received from Dance Theatre of Harlem. Additionally, the primary data includes personal observations at different events organized by Dance Theatre of Harlem.

The interviews were conducted between November 2012 and March 2013. One interview was conducted earlier, in April 2012. Most interviews were conducted at Dance Theatre of Harlem's premises on 466 West 152nd Street, in Harlem, New York. Some interviews were conducted at other locations, mainly at the interviewees' offices. Four of all the interviews were conducted on the phone.

The interviews were conducted as semi-structured interviews (Wilkinson & Birmingham 2003, 45). The reason for choosing this method is that semi-structured interviewing allows the interviewees' unique opinions and stories to be heard (Stake 1995, 65). A list of questions was prepared for the interviews. The questions varied based on the stakeholder group (management, development staff, other staff, Board members, donors and other stakeholders). The interviews were flexible, with a strong emphasis on listening to the interviewee. Some pre-formulated questions were not asked, while new questions were added according to the interviewees' responses. "Qualitative case study seldom proceeds as a survey with the same questions asked of each respondent..." (Stake 1995, 65). Also, the order in which the questions were asked varied by different interviewees. Additionally, some follow-up questions were asked after the interview via e-mail. A list of the main questions can be found in Appendix 3 and an example of an interview in Appendix 4.

The internal documents contain the data related to the fundraising strategy, as well as to cultivation, solicitation and stewardship. In addition to interviews and documents, the research includes personal observations at different events during 2012 and 2013: the annual Vision Gala in 2012 and 2013, Sunday Matinees between 2011 and 2013,

Spring Performance in 2012 and fundraisers or other events arranged for the existing and potential donors, such as a planned giving event in 2013. The research also includes personal observations from the period, when I was interning at Dance Theatre of Harlem: from January 2012 until May 2012. The observations were general observations, not detailed on-site observations. The purpose of the observations was to enhance understanding of the case (Stake 1995, 60). Finally, also news articles from from the mainstream media, mainly New York Times, are used. These articles are from 2002–2013.

Some data collection methods and data were added during the process, such as including more interviewees or attending to additional events as an observer. This is justified, as these new methods and data were expected to provide new theoretical insight (Eisenhardt 1989, 539).

The table 1 presents a summary of the collected data for this research.

Table 1. *Research data of Dance Theatre of Harlem*

Research data	Description of the data	Time period
Interviews		
21 personal interviews	Interviews with various stakeholders: management, development staff, other staff, Board members, donors (individuals, corporations and foundations) and other stakeholders. The full list can be found at References.	November 2012–March 2013; one interview in April 2012
Internal documents		
www.dancetheatreofharlem.org	Website	October 2012–April 2013
History and highlights. Celebrating 45 years of passion, power, and perfection in 2014!	Print document	2012
Press kit	Print documents	2012

Grant impact report to the Upper Manhattan Empowerment Zone Development Corporation	Print document	July 31, 2012
Fundraising report for fiscal year 2012	Print document	July 31, 2012
Financial and fundraising distribution report FY2004–FY2012	Print document	September 19, 2012
Individual giving projections	Print document	July 1, 2012 to June 30, 2013
Fundraising plan update for fiscal year 2012	Print document	August 30, 2011
Dance Theatre of Harlem. Find your center	Print brochure	2012
En Avant	Video introducing the new professional dance company and the legacy of the organization.	2012
Financial statements for the year ended June 30, 2012	Print document	2012
Institutional advancement consultancy	Interim report and accumulated knowledge materials Prepared by the consulting firm Dunch Arts. Print document.	January 26, 2011; November 3, 2010 and July 29, 2010
Marketing plan, FY 2011–2012	Print document	2011
The path to a strong future: 2010–2012	Print document	2010
Strategic plan, FY 2008–FY 2010	Print document	2008
Final research presentation for Dance Theatre of Harlem	Prepared by the consulting firm Mustang Consulting. Print document.	August 4, 2007
Strategic plan	Prepared by the consultant Michael Kaiser. Print document.	November 2004
Restructuring study recommendations	Prepared by the consulting firm. Booz Allen Hamilton. Print document.	June 9, 2003

Business plan: 2002–2006	Print document	2001
Dance Theatre of Harlem 30th anniversary	Print brochure	1999
Celebrating 25 years of artistry, achievement and excellence for the children	Print brochure	1994
Friends of Dance Theatre of Harlem	A book for collectors. Print brochure.	Fall 1990
Dance Theatre of Harlem	Print brochure	1988
Video		
Video “En Avant”	Video introducing the new professional dance company and the legacy of the organization. The video is produced by DTH and shown at special events.	February 22, 2012
Events		
Performance	A closing performance of the new dance company at their first New York season. Rose Theatre, Jazz at Lincoln Center, New York.	April 14, 2013
Sunday Matinee	A performance by the school students. Dance Theatre of Harlem. New York.	March 10, 2013
Vision Gala	An annual cultivation event for fundraising. Hotel Mandarin Oriental. New York.	February 26, 2013
Legacy Seminar	A seminar about planned giving for prospective planned gift donors. Organized in collaboration with MetLife insurance company. Dance Theatre of Harlem. New York.	January 28, 2013
Company Return	A sneak preview of the new dance company for invited guests. El Museo del Barrio. New York.	September 27, 2012
Spring Performance	An annual performance by	May 19, 2012

	the school students. Aaron Davis Hall. New York.	
Internship	A four-month, part-time internship at the development department, focusing on institutional giving. Dance Theatre of Harlem. New York.	January–May, 2012
Ballet Bar(re)	A fundraiser organized by Board members. The Dumbo Loft. New York.	May 3, 2012
Sunday Matinee	A performance by the school students. Dance Theatre of Harlem.	April 8, 2012
Meeting	A meeting at the Greater Harlem Chamber of Commerce together with Laveen Naidu, Executive Director and Rodney Trapp, Director of Institutional Giving.	April 10, 2012
Vision Gala	An annual cultivation event for fundraising. Hotel Mandarin Oriental. New York.	February 28, 2012
Performance	A performance by the Ensemble. Joyce Theater. New York.	February 9, 2012
Sunday Matinee	A performance by the school students. Dance Theatre of Harlem.	December 11, 2011
Articles in the media		
43 news articles	News articles mainly in newspapers and magazines. The full list can be found at References.	2002–2013

4.4. Data analysis

In case study research, data collection and analysis are constantly overlapping and evolving, closely connected with each other.

“There is no particular moment when data analysis begins. Analysis is a matter of giving meaning to first impressions as well as to final compilations. Analysis essentially means taking something apart. We take our impressions, our observations apart.” (Stake 1995, 71)

To ensure accurate data from the interviews and to enhance analysis, the interviews were recorded with the interviewees' permission. Also, as suggested by several researchers, I used field notes – combining my observation with my analysis. (Eisenhardt 1989, 538-539) To visually demonstrate the analysis, I used a mindmap-type of a technique to illustrate the key themes, as well as details in the analysis. An example (photographs) of this technique can be found in Appendix 5.

When analyzing the data, I started with transcribing the recorded interviews (Rubin 2005, 203). It is crucial to differentiate between what the interviewees said and what is my interpretation (Rubin 2005, 204).

After transcribing, interviews, written documents and news articles were analyzed and categorized to find different concepts, themes, events and topical markers (Rubin 2005, 207-208). As suggested by Rubin, the data was further categorized by coding similar data and sorting the data into different groups. Summarization and ranking the data was crucial.

After sorting the data, it was compared to the existing theory and especially to the concepts that were chosen to be the key concepts of strategic fundraising and presented in chapter 3. In addition, new themes – not presented in the theory – were described.

When analyzing the data, the focus was on the research question. Of the extensive amount of data, those were chosen that “spoke to the research question” (Rubin 2005, 209).

4.5. Critical reflections on the research process

As mentioned earlier, the validity of the case study depends highly on the selected case. Dance Theatre of Harlem provides a current case – a performing organization that is currently operating in the United States. It has experienced an internal crisis and is still in the restructuring phase. Personal connections provided an access to this organization and a wide array of data, which increases validity. Furthermore, validity is increased by triangulation. This method – typical to qualitative studies – refers to checking and establishing validity by examining the research question from multiple point-of-views and by using multiple sources of data, such as interviews, documents and news articles. (Stake 1995, 108–110). Using a wide array of data increases the reliability of the analysis and the results of the study. Having Mr. Rodney Trapp, Director of Institutional Giving at Dance Theatre of Harlem to review the facts concerning the organization from the final thesis, also enhances the reliability of the research. Furthermore, also other interviewees were allowed to check their quotations. Some interviewees proposed minor changes and clarifications to their direct quotes. The content, however, remained untouched.

Critically examining, the same access also provides the main concern: is the researcher too closely connected with the organization to enable reliable research? This fact definitely increases the importance of researcher's self-criticism during the research process. The researcher has to constantly evaluate the observations and interpretations from this point-of-view.

However, the researcher's integral role is also a positive element of the case study research. No case study is purely objective, as the researcher is always strongly present, and knowledge is constructed based on data interpretation. (Stake 1995, 37; 99). Furthermore, no research is unbiased: "... the question of subjectivism and bias toward verification applies to all methods, not just to the case study and other qualitative methods." (Flyvbjerg 2006, 235) Also as described in chapter 3, fundraising emphasizes the process of relationship-building. When a researcher is closely connected with the organization, also as a donor, she/he can add an additional element to the research: personal observations. "Researchers are encouraged to include their own personal perspectives in the interpretation" (Stake 1995, 135).

Can one generalize based on a case study? In this study, one organization is examined. Rather than trying to generalize, this study should be considered as a description of one

performing arts organization's current situation in the United States. "Often it is not desirable to summarize and generalize case studies. Good studies should be read as narratives in their entirety." (Flyvbjerg 2006, 241) Although this study cannot be generalized as such, certain themes can be discussed in larger contexts. Furthermore, this case can be used in further research, when analyzing similar situations.

"Case study research shares the burden of clarifying descriptions and sophisticating interpretations. Following a constructivist view of knowledge does not require the researcher to avoid delivering generalizations. But a constructivist view encourages providing readers with good raw material for their own generalizing." (Stake 1995, 102)

The following chapters will focus on exploring the case of Dance Theatre of Harlem.

5. INTRODUCING THE CASE: DANCE THEATRE OF HARLEM

In this chapter, I will introduce the case: Dance Theatre of Harlem. After the introduction, the organization's history will be further described, as this lays foundation for the analysis. The history section will include a narrative of the internal crisis that peaked in 2004. The crisis is essential for this research, as this research focuses on fundraising during the restructuring era that followed this crisis.

5.1. Mission and organization

Dance Theatre Harlem (DTH) is a dance organization, established in 1969 and located in Harlem, New York. Ever since 1969, the prevailing objective has been to provide opportunity and access in classical ballet – both to racially diverse artists and also to audiences, who are not familiar with the art form.

DTH's mission is three-fold, as phrased in 2013:

- To maintain a world-class school that trains young people in classical ballet and the allied arts
- To provide arts education, community outreach programs and positive role models for all
- To present a ballet company of African-American and other racially diverse artists who perform the most demanding repertory at the highest level of quality

Since its foundation, DTH rapidly expanded its presence in the United States, as well as internationally, with its touring professional dance company. The organization has gained an international reputation. By 2012, DTH's professional dance company had performed in 40 countries in six continents. In North America alone, DTH has performed in over 250 cities. In the US, the company has been in 44 states, as well as in the District of Columbia, Puerto Rico, and the US Virgin Islands.

Despite its success, the organization has faced several financially distressed times. In 2004, Dance Theatre of Harlem experienced the largest crisis yet. This marked a pivotal change for DTH. The organization experienced an internal crisis, which resulted from several financial and management issues. The professional dance company, 44 members, had to be laid off, and DTH was in financial trouble due to a crippling debt

and operating deficit. However, despite a six-week shutdown, the dance school reopened, and the organization was able to continue its operations – without the professional dance company.

From 2004, Dance Theatre of Harlem continued with only two parts of its mission (dance school and outreach program) while restructuring its organization, including development and fundraising operations. Its touring operations made a cautious comeback in 2008 in the form of a junior performing Ensemble. Finally, after altogether eight years of rebuilding, DTH was able to launch its new professional dance company in the fall of 2012.

“September 2012 marks the return of Dance Theatre of Harlem (DTH) to stages across the United States. With carefully selected and diverse group of new dancers with awe-inspiring talent and promising careers, DTH is poised to reclaim its rightful place in the world of ballet.”

(Press release, Dance Theatre of Harlem, September 2012)

In 2013, Dance Theatre of Harlem has a dual operational management structure – similar to many other arts organizations. Executive Director, Laveen Naidu and Artistic Director, Virginia Johnson share the management responsibility. DTH has a Board Directors consisting of 24 members, with Kendrick F. Ashton Jr. as the Board Chairman. The organization’s revenue for the fiscal year 2012 was 4.6 million US-dollars and operating surplus of 143,000 dollars.

5.2. Foundation in 1969 and early years

Dance Theatre of Harlem’s history is closely connected with the Civil Rights Act era and the death of Martin Luther King Jr. in 1968. Arthur Mitchell, the first African American premiere male dancer with New York City Ballet, was shocked by King’s assassination and felt compelled to give back to his community, Harlem. He co-founded DTH in 1969 with Karel Shook.

“Harlem back then was very different than. There were lots of drugs around. There was high poverty [...] He [Mitchell] saw DTH as a way to provide young people with a positive outlet and a way of understanding and building self-esteem and confidence through the discipline of classical ballet, which is what he knew the best. “

(Mr. Rodney Trapp, Director of Institutional Giving, Dance Theatre of Harlem in an interview)

DTH started with a school in a garage. Its appeal was infectious, resulting in the number of students growing to 400 in two months and 800 in four months. To earn income, DTH started a professional dance company, which had its first performance in 1971 at the Guggenheim. A third element was the formation of education and outreach by giving free lecture demonstrations and small performances at public schools, colleges and universities, as well as by opening Dance Theatre's doors to the community with its *Open House* series, today called: *Sunday Matinee*. DTH had its first *Harlem Homecoming* in 1972 at the Loew's Victoria Theatre. The first Street Festival was in 1973.

“The education and outreach part of the mission was Mr. Mitchell’s way of changing the mindset of the community. There were two mindsets: the mindset from Caucasian Americans that African Americans weren’t fit to dance ballet [...] and then there were people in the African American community, who felt that this [ballet] was foreign to them. [...] And so having to educate both.” (Mr. Rodney Trapp, Director of Institutional Giving, Dance Theatre of Harlem in an interview)

Today, these three – dance school, education and outreach and the professional dance company – are still the cornerstones of DTH. The education and outreach program also serves as a recruitment tool for the professional dance company.

The main theme in the mission is to provide access and opportunity to a wide and diverse group of people – meaning everyone in the broad sense. Due to the organization's African American roots, African Americans are still prioritized.

“It is not something that is just for poor people to understand how to have a successful life through using focus and discipline and understanding that you need to invest over time in a goal that is bigger than your self. That is something that is enduring. It was true in 1969 and it is true in 2012. It is an important message that does not really have a skin color or nationality. It is something that continues to be the foundation of what we are doing.” (Ms. Virginia Johnson, Artistic Director, Dance Theatre of Harlem in an interview)

5.3. First 35 years – until 2004

To start its operations, DTH received a matching grant of 315,000 US-dollars from the Ford Foundation. The founding Board of Directors consisted of seven members, highly respected in the performing arts field: Lincoln Kirstein (Chairman), Arthur Mitchell (Executive Director), George Balanchine⁴, Brock Peters, Cicely Tyson, Nancy Lassalle and Charles DeRose. “Having a Board from early on was a key component, as well as having Balanchine in the first Board”, Ms. Judy Tyrus, Alumni Liason and Archives Curator describes in an interview. Tyrus was Principal Dancer at DTH between 1977 and 1999.

The first cornerstone of the mission, the dance school, has been in operation since 1969. In 1971 DTH received its own building at 466 West 152nd street in Harlem as a donation from Philanthropist, Ms. Alva Gimbel, who had seen DTH’s debut performance at the Guggenheim museum. The building was renovated by Hardy, Holtz and Feiffer.

The second cornerstone of the mission, education and outreach, has had a strong role since the beginning – both in Harlem and elsewhere. The year 1992 was especially significant for the company was invited to be a part of the first open arts festival in the history of Johannesburg. This four week tour was coined *Dancing Through Barriers* and included performances and educational and community outreach activities. Today, *Dancing Through Barriers* is a comprehensive arts education program that offers a range of activities that include in-class study, school-time performances, site tours and after school programs. In addition, lecture demonstrations have been part of DTH’s performances – allowing the audience to see the artists rehearsing and preparing for the shows.

The third cornerstone of the mission, the professional dance company, started to expand its performing both nationally and internationally soon after its establishment. In 1970 DTH embarked on its first international tour to Jamaica, St. Croix, and St. Thomas. Of those early years, 1971 was a landmark year for the institution due to three reasons: the ballet company made its debut at the Guggenheim Museum, the company made its first European tour to Italy, and George Balanchine invited Arthur Mitchell to collaborate with him on *Concerto for Jazz Band and Orchestra* for New York City Ballet and Dance Theatre of Harlem. In the beginning Mitchell created ballets for the

⁴ George Balanchine was one of the 20th century's most famous choreographers and the co-founder and ballet master of New York City Ballet. His ballet technique, Balanchine method, has become widely used.

company himself due to budget limitations. Later on, he started to invite other choreographers to create works. For example, Balanchine gave *Concerto Barocco* and *Agon* as gifts to the company in 1970 and 1971.

In 1974, DTH made its first Royal Command Performance in London. By 1979, DTH had astoundingly toured internationally, had three successful Broadway seasons, performed in the *Dance in America* television series in 1977, expanded its repertory to 46 ballets and formed a choral and percussion ensemble. In many places, DTH would appear once, and get invited in the coming years as well.

In 1980, the company had its first cultural exchange with China. The 80's marked also a change in the repertoire, as DTH started to perform works of Marius Petipa⁵.

“The 80’s were the most fruitful time in terms of the range of repertoire. Petipa’s works added classics, such as Swan Lake, to our repertoire.”
(Ms. Judy Tyrus, Alumni Liason / Archives Curator & Former Principal Dancer, Dance Theatre of Harlem in an interview)

In the 80's, DTH also created its own version of the classic, *Giselle*. While staying true to the main elements of the traditional *Giselle*, DTH's "*Creole Giselle*" takes place in an African American community in Louisiana in the 1840's.

In the 1980's DTH also performed at the White House (1981), premiered *Firebird* at the City Center Theatre in New York, represented the United States at the closing ceremony of the Los Angeles Olympic Games (1984), and was the first American ballet company to perform in Russia (1988) as a part of a cultural exchange initiative sponsored mutually by the United States and Russia, the former Soviet Union.

“In the 80’s the company was on the road all the time. It felt like we were at the top of the world. We had an amazing and challenging repertoire with incredibly talented dancers. We were often sold out, and drew an amazingly diverse audience.” (Ms. Judy Tyrus, Alumni Liason / Archives Curator & Former Principal Dancer, Dance Theatre of Harlem in an interview)

⁵ Marius Petipa was a French-Russian ballet dancer, teacher and choreographer. He is considered to be the most influential ballet master and choreographer of ballet who has ever lived.

The 1990's started with performances at the Cairo Opera House. In 1992, DTH had a capital campaign supported by NYC and Henry and Edith Everett to renovate and expand its headquarters at 466 West 152nd Street in Harlem. After the six-million-dollar renovation the building was renamed the Everett Center for the Performing Arts. In 1995, DTH appeared in television on *Sesame Street*.

Year 1999 marked the 30th anniversary with a New York City season, and educational activities, including the company's world renowned *Firebird*, performed with live music for New York City Public School students. In 2001, DTH had its first New York season at the Apollo Theatre.

In 2003 DTH performed *St. Louis Woman* at the New York State Theatre. This was the most expensive ballet in DTH's history. In 2004, DTH celebrated its 35th anniversary, followed by performances in Greece prior to the opening of the 2004 summer Olympics; ironically its most financially successful tour in the organization's history.

5.4. Crisis peaked in 2004

Although DTH enjoyed success between 1969 and 2004, it also faced several challenges. The financial struggles were a constant part of the organization's existence – partly due to the nature of high-cost performing arts and related difficult management decisions.

“I think, before this last major crisis we were always sort of teetering. In that money was always hard to come by. Dance Theatre was never rich with money [...] But there were times that were harder than others.”

(Ms. Sharon Williams Duncan, Director of Individual Giving, Dance Theatre of Harlem in an interview)

The year 1977 was particularly challenging. Half of the dance company left to perform in the Broadway production of the *Wiz*. Mitchell had to rebuild the company; including the dancers and repertoire. (Tyrus 2012). During the same year, DTH also had to cancel its New York Season. In 1988 and 1997 DTH experienced union strikes as financial troubles continued. In 1990, DTH had to lay off its dancers for six weeks due to a deficit of 1.7 million US-dollars. Also, in 2000 DTH had to suspend its operations.

Compared to all the previous, minor crises, the year 2004 marked a pivotal change and a major internal crisis for Dance Theatre of Harlem. The crisis was a result of several poor management decisions and financial setbacks that had happened over time. The crisis escalated when DTH performed the most expensive ballet in its history, *St. Louis Women* in 2003. By 2004, DTH had accumulated debt of 2.5 million US-dollars and an operating deficit of 1.8 million US-dollars. The organization also owed taxes on two buildings it had acquired across the street from its location. The organization received negative press, and the management was openly criticized in the media. A number of Board and staff members left under distress. This all happened at a time when the management had major visions.

