

**Promoting Public and Private Reinvestment  
in  
Cultural Exchange-Based Diplomacy**

**By**

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**Robert Sterling Clark Foundation**

**Series on International Cultural Engagement**

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**“The arts  
are what we find again  
when the ruins  
are cleared away.”**

*Katherine Anne Porter*

*1940*



# Promoting Public and Private Reinvestment in Cultural Exchange-Based Diplomacy

## Introduction

### Robert Sterling Clark Foundation Interest in the Field

In 2007, with the Bush Administration's aggressive foreign policy looming large in the world's perception of the United States, the Robert Sterling Clark Foundation expanded its arts research agenda to include a major in-house project aimed at shedding light on the recent history of public and private support for public diplomacy and international arts and cultural exchange. Since 1953, the U.S. Information Agency (USIA) had been the major player in the field, spending countless millions during the Cold War to project a positive image of the United States and the democratic principles upon which it was founded. But when the Berlin Wall came down in 1989 and the Soviet Union collapsed in 1991, U.S. government expenditures for cultural exchange and public diplomacy were increasingly viewed as superfluous and were subsequently reduced. By the turn of the century, the USIA had been dismantled and its functions transferred to a number of different agencies resulting in extreme fragmentation. Its few remaining cultural exchange programs were moved to the Department of State. After the terrorist attacks of 9/11, an outpouring of international sympathy was quickly eroded following the Bush Administration's invasion of Iraq. And in the wake of the war, with no public diplomacy infrastructure remaining, world opinion toward the United States began a rapid downward spiral.

From 2001 through 2008, the Pew Global Attitudes Project produced some 21 reports based on 175,000 interviews in 54 different countries.<sup>1</sup> These reports reveal a staggering decline in our international image among our friends and enemies alike. This decline most assuredly is reflective of our rush to war with Iraq as well as our disregard for the positions of longtime allies and our willingness to take unilateral action, often in the face of world opposition. It is this willingness to act unilaterally despite global criticism that has made us the object of international outrage, with few public or private mechanisms through which to build constructive relationships with peoples and nations abroad.

One of the consequences of public and private disinvestment in public diplomacy has been the demise of many nonprofit organizations engaged in cultural exchange that had long been sustained through partial government support. Funded as a public-private partnership by USIA and a limited number of foundations, Arts International was probably the most important of the post-Cold War cultural exchange organizations that ultimately went bankrupt. In the early years of the new century, important private foundations followed in the path of the U.S. government, reducing their investment in public diplomacy and cultural exchange. Consequently, organizations that had been financed by private foundations began to have difficulty. Ultimately, many went out of business. The Center for Arts and Culture, which had produced a body of research that helped document the importance of cultural exchange, was among a growing number of groups that were forced to close their doors.

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<sup>1</sup> <http://pewglobal.org/reports/display.php?ReportID=263>.

While the federal government has provided only limited support for arts and cultural exchange in recent years, it certainly was the major source of support during the decades following the end of World War II. Within the private foundation world the story is much the same. With the exception of the Trust for Mutual Understanding, members of the foundation community that provided major support for cultural exchange during the Cold War have either discontinued support (e.g., Ford, Rockefeller, and Pew) or operate substantially reduced programs.

Because the Robert Sterling Clark Foundation believes that the United States cannot afford to ignore potential foreign policy tools such as cultural exchange-based diplomacy, we made the decision to undertake a research project that would make the case for renewed investment in this field on the part of government and private foundations. Our research brings together data on public and private support for arts and cultural engagement; it provides information on the deterrents to exchange-based diplomacy; and it describes models of engagement practiced by the U.S. government and foreign governments, as well as private nonprofit organizations. Finally, we have presented a series of recommendations and opportunities for consideration by the public and private sectors that may, if implemented, help the U.S. engage constructively with others in pursuit of a more peaceful world.

## **A New Day, A New Administration and New Opportunities**

With terrorist acts continuing to be reported with some frequency, and with the financial strains resulting from the near collapse of our economy a fact of everyday life, the United States has again discovered that unilateral action is not in our best interest. The international banking crisis and the subsequent decline of world stock markets have made it only too clear that isolationism is simply not an option and that the nations of the world must collectively develop strategic alliances that will ensure military and economic security for all.

It was within this context that Barack Hussein Obama was elected President of the United States in November of 2008. With his commitments to end the war in Iraq and to consider new approaches to the conduct of foreign policy, we now have a unique opportunity to make the case for developing and implementing an effective public diplomacy strategy, a strategy partially based on arts and cultural engagement. And, we believe we have an audience at the highest levels of government that is supportive of such an approach.

President Barack Obama's Arts Policy Platform states "Opening America's doors to students and professional artists provides the kinds of two-way cultural understanding that can break down the barriers that feed hatred and fear."<sup>2</sup>

Secretary of State Hillary Clinton, in her confirmation hearing, argued that "smart power in foreign policy includes the use of culture as a valuable diplomatic tool"<sup>3</sup>; and

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<sup>2</sup> Obama for President, Policy Platform, issued 2/28/08.

<sup>3</sup> Congressional Record, January 13, 2009, Senate Confirmation Hearing of Senator Hillary Rodham Clinton as Nominee as Secretary of State.

National Endowment for the Arts Chairman Rocco Landesman, in a public discussion with Frank Rich of *The New York Times*, recently discussed his hope to work with the State Department to promote international arts and cultural exchange as an instrument of public diplomacy.<sup>4</sup>

It is our intention to make our research available to the President and his staff as well as officials at the State Department, the Defense Department, the Broadcasting Board of Governors, the National Endowment for the Arts, the National Endowment for the Humanities, the Institute for Museum and Library Services, and other relevant agencies. We will also make this information available to private foundation officials, representatives of arts service organizations, colleagues at research and academic institutions and members of the press, as well as the arts community at large in the hope that this research will lay the groundwork for the development of a new approach to international cultural exchange-based diplomacy.

## Definitions

### *Public Diplomacy Defined*

Within the context of this report, public diplomacy is defined as actions undertaken to understand, inform, engage and influence global publics with the intention of advancing the national interest of the United States. The major elements of public diplomacy include listening, advocacy, cultural diplomacy, exchange diplomacy and international broadcasting.<sup>5</sup> The terms “public diplomacy” and “strategic communications” are used interchangeably when referring to U.S. government-sponsored activities. The public agencies that play the largest role in this arena include the Department of Defense, the Department of State, the Broadcasting Board of Governors, the U.S. Agency for International Development and the White House through the National Security Council. This definition is reflective of the evolving foreign policy objectives of the United States.

Public diplomacy can also be defined as a collection of interactions between and among global publics that are not sponsored by individual states. The recent development and increasing accessibility of digital technology and social networks such as Facebook, Twitter, and Second Life have done much to alter the spaces where non-state sponsored public diplomacy occurs.<sup>6</sup> Hence, individuals, NGOs, international trade associations, corporations, cultural and arts organizations as well as non-state practitioners of public diplomacy are connected horizontally—without the necessity of state support and sanction. These advanced technologies are significantly altering the public diplomacy landscape by creating spaces where a new global *Citizen Diplomacy* can take root and grow.

### *Cultural Diplomacy Defined*

In practice, U.S. cultural diplomacy is often based on public-private partnerships and rarely falls exclusively within the control of government. Milton Cummings defines cultural diplomacy as “*the exchange of ideas, information, art and other aspects of culture among nations and their*

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<sup>4</sup> Public Conversation with Frank Rich of *The New York Times* at Symphony Space, New York, NY, October 20, 2009.

<sup>5</sup> Cull, Nicholas J., *The Cold War and the United States Information Agency: American Propaganda and Public Diplomacy, 1945-1989*, Cambridge University Press, 2008, p. 486.

<sup>6</sup> Other widely used definitions of public and cultural diplomacy can be found on pp. 48 and 49 in Appendix A of this report.

people in order to foster mutual understanding. But ‘cultural diplomacy’ can also be more of a one-way street than a two-way exchange, as when one nation concentrates its efforts on promoting its national language, explaining its policies and point of view or ‘telling its story’ to the rest of the world.”<sup>7</sup> We accept this definition here but have limited the activities of interest to international arts programming, international arts engagement, as well as international arts exchanges.

### ***Cultural Exchange Discussed***

Because there is no standard definition of cultural exchange, many activities supported by the government and the private sector that could qualify as cultural exchange-based diplomacy are under-quantified. To permit aggregation of information on such activities, the terms ***international programming, international engagement*** and ***cultural exchange activities*** have been used for clarification purposes during the research process. It should be noted that ***activities based on educational exchange, such as the Fulbright and Humphrey fellowships and academic exchange programs, are excluded from our discussion unless there is a clear artistic component to such programs.***

### **Study Period**

While we have presented some historical data that predates 1994, our primary analysis of public sector spending for public diplomacy begins with that year and proceeds through 2008. Our analysis of private sector support for international cultural engagement or exchange makes reference to historical context but focuses on the years 2003 through 2008.

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<sup>7</sup> Cummings, Milton, *Cultural Diplomacy and the United States Government: A Survey*, Washington, DC: Center for Arts and Culture, 2003, p. 1.

## Acknowledgements

This publication has been nearly three years in the making, with contributions from more than 150 people drawn from the worlds of art and public policy who are listed in **Appendix H**. While we are very appreciative of all who contributed their experience and knowledge, there are some who deserve special mention. First, I want to thank the Foundation's consultant, Aimee R. Fullman, who analyzed more than 2,000 grants listed in the Foundation Center's Grants Index for the years 2003-2008. Her aggregation of grant information serves as the basis of the section of this publication that deals with private sector disinvestment in international arts and cultural exchange and is included in this document as **Appendix F**. Additionally, she created a U.S. Public and Cultural Diplomacy Timeline that lists the most important political events; U.S. government initiatives; legislation and policy; institutions, investments and partnerships; and reports and conferences that relate to our subject matter from 1999 through 2009. This material is presented as **Appendix G**. Finally, Ms. Fullman conducted an e-survey to help document the value of cultural exchange. Results can be found on the Foundation's website [www.rsclark.org](http://www.rsclark.org).

A number of people were helpful in supplementing Foundation Center information with their own institutional data. These include Michael Kaiser, President of The John F. Kennedy Center for the Performing Arts and members of his staff including Donna Cutro and Christian Curtain, who spent untold weeks analyzing Kennedy Center financial information on international programming for the years 2003 through 2006. Also included are Karen Hopkins, President, and Joe Melillo, Executive Producer of the Brooklyn Academy of Music, and their able assistant Marisa Menna, who aggregated BAM data for the same period of time. Last but not least, we thank Jane Moss, Vice President of Programming, Lincoln Center for the Performing Arts and her staff including Siri Horvitz, who spent substantial time compiling comparable information for Lincoln Center.

Thanks also go to Vishaka Desai, President of the Asia Society, and her staff who analyzed Foundation Center data relating to grants received; as well as to Larry McGill, Vice President of Research at the Foundation Center, for helping us obtain the best dataset possible for our private sector analysis.

In addition to those mentioned above, there are a number of people with whom I had extensive conversations about the public sector research reported in this document. They include Carol Balassa, Senior Fellow with The Curb Center for Art, Enterprise and Public Policy; David Grier, Cultural Affairs Outreach Officer, Cultural Programs Division, Department of State; Eric Lief, Research Associate, Henry L. Stimson Center; and Pennie Ojeda, Director, International Activities, National Endowment for the Arts. Further, I thank the people listed below who gave of their time and agreed to serve as "readers" of the manuscript. For their knowledge, wisdom, and critical thinking I will forever be grateful.

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**Janet Brown**, President, Grantmakers in the Arts

**Eric Lief**, Senior Associate, Henry L. Stimson Center

**Ellen Lovell**, President, Marlboro College; *Former President, Center for Arts and Culture;*  
*Former Director, Millenium Project, Clinton Administration, 2000*

**Pennie Ojeda**, Director, International Activities, National Endowment for the Arts

**Cynthia Schneider**, Distinguished Professor in the Practice of Diplomacy, School of Foreign Service, Georgetown University; Senior Non-Resident Fellow, Brookings Institution;  
*Former United States Ambassador to the Netherlands*

**James Allen Smith**, Director of Research and Education, Rockefeller Archive Center;  
Chairman, Robert Sterling Clark Foundation

**Andrea Snyder**, Executive Director, Dance/USA

**Margaret J. Wyszomirski**, Director, Arts Policy & Administration Program;  
Professor, Department of Art Education; Professor, School of Public Policy and Management,  
Ohio State University

This report would never have been written without the support of my fellow board members at the Robert Sterling Clark Foundation who share my hope that it will provide a solid base for the development of our grants program in the field of international cultural engagement, and that the information presented herein will be useful to public officials, other private foundations and the artists and arts organizations that carry out this important work. Finally, I am profoundly thankful for my close friend, Fred Papert, whose encouragement and support have sustained me over time.

Margaret C. Ayers  
President  
March 12, 2010

## Making the Case for Cultural Exchange-Based Diplomacy

*“Art is a universal language, one that breaks the barriers of speech and custom to remind us time and again of our common humanity. To understand our brothers and sisters in nations across the globe, we need only look at their art and the spirit within it.”*<sup>8</sup>

Many arts and cultural practitioners, foreign policy experts and members of the diplomatic community believe there is an important role for nonprofit arts and culture in U.S. public diplomacy efforts that has been greatly neglected in recent years. American artists are engaged globally through their participation in festivals, biennales, residencies, symposia, performances, workshops and other kinds of artistic collaborations that bring American artists together with foreign nationals and lead to greater understanding of one another’s cultural achievements. However, international exchanges are often impeded by numerous financial, political, cultural and logistical barriers that include inadequate funding, fragmentation of public sector authority, lack of information about exchange opportunities, differences in language and customs, as well as visa and tax policies that act as deterrents. Despite the difficulties of working internationally, a group of major New York institutions, including the Brooklyn Academy of Music, the Asia Society and the Center for Dialogues at New York University, came together in 2007 and began to make plans to sponsor an Islamic Festival in New York City in the spring of 2009. Major supporters included the Doris Duke Foundation for Islamic Art, the Mellon Foundation, the Rockefeller Brothers Fund, the Rockefeller Foundation Innovation Fund and the Robert Sterling Clark Foundation.

The Clark Foundation provided support for the Festival as part of its new initiative to develop a grants program in the field of international cultural engagement. Recognizing the power of art to bridge cultural divides, it was our expectation that the Festival could serve as a demonstration of the power of art as a tool of international public diplomacy.

### **What Can Culture Do? *Muslim Voices: Arts and Ideas Comes To New York***

The objective of *Muslim Voices: Arts and Ideas* was to create greater understanding between Western and Muslim communities through the unique power of cultural exchange. Ultimately, the project proved to be the largest multi-venue celebration of Islamic culture ever presented in the United States, reaching a total live audience of more than 23,000 people over the course of 10 days. Further, a three-day academic conference was held by the Center for Dialogues that brought together over 40 scholars, artists, government officials and cultural practitioners from the U.S., Europe and across the Muslim world to discuss how cultural exchange might contribute to establishing a relationship of respect and mutual understanding between east and west. In addition to the three sponsoring institutions, the Metropolitan Museum of Art and the Brooklyn Museum mounted extensive exhibitions of Islamic art drawn from their Islamic collections. While BAM and the Asia Society presented the work of Muslim performing and visual artists, the New York Public Library joined Festival sponsors by hosting presentations and discussions of contemporary Muslim literature. *Muslim Voices* received global press coverage originating from as far away as Egypt, Pakistan, Taiwan and Saudi Arabia, as well as from some 45 communities throughout Europe and the United States. Now, nearly nine months after the presentation of *Muslim Voices*, participants continue conversations begun at the Festival. Complete programming is currently

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<sup>8</sup> Alexander, Jane, “A Letter from the Chairman,” *World Arts: A Guide to International Arts Exchange*, National Endowment for the Arts, 1994, p.1.

being uploaded onto the Asia Society website where it will be available to global audiences. The academic conference proceedings have been published on the Center for Dialogues website.<sup>9</sup> Further, the Brooklyn Academy of Music is now launching a sequel to its 2009 Muslim Voices Festival entitled *Muslim Voices: The Female Perspective*. Through this project, BAM plans to present a series of six films dealing with feminism, war, globalization, revolution, poverty, and intimate gossip—all from the perspective of Muslim women. In addition to this initiative, the Center for Dialogues at NYU is convening a follow-up panel discussion in the spring of 2010 that will explore critical issues that emerged during the Academic Conference that accompanied the Festival. The Center is also planning two additional projects linking artists from the Muslim world who participated in the Festival with arts projects in New York City. Collectively, these projects all emanate from relationships that developed during the Festival.

*Muslim Voices: Arts and Ideas* exemplifies how cultural exchange can promote dialogue that elevates discussion and understanding of our shared aspirations. By most standards this undertaking appears to have been highly successful, creating fissures in the hard lines of the landscape between the Muslim world and the West.

## **Building a Body of Evidence That Demonstrates the Benefits of Exchange**

While the benefits that arts and cultural exchange bring to individuals, communities and nations are generally acknowledged, not all worthy endeavors are easily measured. Using the arts to build trust and effective communication between nations requires sustained commitment and can be difficult to quantify. It was within this context that the Clark Foundation hired a consultant to design and administer a survey that would help document the value of international arts exchange primarily for small and mid-sized practitioners.<sup>10</sup> It was designed to give form and substance to exchange experiences that are often impressionistic.

Outcomes of cultural exchanges were elicited and are listed below in order of frequency with which they were mentioned by survey participants.

1. Generated reviews and commentary;
2. Resulted in program evaluations;
3. Established goodwill and long-term relationships;
4. Generated earned income;
5. Increased audience or visitor metrics;
6. Resulted in partner feedback;
7. Created a positive personal experience;
8. Resulted in repeat invitations or replication of program;
9. Generated anecdotes and testimonials;
10. Achieved established or artistic goals; and
11. Generated publicity.

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<sup>9</sup> [www.islamuswest.org](http://www.islamuswest.org).

<sup>10</sup> Fullman, Aimee R., "International Programming and Cultural Exchange Survey," 2009, [www.rsclark.org](http://www.rsclark.org), [Series on Cultural Engagement](#).

While there have been relatively few studies about the impact of international arts exchange, there are other studies that attempt to assess correlations between the nonprofit arts and the health of communities. The *Culture Counts in Communities Initiative*<sup>11</sup> at the Urban Institute found that cultural expressions in communities are viewed as assets, are related to other community-building processes and have:

1. Increased civic participation;
2. Catalyzed economic development;
3. Improved the built environment;
4. Promoted stewardship of place;
5. Augmented public safety;
6. Preserved cultural heritage;
7. Bridged cultural, ethnic and racial boundaries;
8. Transmitted cultural values and history; and
9. Created collective memory and group identification.

Further, there have been numerous studies<sup>12,13,14,15</sup> that have demonstrated the value of the nonprofit arts as a catalyst in increasing the economic vitality of cities across America including New York, Sarasota, Boston, Chicago, San Francisco and Tucson. Documented impacts include:

1. Job creation and associated increases in payrolls and tax revenues;
2. Economic revitalization leading to increases in land values;
3. Ancillary spending by arts patrons that generate increased sales taxes; and
4. Increases in tourism resulting in multiple positive financial impacts.

These and similar impacts have been documented through a body of literature in other countries that provides abundant evidence that such community-building processes are not unique to American life. This suggests the possible benefits of engaging with foreign publics through cultural exchange and development projects that will produce positive economic consequences for the host town or city.

Despite the strides taken to measure impact and improve the collection of data, the effects of U.S. international cultural exchange are easy to dismiss because practices of evaluation are inadequate. In contrast, the British Council is establishing baseline data referencing foreign impressions of the United Kingdom, and is then working to measure the effects of international engagement activities on foreign attitudes.<sup>16</sup> The French Ministry of Culture has also begun to assess outcomes of its cultural programming with some success. While such impacts may be difficult to measure, that doesn't mean it can't be done.<sup>17</sup>

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<sup>11</sup> Jackson, Maria-Rosario and Herranz Jr, Joaquin, "Culture Counts in Communities. A Framework for Measurement," Washington, DC: Urban Institute, 2002, pp. 13-33.

<sup>12</sup> Kahn, Charlotte and Pradhan, Gaeta, "Creativity and Innovation: A Bridge to the Future, A Summary of the Boston Indicators Reports," 2002.

<sup>13</sup> "The Creative Economy; A Blueprint for Investment in New England's Creative Economy," The New England Council, June, 2001.

<sup>14</sup> "Arts and Economic Prosperity III," American for the Arts, 2008.

