



scansion

EVALUATION PLAN

**Submitted to the
California Arts Council**

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INTRODUCTION

The California Arts Council’s programs aim to allow all Californians to thrive via public support for creativity and the arts. In December 2019, CAC issued an RFP for an evaluation of the agency’s grant and contract-based funding programs and grantmaking processes.

At the time, CAC had 18 grant programs providing project-based and general operating support for the arts, including intersectional work in education, reentry after incarceration, community engagement and empowerment, creative placemaking, artist residencies, media, veterans services, and with justice system-involved youth, historically underserved populations, and individuals with disabilities. In addition, CAC contracts with organizations that coordinate arts classes within correctional institutions, through an interagency partnership with the California Department of Corrections and Rehabilitation.

By the time the agency engaged the services of Scansion for the proposed evaluation work in April 2020, CAC was dealing with the realities of the COVID-19 epidemic. In particular, CAC was facing important decisions about the distribution of CARES Act funding and emergency relief grants.

While the proposed approach to the evaluation always included an initial consultation and planning phase during which the Evaluation Plan would be finalized, those changes were more extensive as a result of the pandemic. Moreover, the object of analysis—the portfolio of 18 grant programs—was radically transformed, when the council decided to consolidate programs and ramp up operating support for individual artists and organizations during the pandemic. A full evaluation plan was delivered to CAC in December 2020 as the culmination of the first track of work; however, as the pandemic continues to cause considerable disruptions, additional changes may be necessary, and the implementation will require flexibility and creativity.

Racial equity is central focal of the evaluation. Following PolicyLink’s definition, we think of equity as the just and fair inclusion of all in an arts ecosystem in which all can prosper and reach their full potential.¹ We intentionally prioritize race in our analysis with the awareness that racial identities intersect with many other identities that are systemically disadvantaged (e.g., based on gender, sexuality, disability, language, veteran status). Due to the social construction and history of race in our country, the challenges faced by racialized communities are particularly severe. Grantmakers in the Arts has pointed out that, even “within other oppressed peoples’ communities (including women, members of the LGBTQ community, people with disabilities, and others), it has been well-documented that people of color still face the worst social outcomes.”² The Government Alliance on Race & Equity (GARE) notes that due to the specific nature of systemic racism, “strategies to achieve racial equity differ from those to achieve equity in other areas. ‘One-size-fits all’ strategies are rarely successful.”³ By focusing specifically on racial equity, while maintaining an awareness of intersectional identities, we believe our analysis will yield insights that are beneficial to all groups. As GARE pointedly notes, “Systems that are failing communities of color, are actually failing all of us.”⁴

¹ <https://www.policylink.org/about-us/equity-manifesto>

² <https://www.giarts.org/arts-funding/racial-equity>.

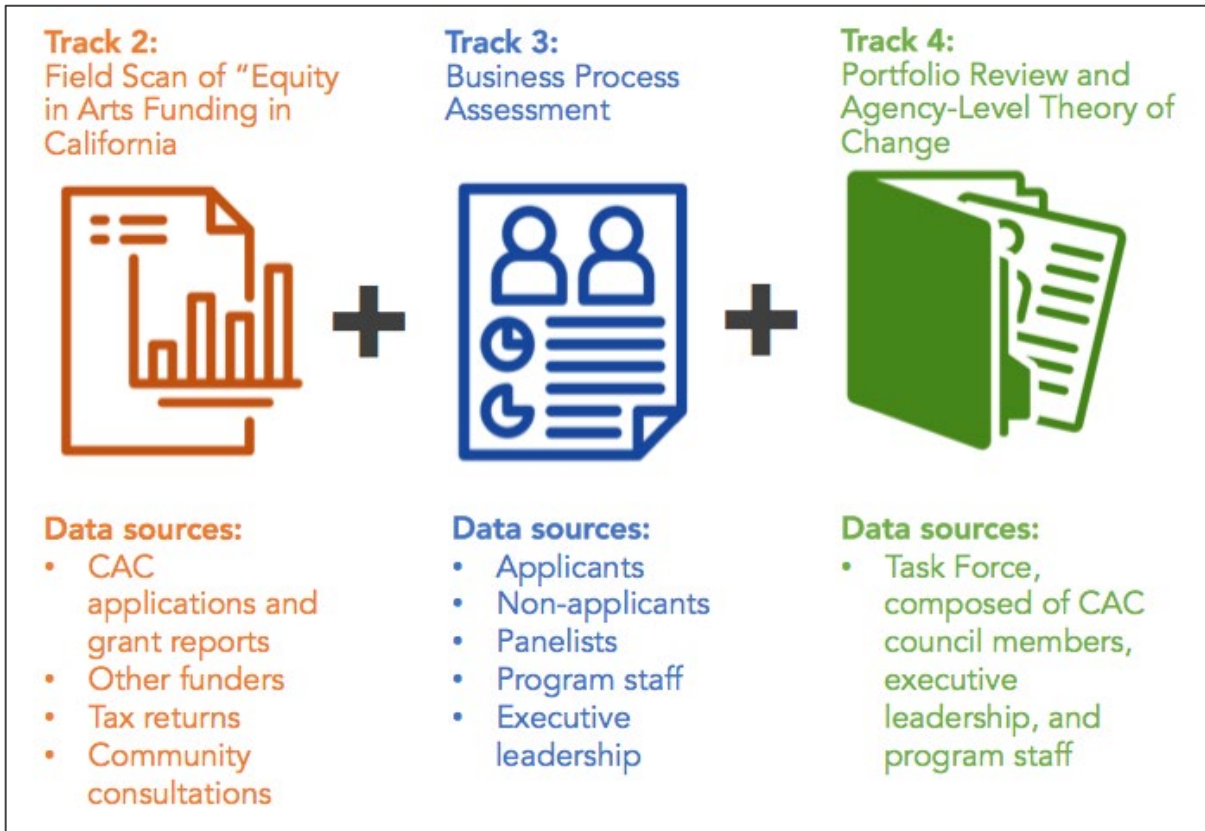
³ <https://www.racialequityalliance.org/about/our-approach/race/>

⁴ <https://www.racialequityalliance.org/about/our-approach/benefits/>

The evaluation is divided into four tracks of work. After the planning portion of Track 1 has been completed, the remaining tracks of work will unfold in parallel while also mutually informing each other.

Track 1: Evaluation Planning, Project Management, and Public Forums

The planning work will begin with a series of interviews and meetings with CAC staff, Council members and other key informants to discuss and revise the design in order to best accomplish the goals of the evaluation, and then adjust and finalize the budget as necessary. This track of work also includes all ongoing project management work, quarterly reporting, and two public forums.



Track 2: Field Scan of Equity in Arts Funding in California

The Field Scan will provide a deep analysis of California’s arts infrastructure and access to funding through the lenses of equity and access, and thus provide critical context for the other components of the evaluation. Methods will include a scan of the existing literature, extensive quantitative analysis of CAC data resources and third party data, as well as qualitative data from arts stakeholders in four communities across the state. Our collaborator in preparing the Field Scan will be the National Assembly of State Arts Agencies (NASAA).

Track 3: Business Process Model

The business process evaluation will explore the specific inputs and work steps of the grantmaking programs at CAC, how the programs intersect with each other in the larger grant making portfolio, and how communications and decision-making flow within the organization. Efficiency,

effectiveness, and equity in funding are the three guiding principles we'll assess in CAC's business systems, with special emphasis on racial equity.

Track 4: Portfolio Review and Agency-Level Theory of Change

Given the complexities and shifting sands of CAC's portfolio of funding programs, our basic approach to the portfolio evaluation will be to facilitate a series of work sessions with the Task Force (or a sub-group) taking stock of discreet components of the CAC portfolio (i.e., "investment areas"). Step by step, this will set up a culminating session about the entirety of the portfolio.