“At the time it was just so unfortunate. I was not part of it but... the company at that time – and I can’t speak for Mr. Mitchell – I just believe that that’s the company he wanted and had always dreamt of. Everything had come together and to just see it go like that...”

(Cedric Rouse, former Company Member and current Donor of Dance Theatre of Harlem in an interview)

The management at the time had also other major visions, such as to transfer the nearby buildings and the parking area to a performing arts-focused charter school, artist residencies, and performing space.

As a result of the debt crisis, DTH had to sell its properties and Mitchell had to sell his mother’s house. In September 2004, the organization held a press conference to announce the layoff of its professional dance company of 44 dancers.

Additional problems occurred. DTH lost its insurance for the dance school in October 2004, and 112,000 US-dollars were needed to continue the insurance. The school was closed for altogether six weeks. The public saw that Dance Theatre of Harlem was in trouble. Several of DTH’s largest foundation, corporate and individual donors abandoned the organization.

The restructuring era, which followed the 2004 crisis, will be analyzed in chapter 6 from the fundraising’s perspective based on the theoretical framework presented in chapter 4 and using the case study research method presented in chapter 5.

6. ANALYSIS AND RESULTS

In this chapter, I will describe my analysis of the case of Dance Theatre of Harlem based on the various data described in chapter 4. The chapter is divided into five different parts, describing the five different phases in DTH's fundraising.

After analyzing all the data and when looking at how DTH was engaging its donors and funders, I found the following five different phases: *damage repair and building trust* (phase 1), *new artistic era* (phase 2), *restructuring fundraising* (phase 3), *relationship-building and engaging* (phase 4) and *new dance company, new opportunities* (phase 5). All the different phases had a separate, unique story from a fundraising perspective. In addition to the thematic analysis, I have included a timeline of the major organizational and fundraising activities during this rebuilding era from 2004 until 2013.

6.1. First phase: damage repair and building trust

6.1.1. Situational analysis and new organizational strategy

Based on the interviews and a wide array of internal documents, it is clear that the crisis did not come as a surprise. It seems that DTH was struggling already since 2002. In June 2003, the consulting firm Booz Allen Hamilton stated in its restructuring report that DTH is in a crisis and needs to make immediate changes. The report stated several negative issues regarding the financial situation, such as depleted working capital, DTH's inability to make payroll and debts to creditors. Furthermore, the report indicated that the dance company's size had doubled since 1999, dramatically increasing the performance costs. The study also showed severe problems with the management. According to stakeholders "major decisions are made without sufficient planning and analysis". (Restructuring study recommendations for DTH, Booz Allen Hamilton, June 2003)

The consulting firm's study suggested already in 2003 the following four major recommendations.

- DTH must create an optimal management and Board structure
- DTH must aggressively address its financial situation

- DTH must immediately begin hiring key staff members
- DTH must develop a marketing capability to increase both earned and contributed incomes⁶.

(Restructuring study recommendations for DTH. Prepared by Booz Allen Hamilton. June 9, 2003)

However, damage was already done. The media started to speculate about a possible crisis already in the spring of 2004. Finally, Dance Theatre of Harlem could not avoid the crisis and had to issue a press release and hold a press conference in September 2004. (The crisis was described in chapter 5.4.)

As an immediate remedy, DTH started to receive help from several individuals and other long-standing donors. Mayor Michael Bloomberg gave a 500,000 US-dollar gift. Although Bloomberg chose to stay as an anonymous donor at the time, he was identified as the donor, even an “anonymous angel” due to his presence at the press release and the press conference in September 2004. The Irene Diamond Fund and Altria were also supportive, among others.

Management consultant Michael Kaiser⁷ offered his help for free due to his personal relationship with Mitchell. At the time, Kaiser was known as the turnaround king in the arts, because he had turned around Alvin Ailey, Covent Garden and American Ballet Theatre. Kaiser assessed the situation and formulated the first strategic plan for the organization.

“... However, a series of fiscal and management problems, exacerbated by a difficult economy, has left the company with a substantial deficit and an inability to operate its school or its company. Gradually, many or the most ardent supporters of the organization have drifted away, frustrated with the apparent lack of management capability. There are only three members left on the Board of Directors and limited paid staff. If there is to be any chance of achieving the mission of the organization in the future, a comprehensive plan must be developed and

⁶ Contributed income refers to fundraised income. Earned income refers to income from ticket sales etc.

⁷ Michael Kaiser had been a candidate for the position of Executive Director at DTH in the early-1990's. In 2013, he acts as the President of the John F. Kennedy Center for the Performing Arts. He is passionate about the arts and acts as a consultant in addition to his full-time post.

implemented.” (Dance Theatre of Harlem’s strategic plan, Michael Kaiser, November 2004)

The first after-crisis strategic plan included an analysis of the mission, as well as the external and internal environments (SWOT analysis).

Table 2. *The major issues revealed in the 2004 SWOT analysis*

	Positive	Negative
Internal	<p>Strengths</p> <ul style="list-style-type: none"> • Artistic quality • 35-year track record (school, outreach program, professional dance company) 	<p>Weaknesses</p> <ul style="list-style-type: none"> • No regular home season in NYC (only during four of 10 years) • Minimizing the number of new productions • No administrative leader • Decrease in contributed income • Poorly functioning Board
External	<p>Opportunities</p> <ul style="list-style-type: none"> • New Board • Increase in contributed income • Differentiation from other dance companies • Aggressive and effective marketing 	<p>Threats</p> <ul style="list-style-type: none"> • Presenters prefer smaller dance ensembles • Competing arts performances • Competition for funding • September 11, 2001 and related loss in audiences • High ticket prices

Source: Dance Theatre of Harlem’s strategic plan, November 2004

Then plan clearly demonstrated that the contributed or fundraised income had remarkably decreased since 2000.

“... the current financial problems of Dance Theatre of Harlem are best described, not by its current debt, but its minimal cash flow. With virtually no Board members, a tiny fund raising effort and a closed school and company, there is simply no cash coming into the organization to pay past debts or, more important, to fund future activity. Even the most loyal supporters to the organizations are

frustrated and are pulling away. This is the true crisis of Dance Theatre of Harlem.” (Dance Theatre of Harlem’s strategic plan, Michael Kaiser, November 2004)

To resolve the crisis, the strategy suggested a number of changes in various areas. First, revising the management structure and hiring new staff was crucial. The organization was to have a better functioning dual leadership model between an Artistic Director and an Executive Director. Establishing fiscal stability was naturally emphasized. Kaiser stressed also the importance of the dance company. In fact, rather than talking about laying off the dance company, DTH was said to be on hiatus – referring to a future comeback.

Kaiser’s plan suggested also multiple improvements for DTH’s fundraising efforts: starting a major gifts program, creating a Founder’s Circle for gifts above 1 000 US-dollars and strengthening corporate fundraising. The plan highlighted the importance of maintaining and building relationships with the donors. To support fundraising efforts, the plan highlighted the importance of an annual home season in New York City. This would draw positive media coverage and drive fundraising events. In addition, DTH should significantly increase its institutional visibility.

It is evident from the interviews that Kaiser put his reputation at stake to support DTH and create trust towards the organization. If he believed, it was also easier for other donors and funders to support DTH. In fact, Kaiser acted as an intermediary between DTH and its donors and funders. Kaiser’s role was crucial in helping to contact major funders and donors, such as the Ford Foundation and Morgan Stanley.

“When the crisis hit, the city – Kate Levin, the Cultural Affairs Commissioner – convened a meeting with Michael Kaiser. [...] Michael Kaiser gets a lot of credit. [...] And I was one of the participants. And it was clear that we were at a point in time, where we were either going to save Dance Theatre of Harlem or they were going to [...] I said, I would be willing to give a matching grant – with Board approval. And Altria was there and they said they would participate. That’s how this latest chapter developed.” (Ms. Jane Silver, President of the Irene Diamond Fund, institutional donor of DTH between 1996 and 2012 in an interview)

The Irene Diamond Fund's matching grant was worth one million US-dollars over a period of four years and had a matching ratio of 1 to 1. The main idea behind the grant was to give DTH a vehicle to attract new funders to widen its thin donors base. "They could say, if you give us this much money, we have someone who will match it", Ms. Silver adds. Silver stresses that Kaiser's commitment was crucial. It helped convince the Fund's Board of Directors for this crisis help.

In addition to Kaiser, local people and the local radio offered help. It was also Kaiser's suggestion that Laveen Naidu, former Artistic Associate Director of the school and outreach program, be appointed Executive Director in December 2004. Even still in the spring of 2013, Kaiser was regularly in contact with DTH's Executive Director. Catherine Reynolds, business owner, philanthropist and personal contact to Mr. Kaiser, became the Chairman of the Board of Directors in 2005.

6.1.2. Strengthening fundraising and storytelling

With the exception of a few years in the late 80's, Dance Theatre of Harlem has always had a development staff, as well as fundraising operations. However, once DTH's troubles started to escalate in 2003, most of the development and marketing staff resigned. In the end of 2004, only one person, JoAnn Wong, worked with development.

The era of restructuring started in 2005. Sharon Williams Duncan, previously Administrative Director, started to work with development. Rodney Trapp was hired in March 2005.

The figure 7 describes the first phase of the rebuilding: damage repair and building trust.

Figure 7. At first, DTH had to prove its trustworthiness



As the need for cash flow to pay the invoices was immediate, new fundraising vehicles, such as online giving were launched in 2004.

"One of the things that Sharon suggested that we do was to open up a file. [...] Just researching who are our current major funders, who were our past major funders. I was more interested in lapped donors – particularly from the corporate and foundation side. Donors who were no longer giving to us for some reason, but who had given before. [...] And mostly institutional donors. To find out who they were and why they weren't giving. And all of them had a story. [...] What we discovered was that there were several instances along the way [...] where DTH had not been a good steward of the funds." (Mr. Rodney Trapp, Director of Institutional Giving, Dance Theatre of Harlem in an interview)

During the next couple of years, DTH had to conduct damage repair: write missing final reports to donors, try to re-contact past donors and to enhance communications and transparency. Trapp and Williams Duncan stress that DTH had to make sure that it balanced its budget and paid back the deficit, as well as the loan from Mitchell.

Because fundraising is closely connected to communications and marketing, Dance Theatre of Harlem had to strengthen its storytelling abilities, creative and new

narrative – and follow up with its promises in all the different areas of the organizations, not only in fundraising.

“We had to reconstruct old reports to the best of our knowledge. Since none of us was here [...] Going back into the records, finding out where the strained relationships were and to methodically go about rebuilding those relationships. Writing the reports that need to be written, communicating through letters – and then just slowly showing folks that Dance Theatre of Harlem could be a good steward. And that we were gonna send our reports in on time, we were gonna be transparent about where we spend the money [...] And so the confidence in our ability to be a good steward started to change – DTH’s reputation – at least with the foundation community. (Mr. Rodney Trapp, Director of Institutional Giving, Dance Theatre of Harlem in an interview)

Seeds for long-term relationships started to sprout, although many funders’ doors remained closed for the next few years.

There were also challenges. Many interviewees mentioned that although the founder, Arthur Mitchell, was praised for his artistic vision, his leadership and management skills were not good. He remained with DTH even after the 2004 crisis, which seems to have kept certain donors disconnected from the organization. Will the organization truly change if the founder is around? This question seemed to be lingering in the minds of many funders and other stakeholders.

An external consulting firm’s report from 2007 showed that certain areas of DTH were still perceived negatively by the organization’s funders, dancers, critics and alumni. The same themes, that had driven DTH to a crisis in 2004, arose. Especially the organization’s management, planning and communications skills were criticized: “Everything is done at the last minute”, “Its leadership is out of balance with a weak or non-existent Board, an inexperienced Executive Director, and a dominating founder” or “When DTH communicates, its often with misinformation or incomplete information”. (Final research presentation for DTH, Mustang Consulting, August 2007) In fact, one immediate reaction for the report was that Executive Director, Mr. Laveen Naidu, completed a six-month Executive Leadership Program at Harvard University.

6.2. Second phase: new artistic era

6.2.1. Cautious comeback with the Ensemble

Since 2004, DTH had continued its operations with only two parts of its mission: the dance school and the outreach program. Nevertheless, it was laid out already in the November 2004 strategic plan that DTH was to bring back its professional dance company. The original plan aimed for the year 2005. It was in 2008, that DTH made a cautious, partial comeback with a smaller Ensemble. This junior group was formed of the school's most talented students. It started touring both domestically and internationally in 2009, bringing in a new stream of earned revenue. The Ensemble tested the ground and markets for the future dance company. In addition, the Ensemble started a two-year project called *Harlem Dance Works 2.0* in 2010. This initiative, funded partly by a Rockefeller Foundation Cultural Innovation grant, aimed at developing new repertoire and engaging new audiences – awaiting for the company's return. (Grant impact report to the Upper Manhattan Empowerment Zone Development Corporation, Dance Theatre of Harlem, July 2012)

From the fundraising perspective, the Ensemble added a new vehicle for the fundraising machine, as new works could be used to attract donors and funders. The new works were introduced as works in progress at a new event called *Thursdays @ DTH* starting in 2010.

“One of our goals was to have people from the neighborhood come in and see us in the process of making the work. People could ask questions from the choreographers and get more understanding. We continue to do this. Ballet is not only the spectacle about fancy costumes and lights in a theater. It is really about communicating and expressing the finest elements of being a human.” (Ms. Virginia Johnson, Artistic Director, Dance Theatre of Harlem in an interview)

From a communications and strategic perspective, the year 2008 is interesting. One can see a differently phrased vision and mission in the written materials. The vision is stated as follows: “A world class dance institution – using the art of classical ballet to transform lives”. (Dance Theatre of Harlem 2008) A second important notice is the phrasing of the mission. Starting in 2008, the dance school is mentioned as the first cornerstone in the mission statement. Until this, the professional dance company was

emphasized, instead. This was not surprising, considering that the consulting study one year before had revealed that the school, in fact, was DTH’s “crown jewel” and that its visibility should be increased. (Final research presentation for DTH, Mustang Consulting, August 2007)

In addition, for the first time in the analyzed strategic documents the core values were fleshed out in 2008: integrity, respect, passion, excellence and elegance. (Final research presentation for DTH, Mustang Consulting, August 2007)

The figure 8 describes the continuing damage repair and building trust phase from a fundraising perspective.

Figure 8. *DTH starts to enter a new artistic era*



6.2.2. Era of new artistic leadership and visibility

Year 2009 opened an era of new artistic leadership and vision for the future. The Founder and Artistic Director, Arthur Mitchell, retired as Artistic Director and became Artistic Director Emeritus. Victoria Johnson was appointed the new Artistic Director. This transition was significant, as Mr. Mitchell would no longer be a Board member or involved in the decision-making or operations of the organization.

Johnson joined DTH for the second time: she had retired in 1997 from her position as Prima Ballerina at DTH, after which she had been the Editor-in-Chief of the ballet magazine called *Pointe Magazine*. The shadows of the past slowly started to vanish.

“It was important that there was a clear leadership change from the previous administration. So, Virginia Johnson’s appointment was very important [for fundraising] because she was a new leader for a new era.” (Ms. Emma Dunch, Consultant for DTH between April 2010 and March 2011)

Johnson’s appointment was widely recognized in the media.

“The appointment of Ms. Johnson seems to signal a confidence on the part of the Board that there is a future for Dance Theater, which is celebrating its 40th anniversary. Recently the Ensemble completed a nine-state tour.” (New York Times, April 2009)

Her artistic leadership role was viewed positively, although it was still speculated in the media whether Dance Theatre of Harlem had strengthened its organization enough. As the New York Times wrote in 2009: “But Dance Theatre of Harlem is no longer what it once was... the lack of a main company has been disheartening for its former dancers and fans”.

In 2009, Dance Theatre of Harlem gained also another kind of positive media publicity – from its 40th-anniversary exhibition. DTH collaborated with the New York Public Library for the Performing Arts and designed an exhibition, called *Dance Theatre of Harlem: 40 Years of Firsts*. Later on, in 2010, the California African American Museum became another partner, that expanded and built the exhibition to travel. The exhibition has since been installed at the Charles H. Wright Museum in 2011–2012 and travelled to Houston, Texas at the Southern Texas University Museum in the beginning of 2013.

6.3. Third phase: restructuring fundraising

6.3.1. New York City as an angel funder – funding consortium formed

When analyzing the interviews, three names were mentioned by several interviewees: Mayor Michael Bloomberg, Consultant Michael Kaiser and Kate Levin, who holds the Commissioner's post at the department of Cultural Affairs at New York City's office. It seems that both Bloomberg and Levin have played a crucial role in saving Dance Theatre of Harlem for a couple of times – first during the crisis in 2004 and again in 2009 and 2010.

Bloomberg's "anonymous" gift during the crisis and both his and Levin's continuous support seemed to position the City of New York as an angel funder and foremost a mediator between DTH and its other funders and stakeholders.

A series of separate behind-the-scene conversations between DTH's management, different foundations' program officers and the city's cultural affairs department lead to the formation of a rather unusual, informal funding consortium for DTH in 2010: leading philanthropic institutions came together and decided to collaboratively support DTH with multi-year financial agreements. Most grants were for the time period of 2010–2012. The group consisted of The Andrew W. Mellon Foundation, The Ford Foundation and The Rockefeller Foundation, and the Upper Manhattan Empowerment Zone (UMEZ). The following year, in 2011, three other major funders joined this group: Bloomberg Philanthropies, Fund for the City of New York and The Thompson Family Foundation. DTH's new strategic direction was called *The Path to a Strong Future*. This era started with a three-year plan (2010-2012). (Mr. Rodney Trapp; Grant impact report to the Upper Manhattan Empowerment Zone Development Corporation, Dance Theatre of Harlem, July 2012)

“UMEZ took a bit of the lead on this. Also what we knew was that these consortium members didn't want go alone. And they [grant managers of the foundations] also felt that in order to present to their own Boards, they had to go in as a consortium because they felt that their Boards were already biased in a negative way against DTH. So they felt that a stronger case would be... We are all in this together.” (Mr. Laveen Naidu, Executive Director, Dance Theatre of Harlem in an interview)

In the field of arts and culture, UMEZ's goal is to help the organizations to build their capacity and develop their operations – to be better able to operate once the funding from UMEZ has ended. This was coupled with UMEZ's reputation of being extremely stringent with its measuring and reporting requirements.

“UMEZ is up here, Upper Manhattan, usually the big fish. And that was the case... But we did get these other institutions to say: we want to use your money to leverage our money so that we can give them a solid opportunity to actually reach the goals of their strategic plan. [...] Our reporting, our due diligence and our oversight of the money is such that their [other funders'] risk is less. And so therefore it was easier for them to come.” (Ms. Tracie Gilstrap, Program Officer for the DTH grant, UMEZ in an interview)

For DTH, it was extremely important to follow UMEZ's requirements, as the three-year grant was incentive-driven: funds for the second and third year would only be received, if DTH was able to provide the required results. The incentive was based on required improvements in fundraising, finance, marketing and Board development. DTH was required to report quarterly to UMEZ.

“UMEZ required certain deliverables that were going to help us in the long run. We now have blueprint; a plan, about how to carry out the work. The direct mailings drive me crazy because the quarters come around so quickly and I have to determine what message and to send and who's it from; the artistic director; a student; the school administrator [...] However, the direct mailings, the annual fund, are essential. While the gifts may not be large, they are consistent.”
(Ms. Sharon Williams Duncan, Director of Individual Giving, Dance Theatre of Harlem in an interview)

Overall, the effect of the funding consortium has been significant: the support totaled nearly 2.6 million dollars between 2010 and 2012.

6.3.2. New organizational strategy 2010–2015: Path to a strong future

Part of the consortium's, and especially UMEZ's, requirements was that DTH was to hire an institutional advancement consultant for a year from April 2010 until March 2011. Again, the same critical areas were assessed: overall organizational strategy, management, Board development, financial sustainability, development operations and marketing. This time another significant issue was addressed: supporting infrastructure. During this period, DTH's IT systems and equipment, for example, were renewed for increasing operational efficiency.

“The problem is that they were a four-million dollar organization operating like a million dollar organization. They did not understand how below par every single aspect of their administrative operations were [...] Every single aspect of their administrative structure had to be turned inside out, examined, thrown away, upgraded, changed, reorganized. Whole new skill sets were needed. And that was one of the things the consultant was able to provide.”

(Ms. Verdery Roosevelt, Senior Vice President, UMEZ in an interview)

During the consultancy period, *The Path to a Strong Future*, originally for the years 2010–2012, was expanded into a five-year strategic plan for the years 2011–2015. This plan includes a new business model and a new budget size for DTH.

The focus in creating this strategy has been to find a more sustainable and realistic plan for DTH by using different scenarios of the professional dance company's size and overall estimates for DTH's earned and contributed income – to prevent future crisis. An ideal-sized dance company would be an important revenue generator for DTH – to offset the costs from its dance school and outreach program.

“Every non-profit organization must calibrate the expense of its core mission activities against its available revenue sources for the same activities, and it is frequently the case that earned revenues offset operating losses incurred on core mission programs.”