<sup>15</sup> *Arts as an Industry: Their Economic Importance to the New York-New Jersey Metropolitan Region, Part I on Tourism and the Arts in the New York-New Jersey Region*, The Port Authority of NY & NJ, Alliance for the Arts, New York City Partnership, Partnership for New Jersey, October, 1993.

<sup>16</sup> Wyszomirski, Margaret, March 12, 2010.

<sup>17</sup> Ibid.

## **Cultural Exchange is Good for Business**

A major argument in support of reinvestment in international cultural exchange is that it benefits corporations that do business overseas. Cultural exchanges appear to result in more positive attitudes toward the U.S., thereby improving the climate for business in foreign countries.<sup>18</sup> Further, many U.S. corporations make charitable contributions to nonprofit organizations in foreign cities where they do business, thereby reinforcing the positive business climate and generating goodwill.

According to a report published by the National Governors Association, state governments find that incorporating arts and cultural exchanges into their international trade and business activities helps to advance trade relationships with other nations and expands overseas markets as a complement to more traditional efforts to generate international business.<sup>19</sup> In addition, corporate America has become increasingly aware of the need for the United States to repair its image abroad. Negative public opinion polls are a prime concern of the business community and resulted in the 2004 launch of a new coalition, Business for Diplomatic Action, which has since become involved in citizen and public diplomacy to improve our image overseas.

In contrast to the U.S., many foreign governments worldwide spend millions of dollars to send their artists to perform in other countries. In some cases their actions are driven by their interest in expanding trade. In others, the motivating factor is to promote mutual understanding, solidify strategic political relationships, or enhance their cultural image abroad. By not providing meaningful support for our artists to engage internationally, the U.S. misses the opportunity to send them abroad as citizen diplomats so that they, along with their international hosts, can listen, learn and share experiences with one another. In other words, the U.S. doesn't capture the "exchange benefits" that accrue to other nations that actively support such exchanges.

## **The Bottom Line**

The objective of cultural exchange-based diplomacy is to promote mutual understanding through the development of sustained relationships and goodwill. Sustained relationships are possible only when there is dialogue and mutual respect. The most benign way to achieve this is through "layered engagement" that takes place when multiple exchange activities occur simultaneously. Such engagement is believed to produce more authentic interaction, which in turn results in the development of long-term relationships.<sup>20</sup>

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<sup>18</sup> Balassa, Carol, Curb Center for Art, Enterprise and Public Policy at Vanderbilt University, February 15, 2010.

<sup>19</sup> "How States are using Arts and Culture to Strengthen their Global Trade Development," National Governors Association, May, 2003.

<sup>20</sup> See p. 38 of text.

# Trends in U.S. Public Support for Arts and Cultural Exchange-Based Diplomacy

## An Overview of U.S. Public Diplomacy

### *Background*

We cannot begin to understand the current position of the U.S. with regard to public diplomacy without first understanding something of the history of the U.S. Information Agency (USIA). Founded in 1953, the agency was created to “tell America’s story to the world” in an all-out effort to triumph over communism and its chief proponent, the Soviet Union. As pointed out in a new book by Nicholas Cull, *The Cold War and the United States Information Agency*,<sup>21</sup> USIA was the driving force in U.S. efforts to engage diplomatically with the rest of the world and became the central architect of U.S. public diplomacy initiatives for the next four decades. Cull’s book documents the Agency’s efforts to put a negative spin on events that occurred in the Soviet Union and a positive spin on difficult subjects for the United States such as the Civil Rights Movement, the Vietnam War, Watergate and the various confrontations with the Soviet Union that occurred in the 1980s. From 1953 until the Berlin Wall came down in 1989, USIA spent hundreds of millions of dollars annually to finance its public diplomacy function. By 1994 its annual operating budget had grown to more than one billion dollars, which represents the high point for U.S. public diplomacy expenditures.<sup>22</sup>

Created as an independent agency in the executive branch of government, USIA conducted programs designed to influence the development of public opinion in foreign countries through educational and cultural exchanges, international broadcasting, and distribution of newsworthy publications to support U.S. foreign policy objectives. USIA’s exchange activities included the Fulbright Educational Exchange Program which operated in 140 countries, the International Visitors Program which brought some 3,000 foreign leaders to the United States each year, countless academic and professional exchanges, as well as USIA’s visual and performing arts exchanges managed by Arts America. But following the collapse of the Soviet Union in 1991 and with the U.S. in recession, deficit reduction quickly became the driving public policy imperative for the nation. Specific to public diplomacy, Representative Peter Stark (D-California) moved to cut funding for USIA, aided and abetted by Senator Jesse Helms (R-N. Carolina). From 1993 onwards, with Congress questioning its continued relevance, and with no great champions supporting its activities, appropriations for USIA declined dramatically, resulting in the elimination of much of its worldwide network of libraries and English language classes, reductions in its exchange programs and cutbacks in overseas staff. Under continued pressure to close the agency by members of Congress on both sides of the aisle, the Clinton Administration announced a shift in mission for USIA. Beginning in the late 80s, USIA had begun to promote a free-trade agenda that ultimately resulted in the passage of NAFTA in 1993. Shortly thereafter, the agency embraced trade and economics as its primary mission. Its original mission to use the tools of public diplomacy to shape world opinion with regard to the United States was largely ignored.<sup>23</sup>

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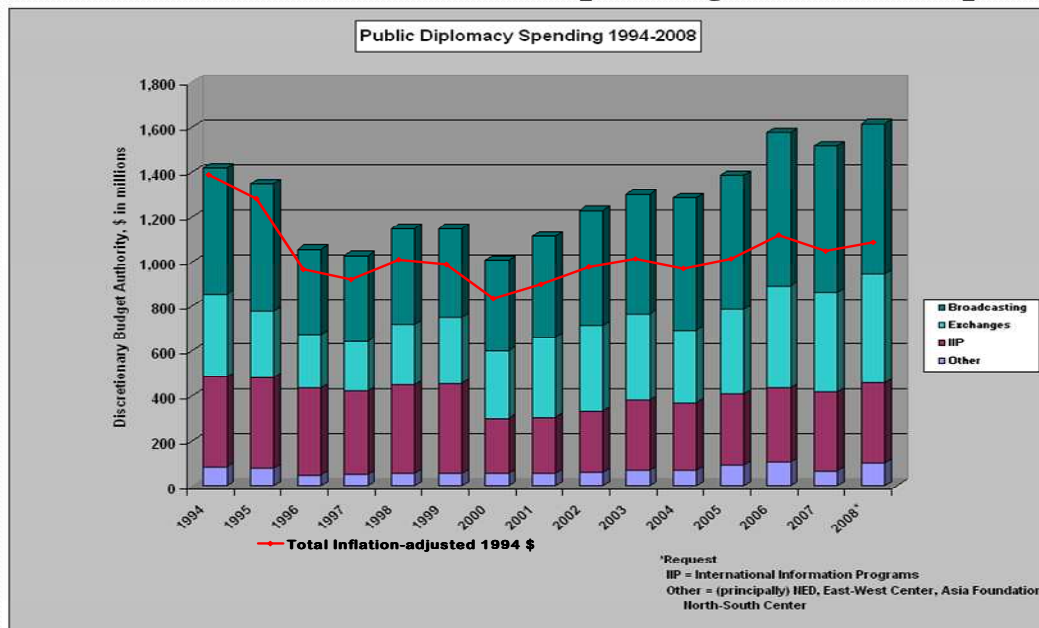
<sup>21</sup> Cull, Nicholas J., *Op.Cit.*, pp. 212,311,313,325-9, 497.

<sup>22</sup> Lief, Eric, The Henry L. Stimson Center, Washington, DC, Nov. 19, 2009.

<sup>23</sup> Snow, Nancy E., *United States Information Agency*, Vol. 2, #40, Interhemispheric Resource Center and Institute for Policy Studies, August, 1997.

The following graph is reflective of public diplomacy spending from 1994 through 2008.<sup>24</sup>

## An Overview of U.S. Government Spending on Public Diplomacy



Source: CSIS SMARTPOWER REPORT November 2007

Public diplomacy spending began to decline in 1995 when there were increasing Congressional calls to capitalize on the “peace dividend.” The downward spiral continued and in 1996, Arts America, the organization that ran USIA’s arts-exchange program, was eliminated.<sup>25</sup> Finally, confronted with a recalcitrant Congress, the Administration announced a Reorganization Plan that led to passage of the Foreign Affairs Reform and Restructuring Act of 1998 that authorized the elimination of USIA. In the fall of 1999, with a budget of \$1.1 billion (\$950 million in 1994 inflation adjusted dollars), the United States Information Agency went out of business, its various programs transferred to five other agencies. These included the Broadcasting Board of Governors (BBG), which oversees all non-military U.S. radio and television broadcasting, the U.S. Agency for International Development, the White House (through the National Security Council), the Department of Defense and the Department of State.<sup>26</sup> USIA’s remaining exchange programs were transferred to the Department of State under the newly created office of Under Secretary for Public Diplomacy and Public Affairs.

### *9/11: A Defining Moment for the U.S. Public Diplomacy of the Future*

Even before the U.S. government dismantled USIA and began to move forward with the transfer of its responsibilities to other agencies, terrorist incidents aimed at American government and private property were recurring. In 1993, the first effort to destroy the World Trade Center was attempted and in 1998 attacks were made on U.S. Embassies in Kenya and Tanzania. Three years later on

<sup>24</sup> Armitage, Richard & Nye, Joseph S., *A Smarter More Secure America*, Center for Strategic and International Studies Commission on Smart Power, November 6, 2007.

<sup>25</sup> Petroni, Renata, Performing Arts America Director, National Performance Network, March 10, 2010.

<sup>26</sup> Krause, Peter, and Van Evera, Stephen, “Public Diplomacy: Ideas for the War of Ideas,” Middle East Policy Council Journal, Vol. XVI, Fall 2009, #3, p. 3. [http://www.mepc.org/journal\\_vol16/3VanEveraFull.asp](http://www.mepc.org/journal_vol16/3VanEveraFull.asp).

September 11, 2001, the world's population was stunned and horrified when four commercial airliners were transformed into deadly missiles that targeted centers of U.S. financial, political and military power. In the days and months that followed the attacks on the World Trade Center and the Pentagon, there was an unprecedented outpouring of international sympathy for the U.S. But as the Bush Administration began to build the case for war with Iraq, that sympathy began to erode. In the spring of 2003, the U.S. invasion, followed by documented deaths of Iraqi civilians, human rights abuses at Guantanamo, and the torture of prisoners at Abu Ghraib, all converged to produce global outrage directed at the United States.

### ***World Public Opinion***

Public opinion reports published annually by the Pew Global Attitudes Project<sup>27</sup> revealed just how far the international image of the U.S. had declined. Noted by officials of both parties, as well as journalists and academics, calls went out to the Bush Administration to create new diplomatic initiatives. Between 2003 and 2005, numerous reports were published outlining ways to improve U.S. public diplomacy. In 2005, the Congressional Research Service conducted a comparative analysis of 29 such reports and their recommendations. Some 55% called for an increase in cultural exchanges and/or the creation of libraries; 51% recommended increased financial and/or human resources; and 44% suggested increased investment in public diplomacy and/or language training. Unfortunately, none of these reports provided any systematic study of the practices or sustainability of U.S. international engagement through arts and culture.

### ***Public Diplomacy During the Bush Administration***

In the absence of any public diplomacy infrastructure, members of Congress began to demand an overhaul of U.S. public diplomacy efforts. Legislative hearings were held and commissions were created to study the problem. Following the attacks of 9/11, a new Under Secretary for Public Diplomacy and Public Affairs was appointed at the State Department as the U.S. attempted to create a new global image. In 2002, a new White House Office of Global Communications was established, only to be eliminated shortly thereafter. In addition, the Administration authorized the development of a new Strategic Communications Plan (still not completed), created an Advisory Committee on Cultural Diplomacy;<sup>28</sup> and instituted the Advisory Commission on Public Diplomacy. Despite these efforts, little was accomplished during these years to develop a significant public diplomacy presence on the world stage.<sup>29</sup> Somewhat perversely, the terrorist threat actually induced the U.S. Government to consolidate public diplomacy operations into physically fortified, sometimes remote embassy compounds, and to close more accessible libraries and American Centers which were seen as too vulnerable to physical attack.<sup>30</sup>

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<sup>27</sup> Since 2001, the Pew Global Attitudes Project has conducted 21 reports based on 175,000 interviews in 54 countries. <http://pewglobal.org/about/>.

<sup>28</sup> See link to their excellent report, "Cultural Diplomacy -The Linchpin of Public Diplomacy," September 2005 on Timeline in Appendix G.

<sup>29</sup> A timeline of U.S. Public and Cultural Diplomacy from 1999-2009 and can be found in Appendix G. <http://www.rsclark.org/uploads/USPublicandCulturalDiplomacyTimeline.pdf>.

<sup>30</sup> Lief, Eric, Op.Cit., March 9, 2010.

## Agency Involvement in Public Diplomacy Post 1999

### *The Department of State*

Background. Following the reorganization of the U.S. public diplomacy functions at the beginning of the 21<sup>st</sup> century, the Department of State was the primary agency responsible for: educational and cultural exchanges, which it manages through the Bureau of Educational and Cultural Affairs (ECA); dissemination of information about U.S. policy, society and values to foreign publics, which is carried out through the Bureau of International Information Programs (IIP); and helping Americans understand the importance of foreign affairs, which it manages through the Bureau of Public Affairs (PA).

Educational exchanges are primarily carried out by ECA through its Professional Exchanges Division (Fulbright, Humphrey, International Visitors Program, English Language Program). Arts and cultural exchanges are carried out by its Cultural Programs Division. From 2003 through 2007, identified cultural diplomacy expenditures for arts exchange were a tiny fraction of total ECA and NEA appropriations.<sup>31</sup>

### **Public Support for International Arts and Cultural Exchange, 2003-2007<sup>32</sup>**

<b>Total Agency Appropriations</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
ECA Appropriations	\$245,300,000	\$320,000,000	\$360,500,000	\$431,700,000	\$465,000,000
ECA Cultural Programs Budget	\$2,700,000	\$3,000,000	\$4,300,000	\$4,700,000	\$7,900,000
ECA Cultural Program Budget as % of Total	<b>1.10%</b>	<b>0.94%</b>	<b>1.19%</b>	<b>1.09%</b>	<b>1.70%</b>
NEA Allocations	\$115,700,000	\$121,000,000	\$121,300,000	\$124,400,000	\$124,400,000
NEA Allocations for Cultural Exchange	\$422,935	\$533,061	\$848,700	\$912,250	\$932,399
NEA Allocations for Cultural Exchange as % of NEA Allocations	<b>0.37%</b>	<b>0.44%</b>	<b>0.70%</b>	<b>0.74%</b>	<b>0.75%</b>
Total Appropriation for Cultural Exchange Through ECA and NEA	\$3,122,935	\$3,533,061	\$5,148,700	\$5,612,250	\$8,832,399

November 2009

The Cultural Programs Division makes grants available to U.S. nonprofit organizations for cultural exchange activities; residencies, mentoring and training programs; programs that are carried out in foreign countries or under the auspices of U.S. Embassies; and for presenters at major international visual arts exhibitions and performing arts events. Beginning in 2005, financing for Exchanges writ large and for the Cultural Programs Division specifically began to increase and programming has become more creative, with the development of increasing numbers of public-private partnerships implemented through U.S. Embassies abroad and U.S. nonprofits at home. The following chart suggests how these partnerships are implemented.

<sup>31</sup> While the National Endowment for the Arts is not a part of the Department of State, we have included it here as the only other major source of quantifiable government support for arts exchanges during the years indicated.

<sup>32</sup> Interagency Working Group on U.S. Government Sponsored Exchanges and Training Annual Reports, 2003-2007, [www.IAWG.gov](http://www.IAWG.gov).

## Creation of Public-Private Partnerships<sup>33</sup>

Decision Making at the Cultural Programs Division of the Bureau of Educational and Cultural Affairs	
Agencies	Activities
<b>1. Cultural Programs Division</b>	<ul style="list-style-type: none"> <li>• Develops ideas for international exchange programs with others;</li> <li>• Sends out “RFGPs” to U.S. nonprofits to determine their interest in participating as cultural providers in developing and implementing programs that meet the requirements of the “RFGP;”<sup>34</sup></li> <li>• Sends out “Calls” to U.S. Embassies throughout the world to determine their interest in participating by identifying potential cultural beneficiaries.</li> </ul>
<b>2. U.S. Nonprofits</b>	<ul style="list-style-type: none"> <li>• Respond to “RFGPs” if interested in serving as cultural providers for a given program.</li> </ul>
<b>3. Embassies</b>	<ul style="list-style-type: none"> <li>• Identify prospective cultural beneficiaries and begin to submit proposals to the Division.</li> </ul>
<b>4. Cultural Programs Division</b>	<ul style="list-style-type: none"> <li>• Reviews responses of U.S. nonprofits;</li> <li>• Reviews responses of U.S. Embassies;</li> <li>• Selects participants.</li> </ul>

November 2009

Public-Private Partnerships. While there were a limited number of partnerships created earlier, since 2005, the Cultural Programs Division has initiated a number of exchange programs that leverage a broad range of resources to demonstrate the importance of the arts as a platform for international cultural engagement, and to demonstrate a strong commitment to cultural exchanges by the State Department and the Administration.<sup>35</sup> Such partnerships include:

- *American Documentary Showcase*. Created in 2009, ADS is a curated program of contemporary documentaries that is available to U.S. Embassies around the world. Through the Division, ECA is partnering with the University Film and Video Association and the International Documentary Association to promote American documentary films at international venues including U.S. Embassy organized events such as film festivals. In 2009, the Showcase will present 30 award-winning films that will travel to some 60 countries.

<sup>33</sup> This table was created from interviews with State Department staff.

<sup>34</sup> RFGP – Request For Grant Proposal.

<sup>35</sup> Information on these partnerships was obtained from the Department of State’s website under “Bureau of Educational and Cultural Affairs, Cultural Programs Division.” Some partnerships may be developed by the Division working in conjunction with other public agencies such as the NEA, NEH and IMLS.

- *Big Read: Egypt/U.S.* In 2008, the Division partnered with the Institute of Museum and Library Services, The National Endowment for the Arts, Arts Midwest and the U.S. Embassy in Cairo to promote shared understanding between Egypt and the U.S. by encouraging people from both countries to read and discuss translations of one another's great literary treasures.
- *DanceMotion USA.* Initiated in 2009, DanceMotion is a partnership between the Division and the Brooklyn Academy of Music that was created to tour American dance companies and share the story of American dance with international audiences. The companies selected by BAM include Urban Bush Women, ODC/Dance, and Evidence, A Dance Company. Each company will tour three countries in a single region, the regions being Africa, Latin America and Asia. Public performances will be complemented with master classes, workshops, and lectures with in-country artists.
- *Iowa Writers Program.* More than 1,000 writers from over 120 countries have participated in this program at the University of Iowa since it was created in 2001. The Program offers participants the opportunity to give and attend talks and readings, attend meetings with well-known emerging American writers, become exposed to a broad selection of American literature and to present their own work in a public forum.
- *John F. Kennedy Center for the Performing Arts Partnership.* Begun in 2006, this partnership is a fellowship program that brings young performing artists and arts managers from "priority countries" to the United States to participate in a two or three week training residency in arts management and performance. The program provides unique educational and professional development opportunities for mid-level arts managers.
- *Musical Overtures.* Created in 2009 by the Division, Musical Overtures is a special musical training program that takes U.S. bands to countries involved in or recovering from various kinds of conflict. Concerts are frequently performed with in-country musicians, creating new hybrid forms.
- *Rhythm Road: American Music Abroad.* Initiated in 2005, Rhythm Road is a partnership between Jazz at Lincoln Center and the Cultural Programs Division. Prior to 2005, it existed as the Jazz Ambassadors with The Kennedy Center as the partner and actually originated in 1956 as the Jazz Ambassadors. Through Rhythm Road, small musical groups perform authentic American music including Blues, Jazz, Gospel and Hip Hop as well as Country and Western in some 100 foreign countries.
- *Southwest Chamber Music Society Partnership.* Initiated in 2008 under the auspices of the Division, the Southwest Chamber Music Society and the Vietnam National Academy of Music are collaborating in a musical residency called the Ascending Dragon Cultural Exchange.

In addition to these and other partnerships, the Cultural Programs Division sponsors a Cultural Envoys Program, Cultural Visitors Program, Traveling Exhibitions, as well as educational outreach activities such as screenings, master classes and production workshops. Information on partnerships and programs can be found on the U.S. Department of State website under Bureau of Educational and Cultural Affairs, Cultural Programs Division.