A detailed plan, outlining the individual tasks within each of the four tracks of work, follows below.

TRACK 1: EVALUATION PLANNING, PROJECT MANAGEMENT, & PUBLIC FORUMS

While the initial proposal for this project suggested a detailed approach to data collection, stakeholder input, and sense-making of results, it was clear that CAC staff, Council members and other key stakeholders would have additional insight to bring to bear on the evaluation design. Our work therefore began with a series of interviews and meetings with CAC staff, Council members and other key informants to discuss and revise the design in order to best accomplish the goals of the evaluation.

At the council meeting on May 8, 2020, council members discussed the possibility of streamlining CAC's 2021 grantmaking to focus on providing relief and supporting recovery efforts in light of the devastating effects that the COVID-19 outbreak has had on the arts sector. In response, CAC staff requested that the evaluation team expedite aspects of the field scan (Track 2), so that the data could inform strategic decisions that the council would need to make in September 2020. A revised scope of work and budget that responded to this request was submitted to CAC on July 10, 2020.

Task 1.0. Kick-off Meeting: Project Accountability [completed]

We will hold an initial meeting with CAC staff to bring structure and shape to project oversight and stakeholder engagement. We suggest that the Council chairperson appoint a task force of key CAC staff and one or two Council members to oversee our work. The task force would review our progress reports and meet with us periodically to take stock of the process, but would not be involved with day-to-day project matters. We recognize that CAC staff are stretched thin in terms of capacity and will have limited availability to get involved in the evaluation. Nevertheless, the evaluation cannot be successful without significant input from staff at the executive and program levels. We therefore see this as an important topic of conversation upfront. Specifically we'll work with CAC to develop an engagement plan for both Council and staff, to ensure that both groups have meaningful opportunities to contribute to the evaluation at key points during the process, within the boundaries of their respective capacities.

Task 1.1. Background and Context [completed]

It is imperative that the evaluation builds on CAC's past investments in planning and evaluation. Initially, we will review the new CAC Strategy Framework and its source materials and interview other key stakeholders in the planning process in order to fully understand how the Strategy Framework came about. We'll also review grant program guidelines, past evaluations and other program design documents across the portfolio of CAC grant programs, and absorb other contextual materials as needed. Our goal is to build a more and more nuanced understanding of CAC's institutional values, culture, aspirations, challenges, and programs, realizing this will take time. At this early time we will start to capture explicit and implicit theories of change about each of CAC's grant programs and initiatives, which will evolve as we learn more.

The new Strategic Framework includes a clear statement of the CAC's commitment to racial equity, and the Decision Support Tool positions Equity Alignment as a central step in any of the agency's future decisions. Appendix C of the Strategic Framework cites a number of agencies that have adopted Racial Equity Impact Assessment Tools, but also notes that "the use of REIAs in the U.S. is relatively new and still somewhat limited." Given the central role that REIAs are to play in CAC's strategic decision making, we will conduct a brief scan of existing models and uses as part of our

background review for the project. We will review any available reports on public agency's experience with REIAs and may conduct two or three interviews to gain further insight into the practical application of these tools in order to ensure that our evaluation process and any resulting recommendations are informed by best practices in REIA.

Task 1.2. Assessment of the 2020 Arts Funding Landscape [completed]

Given the context of the current COVID-19 pandemic, and the possibility that it will drastically alter the way that CAC makes grants in the coming year (and perhaps beyond), CAC staff have requested that portions of the Field Scan (Task 2) be delivered in an expedited manner, so that they can inform strategic decisions that will be made in fall 2020. We'll conduct some preliminary, qualitative research that will be helpful in guiding CAC near-term decision making, without compromising the depth of the full assessment.

Task 1.2.a. Scan of Public and Private Funders' Crisis Responses

Both private foundations and public arts agencies have taken extraordinary measures during the COVID-19 outbreak to both to support individual artists and sustain nonprofit arts organizations that are facing unprecedented challenges as a result of the public health crisis. The urgency of the situation has in many cases forced funders to make decisions about emergency funding on the fly, with little reliable information, but there have also been efforts to coordinate responses and share experiences through webinars, podcasts, blogs, and reports.

While the situation is constantly changing, we'll conduct four or five interviews with key individuals in the public arts funding ecology (e.g., NASAA or regional arts agency staff) as well as well-networked leaders among private foundation funders (e.g., GIA staff), in order to identify trends and emerging best practices. The interviews will be augmented with a review of the most important exchanges/reports on emergency funding responses.

This national scan will explore critical questions such as how funders are balancing the short-term and long-term capital needs of the arts sector, how funders are identifying artists and organizations in particular need of support (including the data used to determine this), and what the equity implications of emergency funding initiatives are.

Task 1.2.B. Scan of Future Directions in the California Arts Funding Landscape

Whereas much of the Field Scan in Task 2 focuses on mapping the distribution of public and private support in recent years, the COVID outbreak has prompted many funders to respond in ways that markedly depart from their usual funding practices. At this point, it is unclear whether funders will return to the previous practices after the pandemic subsides, or whether there will be lasting changes.

The Field Scan is intended to help CAC identify where its support is most needed in California's arts ecosystem, and what role it is most suited to fill as the state arts agency. However, tracing how arts funding has been distributed in the past may not help CAC identify an appropriate niche for the future investments, if the current COVID crisis leads to significant and lasting shifts in the funding landscape. For that reason, we propose a series of interviews with 8 to 10 institutional arts funders in California (including public funders, community and private foundations) to explore how they expect their funding practice to evolve over the next three years, after the initial impact of the

COVID outbreak has passed. To ensure a high level of candor in the interviews, we will agree not to associate the interviewees with specific statements or positions in our report to CAC.

Task 1.2.C. Key Informant Discussions

In keeping with CAC new Decision Support Tool, we want to be sure to include the voices of the stakeholders who will be most affected by the Council's decisions. We propose holding four online focus groups with different stakeholder groups, identified in consultation with CAC staff. For instance, we may hold one focus group with a small number of State-Local Partners (SLPs), one with arts service organizations, one with current grantees, and one with individual artists.

The findings from all three parts of Task 1.2 will be synthesized in a concise report to be delivered to CAC by August 17, so that it can be included in the meeting packet for the Council Meeting on September 10, 2020.

Task 1.3. Draft, Vet and Finalize Evaluation Plan [completed]

Based on our background reading and interactions with CAC staff and Council, we will draft an Evaluation Plan that reflects the consensus on optimal design within budgetary constraints. This plan will incorporate: 1) framing questions and overall evaluation approach; 2) descriptions of the various data collection methodologies and analytical approaches to sense-making, and how these methods and approaches will manifest our commitment to equitable evaluation and human centered design; 3) descriptions of data collection instruments to be designed, and the purpose of each; 4) an analysis plan for making sense of individual data sources as well as triangulating across sources of data; 5) descriptions of key deliverables and the communications goals and challenges associated with each; and 5) a revised timeline including quarterly reporting, key meetings, and key deadlines.

We will request oral or written feedback on the draft Evaluation Plan from task force members and other internal stakeholders, so that everyone has a shared understanding of the roadmap for evaluation. If desired, we'll present the final version of the Evaluation Plan to Council.

Task 1.4. Project Management, Quarterly Reporting & Public Forums [ongoing]

We are familiar with the extraordinary demands of an evaluation such as this in terms of project management requirements on both sides of the client/consultant relationship. Both the volume and intellectual complexity of the work are high. Ensuring that team meetings and work sessions are focused and productive, and that stakeholder interactions are professionally facilitated and happen in a way that invites and respects diverse viewpoints, requires a good deal of advance planning. Fulfilling CAC's quarterly reporting requirement will also take time and forethought. Moreover, we further propose to hold semi-annual meetings with the task force and core consultant team to take stock of our successes and challenges in bringing the principles of equitable evaluation and human centered design into the center of the evaluation process. These "equity pauses" will be facilitated by Shalini Agrawal, our Equity Advisor. A detailed timeline of key project management milestones is included in the Timeline section, below.