(Grant impact report to the Upper Manhattan Empowerment Zone Development Corporation, Dance Theatre of Harlem, July 2012)

The main changes for the previous strategy are:

- An equal, shared leadership between the Executive Director (Laveen Naidu) and Artistic Director (Virginia Johnson)
 - A larger and more engaged Board of Directors: 24-30 members with a give/get policy of 30,000 US-dollars per person⁸
 - More strategic fundraising with specific goals; increased individual giving
 - A smaller professional dance company (to be launched on the 3rd strategy year, in 2012): 18 dancers for a 32-week contract opposed to 44 dancers at the time of the crisis
 - Realistic touring schedule; focus on managing costs
 - Increased institutional visibility
- (The Path to a Strong Future: 2010–2012, Dance Theatre of Harlem; Grant impact report to the Upper Manhattan Empowerment Zone Development Corporation, Dance Theatre of Harlem, July 2012)

The same themes (excluding the size of the dance company) have been presented in the earlier strategic plans, as well. However, only after this newest plan, these themes have been aggressively taken into action.

In December 2012 the foundation was laid and the time was right: DTH announced the return of its professional dance company.

“Dance companies are supposed to be shrinking, not starting up in these recessionary times. Not so at the Dance Theater of Harlem, which closed its company in 2004. Theater officials on Wednesday announced the start of auditions to create a new stripped down troupe of 18 dancers, which will begin rehearsing in August and touring in October and aims to return to a New York stage by April 2013.”

(New York Times, December 2011)

⁸ Give refers to personal donations by the Board member; get refers to fundraised donations by the Board member.

6.3.3. Towards strategic fundraising

Compared to the other consultant periods, Dunch Arts' consultancy era marked a significant restructuring especially to DTH's development and fundraising operations. The external assessment came at a perfect time: based on the interviews both the fundraisers and donors were suffering from fatigue. For DTH, several years of hard work hadn't yielded the expected amount of contributed income. Many donors' doors still remained closed. The staff was passionate about the mission but tired and operating rather in a survival mode. For the donors, DTH still had not re-blossomed after the crisis and the professional dance company hadn't made its return. Many of the donors were starting to get anxious.

Followed by the consultancy, the following major restructurings were made regarding fundraising.

- Dividing fundraising into institutional and individual giving
- Developing a strategy with multi-year goals for each fundraising source:
 - Institutional giving: foundations, corporations and corporate foundations, government
 - Individual giving: deciding to start a major gifts program & implementing an aggressive direct mail program to fundraise for annual donations (every 90 days)
 - Deciding to start a new set of special events
- Training the development staff in best practices of non-profit fundraising
- Improving donor identification
- Packaging fundraising as three different kinds of "giving products":
 - Fund for Artistic Excellence
 - Next Generation Fund
 - Community Engagement fund
- Harmonizing the language used for the case for support; including creating templates
- Improving the use of the Raiser's Edge donor management software (Institutional advancement consultancy report for DTH, Dunch Arts, 2011 & Ms. Emma Dunch, Consultant in an interview)

It is clear based on the research data that Dunch's consultancy significantly improved Dance Theatre of Harlem's fundraising: it became more strategic, focused, systematic

and harmonized. The division into institutional and individual giving teams was especially crucial and beneficial, as the staff could now focus on these different donor categories more strategically and with the special focus they require.

From the storytelling, relationship-building and engagement perspectives, creating the three giving opportunities was also important. The giving opportunities, as described in 2013, can be found as Appendix 6. In addition to these three funds, a new Pointe Shoe fund⁹ was launched in 2013.

“With an organization that has been bankrupt, part of your strategy needs to be telling a different story. [...] A new leadership, a new plan for the future. [...] You also need to tell a different story for fundraising. [...] Once you have decided, how to market the fundraising opportunities, then you can write proposals. You can start approaching individuals for major gifts; multi-year gift commitments to one of the three funds. You are breaking down the fundraising product into a manageable chunk. This a very common approach in the arts.”

(Ms. Emma Dunch, Consultant, Dunch Arts in an interview)

The idea behind this packaging of giving opportunities was good: it would be easier to attract and engage donors and funders with readily available packages. It is important to notice, however that once packaged, the donations have to be used for that exact purpose to protect the donor intention. The only time DTH would get into trouble was, if the donations received exceeded that specific fund’s budget.

Another significant change recommended by Dunch was starting a major gifts program. Ms. Amanda Gee started as the first-ever Individual Giving Manager in April 2011.

“In my opinion, I thought it was premature to launch a major gifts program. While there were many high profile names in the database, some donors were now deceased, or moved on to supporting other cultural institutions. They no longer identified with DTH and the idea of attaining a major gift so soon was unrealistic. The effort needed to be more on cultivation and re-introducing individuals to the organization. In the past, there was not a great amount effort geared towards

⁹ A new fund launched in 2013. Read more here: <http://gomighty.com/isabel/launch-of-dance-theatre-of-harlems-pointe-shoe-fund-thank-you-olay>. Isabell Kallman is a DTH Board Member.

attaining major gifts. I think it may have been that DTH was fortunate in having one or two benefactors and extensive touring by the professional company, so there was more earned revenue. Aside from a few individuals, I cannot remember much cultivation of major gifts but there was always the annual campaign. More support came from government, foundations and corporations.”

(Ms. Sharon Villiams Duncan, Director of Individual Giving, Dance Theatre of Harlem in an interview)

Although DTH had not actively engaged in major donor fundraising before, it had been fortunate to have philanthropic individuals as major donors from as early as 1971. Charismatic founder, Arthur Mitchell as well as his vision about providing opportunity and access for African American and other racially diverse dancers, attracted many individuals over the years. Some of DTH’s major donors have been Alva Gimbel (donated the building in 1971), Irene Diamond (donated over six million dollars between 1996 and 2013 through her fund), Elizabeth Ross Johnson (donated 165 000 dollars between 1988 and 1997), Catherine Reynolds (previous Board Chair; raised over a million dollars) and an anonymous donor.

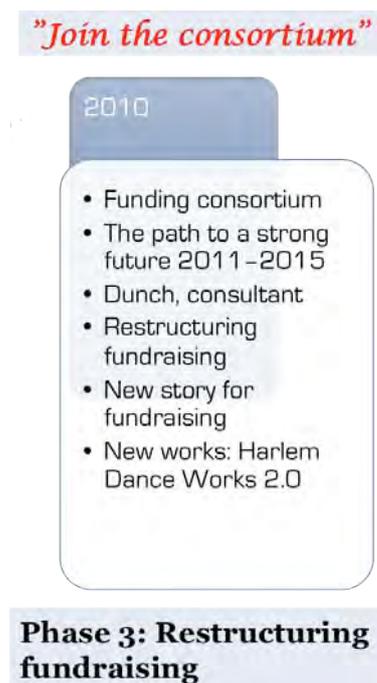
A systematic use of a database is especially crucial for an organization that is aiming to focus on major donors. During the consulting period, DTH started to actively use its donor management software, Raiser’s Edge. Similar to customer relationship management programs, this program enables the user to insert various information of prospects and donors. Only with a thorough use of a database can one analyze a prospect’s linkage, ability and interest to donate.

“What Emma did was to get us focused on mining the database; who’s in there and was their last gift [...] Also, she forced us to remember to put all the notes: conversations, emails, events, any interaction we had with a donor or donor prospect, in an effort to keep track of all touches with that individual. What develops is a history with that donor, which will also help to inform you of when might be the best time to ask for a gift, as well as who’s the best person to make “the ask”. We do this very well now.” (Ms. Sharon Villiams Duncan, Director of Individual Giving, Dance Theatre of Harlem in an interview)

One issue needs to still be highlighted from the consultancy period. As advised by Ms. Dunch, DTH started to market itself with the help of the funding consortium. Having these well-known and respected foundations as funders had a positive effect on DTH’s brand. Knowing that the consortium funders were prestigious foundations, DTH was able phrase its messaging to ask others to “join this special group of donors and support DTH on its path to a strong future”.

Based on the interviews and other data, it is evident that Dance Theatre of Harlem stepped into a new era of more strategic fundraising as of April 2011. In addition to turning DTH’s fundraising machinery into a more successful one, Consultant Ms. Dunch also seeded inspiration and positive energy and a “can do” spirit to the organization and especially its development department.

Figure 9. *DTH starts to market with the consortium*



6.3.4. Fundraising strategy for the new era

The first strategy for the new era was prepared for the fiscal year 2012¹⁰. It was structured as follows:

- Overall fundraising targets, based on the operating budget
- Fundraising teams (Board and staff)
- Quarterly schedule for five categories: events, Board of Directors, major gifts, annual fund and institutional giving
- Detailed plan for individual giving
 - The program in general
 - Board of Directors
 - Major gifts program
 - Annual fund program
 - Special events
- Detailed plan for institutional giving
 - The program in general
 - Corporate giving
 - Foundation giving
 - Government support

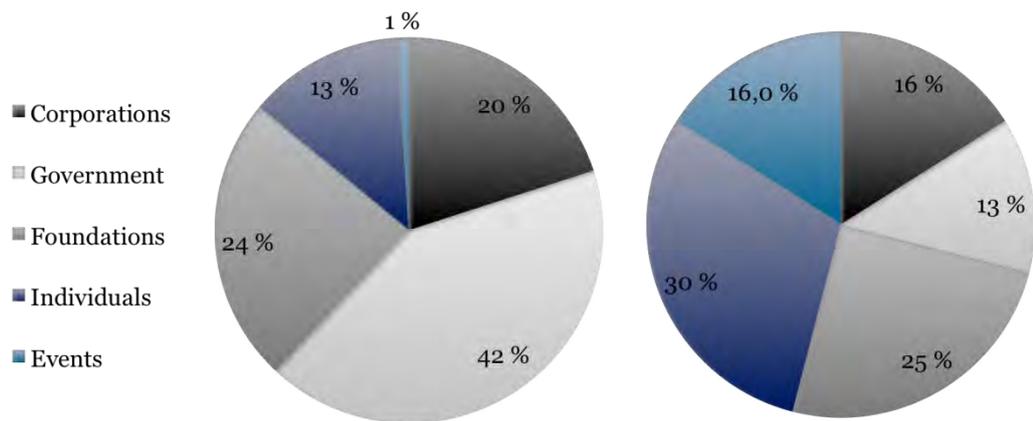
(DTH's fundraising plan update for the fiscal year 2012, August 2011)

At DTH, most of the contributed income has traditionally come from institutional giving (foundations, corporations and government). In the fiscal year 2004, institutional giving accounted for 86 percent and individual giving (individuals and events) for 14 percent of the total contributed income of 1.5 million dollars. In 2012, the share of individual giving had increased to 46 percent with institutional giving representing 54 percent of the total contributed income of 2.4 million dollars.

During the fiscal year 2012, DTH focused on program improvement and new donor acquisition with the aim of increasing the contributed income by 9% from the previous year. The figure 10 illustrates the changes in DTH' contributed income by income type.

¹⁰ Dance Theatre of Harlem's fiscal year 2012 started on July 1st, 2011 and ended on June 30th, 2012.

Figure 10. DTH's contributed income in 2004 (left) and 2012 by income type



Total contributed income: 1.5 million dollars (2004) and 2.4 million dollars (2012).

Sources: *Financial and fundraising distribution report, 2012 & strategy, 2004, Dance Theatre of Harlem*

In 2013, the development department consisted of altogether five people.

In the following chapters, I will describe the various aspects of DTH's fundraising separately.

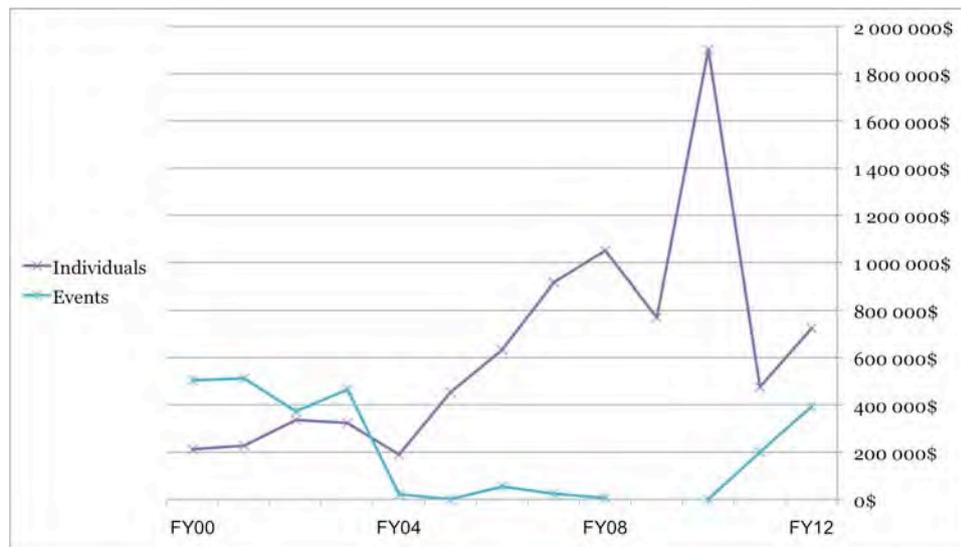
6.4. Fourth phase: Relationship-building and engaging

6.4.1. Individual giving: focus on major donors

The fourth phase of Dance Theatre of Harlem's fundraising, starting in 2011, can be described as the phase of relationship-building and engaging. From this moment forward, DTH's fundraising has been significantly more strategic, cohesive and engaging. As described earlier, part of the new fundraising strategy is to separate individual and institutional giving. Furthermore, DTH's individual giving can be categorized into four separate fundraising vehicles: *major gifts, annual fund, the Board of Directors* and *special events*.

The figure 11 shows the development of individual giving between 2000 and 2012. Both contributions from individuals and from special events are increasing.

Figure 11. DTH's individual giving between 2000 and 2012



Sources: Financial and fundraising distribution report, 2012 & strategy, 2004, Dance Theatre of Harlem

Once the fiscal year's budget goals have been set, the individual giving team prepares a gift chart. The gift chart describes, how many gifts of different sizes are needed to meet the goal. The ratio for prospects per gift varies according to the gift size: more cultivation and prospects are needed for larger gifts. To avoid unpleasant surprises, DTH has calculated the gift chart with a 23 percent higher goal than needed.

"I have introduced metrics, or ways to measure individual giving progress using reports we can analyze. It will help us stay motivated and on track to meet our goals." (Ms. Amanda Gee, Individual Giving Manager, Dance Theatre of Harlem in an interview)

For example, the gift chart acts also as a measurement tool – the team constantly keeps track on how its efforts are proceeding. The gift chart can be also presented in the form of a donor pyramid presented in the theoretical framework, in chapter 3. The smallest gifts form the lowest level and the largest gifts the highest level of the pyramid.

The table 3 shows that most of the prospects identified by DTH were below 10,000 US-dollars in August 2012, at the beginning of the fiscal year 2013. In addition, DTH's individual giving team tracks renewed and increased gifts.

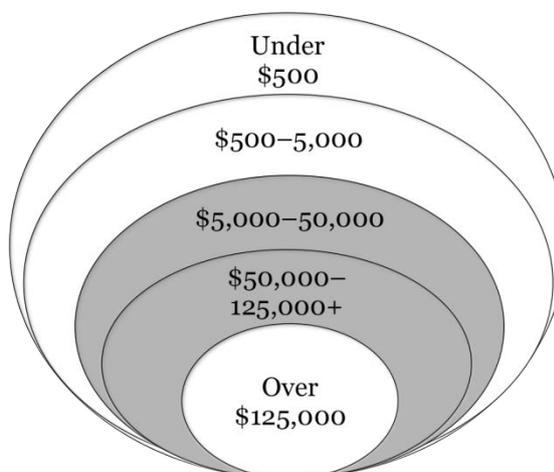
Table 3. DTH's gift chart for the fiscal year 2013

FY13								As 8.10.12
	Gift Size	No. Gifts Required	No. Prospects Required	Ratio	Subtotal	Cumulative Total	Percent of Total	Prospects Identified
	\$125,000	1	10	1:10	\$125,000	\$125,000	11%	2
	\$100,000	1	10	1:10	\$100,000	\$225,000	9%	2
	\$75,000	1	10	1:10	\$75,000	\$300,000	6%	2
	\$50,000	3	30	1:10	\$150,000	\$450,000	13%	2
	\$25,000	7	70	1:10	\$175,000	\$625,000	15%	5
	\$10,000	30	120	1:4	\$300,000	\$925,000	26%	20
	\$5,000	25	100	1:4	\$125,000	\$1,050,000	11%	30
	\$2,500	25	75	1:3	\$62,500	\$1,112,500	5%	15
	\$1,000	30	90	1:3	\$30,000	\$1,142,500	3%	100
	\$500	40	80	1:2	\$20,000	\$1,162,500	2%	200
Totals		163	585			\$1,162,500		

Source: Individual giving projections for the fiscal year 2013, DTH

The first vehicle, major gifts fundraising, has been one of DTH's priorities since 2011. As Ms. Amanda Gee, Individual Giving Manager, states, focusing on major gifts provides a better return on investment from the fundraiser's point-of-view. At DTH, a major gift is defined as a gift worth 500 US-dollars or more. Due to limited resources, DTH has further decided to concentrate on those major gifts that are over 5,000 US-dollars and below 125,000 US-dollars (see figure 12). During the fiscal year 2012, DTH secured one 100,000-dollar and one 200,000 gift. Most of DTH's major gifts are below 50,000 US-dollars. The major gifts totaled 572,150 US-dollars in 2012, excluding the Board's contributions. To increase gifts over 50,000 US-dollars, DTH established an *Angel Investors* program in 2012. This program is not, however, pursued in 2013.

Figure 12. DTH focuses its efforts on major gifts worth 5,000–100,000 US-dollars



Source: Based on the empirical analysis of the research data

Planned gifts or legacy gifts are part of DTH's major gifts fundraising. These refer to the gifts a person makes in his or her will or estate plan. Since 2012, DTH has started to strengthen this fundraising vehicle as well. It organized seminars for planned gift prospects in January 2012 and 2013. The first one was structured as a focus group – gathering the prospects' comments on DTH's approach and materials. The latter one, on the other hand, was an educational seminar about the planned giving options; organized in collaboration with the insurance company MetLife. Planned gift donors will become a part of the *Legacy Circle* with various member benefits (see Appendices 7 and 8).

In addition to the major gifts program, DTH also has an annual fund. The annual fund gifts refer to gifts below 500 US-dollars. DTH has a quarterly direct mail campaign for these donors. Furthermore, these donors can opt to subscribe to DTH's newsletter. It is noteworthy that DTH's strategy for engaging annual fund donors differs from many other arts organizations. Due to limited resources, the situation in the spring of 2013 was that DTH did not have a membership program for these donors, as many others do. The question lingers: is the donor's passion for DTH coupled with the direct mail campaign enough? Should DTH re-adopt a membership program instead of a pure giving program for annual fund donors and offer these donors membership privileges, such as access to rehearsals and a possibility to meet the dancers and attend various seminars? American Ballet Theatre, for example, has structured its annual fund membership program under *Dancers' Circle*¹¹.

“If you're going to have a small donor giving program and you make it a membership program. [...] Well, membership implies that if you're gonna give 100 dollars, you'll get something. Somebody has to administer that. [...] So they made a decision to eliminate that [membership program] and focus on major gifts, which is certainly a higher return on investment. But that also takes time to develop.”

(Ms. Verdery Roosevelt, Senior Vice President, UMEZ in an interview)

Interestingly, when I received comments for the final thesis from DTH, I was informed that planning for an annual donor membership program had just started in the spring of 2013, and the launch is aimed for the fall 2013. This might be a sign that DTH finds concentrating solely on major donors somewhat risky.

¹¹ More information about American Ballet Theatre's Dancers' Circle can be found here: <http://support.abt.org/page.aspx?pid=358>

DTH does not have a separate prospect researcher for major prospects. Individual Giving Manager, Ms. Amanda Gee, does prospect research while being in charge of the major gifts program in general. The list of major gift prospects consists of some 50 individuals.

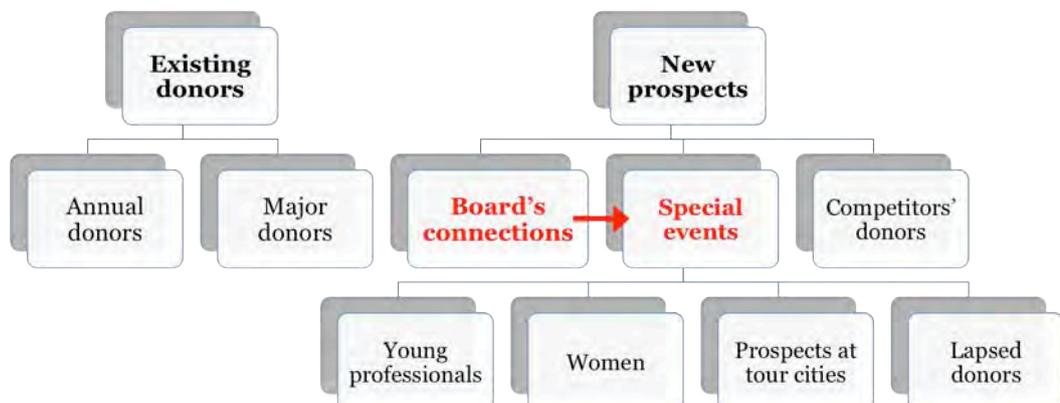
“When I started at DTH, I found individuals in our database that had supported DTH in major ways. It had been 10, 15, 20 years since their last gift. When I called to re-engage these donors, there was no response. They were very much out of the loop.” (Ms. Amanda Gee, Individual Giving Manager, Dance Theatre of Harlem in an interview)

Through active cultivation, DTH was able to re-engage with some of its past donors. During the process DTH emphasized openness: whatever questions the prospects or donors would have of the past crisis, they would answer.