## *Public Diplomacy and American Embassies Abroad*

Embassies are the most visible component of the United States' diplomatic presence abroad. However, there is no reporting relationship between our ambassadors and the Under Secretary of Public Diplomacy and Public Affairs within the Department of State. Rather, the embassies report to the Under Secretary for Political Affairs, who oversees the foreign bureaus of the Department of State. This results in a major disconnect between our embassies abroad and the Under Secretary for Public Diplomacy and Public Affairs. It should be noted that energetic Public Affairs or Cultural Affairs Officers in some embassies are active in raising funds and creating partnerships in their host countries to support cultural programs that present American artists or that encourage collaboration between American artists and host country artists. Further, even if funds are not invested in a cultural presentation, embassies sometimes play a facilitative role in raising the profile of an American artist or group by hosting a reception that brings together key figures in the host city.<sup>36</sup>

In addition, there are two cultural programs specifically designed for embassies. These include Arts in Embassies and The Ambassadors Fund for Cultural Preservation.

Arts in Embassies. Established in 1964, the Arts in Embassies program at the Department of State has sent art exhibitions overseas for display in ambassadorial residences worldwide. The program allows an ambassador to make use of a database from which to select art that is on loan from some 700 individual artists, galleries, museums, artists' foundations, as well as corporate and private collectors. These exhibitions play an important role in providing international audiences with a sense of the quality, scope and diversity of American art and serve a "Visual Diplomacy" function.<sup>37</sup> The art is available free of charge, shipping is paid for by regional bureaus, and insurance is covered by the Arts in Embassies program. The downside is that lending relationships are built with the ambassadors rather than the public affairs staff at a given embassy, resulting in limited continuity from one ambassadorial term to the next.

The Ambassadors Fund for Cultural Preservation. Founded in 2001, the Fund is an example of how the U.S. has used its resources to make positive contributions in recognition of the value of local cultural assets in developing countries. Founded in 2001, the Ambassadors Fund has provided support for some 500 projects through 2008, totaling more than \$13.4 million in some 120 eligible countries.<sup>38</sup> Projects nominated by U.S. Ambassadors in developing countries include a wide range of activities such as the provision of technical support for restoration of historic structures, documentation of traditional crafts, and preservation of archives and manuscripts. The grants support projects that are often conducted in partnership with the local Ministry of Culture and/or local nonprofits. By acknowledging the importance of these projects and sharing cultural preservation practices, there is a recognition of the value of global cultural diversity, a sentiment that translates more persuasively than an emphasis on U.S. cultural achievements.

More recently, embassies are being invited to participate in the partnerships organized by the Cultural Programs Division at the Bureau of Educational and Cultural Affairs. In contrast to our embassies, this agency is responsible to the Under Secretary for Public Diplomacy and Public Affairs.

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<sup>36</sup> Ojeda, Pennie, Director, International Activities, National Endowment for the Arts, Feb. 24, 2010.

<sup>37</sup> Art in Embassies Program website.

<sup>38</sup> <http://exchanges.state.gov/culprop/afcp/>.

## ***Broadcasting Board of Governors***

A second federal agency with some responsibilities for public diplomacy is the Broadcasting Board of Governors (BBG) which has a budget request of \$745.45 million for 2010 and estimated expenditures of \$717.382 million for 2009.<sup>39</sup> Charged with promoting freedom and democracy and originally a part of USIA, the BBG oversees all non-military broadcasting, including Voice of America, Radio Free Europe/Radio Liberty, Radio Free Asia, Radio and TV Marti, and the Middle East Broadcasting Networks. Translated into 60 languages, BBG programming is distributed through radio, television, the internet and a host of new media formats.<sup>40</sup> According to its strategic plan for the years 2008-2013, its mission is to promote freedom and democracy and to enhance understanding through multimedia communication of accurate, objective and balanced news information and other programming about America and the world to audiences overseas.<sup>41</sup> While arts content is minimal on Voice of America, VOA could serve as a platform for authentic American artistic voices as it did in the years after World War II. The station could be used to present artists' commentary, information about performance opportunities in other countries, and other issues of importance to the arts community. Programming could also include a call-in mechanism to facilitate listener participation.

During the past year, BBG, the architect of non-military promotional broadcasting for foreign audiences, has had a variety of problems. Active in the countries located in the Middle East, BBG administers the nonprofit Middle East Broadcasting Networks, the parent company of Alhurra and its sister station, Radio Sawa, which are reported to reach 71% of the Iraqi people. However, with the growth of independent cable channels, Alhurra has not increased its audience because its content is perceived as American propaganda.<sup>42</sup> Created by the Bush Administration in 2004, Alhurra has been the subject of a joint investigation by Pro Publica and CNN and is now being investigated by the State Department's Inspector General regarding its content, financial management and staff problems along with those of its parent company, Middle East Broadcasting Networks. Since it went on the air, the station has cost U.S. taxpayers \$600 million.

## ***Department of Defense***

According to its mission statement, the Department of Defense is "responsible for providing the military forces needed to deter war and protect the security of our country."<sup>43</sup> Given its mission, it seems unusual that the Department of Defense appears to be at the forefront of our public diplomacy efforts abroad, a reflection perhaps of inadequate funding for the Department of State. According to an article that appeared in the *Christian Science Monitor* in 2008, the Department of Defense is paying private contractors some \$300 million over three years to "produce news and entertainment programs for the Iraqi public to 'engage and inspire' Iraqis to support the objectives of the U.S. and the Iraqi governments."<sup>44</sup> The article also points out that this \$100 million annual expenditure by the Department of Defense in this one location is approximately one eighth of the State Department's annual public diplomacy budget for the whole world.<sup>45</sup>

To really understand the role of the Defense Department in public diplomacy, one has to go back to the *Smith-Mundt Act*, originally created as the *U.S. Information and Educational Exchange Act*

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<sup>39</sup> Broadcasting Board of Governors, FY 2010 Budget Request, "BBG Summary of Resources," p.7.

<sup>40</sup> Broadcasting Board of Governors, FY 2009 Budget Request, "Executive Summary," p.1.

<sup>41</sup> Broadcasting Board of Governors, FY 2009 Budget Request, "Performance Overview," p.1.

<sup>42</sup> Schneider, Cynthia, School of Foreign Service, Georgetown University, March 9, 2010.

<sup>43</sup> <http://govinfo.library.unt.edu/npr/library/status/mission/mdod.htm>. As of December 2009.

<sup>44</sup> Lord, Kristin M., *Christian Science Monitor*, October 29, 2008.

<sup>45</sup> Ibid.

of 1948. This legislation established the foundation for international engagement that became known as “public diplomacy” as practiced by the USIA from 1953 until it was dismantled in 1999.<sup>46</sup> The Act continues to serve as the foundation for U.S. overseas informational and cultural programs and requires that material about the U.S. and its policies intended for foreign audiences not be disseminated within the United States.<sup>47</sup> Amended in 1972 and again in 1998, the legal obligations of U.S. agencies engaged in public diplomacy were further clarified on April 30<sup>th</sup>, 1999 when “*President Clinton issued a Presidential Decision Directive (PDD-68) that expanded public diplomacy and public affairs operations beyond USIA and the Department of State to include all government agencies and ordered the creation of International Public Information (IPI) to synchronize the informational objectives, themes and images that will be projected overseas ... to prevent and mitigate crises and to influence foreign audiences in ways favorable to U.S. policy objectives.*”<sup>48</sup> PDD-68 also ordered top officials from the “Defense, State, Justice, Commerce and Treasury Departments as well as the CIA and the FBI to establish an IPI Core Group to be chaired by the Under Secretary for Public Diplomacy and Public Affairs at the Department of State.”<sup>49</sup> The IPI Core Group was established to coordinate international and domestic public diplomacy initiatives to achieve “a synergistic effect for [government] strategic information activities”<sup>50</sup> in the wake of the fragmentation of public diplomacy following the demise of USIA. Building on this Directive, “*Donald Rumsfeld on October 30, 2003, personally approved a 74-page document entitled ‘Information Operations Roadmap’ that provides the Department of Defense with a plan to advance the goal of information operations as a military competency*”<sup>51</sup> thereby moving the Defense Department into the public diplomacy void created by an underfunded and unprepared State Department. In 2008, the “militarization of diplomacy” continued unabated as the Department of Defense assumed public diplomacy functions that the Department of State had neither the trained staff nor the finances to execute.<sup>52</sup>

It is argued by some that the Defense Department provides the best training, attracts the best people, has the most funding and, more than any other agency, possesses the core competencies required to effectively conduct public diplomacy and strategic communication in support of U.S. national interests. However, should the Defense Department continue to engage in overt cultural programming as has been reported in the press,<sup>53</sup> it might convey the wrong message to global audiences. A more promising approach would make use of civilians, including artists, educators and those employed by nonprofit organizations, to participate in citizen diplomacy programming developed by the Department of State. This approach offers transparency and accountability that could help offset any negative response to overt public diplomacy activities in areas of crisis that would, most appropriately, be undertaken by the Department of Defense.

While many people interviewed for this report have made the assumption that the Department of State is the lead actor in the field of public diplomacy, our research findings call this into question. Evidence provided in the 1999 declassified documents described above authorizing the dispersal of

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<sup>46</sup> The National Security Archive Electronic Briefing Book, No. 177, posted Jan 26, 2006, <http://www.gwu.edu/~nsarchiv/NSAEBB/NSAEBB177/index.htm>.

<sup>47</sup> Ibid.

<sup>48</sup> Ibid.

<sup>49</sup> Ibid.

<sup>50</sup> Ibid.

<sup>51</sup> The Roadmap was obtained under the Freedom of Information Act by the National Security Archive at George Washington University and posted on January 26, 2006.

<sup>52</sup> *A Foreign Affairs Budget for the Future*, Henry L. Stimson Center, October 2008, p.3.

<sup>53</sup> Armstrong, Matt, “Senator Urges Suspension of Iraq Publicity Contracts,” *Mountain Runner U.S.*, Oct. 10, 2008.

the public diplomacy function throughout the government and establishing, in 2003, public diplomacy as a core competency of the Department of Defense indicate otherwise. In 2006, the Department created the Office of the Deputy Assistant Secretary of Defense for Support to Public Diplomacy.<sup>54</sup> The purpose of the agency was to coordinate public diplomacy efforts and serve as the lead agency for developing policy within the Department of Defense to counter ideological support for terrorism. While this agency was eliminated in early 2009, *The Washington Post* recently reported that paid-for news articles, billboards, radio and television programs as well as polls and focus groups had been ordered by the U.S. Central Command. The article also reported that when Congress asked what the Department's proposed budget was for strategic communications in 2010, the first response was reported back at \$1 billion but was later changed to \$625 million.<sup>55</sup> In attempting to verify these numbers with the Government Accountability Office (GAO), we were told that the GAO hadn't been able to find a citable number because the strategic communications function was dispersed throughout the Department of Defense. Nevertheless, the GAO believes that expenditures for public diplomacy (strategic communications) are in the hundreds of millions annually.<sup>56</sup>

The graph on the next page, published by the U.S. Government Accountability Office, shows Department of State and Broadcasting Board of Governors expenditures for the strategic communications function for 2008. In this year, the Department of State received a total appropriation of \$879 million of which \$501 million was allocated to the Bureau of Educational and Cultural Affairs for exchange programs. Of this amount, \$8.3 million was appropriated for arts exchanges which was then supplemented by \$1.7 million bringing the total for 2008 to \$10 million. By comparison, the remaining \$491 million was expended on other kinds of exchanges including: educational exchanges such as Fulbright fellowships, academic exchanges and English language programs; professional exchanges; scientific exchanges and foreign visitor programs.

These disproportionate allocations are reflective of a general attitude in Washington that, despite Cold War evidence to the contrary, arts and cultural exchange-based diplomacy is of little value as an instrument of public diplomacy.

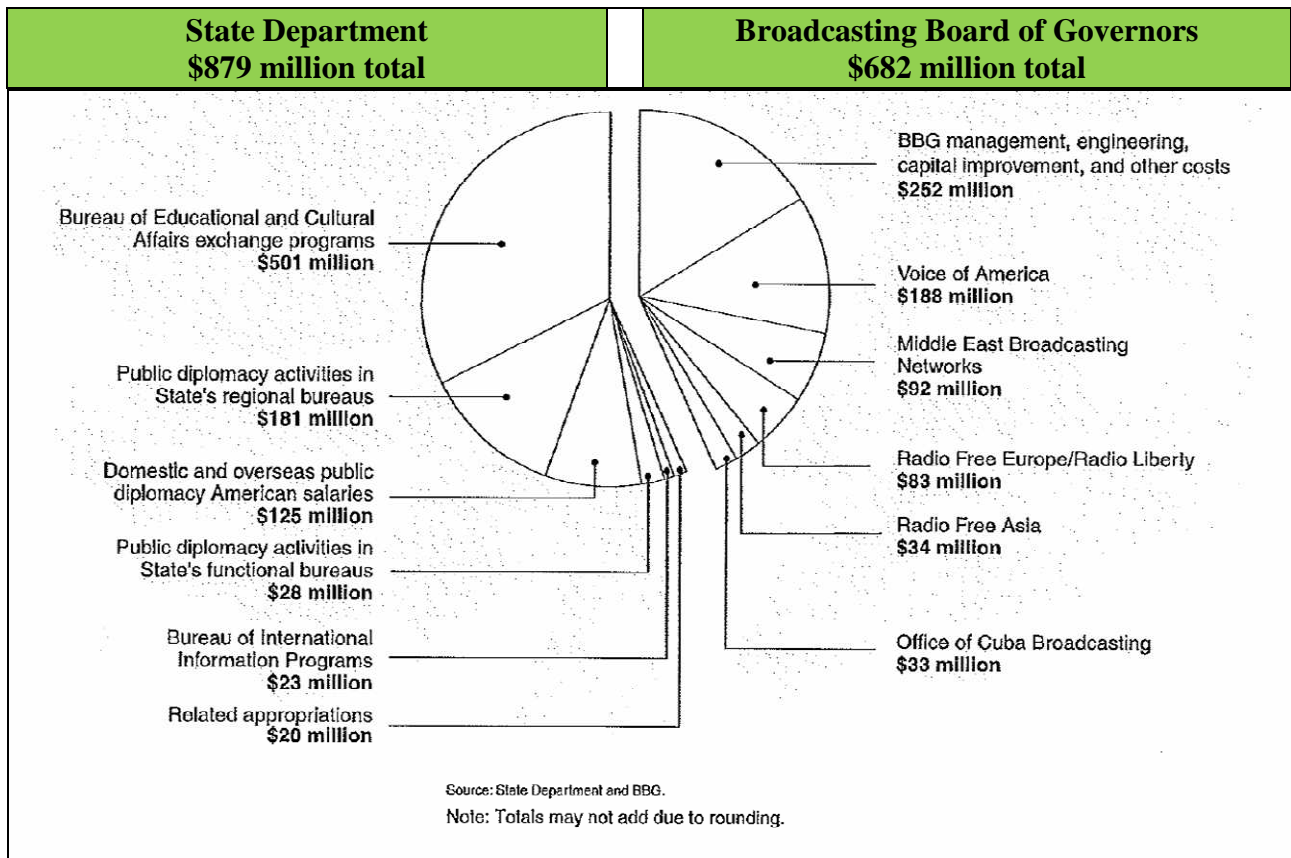
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<sup>54</sup> GAO Report to Congressional Committees, U.S. Public Diplomacy Key Issues for Congressional Oversight, May, 2009, p. 20, <http://www.gao.gov/new.items/d09679sp.pdf>.

<sup>55</sup> Pincus, Walter, "Pentagon Reviewing Strategic Information Operations," *The Washington Post*, December 27, 2009.

<sup>56</sup> Ford, Jess, Director, Government Accountability Office, February 22, 2010.

## Key Uses of U.S. Strategic Communication Budget Resources for the State Department and the Broadcasting Board of Governors, Fiscal Year 2008<sup>57</sup>



**United States Agency for International Development.**<sup>58</sup> USAID funds all domestic and some foreign audience communications out of limited agency operating expenses. There is no stand-alone budget for agency communications other than the operational budget allotted to USAID's headquarters public affairs bureau. USAID missions establish a communications budget based on amounts left over within the mission budgets. The GAO reported this amount to be \$1.7 million in 2008.

**Department of Defense.**<sup>59</sup> The Department of Defense does not have a separate budget covering its strategic communications activities. DOD officials said that they consider strategic communication to be a process instead of a discrete set of programs, and as a result, cannot identify DOD's spending on its strategic communication efforts. Nonetheless, DOD officials acknowledge the department spends hundreds of millions of dollars each year to support its outreach efforts, and DOD has identified strategic communication as a critical capability it intends to develop and support with related policy and doctrinal guidance training, as well as staff and program resources.

<sup>57</sup> GAO Report to Congressional Committees, Op.Cit., p. 8.

<sup>58</sup> Ibid., pp.8,9.

<sup>59</sup> Ibid., p.9.

## Deterrents to Successful Cultural Engagement

### *Public Sector Disinvestment in Cultural Exchange and Exchange-Based Diplomacy*

Following the fall of the Berlin Wall in 1989, the dissolution of the Soviet Union in 1991, and a deeply felt recession throughout the early 1990s, the United States became paralyzed by fiscal constraint. After the highpoint of public diplomacy spending in 1994, aggregate funding for U.S. international affairs fell in both nominal and real terms until the end of the decade.<sup>60</sup> As a part of this trend, spending for public diplomacy declined substantially and in some cases, such as that of USIA, programs were simply eliminated outright. Ironically, at the same time we were experiencing this contraction, public diplomacy staffing needs were escalating. The elimination of the “Iron Curtain” and the dissolution of the Soviet Union created an instant need for 20 new embassies in the newly liberated countries of the Ex-Soviet Bloc. Doing more with less meant that many programs that were not valued as effective foreign policy instruments were substantially cut back. Among these were the arts and cultural exchange programs conducted by USIA that had been so heavily financed in the 1960s and 1970s, and which helped diminish the Soviet threat.

After the attack on the World Trade Center on 9/11, Congress began to increase support for all the major cultural agencies as well as the cultural programs at the State Department. Nevertheless, we have not begun to recover from the massive disinvestment in public diplomacy that occurred in the years leading up to 1999 when USIA was dismantled. While overall support for cultural exchange programs has increased slightly, funding for such programs at the Bureau of Educational and Cultural Affairs does not compare with the millions spent on such activities by USIA during the Cold War.

The chart below compares 1994 USIA expenditures for the public diplomacy function, including broadcasting, with those of the State Department and the Broadcasting Board of Governors in 2008. After USIA was dismantled in 1999, The Department of State inherited USIA’s Exchange programs (ECA) and information functions (IIP) while the Broadcasting Board of Governors was spun off as a free-standing agency. In order to make comparisons between USIA expenditures and those of DOS and BBG, we have adjusted the latter figures for inflation and have added them together. USIA expenditures for these purposes are presented graphically on page 12.

### **Public Diplomacy Expenditures Compared - 1994 and 2008**

<b>Year</b>	<b>Agency</b>	<b>Actual Expenditures</b>	<b>Adjusted for Inflation</b>	<b>Total</b>
1994	USIA	\$1.358 Billion <sup>61</sup>	NA	\$1.358B
2008	DOS	\$879 Million <sup>62</sup>	\$607.389M	-
2008	BBG	\$682Million <sup>63</sup>	\$471.262M	-
			\$1.079B	\$1.358B
			2008	1994

March 2010

As indicated, 2008 expenditures are approximately 30% lower than the comparable figures for 1994, which explains why so many foreign policy experts are advocating for substantial increases.

<sup>60</sup> *A Foreign Affairs Budget for the Future*, Op.Cit., pp.7,8.

<sup>61</sup> Leif, Eric, Op.Cit., Nov.19, 2009.

<sup>62</sup> GAO Report to Congressional Committees, Op.Cit., p.8.

<sup>63</sup> Ibid.