This task also includes our support of two Public Forums, one in June 2021 and the other in March 2022, as specified in the RFP. These will serve as important opportunities to answer questions about our process and preliminary findings. All core consultant team members will be present for these

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meetings. We will consult with you on the design of these meetings so to assure they are accessible to individuals with visual and auditory impairments, and that video recordings and/or transcripts of these meetings are available afterwards.

TRACK 2: FIELD SCAN OF “EQUITY IN ARTS FUNDING” IN CALIFORNIA

The Field Scan will provide a deep analysis of California’s arts infrastructure and access to funding through the lenses of equity and access, and thus provide critical context for the other components of the evaluation. Following Policy Link’s definition of “equity,”⁵ we think of equity as the just and fair inclusion of all in an arts ecosystem in which all can prosper and reach their full potential. By “access,” we mean more specifically, the ability to obtain resources and take advantage of opportunities.

Throughout this project, we will employ the language and principles of systems thinking, and, specifically, ecosystem analysis, to describe the arts landscape and to illustrate how and where inequities exist in the system. By this we mean, we will try to understand the arts ecosystem as a whole, with a particular focus on the causal connections between its parts, and the awareness that systems tend to be self-reinforcing and thereby resistant to change. We take this approach because systemic problems, such as systemic inequities, can’t be solved by correcting individual actions within the system; such problems require systemic solutions.

The core questions driving the Field Scan are:

- 1) How does the infrastructure of nonprofit arts organizations (in terms of overall budget, leadership characteristics, etc.) relate to the demography of California? In what ways does focusing on nonprofit organizations bias our understanding of the actual arts ecosystem?
- 2) How equitable is access to private philanthropy (e.g., gifts from individuals) across arts organizations serving different populations and geographic areas?
- 3) What is the big picture of California’s arts funding ecosystem (i.e., funding to artists and arts organizations from state, municipal, and private foundation sources)? How equitable is it?
- 4) What role does CAC currently play in the arts funding ecosystem? How might its role evolve in the future in order to further address gaps and inequities?

Our collaborator in preparing the Field Scan will be the National Assembly of State Arts Agencies (NASAA), with Ryan Stubbs serving as the primary liaison.

Task 2.1. Scan of Existing Research and Gap Analysis.

At the outset of the Field Scan, we will review the available literature on the health and equity of California’ arts ecosystem so that we can build on and augment the existing base of knowledge. We will focus on research and analyses that are specific to California, looking at topics such as arts participation, the distribution of philanthropic resources, access to arts education, workforce studies, and evaluations of the grant portfolios of private foundations. We may also include nation-wide studies of equity in the arts, where these are likely to shed light on the situation in California.

To bring focus to our investigation, we will concentrate on published research from the last 10 years. If insufficient published research is available, we may also draw on informal sources such as such as blog posts from leaders in the field, webinar recordings, etc. Literature will be sourced through online research from source such as Candid’s Issue Lab and snowballing references from bibliographies. Particular efforts will be made to identify research and reports that have been

⁵ <https://www.policylink.org/about-us/equity-manifesto>

generated by networks and organizations serving BIPOC artists and communities. The literature will be collected in the CultureLab.net free online library, where it will be available to students, researchers and practitioners into the future.

Based on our review of this material, we will author a short memorandum report on key themes and gaps in the research literature on California's arts ecosystem, which might serve as a roadmap to further thinking about a future research agenda.

Task 2.2. Data Acquisition, Merging, Coding and Cleaning

In order to map the nonprofit arts infrastructure in California and analyze the distribution of private and public arts funding, we must first aggregate data into a single database. To do that, we will draw on all of the major existing datasets, specifically:

1. IRS Business Master File

In August 2020, DataArts extracted and cleaned data on 17,159 California arts organizations for CAC. While this data set doesn't provide much detail about each of the organizations, it is the most compressive list of California arts nonprofits available. It includes all tax-exempt organizations with specific NTEE and/or NAICS codes related to arts and culture, including those with budgets under \$50,000 that file a 990N postcard. While there are undoubtedly many formal and informal arts organizations in California that don't appear in this database, it will serve as the best approximation of the total "universe" of the nonprofit arts ecosystem.

2. DataArt's Profiles

DataArts profiles are used to report financial data to foundations and public agencies when applying for grants. The profiles provide a detailed account of the sources of revenue that organizations rely on, including annual contributions from individuals; corporations; private foundations; and local, state, and national agencies. Since the profiles are only created by organizations that are seeking grants, this data only exists for a subset of California's arts organizations. We will acquire three years of profile data (FY 17-20) from approximately 3,500 organizations and use the most recent data available for each organization in our analyses.

3. Candid data on Foundation Grants

Candid (formerly the Foundation Center) collects data on the individual grants that foundation's make, including the recipient, purpose, and amount of each grant. Candid uses its Philanthropy Classification System (PCS) taxonomy to classify the recipient organizations, including the populations served by the organization. In some (but not all) cases, the population served is also recorded for individual grants, which may not be the same as the population served by the recipient organization (for instance, a symphony orchestra might receive a grant to engage Hispanic youths even though the organization as a whole serves a broader population). Our analysis will include data on approximately 14,000 grants made to arts and cultural organizations in California in 2018.

4. California Arts Council's applicant, recipient, and final report data

CAC's current grant management system includes all applications and grant recipients for the program years 18/19, 19/20, and 20/21. Final reports, that include voluntary information about the demographics of board and staff members, are available for the program years 17/18, 18/19, and 19/20. Final reports for 20/21 grants aren't expected until August 2021 and

therefore can't be included in the Field Scan (however, they might be added to the data set at a later point to allow for comparisons between the pre- and post-COVID funding portfolios)

5. US Census Data

Data from the US census will be used to contextualize the distribution of arts organizations and grants with information about the demographics of the population. Data will be appended at the county, ZIP code, or census tract levels, as required for the analysis, and will include

- Percentage populations by Race and ethnicity (Black, Hispanic/Latinx, Native American, Asian, Pacific Islander/Native Hawaiian, White)
- Percentage non-white populations
- Urban/Rural Designation (Non-MSA Counties and MSA Adjacent Counties under 50,000)
- Non-English speaking households
- Population Density
- Median Household Income
- Poverty level
- Percentage of disabled populations
- Populations by age

Using these five datasets, NASAA will build a relational database that joins all organizational information based on Federal Tax Identification (EIN) numbers. NASAA will Geocode all address data within with dataset and assign a latitude and longitude to each record. Based on the geocodes NASAA will append Census data on demographics and socioeconomics of the local population.

To our knowledge, these datasets have never been combined and analyzed together in the past. By combining these sources we will be in the position to conduct the most thorough analysis possible with existing data. (Even so, we are aware that not all California arts organizations are captured in the data, so additional research will be necessary – see Task 2.5).

Since questions of equity will be central to our analysis it is critical to identify arts organizations in our dataset that present cultural traditions, artists, and stories of specific racial or ethnic groups, and/or serve specific racial and ethnic groups through their work.