The crisis had left its mark, however. It started to become clear that not all past donors could be re-contacted – at least not yet. DTH has needed to formulate a fresh strategy for finding new prospects. A two-way model was created: to attract new major prospects with the help of the Board of Directors and through special events.

DTH is seeking new donors based on their ability, linkage and interest in DTH – whomever is moved by DTH’s mission. The analysis, however, revealed a number of donor groups that receive slightly more focus on DTH’s development work due to natural connections. This is illustrated in the figure 13.

Figure 13. *DTH’s main focus areas in finding new donors*



Source: Based on the empirical analysis of the research data

First, although DTH's mission stems from the African American culture and the Civil Rights movement, this does not reflect the prospect research work. In fact, even in the past, the major donors have been mainly Caucasian. As the Board of Directors, however, is mainly African American, their networks are many times African American, as well. This has direct effects on the new prospects that are naturally introduced to DTH's individual giving team.

Secondly, women are targeted for fundraisers and events due to some Board members' connections to a few women's organizations.

The third group, young professionals (30+), is an interesting one. It was evident from the interviews that this group is considered a very prominent prospect group of future major donors. Executive Director has noticed that this younger generation is looking for purpose to their lives outside the work – opposed to the earlier generation.

“Now it’s a long-term opportunity [for DTH] because they don’t really have capacity right now. [...] But if we can engage them and get them part of the family, so to speak, I think over time they will begin to yield the larger gifts as they move up in their lines of works and get more personal wealth.” (Mr. Laveen Naidu, Executive Director, Dance Theatre of Harlem in an interview)

After DTH's new professional dance company started touring in October 2012, DTH has also a new possibility to seek prospects from the touring cities. DTH has also a sister city, Detroit, where it has several prospects and donors. Furthermore, the 2012 strategy also stated that DTH is aiming to examine those donors that support competitors, namely New York City Ballet, Career Transition for Dancers, Alvin Ailey Dance Theatre, New York International Ballet Competition, American Ballet Theatre, and the John F. Kennedy Center for the Performing Arts.

Of the current donors, alumni are a key group for DTH. Alumni contribute in multiple ways and are closely connected to the organization. Another important group of people are the parents of both the professional dance company's dancers and the dance school's students. The analysis revealed a very important issue: alumni and parents do not only donate money, but also donate their time as volunteers.

Many times the arts and the mission speak for themselves and donors come to DTH – instead of DTH seeking them out. When the Ensemble was performing at the Joyce Theater in February 2012, the DTH met one of its largest donors.

“One donor was so inspired by the Ensemble’s performance that he became one of our most generous supporters and champions.”

(Ms. Amanda Gee, Individual Giving Manager, Dance Theatre of Harlem in an interview)

6.4.2. The increasing role of the Board of Directors

Since the new fundraising strategy, DTH has stressed the Board of Director’s role in its fundraising. The Board, in 2013 chaired by Kendrick F. Ashton, has a 30,000-dollar give or get policy. Each member should either donate or fundraise a total of 30,000 US-dollars annually. In 2013, some of the 24 Board members exceeded this goal, while others lacked behind. Increasingly and in line with the two-way model, the Board has an important role in finding new prospects for DTH.

“We ask our Board members to look for five to six people in their networks who can contribute gifts of 5,000 to 10,000 dollars as a way of reaching a 30,000-dollar give and get goal.” (Ms. Amanda Gee, Individual Giving Manager, Dance Theatre of Harlem in an interview)

As the Board of Directors is such an important part of fundraising, DTH has been focusing on Board development on a broader scale. Inline with the five-year strategy, the organization is considering increasing the number of Board members to 30 by the end of 2015. In addition, the organization is planning on improving “the Board mix”.

“I don’t think we have that [Board] mix right yet: in terms of people who are in different professional spheres, economic spheres. At different age and stages of their personal life cycle. We really need to invest in Board diversity and in people who either have the ability to give at substantial levels or know people who can give at substantial levels.” (Ms. Leslie Wims Morris, Board Member, Dance Theatre of Harlem in an interview)

Executive Director Laveen Naidu visions a Board where some 10 members would form the “operational brain trust” and the rest of the members would be “heavy passion people”, extremely committed to both donating major gifts themselves and fundraising major gifts from their large networks.

“The first 10 people should be ideally area specialists [...] have the strategy background. They come from that world where they process information and where they think through the things. So they understand the business dynamics. [...] You wanna temper that with people who understand the non-profits. [...] The others should be an outer band. [...] You want to be exclusively tapping them on the execution side. [...] So they are heavy passion people, who are prepared to go out there and ask for money (everybody has to be prepared for that). But these guys also need to have a larger personal ability to give. [...] The bigger the personal gift – the greater the network. [...] The only part of the network that’s worth anything to us, is the part you’re prepared to tap. [...] Your preparedness and ability to ask is largely dependent on what you are doing personally.” (Mr. Laveen Naidu, Executive Director, Dance Theatre of Harlem in an interview)

6.4.3. Special events as a new fundraising vehicle

In addition to the Board of Directors, Dance Theatre of Harlem is seeking new prospects by organizing a variety of special events. The year 2011 marked the first year after the crisis for organizing these fundraising events.

The flagship event is the *Vision Gala*, which has been organized annually in February, starting in 2011. This event acts as a festive cultivation event – focusing on major giving prospects and donors. Each year the Gala has an Honorary Chair, as well as an Honoree. In 2013, Chelsea Clinton acted as the Honorary Chair.

Other special events are either organized by the development team or by different Board members. The main purpose for the events is to find new prospects and cultivate both prospects and current donors. In 2012, DTH held some 15 special events. In 2012, the special events generated over 400,000 US-dollars; mainly from the Gala. (Examples of advertisements for special events in 2012 and 2013 can be seen in Appendix 9.)

Although special events are crucial for DTH at this moment, organizing them is also a challenge. Due to limited resources, DTH does not have a dedicated person responsible for special events. The time used for event planning reduces the prospect research work and cultivation, solicitation and stewardship of existing prospects and donors.

In addition to the fundraising events, DTH regularly organizes events related to its dance school. These events can be defined as community events, as they present dance, dancers and DTH to the Harlem community – highlighting DTH’s community presence. Both the *Sunday Matinee Series* and the school’s *Spring Performances* have continued for over 40 years. DTH also organizes other events in Harlem, such as a *Street Festival* in August. In 2012, DTH also had a free performance at the Marcus Garvey Park. The event was organized in collaboration with the City Parks Foundation. DTH has also continued *Thursdays @ DTH* in 2013 – showcasing new artistic work.

6.4.4. Institutional giving: the emerging role of corporations

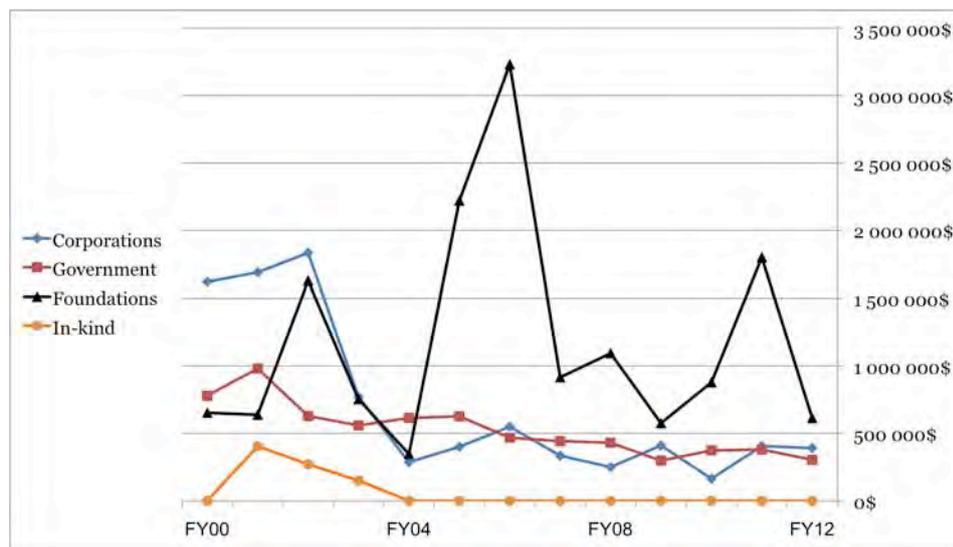
DTH’s institutional giving, the major source for contributed income still in 2012, consists of giving from foundations, corporations and government. After the 2004 crisis, the majority of this giving has come from foundations, while corporations have represented a smaller share. Between 2010 and 2012 the consortium members played a key role.

The figure 14 describes the development of DTH’s institutional giving between 2000 and 2012. The data shows a couple of interesting trends. First of all, government support has been constantly on the decline since the crisis. Secondly, corporate giving decreased radically after the dance company was laid off in 2004.

Foundation giving, on the other hand, has increased since the crisis. This is not unusual as American philanthropic foundations have traditionally entered, when other support is vanishing and when they feel the organization has a strong enough vision and prerequisites worth saving and nourishing. In 2012, the winds shifted and foundation giving declined significantly. Most of the consortium support ended as agreed, although some of the consortium members (Andrew W. Mellon Foundation and Ford Foundation) agreed to continue their support, however, with smaller amounts than before. In addition, DTH was unable to get new grant commitments, most notably from

the New York Community Trust, City Parks Foundation, Arnold Foundation, The Victor Elmaleh Foundation, and The Taproot Foundations.

Figure 14. *DTH’s institutional giving between 2000 and 2012¹²*



Sources: Financial and fundraising distribution report, 2012 & strategy, 2004, Dance Theatre of Harlem

As a result of the above-mentioned changes, new funders and donors are needed also in the institutional side.

Looking into the future, DTH needs to radically increase its corporate giving. The fundraising work is easier now that DTH can offer visibility with the new professional dance company that started touring in October 2012 and announced to have its first one-week New York Season at Jazz at Lincoln Center in April 2013.

“Most of our corporate giving over the last two years has been around our Gala. [...] Outside of that we have maybe a handful that give to the institution. But we are looking at expanding that [corporate giving]. Now that the company is back we are looking at season sponsorships.”
 (Mr. Rodney Trapp, Director of Institutional Giving, Dance Theatre of Harlem in an interview)

¹² The grant from UMEZ is included in corporate giving; not in foundation giving for 2012.

DTH is increasingly offering corporations various partnership packages. In the United States, there are many routes to track corporate funding. Corporations might give through their giving programs, which are linked to corporate social responsibility. Often, corporate funding is received from the marketing budget. Chief Executive Officers and other Directors have also their personal giving budgets. In addition, another trend is prevailing: employee engagement. Many corporations give an agreed, paid leave of absence for their employees to volunteer at their favorite non-profit organization. DTH has had success with employee engagement with Goldman Sachs and Con Edison, and with corporate performances for Akin Gump and Disney.

“What has resonated for DTH is this dual mission of arts and education. ... It’s hard to get a corporate donor to support arts for arts sake. But if there is the educational, give back to the community angle, that resonates with many companies from the corporate social responsibility perspective.” (Ms. Leslie Wims Morris, Board Member, Dance Theatre of Harlem in an interview)

Since 2012, DTH has had an external consultant, Christine Gavin and Company, responsible for identifying national, prospective corporate partners.

Corporate fundraising has not yet yielded expected results, however. For the New York season in April 2013, DTH was able to secure only the following corporate partners: Bloomberg LP and RBC Capital Markets.

6.4.5. Tools for cultivation, solicitation and stewardship

Dance Theatre of Harlem uses various tools for cultivation, solicitation on stewardship. The methods and intensity vary according to the prospects and donors.

In individual giving, major donor prospects and donors, as well as the Board of Directors are cultivated the most. Major donor prospects and donors are approached via phone calls, e-mails and newsletters. They are invited to different special events either personally or by sending a written letter in a regular mail. As described before, the scope of the events varies from the festive annual *Vision Gala* to more casual *Sunday Matinees* at DTH’s building. DTH also organizes different kinds of seminars

and meetings. In addition to the planned giving seminars, DTH has organized breakfast meetings for funders in the fall of 2010 and 2011.

“I think that the path to individual giving is building an individual connection to the organization. So inviting them to events, having an opportunity to have a hands-on experience. Making it tangible. That is the basis of opportunities for giving.” (Ms. Leslie Wims Morris, Board Member, Dance Theatre of Harlem in an interview)

DTH, like other performing arts organizations, has one special asset: the performing arts itself. Several donors mentioned that they became clearly more engaged either when they saw the professional dancers on stage or the little children at the dance classes. This art form affects directly people’s emotions, which is a very powerful engaging tool. In many events that I was observing, DTH also showed a video with – again – a highly emotional appeal.

”It’s [fundraising is] all about marketing, right? It’s all about being in front of people, so your message, your art form can be seen or heard. And being in front of the right audience.” (Ms. Jai Jai Ramsey Greenfield, Board Member, Dance Theatre of Harlem in an interview)

Board development has been emphasized in DTH since 2010. Senior staff members of DTH meet in person with each Board member during the summer: each Board member has an individual fundraising plan and cultivation and solicitation list for his or her contacts. The Board has a 30,000 US-dollar give or get policy and the aim is to have all the Board members acting accordingly. DTH has increasingly organized special events in collaboration with the Board members. Since 2010, DTH has had an annual “Chairman’s Dinner” in September, where the Board Chair stresses the importance of “fund-raising” and “friend-raising” as the duty of each Board member.

Annual donors are cultivated less. They are kept connected by a quarterly mailing campaign and can opt to subscribe to a newsletter. The rest of the cultivation is largely dependent on how proactively involved the donors are with the organization.

Similarly to cultivation, solicitation methods also vary according to the donor type. Annual donors are mainly solicited by the quarterly direct mail campaign. Solicitation is also included in the e-mail newsletter. In addition, one can donate online.

“It all starts with you. [...] Your gift today helps Dance Theatre of Harlem give budding artists the opportunity to pursue their dreams of a career in classical dance. It enables DTH to nurture and train the next generation of dancers and leaders in our school. And, it provides the resources needed to serve the Harlem community and others like it around the country. With your generosity, Dance Theatre of Harlem will stay at the forefront of classical ballet training, arts education, and performance in America.” (Example of solicitation, Dance Theatre of Harlem’s website, section “Support Now”)

In most special events, a DTH management representative gives a solicitation speech. During my observations, I saw two kinds of solicitation speeches: one referring to the general mission and providing opportunity and access, and one referring to the Pointe Shoe Fund. The first tactic was used after the Ensemble’s performance and the latter at both the first performance by the new professional dance company and at the Sunday Matinees and Spring Performance.

The Board development plan includes specific actions for each quarter. At the end of each calendar year, the Board is encouraged to engage in year-end philanthropy. In the spring, the annual Gala is the focus. The third season is later in the spring and early summer – before the end of each fiscal year.

Major donors are mainly solicited face-to-face, in one-on-one meetings. As described before, DTH in 2013 has a very stringent calendar approach with follow-up and measurement features for the key prospects and donors. It was clear from the interviews that the timing for solicitation is crucial. Specifically, before asking for a major donation, one must know what resonates with that donor. This is only possible via thorough research and listening to the donor.

Institutional donors and funders are also solicited in person. Before an actual solicitation, the team engages in multi-phased relationship building and various informal discussions with the foundation or corporate representatives.

“I would certainly say things have gotten better. I certainly get more frequent communications from them, as far as what they are doing. Giving me the opportunity to attend different activities and different programs. [...] Stay engaged as much as possible. [...] When they think

we can help them with something, they reach out to us. [...] The capacity for the organization to achieve more is very evident. They are in a good place. If they were in a survival mode, they wouldn't really have the luxury to be receptive to the kinds of different things.” (Mr. Miguel Centeno, Managing Director, Community Relations & Urban Marketing, Aetna in an interview)

Stewardship is highly important for fundraising to be successful in the long-term. All funders and donors are thanked soon after by sending a written letter. The larger the gift, the more personal the additional thank you process is. Stewardship also includes informing the donor of the usage of the funds, as well as further engaging the donor or funder.

Based on the interviews and other data, Dance Theatre of Harlem has significantly improved all of the three key areas in fundraising: cultivation, solicitation and stewardship. Interviewed individual, foundation and corporate funders stated that DTH keeps them informed and cherishes the relationship. This is a remarkable difference to the earlier period before the crisis and with different development staff. The interviewees also praised DTH's development staff's skills and their focused approach. (Examples of written cultivation, solicitation and stewardship materials can be found in Appendix 11.)

Communications and marketing act as important vehicles for relationship-building and engaging donors. Undoubtedly, DTH's development staff has excellent relationship-building skills from the communications and marketing perspective, as well.

Institutional communications and marketing, however, are slightly different. On a positive note, DTH has aggressively taken presence in various multiple social media settings: Facebook, Twitter, YouTube, Pinterest. The DTH website was renewed in 2012, bringing a much needed uplift. The new look is fresh and more up-to-date compared to the previous one.

When analyzing DTH's fundraising, these areas create one of the greatest bottlenecks. First of all, there is no internal communications manager. Rather, communications tasks are divided among separate individuals. These people are highly motivated, passionate and long-term workers of the organization, which makes the task easier. However, this can create challenges in coordination.

DTH has faced challenges with marketing, as well. There has been a lot of turnover around this position. Similarly to communications, Marketing Associate has been promoted from within the organization, and does not have a marketing skill set from before. Although the person has insider knowledge of DTH, the communications and marketing skills might navigate on a rather narrow scope. To ease the situation, DTH's Marketing Associate supervised by an experienced, part-time marketing Consultant, Ms. Melissa Hudnell.

To enhance institutional visibility, DTH has collaborated with both PR and marketing consultants. Gilda Squire Media Relations has been helping with publicity and media exposure since December 2011. Her main contacts are the Executive Director and the Artistic Director. The focus has been on spreading the word about the new dance company, its auditions and the performances as well as the stronger organization itself. This has required several photo shoots at the studio and multiple interviews with the media.

“The key messages have been that the company is back with a stronger and more focused Board. It's back with a leaner company [...] 18 dancers. A new repertoire. Some old favorites will return. And some classics. And a new ballet called Gloria; specifically created to celebrate the return of the company.” (Ms. Gilda Squire, Media Relations Consultant in an interview)

The various articles in the print media show that Dance Theatre of Harlem has succeeded in creating positive publicity in 2012 and 2013. In February 2012, the following headlines were seen in the media: “Dance Theatre of Harlem: the saga continues”, “Dance Theatre of Harlem's rising generation” and “Dance Theatre of Harlem's DTH2: young virtuosos promise to revive a legend”. In February 2013, The Dance Magazine had a three-page feature article titled: “Dance Theatre of Harlem. A new chapter”. New York Times' article from April 2013 summarizes DTH's status at the verge of its new dance company's first New York season: “A phoenix is rising on point”. DTH is referred to the legendary phoenix bird, which emerges from the ashes of its predecessor, joins with the sun and obtains a new life. Finally, the New York season brought additional positive media publicity. Interestingly, New York Times' first review of the season was partly critical. After watching the second performance with a different program, the dance critic praised DTH.

“After nearly 10 years on hiatus, Dance Theater of Harlem is back. Its return performance on Wednesday at the Rose Theater at Jazz at Lincoln Center, though flawed, gave reasons enough to celebrate. But its second program, on Friday, opened with something more heartening: “Gloria,” a beautiful New York premiere by the company’s resident choreographer, Robert Garland.” (New York Times, April 2013)

The shadow of the crisis is still lingering over DTH, and questions get asked about that, as well. According to Ms. Gilda Squire the answers have emphasized that the new strategic plan is a well-thought out plan with financial benchmarks. This is coupled with a stronger Board and a dance company that travels with a lighter load – also financially.

6.5. Fifth phase: new dance company, new opportunities

6.5.1. Different faces of the case for support

Dance Theatre of Harlem’s case for support stems from the organization’s mission. Since the beginning, the mission has consisted of three elements: dance school, education and community outreach program and professional dance company. The main theme has carried out through the decades: to provide opportunity and access.

Going through various brochures starting in 1988 clearly shows that although the core mission has remained the same, it has evolved. Earlier DTH emphasized its African American roots, connection to the Civil Rights movement and professional dance company.

During the period following the 2004 crisis, DTH had five different phases from the fundraising point-of-view. During each phase, a different theme was emphasized. These themes represent the evolving case for support. Immediately after the crisis, the focus was on damage repair and building trust. Slowly the organization moved into a new era, with finally announcing the return of its professional dance company in 2012.

“With a new and vibrant story to share, Dance Theatre will look to regain the support of lapsed donors, as well as attract new supporters from our competitors.” (Fundraising plan update for fiscal year 2012, Dance Theatre of Harlem)

Similarly to DTH, the Harlem School of the Arts has had to restructure its organization and change its storytelling after its crisis, which occurred in the spring of 2010.

“The most important step is to change how people think about you. No one will give you money, if they think you’re failing. So, my focus was institutional marketing, which meant getting the word out, spreading our message, saying what we’re doing now, not talking about the past, bringing on new funders... really talking about the steps we’ve taken to make a difference. The Board that hired me had already done a strategic plan...” (Ms. Yvette Campbell, President and CEO, The Harlem School of the Arts in an interview)

In principal, DTH has one case for support. The interviews revealed, however, that different areas of the case can be stressed depending on the person one is talking to. The interviewees mentioned that the key is knowing “what resonates with the person”.