## *Fragmentation of Public Diplomacy Post 1999*

The absence of a single government agency with ultimate responsibility for public diplomacy makes it difficult for the U.S. to define and pursue a coherent mission. Altogether, there are more than a dozen government agencies that play some public diplomacy role. While we have looked in detail at the Broadcasting Board of Governors, the Department of Defense and the Department of State,<sup>64</sup> additional agencies with some role in this area include the Justice, Commerce and Treasury Departments as well as the FBI and CIA.<sup>65</sup> In addition, the cultural agencies including the National Endowment for the Arts, the National Endowment for the Humanities, the Institute of Museum and Library Services, the Smithsonian Institution, the President's Committee on the Arts and Humanities, as well as the White House (through the National Security Council) may play a public diplomacy role either singly or in partnership with one another, the State Department or U.S. nonprofit organizations that participate in international partnerships. The multiplicity of agencies and programs that play some role with regard to international cultural exchange-based diplomacy all operate independently for the most part, resulting in total fragmentation of purpose. Consequently, U.S. investments in arts and culture are not taken seriously in the international policy arena. The absence of a single voice that promotes U.S. government-sponsored cultural initiatives, usually represented in other countries by a Minister of Culture, also complicates attempts by other nations to develop reciprocal exchange policies with the U.S. or to define long-term goals within a global context.

Most cultural exchange programs are not legislated by Congress or mandated by Executive Order. Instead, they are implemented through leadership directives. Every cultural agency Chairman or Under Secretary for Public Diplomacy and Public Affairs has had their own priorities with regard to the kinds of activities and programs that should be undertaken in pursuit of diplomatic objectives. This has not enhanced our ability to sustain programs nor has it helped build global confidence in the will of the U.S. government to make constructive use of such programs. Continuity is absent at many agencies because career staff don't have the power to sustain programs once an agency head is removed or decides to move on. While leadership at the NEA, NEH and other cultural agencies was stable during the Bush Administration, public diplomacy leadership at the State Department was not. Between October of 2001 and August of 2009, the position of Under Secretary for Public Diplomacy and Public Affairs was filled by six individuals and remained vacant for nearly four years. Multiple leaders holding office for short periods of time at the Department of State contributed to the weakness that permitted the Department of Defense to assume increasing responsibility during the Bush Administration for the public diplomacy functions once carried out by the Department of State.

Over the past year, recommendations have surfaced for a Cabinet-level or national Senior Executive Advisor to support both public diplomacy and cultural policy initiatives. Recommendations emerging from the academic, foreign policy and business communities include the creation of a Cabinet-level position for public diplomacy, a semi-autonomous public diplomacy bureau within the State Department, a Corporation for Public Diplomacy or an autonomous nonprofit organization such as Arts International that is funded by both the public and private sectors. At this point, it does not appear that the Obama Administration is considering any of these options.

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<sup>64</sup> Krause, Op.Cit., p. 3.

<sup>65</sup> International Public Information (IPI) Presidential Decision Directive PDD-68, 30 April, 1999. Aftergood, Steven, Federation of American Scientists, <http://www.fas.org/irp/offdocs/pdd/pdd-68.htm>, citing IPI Core Group Charter, obtained by *The Washington Times* (Ben Barber, "Group Will Battle Propaganda Abroad," *The Washington Times*, July 28, 1999).

## *The U.S. Cultural Trade Deficit and its Consequences for “Brand America”*

From the 1950s to the late 1980s, touring played a significant role in subsidizing the American performing arts in foreign countries. But with the fall of the Berlin Wall in 1989 and the collapse of the Soviet Union in 1991, a combination of events, including a reduction in subsidies from the USIA and a surge of nationalism in countries whose arts had long been suppressed under communism, resulted in a decline in touring opportunities abroad for U.S. artists.<sup>66</sup> Amidst the euphoria that followed the end of the Cold War, there was pressure to reduce USIA spending and Congress began to withdraw its commitment to support international cultural exchange and diplomacy. At the same time, newly liberated governments in Eastern Europe began to actively promote their non-commercial artists to foreign producers and presenters, offering substantial subsidies to support such engagements. As a consequence, touring opportunities for U.S. artists abroad declined and competition from subsidized foreign artists at home increased.<sup>67</sup> While the United States does not provide comparable direct support for cultural exchange, it does provide substantial indirect subsidies through copyright law and tax policies that favor charitable giving. However, inadequate direct financial support for cultural exchange has reduced our nation’s non-commercial artistic presence in the world to the detriment of American artists trying to find performance opportunities abroad and the development of cultural exchange-based diplomacy that might enhance our global image.<sup>68</sup> This is not to say that bringing foreign artists to the United States is a negative outcome. On the contrary, presenters who offer their communities the opportunity to see work from other countries serve to expand their audiences’ world view. The table below provides a snapshot of three of the largest U.S. performing arts presenters in the United States.<sup>69</sup> Of the three, only The Kennedy Center was engaged abroad during the years studied. This pattern is typical of most large U.S. arts presenters and is reflective of administrative decisions that favor import of foreign artists to the United States.<sup>70</sup>

<b>Large U.S. Performing Arts Presenters<sup>71</sup></b>					
<b>Expenditures for Export and Import of Artists</b>					
<b>Institution</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>Total</b>
<b>Brooklyn Academy of Music</b>					
1. Export	-	-	-	-	-
2. Import	\$7,361,728	\$4,565,746	\$6,861,945	\$9,688,524	\$28,477,943
<b>John F. Kennedy Center for the Performing Arts</b>					
1. Export	\$759,312	\$926,766	\$15,000	\$248,143	\$1,949,221
2. Import	\$5,123,415	\$9,642,537	\$5,878,421	\$7,502,773	\$14,265,952
<b>Lincoln Center for the Performing Arts</b>					
1. Export	-	-	-	-	-
2. Import	\$14,056,906	\$19,582,163	\$18,106,666	\$22,273,340	\$75,028,075

January 2010

<sup>66</sup> Dickey, Carolelinda, Consultant, Dance /USA, August 5, 2009.

<sup>67</sup> Ibid.

<sup>68</sup> We have deliberately chosen to limit our discussion to the nonprofit arts sector and therefore have not included the U.S. commercial core copyright industries which include the making of motion pictures, recordings and television programming.

<sup>69</sup> This table was created from detailed financial information provided to the Clark Foundation by these three institutions. Full results of this analysis are presented and discussed on pp. 40-41 and Appendix C, pp. 54-55.

<sup>70</sup> See charts in Appendix F showing recipients that received the most support for cultural engagement from 2003-2008.

<sup>71</sup> Export and import of cultural product are defined and discussed in Appendix A.

## ***Absence of a Reporting Relationship between U.S. Embassies and the Secretary of State for Public Diplomacy and Public Affairs Diminishes Cultural and Public Diplomacy as Instruments of Foreign Policy***

In many of our conversations, some artists and arts administrators have complained that some U.S. Ambassadors do not take advantage of cultural programming implemented through the Cultural Programs Division of the Bureau of Educational and Cultural Affairs. They further report that some Cultural Affairs Officers in overseas posts do not appear helpful in preparing the way for partnerships with host country cultural groups that could extend the reach of a particular cultural engagement. Such complaints are not surprising given the fact that the public diplomacy function at the Department of State is underfunded and staffing levels are still 24% less than comparable 1986 levels.<sup>72</sup> Further, the lack of a reporting relationship between U.S. Embassies and the Under Secretary for Public Diplomacy and Public Affairs at the Department of State reduces leverage in obtaining embassy assistance. The absence of such a relationship is evident in the abbreviated chart on the next page which was created from the full Department of State Organization Chart.<sup>73</sup>

### ***Other Government Policies that Inhibit Exchange***

The Patriot Act. The ramifications of the *Patriot Act* of 2001 are experienced primarily within the context of philanthropic giving. Required to provide proof that grant recipients are not related to terrorist activities, many foundations feared their assets could be seized if they were found to be supporting the wrong grantee. However, as time has passed, the requirement has become one more in a series of steps in the grantmaking process. The exception to this observation relates to exchanges of Muslim artists where high levels of scrutiny continue to occur.<sup>74</sup>

U.S. Visas. In March of 2003, the Immigration and Naturalization Service (INS) was abolished and its duties were transferred to the newly created Department of Homeland Security. This reorganization reflected a new era of mistrust and signaled growing difficulty for foreign visitors. Problems for foreign artists began in June of 2001 when the U.S. Citizenship and Immigration Services (USCIS) instituted premium (15-day) processing for a fee of \$1,000 per individual in addition to the regular \$320 fee. Such fees are prohibitively expensive for most nonprofit arts organizations and presenters and serve to inhibit foreign artists' travel to the United States. Prior to the creation of the premium service, visa processing was taking an average of 45 days. Petitioners using the regular process now wait approximately six months.

Withholding Taxes on Foreign Guest Artists. Most problematic for the engagement of foreign artists is the 30% withholding tax required by the IRS. Nonresidents working in the U.S. are required to pay tax on income earned according to rates set by the tax code and any international tax treaties that may apply. But in many cases, foreign artists working in the U.S. stay for short periods of time and do not earn enough money to warrant a 30% withholding tax. While refunds may be obtained by filing a U.S. tax return, the process is slow and complex and many artists fail to file. In general, the 30% withholding tax is the greatest deterrent for performing arts presenters that are interested in engaging foreign artists.

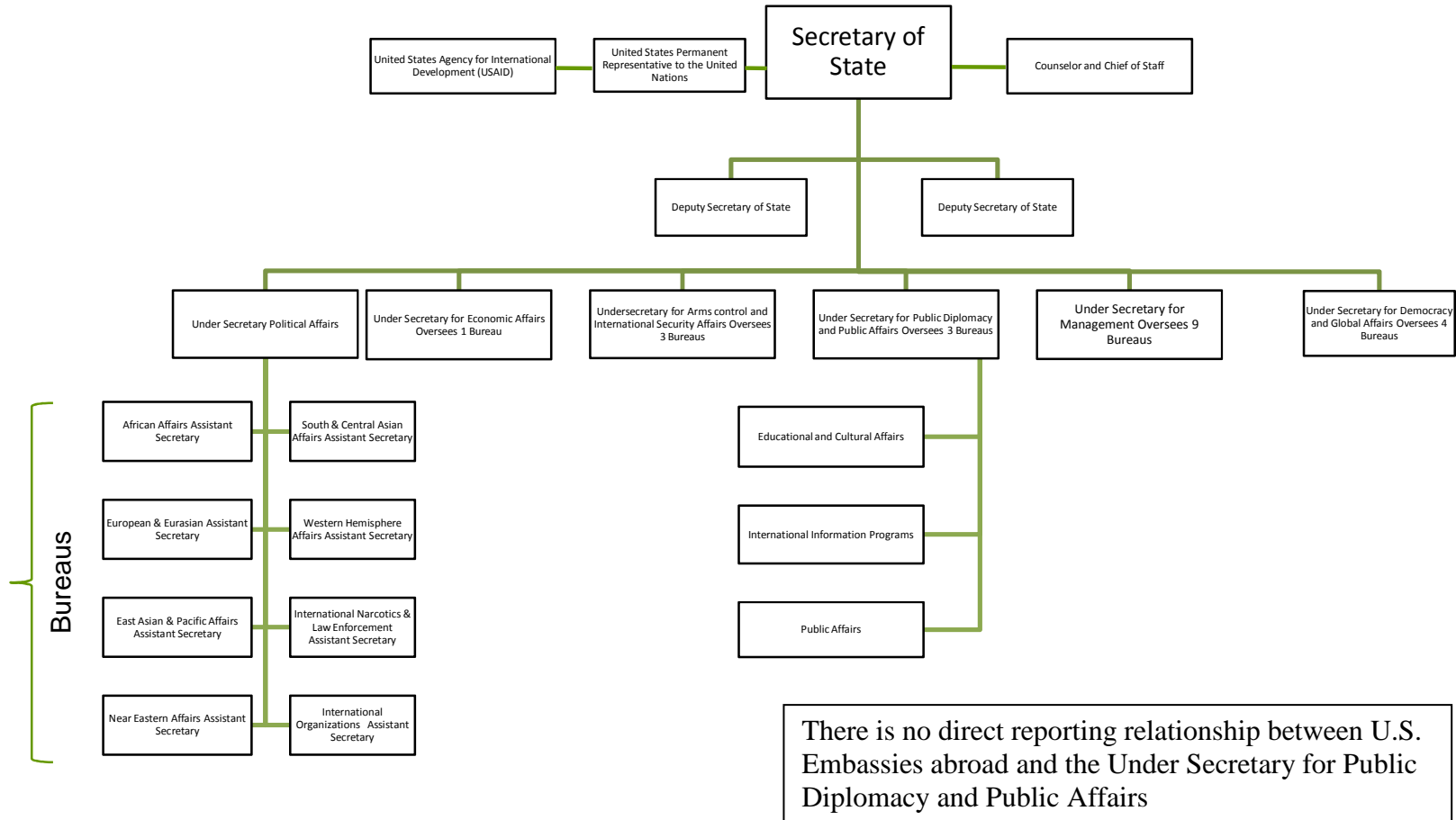
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<sup>72</sup> *A Foreign Affairs Budget for the Future*, Op.Cit., Oct., 2008, p. 24.

<sup>73</sup> See abbreviated chart on next page created from DOS Organization Chart, (Image Map), May, 2009.

<sup>74</sup> Hopkins, Karen, President, Brooklyn Academy of Music, May, 2009.

# Department Of State Organizational Chart



## Models of Cultural Diplomacy

### *Foreign Models*

In 2003, a study was undertaken that examined the cultural diplomacy practices of nine foreign countries.<sup>75</sup> In general, these countries<sup>76</sup> had similar objectives: they wanted to tell their own stories and promote recognition of and appreciation for their respective cultural roots. Further, their diplomatic activities tended to support one or more of the following: foreign policy, economic policy and trade relationships; and/or cultural policy, which sometimes included “nation branding” to market their cultural product or promote mutual understanding. The study shows that these countries varied widely with regard to the degree of collaboration that existed between their foreign affairs and cultural affairs offices. The administrative structures used to carry out each country’s cultural diplomacy objectives also varied widely.<sup>77</sup> For example, in Austria and France, the foreign affairs offices controlled international cultural relations, while in Canada and Singapore, the foreign affairs offices worked through the cultural ministries.<sup>78</sup> In the U.K. and Sweden, international cultural relations were delegated to quasi-governmental organizations that work with their foreign embassies, while Australia exhibited a combination of these characteristics.<sup>79</sup> It is unclear whether these same patterns exist today.

Countries also differed with regard to their financial investments in cultural diplomacy and exchange.<sup>80</sup> For example, the British Council and the Goethe Institute are semi-autonomous agencies that are subsidized by the British and German governments. Both spend tens of millions of dollars more each year than the United States in an effort to deepen understanding between their nations and others. In contrast, U.S. programs have traditionally focused on regions of crisis and are used for mitigating conflict as opposed to promoting long-term understanding.

It should be added that U.S. investment in international arts and cultural exchange is miniscule compared to that of foreign governments. The total expenditure for these purposes from 2003 through 2007 totaled less than \$23 million as reported by the IAWG.<sup>81</sup> In contrast, other nations examined in this study spend large sums of money to export their art to the United States as well as to other countries. Examples include Canada, Singapore, Australia and Great Britain as well as the French, who allocate hundreds of millions a year for such purposes globally, placing France first in the world in cultural diplomacy expenditures.<sup>82</sup>

Current U.S. policy represents a missed opportunity to capture “cultural exchange benefits” such as international goodwill that accrue to countries that actively participate in cultural engagement.

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<sup>75</sup> Wyszomirski, Margaret J., *International Cultural Relations: A Multi-Country Comparison*, Arts International and Center for Arts and Culture, 2003, pp. 9-18.

<sup>76</sup> Australia, Austria, France, Canada, Japan, Netherlands, Singapore, Sweden and the United Kingdom.

<sup>77</sup> Some nations use a broader term, “international cultural relations,” to describe these and complementary activities.

<sup>78</sup> Wyszomirski, Op.Cit.

<sup>79</sup> Ibid.

<sup>80</sup> Ibid.

<sup>81</sup> See chart on p. 14.

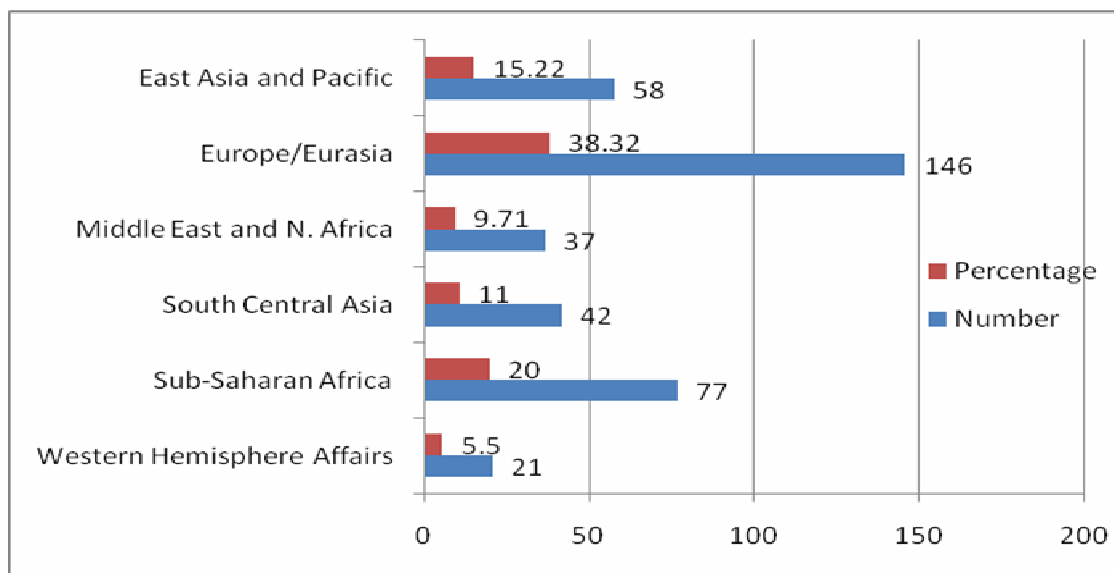
<sup>82</sup> Wyszomirski, Op.Cit.

## Virtual Diplomacy

Although new models of engagement using online technologies and virtual worlds are too new to be measured with regard to their effectiveness in “winning hearts and minds,” many models developed by both the public and private sectors are worth further study. Some nations including Sweden, Slovakia and Malta have opened virtual embassies online that offer cultural activities, information about the countries they represent and, in some cases, immigration and visa services.

Despite constraints, the U.S. government has begun to embrace online and virtual diplomacy. In 2007, a partnership between the U.S. Department of State and the University of Southern California Center on Public Diplomacy experimented with virtual worlds to hold discussions and present cultural content, such as jazz concerts, through Second Life.<sup>83</sup> In January of 2008, the Bureau of International Information Programs (IIP) at the U.S. Department of State (see Department of State Structural Components on p. 14) launched its new site designed for foreign publics, [www.America.gov](http://www.America.gov), that makes use of interactive technologies such as podcasts, chats, and blogs. Further, through IIP, the American Corners Program now supports 381 American-focused libraries in cities around the world.<sup>84</sup> While the American Corners Program is a pale shadow of USIA’s international network of libraries that was eliminated in 1994, it does provide some American presence in more secure locations and now includes 11 virtual libraries.

### American Corners by Geographic Region<sup>85</sup>



March 2008

While the Department of State’s entry into virtual worlds is encouraging, the technology is not easily accessible. Despite increasing levels of access, only 21.9% of the world’s population was online as of June 30, 2008 with the highest population penetration occurring in North America (73.6%) followed by Oceania/Australia (59.5%), Europe (48.1%), Latin America/Caribbean

<sup>83</sup> Second Life is a virtual world launched in 2003. In 2007 the “population” of Second Life reached a plateau of around 550,000. Up-to-date metrics on Second Life can be found at <http://blog.secondlife.com/?s=metrics>.

<sup>84</sup> American Corner information provided by IIP. Stats based on numbers as of March, 2008.

<sup>85</sup> Ibid.