While there is no single source that lists all BIPOC organizations in California, our dataset will be helpful in identifying organizations that have a specific mission to serve or represent the following groups:

- Asian
- Pacific Islander (incl. Native Hawaiian)
- Black or African American
- Hispanic or Latinx
- Native American or Alaska Native
- Middle Eastern
- Multi-racial or multiple groups of People of Color

We will employ multiple methods to identify organizations that serve or represent one of the listed groups:

1. Word Searches in Organization Names and Mission Statements: NASAA will conduct word searches in the organizational names and mission statements available in DataArts, Candid and CAC data (if available). Search terms will be developed in conjunction with CAC and refined through testing. Term might include: “Asia*” “Africa*” “Black” “BIPOC” “Culturally Specific” “Hispanic” “Immigrant” “Indigenous” “Latin*” “Middle East*” “Migrant” “Native” “Pacific Island*” “People of Color” “Tribal” “Tribe”. The complete list of terms will be developed in consultation with CAC.
2. Organizations reporting serving populations of color within the Candid data
3. Membership in networks of BIPOC organizations and/or participation at major ethnic arts festivals: We will work with CAC staff to identify and approach appropriate networks and festivals. Examples might include the Latino Arts Network, Alliance for California Traditional Arts (ACTA), and the San Francisco Ethnic Dance Festival. Some networks and festivals (e.g., ACTA and the Ethnic Dance Festival) include organizations that focus on European cultural traditions which will be excluded.

To test the accuracy of these methods in identifying organizations that serve or represent POC communities, NASAA will pull a random sample of 30 organizations from among those tagged through each method (90 organizations total). The Evaluation Team will verify that the selected organizations serve or represent the specified communities through web research.

We assume there will be a large degree of overlap between the lists of organizations identified by each method. If that’s not the case, we will spot check organizations that are only identified through one of the methods to ensure that they are classified appropriately.

If the proposed methods aren’t able to reliably identify organizations that serve or represent POC, we will compile a sample of 50 organizations that have been verified through online research and test for statistical differences between the verified sample and the larger pool of auto-coded organizations.

It is important to note that we are not including the demographics of staff and board members in identifying BIPOC organizations. The methods described above will identify organizations that *serve* or *represent* BIPOC communities, not organizations that consist of BIPOC individuals. This is largely due to the lack of data on board and staff compositions, and the fact that collecting new data in a manner that avoids replicating past biases would exceed the limits of this project. Board and staff demographics will therefore only enter our analysis in a limited way under Task 2.4.c, where data is available for the subset of organizations that have received CAC grants.

Task 2.3. Mapping California’s Nonprofit Arts Infrastructure

The overall goal of this task is to illuminate the extent to which the nonprofit arts infrastructure reflects the actual diversity and distribution of the State’s population, and where it falls short. The results of this analysis will serve as a building block in the larger narrative about equity.

A central component of this work will take the form of an interactive map that NASSA will construct based on the aggregated data set. It will be constructed as a web-based map using the Tableau software, which, when published, will allow the public to interact with the data through a user-friendly interface. This map will allow us (and members of the public) to explore geographic patterns

in the distribution of California's arts nonprofits in relation to characteristics of the state's demographics, including:

- Race/ethnicity
- Household income
- Population density
- Primary language

In addition, the map will show the locations of CAC's recent applicants and grant recipients (by program, discipline, and size) and the distribution of grants from private foundations.

In addition to the visual analysis that will be possible using the map, we will statistically compare and contrast our composite data on California's infrastructure of nonprofit arts organizations (number, budget sizes, racial and ethnic communities served or represented) in relation to geography, urbanism, population density, and key indicators of socioeconomic and racial/ethnic diversity. To do this, NASAA will explore the percentages of organizations present across the state based on the above-mentioned demographic and socioeconomic characteristics of the local populations. This geographic analysis will also be used to look at the underlying demographic characteristics of regions served by CAC grantees compared to all other arts organizations in the data.

Task 2.4. Assessment of Equity in the Arts Funding Landscape

Several analyses will be performed to assess the extent to which unearned income, (i.e., grants and contributions from individual donors) flows equitably to nonprofit arts organizations across the state, and what factors contribute to inequities in access to public and private funding.

Task 2.4.a. Analysis of Contributed Revenue

To start with, we will examine total budget sizes and the proportion of unearned income from various sources that are reported in organizations' DataArts profiles. We will use the most recent profile data for each organization (i.e., where no profile was submitted for 2019, we'll use the 2018 or 2017 figures). If no DataArts data is available, the best available IRS data will be used instead (which won't allow for the same level of granularity in the analysis).

We will compare the revenue streams of organizations that differ along the following lines:

- Race/ethnicity of the population served or represented (individually, and all POC vs. non-POC)
- Budget size (size categories TBD)
- Region (CAC funding regions)
- Urbanicity (urban, suburban, rural)

NASAA will run statistical tests on financial fields (likely t-tests) to understand any meaningful differences in the distribution of the data between these types of organizations. NASAA will analyze the data in the following ways:

- Total Revenue: Min, Max and Median (including box plot)

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- Proportion of Earned Revenue: Min, Max, Median (including box plots or histogram)
- Proportion of Contributed Revenue: Min, Max, Median (including box plot or histogram)- plus similar analysis of the subsets:
 - o Board contributions
 - o Individual contributions
 - o Corporate contributions
 - o Foundation contributions
 - o City government contributions
 - o County government contributions
 - o State government contributions
 - o Federal government contributions
 - o Tribal government contributions

Having analyzed the contributed income reported by organizations of various sizes from public, foundation, and private sources, it will also be possible to estimate the total amounts of contributed income from each source available to the arts in California, weighting by the relative distribution of organization sizes in the IRS data.

Task 2.4.b. Analysis of Distribution of Foundation Grants

The next analysis will look at the distribution of foundation grants from the funders' side, using data reported by Candid. We will look for disparities in the proportion of nonprofit arts organizations of a given type, and the proportion of grant funding they receive. The categories used to compare types of organizations will be the same as in the previous analysis:

- Race/ethnicity of the population served or represented (individually, and all POC vs. non-POC)
- Budget size
- Region
- Urbanicity

This analysis will address questions such as:

- Where are the funding gaps in terms of the communities and geographies served by philanthropic foundations?
- How do the number and sizes of grants compare across different types of organization? Do some organizations receive many small grants while others receive a small number of large grants?
- What proportion of the grants that foundations distribute to support communities of color are awarded to organizations that are dedicated to serving or representing specific racial and ethnic communities versus organizations that don't have that specific focus?

Task 2.4.c. Analysis of Distribution of CAC Grants

The third analysis will be similar to the second, but focusing specifically on the grants that CAC has awarded over the most recent three program years (18/19, 19/20, and 20/21)

In addition to the specific analyses described above, CAC’s Final Descriptive Reports collect information on the demographics of the organizations’ boards and staff. While this data is only available for a small pool of California’s nonprofit arts organizations (namely recent recipients of CAC grants), it will allow us to look at the ways in which the diversity of organization’s personnel overlay with other characteristics of CAC- funded organizations.

Task 2.5. Community Consultations about Local Arts Ecosystems

The quantitative analyses conducted in Task 2.3 and 2.4 will draw on the best available datasets from sources such as the IRS, DataArts, and Candid to paint a picture of the arts infrastructure in California, where funding comes from, and where it ends up. However, we know that much of the creative work and cultural meaning-making in California happens outside of the formal nonprofit structures that are captured in these datasets.

To inform our evaluation of CAC’s funding programs and grantmaking processes it is essential that we develop a view of the arts ecosystem in California that is as complete as possible. Just as importantly, we need to become aware of our blind spots, both historical and current. We must also be careful not to allow deficit thinking or use deficit language to describe communities or populations that operate outside formal nonprofit structures.

We hope to deepen our understanding of the kinds of organizations, artists, networks, and activities that are missing in the available datasets by conducting primary, qualitative research in four local arts ecosystems that operate at least partially outside of the formal arts sector. These conversations will provide a space for artists, craftspeople, culture bearers, arts administrators, and culturally engaged community leaders to inform and educate the consultant team as to the arts resources, cultural traditions, places, values, cultural contexts, aspirations and challenges that, together, tell the story of the local arts ecosystem.