Figure 15. *The dance company has been crucial: a new story for fundraising*



Executive Director, Mr. Laveen Naidu described the dance school, the education and outreach program and the dance company as DTH's assets. The first asset, dance school, refers to human development, role modeling and bringing people from various backgrounds together for a common goal. According to Mr. Naidu, this cornerstone of DTH resonates usually with those who have children. The second asset, the art itself, resonates with art lovers and patrons in general. These people usually support other arts organizations, as well.

“Most people resonate on a combination of the two. [...] Because they can see the value of a dance company being the exemplar of these ideas that they can be proud of. And coupled with that dance company being an engine or driver for the other opportunities and access that the institution creates.” (Mr. Laveen Naidu, Executive Director, Dance Theatre of Harlem in an interview)

The third group of people are interested in Dance Theatre of Harlem due to its presence in the community. Interestingly, this aspect seems to have been a priority especially for institutional funders, such as UMEZ and The Irene Diamond Fund, when they decided to support DTH after the crisis. Both organizations, as well as many other interviewees, described DTH as “a jewel”, a very special cultural organization in Harlem: an organization, which has a unique and important mission for a wider group of people. The word “legacy” was also mentioned several times. The interviewees had different opinions of this, however. Most interviewees stated that the legacy as such would not be the reason for support. Some also stressed that the legacy carries a partly negative tone, as well, due to the management and financial challenges that led to the 2004 crisis.

“We have this beautiful word at the end of our name – Harlem. And this image persists in many different imaginations in many ways. To some people it is a location of extreme poverty and neglect, to some people it is the location of true authenticity and to some people it is exotic. All of those things are true and it is part of our attraction. [...] We want to be for our community a way for them to feel a sense of pride, empowerment and participation. Our goal for the past few years has been tapping that participation and engaging people in the work we do. In today's environment art is the driver.” (Ms. Virginia Johnson, Artistic Director, Dance Theatre of Harlem in an interview)

In 2013, DTH has packaged its case for support in a variety of ways, showing several faces for the case for support. The different packages are listed below and can also be found in more detail in Appendices 6 and 10.

- Three program support funds, created in 2010
 - Fund for Artistic Excellence
 - Next Generation Fund
 - Community Engagement Fund
 - Pointe Shoe Fund, created in 2012
- Three major donor recognition programs, created in 2012
 - Commissioning and Commissioning Partners for DTH’s artistic works
 - Support a Young Artist
 - Sponsor a School
- Tailored proposals for corporations

Especially “Support a Young Artist” has gained interest from the donors. In this option, the donor is paired with an artist and is encouraged to follow that artist’s development. Clearly, this option appeals to the emotional side and can be very engaging.

When analyzing DTH’s storytelling of the case, one notion became very interesting. Instead of using the words “the professional dance company was laid off”, DTH has consistently used the phrasing “the professional dance company was placed on hiatus”. This phrase implies that the organization wanted to communicate to its stakeholders that the company was away only temporarily, as opposed to permanently. Similarly, the new professional dance company was announced with the phrase “return of the dance company”.

Clearly the artistic reputation of the company was such, that DTH felt better to refer to the old company, when announcing the new one. This was done despite the fact that the new company consists of entirely new dancers, has 18 members (compared to 44) and has a new Artistic Director. Although DTH wanted to stress the value of the dance company, it was understood from the interviewees that the current organization has heavily emphasized new management and new administration to cut the shadows of the previous crisis.

Another interesting theme arose when listening to the interviewees. About half of the interviewees – both Dance Theatre of Harlem staff and Board and donors – described Dance Theatre of Harlem as “a family”. The more engaged the donor was, the more he or she felt being a part of the DTH family. This applied more to individual donors. Even the alumni act as family members. Although majority of the interviewees view the idea of a DTH family as a positive thing, some saw the challenges, as well.

“That [being like a family] is really great. But then when you think about the art form of ballet. [...] Elite art. You do need a bigger pool of resources – for fundraising, for marketing, for performing, for reaching the people who appreciate ballet. But also and more importantly, reaching the people who will be students of ballet.” (Ms. Jai Jai Ramsey Greenfield, Board Member, Dance Theatre of Harlem in an interview)

6.5.2. Fundraising and financial situation in 2013

Based on the analysis, DTH has been able to radically improve its fundraising and development operations.

“The organization has come a long way in the last couple of years. [...] There has been a lot of focus on strategy and how to realign the organization to meet DTH’s strategic aspirations: how do you raise the barre in terms of the quality and the talent we have, the key processes that we have and how do we really make sure that we are measuring the right things in order to ensure that we are actually getting better and better.” (Ms. Wims Morris, Board Member, Dance Theatre of Harlem in an interview)

A new organizational strategy along with renewed leadership, management and more strategic fundraising are visible not only inside DTH, but also for its stakeholders. DTH has accomplished significant steps in its restructuring rebuilding process.

“For an organization that’s going through transition [...] also has to have a sense, how to think strategically about what they are doing and always see how things are changing and how they are going to respond to that. So you are thinking further ahead. You are looking out of your

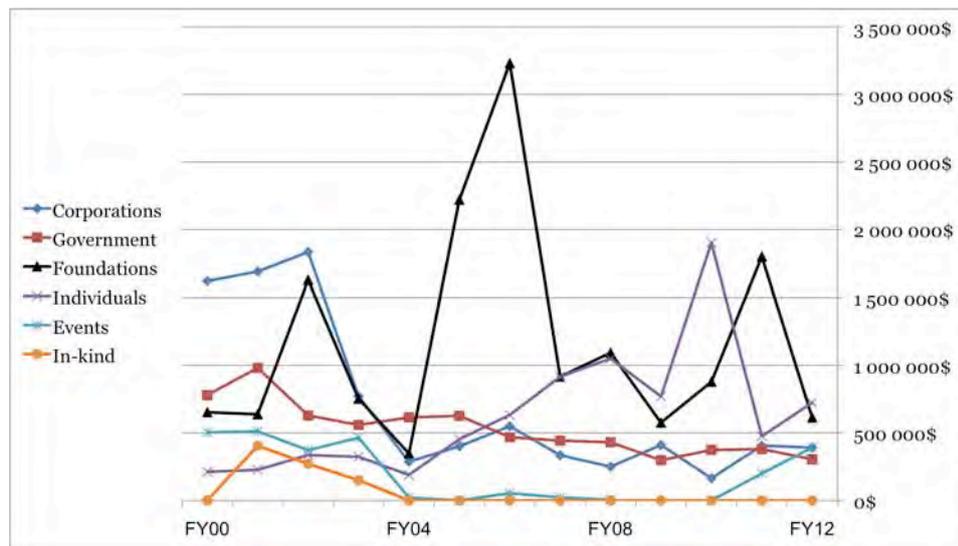
environment. You're assessing what skills you have in-house and what you need to bring... I don't think that they were doing that before. And they are doing it now. And that's a major accomplishment... And it's the kind of accomplishment that [...] they still have to be more responsible about [...] But they have started on that path."

(Ms. Verdery Roosevelt, Senior Vice President, UMEZ in an interview)

The financial situation has improved since the crisis. In 2012, DTH had an operating budget of 4.6 million US-dollars and operating surplus 143,000 dollars compared to an operating budget of 6.7 million US-dollars and operating deficit of 1.8 million dollars in 2004. In 2012, the contributed income was 2.4 million dollars (52% of total income), whereas in 2004 it was 1.5 million dollars (22% of total income).

A very positive change is the funding structure. DTH has been able to diversify its funding structure and especially increase individual giving and special events – the sources for future contributed revenue. Corporate giving has not increased as planned. However, DTH is focusing its efforts on this revenue stream, as well. This development is crucial as both foundation giving and government support are on the decline.

Figure 16. Contributed income by income type between fiscal years 2000 and 2012



Sources: *Financial and fundraising distribution report, 2012 & strategy, 2004, Dance Theatre of Harlem*

6.5.3. Donor and funder motivations for supporting DTH

The analysis included interviews with three different kinds of donors and funders: individuals, corporations and foundations. All these donors varied by their motivations to support DTH.

The interviewed institutional donors and funders highlighted DTH's role in the community. Especially UMEZ and the Irene Diamond Foundation described DTH as a "jewel" in its community.

"Mrs. Diamond had identified them... It was a very important ballet organization and very important community organization. Both." (Ms. Jane Silver, President of the Irene Diamond Fund, institutional donor of DTH between 1996 and 2012 in an interview)

"It's really one of our jewels up here... It's not common to have a school like DTH. It's a legacy. It's something that's very important for the community. And UMEZ does and will support cultural institutions that are very important to this community. And we see that DTH is important." (Ms. Tracie Gilstrap, Program Officer for the DTH grant, UMEZ in an interview)

The community aspect seems to be important also for corporations. In addition, the energy company Con Edison and the health insurance company Aetna were seeking partnerships for obvious business advantages. More and more corporate partnerships go beyond traditional marketing and logo visibility.

Con Edison gives grants to some 1,000 organizations. In the field of arts the focus is on arts education in underprivileged areas. Opposite to Aetna, Con Edison is especially seeking to improve its goodwill. The ideology is that when a negative event, such as a power shortage, happens, people remember Con Edison doing also things that enhance the community.

"Their [DTH's] project is unique and it's in a community that doesn't have a lot of exposure to the arts. And so, that's why we think it's a strong relationship. [...] One of the strongest ones. [...] We are all about

community.” (Mr. Alton Murray, Program Manager, Arts & Culture / Environment Programs, Con Edison in an interview)

Aetna feels strongly that the arts play an important role in health and wellness. For Aetna, the main business goals relate to finding new markets and getting new members to use its services. Increasingly, Aetna aims to integrate the idea of employee engagement – employees volunteering for a cause – into its partnerships. Aetna has been negotiating with DTH about the possibility for their employees to volunteer at DTH. The timing suits Aetna’s plan, as it recently opened an office in Harlem.

“That’s [employee engagement is] a whole other level of partnership. Much more than just writing a cheque. [...] We wanna have deeper and richer relationships with our partners. [...] More productive employees. [...] It really helps to bring the Aetna brand into life in a meaningful way in the community.” (Mr. Miguel Centeno, Managing Director, Community Relations & Urban Marketing, Aetna in an interview)

Personal relationships are essential also in corporate fundraising. While collaborating with DTH, Centeno was observing closely DTH’s programs. He urged DTH to apply for a grant also from the Aetna Foundation, advocated DTH for the Foundation and in 2011, DTH received a 25,000 US-dollar grant. With the grant, DTH was able to launch its Healthy Dancers, Healthy Families initiative – a multi-year project to provide a series of workshops on obesity, healthy eating and dance exercise to 500 local children.

Committee Encouraging Corporate Philanthropy (CECP) gathers high-level business leaders together and encourages them to improve societal issues while improving the business. The organization refers to a new concept in the area of corporate giving: shared value.

“You’ve got to continue to function like business, you have expectations from your owners [...] but then on top of that, as companies are under an incredible pressure to grow and as societal expectations for their positive contribution increase, how can you take your, kind of, core business model and look at societal issues that are relevant to your business and start to develop strategies that are good for the society and good for the company at the same time.”

(Ms. Margaret Coady, Executive Director, Committee Encouraging Corporate Philanthropy in an interview)

Corporate giving can occur via several channels: as philanthropy through the corporate foundation, as more marketing-driven sponsorship or partnership or as a tool to enhance the corporation's corporate social responsibility. This has to be taken into account when courting the corporate partner. The story has to be fitted right. The non-profit organization also needs to have enough resources for managing the corporate relationships.

"... non-profits that see some good possibilities for corporate funding, if they take the time to invest in, how they can connect their work to the interests of the companies and present what societal benefit will come from it and how they're prepared to work with the company, I think there are a lot of possibilities there. It's not for every non-profit."

(Ms. Margaret Coady, Executive Director, Committee Encouraging Corporate Philanthropy in an interview)

The interviewed individuals showed an extreme passion for the organization. It can be emphasized, based on the data, that it is not enough to attract individual donors only with reason – a deeper engagement and emotional attachment are needed. When individuals become donors of DTH, many of them donate also their time, not only money.

Hélène and Jerry Dreskins are a fascinating philanthropic couple – an example of a true arts patronage. Arts, and especially passion for classical music, have been integral parts of both of their lives since childhood. For over a decade, they were patrons for a Russian pianist, Elena Baksht.

The Dreskins have followed DTH since its early days and they have seen the current Artistic Director, Victoria Johnson, in many roles during her dance career. In 2009, they saw a small advertisement in the newspaper regarding DTH's *Sunday Matinee* and decided to come. It was love at first sight.

"It was like being introduced to an uncontrolled substance. [...] It was and continues to be the joy of our life. We have are involved with many, many things [...] but nothing ever like Dance Theatre has become our

home. [...] We do a lot of things for this company, not just the money. [...] It's a love affair. We're unusual patrons. We don't ever get involved with our money without our hearts – never, ever.” (Mr. Jerry Dreskins, Major Donor, Dance Theatre of Harlem in an interview)

Immediately at the first Sunday Matinee, the Dreskins wrote a 1,000 US-dollar cheque. Since then, they have taken the dancers and the organization under their wings. They regularly attend DTH events, both the school's performances and to see the professional dancers. Every Thanksgiving, the Dreskins have DTH dancers and staff as their guests. And Dreskins travel to see the dancers perform, even abroad. They describe DTH as their family and the dancers as their kids. For the organization, the Dreskins act as advocates and also help with any business and organizational issues that they can, such as marketing. The level of engagement and commitment is extremely high and emotional.

“We always both feel that we're on this planet to make a difference. [...] When we got involved with this company, the dancers became our kids. [...] We've helped them emotionally, financially. [...] I guess we, both of us, feel that we can make a difference here. [...] We feel very much at home. And we'd like to know that they feel very much at home with us. So, I think that type of a situation spurs us on to do more for them. It's a personal relationship.” Ms. Hélène Dreskin, Major Donor, Dance Theatre of Harlem in an interview)

Cedric Rouse is an alumni and current donor with DTH. He was part of the professional dance company between 1991 and 1998. In addition to dancing, he has been a teaching artist. Similarly to the Dreskins, Rouse also donates not only money but also his time as a volunteer.

“That's why I support it [dance]. It changes your life. [...] I want the company to have their own identity. [...] I would like to see more. And I wanna support that in any way I can.” (Mr. Cedric Rouse, Former Company Member & Current Donor, Dance Theatre of Harlem in an interview)

The donors also vary in their views on whether to give unrestricted or restricted support¹³, and in how they measure their donation's success.

Of the interviewed donors and funders, UMEZ was clearly the most precise in respect to measuring. UMEZ's approach is very close to a shareholder's approach – seeking for a high return on the investment. UMEZ even described its contribution rather as an investment than a donation.

For the individuals, the measurement aspect was lacking. One could argue that individuals measure the return on their donation subconsciously: is the organization contacting them often enough: sending information and inviting them to events.

The corporations fall somewhere in between based on the analysis. They have expectations for their funding. However, rather than measuring the success afterwards, they evaluate the possible outcome prior to making funding decisions. Those organizations that are not expected to yield hoped for business advantages will not receive funding. The pressure for measurement is increasing, and Con Edison, for example, is considering tightening this side of its grantmaking, as well.

The Irene Diamond Fund¹⁴ was a rare exception among the institutional donors, donating mainly for general support without detailed outcome requirements. The Fund has given significant support to DTH over the years – while being passionate about the arts. After all, the Fund was founded by an individual, Ms. Irene Diamond.

“She [Irene Diamond] bet on an idea or she bet on a program or she bet on a person and then she gave them the money to succeed. And how do you count success? Well, she was very generous. She counted it as healthy financial situation, wonderful performances [...] There were not these very strict outcome measures [...] She had been a story editor and talent scout in Hollywood. [...] She one time said to me that philanthropy... it's just like Hollywood. You find a good script and you support it.” (Ms. Jane Silver, President of the Irene Diamond Fund, institutional donor of DTH between 1996 and 2012 in an interview)

¹³ Unrestricted support refers to support that a non-profit organization can use for general operations. The use of restricted support is always determined by the donor: for a certain program or event, for example.

¹⁴ The Irene Diamond Fund closed as planned on December 31, 2012.

The analysis revealed various donor motivations for supporting Dance Theatre of Harlem. DTH's presence in an underprivileged community is a key decisive factor for the foundations. The ideology that "DTH is a jewel in Harlem with a unique mission" gathered also the consortium funders together. For corporations, a business advantage is needed. This can vary from enabling new markets and creating goodwill to employee engagement. It is noteworthy that corporate giving can occur through various channels. Donations from corporate foundations lean towards philanthropy, whereas sponsorship and various partnerships are more marketing-driven. Corporate social responsibility and corporations' increasing need to improve societal issues is one additional area. One can draw a conclusion, however, that corporations are increasingly aiming to have deeper relationships with the arts organizations they are collaborating with. Individual donors have a very emotional connection, which inspires them to donate not only money, but also time. This motivator varies by donor and relates to one or several aspects of the mission: professional art, arts education or community outreach.

7. CONCLUSIONS

The main research question of this study was the following: how does an arts organization attract and maintain funders after an internal crisis. The supporting questions related to the fundraising strategy, funder and donor categories and relationship-building. In this chapter, I will present the major findings while answering these questions and comparing to the theoretical framework presented in chapter 3.

This chapter is divided into six parts. First, I will describe the strategy rebuilding process that Dance Theatre of Harlem has conducted over the years. After this, I will discuss DTH's new strategic fundraising approach in detail. In the third section of this chapter, the organization's case for support and its evolvement since 2004 will be summarized. This will lead to analyzing DTH's relationship-building and donor-engagement. Finally, I will analyze Dance Theatre of Harlem's situation in 2013. This will include a SWOT analysis and an assessment of DTH's critical functions, bottlenecks, from the fundraising perspective. This chapter also includes suggestions for future research topics.

7.1. From mission and market analysis to new organizational strategy

The mission is the foundation of any non-profit arts organization. It is exactly the mission and the orientation to serve public purpose that differentiates non-profit arts organizations from their for-profit peers. (Wolf 2012, 8).

Dance Theatre of Harlem's mission has remained the same since its foundation in 1969. The core idea is to provide opportunity and access in the field of classical ballet. The phrasing of the mission has varied but the content has remained untouched. As Artistic Director, Ms. Virginia Johnson, stated in her interview, the mission is still as valid as in 1969. DTH's mission is a three-fold mission, as it includes three different arms: a dance school, an outreach program and a professional dance company.

When DTH started to rebuild its organization and fundraising after the internal crisis that peaked in 2004, the changes were planned in line with the organization's mission. Interestingly, the presence of the professional dance company was considered so important that the organization never wanted to let go of this arm. Already the 2004

strategic plan stated that while the company is on hiatus, Dance Theatre of Harlem as a whole shall not be forgotten.

As described in the theoretical framework, in chapter 3, strategic thinking derives from a thorough market analysis. The SWOT analysis – describing internal strengths and weakness and external opportunities and threats – is one of the classic tools for market analysis. The idea is to create a strategy leveraging the organization’s major competences, while protecting from the main challenges (Cf. Helms & Nixon 2010, 299).

DTH had renewed its strategy for a couple of times since the 2004 crisis. The first renewal took place in 2004. The analysis was divided into two parts: environmental and internal analyses. The main challenges at the time related to management and leadership difficulties, passive and decreasing role of the Board of Directors in fundraising and decreased contributed income. This was coupled with external challenges, such as competition among other arts organization for funding and audiences. In addition, presenters preferred smaller dance ensembles.

Following the new strategic plan, DTH started to slowly rebuild its organization after the 2004 crisis. With the help from some long-standing donors, DTH was able to continue its operations with only two parts of the mission: a dance school and an outreach program. An external consultant assessed DTH again in 2007, and the report told brought up the same challenges. Especially organization’s management, planning and communications skills were criticized.

A new artistic era started to emerge in 2008, with the launch of the junior Ensemble. Only one year afterwards, Ms. Virginia Johnson was appointed Artistic Director. This marked a significant turning point for the organization: the Founder and previous Artistic Director, Mr. Arthur Mitchell would no longer be part of the operational management. Those donors and funders that connected Mr. Mitchell with the crisis, were relieved. The development staff finally had a new story to tell.

The City of New York acted as an angel funder – or rather a mediator – in 2010. Major philanthropic foundations started to collaborate and to support DTH with separate, multi-year agreements. Although it is not rare for an arts organization to receive support from foundations, it is considered fairly unique to have several foundations

forming an informal consortium. The consortium's leader, UMEZ, required DTH to hire a consultant for a year.

The consultancy launched a second major strategic renewal process, which reformulated a previous business plan into a five-year strategy for the years 2010–2015: *The Path to a Strong Future*.

The main changes from the previous strategy were:

- An equal, shared leadership between the Executive Director and Artistic Director
- A larger and more engaged Board of Directors: 24-30 members with a give/get policy of 30,000 US-dollars per person
- More strategic fundraising with specific goals; increased individual giving
- A smaller professional dance company (to be launched on the 3rd strategy year, in 2012): 18 dancers for a 32-week contract opposed to 44 dancers at the time of the crisis
- Realistic touring schedule; focus on managing costs
- Increased institutional visibility

According to Porter, an organization can either build defenses against competitive forces or find a position in the industry where the forces are weakest. Dance Theatre of Harlem's new strategy is a combination of both tactics. (Cf. Porter 2008, 89)

The new, smaller dance company resembles the building defenses aspect, as smaller company results in reduced costs. In fact, a performing arts organization faces a constant challenge between providing high quality arts and managing the costs (Kaiser 2008, ix). Performance management is vital (Chong 2003, 106). For DTH, the size of the new company, 18 dancers, was a result of various scenarios and calculations. The size will be kept at 18 until 2015, and possible increases would be made gradually after this strategic period.