(24.1%), Middle East (21.3%), Asia (15.3%) and Africa (5.35%).<sup>86</sup> However, online access, in itself, is not an appropriate indicator of access to new technologies because it doesn't take into account levels of broadband penetration needed to accommodate the high speeds required to operate with new media technologies and virtual worlds such as Second Life. Many Third World locations of strategic interest to the United States are not well connected to the internet for this reason.<sup>87</sup> "To achieve success in future years, the State Department must find ways to connect with the internet generation, members of which are playing an increasingly important role in the policy debates of their own nations through their jobs, the people they know and their votes. To attract their attention will require credible information and entertaining internet media."<sup>88</sup>

Looking ahead, new technology initiatives will have to more adequately address questions of equity as well as access. Virtual diplomacy may be the answer for many developing countries that require diplomatic services such as representation, gathering of information and negotiation skills, but that don't have the resources to maintain real embassies throughout the world. The organization that has emerged as a leading advocate for ambassadorial representation for developing countries is the Diplo Foundation, which began as a project to "introduce information and communication technology tools to the practice of diplomacy"<sup>89</sup> at the Mediterranean Academy of Diplomatic Studies in Malta in 1992. In November 2002, the Diplo Foundation was established as an independent nonprofit organization by the governments of Malta and Switzerland with Jovan Kurbalija serving as Founding Director. Diplo's online training courses are designed to "give a voice to otherwise excluded or underrepresented groups and actors...to interact effectively with diplomatic and other national and international entities."<sup>90</sup> Based in Malta, Diplo now has offices in Geneva and Belgrade and in June, 2006, was granted Special Consultative Status with the UN Economic and Social Council. In 2007, Diplo launched the world's first virtual embassy for the Maldives in the diplomatic quarter of Diplo's "Diplomacy Island" on Second Life. In 2009, the Swedish Institute created "The Second House of Sweden," another virtual embassy on Second Life. Diplo Foundation will host these and future virtual embassies on Second Life.

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<sup>86</sup> World Internet Usage, <http://www.internetworldstats.com/stats.htm>, Visited January 30, 2009.

<sup>87</sup> Schneider, Cynthia, Op.Cit.

<sup>88</sup> *A Foreign Affairs Budget for the Future*, Op.Cit., p. 25.

<sup>89</sup> <http://eadi.org/database/?dataset=training&table=from&id=285>.

<sup>90</sup> Ibid.

## Public Sector Recommendations

- I. **The President should insist that agencies engaged in strategic communications and public diplomacy including the Department of State, the Broadcasting Board of Governors, and the Department of Defense be required** to collectively develop an operational plan that defines each agency’s responsibilities and clarifies the relationship between the Departments of State and Defense and defines their respective responsibilities with regard to the public diplomacy function that supports U.S. national interests.
  
- II. **The Under Secretary of State for Public Diplomacy and Public Affairs should assert the primacy of the Department of State in matters relating to U.S. Public Diplomacy. The Department of State’s role is clearly articulated and authorized by the Presidential Decision Directive (PDD-68) described on page 19 of this report and which orders the creation of International Public Information to synchronize U.S. informational objectives under the leadership of the Under Secretary for Public Diplomacy and Public Affairs.**
  
- III. **The President should create mechanisms to ensure that patterns of public disinvestment in arts and cultural “exchange-based diplomacy” are reversed by:**
  - A. **Forming an ad hoc Interagency Policy Group on Cultural Exchange and Diplomacy** to develop new ways to work together to expand international cultural programming. The Group would be chaired by the Under Secretary of State for Public Diplomacy and Public Affairs and would include the following:
    1. Assistant Secretary of State for Educational and Cultural Affairs (ECA)
    2. Chairman of the National Endowment for the Arts (NEA)
    3. Chairman of the National Endowment for the Humanities (NEH)
    4. Director of the Institute of Museum and Library Services (IMLS)
    5. Director of the Library of Congress (LOC)
    6. Secretary of the Smithsonian Institution (SI)
    7. Executive Director of the President’s Committee on the Arts and Humanities (PCAH)
    8. President of The John F. Kennedy Center for the Performing Arts

The cultural agencies listed above could support international cultural activities complementary to ECA’s programming which is related to foreign policy.<sup>91</sup>

- B. **The Interagency Policy Group would create an ad hoc Interagency Working Group** comprised of representatives of each of the above agencies drawn from the “office director” level. The Working Group would develop strategies to reverse disinvestment in arts and exchange-based diplomacy by:
  1. Providing documentation that demonstrates the need to increase the budgets for ECA, NEA, NEH and IMLS, LOC, SI, and PCAH and develop hypotheticals that show how each agency’s international programming would be augmented by increased capitalization at various levels (e.g., \$1 million, \$3 million, \$5 million);

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<sup>91</sup> NEA and NEH support, driven by organizational commitments to the arts and humanities, creates authentic engagement and ongoing relationships that are a prerequisite for successful cultural diplomacy.

2. Collaborating with foundation executives who are already supporting international arts exchanges who might:
  - a) Provide matching grants that could augment their agencies' international programming; and/or
  - b) Reach out to other foundations to become participants in this important work; and
3. Examining export and import of nonprofit cultural product with an eye toward creating new opportunities for U.S. artists to serve as cultural ambassadors by working in other parts of the world.

**IV. To decrease fragmentation of the public diplomacy function, the Secretary of State should authorize the Under Secretary of State for Political Affairs to designate a Deputy Assistant Secretary of Public Diplomacy in each of our regional bureaus to serve as a link between the bureaus and the Office of the Under Secretary of State for Public Diplomacy and Public Affairs.**

**V. To further decrease fragmentation, the Secretary of State should authorize the Under Secretary of State for Public Diplomacy and Public Affairs to designate a Deputy Assistant Secretary to:**

- A. Serve as a formal link between the regional bureaus and the Assistant Secretary of State for Educational and Cultural Affairs;
- B. Oversee the development of ambassadorial training modules to ensure they include information on the importance of cultural diplomacy and the role of ambassadors as liaisons between U.S. artists and in-country arts communities; and
- C. Work with the regional bureaus to ensure that each embassy assigns a Public Affairs Officer, perhaps a Foreign Service National (FSN) drawn from the cultural section of the embassy, to serve as a cultural advocate to promote the continuation of successful programs beyond the diplomatic lifespan of any given ambassador. FSNs have the institutional familiarity and connections within the local cultural community that would be extremely beneficial to artists interested in extending their visit to include other cultural institutions in the region. FSNs are an underutilized, undertrained resource.<sup>92</sup>

**VI. The Under Secretary of State for Public Diplomacy and Public Affairs should work with the Chairman of the Broadcasting Board of Governors and the Chairman of the National Endowment for the Arts to explore ways to work together to create new cultural programming for Voice of America and other BBG outlets that reflect the artistry and eclecticism of our nonprofit arts sector. Some programs might include dialogue through a “call in” process that would offset global criticism of our one-way communication.**

**VII. The President should create a “Culture Corps” that would send arts workers to foreign countries for three-month residencies to collaborate with local arts organizations to create and perform work and to help host organizations develop management skills.**

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<sup>92</sup> Schneider, Cynthia, Op.Cit.

# Trends in Private Sector Giving for Arts and Cultural Exchange

## Research Findings

### Foundation Disinvestment in International Cultural Exchange (2003-2008)

#### *Giving for International Engagement is Less Than 1% of Total Arts Giving*

It is estimated that in the 1990s, when foundations were most active in this field, investment in international arts and cultural exchange never exceeded 1% of arts giving by the nation's largest donors in this field.<sup>93</sup> But in the post-9/11 environment, grant programs at many of the largest supporters began to contract, including those at the Duke, Rockefeller and Ford Foundations. In fact, the only foundations that have provided sustained investment in cultural exchange are the Trust for Mutual Understanding (TMU) and the Florence Gould Foundation. Founded in 1984, TMU has supported this work for 25 years and has, on average, appropriated some \$2.5 million for each of the past ten years<sup>94</sup> to promote communication, understanding and collaboration between Russia, Central and Eastern Europe and the United States. The Florence Gould Foundation is an American foundation devoted to French-American exchange and understanding with levels of giving approaching \$1 million per year. The following tables, which cover the period from 2003 through 2008, illustrate the realities confronted by U.S. organizations and individual arts practitioners of international cultural engagement. The first shows just how little the field receives as a percent of total arts giving. From 2003 through 2008, with arts giving totaling nearly \$16 billion, grants for cultural exchange totaled only \$107 million or .68%.

Grants for International Cultural Exchange Account for 0.7% of Total Arts Giving From 2003 Through 2008							
Foundation Giving	2003	2004	2005	2006	2007	2008	Total
Total Giving for Direct Cultural Exchange (in millions)	\$21.5	\$15.1	\$15.1	\$16.4	\$18.6	\$20.7	\$107.40
Total Giving for Arts and Culture (in billions)	\$3.93	\$1.98	\$2.05	\$2.30	\$2.29	\$3.20	\$15.75
Total Foundation Giving (in billions)	\$30.30	\$31.80	\$36.40	\$39.00	\$42.90	\$45.60	\$226.00
Cultural Exchange as a % of Total Arts and Cultural Giving	0.55%	0.76%	0.74%	0.71%	0.81%	0.64%	0.68%
Cultural Exchange as a % of Total Foundation Giving	0.07%	0.05%	0.04%	0.04%	0.04%	0.05%	0.05%

November 2009

<sup>93</sup> Szantos, Andras, "A New Mandate for Philanthropy," Washington, DC: Center for Arts and Culture, 2003.

<sup>94</sup> The Trust has been providing support in this field for the last 25 years. Total giving for the years 1985 through 1997 was \$16,617,222 and averaged \$1,278,241 per year.

### *Few Foundations Provide Meaningful Support*

For the years 2003 through 2008, only 19 foundations gave more than \$1,000,000 in total for international arts exchange. At the top of the list is the Trust for Mutual Understanding, which gave 479 grants totaling nearly \$15 million for programs related to Russia and Eastern Europe. Funded by members of the Rockefeller family, the patterns of the Trust's giving reflect political concerns that emerged during the Cold War era. In addition to the Trust, the Annenberg Foundation, the Doris Duke Foundation for Islamic Art, the Florence Gould Foundation, and the Andrew W. Mellon Foundation all continue to provide support in the field. It should be noted that the Mellon Foundation has for several years been a supporter of the Mid-Atlantic Arts Foundation which re-grants Mellon and NEA funds through U.S. Artists International, a program to support U.S. artists who are invited to perform at festivals and engagements abroad. The other foundations on this list have either left the field, made limited commitments or, in some cases, made one-time expenditures.

<b>Million Dollar Foundation Supporters of Direct International Arts and Cultural Exchange, 2003-2008</b>				
<b>Rank by \$</b>	<b>Rank by # of Grants</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	1	Trust for Mutual Understanding Total	479	\$14,613,990
2	5	Freeman Foundation Total	24	\$9,654,276
3	3	Ford Foundation Total	52	\$8,509,500
4	7	Annenberg Foundation Total	23	\$8,055,000
5	13	Doris Duke Charitable Foundation Total	12	\$6,821,921
6	6	Rockefeller Foundation Total	24	\$6,604,607
7	17	Starr Foundation Total	11	\$6,155,000
8	2	Florence Gould Foundation Total	106	\$5,053,965
9	4	Andrew W. Mellon Foundation Total	27	\$2,805,635
10	21	Open Society Institute Total	9	\$2,666,124
11	11	Ann and Gordon Getty Foundation Total	15	\$2,651,550
12	39	Goldman Sachs Foundation Total	4	\$2,488,500
13	48	Plough Foundation Total	3	\$2,250,000
14	22	W. K. Kellogg Foundation Total	9	\$2,116,000
15	18	J. Paul Getty Trust Total	11	\$1,806,000
16	20	Henry Luce Foundation, Inc. Total	10	\$1,478,000
17	24	Rockefeller Brothers Fund, Inc. Total	8	\$1,400,000
18	40	Alcoa Foundation Total	4	\$1,340,000
19	8	John D. and Catherine T. MacArthur Foundation Total	23	\$1,097,500
		<b>Grand Total</b>	<b>1213</b>	<b>\$106,782,429</b>

November 2009

The Table above lists U.S. foundations that have been the largest supporters of international arts and cultural exchange during the six-year period from 2003 through 2008.

***Large Foundations with Historical Commitments to International Engagement Leave Field***

The table below shows only 19 foundations in the U.S. gave more than \$100,000 in support of international arts exchange in 2008. This is reflective of the fact that many of the larger foundations, including those with historic commitments to international arts and cultural exchange, have shifted their priorities in recent years.

A comparison of this table with the table presented on the previous page reveals that many of the large foundations that show up as “Million Dollar Donors” over the period 2003-2008 are no longer providing support in 2008, or are providing substantially less support for cultural exchange than they had been in earlier years. These include the Freeman, Ford, Rockefeller, MacArthur and the Ann & Gordon Getty Foundations, as well as the Open Society Institute (Soros Foundation).

<b>2008 Foundation Supporters of Direct International Arts and Cultural Exchange Over \$100,000</b>			
<b>Rank by \$</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Doris Duke Charitable Foundation 2008 Total	2	\$4,527,186
2	Annenberg Foundation 2008 Total	5	\$3,092,000
3	Starr Foundation 2008 Total	3	\$2,350,000
4	Trust for Mutual Understanding 2008 Total	70	\$2,316,000
5	Rockefeller Foundation 2008 Total	1	\$1,544,400
6	Andrew W Mellon Foundation 2008 Total	4	\$1,100,000
7	Ford Foundation 2008 Total	3	\$1,025,000
8	John D and Catherine T MacArthur Foundation 2008 Total	20	\$772,500
9	William Penn Foundation 2008 Total	1	\$704,000
10	Henry Luce Foundation 2008 Total	3	\$650,000
11	Robert Sterling Clark Foundation 2008 Total	5	\$375,000
12	Lilly Endowment Inc 2008 Total	1	\$300,000
13	Claude Worthington Benedum Foundation 2008 Total	1	\$150,000
14	Terra Foundation for American Art 2008 Total	1	\$150,000
15	J Paul Getty Trust 2008 Total	2	\$148,000
16	Jack Kent Cooke Foundation 2008 Total	2	\$147,112
17	Andy Warhol Foundation for Visual Arts 2008 Total	3	\$130,000
18	Lee and Juliet Folger Fund 2008 Total	2	\$125,000
19	Nathan Cummings Foundation 2008 Total	2	\$110,000

November 2009

Ford and Rockefeller, two foundations with long historical commitments to international arts and cultural exchange, have left the field. By 2003, the Rockefeller Foundation, the once great partner of the federal government in supporting public-private international partnerships, began to wind down its international investment in the arts. Similarly, by 2005, the Ford Foundation ended its ten-year initiative to internationalize work in the performing arts. Sadly, the MacArthur Foundation is winding down its support for local/international art partnerships after a brief, two-year commitment. Grants made by the remaining foundations represent, as far as we can tell, one-time or non-programmatic expenditures. A limited number represent new initiatives.

***Disinvestment in the Field Over Time as Measured by Number of Grants, Number of Foundations and Number of Recipients***

Altogether, some 1,228 grants were made by 149 foundations over the six-year study period. The table below shows there was a decline in all categories—number of grants, number of recipients, and number of foundations – indicating a persistent decline in international arts and cultural exchange activity. The one slightly encouraging aspect of our findings is that after reaching a low point in 2005, foundation giving has begun to creep up from 2006 through 2008. Nevertheless, this represents a miniscule amount compared with the \$15.75 billion total granted for the arts between 2003 and 2008 (See table on page 32).

<b>A Snapshot of Giving for Direct International Arts and Cultural Exchange 2003-2008</b>							
Circa	2003	2004	2005	2006	2007	2008	2003-2008
# of Grants	223	228	187	208	210	172	1228
# of Recipients	156	169	143	157	158	138	520
# of Foundations	52	56	53	61	59	42	149
Total Amount In Millions	\$21.5	\$15.1	\$15.1	\$16.4	\$18.6	\$20.7	\$107.3

November 2009

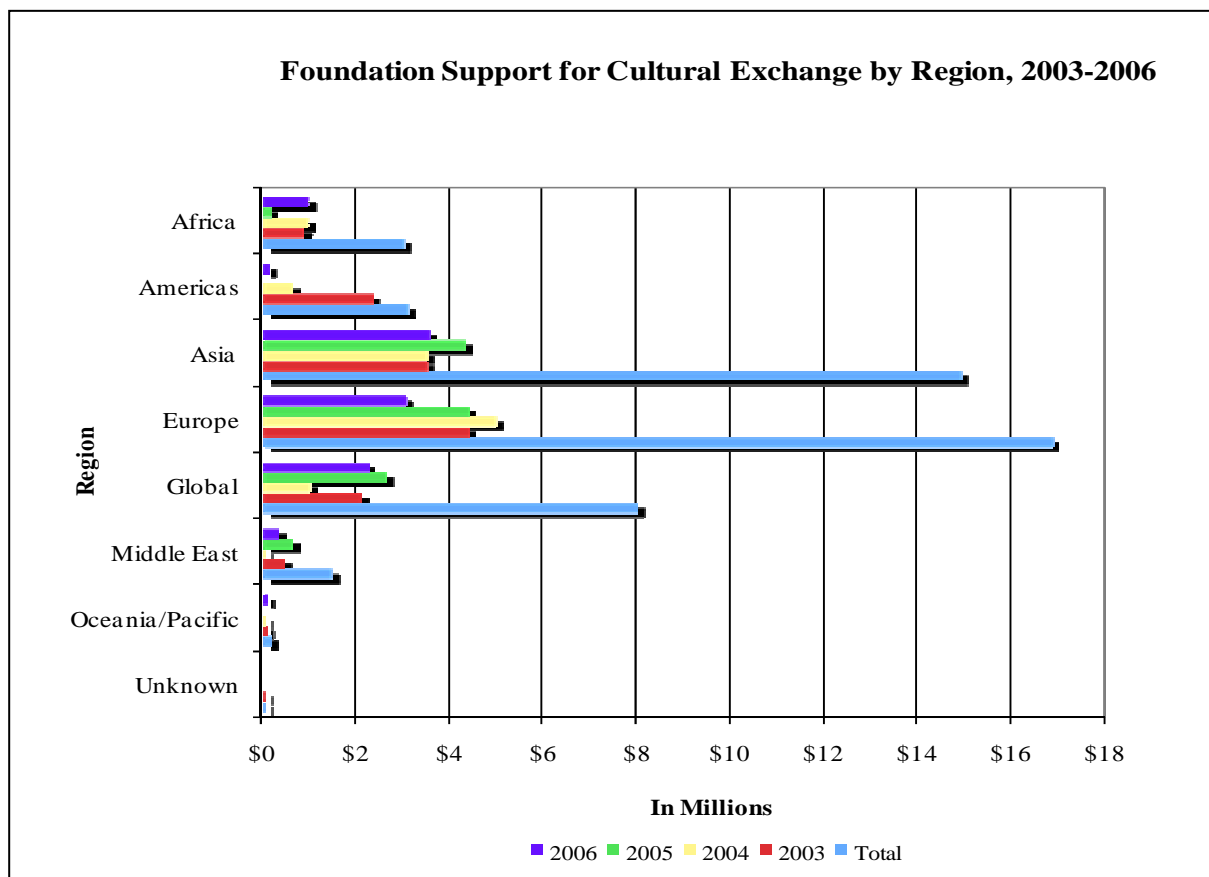
We began this section of the report by noting that foundations were more active in the field of international cultural exchange in the 1990s. In 1994, a report was published by Jane Alexander, then Chair of the National Endowment for the Arts, entitled *World Arts, A Guide to International Arts Exchange*. Created as a resource guide for artists and organizations interested in participating in international engagement, the guide listed a variety of resources including some 51 private and corporate foundations that provided financial support for international arts exchange. As part of our report, we researched each of them on the internet or via telephone. Of the 51 foundations listed, 32 no longer provide support in the field. This represents a decline of 64.8% over the 15-year period between 1994 and 2009.

## Characteristics of Grant Recipients

### *Geographic Distribution: International Giving Reflects Cold War Priorities*

Recent international arts grantmaking does not appear to reinforce U.S. diplomacy in areas of the world that are strategically important to the United States. Rather, foundation funding remains committed to projects in Europe and Asia, many of which are reflective of Cold War priorities or the discrete regional interest of a particular donor. In the charts below, it should be noted that the geographic region “Europe” includes Russia. The numbers shown in the chart closely reflect the activities of the Trust for Mutual Understanding, which accounts for 479 grants totaling \$14,613,990 or 59% of all funding for this region. Excluding the Trust’s grantmaking, which is geographically limited to U.S. arts and cultural exchanges involving Russia and nations formerly behind the Iron Curtain, projects targeting Asia received the most foundation support. While our survey indicates American artists are on the ground globally, international destinations rarely include other parts of the world.