The focus will be on understanding:

- *in what ways* local arts ecosystems are resilient when resources are scarce;
- *where* obstacles prevent artists and organizations from accessing funding;
- *how* structural features of the system lead to inequities; and
- *what assets and resources* are available at the local level that might assist funders in mitigating against inequities.

When we say “local arts ecosystems,” we are referring to the web of individuals, resources, relationships and organizations through which the arts and cultural enrichment are made possible in a specific area. While we expect the ecosystems will be geographically sited (i.e., we’re not considering online or statewide ecosystems), geography needn’t be the only criteria. Other criteria might be added to recognize ecosystems outside of the “mainstream,” whether based in specific racial, ethnic or cultural groups, tribal governments, communities defined by a shared immigration history, gender identity, or other criteria. In selecting the sites, we will be looking for examples that are archetypal of certain types of arts ecosystems that exist across California.

To be invited into these ecosystems, it will be critical that we build on existing networks and relationships. In each of the four locations, we will approach one “Connector”— a culture bearer, community leader, artist, organization or other respected and well-connected entity – to host us in

their local community and help us recruit a panel of 12 to 15 individuals who will serve as a “local panel.”

The panelists will be people who represent different networks within the local ecosystem of arts, culture and creativity, and who represent a range of perspectives and practices. The panelists may or may not have knowledge of, or experience with, CAC. They needn't (and perhaps shouldn't) all have pre-existing relationships with the “Connector.” To be responsive to local conditions, we will welcome and support the Connectors' leadership on how best to recruit and engage with specific local arts communities.

While we aspire to engage each of the local arts communities in collaborative partnerships, we are aware of the imbalance of resources, privilege, and power that results from our role as contracted agents of the State of California. We cannot eliminate these imbalances, but we hope to minimize their impact and commit to engaging with community members in a manner that is respectful of their time, perspectives, and expertise.

All Connectors and panelists will receive honoraria for their contributions to this work. In addition, Connectors will have access to a small budget to support their recruitment process, technical needs, translation, ADA accessibility and other logistics to successfully engage their peers. Our hope is that the Connectors and panelists will find the opportunity to connect with their peers and explore their local arts ecosystem valuable, and we commit to sharing all reports that are based on our work in these communities back to the panels.

All CAC staff and Council Members will be invited to nominate local ecosystems for consideration as one of the four deep dive sites. We will prepare an overview of the research project that outlines the objectives and criteria for the selection of deep dive sites to guide the nominators. When suggesting a local ecosystem, it is important that the nominator has pre-existing relationships that will allow them to connect our team to one or more potential local “Connectors.”

Once nominations have been received, we will conduct additional research on each of the sites and complete as many of the selection criteria fields as possible. If we receive more than ten suggestions, we may prescreen the strongest candidates based on the selection criteria, before forwarding the finalists to the Evaluation Task Force. The Evaluation Task Force (consisting of council members, staff members, and the consultants) will then meet to select a cohort of four sites that represent diverse range of local ecosystems that compliment that existing datasets we will be using.

Once panelists have been identified, a member of our research team will conduct phone or video interviews with each panelist to learn about their work and the communities they serve. This will help us build personal relationships with each panelist before we meet as a group.

The researcher will then travel to each community, and spend two days on site touring central arts hubs, meeting with panelists for small group conversations, observing work-in-progress, or otherwise learning about the local arts scene. The agenda for each site visit will be substantially informed by the local Connector, who will recommend people to meet, places to visit, and programs to observe, and will be responsible for scheduling meetings and managing logistics. As appropriate we will conduct the meetings in language(s) that will engage the local community, using multi-lingual interpreters as necessary. We encourage someone from CAC to join the site visits.

The culminating event at each site will be a three-hour meeting with the full panel that will be co-facilitated with the local Connector. The purpose of this meeting will be to articulate the community's arts, cultural and creative assets, understand the various networks that exist and how they intersect with other networks (or don't), and how the ecosystem supports itself. The ability to identify hubs and catalysts will be key to this analysis. We will then compare and contrast what community members value about their arts ecosystem with the arts funding that flows into the community through CAC and other funders. Essentially, this is a gap analysis. These meetings will be video recorded for both archival and analytical purposes.

Findings from the site visits will be summarized in brief case studies on each of the four local arts ecosystems. The case studies will be shared with the panelists and discussed on an online video conference, to ensure that the case studies accurately represent the local arts ecosystems. Where necessary, we will provide technical support to assist panelists in connecting to the conference. Members of the general public will also be able to observe the online discussion and add comments through the chat functionality. The local connector will announce the online presentation and discussion locally.

Once the cases studies have been finalized they will be integrated into the Field Scan Report.

Task 2.6. Prepare, Vet and Finalize Field Scan Report

We will draft the Field Scan Report summarizing the findings of the various strands of research. Given CAC's desire to have an engaging public deliverable from this work, we foresee two primary deliverables: 1) a series of web pages highlighting the results, including an interactive map allowing individuals to view and interrogate specific data on their community, county or region; and 2) a visually intensive summary that is both printable and suitable for distribution via online communications channels, designed with accessibility in mind. Drafts of these materials will be submitted to CAC and reviewed and discussed in a meeting in Sacramento.

TRACK 3: BUSINESS PROCESS ASSESSMENT

CAC's business process model lies at the center of the agency's capacity to fulfill its mission. It shapes the agency's staff structure, organizational culture, staff morale, and, most importantly, its capacity to deliver on the promise of equitable access to resources.

The business process evaluation will explore the specific inputs and work steps of the grantmaking programs at CAC, how the programs intersect with each other in the larger grant making portfolio, and how communications and decision-making flow within the organization. Efficiency, effectiveness, and equity in funding are the three guiding principles we'll assess in CAC's business systems, with especial emphasis on racial equity, using the following definitions:

- Efficiency - Efficiency means that an organization is getting the maximum benefits from its scarce resources. [Environmental Economics]
- Effectiveness – Effectiveness can be defined as the extent to which public policies are achieving the benefits they are supposed to achieve plus any unanticipated side benefits. [Review of Policy Research]
- Racial equity – Racial equity is the condition that would be achieved if one's racial identity no longer predicted, in a statistical sense, how one fares. [Racial Equity Tools]

We recognize the intimate relationship among these three principles from a systemic point of view, especially among public entities, and are aware of the multitude of instances in which efficiency and effectiveness have been prioritized over equity. Our analysis will specifically look at those situations and how they influence the whole system.

CAC is currently in the midst of significant transitions in its program portfolio and grantmaking processes. Many aspects are still in flux, and it may be too early to evaluate the new practices. Our initial analysis will therefore focus on the business processes in place before the grant programs consolidation, using two or three programs considered archetypical of CAC's impact in the field, as examples of the situation prior to 2020. As part of this analysis, we'll examine the motivations for changing that model and what the new practices are intended to improve. We'll look at this from an internal perspective, focusing on CAC's staff, particularly program managers, leadership team, and Council-member level committees, such as the program and policy committees. We may also include a sample of past grant panelists that would provide a clear vision of the panel process, if that information doesn't already exist. In the selection of people to interview we'll prioritize those who would provide a perspective on racial equity and unintended biases.

As part of the systems analysis, we will look at identifying the inputs/resources, planned activities, desired outputs, and short, medium and long-term outcomes of CAC's grantmaking process, as well as any unintended outcomes that CAC's staff might be aware of. We will assess each one of these elements in the planning and execution of the CAC grant portfolio, specifically in light of recent changes to it, and with emphasis in the interrelations among its programs.

We will begin by analyzing the planned work that CAC considers in its grantmaking portfolio in the following categories: a) human inputs, 2) financial inputs, 3) information inputs, and 4) material inputs (if any.) We'll look at these inputs along the full arc of planning and implementing grant programs, from developing guidelines to outreach and marketing, application processes, grant selection, award administration, and reporting.