Another example of the building defenses tactic is DTH's cautious comeback. To better prepare for the upcoming dance company, DTH started with a junior ensemble already in 2008 to test the markets for its dance company. The organization also started an initiative to create new artistic works. These works, *Harlem Dance Works 2.0*, were

presented to the public at free studio showings called *Thursdays@DTH* starting in 2010.

While building defenses, DTH also positions itself away from the competitors. This is possible due to the organization's unique mission, providing opportunity and access in classical ballet especially for African American dancers. Although the dance field has diversified, African American and other racially diverse artists do not have equal opportunities compared to the Caucasian artists.

7.2. Towards strategic fundraising

Successful fundraising requires a separate strategy, which is tightly linked to the organization's mission and overall organizational strategy. Rosso, in fact, defines fundraising as the lengthened shadow of the non-profit organization (2011, 7).

The fundraising strategy needs to “develop and nurture a diversified funding base” (Seiler 2011a, 41). The required amount for contributed income varies by organization, and depends on the organization's budget (Joyaux 2011, 360). Performing arts organizations in the United States generally obtain some 45% of their total revenue via contributions (National Endowment for the Arts 2012, 1). Dance Theatre of Harlem's contributed income represented 52% or 2.4 million US-dollars of the total income of 4.6 million dollars in 2012. Earlier, in 2004, contributed income was only 22% or 1.5 million dollars of the total income of 6.7 million dollars.

The analysis showed that DTH began moving towards strategic fundraising starting in 2010. DTH has adopted almost all of the major elements needed for a successful fundraising strategy (Cf. Joyaux 2011, 349).

- Dividing fundraising into institutional and individual giving
- Developing a separate strategy with multi-year goals for each fundraising source
- Training the development staff in best practices of non-profit fundraising
- Improving donor identification
- Packaging fundraising as three different kinds of “giving products”
- Harmonizing the language used for the case for support; including creating templates
- Improving the use of the Raiser's Edge donor management software

Dance Theatre of Harlem emphasizes in its new fundraising strategy several issues. First of all, the fundraising strategy is based on a systematic and strategic approach including both a quarterly schedule and precise dollar goals for different fundraising sources: individuals, special events, corporations, foundations and government. DTH uses the traditional donor pyramid and gift chart ideology in its fundraising, however, adding an extra “puffer” to this model. This means that DTH calculates the gift chart with some 20 percent higher figures. (Cf. Seiler 2011a, 46)

Secondly, the new strategy also stresses the role of the Board of Directors. The roles of different Board members are specifically described. In addition, DTH is continuously strengthening its 30,000-dollar give or get policy for the Board. The Board is encouraged to both donate and engage in fundraising. This is crucial, as the Board members not only supervise the organization’s fundraising activities, but they also act as organizational advocates and leaders in gifting (Grossnickle 2011, 276–282). Why is the Board at the center of fundraising? Wolf (2012, 242) describes the reason well: “people give to people, but most especially, peers give to peers”. Since 2010, DTH has had an annual “Chairman’s Dinner” in September, where the Board Chair stresses the importance of “fund-raising” and “friend-raising” as the duty of each Board member.

As a third emphasis, the fundraising strategy sets clear directions for the different types of funding sources: individual and institutional giving. Most importantly, DTH has realized the importance of a diversified funding mix as a factor decreasing funding-related risks. Not only does it decrease risk, but it also widens the circle of constituents that DTH currently has. In addition to donors, can engage new audience for its performances. (Cf. Joyaux 2011, 15; Seiler 2011c, 20).

DTH’s history of contributed income shows a few trends. First, government support has been decreasing since the early 2000’s. Secondly, although DTH has relied on major foundations’ support – especially between 2010 and 2012 – this foundation support is also on the decline. The most prominent areas for future contributed income are major gifts, corporate giving and donations via special events.

The new fundraising strategy takes this diversified funding mix and the growth areas into account. In 2011, DTH hired an Individual Giving Manager. DTH is seeking new prospects especially with the help of the Board of Directors and by organizing a variety of special events. The *Vision Gala* is the flagship event, organized annually since 2011.

This is coupled with several smaller events, mainly organized in collaboration with the development team and Board members.

As the Board of Directors is at the center of fundraising, DTH is actively seeking to improve its Board mix. This refers to the mixture of professional expertise areas, networks and also ethnical backgrounds.

Finally, the new fundraising strategy emphasizes a consistent case for support, as well as various relationship-building and engagement tools. These are further described in chapters 7.3. and 7.4.

7.3. Five phases of restructuring and evolving case for support

The analysis of Dance Theatre of Harlem's fundraising revealed five different thematic phases. In fact, it can be stated that these phases also describe the evolution of DTH's case for support, a fleshed out description, why to donate for Dance Theatre of Harlem at a given time (Seiler & Aldrich 2011, 27–28). This can be also described as the key message emphasized in the storytelling (see the figure 17 on the next page).

- **Phase 1: Damage repair and building trust**
("DTH is a good steward of your funds")
- **Phase 2: New artistic era**
("New future: new artistic leadership")
- **Phase 3: Restructuring fundraising**
("Join the consortium")
- **Phase 4: Relationship-building and engaging**
("Be part of the return of the new dance company")
- **Phase 5: New dance company, new opportunities**
("New company, believe again")

Immediately after the crisis and until 2007, the focus was on damage repair and building trust. Slowly, in 2008, DTH started to tell a story of a new artistic era and leadership. The funding consortium, in 2010, was a powerful marketing tool for DTH to attract other funders. Finally, an emerging new company created possibilities to invite people to "be part of the return" in 2011 and finally "believe again" in 2013.

Figure 17. The five phases of fundraising and evolving case for support



The case for support is always derived from the organization's mission. In 2013, DTH has in principal one case for support. The story involves three elements: a dance school (educational aspect), an outreach program (community aspect) and a professional dance company (arts aspect). The interviews revealed, however, that different areas of the case can be stressed depending of the person one is talking to. Several interviewees mentioned that the key is knowing "what resonates with the person".

According to Seiler and Aldrich (2011, 37) a case for support is ideally argued using three different tools: appealing to emotions, appealing to reason and appealing to the credibility of the non-profit organization. Due to its multi-purpose mission, DTH has the possibility to appeal especially to emotions and to reason. For some donors and funders, the emotions emerge from seeing the little children practice and perform in the classes, for others they emerge from seeing the professional dance company creating high quality dance performances. The second aspect, reason, refers to DTH's overall mission of providing opportunity and access to dancers of all races in the field of classical ballet. This reason can be easily explained when referring to many world-class ballet organizations that only take the minimum number of racially diverse artists. The third aspect, credibility of the organization, is the aspect that DTH has had to rebuild since 2004. Although this work is still in progress in 2013, DTH has already seen positive results in establishing new relationships with donors and funders.

Since 2010, DTH has also actively packaged its giving products. The organization introduced three funds: Fund for Artistic Excellence, Next Generation Fund and Community Engagement Fund. Later on, a new fund was added: Pointe Shoe Fund. Also, starting in 2012, DTH has offered the opportunity to support the following initiatives: to commission or to be a commissioning partners for DTH's artistic works, to support a young artist or to sponsor a school. In addition, DTH prepares tailored partnership proposals for potential corporate partners.

7.4. Building relationships and engaging donors and funders

How does Dance Theatre of Harlem attract and maintain donors after an internal crisis? In addition to all the above-mentioned tactics, active relationship-building and engaging is pivotal. DTH uses various tools to nurture its relationships and involve individuals and businesses in the life of the institution.

Cultivation refers to the phases prior to asking for the gift – to all the different ways that are used to move constituents, prospects and donors from an interested stage to an engaged stage. “When engaged, a constituent is ready to be asked.” (Joyaux 2011, 273)

In individual giving, major donor prospects and donors, as well as the Board of Directors are cultivated the most. Major donor prospects and donors are approached via phone calls, e-mails and newsletters. They are invited to different special events either personally or by sending a written letter via regular mail. Annual donors are cultivated less. They are kept connected by a quarterly mailing campaign and can opt to subscribe to a newsletter. The rest of the cultivation is largely dependent on how involved the donors are with the organization proactively.

Solicitation refers to the actual “ask” for a gift. Ideally, there is an optimum intersection of interest, readiness and capacity from the prospect’s or donor’s part. (Joyaux 2011, 285)

Similarly to cultivation, DTH’s solicitation methods also vary according to the donor. Annual donors are usually solicited by the quarterly direct mail campaign. Solicitation is also included in the e-mail newsletter. In addition, one can donate online. Major donors and Board members are mainly solicited face-to-face, in one-to-one meetings. In most special events, a DTH management representative gives a solicitation speech.

Institutional donors and funders are also solicited personally. Before an actual solicitation, the team engages in multi-phased relationship building and various informal discussions with the foundation or corporate representatives.

Stewardship is highly important for fundraising to be successful in the long-term. All funders and donors are thanked soon after the gift with a written letter. The larger the gift, the more personal the additional thank you process. Stewardship also includes informing the donor of the usage of the funds, as well as further engaging the donor or funder. Furthermore, stewardship includes high-level engagement. “In addition to expressions of gratitude, stewardship calls for a high level of accountability for the wise and responsible use of gifts entrusted to the nonprofit”. In fact, at DTH the most engaged individual donors reach an even higher level: the feeling of belonging to the DTH family. (Cf. Enright & Seiler 2011, 269). The same phrasing, “DTH family” was also used by several DTH representatives.

As fundraising in the 21st century resembles of investor relations, stewardship also requires showing a “return on investment” to the donors and funders. Unlike the for-profit world, this does not mean money. Instead, it means the possibility for DTH to create more content in line with its mission. Reporting and keeping the donors and funders on the loop is a crucial part of this ideology.

The key tools for enhancing relationships are proactive and continuous communications and marketing (Joyaux 2011, 253). DTH’s communications and marketing can be divided into two: personal and institutional.

Clearly, DTH has strong assets in the personal communications side. The development team is highly respected by its stakeholders. All the interviewed donors had noticed a major improvement in DTH’s relationship-building and personal communications. On the institutional communications and marketing side, DTH has initiated improvements, such as activating its presence on various social media sites and hiring a PR consultant to increase visibility in media. However, there are still challenges on the institutional communications and marketing side. First, DTH does not have a communications manager. The communications tasks are distributed among separate individuals. These individuals are highly motivated, passionate and long-term staff members of the organization, which makes the task easier. However, this can create challenges in coordinating and in keeping the messages aligned.

DTH has had challenges with marketing, as well. There has been a lot of staff turnover around this position. Many of the interviewees stated that DTH’s institutional marketing is behind its peers. This is partly due to the turnover among the marketing staff and partly to not having people with the right skills to occupy this post.

7.5. DTH in 2013 – believe again?

Dance Theatre of Harlem is stronger than in 2004. In 2012, DTH had an operating budget of 4.6 million US-dollars and an operating surplus of 143,000 dollars compared to an operating budget of 6.7 million US-dollars and an operating deficit of 1.8 million dollars in 2004. The proportion of contributed income has grown to 52% from 22% in 2004.

DTH is operating in line with its new fundraising strategy, established in 2010. It has decided to focus on major gifts, special events and corporate giving; as well as to enhance the role of the Board of Directors.

DTH uses multiple ways to build relationships and to engage donors. These methods vary by the donor group. The story, case for support, is at the center. The SWOT analysis of DTH’s fundraising in 2013 is described in figure 18.

Figure 18. A SWOT analysis of Dance Theatre of Harlem’s fundraising in 2013

	Positive	Negative
Internal	<p>Strengths</p> <ul style="list-style-type: none"> • Artistic quality • Three-fold mission • 44-year history in the US and internationally • Local community & outreach • New, more strategic fundraising approach • Consortium support • Dual management • Reputation of Artistic Director, Ms. Virginia Johnson • Board development • Donor database, Raiser’s Edge • Current donors and volunteers as advocates • New 18-member dance company 	<p>Weaknesses</p> <ul style="list-style-type: none"> • Unbalanced funding mix • Lack of resources: annual giving, special event, prospect research • Communications and marketing • No endowment • Internal promotions: does the staff have required skills for new tasks? • Not enough thorough usage of the donor database • Board mix • Board involvement in give/get (not 100%)
External	<p>Opportunities</p> <ul style="list-style-type: none"> • Major donors • Improved Board mix • Increased Board involvement • Special events • Corporate donors • Increased giving from current donors • Positive media coverage; also nationally and internationally • Collaboration with local organizations • Collaboration with sister cities 	<p>Threats</p> <ul style="list-style-type: none"> • Radical decline in foundation giving and government support • New donations not fast enough • Sudden decline in earned revenue; low ticket sales • Unsustainable growth • Competition for funds • Negative press • External phenomenon (e.g. Hurricane Sandy)

DTH has several opportunities and strengths in its fundraising. The organization's mission, artistic quality, current leadership and new, more strategic fundraising approach represent the greatest strengths. With the new professional dance company, DTH has a more attractive story to tell and an opportunity to attract major donors and other prospects via special events, as well as new corporate partners. From the argumentation point-of-view, the story is effective, as it also includes the emotional appeal (see Seiler & Aldrich 2011, 37). Improvements in the Board mix and Board involvement also create significant opportunities.

The main weaknesses relate to the funding mix. Although DTH has dramatically improved its funding mix, the work is not finished. The main question is: will DTH be able to build the relationships with major donors and corporations fast enough, as donor engagement is a long process and solicitation occurs only after a long courting time. Chong (2002, 114) also states: "A major pitfall of relying on major donors is the undue influence they may have on programming choices." This risk might have been rethought also at DTH because the organization had started a planning process for an annual donor membership program to be launched in the fall of 2013.

DTH also suffers from a lack of resources in its development department, especially regarding special events and annual giving. Furthermore, DTH also lacks an endowment.

"Endowments are almost always valuable to an organization. Properly utilized, they should contribute to organizational sustainability, and they can be utilized as an emergency fund when things go awry, though always with a plan for how borrowed funds will be repaid, on a specific schedule and with interest." (Wolf 2012, 335)

Most organizations take annually a maximum of five percent of endowment principal for operating needs. The balance is usually reinvested for capital appreciation, enabling the value of the endowment to increase. (Wolf 2012, 335)

The external threats are the most difficult ones. It is crucial to take these into consideration and to build the organization as battle-ready as possible (Cf. Drucker 1990, 9). DTH's major threats relate to a decline in foundation giving and government support, as well as to changes in the performing arts scene. One major threat is also growth that is too fast and hence unsustainable. DTH's management has to actively

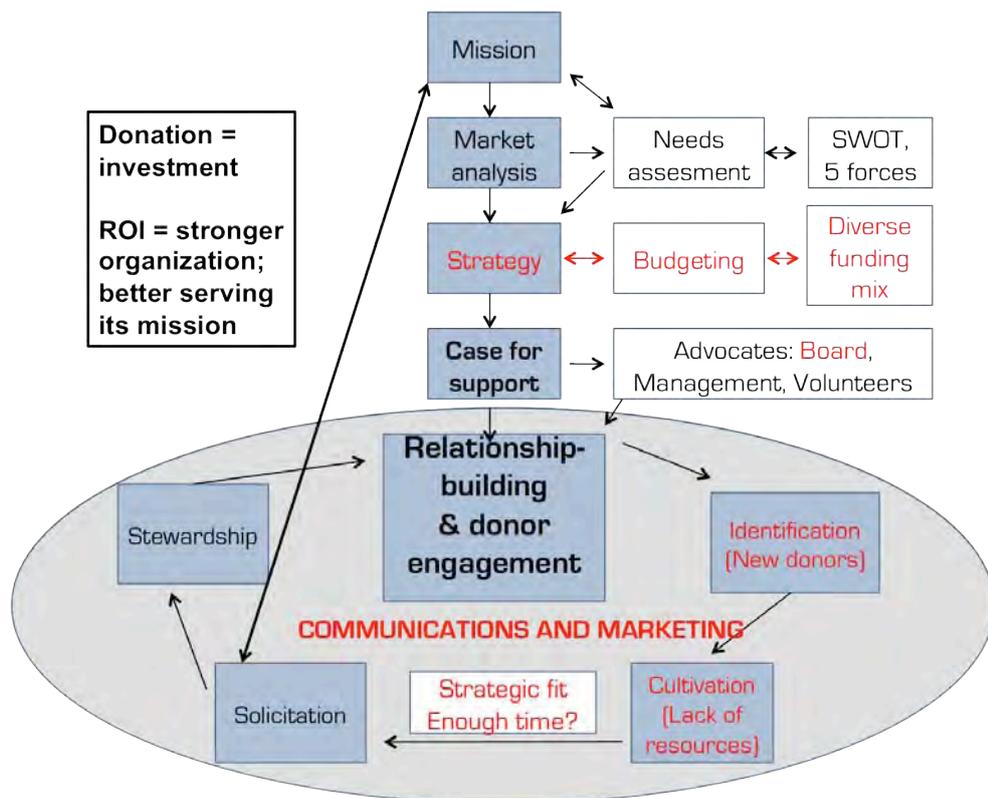
monitor both the earned revenue and costs from the touring company, as well as its fundraising success.

In chapter 3, I described my definition for strategic fundraising as follows:

Strategically developing the non-profit's organizational structure and resources, as well as relationships with the prospects and donors to be able to effectively raise funds from individuals, foundations, corporations or governmental institutions. In strategic fundraising the donor is treated as investor and the donation as an investment.

How does DTH match this definition? The analysis has showed that DTH indeed uses this ideology of strategic fundraising in its operations. As DTH is still in transition and rebuilding, certain bottlenecks and areas of improvement remain, however, for the future. These bottlenecks are critical issues that can either speed up or slower the entire fundraising. The figure 19 describes DTH's fundraising in 2013, as related to the theoretical framework presented in chapter 3. The areas marked with a red text present the main bottlenecks in DTH's fundraising in 2013.

Figure 19. DTH's fundraising's main bottlenecks in 2013



The first bottleneck relates to the relationship between the fundraising strategy, the budgeting and the diverse funding mix. It is crucial for DTH's management to actively monitor the performance: revenues and costs related to both earned and contributed income. An arts organization always aims for high quality art and providing as much content to as wide a group as possible. But this needs to be done within a realistic setting – not over spending the money.

The second bottleneck relates to the Board of Directors. As stated, both the Board mix and the Board involvement need improvement. Although this is a current bottleneck, it also represents one of the major opportunities for the future.

The third bottleneck, prospect identification, is partly connected to the Board of Directors. Once DTH has a more diversified Board, this will enhance DTH's list of new prospects through a wider network of the Board members.

The fourth major bottleneck relates to cultivation and the lack of resources for special events and annual giving. DTH is involved in both. However, additional resources would enable a more strategic approach on these areas – freeing resources for the crucial major gifts fundraising.

The fifth bottleneck is connected to finding the strategic fit with the donor or funder. Will DTH have enough time to find this strategic fit for it to materialize in donations?

Finally, the last bottlenecks revolve around institutional communications and marketing, as described earlier.

To conclude, Dance Theatre of Harlem, has travelled a long journey since 2004, rebuilding its organization. DTH has restructured its entire organization, starting from the organizational strategy and the management. It has created a new model for strategic fundraising, and the funding mix has started to diversify.

Strategic management of the fundraising and the performance management of the entire organization are crucial for Dance Theatre of Harlem's future. As Drucker says: "The most important task of an organization's leader is to anticipate crisis" (1990, 9). Dance Theatre of Harlem has successfully chosen the path of strategic fundraising. The long-term results can be evaluated after the professional dance company has been performing and touring for a longer time.

7.6. Suggestions for future research

This case study research of Dance Theatre of Harlem's fundraising opened doors for other future research.

First, it would be interesting to compare DTH's fundraising restructuring process to some other arts organization's similar process. One very potential organization would be the Harlem School of the Arts. Similar to DTH, this organization suffered from a crisis and had to start rebuilding. For this organization, the crisis occurred later, in the spring of 2010, and the Harlem School of the Arts is thus at a different phase of its rebuilding and restructuring process. However, an interview with Ms. Yvette Campbell, President and CEO of the organization, showed that the School was focusing on similar issues as DTH: restructuring the Board of Directors and improving communications.

Secondly, donors' motivations for supporting performing arts organizations create an interesting research topic. Already based on this research, it was possible to see that individual and foundation donors, as well as corporate partners emphasized different aspects in their giving. It would be interesting to conduct research on these various motivations and whether certain patterns can be found. This would provide the arts organizations specific tools in formulating their case for support for these different target groups.

Finally, corporate giving forms a fascinating area for research. Corporate giving uses a variety of routes, and varies from corporate foundations' donations to more strategic and marketing-oriented giving from the marketing budgets. In addition, corporate social responsibility and employee engagement have an increasing role in corporate giving. New research is needed on how corporations partner with performing arts organizations; how can arts organizations find all the various routes to corporate giving; and what the new partnerships require from the arts organizations.

8. DISCUSSION

Dance Theatre of Harlem's case provides an interesting journey into the process of a performing arts organization's nine-year rebuilding effort after an internal crisis. It shows that successful fundraising cannot be conducted separately from the organization's other activities. In fact, restructuring starts from the organization's mission and evolves into an organizational strategy after a thorough market analysis. The fundraising strategy is derived from the organizational strategy, and needs to be closely connected to the organization's budget and current financial situation. Changes in one area, such as decreased ticket sales as earned revenue, have to be reflected in other areas, such as increased contributed income.

Fundraising is foremost relationship-building and engaging the donors and funders. This can be achieved with proactive and continuous communications and marketing. The case for support acts as the center of storytelling and continuously reinforces the answer to: why donate to us and why now.