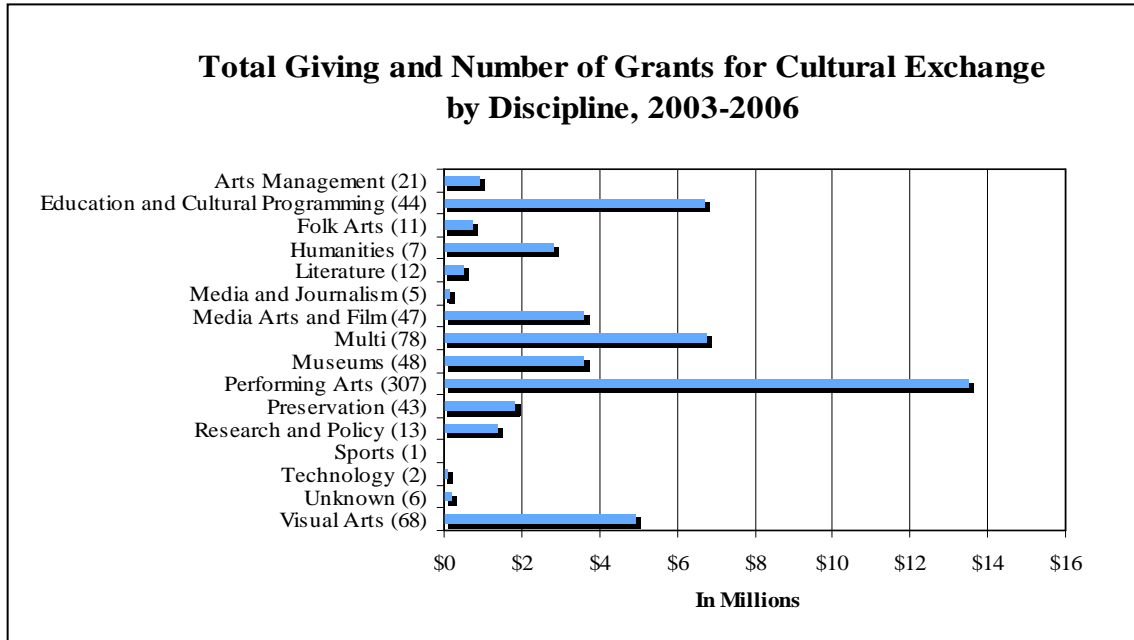
It should be noted that, with the exception of the Doris Duke Foundation for Islamic Art and the Islamic Initiatives Project at the Carnegie Corporation, most foundations are not engaged in efforts to encourage arts and cultural exchange between the United States and the Middle East or the Islamic World. Since 9/11, there have been some foundation efforts to bridge the gap between East and West but most of these grants do not include an artistic dimension.



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***Disciplinary Distribution: Foundations Tend to Support Performing Arts and Multidisciplinary Activities***

The graph below shows the total amount granted in the disciplinary categories reported to the Foundation Center and included in the Grants Index for the years 2003-2006. It also shows the number of grants in each category.



July 2007

The results of our analysis reflect anecdotal evidence supplied by artists and representatives of arts organizations who participated in the Clark Foundation Survey, the results of which have been published on the Clark Foundation website. The majority of grants in support of cultural engagement fell into three categories: the performing arts, multidisciplinary activities, and educational and cultural programming. Altogether, the amount granted in the performing arts totaled nearly \$14 million. Within the performing arts, which include dance, theater, music and opera, nearly 20% of exchange activities were multidisciplinary. While educational and cultural programming received support approximating that granted for multidisciplinary activities, this category focused on education rather than the arts. By comparison with the other disciplines, the visual arts received the most money and ranked first in terms of the number of grants received.

On the whole, foundations appear to support the “elite performing arts.” Assumptions are made by donors about the demand for particular kinds of programming abroad without investigating whether there is a preference for other kinds of artistic product. The result is that the cultural programming exported to other countries or brought into the United States frequently overlooks the presentation of diverse cultural expressions. Our survey indicates that U.S. arts groups and practitioners in the field are anxious to share new hybrid forms through effective community engagement models. Such programming could serve as the basis for the development of sustainable relationships and might reflect a more authentic picture of who we are as a people.

***Types of Exchange: Performances and Productions Presented Through Festivals Attract The Most Grants***

<b>Types of Exchange</b>		
<b>Type</b>	<b># of Grants</b>	<b>Grants by Type as a % of Total Grants</b>
Biennale	5	.99%
Exhibitions	72	14.31%
Conference/Seminar	53	10.54%
Festival	130	25.85%
Residency/Fellowship	68	13.52%
Performance/Production/Touring	112	22.27%
Workshop/Training	63	12.53%
Totals	503	100.01%

July 2007

The majority of grants for international arts and cultural exchange, for which a purpose could be identified, were in support of performances or productions, usually presented through festivals or exhibitions. Because these categories of exchange overlap to such a high degree, we have aggregated the data. Collectively, these categories account for 62.43% of our total. Generally speaking, practitioners believe these types of exchanges offer fewer opportunities for meaningful engagement.<sup>95</sup> In contrast, some 26.05% represent more in-depth interactions that occur through residencies, fellowships, workshops, and training, while another 10.54% were in support of conferences or seminars.

Other engagement techniques, such as “embedding,” which involves the placement of an artist in a community for an extended period of time where he or she can interact with local artists and audiences, were not reflected in the grant descriptions recorded in the Index. Embedding is believed to produce a richer experience for all because the artist interacts with many people on a deeper level. In the past, the U.S. government provided support for long-term residencies that lasted for up to one year. However, most current government-sponsored residencies and engagements through Arts in Embassies or various kinds of public-private partnerships last for two to three weeks, at best.

It should be noted that several of these exchange activities may occur during the same engagement, a practice referred to as “layered engagement.” Many practitioners in both the public and private sectors believe that layered engagement creates opportunities that may result in dialogue, better understanding, and the chance to develop lasting relationships that can be sustained over time. Examples of organizations that practice layered engagement include Battery Dance Company, Independent Curators International and Cultures in Harmony.

<sup>95</sup> “International Programming and Cultural Exchange Survey, 2009,” Robert Sterling Clark Foundation, series on Cultural Engagement.

*Size of Recipients: Larger and More Established Organizations Command the Greatest Share*

<b>Million Dollar Recipients of Support for Direct International Arts Exchange, 2003-2008</b>				
<b>Rank by \$</b>	<b>Rank by #</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	2	Asia Society, NY Total, 2003-2008	33	\$11,431,000
2	27	National Gallery of Art Total, 2003-2008	6	\$5,717,000
3	9	Asian Cultural Council Total, 2003-2008	12	\$4,230,000
4	213	National Performance Network Total, 2003-2008	1	\$3,527,186
5	43	WONDERS: The Memphis International Cultural Series Total, 2003-2008	5	\$3,150,000
6	28	Sundance Institute Total, 2003-2008	6	\$3,105,000
7	60	Blakemore Foundation Total, 2003-2008	4	\$3,000,000
8	6	Russian Arts Foundation Total, 2003-2008	14	\$2,591,550
9	85	Institute of International Education Total, 2003-2008	3	\$2,490,955
10	7	China Institute in America Total, 2003-2008	13	\$2,320,776
11	1	CEC ArtsLink Total, 2003-2008	55	\$2,268,700
12	3	French American Cultural Exchange Total, 2003-2008	24	\$1,575,000
13	29	Museum of New Mexico Foundation Total, 2003-2008	6	\$1,471,000
14	10	Center for International Theater Development Total, 2003-2008	11	\$1,400,000
15	22	Theater Communications Group Total, 2003-2008	7	\$1,280,000
16	118	Solomon R. Guggenheim Foundation Total, 2003-2008	2	\$1,275,000
17	30	Foundation for French Museum Total, 2003-2008	6	\$1,225,000
18	8	Bard College Total, 2003-2008	13	\$1,068,900
19	14	Irving S. Gilmore International Keyboard Festival Total, 2003-2008	9	\$1,051,300
20	4	New Haven International Festival of Arts and Ideas Total, 2003-2008	20	\$1,042,500

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In the table above, many of the top recipients of support are major U.S. arts institutions (Asia Society, National Gallery of Art and the Sundance Institute). Other recipients are not only large but have been engaged in a variety of international activities in addition to the arts. These are frequently supported by foundations that fund internationally in specific regions of the world and include organizations such as The China Institute, The Russian Arts Foundation, and French American Cultural Exchange. Still others, including the Asian Cultural Council and CEC ArtsLink, have been in the business of operating exchange programs for decades, and have established strong track records in the field. Thus, it appears that foundation support accrues to arts and cultural institutions that are prestigious, have long track records, and are more traditional in their roles as presenters and educators. In some cases, the recipients listed above received funds through U.S. foundations established by foreign governments to promote their arts in the United States.

Despite minimal collaboration between sectors, government and foundation investments in international cultural engagement exhibit many of the same patterns. While there were some famous partnerships in the days of USIA, most notably Arts International, there has been little collaboration in recent years. The new public-private partnerships initiated by the Cultural Programs Division of the Bureau of Educational and Cultural Affairs may provide opportunities for new faces in the philanthropic world to partner in shaping the cultural diplomacy of tomorrow.

## Other Sources of Support for International Engagement

### Case Studies: Large Presenting Organizations

In the beginning of the section on private sector giving for arts and cultural exchange, we noted that Foundation Center data reveals that international cultural engagement accounts for only .68% of total arts giving for the years 2003 through 2008. Further, we observed that data on the recipients of these funds did not include large U.S. presenting organizations known to be actively engaged in the presentation of foreign work. In an effort to learn more about how this work is supported, we contacted staff at the Brooklyn Academy of Music, The Kennedy Center and Lincoln Center, all of whom agreed to participate in a case study designed to capture the sources of support for their international engagement activities. In examining the tables that follow, it is clear that the main sources of support for international programming are ticket sales and general operating support (GOS) which includes endowment income.

#### Brooklyn Academy of Music Expenditures for International Programming

Brooklyn Academy of Music	2003	2004	2005	2006
<b>Total Expenditure</b>	\$7,361,728	\$4,565,746	\$6,861,945	\$9,688,524
a) Export of Artists	-	-	-	-
b) Import of Artists	\$7,361,728	\$4,565,746	\$6,861,945	\$9,688,524
<b>Sources of Support</b>				
a) Foundations	\$325,000	\$635,000	\$323,666	\$283,333
b) Corporations	\$316,000	\$188,830	\$388,000	\$216,600
c) Government (US)	-	-	-	-
d) Foreign Governments	\$196,261	\$60,240	\$104,722	\$59,220
e) GOS (include endowment)	\$1,515,080	\$1,302,989	\$1,758,284	\$2,419,417
f) Gate (earned income)	\$5,009,387	\$2,378,687	\$4,087,273	\$6,659,954
g) Individual Contributions	-	-	\$200,000	\$50,000
<b>Total</b>	\$7,361,728	\$4,565,746	\$6,861,945	\$9,688,524

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#### John F. Kennedy Center for the Performing Arts Expenditures for International Programming

John F. Kennedy Center for the Performing Arts	2003	2004	2005	2006
<b>Total Expenditure</b>	\$5,882,727	\$10,569,303	\$5,893,721	\$7,750,916
a) Export of Artists	\$759,312	\$926,766	\$15,300	\$248,143
b) Import of Artists	\$5,123,415	\$9,642,537	\$5,878,421	\$7,502,773
<b>Sources of Support</b>				
a) Foundations	\$336,850	\$3,459	\$28,782	\$6,681
b) Corporations	\$3,774	\$50,535	\$214,866	\$950,681
c) Government (US)	\$784,943	\$996,469	\$15,571	\$254,577
d) Foreign Governments	-	-	-	-
e) GOS (include endowment)	\$856,143	\$3,203,855	\$1,660,208	\$1,579,918
f) Gate (earned income)	\$3,640,244	\$6,276,595	\$3,931,995	\$4,455,761
g) Individual Contributions	\$260,773	\$38,390	\$42,299	\$503,298
<b>Total</b>	\$5,882,727	\$10,569,303	\$5,893,721	\$7,750,916

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**Lincoln Center for the Performing Arts  
Expenditures for International Programming**

Lincoln Center for the Performing Arts	2003	2004	2005	2006
<b>Total Expenditure</b>	\$17,065,906	\$19,582,163	\$19,106,666	\$22,273,340
a) Export of Artists	-	-	-	-
b) Import of Artists	\$17,065,906	\$19,582,163	\$19,106,666	\$22,273,340
<b>Sources of Support</b>				
a) Foundations	\$1,901,517	\$1,975,315	\$2,035,027	\$2,326,110
b) Corporations	\$1,376,369	\$1,749,918	\$1,456,394	\$1,828,980
c) Government (US)	\$538,594	\$454,726	\$448,682	\$436,410
d) Foreign Governments	\$47,546	\$7,463	\$30,000	\$10,000
e) GOS (include endowment)	\$6,237,873	\$8,855,312	\$7,117,011	\$8,812,237
f) Gate (earned income)	\$4,907,301	\$4,939,067	\$5,907,408	\$7,000,530
g) Individual Contributions	\$2,056,706	\$1,600,362	\$2,112,144	\$1,859,073
<b>Total</b>	\$17,065,906	\$19,582,163	\$19,106,666	\$22,273,340

January 2010

In the cases of The Kennedy Center and Lincoln Center, individual contributions as well as corporate giving were also major sources of support for international work. In the area of government support, both The Kennedy Center and Lincoln Center received support from U.S. government agencies while the Brooklyn Academy of Music and The Kennedy Center received support, albeit declining support, from foreign governments.

In addition to the three large presenters examined in detail, we also contacted two large presenters linked to universities with a more abbreviated set of questions. These included Cal Performances, U.C. Berkeley and UCLA Live. These two presenters provided us with 2008 data regarding their operating budgets and the amount spent on international programming. Support for international programming was generated primarily through earned income and general operating support. In no case did foundation donors specify that their support was contingent on the presentation of international work. Decisions to conduct international programming seem to rest with the artistic/managing directors of these two institutions. This information is reflected in the table below. Neither organization appeared on any of our tables generated by Foundation Center data.

**Large U.S. Performing Arts Presenters Associated with Universities  
2008 Expenditures for International Programming**

	Organization	Expenditure for International Programming	Source of Support, 2008	Import or Export
1.	Cal Performances	\$3,404,504 (63% T)	Earned Income and	Import
2.	UCLA Live	\$4,000,000 (50% T)	General Operating Support	Import

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In the section that follows, we have singled out corporate grantmaking for special attention.

## *Corporate Grantmaking*

Despite some weaknesses in isolating foundation support for international arts and cultural exchange, to some degree support is quantifiable. In contrast, there is no agency or organization that documents total corporate support for international arts and cultural exchange activities. While corporate foundation grants are tracked by the Foundation Center, international cultural activities supported through foreign public relations or marketing departments, foreign corporate offices, or corporate headquarters, are difficult if not impossible to quantify. Companies that engage in commercial activities frequently make grants to charities located in cities where they do business to advance corporate interests. Still others use philanthropy to curry favor with clients and potential clients by making grants to charities favored by such clients. Collectively, such grants rarely reflect a programmatic interest and are frequently reported as corporate expenses. While there are numerous reports of such grants, documentation is incomplete and unreliable. Because of the inability to document these practices, we have not included corporate grants in our study unless they were made through a corporate foundation.

It should be said that it is critically important to develop mechanisms to capture grants made for business purposes. As international commerce expands around the globe, corporate boards and executives have become convinced that cultural understanding is good for business and that understanding the charitable investment strategies of others will help them become more strategic in their own grantmaking. Consequently, the demand for information on corporate philanthropy is on the rise. The Business Committee for the Arts (BCA) has begun to take up some of the slack in gathering such information. Every three years, BCA conducts a national survey to determine the levels and trends in U.S. corporate support for the arts. Some of the more important findings for 2003-2006<sup>96</sup> follow:

- The total dollar amount contributed declined 5% from \$3.32 billion in 2003 to \$3.16 billion in 2006 due to changes in giving patterns.
- Most companies supported local arts projects (92%), while 7% gave to national projects and 1% to international projects. There was little change from 2003 to 2006.
- There were notable shifts in the sources of business contributions to the arts. Forty-three percent (43%) of support came from marketing/sponsorship budgets, representing a 13% increase from 2003 to 2006. At the same time, there was a 12% decline in annual contributions budgets, a 7% reduction in advertising support and a 6% reduction in executive gifting. Support from company foundations was unchanged.
- Non-arts supporters showed a preference for funding educational or social causes.

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<sup>96</sup> The Business Committee for the Arts Report: National Survey of Business Support to the Arts – 2007.

# Opportunities for Private Sector Investment in International Cultural Engagement

## I. Foundations Should Take the Lead in Developing Partnerships with Public Sector Agencies to Reverse Disinvestment in the Field

- A. Initiate dialogue at the federal level with the Cultural Programs Division of the Bureau of Educational and Cultural Affairs (ECA) at the Department of State and various of our national cultural agencies (primarily NEA, NEH, and IMLS).** These agencies are currently developing public-private partnerships with U.S.-based nonprofit arts organizations to undertake international exchange programs at home and abroad. These projects all serve important roles because they penetrate the barriers of language and custom and promote understanding of our common humanity.
- 1. Dialogue should be initiated by foundations with representatives of these agencies.** While ECA partnerships are competitive and most require private funds to share the costs of implementation, **it is currently difficult to connect arts organizations that are interested in being considered for partnerships with foundations interested in supporting such partnerships.**
  - 2. Private support would enable existing projects to be enlarged and new projects to be implemented.**
  - 3. Private support would also correct the perception that Department of State cultural programming is propagandistic.**
- B. Encourage state and local government arts agencies to make grants to local arts organizations to enable them to tour abroad.** Offer to share touring costs if they agree to participate.
- 1. Private foundations can provide matching grants to incentivize the impulse of public funders to expand the reach of their local grantees through international touring,** particularly in parts of the world where local corporations do business.
  - 2. Corporate foundations can partner with their state and local government agencies to support international cultural engagement in parts of the world where state-sponsored trade and development programs are being undertaken.** The National Governors Association reports that incorporation of cultural exchange in state-sponsored trade and development programs serves to advance trade relationships with other nations and opens markets abroad.
  - 3. Corporate foundations can support Sister Cities International for arts and cultural projects that promote mutual understanding.** Corporate supporters of Sister Cities may reap rewards in their cities of origin as well as in a “sister city” abroad by funding such partnerships. Sister Cities is currently seeking congressional funding for “Strengthening America’s Image,” a national program designed to improve our image abroad through increased cultural engagement.

## **II. Foundations Should Develop Partnerships with the Corporate Sector to Leverage Corporate Giving**

- A. Large foundations should encourage business and trade organizations to sponsor meetings or conferences to enable their corporate constituents to learn how cultural engagement can advance international trade.** The largest of these organizations include the Conference Board, the Committee to Encourage Corporate Philanthropy, the Aspen Institute Program on Business and Society, the Business Council on International Understanding, Business for Diplomatic Action and the U.S. Chamber of Commerce. Most trade organizations have divisions or committees that address philanthropic issues. As many companies have corporate philanthropy programs, presentation of arguments to support international arts engagement to promote international corporate objectives would likely reach a receptive audience.
- B. Smaller foundations active in this field should support or work with intermediaries such as Americans for the Arts to help connect them with business organizations such as those listed above with the objective of promoting partnerships in support of international cultural engagement.** Americans for the Arts, the largest arts advocacy organization in the country, has developed strong relationships with these and other corporate trade associations. Support for advocacy and organizing around the issues of international cultural exchange could result in the creation of an integrated network of organizations to promote reinvestment in cultural exchange-based diplomacy.
- C. Interested foundations should support research on corporate advertising to identify companies interested in international engagement.** For example, the Hyatt Hotel chain is currently running an ad that reads, “It’s much easier to see eye to eye when you see face to face.” Perhaps this corporation and others that run ads reflective of their international business acumen would be interested in providing support for international cultural programming.

## **III. Partnerships Among Foundations Should be Explored**

- A. Grantmakers in the Arts should spearhead the development of “Foundation Consortia” that would serve to aggregate support for work in this field.**
  - 1. By aggregating support, foundation participants could get a bigger bang for the buck and could target their funding:**
    - a. by geographic location of exchange;
    - b. by discipline;
    - c. by type of exchange; and
    - d. by any combination of the above.
  - 2. Foundation participants in consortia could be aggregated nationally or by city of origin through local Grantmakers in the Arts affiliates.**

3. **Members of each consortium would contribute funds on an annual basis to form a capital pool that would be made available to local arts organizations engaged internationally.** Members would determine the minimum level of support each member would be responsible for contributing; the guidelines that would prevail with regard to grantee eligibility; and would ultimately be responsible for selecting grantees.