Here the evaluation must examine incremental improvements to the grantmaking processes that will reduce the various forms of bias embedded in the system, and, if possible, increase efficiency at the same time. We'll seek to identify structural bias embedded in program guidelines, eligibility requirements, language/writing/application requirements, panelist selection, panel guidelines and scoring rubrics. From an ecosystem standpoint, we must also consider the drain on applicant resources associated with the application process, which was already noted in the Snapshot of the Current Arts Funding Landscape in California report.

TASKS

Task 3.1. Key Informant Interviews on Old Grant Making Model.

We will start this track by conducting up to 10 confidential individual or small-group (up to three participants) interviews with senior staff, program managers, Council members chairing specific committees (such as the Program and the Policy Committees), and other staff as necessary. As noted before, we'll identify two or three grant programs considered archetypical of CAC's model in order to gain a deep understanding of them. Our recommendation is to focus on three programs that differ structurally with respect to the business process: 1) Cultural Pathways; 2) Innovations + Intersections (which uses an LOI process); and, possibly, 3) State-Local Partnership, and we'll bring it up for discussion and decision with the Evaluation Task Force. We may also hold up to two focus groups with a cross-section of past panelists to gain a well-rounded understanding of the panel process and how it connects with the overall business process, if that feedback doesn't already exist. In these conversations, we hope to gain a deep perspective into the rationale behind the old grant making model, its strengths and weaknesses, and expected impacts. Our confidential notes from these interviews will not be a deliverable.

From a systems thinking perspective, these interviews will allow us to understand the inputs and activities (planned work) used by CAC with the understanding that those will have specific intended results in the business process. We'll center our interviews in a systemic understanding of CAC staff expected outcomes and efficiencies, with a lens on racial equity. We anticipate discussing the following topics:

1. Human, financial, information, and material resources utilized in the grantmaking process, and how those align with each other:
 - a. Staff assigned to grantmaking process at each stage of the process;
 - b. Number of applicants/grantees per program manager;
 - c. Panel process, scoring rubrics, increased pool of grantees, trends in new/repeated grantees, etc.;
 - d. Marketing and outreach efforts compared to increased pool of applicants, specifically among underserved populations;
 - e. Administrative and financial reports on grantees' performance;
 - f. Overall grant reporting process.
2. Challenges, inefficiencies, and biases of the previous grant making model, and its intended and unintended outcomes:
 - a. Unintended biases identified in the process;
 - b. Unintended outcomes identified in the process;
 - c. Data used to evaluate changes to the grant making model;
 - d. Specific changes in the internal grant making process and rationales behind those.

3. From an internal business perspective, what are the strategies that the new grant making model seeks to implement and how:
4. Expected outcomes of the new grant making model in the short, medium, and long term, as well as their expected impact in the field;
5. Impact measurement for both the old and new grant making models;
6. Costs and staff time associated with each panel process, relative to the number of applicants, number of awardees, and total amount of awards, as well as its growth in the last few years.

We'll create a map of the of the old funding model's workflow processes, identifying their inefficiencies and biases, which later on we'll integrate to the workflow mapping of the new model and the feedback from applicants and non-applicants. We'll report the high-level results of these interviews (in order to maintain anonymity) and the workflow map in an internal memorandum to CAC.

Task 3.2. Qualitative Feedback on the CAC's Business Process Model from Non-Applicants and Applicants

The second interaction with the four archetypal communities (see Task 2.4, above) will be a series of up to 4 to 5 online interviews and/or focus group discussions with individual artists, organizations that were not eligible or successful based on the old funding model, and organizations that have never applied based on the old and new models to examine how the new funding model is experienced by a range of arts stakeholders in each community, particularly those who experience challenges navigating the application process. We'll also integrate any existing feedback from applicants. We'll use the findings from the Field Scan report (Track 2) to identify the type of organizations that have been historically excluded from CAC's funding in each community. We will put especial emphasis on understanding whether and to what extent the new funding model is delivering in its promise of access and equity.

Through our interviews with non-applicants (individual artists and organizations), we'll evaluate the infrastructure supporting the local arts ecosystem. We'll seek to understand how artists and organizations that have a lot of community support, but are unknown to CAC, contribute to a healthy arts ecosystem. We'll aim to understand what sources of funding and/or resources these individuals and organizations use, how, and for how long, as well as any incremental growth into more traditional sources of funding. We will inquire about CAC's local and state partners, service organizations, or any other local "catalysts" that would allow us to understand the support, or lack thereof, in particular for organizations representing marginalized populations. We will seek to understand the challenges and limitations of local "catalysts" in supporting those individuals and organizations, either by restrictions in eligibility, lack of information and outreach, organizations' fiscal and legal structures, or any other factors. We will also inquire about the mechanisms that guarantee their operations (e. g. grass-roots/community crowdfunding, informal physical spaces, fully volunteer workforces, etc.)

These conversations may need to reach beyond the pre-recruited local panel in each community in order to gain access to individual artists and organization leaders who were eligible to apply for one or more programs but chose not to. We'll also have to rely on local representatives to identify any organizations supporting the overall ecosystem, by providing fiscal sponsorship, technical assistance, regrants programs, capacity building (formal and informal), and other forms of support. If, for any

reason, it becomes unfeasible to locate these discussions solely in the four archetypal communities, we will conduct them in other locations using online meeting techniques.

We will create a map of the “grantee workflow” that would give us a visual understanding of the flow and potential obstacles CAC’s marketing and outreach, application process, program guidelines, and overall perception of the local ecosystem’s support, with emphasis on the most vulnerable populations. A qualitative research report in narrative format will summarize the results of these discussions.

Task 3.3. Key Informant Interviews on New Grant Making Model

We expect to conduct a second round of 8 small-group interviews in late 2021 focusing on whether and to what extent the changes to the grant making process (program consolidation and new guidelines) have achieved the intended outcomes. This evaluation will be based mostly on the perception of staff and Council members and we will include any metrics of improvement and success, such as overall number of applicants, increases in the application from underserved and marginalized organizations, efficiencies in the application process, improvements to the cost-benefit of staff performance and panel process, and other metrics identified by CAC staff and the evaluation team. As in the previous key informant interviews, we’ll select two grant programs to use as case studies: 1) General Operating Relief; and 2) Individual Artist Fellowships. We’ll bring this up for discussion and decision with the Evaluation Task Force.

We’ll report the results of these interviews and the workflow map in an internal memorandum to CAC.

Task 3.4. Integration of the Workflow Mapping of Grantmaking Model

The next step in this process is to accurately characterize the existing process model for making grants. We will integrate the workflow maps of CAC’s old and new models, as well as the grantee’s workflow, in order to create a detailed and accurate picture of CAC’s business processes. This analysis will draw on the principles of systems dynamics and process mapping to diagram the grantmaking cycle – from advertising grant program guidelines, to providing applicant support, to receiving applications, to supporting the panel process, to administering grant awards, all the way through to grant reporting, evaluation and field learning. We’ll also compare and contrast the results in order to identify any pressure points and/or stressors to the current system. We’ll put special emphasis on comparing the workflow map of CAC’s business process with its strategic framework, including any power structures that would create unintended biases in the process.