The research raised a few key questions, the first being: what is the right ratio between earned and contributed revenue in a performing arts organization?

Unfortunately, there is no clear-cut answer for the relationship between earned and contributed revenue. Based on the statistics, generally 45 percent of performing arts organizations' total support comes from contributed income. This is not the only crucial element of the funding, however. In addition to having both earned and contributed income, the funding sources have to be diversified to decrease risks.

Another key question is: how can a performing arts organization prevent a financial crisis? This is a common concern for many arts organizations. The challenge is especially tricky in performing arts, as there are usually limitations to the possible size for the audience. As mentioned in chapter 7, it is crucial that the management continuously monitors the organization's performance. Changes in ticket sales to performances or the school's tuition revenue have to be immediately matched with increased contributed income and vice versa. DTH has tried to partly solve this by choosing a new dance company that is significantly smaller than the previous one. This results in lower touring and production costs, hence decreasing the financial risk.

Some arts organizations have been innovative and stretched the idea of limited seats. The Metropolitan Opera (MET) is one of the most widely known examples. It launched its *The Met: Live in HD* concept in 2006. This concept opened a selective number of MET's performances for a worldwide public as live screenings at movie theaters. Suddenly, the number of seats expanded.

A third issue raised by this research is the role of arts organizations when competing for government, foundation and corporate funding: is being an arts organization considered enough? Does an arts organization have to achieve other valuable outcomes, such as community relations? Many of the interviewed foundation and corporate representatives emphasized DTH's role in the community. ArtPlace¹⁵, for example, is one example of today's society's requirements for arts organizations. This initiative is a collaboration between 13 leading foundations and six banks in the United States. It provides grants – or invests in – arts and culture that “can drive vibrancy and diversity so powerful that it transforms communities”. For DTH this is not an issue, as being part of the Harlem community and providing opportunity and access for also those in the community that cannot afford or otherwise access the world of classical ballet, has always been part of its mission. For some arts organizations, increasing requirements for doing other socially good things might provide extra burden, however.

Finally, this research opens a discussion regarding arts organizations' fundraising, as well as the entire culture of philanthropy in Finland. As stated already in the introduction of this thesis, the economic climate has tightened also in Finland. The arts organizations are forced to learn strategic fundraising. Simultaneously, there is a need for active building of a culture of philanthropy, also with tax incentives.

Interestingly, in the recent years, fundraising has started to emerge in Finland in new areas. The most visible sector is the field of higher education. Since 2010, the universities have been required to fundraise in line with the new Universities Act. Furthermore, crowd funding started to emerge in 2012.

For an arts organization, active and strategic fundraising provides a tremendous thread of opportunities. It enables them to gain more funding and also to diversify their funding sources. No organization should be reliant on one or two sources of funding. This is not to say that government should decrease its funding. Arts are an integral part

¹⁵ More information about ArtPlace can be found here: <http://www.artplaceamerica.org/about>.

of the Finnish welfare society and, and thus government should continue to contribute its share. This share, however, should be more evenly spread out compared today.

The contributed income would allow Finnish arts organizations to create more content and to attract more audiences – in line with their mission. It would also make innovations and riskier arts explorations possible.

Finland, with its population of 5.4 million people, cannot statistically compare to the population of some 316 million people in the United States. Neither should it. However, Finland can draw some best practices from the arts organizations' fundraising model to fit its own society.

For arts organizations, starting active, strategic fundraising means a couple of critical issues. First, deciding to start fundraising requires investing in fundraising: personnel and databases. In the initial phase, using an external fundraising and development consultant can accelerate the process. However, for an organization to engage in long-term, strategic fundraising, it needs to establish its own fundraising staff. As fundraising escalates in relationship-building, it is crucial for the organization to engage in these relationships.

Secondly, fundraising and development cannot be launched if other areas in the organization are not functioning properly. The entire process from the mission, via market analysis to creating an organizational strategy has to be re-evaluated and corrected, if needed. Only after an arts organization has a valid organizational strategy, can it expand that into a fundraising strategy.

Thirdly, before entering the core area of relationship-building and engaging donors, an arts organization needs to evaluate and restructure its communications and marketing. This is vital, as these are the exact tools for relationship-building. It is important to notice, however, that not everything has to be done simultaneously. However, a strategic planning and mentality have to be prevailing from the beginning.

The most promising areas in fundraising for Finnish arts organizations are within corporate partnerships and smaller individual giving, annual giving. Already the World Design Capital Helsinki 2012 project demonstrated that companies are willing to explore new partnership models and to create content in collaboration with arts organizations.

In addition to arts organizations' active participation in fundraising, some legislative changes are needed in Finland. The first change relates to the current Money Collection Act, based on which a non-profit organization needs to acquire a separate permission to fundraise. The permits have been short-term, hindering the possibility for long-term, strategic fundraising. Also, the legislation is somewhat unclear regarding arts organizations. This law is currently being discussed. The Parliament of Finland is to decide on possible changes for this Act in the fall 2013.

The second important change is needed regarding tax deductions for charitable giving. Traditionally, taxation has not offered deductions for charitable giving. Some temporary changes were made, however, related to the University Reform. Although taxation is not the most decisive factor for donors in the United States, it can serve as a powerful incentive: especially in a country like Finland, where the culture of philanthropy does not exist to similar extent in the field of arts and culture.

Strategic fundraising is currently a necessity in the United States. In Finland, it can be viewed as a competitive advantage. Those arts organizations that enter this field among the pioneers will have a longer time to work on building relationships – and thus better possibilities to succeed.

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APPENDIX 1: DEFINITIONS OF THE KEY TERMS

Based on my research, I have chosen the following definitions for the key terms:

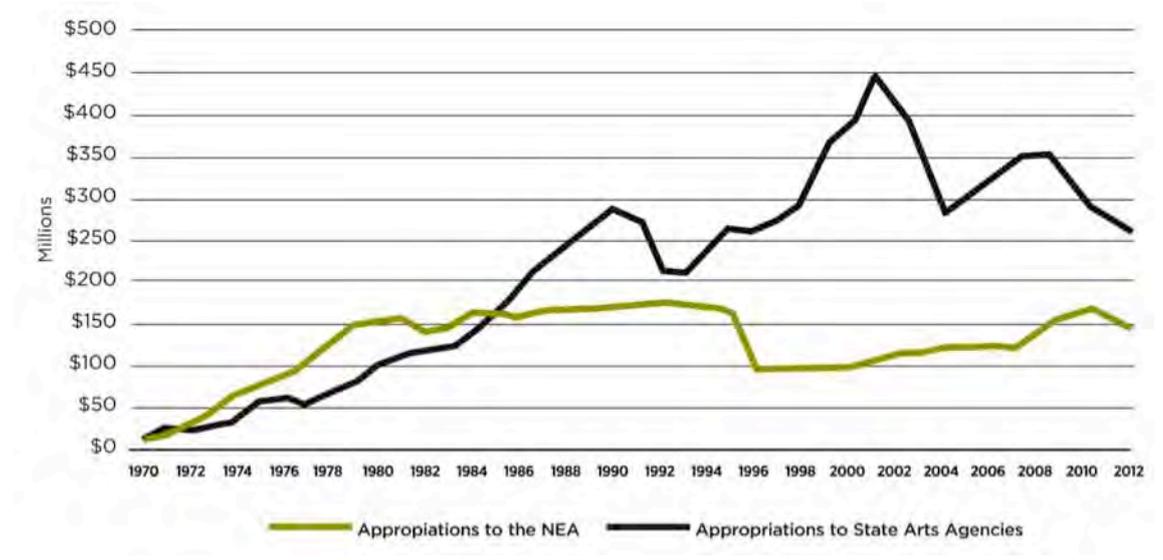
- *Philanthropy*: organized giving for a cause viewed important with the aim of structural or social change
- *Charity*: Individual donations for a cause a person views important; lacks organized, strategic and collective approach
- *Philanthropic culture*: a culture, which encourages giving in all different forms – from individual charity to organized giving. The United States is considered to have a strong philanthropic culture.
- *Giving*: Giving money for a cause viewed as important
- *Corporate Giving*: Money given by corporations or corporate foundations. This includes both donations from corporate foundations, as well as money from the corporations' marketing, corporate social responsibility and other budgets, such as the CEO's or key directors' budgets
- *Non-profit organization*: charitable organization that serves the public good opposed to a private interest, and has received a 501(c)(3) status by the Internal Revenue Service. The two main charitable organizations are public charities and private foundations. This research focuses on public charities.
- *Mission statement*: Describes the organization's reason for existence. Mission is emphasized in non-profit organizations.
- *Independent sector or third sector*: sector consisting of non-profit organizations
- *Fundraising*: Any active effort by a non-profit organization to raise funds from individuals, foundations, corporations or governmental institutions. Fundraising stems from a philanthropic culture.
- *Development*: Developing the entire non-profit organization and its fundraising, as well as developing personal relationships to prospects and donors with fundraising. Most fundraising departments are called development departments in the United States.
- *Strategic fundraising*: Strategically developing the non-profit's organizational structure and resources, as well as relationships with the prospects and donors to be able to effectively raise funds from individuals, foundations, corporations or governmental institutions. In strategic fundraising the donor is treated as investor and the donation as an investment.

- *Grantmaking*: Strategic giving by a foundation to non-profit organizations
- *Constituent*: Someone who relates to or cares about your organization (individual, corporation, foundation or other entity).
- *Prospect*: Identified, potential donor for a non-profit organization.
- *Prospect research*: Finding potential donors through thorough research.
- *Donor*: Person or organization donating for a non-profit organization
- *Funder*: Person or organization supporting a non-profit organization. Funders include corporate partners, which are not solely donors.
- *Case for support*: The core of fundraising communications. The case describes, why to donate for the non-profit organization at that specific time.
- *Identification*: The phase in fundraising, when prospects are identified
- *Cultivation*: The phase prior to asking the gift. Cultivation refers to all the different ways that are used to move constituents, prospects and donors from an interested stage to engaged stage. Money is not asked in this phase.
- *Solicitation*: The phase in fundraising, when cultivation leads to asking for a monetary gift.
- *The ask*: The phase within solicitation, when the gift is asked.
- *Stewardship*: The phase after a donor has given the first gift; starts with thanking the donors with a personal, signed letter. Stewardship, however, is a much larger concept. It is about nurturing the newly established donor relationship in all the possible ways to engage the donor even further and to guide the donor to give larger gifts. The aim is to lift the donor “up the ladder” in the giving pyramid.

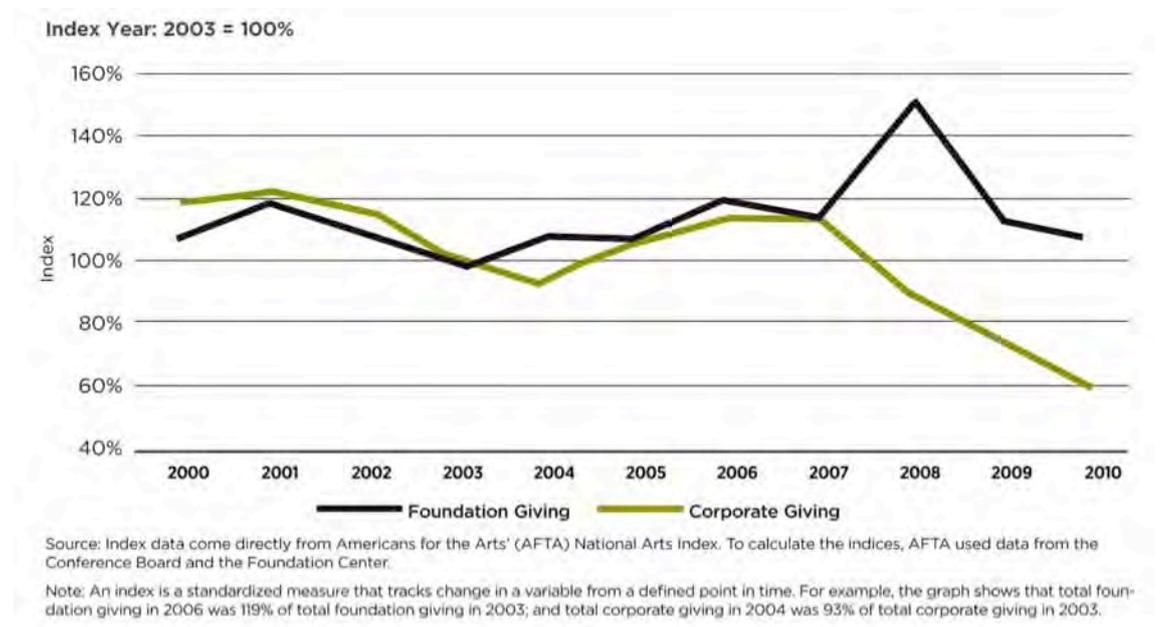
(Adapted from Seiler 2011a-c; Rosso 2011a-b; Joyaux 2011)

APPENDIX 2: FUNDING FOR THE ARTS (NEA)

Total appropriations to the National Endowment for the Arts and State Arts Agencies between 1970 and 2012



Foundation and corporate giving to arts and culture between 2000 and 2010 (excluding sponsorship)



Source: National Endowment for the Arts 2012, 8; 22

APPENDIX 3: SAMPLE QUESTIONS USED IN THE INTERVIEWS

Management:

1. How would you describe DTH's mission today and before?
2. How do you describe the case for support? Do you vary according to the donors and funders?
3. What is DTH's role in the community?

Development staff:

1. What is the fundraising strategy?
2. How do you target individual and institutional donors? Do you focus on certain groups?
3. What are your tools for cultivation, solicitation and stewardship?
4. What is the role of Board of Directors?
5. What has been the role of the funding consortium?
6. What were the major changes done during the consulting period in 2010–2011?

Board members:

1. How would you describe DTH as an organization?
2. What are DTH's major opportunities and challenges?
3. Could you describe the Board's give/get policy and the Board's role in fundraising?

Donors:

1. How would you describe DTH now and before – what changes have you seen after the crisis?
2. What were the reasons for starting to support DTH?
3. How important is the fact that DTH has a three-fold mission? Could you describe this.
4. Do you use some measurements; how do you evaluate the success of your donations?

APPENDIX 4: EXAMPLE OF AN INTERVIEW SITUATION

Mr. Laveen Naidu, Executive Director, Dance Theatre of Harlem

Interviewer: So, talking about the mission... How would you describe the mission of DTH today, and in your own words, if it has changed from the early days or if not?

Mr. Laveen Naidu: So, how do I describe the mission today versus if it has changed...

Interviewer: Yeah, yeah.

Mr. Laveen Naidu: You know, the mission is essentially three parts... school, arts education and performance. Fundamentally it is about providing access and opportunity to a wide range of people, diverse group of people. Inextricable for Dance Theatre of Harlem is its African American root and so it prioritizes... that's a good way to put it. The Oxford dictionary, I think, defines Dance Theatre of Harlem as the first ballet company to prioritize African American performers.

Interviewer: Yeah, because if I look at the description – provide access and opportunity to African American and other racially diverse – and when you interpret that widely...

Mr. Laveen Naidu: It's everybody. [Simultaneous talk.]

Interviewer: It's everybody. [Simultaneous talk.] Right, right.

Mr. Laveen Naidu: But there's a reason. [...] Because it's this prioritization. Right?

Interviewer: Right.

Mr. Laveen Naidu: 'Cause in the larger landscape that has not been an area that has received a priority.

Interviewer: Right.

Mr. Laveen Naidu: So hence [...] essentially Dance Theatre [...] so that mission is to provide that access and opportunity for a world-class competitive training. So if you choose to pursue a career [...] you should be equipped to compete with the best of the best. Beyond that, it's to have an environment that nurtures, that holds young people to a very high standard to broaden their, the way they think and their horizons... So what is possible in your life – sort of idea. If you think of a population that we deal with largely, they are not your typical ballet school. [...]

Interviewer: And it's good that you mentioned the word prioritization because that relates to another question. How do you prioritize African American, both being African American organization and operating in Harlem and all this compared to before? How do you emphasize the roots nowadays?

Mr. Laveen Naidu: Right. Versus when the company was founded, right?

Interviewer: Right. If you look at... a couple of factors. Number one, in 1969 when DTH was founded, it was founded at a time and in an environment where... Civil Rights movement... And the whole idea of an African American entity breaking this cultural barrier of ballet was a huge attractor. And the way people define themselves at that time was different from the way people define themselves today... The question of what is black in America, what is African American today is defined very differently.

Depending on the age of the person we are speaking with and the economic... people tend to define differently. [...]



The PATH TO A STRONG FUTURE 2010-2015

Dance Theatre of Harlem's core mission revolves around its School, its Company, and its Education & Outreach Programs. The **Path to a Strong Future** is a five-year artistic and strategic plan which lays out goals for each area, and shows what is needed to realize Dance Theatre of Harlem's dreams.

Fund for Artistic Excellence



GOAL: Gifts to this Fund will support new ballet commissions; the return of a professional Company; archives, preservation and exhibits; new media and technology efforts; and related artistic initiatives.

18 Dancers
75 Cities
50 States
250,000 Attendees

Next Generation Fund



GOAL: Gifts to this Fund will support the DTH School and its talent scholarships, financial hardship aid, national talent identification, public programs, *Whole Dancer* curriculum, and related dance training initiatives.

"One realizes how important Dance Theatre of Harlem has been in changing perceptions and shaping ballet's evolution as an art of the 21st century... the group is on the verge of a great renewal."

NEWARK (NJ) STAR-LEDGER

750 Students
25 States
65% Financial Aid
20,000 Alumni

Community Engagement Fund

GOAL: Gifts to this Fund will support education and outreach programs, including *Firebird* teaching residencies in public schools, free family and neighborhood programs, and related community engagement efforts.

5 Cities
25 Schools
30 Teaching Artists
10,000 Students



To contribute to the Dance Theatre of Harlem and the *Path to a Strong Future*, contact Executive Director Laveen Naidu or Artistic Director Virginia Johnson at (212) 690-2800 or lnaidu@dancetheatreofharlem.org.

APPENDIX 7: DTH'S LEGACY CIRCLE

You are at: [Planned Giving](#) > Legacy Circle

AA Text Size

Legacy Circle



The Legacy Circle is a group of individuals who have made a future gift to Dance Theatre of Harlem through their will or other estate plans.

By making their gift intention, Legacy Circle members are assuring that Dance Theatre of Harlem will continue to: provide access and opportunity to young people; thrill audiences through its artistic excellence; and provide a place for African Americans and other racially diverse individuals to excel in classical ballet.

You don't have to be wealthy to make a significant gift!

Any documented planned gift entitles you membership into the Legacy Circle program. Members become VIPs receiving invitations to exclusive programs and events. Meet Artistic Director, Virginia Johnson, and attend private rehearsal viewings with world renowned choreographers and collaborators.

Donors are able to make strategic contributions through a bequest, living trust or other gifts that provide benefits during your life and the life of a loved one. Your gift may support Dance Theatre of Harlem's Fund for Artistic Excellence, Next Generation Fund and Community Engagement Fund or to benefit a specific program of your choosing.

Establishing an endowment in honor of a loved one or providing a perpetual scholarship through your estate are just two examples of the various ways your estate planning decisions can make a difference.

Annual Benefits of Legacy Circle Membership:

- Two complimentary tickets to a DTH Sunday Matinée of your choice
- Premium seating at DTH Sunday Matinées
- Advanced ticket sales to the DTH Company's New York Season
- Invitation for two to attend a rehearsal of new works with the DTH Professional Company before the New York Season
- Recognition on select DTH online and printed materials
- Two complimentary tickets to DTH's Legacy Circle appreciation event with Artistic Director, Virginia Johnson
- Advanced Sales and premium seating at the DTH School's Spring Performance
- Invitation to attend one of DTH's arts education outreach programs with school children
- A special Legacy Circle pin to celebrate your membership

As a member of our Legacy Circle, your planned gift can be designed to meet the needs of Dance Theatre of Harlem as well as your own personal needs. You can become a member in a number of ways. We invite you to contact us for more information by calling (212) 690-2800 and asking for Amanda Gee at extension 437.

A charitable bequest is one of the easiest ways you can leave a lasting impact on Dance Theatre of Harlem. A bequest may be made in your will or trust directing a gift to our organization.



DANCE
THEATRE ♀
HARLEM

**Dance Theatre of Harlem
Legacy Circle Pledge Form**

It is my/our desire to provide a legacy of support for Dance Theatre of Harlem. I/we am/are pleased to inform you of my/our legacy intention to provide a gift after my/our lifetime to benefit Dance Theatre of Harlem.

I/we understand that this gift is revocable and can be modified at anytime. I/we further understand that I/we (or my estate) am/are not legally or morally obligated to fulfill this intention if I/we choose to modify or cancel such planned gift at a later date.

I/we have designated to Dance Theatre of Harlem as a beneficiary in my/our (please indicate by circling):

- Will
- Revocable Trust
- Retirement Plan
- Life Insurance or
- Other Planned Gift

All planned giving donors qualify for inclusion and recognition as Legacy Circle members of Dance Theatre of Harlem. Inclusion allows the organization to express continued thanks for your intended gift, and it allows your planned gift intention to serve as encouragement to others.

Please include me/us as (a) Legacy Circle member(s). My/our names(s) should be listed as follows:

If you wish to be listed as Anonymous, please check here _____

Signature(s): _____

Name(s): _____

Date: _____

Thank you for your generous support of Dance Theatre of Harlem and Welcome to the Legacy Circle!