**B. Grantmakers in the Arts should test its ambitions to become an “Arts Advocate” by helping to establish “International Cultural Engagement” as an issue of importance to the field.**

#### **IV. Foundations Could Partner with Arts Organizations Involved in Engagement by:**

**A. Providing support for U.S. touring companies that build transformative bilateral relationships with overseas partners. Examples include:**

1. American Voices has produced more than 100 festivals, concerts, master classes, and workshops in over 30 countries in the Middle East, Eastern Africa, and Latin America. Founded in 1992, its mission is to further the appreciation and understanding of American music and culture in countries that are isolated and lacking opportunities for cultural exchange and dialogue with the United States. The repertoire ranges from Broadway, Choral, Opera, Jazz and Blues to youth culture favorites such as Hip Hop and Break Dancing. Contact between artists and audiences through workshops, collaborative performances and public events results in greater understanding.
2. Battery Dance Company (BDC) has worked in over 35 countries where it has performed, taught and collaborated with international partners for more than 15 years. During this period, it has developed a network of contacts within the State Department’s regional bureaus; foreign contacts that facilitate touring; broad experience in diplomacy and cross-cultural communication; and programming methodology that connects with foreign cultures and communities. These qualities enabled it to perform, teach and collaborate with international partners in 11 countries during 2008. Over the years, live audiences in the tens of thousands and television audiences in the millions have been introduced to American modern dance through BDC’s performances.
3. Independent Curators International (ICI) was created 35 years ago with the mission of producing and touring contemporary art exhibitions across the U.S. and throughout the world. Since then, it has produced 116 traveling exhibitions that have profiled the work of 3,700 artists. This program has resulted in the development of a visual arts membership network that includes 590 museums, art galleries and art centers in 48 states and 25 countries. Today, ICI is expanding its international networks for collaboration in contemporary art and exhibition practice with new programming that accompanies its traveling shows. Project 35, an international survey of video works, and FAX, an evolving project of drawings sent throughout the world by fax, are both examples of interactive, expanding exhibitions with new contributions that can be reconfigured to suit a range of venues worldwide. This year ICI will use these programs to expand its networks in Latin America, Central and Eastern Europe and Africa.

**B. Provide support for American artists to travel and perform abroad.** While not exhaustive, the following is a list of organizations that provide grants and other assistance to U.S. arts professionals to work abroad or to bring foreign artists to work in the U.S.

1. Association of Performing Arts Presenters operates the Cultural Exchange Fund which subsidizes the international travel of presenters to see new work in Africa, Asia, Latin America and other underserved parts of the world.
2. CEC Arts Link funds the exchange of artists and cultural managers in the United States with their counterparts in Central Russia, Europe and Eurasia.
3. Mid Atlantic Arts Foundation is home to U.S. Artists International which provides support for American dance, music and theatre ensembles as well as solo performers to travel to major international arts festivals anywhere in the world outside the U.S.
4. National Performance Network supports cultural exchange in Latin America through its Performing Americas Program that works in partnership with LaRED.
5. Theater Communications Group, through the International Theater Institute provides travel grants to support artistic partnerships between U.S. artists, administrators and educators with their counterparts in Russia, Central Europe and Eurasia.

**C. Provide Support to Organizations that Make the Visual Arts Available to International Audiences.**

1. Art21 produces a Peabody Award-winning CPB series called Art: 21-Art in the Twenty First Century that chronicles contemporary American artists and their work. To date, anthologies on more than 90 artists are included. Art21 makes this material available online along with curriculum guides for teachers to use in their classrooms. More than 100,000 teachers have downloaded this material in the past three years. In addition, Art21 is now logging “hits” on its website, [www.Art21.org](http://www.Art21.org), at the rate of 1.5 million per month and, in 2009 its new blog recorded 365,929 discrete visitors from 192 countries. This has become the world’s “go to site” for learning about American contemporary art. Thus far, the material has been translated into Korean and Spanish.
2. French Regional & American Museum Exchange (FRAME) is a formal collaboration of museums located in 12 cities in France and 12 cities in the United States and one associate member in Canada. FRAME fosters French-American cooperation relating to museums, their collections and professional staffs. Projects include a shared website as well as joint exhibitions. The museum members are all purposely drawn from regions outside the economic and political centers of each country so as to draw attention to art resources characteristic of diverse regions.
3. International Foundation for Arts Research (IFAR) is widely known for its legal expertise in the field of cultural property and the movement of that property across international borders. IFAR deals with issues relating to attribution and authenticity, ownership, patrimony, looting and repatriation of art. IFAR’s website at [www.ifar.org](http://www.ifar.org)

is building a comprehensive searchable database that includes international legislation and U.S. case law governing acquisition, exchange, ownership and authenticity of cultural property. IFAR's Director has been responsible for helping resolve many issues that inhibit international cultural exchange by participating in meetings dealing with the return of the stolen Mideast antiquities as well as art stolen during the Holocaust.

## **V. Foundations Should Support the Development of Internet Technology that Advances International Cultural Engagement**

Foundations are currently in discussions regarding the efficacy of developing an internet portal that would connect artists to artists and artists to venues internationally. Such a portal would, hopefully, be multilingual and would make use of 2.0 technology that could be used by artists and arts organizations from around the globe to engage in cultural exchange. There are at least two schools of thought on the subject, the first being to build out an existing online directory. The second would involve the creation of an entirely new international portal using state of the art technology.

## **VI. A Place in the Sun for Foundations Seeking Impact**

As we have seen, there has been a staggering degree of disinvestment on the part of the public and private sectors in the field of international arts exchange and exchange-based diplomacy. We are hopeful that forward-thinking foundations will be interested in participating in the re-configuration of a field that has been left with little structure. The opportunity to help in shaping its parameters through constructive reinvestment and creative thinking is enormous.

## Scope of Study and Definitions

### Scope

Our research examines past and present models of support for nonprofit international arts and cultural engagement to promote mutual understanding with a focus on expenditures of the U.S. government and philanthropic foundations.<sup>97</sup> The work expands on several papers on cultural diplomacy published by the Center for Arts and Culture in 2003 including:

*U.S. Cultural Diplomacy: Where Are We Now? Cultural Diplomacy and the United States Government: A Survey* by Milton Cummings;

*Recent Trends In Department of State Support for Cultural Diplomacy: 1993-2002* by Juliet Antunes Sablosky;

*International Cultural Relations: A Multi-Country Comparison* by Margaret Wyszomirski;

*Diplomacy that Works: 'Best Practices' in Cultural Diplomacy* by Cynthia Schneider; and

*A New Mandate for Philanthropy? U.S. Foundation Support for International Arts Exchanges* by András Szántó.

In the course of this work, we examined: 1) Data on U.S. public and private investment in international arts exchange; 2) American practices of engagement with foreign publics; 3) U.S. public-private partnerships; 4) Deterrents to international cultural exchange; 5) Foreign models of engagement; and 6) Opportunities offered by new technology in the practice of exchange-based diplomacy. To gain a more complete understanding of the characteristics and effectiveness of arts-based cultural exchanges, we have also examined information on the import and export of nonprofit cultural product, the artistic disciplines that participate in exchange and the geographic areas where exchanges occur. In addition, we have discussed at length the research challenges we encountered as we explored this material.

### Definitions

#### *Public Diplomacy*

In addition to the definitions offered on page three and four of the report, we offer additional definitions that have been used by others to add depth to the reader's understanding of this field. Discussed by Joseph Nye in 1990, cultural and public diplomacy are used by states to enhance their relations with other nations and are thought of as "soft power." Introduced as a concept by Nye, "soft power" refers to a set of strategies to achieve national objectives through attraction rather than through coercion or payment. According to Nye, the ability to influence the

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<sup>97</sup> The term "nonprofit arts" encompasses the performing arts (choral, dance, music, opera, theater); literature; architecture and design; media arts (film and video); folk arts (craft-based, making use of textiles, wood, glass and/or metal); and visual arts (sculpture, painting, photography, printmaking). For the purposes of this study, some activities related to museums, libraries and the humanities (history, language, civilizations) have been included.

preferences of others “tends to be associated with intangible assets such as...culture, political values, institutions and policies that are seen as having moral authority.”<sup>98</sup>

Although U.S. Cold War public diplomacy is now thought of as propagandistic, current practice is generally recognized as including activities undertaken to promote mutual understanding through the engagement of global publics. Ideally, public diplomacy leads to a greater appreciation, receptivity and sustained access to and influence on global audiences. Activities generally support the development of long-term relationships with key individuals over time through scholarships, exchanges, training, workshops and seminars. Outreach to the general public is achieved through state-sponsored public broadcasting and internet programming.

***Export and Import of Cultural Product***

***Export*** references the crossing of U.S. borders by Americans involved in the production or presentation of nonprofit artistic work in one or more foreign countries; ***Import*** references the crossing of U.S. borders by individuals or organizations involved in the production or presentation of nonprofit artistic work originating elsewhere; and ***Reciprocal*** refers to an export and import across U.S. borders both by Americans and foreigners as an exchange.

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<sup>98</sup> Nye, Joseph, “Soft Power: The Means to Success in World Politics,” New York: Public Affairs, pp.107-109.

## Methodology

### Literature Review

A literature review was conducted by Aimee R. Fullman, a consultant under contract to the Foundation, throughout the late summer and early fall of 2007 to create an historical outline of related legislation, sources profiling America's engagement abroad, and recommendations on public diplomacy from the foreign and domestic policy communities. This material has been included here as **Appendix G** and is published on the Robert Sterling Clark Foundation website ([www.rsclark.org](http://www.rsclark.org)) under the title, *The Art of Engagement: U.S. Public and Cultural Diplomacy Timeline, October, 1999-2009*. This publication is part of the [Robert Sterling Clark Foundation Series on International Cultural Engagement](#).

### Internet Technology Review

In the summer of 2007, the Robert Sterling Clark Foundation contracted with Jonathan Peizer of Internaut Consulting to search the web for international arts portals that were being used to promote cultural exchange worldwide. We were particularly interested in sites that made use of 2.0 technology and that had a translation capability. Sixty portals were examined but only seven met the criteria we were looking for. None of the seven were based in the United States. We are continuing to work with Jonathan in exploring the possibility of helping to create a multilingual site that makes use of 2.0 technology to promote connections between U.S. artists and venues that might offer performance opportunities here and abroad.

### Review of U.S. Foundation Support for International Arts Exchange and Programming

#### *Foundation Center Grants Index*

In the summer of 2007, the Robert Sterling Clark Foundation commissioned data from the Foundation Center on grants over \$10,000 appropriated from 2003 through 2006 with the primary classification of “*Arts-related International Exchange*” and “*International Grants for Arts Policy*.” This data was amplified by the use of the Foundation Center’s “Foundation Directory Online” subscription service in June 2008 to obtain further information on grants (\$10,000 and above) appropriated by U.S. foundations classified under the subject field of “*International exchange, arts*”<sup>99</sup> for the years 2003 through 2006. In the fall of 2009, our research was again updated to include grants appropriated in the years 2007 and 2008. Altogether, our consultant Aimee R. Fullman analyzed and aggregated 1,228 unique grants in

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<sup>99</sup> The term *international exchange, arts* yielded grants in the performing arts (choral, dance, music, opera, theater); literature; architecture and design; media arts (film and video); folk arts (craft-based, making use of textiles, wood, glass and metal); visual arts (sculpture, painting, photography, printmaking); museums; libraries and the humanities (history, language, civilizations); preservation; arts management and technology.

support of direct international cultural exchange that were appropriated from 2003 through 2008. These grants were included in the Foundation Center's database under the categories listed above. The aggregated data is included here in **Appendix F**.

### *Foundation Grantmaking – Classification Case Studies*

#### The Asia Society

In the summer of 2008, Clark Foundation staff contacted the Asia Society to help in categorizing grants made to the Society between 2003 through 2006 because many were not described in terms of purpose. Some 58 grants awarded to the Society for international arts exchange were examined by Asia Society staff. Only ten of these overlapped with grants recorded in the Foundation Center's Grants Index. This is indicative of inaccuracies in foundation, grantee and Foundation Center reporting and classification systems and is discussed more fully in **Appendix C** under "Research Challenges."

#### Large Performing Arts Presenters

Noting that the information we had obtained from the Foundation Center's Grants Index included very little, if any, information on foundation grants received by large presenting institutions known to be engaged in international programming, Clark Foundation staff contacted several of these presenters and developed and administered a questionnaire that captured the sources of support for their international programming for the years 2003 through 2006. An additional group of large, university-based presenters was interviewed in a more abbreviated format regarding their expenditures for international programming for the year 2008. These analyses are more fully discussed in the section of this report dealing with "Trends in Private Sector Support - Other Sources of Support for Cultural Engagement." Some of this material is also discussed in **Appendix C**, "Research Challenges." Classification Case Study Participants are listed in **Appendix D**.

### **International Programming and Cultural Exchange e-Survey**

An online survey of 41 multiple choice and open-ended questions grouped into five themes: *Organization Information, Program Information, Audience Engagement, Use of Technology* and *Cultural Diplomacy* solicited information about on-the-ground execution of cultural exchange-related programming as well as impediments to engagement by artists and arts and cultural organizations. A total of 134 participants<sup>100</sup> from the arts and cultural community voluntarily participated in the e-survey between September 2007 and June 2008. This survey was designed and administered by Aimee R. Fullman and is published on the Foundation's website under the title *The Art of Engagement: Trends in U.S. Cultural Exchange and International Programming*. This publication is part of the [Robert Sterling Clark Foundation Series on International Cultural Engagement](#). Participants are listed on the foundations website.

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<sup>100</sup> Participants were solicited from the Alliance for Educational and Cultural Exchange Locator and grantee recipients of foundation grants for international arts exchange between 2003-2006. Americans for the Arts included five of the survey's questions on the 2006 - 2007 U.S. Urban Arts Federation Survey, conducted electronically in early 2008, which represents 37 of the participants. Dance/USA, Opera America, Arts in Embassies and the Association of American Museums each recommended the survey to select members or colleagues.

## **Review of Government Support for International Cultural Engagement and Public Diplomacy**

All attempts were made to obtain budgetary information through direct contact with staff at the Department of State and the Cultural Agencies (NEA, NEH, IMLS, etc.). Ultimately, trend data was provided through the Bureau of Educational and Cultural Affairs as well as from the U.S. Government Inter-Agency Working Group in International Exchange reports (IAWG) and the U.S. Government Accountability Office (GAO). Information on specific programs and grants was obtained from the U.S. Department of State website as well as through the help of State Department and NEA staff. Information was also obtained from the Henry L. Stimson Center, the Center for Strategic and International Studies Commission on Smart Power and the National Security Archive at George Washington University. Additional information was provided by individuals located at universities and think tanks that conduct research on public diplomacy and/or foreign affairs as indicated in the footnotes. All are listed in **Appendix H**.

### **Roundtable with Representatives of Foreign Governments**

On April 17, 2008, the Robert Sterling Clark Foundation convened a meeting in New York City of 14 individuals representing Canada, Mexico, Denmark, Netherlands and France as well as representatives of foundations that have displayed a long-term investment in supporting cultural exchange. Participants can be found in **Appendix D**. We were interested to learn what they thought about U.S. cultural exchange-based diplomacy and how it could be improved. We were also interested to learn how their governments engaged in cultural exchange-based diplomacy.

### **National Interviews**

The Robert Sterling Clark Foundation's project on International Cultural Engagement began in the summer of 2007. At that time, our staff and board began to map out a strategy to learn as much as we could about the field to determine whether the Clark Foundation could play a role.

As part of our overall study, more than 150 people were consulted in person, via telephone or through Skype. These individuals represent or previously represented USIA; the primary U.S. Cultural Agencies (NEA, NEH, IMLS, LOC, Smithsonian, PCAH); the Bureau of Educational and Cultural Affairs, and the Bureau of International Information Programs within the State Department, as well as ambassadorial and congressional staff. In addition, we spoke with representatives of arts service organizations, foundations, foreign governments, research centers, corporations, universities and arts organizations involved in cultural engagement. We are enormously grateful to all those who shared their wisdom, insight and experience as we traveled down this path. Everyone who participated is listed in **Appendix H**. "[E-Survey Participants](#)" whose responses were recorded in a separate but related study are listed on the Clark Foundation website.

## Research Challenges

### Background

The primary sources of information for the section of the report dealing with private-sector support for arts and cultural engagement are the Foundation Center's grants database and its Foundation Directory Online. In 2007, the Robert Sterling Clark Foundation commissioned the Foundation Center to conduct a search of all grants totaling \$10,000 or more that had been appropriated during the years 2003 through 2006, and that are classified under "Arts-related International Exchange" and "International Grants for Arts Policy." This data was supplemented in 2008 through the use of the Foundation Center's "Foundation Directory Online" subscription service to obtain grant information classified under the subject field "International Exchange Arts" for the same period of time. Over the course of this investigation, our consultant examined more than 2,000 grants classified under these headings. Those classified as direct international arts exchange grants were then totaled by foundation as well as by recipient, enabling us to determine which foundations were the major players in the field over time, and which recipients received the most funding. Grants were then categorized in terms of the geographic locations where exchanges or international programming had been undertaken, the disciplines that were supported and the types of programming that had occurred.

It should be noted that there are limitations to the dataset. The grants included were limited to those of \$10,000 or more that were reported to the Foundation Center. While the Center's database includes the bulk of foundation dollars, it does not include the bulk of foundations. There may be smaller grants made for international cultural exchange that were not captured. However, grants made by all of the major funders are all included. We, therefore, assume that while we don't have complete data, we have enough to reach the conclusions articulated in this publication.

### Classification of Foundation Grants—Case Studies

#### *Asia Society*

The investigation reveals a critical need for better classification and reporting standards. The Asia Society, the recipient that received the most grant money for international arts and cultural exchange from 2003 through 2006, was contacted for assistance in classifying the grants it received, as the majority of the 33 grants listed in the Index were not described. Asia Society staff provided a list of 58 cultural exchange grants of \$10,000 or more that supported arts exhibitions, fellowships and residencies during the study period. Of these 58 grants, only ten overlapped with the grants listed in the Foundation Center's databases leaving some 23 grants unaccounted for during the four-year period. At the same time, 48 grants actually received by the Society were not to be found in the Grants Index. All of this indicates a high incidence of misclassification or non-reporting.

*Large Performing Arts Presenters*

A second area where we found suspect information about the level of foundation investment in international arts programming involved the large U.S. arts presenting institutions and the sources of support for their international presenting activities. The table below shows grantees that received foundation support in excess of \$1 million from 2003-2008 but it includes no large presenters. We subsequently contacted the Brooklyn Academy of Music, The Kennedy Center for the Performing Arts and Lincoln Center for the Performing Arts, all of which agreed to participate in a case study designed to capture the sources of support for their international activities during the years 2003 through 2006.

<b>Million Dollar Recipients of Direct Support for International Arts Exchange, 2003-2008</b>			
<b>Rank by \$</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Asia Society, NY Total, 2003-2008	33	\$11,431,000
2	National Gallery of Art Total, 2003-2008	6	\$5,717,000
3	Asian Cultural Council Total, 2003-2008	12	\$4,230,000
4	National Performance Network Total, 2003-2008	1	\$3,527,186
5	WONDERS: The Memphis International Cultural Series Total, 2003-2008	5	\$3,150,000
6	Sundance Institute Total, 2003-2008	6	\$3,105,000
7	Blakemore Foundation Total, 2003-2008	4	\$3,000,000
8	Russian Arts Foundation Total, 2003-2008	14	\$2,591,550
9	Institute of International Education Total, 2003-2008	3	\$2,490,955
10	China Institute in America Total, 2003-2008	13	\$2,320,776
11	CEC ArtsLink Total, 2003-2008	55	\$2,268,700
12	French American Cultural Exchange Total, 2003-2008	24	\$1,575,000
13	Museum of New Mexico Foundation Total, 2003-2008	6	\$1,471,000
14	Center for International Theater Development Total, 2003-2008	11	\$1,400,000
15	Theater Communications Group Total, 2003-2008	7	\$1,280,000
16	Solomon R. Guggenheim Foundation Total, 2003-2008	2	\$1,275,000
17	Foundation for French Museum Total, 2003-2008	6	\$1,225,000
18	Bard College Total, 2003-2008	13	\$1,068,900
19	Irving S. Gilmore International Keyboard Festival Total, 2003-2008	9	\$1,051,300
20	New Haven International Festival of Arts and Ideas Total, 2003-2008	20	\$1,042,500

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It is unclear why the Brooklyn Academy of Music (BAM) and Lincoln Center for the Performing Arts did not appear in the table above, particularly in view of the fact that both of them received foundation support for international programming in excess of \$1.5 million during four of the six years examined. The table on the following page shows the amount of foundation support received by each of our three presenters from 2003-2006 for international programming.