The systems analysis and synthesis will consider:

1. Metrics used for evaluating programs’ success and its semantics;
 - a. increase in the number of organizations serving underserved and marginalized populations in the pool of applicants;
 - b. success rates for advancing to the pool of awardees;
 - c. the cost-benefit of staff and panelist time vs. number of grantees
 - d. Inclusion of new measures of success based on an equity lens and CAC’s strategic framework

2. Information flows on positive and negative communication loops;
 - a. how CAC's internal business process align with applicants' workflow and any potential disparities;
 - b. the extent to which the system is self-reinforcing (i.e., "winners" have a greater probability of winning again);
3. Information flows across programs and overall portfolio;
 - a. implications stemming from timing of concurrent processes;
 - b. funding model scalability and sustainability;
4. Development of grant program guidelines and its potential unintended biases and inefficiencies (contrasted with the Field Scan of the Arts in California);
 - a. challenges in attracting a diverse pool of applicants;
 - b. scoring rubrics and conventions for figuring grant amounts;
 - c. model's delivery in its promise of access and equity, and any potential blind-spots;
5. Assessment of power distribution across the grantmaking process.
 - a. the respective roles that the Council plays in setting policy and that the staff plays in implementing it;
 - b. the burden carried by unsuccessful applicants;
6. Other considerations voiced by CAC staff.

The foundation of data for this work will come from our Key Informant Interviews (Tasks 3.1 and 3.3), and the Qualitative Feedback on CAC's Business Process from Applicants and Non-Applicants (Task 3.2). The workflow mapping will be the foundation for the preliminary report that will be developed in narrative form in Task 3.5.

Task 3.5. Prepare Preliminary Report on CAC's Existing Business Process Model

We will draft a report summarizing findings from the various analyses and stakeholder input on the existing business process model. This will include ideas for improving CAC's grantmaking processes, but will stop short of making specific recommendations, which should be informed by the Portfolio Evaluation (Track 4). CAC's acceptance of this report will conclude Track 3. Final recommendations on specific improvements to the business process model, including staffing requirements, communications protocols and decision-making responsibilities, will be incorporated into the final evaluation report (Tasks 4.3-4.5)

Track 4: Portfolio Evaluation and Agency-Level Theory of Change

Whereas grant programs are usually viewed in isolation and evaluated on their individual merits, portfolio analysis looks across the portfolio of programs and seeks to assess the impact of the programs as a whole. The basic premise of this approach is that the portfolio of funding programs can hold value above and beyond the sum of the impacts of the individual programs. The portfolio can also demonstrate the funder's values and priorities, such as CAC's commitment to leveraging the arts' role in social justice and strengthening communities, and allows for critical reflection on "emphasis" and "balance" across the portfolio – how strategic priorities are manifested in the programs, what trade-offs are being made to achieve balance across the portfolio, and how the portfolio might evolve to better align with strategic priorities.

A central challenge in this track of work is that the portfolio structure that CAC had developed up over several years, which included eighteen programs, has largely been suspended for 2021/22, and it is unclear which or how many of those programs may be revived in the future. The radical shift in portfolio structure was spurred by the urgent need for unrestricted operating support among individual artists and arts organizations during the COVID-19 pandemic, but several of the major portfolio adjustments (e.g., the consolidation of programs, increased general operating support, and the resumption of direct support for individual artists) had long been discussed within the Council, and those priorities are reflected in the "aspirations" noted in the Strategic Framework. What was initially conceived as an assessment of a relatively stable portfolio of programs will need to become much more fluid to simultaneously account for the changes that are underway and the impacts those changes are having.

Given the complexities and shifting sands of CAC's portfolio of funding programs, our basic approach to the portfolio evaluation will be to facilitate a series of work sessions with the Task Force (or a sub-group) taking stock of discreet components of the CAC portfolio (i.e., "investment areas"). Step by step, this will set up a culminating session about the entirety of the portfolio.

We recommend the following investment areas as topics for work sessions, each representing a current or past focus of CAC's funding model. (Note that these are not intended to be mutually exclusive.)

Seven Investment Areas for Critical Reflection

- 1.) **Investments in Youth** (Artists in Schools, Arts Education Exposure; Arts Integration Training; JUMP StArts, Youth Arts Action, Poetry Out Loud)
- 2.) **Investments in Civic Engagement/Community Wellbeing through the Arts** (Creative California Communities, Local Impact, Innovations + Intersections, California Cultural Districts Program pilot phase)
- 3.) **Investments in Capacity Building** (Cultural Pathways, Organizational Development, Professional Development, Emerging Arts Leaders of Color Fellowship Program, Creativity at the Core)
- 4.) **Investments in Statewide Infrastructure and Advocacy** (State-Local Partners, Statewide and Regional Networks, Research in the Arts, Arts & Public Media, Create CA, Student Voices)
- 5.) **Investments in Social Change/Social Justice** (Reentry Through the Arts, JUMP StArts, Arts in Corrections, Local Impact, Veterans in the Arts)
- 6.) **Investments in Artists/ Cultural Practitioners** (learning from the new Individual Artist Fellowship programs)

7.) **Investments in Core/Operating Support for Organizations** (learning from the new relief program; potential support for touring might be covered in this area)

These “investment areas” may evolve over the course of the evaluation.

Task 4.1: Critical Reflection on Seven Investment Areas

The overall purpose of these sessions is to interrogate CAC’s role in each investment area, both retrospectively and prospectively, and to construct arguments for, and against, continued investment in each area. These arguments will carry forward to the culminating work session (Task 4.3) where we’ll consider the overall balance of the portfolio.

A timeline will be developed with dates for each of the seven work sessions starting in at the beginning of 2021 and ending in early 2022 (i.e., approximately every other month). We imagine that the leaders of the Task Force will designate a sub-group of Task Force members (and possibly other CAC program staff) to liaise with the consultants on each investment area, so that each member of the Task Force is asked to lead on two areas, or three at the most. This will help to reduce the required effort level of all Task Force members, while ensuring that individuals with relevant perspective are leading the discussion of each investment area. We envision that each session will last approximately two hours, and that some of the questions being posed for discussion will have already been explored with the sub-group prior to the session.

To prepare for each work session CAC staff and the Scansion team will gather relevant information and prepare a “briefing packet” for Task Force members to review in advance. This may include:

- Narrative information about CAC’s past funding in this investment area and how its funding programs in this area came about, gathered from interviews with staff members and review of program documentation
- Historical figures on # of applicants and grants within this investment area, gathered from analysis of CAC databases
- Findings from past evaluations, and early assessments of new programs
- General assessment of the extent of funding available from other sources elsewhere in the funding landscape
- Analysis of the potential roles that CAC might play in this investment area moving forward

We will design an agenda for each session, facilitate the sessions, and prepare a short written summary of each. Discussion will center on a small number of key questions such as:

- What is the level of need (i.e., demand for funding) driving each investment area?
- How well does each investment area align with the Strategic Framework? What are the opportunities within each investment area to address CAC’s equity commitments?
- How well are the explicit and implicit theories of change about the impact of these grant programs playing out in practice? Do the theories need to change?
- Are there partnerships that CAC should explore to further leverage its funding?
- What is missing from each investment area, if CAC is to fulfill the promise of the new Strategic Framework?
- What is the optimal role of CAC in each investment area given the larger landscape of arts funding in California? What are the arguments for, and against, continued CAC investment in each area? What resources, monetary and non-monetary, can CAC bring to each area?

To assist the Task Force in these discussions, we will prepare a framework for considering the roles that CAC might play in each investment area, based on an analysis of public-sector funding practices, such as:

- 1) A primary direct funding role in which CAC invests broadly in hopes of having sector-wide impact
- 2) An equity-based funding role in which CAC support focuses *exclusively* on funding that addresses inequities
- 3) A leveraged, indirect funding role in which CAC supports partners/intermediaries who, in turn, impact the sector
- 4) A catalytic or developmental role in which CAC plays a limited role in advocating for an investment area, or supporting policy development or research, but does not invest significant resources in the form of grants
- 5) A capacity building role in which CAC's investment comes primarily through non-monetary resources (e.g., leadership, communications support)
- 6) No role

After the last work session, we will compile our written summaries from all seven sessions into a working document, "Critical Reflections on CAC's Investment Areas."