Please contact us to make your plans known, obtain more information, or to establish an endowment agreement to support a specific area. Contact Amanda J. Gee, Manager of Individual Giving, Dance Theatre of Harlem, 466 West 152nd Street, New York, NY 10031. Telephone: (212) 690-2800 x437. Email: agee@dancetheatreofharlem.org. Fax: (212) 690-8736.

APPENDIX 9: EXAMPLES OF 2012–2013 EVENT ADVERTISEMENTS



THE RETURN
BE A PART OF THE RETURN
An Exclusive Preview of the
DANCE THEATRE OF HARLEM COMPANY

Sponsored by
VALENTINO D. CARLOTTI

YOU AND A GUEST ARE CORDIALLY INVITED TO AN EXCLUSIVE PREVIEW OF THE RETURN OF
THE DANCE THEATRE OF HARLEM COMPANY

<p>THE RETURN</p>	<p>EL MUSEO DEL BARRIO 1230 FIFTH AVENUE, NY, NY 9.27.12</p>	<p>ARRIVE EARLY: 5:00 P.M. TO 6:00 P.M. to experience El Museo del Barrio's current exhibition "Caribbean: Crossroads of the World," which the New York Times has called "the big art event of the summer season in New York"</p>
<p>DANCE THEATRE OF HARLEM EL MUSEO DEL BARRIO Dress: Business Attire <small>(THIS INVITATION IS NON-TRANSFERABLE)</small></p>	<p>BE A PART OF THE RETURN! PERFORMANCE BEGINS AT 6:30 P.M.</p> <p>This exclusive preview is a chance to see the Dance Theatre of Harlem Company in excerpts of new repertoire and a few old favorites before the Company leaves on tour</p>	<p>The exhibition includes over 550 works by 379 artists from 40 countries El Museo del Barrio is offering FREE admission to all Dance Theatre of Harlem guests to see "Caribbean: Crossroads of the World"</p> <p>A RECEPTION WITH DANCE THEATRE OF HARLEM DANCERS IMMEDIATELY FOLLOWS THE PERFORMANCE</p> <p>Please RSVP before September 20th at www.dthcompanyandelmuseo.eventbrite.com Private password: dthelmuseo or by calling Amanda Gee at (212) 690-2800 x437</p>



THANK YOU

DANCE THEATRE OF HARLEM

Thank you for you spending a very special evening with us at El Museo del Barrio on Thursday, September 27th and being part of the RETURN.

Will you consider supporting Dance Theatre of Harlem?

Your support will bring a first class arts education to thousands of students and inspire others like you around the world.

If you are a new donor to Dance Theatre of Harlem, your gift will be matched by The Thompson Family Foundation.

Click [here](#) to make a difference now!




**DANCE
THEATRE OF
HARLEM**

2013 VISION GALA
FEBRUARY 26, 2013

HONORARY CHAIR: CHELSEA CLINTON

Save the Date

**MANDARIN ORIENTAL NEW YORK
CELEBRATE THE RETURN**

**HONORING
VANESSA WILLIAMS**

Black Tie

PROCEEDS BENEFIT
 The Dance Theatre of Harlem School's
 Next Generation and Community Engagement Funds

FOR MORE INFORMATION CONTACT
 SHARON WILLIAMS DUNCAN
 212.690.2800 ext. 434
 swilliams@dancetheatreofharlem.org

Make the Date! DANCE THEATRE OF HARLEM COMPANY | JAZZ AT LINCOLN CENTER | APRIL 10-14, 2013




**DANCE
THEATRE OF
HARLEM**

2012-2013
**sunday
matinée
series**
 artistry for the community!
november 11 at 3pm

Sunday Matinéés are back with the first performance of the series. Join us for an inspiring afternoon of music, dance and artistry for the Harlem community!

This series continues on: Dec 9, 2012 Jan 13, 2013 Feb 10, 2013 Mar 10, 2013 Apr 7, 2013 May 5, 2013	Advance Tickets: \$18 Adults \$14 Seniors/Children Tickets at the door: \$20 Adults \$15 Seniors/Children
--	--

BUY NOW!

Group Discounts available!

Everett Center for the Performing Arts | 466 West 152nd Street, NYC | P: 212.690.2800



DANCE THEATRE *of* HARLEM

INAUGURAL NEW YORK SEASON

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JAZZ AT LINCOLN CENTER'S
FREDERICK P. ROSE HALL
TIME WARNER CENTER
NEW YORK, NY

APRIL 10-14

SIX PERFORMANCES ONLY!
OPENING NIGHT RECEPTION



BELIEVE AGAIN

TICKETS STARTING AT
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JAZZ AT LINCOLN CENTER BOX OFFICE
BROADWAY AT 60TH STREET
OR 0212 633009
MONDAY-WEDNESDAY 10AM-6PM
SUNDAY 12PM-6PM

PERFORMANCE SCHEDULE:

[PROGRAM A]

APRIL 10TH | 7:30PM
APRIL 11TH | 8:00PM
APRIL 14TH | 3:00PM
Agon | Black Swan Pas de Deux *
Far But Close** | Return

*DTH PREMIERE **NEW YORK PREMIERE

[PROGRAM B]

APRIL 12TH | 8:00PM
APRIL 13TH | 8:00PM
Gloria** | When Love**
Glinka Pas de Trois | The Lark Ascending*
Contested Space

[FAMILY MATINEE]

APRIL 13TH | 2:00PM
Gloria | When Love
Glinka Pas de Trois
The Lark Ascending | Return

MAJOR FUNDING FOR THE NEW YORK SEASON IS PROVIDED BY THE



PHOTO: ANDREW DEWILL / SHOOTING STAR

Commissioning Opportunities

Commissioning a ballet is an exciting way to bring art into the world. You may commission an entire new work or co-commission a piece with one or more individuals/institutions. Currently, each new ballet or revival costs from \$25,000 to \$125,000 to create, rehearse, produce, and preserve. It is not uncommon for individuals, groups, families, or businesses to commission a work to honor someone's life and achievements and mark important dates, while gaining the satisfaction of supporting the creation of a new ballet.

The Dance Theatre Harlem Company returns with a thrilling, highly anticipated New York season at Jazz at Lincoln Center from April 10th to 14th. This season promises many riveting and awe-inspiring works and company premieres and revivals. If you'd like to help these creations come into existence as a commissioner, please contact Sharon Duncan at sduncan@dancetheatreofharlem.org.

World & NYC Premieres

As a Commissioning Champion, you or your company's name will be included on the work's title page in the nightly stage bill whenever it is performed, in perpetuity.



Gloria

Choreography: Robert Garland
Music: Francis Poulenc
World Premiere: October 20, 2012
New York City Premier: April 10, 2013

This full company work created by Resident Choreographer Robert Garland and set to music by Francis Poulenc, is a tribute to the rich spiritual history and legacy that abides in the community of Harlem. The NYC premiere will also feature live music by the Abyssinian Baptist Church Choir and students from the DTH School.
\$125,000 Commissioning Champion

Far But Close

Choreography: John Alleyne
Music: Daniel Bernard Roumain
Text: Daniel Beaty
World Premiere: November 16, 2012
New York City Premiere: April 10, 2013

An innovative collaboration based on a spoken-word text by Daniel Beaty, music by Daniel Bernard Roumain and choreography by John Alleyne. Far But Close uses the language of ballet to tell a contemporary urban love-story. The NYC premiere will feature live music and spoken word.

\$100,000 Commissioning Champion





When Love

Choreography: Helen Pickett
Music: Philip Glass
World Premiere: October 20, 2012
New York City Premiere: April 10, 2013

An ecstatic love duet created as part of Harlem Dance Works 2.0 with choreography by William Forsythe acolyte Helen Pickett and music by Philip Glass.
\$75,000 Commissioning Champion

Company Premieres

The Lark Ascending

Choreography: Alvin Ailey
Music: Ralph Vaughn Williams
Premiere: 1972, Alvin Ailey American Dance Theater

DTH Premiere: October 20, 2012
New York Season: April 10, 2013

Choreographed by Alvin Ailey to the famous score by Ralph Vaughn Williams, this sublime work has not been performed in its entirety since the 1980s. Dance Theatre of Harlem will perform this work on pointe for the first time ever. **\$50,000 DTH Premiere Sponsor**



Black Swan

Choreography: Marius Petipa
Music: Pyotr Ilyich Tchaikovsky
Premiere: 1877
New York Season: April 10, 2013

Always a crowd-pleaser, this classical pas de deux from the third act of Swan Lake is full of passion and pyrotechnical choreography.
\$25,000 DTH Premiere Sponsor



Contested Space

Choreography: Donald Byrd
Music: Amon Tobin
Premiere: February 7, 2012, Joyce Theater, NYC
New York Season: April 11, 2013

An edgy, physically challenging exploration of interpersonal relationships choreographed by Donald Byrd with music by Amon Tobin.

\$25,000 DTH Premiere Sponsorship



In the Mirror of Her Mind

Choreography: Christopher Huggins
Music: Arvo Pärt
Premiere: August 17, 2011, Dancers Responding to Aids Benefit, Hamptons, NY

In this powerful work, one woman, reflects on the loves and losses of her lifetime represented by three different men. **\$25,000 DTH Premiere Sponsorship**

Glinka pas de Trois

Choreography: George Balanchine
Music: Mikhail Glinka
Premiere: March 1, 1955, New York City Ballet, City Center of Music and Drama
DTH Premiere: January 17, 2012, Huntsville, AL

A light and challenging divertissement that features flashing feet and brilliant jumps in a combination of solos, duets and trios.

\$25,000 DTH Premiere Sponsorship





Revivals

Agon

Choreography: George Balanchine

Music: Igor Stravinsky

Costume Design: practice clothes

Original Lighting: Nananne Porcher

DTH Premiere Date: June 27, 1971, Teatro Nuovo, Festival of Two Worlds, Spoleto, Italy

New York Season: April 10, 2013

The quintessential neoclassical ballet with choreography by George Balanchine and music by Igor Stravinsky, originally set on Dance Theatre of Harlem co-founder Arthur Mitchell. Mr. Mitchell danced in the original cast of *Agon* at the New York City Ballet. Virginia Johnson,

founding company member and current Artistic Director, danced in the original DTH cast. Now a new generation will carry the torch of this icon ballet. **\$40,000 Revival Sponsorship**



Return

Choreography: Robert Garland

Music: Aretha Franklin and James Brown

Costumes: Pamela Allen

Lighting: Roma Flowers

Premiere: 1999, City Center, New York City

New York Season: April 10, 2013

A rousing blend of the elegance of classical ballet and the gritty drive of fun *Return* is a quintessential DTH ballet. To songs of Aretha Franklin and James Brown, choreographer Garland has pushed the boundaries of pointe work while maintaining his roots in neoclassical vocabulary. This revival will feature new costume and lighting designs. **\$40,000 Revival Sponsorship**



Commissioning Partners

You can become a Commissioning Partner starting at \$5,000. As a thank you, your name will be published in a special section of the Playbill as a Commissioning Partner during the company's premiere season at Jazz at Lincoln Center.

As a \$10,000 Commissioning Partner, you will be listed as a Commissioning Partner, and you will be invited to a special preview of the new work.

As a \$15,000 Commissioning Partner, you will receive priority listing as a Commissioning Partner, an invitation to a special preview of the new work and an invitation to an intimate reception with Artistic Director, Virginia Johnson, and the dancers.

Support a Young Artist Transform a Life

Dance Theatre of Harlem is thrilled to offer our closest friends a program that provides a personal and intimate experience with the Dance Theatre of Harlem School.

The Support a Young Artist program provides students who dream of a life in the performing arts with a caring patron who will give them the opportunity to make their dream a reality.

Dance Theatre of Harlem School Facts:



- While our tuition remains low compared to other professional studio schools, there are still many families who would not be able to attend without some assistance
- Up to 65% of our students receive more than \$325,000 in scholarships or tuition assistance each year
- At a minimum, female dancers use 24 pairs of pointe shoes a year at \$80 to \$100 per pair
- Male dancers use at least four pairs of ballet shoes a year at \$30 per pair

We invite you to join us in making a bright future for more students by joining our Support a Young Artist Program.

As a supporter, you will:

- Be paired with a young artist(s) whose progress you are encouraged to follow
- Receive a photograph and biography of your young artist(s)
- Receive invitations to see your young artist(s) in performance
- Receive special access to DTH studios to preview class
- Be acknowledged in select DTH online and printed materials

The Support a Young Artist program is provided for students who participate in the Professional Training Program and Cabriole Program.

Giving Levels:

- **Professional Training Program Student – \$10,000:** Provides one-year of tuition to an advanced-level student. Build the bridge from life as a student to the world of professional dance.
- **Cabriole Program Student – \$5,000:** Provides one-year of tuition to a pre-professional level student 13 to 18 years old, to help them achieve technical proficiency and performing quality.

Dancing Through Barriers® (DTB) Sponsor a School

*"The DTB residency accomplished the goal of engaging the community through connecting and exposing students to **new creative expression**, stirring **parent involvement** with the school and their own child, **engaging community support**, and developed **responsibility, commitment and teamwork**."*

-Sally Ortega, Community Development Administrator
from New Roberto Clemente School in Paterson, NJ

Dance Theatre of Harlem's national and international education and outreach initiative, Dancing Through Barriers® (DTB), is the embodiment of the organization's commitment to increasing access to the performing arts. DTB® functions as a traveling classroom introducing thousands of young people to the art and discipline of dance by offering a variety of activities that spark the imagination and stimulate learning. **DANCING THROUGH BARRIERS® SPONSORSHIP: \$5,000**

DANCING THROUGH BARRIERS® offers the following:



Residencies: In-school or after-school experiences are offered customized to meet the needs of public schools and after-school programs.

Performances: Live educational performances combine lecture demonstration with audience participation.

Outreach: Site visits and tours of Dance Theatre of Harlem studios offer a first-hand look at how DTH operates as a professional dance company, school and business.

At the program's foundation is DTH's cutting edge movement curriculum and teaching artist training methods which have been vetted by leaders in dance education to ensure optimal alignment with established benchmarks for childhood physical development.

At the same time, the themes addressed during a given residency are adjustable to the specific issues faced by students and their immediate community. Thus, the program can easily be reproduced across multiple sites in different geographic zones.

HOW ARE DANCING THROUGH BARRIERS® CLASSES STRUCTURED?

Our 2012-2013 curricular themes are Creative Literacy, Social Imagination and Technique and Active Expression.

1. CREATIVE LITERACY

An interdisciplinary approach to Language Arts, Social Studies, Math, Science and Technology (Grades K-6)

- FIREBIRD: Interdisciplinary exploration of Language Arts using dance
- MATH, SCIENCE AND TECHNOLOGY: Investigate Math, Science, and Technology through the body



2. SOCIAL IMAGINATION

The capacity to see things socially and understand how they interact and influence each other (Grades 5-12)

- POSITIVE COMMUNITY: Students and parents gain tools to engage in and question the concept of community by bridging the gap between science and the arts
- DIASPORA: Critically examining our socio-cultural past, present and future through the arts

3. ACTIVE EXPRESSION

Dynamic use of energy to continuously move from idea to manifestation, using focus, discipline and innovative thinking.

- TECHNIQUE: Experiencing the rudiments of Dance Theatre of Harlem technique
- DANCE MAKING: Discovering original movement invention

Dancing Through Barriers® currently serves the five boroughs of New York, Northern New Jersey and Westchester County. Its dance curricula conform to arts standards in New York City and state levels in New York and New Jersey.

APPENDIX 11: EXAMPLES OF WRITTEN CULTIVATION, SOLICITATION AND STEWARDSHIP MATERIALS

Dear Colleagues:

After Superstorm Sandy, **school displacement** and disruption are new realities for many of us, as students are forced to cope with changing learning environments.

We are eager to help keep the young people in our communities educationally on track!

We introduce (or re-introduce) you to Dancing Through Barriers (DTB)—the education outreach program of the renowned Dance Theatre of Harlem.

Through dance, DTB presents a multi-layered educational experience, coupled with a student-centered pedagogical approach. Let us help you in these challenging times.

Looking forward to working with you,

Geneva Manley

dancing through barriers®



Watch our Positive Community Video

Click Here!



For more information contact:
Geneva Manley
Education Manager
P: 212.690.2800 x426,
E: DTBinfo@dancetheatreofharlem.org

dancetheatreofharlem.org

Sent by: Dance Theatre of Harlem
[Reply to the sender](#)



news and more...

October 2012



DANCE THEATRE OF HARLEM COMPANY DEBUTS IN LOUISVILLE, KY!

The Dance Theatre of Harlem Company returns to the stage with an exciting debut performance at the Kentucky Center in Louisville, KY on Saturday October 20, 2012 at 8:00pm.

Program highlights include two world premieres: Robert Garland's *Gloria*, and Helen Pickett's *When Love*.

Click [here](#) to purchase tickets!

LAST OPPORTUNITY TO SUPPORT THE THOMPSON FAMILY FOUNDATION CHALLENGE!

Please help us continue to transform lives through dance!

If you make a contribution to Dance Theatre of Harlem by December 31, 2012, the Thompson Family Foundation will match every one of your dollars up to \$75,000!

Click [here](#) to make a gift today!



DTH Faculty member Nikki Helko and students



Dance Theatre of Harlem Company Members

DANCE THEATRE OF HARLEM PREVIEW HOSTED BY VALENTINO D. CARLOTTI

On Thursday, September 27th over 400 invited guests enjoyed an exclusive preview of the Dance Theatre of Harlem Company at El Museo del Barrio, graciously sponsored by Valentino D. Carloti.

Among the many guests in attendance were Bebe Neuwirth and Chris Calkins.

Join the DTH Family! Click [here](#) to sign up for our mailing list and get information on upcoming events.

SUNDAY MATINÉE SERIES BEGINS Sunday, November 11, 2012 at 3pm!

Advance Tickets:
\$18 Adults \$14 Seniors/Children

Tickets at Door:
\$20 Adults \$15 Seniors/Children

Group discounts available!
Call 212.690.2800 ext. 479

Click [here](#) to buy your tickets NOW!



Company Members Anthony Savoy & Gabrielle Salvatto



DTH Company Member Ashley Murphy

CONGRATULATIONS ASHLEY MURPHY!

DTH Company Member, Ashley Murphy has just been nominated for the prestigious **Clive Barnes Foundation Award!**

Click [here](#) to see the mention in *The New York Times*.

Dance Theatre of Harlem

YOUR VOTE IS OUR VOICE

VOICES OF
HEALTH



2012 Aetna Voices of Health Awards!

Dance Theatre of Harlem has been nominated for the 2012 Aetna Voices of Health Awards, which means we're being honored as one of the nation's top community health organizations working towards accessible health care for all. Pretty cool, right? We think so, and we're hoping you'll show us your support by heading to www.aetnavoicesofhealth.com and voting for us. With each vote we'll get that much closer to being named the winner and an award of \$30,000, which will go such a long way in our mission to help folks who don't have access to the health care they deserve.

- Dance Theatre of Harlem

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If you have any questions please [Contact Us](#)

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00.36.535.1 (7/12)



Ms. Heidi Lehmskumpu

New York, NY 10025

February 4, 2013

Dear Heidi,

Thank you so much for your generous gift of \$100.00 to Dance Theatre of Harlem (DTH) received on January 22, 2013. We truly appreciate your investment in DTH

Dance Theatre of Harlem continues to provide access and opportunity to first-rate training in classical ballet and the allied arts, as well as engaging and effective arts education programming. The DTH Company, School and Community Engagement program, Dancing Through Barriers®, continue to evolve, engage and inspire young people and audiences nationwide. Your contribution helps us to serve more and we deeply appreciate your continued commitment.

Please stay connected! Visit our website for information about ongoing activities at www.dancetheatreofharlem.org or give us a call to find out what's happening at DTH. *Please share this information with your family and friends!*

Again, thank you for stepping up with Dance Theatre of Harlem!

Sincerely,

Virginia Johnson
Artistic Director

Leveen Naidu
Executive Director

Heidi -
Your support means
a lot to us. Thank you

**Please retain this donation acknowledgement letter for tax purposes.
In accordance with I.R.S. regulations, we confirm that no goods or services were exchanged for
your online contribution of \$100.00.**



February 1, 2013

Ms Heidi Lehmuskumpu

New York, NY 10025

Dear Ms Lehmuskumpu,

Sometimes people only see locked doors, closed windows and dark rooms. Show them what they are missing. "The greatest pleasure in life is doing what people say you cannot do," according to Walter Bagehot. Let others think what cannot be done as you recall what Arthur Mitchell did for ballet 43 years ago when he co-founded Dance Theatre of Harlem.

On behalf of Virginia Johnson and all of us at DTH, thank you for joining us on January 28th. We hope you enjoyed meeting with Virginia for an intimate conversation on the future of DTH. We also hope you enjoyed the special presentation on financial planning and supporting your favorite charity.

If you have any questions about the presentation or how to become a member of our Legacy Circle program, please call me at (212) 690-2800 x437 or email me at agee@dancetheatreofharlem.com. You may also visit our Legacy Circle webpage at dancetheatre.giftlegacy.com.

As Virginia said, DTH's mission is just as relevant today as it was at our founding. The DTH Company, School and education outreach program continues to break down barriers and change perceptions. Your continued patronage helps make dance a reality for the next generation.

Thank you again for your long-standing support.

Warm Regards,

A handwritten signature in black ink that reads "Amanda J. Gee". The signature is fluid and cursive, with the first letters of each word being capitalized and prominent.

Amanda J. Gee
Individual Giving Manager