Task 4.2 Expert Panel: Balancing the Portfolio

We will work with CAC staff to identify three leaders in public sector grantmaking to share their perspectives on the "Critical Reflections on CAC's Investment Areas" through an online webinar. The purpose of the webinar is to gain external perspectives on the balance of CAC's portfolio in the context of national trends in public sector grantmaking. Panelists may also be able to suggest alternative funding strategies that might support the Council's objectives. Each panelist will receive a stipend and will be asked to sign a release form. We will prepare an agenda for the webinar, contact and prepare the three experts, and facilitate the webinar. CAC staff and Council members will be invited to attend the webinar and ask questions of the panelists. The webinar will be recorded and posted on the CAC website for public dissemination.

Task 4.3. Task Force Retreat: Portfolio Review

Building on the seven work sessions and previous analysis of the business process model, we'll prepare for, and facilitate, a one-day culminating retreat for Task Force members and possibly other CAC staff. The purpose of this retreat is to consider the totality of the evaluation work and home in on an overall approach to funding moving forward. In advance of the retreat we'll hold a few small group conversations with members of CAC's leadership team, and with relevant Council committees (e.g., program committee, equity committee, policy committee) to further frame up the key issues to be addressed at the retreat.

As the culminating step in the evaluation process, we'll design and facilitate a one-day retreat with the Task Force to discuss the portfolio balance, approaches to each investment area, and alignment with the Strategic Framework. These discussions will require focusing on broader, cross-cutting issues identified in the Strategic Framework: core values, strategic commitments, goals and

aspirations of the agency, in order to address complicated issues of emphasis and balance across the portfolio.

The final portion of the work session will allow for reflection across the portfolio in terms of balance, possible re-alignments, and future priorities. At this point we should also revisit the Business Process Assessment (Track 3) to consider the implications of the portfolio evaluation on operations. Our hope is to leave the work session with enough insight and direction from CAC to begin drafting the final evaluation report.

Task 4.4. Draft, Vet, and Finalize Evaluation Report

We will draft a final Evaluation Report, drawing from all three tracks of work: the Portfolio Analysis, the Business Process Model analysis, and Field Scan. We foresee several sections, including: 1) an overview of the existing portfolio of grant programs and its many contributions to the state's arts ecosystem, and the role CAC funding plays in the larger funding landscape; 2) an overarching theory of change for how CAC can affect change in the California arts ecology (i.e., a translation of CAC's Strategic Framework and evaluation results into an action-oriented statement of cause and effect); 3) forward-looking ideas for refining the portfolio of initiatives and grant programs over the coming years in order to better align with the new Strategic Framework and the evolving needs of the field; and 4) recommendations for strengthening the agency's capacity for research and evaluation. Once the full report is drafted, we will produce a concise, downloadable and printable Executive Summary suitable for online distribution, including key visualizations, that can stand alone as an abbreviated record of the evaluation.

The draft report will be submitted to CAC by March 2022. Based on feedback from CAC staff we will make the necessary refinements to the evaluation report and submit a final draft for review and approval by August.

Internal and External Accountability

The evaluation consultants are working closely with the Project Manager and Race and Equity Manager and are holding weekly video conferences with them.

The work of the evaluation team is overseen by a Task Force, consisting of Council members, members of CAC's leadership team, and program staff. The Task Force will be convened at least every six months, and will have significant involvement in the Track 4 Portfolio Evaluation. In addition the Task Force may be consulted (either in writing or through additional meetings) on the overall direction of the evaluation and specific deliverables. To ensure that there is adequate space in the Task Force meetings for difficult but necessary conversations about equity, we will deliberately hold time on the agenda for periodic "equity pauses" that will be facilitated by our Equity Advisor, Shalini Agrawal.

In compliance with the RFP's requirements, we will also submit quarterly reports to CAC, reflecting on the work that has been completed in the preceding three months, and highlighting notable divergences from the Evaluation Plan.

The RFP for this evaluation specifies that two Public Forums are to be held over the course of the project. There will likely be two components to each of these public presentations. First, a brief summary will be presented at a public Council Meeting. This will be followed by a more extensive presentation given at a separately scheduled event that provides opportunities for public comment, a week or two later. It is unclear whether there will be an opportunity to respond to comments during the public events, or whether questions and feedback will be gathered in a manner similar to CAC's listening sessions. We will consult with CAC on the design of these meetings so as to assure they are accessible to individuals with visual and auditory impairments, and that video recordings and/or transcripts of these meetings are available afterwards.

The first Public Forum is expected to serve as the public launch for the Field Scan report and the corresponding interactive online maps. The second Forum will likely present the final report.

List of Deliverables

Task	Description of Deliverable	Due Date	Audience
Track 2			
2.1	Memorandum Report on Lit Review	31-Mar-21	Task Force (Public?)
2.5	Case Studies on Four Local Arts Ecosystems	30-Jun-21	Public
2.6	Field Scan Report: Website with maps, E-book,	30-Jun-21	Council/Public
Track 3			
3.1	Memo: Workflow map and summary of interviews	30-Mar-21	Project Team
3.2	Qualitative report: Summary of Interviews, Grantee Workflow	31-Aug-21	Project Team
3.3	Memo: Summary and Workflow map of New Programs	30-Sep-21	Project Team
3.5	Preliminary Report on CAC's Business Process Model	15-Dec-21	Council
Track 4			
4.1	Briefing Packet Discussion #1	15-Mar-21	Task Force
4.1	Briefing Packet Discussion #2	17-May-21	Task Force
4.1	Briefing Packet Discussion #3	19-Jul-21	Task Force
4.1	Briefing Packet Discussion #4	20-Sep-21	Task Force
4.1	Briefing Packet Discussion #5	15-Nov-21	Task Force
4.1	Briefing Packet Discussion #6	17-Jan-22	Task Force
4.1	Briefing Packet Discussion #7	21-Mar-22	Task Force
4.1	Critical Reflections on CAC's Investment Areas	1-Apr-22	Task Force / Expert Panel
4.2	Webinar Recording	15-Apr-22	Public
4.4	Final Evaluation Report:	15-Jun-22	Council / Public

Timeline (by Track)

Track 2: Field Scan of “Equity in Arts Funding” in California

Task 2.1. Scan of Existing Research and Gap Analysis	Dec. 2020 – Mar. 2021
Task 2.2. Data Acquisition, Merging, Coding and Cleaning	Dec. 2020 – Mar. 2021
Task 2.3. Mapping California’s Nonprofit Arts Infrastructure	Mar. – Apr. 2021
Task 2.4. Assessment of Equity in the Arts Funding Landscape	Mar. – Apr. 2021
Task 2.5. Community Consultations about Local Arts Ecosystems	Mar. – May. 2021
Task 2.6. Prepare, Vet and Finalize Field Scan Report	Apr. – Jun 2021

Track 3: Business Process Assessment

Task 3.1. Key Informant Interviews on Old Grant Making Model	Jan. – Mar. 2021
Task 3.2. Qualitative Feedback on CAC’s Business Process Model from Non-Applicants and Applicants	Jul. – Aug. 2021
Task 3.3. Key Informant Interviews on New Grant Making Model	Aug. – Sep. 2021
Task 3.4. Integration of the Workflow Mapping of Grantmaking Model.....	Sep. – Oct. 2021
Task 3.5. Prepare Preliminary Report on CAC’s Existing Business Process Model	Nov. – Dec. 2021

Track 4: Portfolio Review and Agency-Level Theory of Change

Task 4.1. Critical Reflection on Seven Investment Area (bi-monthly)	Mar. 2021 – Mar. 2022
Task 4.2. Expert Panel: Balancing the Portfolio.....	Apr. 2022
Task 4.3. Task Force Retreat: Portfolio Review	Apr. 2022
Task 4.4. Draft, Vet, and Finalize Evaluation Report	Apr. – Aug. 2022