**Selected Large U.S. Performing Arts Presenters  
Foundation Support for International Programming**

Institution	2003	2004	2005	2006	Total
Brooklyn Academy of Music	\$325,300	\$635,000	\$323,666	\$283,333	\$1,567,299
John F. Kennedy Center for the Performing Arts	\$336,850	\$3,459	\$28,782	\$6,681	\$375,772
Lincoln Center for the Performing Arts	\$1,901,517	\$1,975,315	\$2,035,027	\$2,326,110	\$8,237,969

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**Appendix F** contains charts for each of the years 2003 through 2008 listing the foundations that have provided the most support in this field as well as the recipients that received the most funding. None of the large presenters examined in our case study are listed in years 2003-2005. BAM is listed for years 2006-2008 as having received nine grants totaling \$845,000. Lincoln Center is listed only in 2007 with three grants totaling \$190,000. None of the other large presenters examined are listed in any of our aggregate data.

While the Asia Society and the large presenters are only two examples, this evidence, combined with other grants that were misclassified, is indicative of inaccuracies that occur in foundation, recipient and Foundation Center reporting and classification systems.

There are many opportunities for misclassification during the process of making, categorizing, and reporting on grants. The first responsibility lies with the grantmaker. If the Grants Index is to be used successfully as a research tool for identifying gaps in support in a particular field, it is critically important for grantmakers to take the time to classify their grants carefully and to see that this information is accurate when passed on to the Foundation Center. The second responsibility lies with the Foundation Center. A new system is needed for collecting information. If the data collection instrument were more refined, staff would have an easier time classifying and retrieving information, foundations would be able to describe their grants more accurately, researchers would be able to use the data with confidence, and foundations that are interested in developing focused grant programs would find the data more helpful.

## Definitional Problems

There is considerable confusion in the philanthropic and nonprofit communities about what is meant by *international arts and cultural exchange*. For the purposes of this report, the term refers to activities that we have ascertained to be for the primary purpose of exporting and/or importing artists and artistic product internationally. Because most of these activities do not actually involve reciprocal movements of artists between two countries, we prefer the terms *international cultural engagement* or *international cultural programming* rather than “cultural exchange,” unless, of course, the activity involves an actual exchange. However, we have used the term cultural exchange when it has been used by others to describe the import or export of nonprofit artistic product as it has by the Foundation Center and various U.S. government agencies.

The term *direct support* refers to grants made in support of international programming or engagement that is primarily artistic in nature. Such grants have been further classified by geographic location based on the UN world regions and sub-regions of engagement; by discipline; by direction of movement, that is, import or export of cultural product; and by depth of engagement based on type. The term *indirect support* refers to grants for general operations made to organizations that are broadly engaged in international arts and cultural engagement as part of a larger mission. We have excluded grants for “indirect support” from our findings.

### Conclusions

While there are many potential culprits in the misclassification of grants, we believe that for those foundations that make reasonable attempts to classify their grants accurately, the problems are often definitional. We also conclude that many foundations classify grants made to U.S. presenting organizations by organizational type or by discipline rather than by purpose (e.g., grants to U.S. performing arts presenters *versus* grants for international cultural programming or engagement). Some of these organizations not only present the work of foreign artists, they also facilitate the presentation of American work abroad. We believe that the latter activities are more likely to be counted as international engagement than are the former because the activity occurs on foreign soil. In limited conversations with foundation program officers, we learned that if a grant is made to support some form of international engagement that occurs in the United States, many do not even think about classifying the grant as “international.” We further believe that this results in undercounting “cultural exchange” grants made to bring foreign artists to perform in the United States. To get a better picture of import and export issues, it is essential to find a way to capture grants made in support of the international programs of large presenting organizations. It should also be noted that the Foundation Center data did not capture grants that supported the international touring activities of large orchestras such as the New York Philharmonic, the San Francisco Symphony and the Chicago Symphony Orchestra, all of which are substantial. We believe that the Foundation Center would perform an enormous service to the field by developing a more sophisticated grant survey instrument that would produce more accurate information.

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## Foundation Grantmaking Classification Case Studies

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**Brooklyn Academy of Music** – Brooklyn, NY

Karen Hopkins, President

Joe Melillo – Executive Producer

Marisa Menna, Administrative Assistant

**Cal Performances** – U.C. at Berkley

Matias Tarnapolski, Director

**The Kennedy Center for the Performing Arts** – Washington, DC

Michael Kaiser, President

Donna Cutro, Director of Designated Campaigns

Christian Curtin, Comptroller

**Lincoln Center for the Performing Arts** – New York, NY

Jane Moss, Vice President, Programming

Siri Horvitz, Director of Institutional Relations

**UCLA Live** – Los Angeles, CA

David Sefton, Executive and Artistic Director

# Trends in Foundation Support for Direct International Arts Exchange 2003-2008

Prepared for the



By Aimee R Fullman  
November 2009

November 2009

**A Snapshot of Giving for  
Direct International Arts and Cultural Exchange  
2003-2008**

<b>Circa</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2003-2008</b>
# of Grants	223	228	187	208	210	172	1228
# of Recipients	156	169	143	157	158	138	520
# of Foundations	52	56	53	61	59	42	149
Total Amount In Millions	\$21.5	\$15.1	\$15.1	\$16.4	\$18.6	\$20.7	\$107.3

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**Top 25 Foundation Supporters of  
Direct International Arts and Cultural Exchange  
By # of Grants, 2003-2008**

Rank by # of Grants	Foundation Name	# of Grants	Amount in \$
	<b>Grand Total</b>	1213	\$106,782,429
1	Trust for Mutual Understanding Total	479	\$14,613,990
2	Florence Gould Foundation Total	106	\$5,053,965
3	Ford Foundation Total	52	\$8,509,500
4	Andrew W. Mellon Foundation Total	27	\$2,805,635
5	Freeman Foundation Total	24	\$9,654,276
6	Rockefeller Foundation Total	24	\$6,604,607
7	Annenberg Foundation Total	23	\$8,055,000
8	John D. and Catherine T. MacArthur Foundation Total	23	\$1,097,500
9	Christensen Fund Total	19	\$699,430
10	New York Community Trust Total	17	\$767,710
11	Ann and Gordon Getty Foundation Total	15	\$2,651,550
12	W. L. S. Spencer Foundation Total	13	\$520,000
13	Doris Duke Charitable Foundation Total	12	\$6,821,921
14	Andy Warhol Foundation for Visual Arts Total	12	\$730,000
15	E. Rhodes & Leona B. Carpenter Foundation Total	12	\$570,714
16	Brown Foundation, Inc. Total	12	\$384,000
17	Starr Foundation Total	11	\$6,155,000
18	J. Paul Getty Trust Total	11	\$1,806,000
19	Houston Endowment Inc. Total	11	\$850,000
20	Henry Luce Foundation, Inc. Total	10	\$1,478,000
21	Open Society Institute Total	9	\$2,666,124
22	W. K. Kellogg Foundation Total	9	\$2,116,000
23	James Irvine Foundation Total	9	\$655,000
24	Rockefeller Brothers Fund, Inc. Total	8	\$1,400,000
25	Community Foundation for Greater New Haven Total	8	\$550,000

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<b>Million Dollar Foundation Supporters of Direct International Arts and Cultural Exchange, 2003-2008</b>				
<b>Rank by \$</b>	<b>Rank by # of Grants</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
		<b>Grand Total</b>	1213	\$106,782,429
1	1	<b>Trust for Mutual Understanding Total</b>	479	\$14,613,990
2	5	<b>Freeman Foundation Total</b>	24	\$9,654,276
3	3	<b>Ford Foundation Total</b>	52	\$8,509,500
4	7	<b>Annenberg Foundation Total</b>	23	\$8,055,000
5	13	<b>Doris Duke Charitable Foundation Total</b>	12	\$6,821,921
6	6	<b>Rockefeller Foundation Total</b>	24	\$6,604,607
7	17	<b>Starr Foundation Total</b>	11	\$6,155,000
8	2	<b>Florence Gould Foundation Total</b>	106	\$5,053,965
9	4	<b>Andrew W. Mellon Foundation Total</b>	27	\$2,805,635
10	21	<b>Open Society Institute Total</b>	9	\$2,666,124
11	11	<b>Ann and Gordon Getty Foundation Total</b>	15	\$2,651,550
12	39	<b>Goldman Sachs Foundation Total</b>	4	\$2,488,500
13	48	<b>Plough Foundation Total</b>	3	\$2,250,000
14	22	<b>W. K. Kellogg Foundation Total</b>	9	\$2,116,000
15	18	<b>J. Paul Getty Trust Total</b>	11	\$1,806,000
16	20	<b>Henry Luce Foundation, Inc. Total</b>	10	\$1,478,000
17	24	<b>Rockefeller Brothers Fund, Inc. Total</b>	8	\$1,400,000
18	40	<b>Alcoa Foundation Total</b>	4	\$1,340,000
19	8	<b>John D. and Catherine T. MacArthur Foundation Total</b>	23	\$1,097,500

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### 2003 Foundation Supporters of Direct International Arts and Cultural Exchange Over \$100,000

Rank	Foundation Name	# of Grants	Amount in \$
1	The Starr Foundation 2003 Total	4	\$3,475,000
2	The Rockefeller Foundation 2003 Total	17	\$2,937,652
3	The Ford Foundation 2003 Total	12	\$2,605,000
4	Trust for Mutual Understanding 2003 Total	85	\$2,474,590
5	Plough Foundation 2003 Total	2	\$1,375,000
6	Open Society Institute 2003 Total	3	\$1,236,124
7	The Goldman Sachs Foundation 2003 Total	1	\$1,000,000
8	Freeman Foundation 2003 Total	3	\$865,000
9	The Florence Gould Foundation 2003 Total	28	\$852,979
10	The Ann and Gordon Getty Foundation 2003 Total	3	\$542,192
11	J Paul Getty Trust 2003 Total	2	\$530,000
12	The Henry Luce Foundation, Inc 2003 Total	3	\$328,000
13	AT&T Foundation 2003 Total	2	\$325,000
14	Irving S Gilmore Foundation 2003 Total	1	\$261,300
15	Richard and Rhoda Goldman Fund 2003 Total	2	\$250,000
16	The Andrew W Mellon Foundation 2003 Total	3	\$217,500
17	The William and Flora Hewlett Foundation 2003 Total	1	\$150,000
18	The New York Community Trust 2003 Total	8	\$145,710
19	The Peter Jay Sharp Foundation 2003 Total	1	\$120,000
20	The Christensen Fund 2003 Total	3	\$104,680

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**2004 Foundation Supporters of Direct International Arts  
and Cultural Exchange Over \$100,000**

<b>Rank</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>\$ Amount</b>
1	Trust for Mutual Understanding 2004 Total	90	\$2,562,900
2	The Ford Foundation 2004 Total	14	\$1,966,000
3	The Ann and Gordon Getty Foundation 2004 Total	5	\$993,008
4	The Florence Gould Foundation 2004 Total	23	\$979,586
5	Freeman Foundation 2004 Total	4	\$965,000
6	Plough Foundation 2004 Total	1	\$875,000
7	Open Society Institute 2004 Total	2	\$840,000
8	J Paul Getty Trust 2004 Total	5	\$834,000
9	The Henry Luce Foundation, Inc 2004 Total	5	\$825,000
10	The Rockefeller Foundation 2004 Total	2	\$545,000
11	The Andrew W Mellon Foundation 2004 Total	8	\$463,000
12	Sid W Richardson Foundation 2004 Total	2	\$350,000
13	The Goldman Sachs Foundation 2004 Total	1	\$334,000
14	Rockefeller Brothers Fund, Inc 2004 Total	2	\$300,000
15	John D and Catherine T MacArthur Foundation 2004 Total	2	\$200,000
16	Houston Endowment Inc 2004 Total	4	\$150,000
17	The Annenberg Foundation 2004 Total	2	\$150,000
18	The Peter Jay Sharp Foundation 2004 Total	1	\$145,000
19	The Andy Warhol Foundation for the Visual Arts 2004 Total	2	\$135,000
20	The James Irvine Foundation 2004 Total	3	\$130,000
21	The Institute for Aegean Prehistory 2004 Total	6	\$128,000

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**2005 Foundation Supporters of Direct International Arts  
and Cultural Exchange Over \$100,000**

<b>Rank</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Freeman Foundation 2005 Total	6	\$2,535,000
2	Trust for Mutual Understanding 2005 Total	72	\$2,231,900
3	The Annenberg Foundation 2005 Total	4	\$1,500,000
4	Doris Duke Charitable Foundation 2005 Total	4	\$1,237,414
5	The Ford Foundation 2005 Total	10	\$1,017,000
6	Community Foundation of Greater Memphis 2005 Total	1	\$875,000
7	The Ann and Gordon Getty Foundation 2005 Total	6	\$866,350
8	The Florence Gould Foundation 2005 Total	16	\$727,000
9	Open Society Institute 2005 Total	3	\$565,000
10	Rockefeller Brothers Fund, Inc 2005 Total	1	\$400,000
11	Houston Endowment Inc 2005 Total	3	\$250,000
12	E Rhodes & Leona B Carpenter Foundation 2005 Total	3	\$235,000
13	The Rockefeller Foundation 2005 Total	1	\$231,000
14	The Andy Warhol Foundation for the Visual Arts 2005 Total	3	\$205,000
15	The W L S Spencer Foundation 2005 Total	6	\$200,000
16	The Peter Jay Sharp Foundation 2005 Total	2	\$195,000
17	The Brown Foundation, Inc 2005 Total	2	\$160,000
18	The Starr Foundation 2005 Total	1	\$120,000
19	The Paul G Allen Family Foundation 2005 Total	4	\$110,000
20	The Andrew W Mellon Foundation 2005 Total	2	\$101,355

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<b>2006 Foundation Supporters of Direct International Arts and Cultural Exchange Over \$100,000</b>			
<b>Rank</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Trust for Mutual Understanding 2006 Total	81	\$2,564,300
2	Freeman Foundation 2006 Total	5	\$1,715,388
3	The Florence Gould Foundation 2006 Total	24	\$1,474,500
4	The Annenberg Foundation 2006 Total	4	\$1,453,000
5	Alcoa Foundation 2006 Total	1	\$1,200,000
6	The Ford Foundation 2006 Total	6	\$1,138,500
7	The Goldman Sachs Foundation 2006 Total	1	\$1,112,000
8	W K Kellogg Foundation 2006 Total	5	\$981,000
9	The Rockefeller Foundation 2006 Total	1	\$400,000
10	The Christensen Fund 2006 Total	8	\$369,631
11	The David and Lucile Packard Foundation 2006 Total	2	\$320,000
12	Lilly Endowment Inc 2006 Total	1	\$300,000
13	Doris Duke Charitable Foundation 2006 Total	3	\$267,321
14	The Andrew W Mellon Foundation 2006 Total	3	\$250,000
15	The Ann and Gordon Getty Foundation 2006 Total	1	\$250,000
16	Sara Lee Foundation 2006 Total	4	\$245,000
17	Richard and Rhoda Goldman Fund 2006 Total	1	\$200,000
18	The J M Kaplan Fund, Inc 2006 Total	1	\$175,000
19	The Peter Jay Sharp Foundation 2006 Total	2	\$170,000
20	The W L S Spencer Foundation 2006 Total	4	\$165,000
21	The Community Foundation for Greater New Haven 2006 Total	2	\$150,000
22	John D and Catherine T MacArthur Foundation 2006 Total	1	\$125,000
23	E Rhodes & Leona B Carpenter Foundation 2006 Total	2	\$110,714

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### 2007 Foundation Supporters of Direct International Arts and Cultural Exchange Over \$100,000

Rank	Foundation Name	# of Grants	Amount in \$
1	Freeman Foundation 2007 Total	6	\$3,573,888
2	Trust for Mutual Understanding 2007 Total	81	\$2,464,300
3	The Annenberg Foundation 2007 Total	7	\$1,850,000
4	W K Kellogg Foundation 2007 Total	2	\$1,050,000
5	The Florence Gould Foundation 2007 Total	15	\$1,019,900
6	The Rockefeller Foundation 2007 Total	2	\$946,555
7	The Ford Foundation 2007 Total	7	\$758,000
8	Doris Duke Charitable Foundation 2007 Total	1	\$750,000
9	Rockefeller Brothers Fund, Inc 2007 Total	5	\$700,000
10	The Andrew W Mellon Foundation 2007 Total	7	\$673,780
11	The New York Community Trust 2007 Total	3	\$525,000
12	The James Irvine Foundation 2007 Total	4	\$505,000
13	Richard King Mellon Foundation 2007 Total	1	\$500,000
14	The Henry Luce Foundation, Inc 2007 Total	1	\$300,000
15	The Andy Warhol Foundation for the Visual Arts 2007 Total	3	\$210,000
16	Claude Worthington Benedum Foundation 2007 Total	1	\$200,000
17	Houston Endowment Inc 2007 Total	1	\$200,000
18	J Paul Getty Trust 2007 Total	1	\$198,000
19	The Christensen Fund 2007 Total	6	\$175,000
20	E Rhodes & Leona B Carpenter Foundation 2007 Total	4	\$155,000
21	The W L S Spencer Foundation 2007 Total	3	\$155,000
22	The Starr Foundation 2007 Total	1	\$150,000
23	Target Foundation 2007 Total	2	\$115,000
24	The Paul G Allen Family Foundation 2007 Total	2	\$105,000

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**2008 Foundation Supporters of Direct International Arts  
and Cultural Exchange Over \$100,000**

<b>Rank</b>	<b>Foundation Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Doris Duke Charitable Foundation 2008 Total	2	\$4,527,186
2	Annenberg Foundation 2008 Total	5	\$3,092,000
3	Starr Foundation 2008 Total	3	\$2,350,000
4	Trust for Mutual Understanding 2008 Total	70	\$2,316,000
5	Rockefeller Foundation 2008 Total	1	\$1,544,400
6	Andrew W Mellon Foundation 2008 Total	4	\$1,100,000
7	Ford Foundation 2008 Total	3	\$1,025,000
8	John D and Catherine T MacArthur Foundation 2008 Total	20	\$772,500
9	William Penn Foundation 2008 Total	1	\$704,000
10	Henry Luce Foundation 2008 Total	3	\$650,000
11	Robert Sterling Clark Foundation 2008 Total	5	\$375,000
12	Lilly Endowment Inc 2008 Total	1	\$300,000
13	Claude Worthington Benedum Foundation 2008 Total	1	\$150,000
14	Terra Foundation for American Art 2008 Total	1	\$150,000
15	J Paul Getty Trust 2008 Total	2	\$148,000
16	Jack Kent Cooke Foundation 2008 Total	2	\$147,112
17	Andy Warhol Foundation for Visual Arts 2008 Total	3	\$130,000
18	Lee and Juliet Folger Fund 2008 Total	2	\$125,000
19	Nathan Cummings Foundation 2008 Total	2	\$110,000

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<b>Million Dollar Recipients of Support for Direct International Arts Exchange, 2003-2008</b>				
<b>Rank by \$</b>	<b>Rank by #</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	2	Asia Society, NY Total, 2003-2008	33	\$11,431,000
2	27	National Gallery of Art Total, 2003-2008	6	\$5,717,000
3	9	Asian Cultural Council Total, 2003-2008	12	\$4,230,000
4	213	National Performance Network Total, 2003-2008	1	\$3,527,186
5	43	WONDERS: The Memphis International Cultural Series Total, 2003-2008	5	\$3,150,000
6	28	Sundance Institute Total, 2003-2008	6	\$3,105,000
7	60	Blakemore Foundation Total, 2003-2008	4	\$3,000,000
8	6	Russian Arts Foundation Total, 2003-2008	14	\$2,591,550
9	85	Institute of International Education Total, 2003-2008	3	\$2,490,955
10	7	China Institute in America Total, 2003-2008	13	\$2,320,776
11	1	CEC ArtsLink Total, 2003-2008	55	\$2,268,700
12	3	French American Cultural Exchange Total, 2003-2008	24	\$1,575,000
13	29	Museum of New Mexico Foundation Total, 2003-2008	6	\$1,471,000
14	10	Center for International Theater Development Total, 2003-2008	11	\$1,400,000
15	22	Theater Communications Group Total, 2003-2008	7	\$1,280,000
16	118	Solomon R. Guggenheim Foundation Total, 2003-2008	2	\$1,275,000
17	30	Foundation for French Museum Total, 2003-2008	6	\$1,225,000
18	8	Bard College Total, 2003-2008	13	\$1,068,900
19	14	Irving S. Gilmore International Keyboard Festival Total, 2003-2008	9	\$1,051,300
20	4	New Haven International Festival of Arts and Ideas Total, 2003-2008	20	\$1,042,500

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**2003 Recipients of Support for Direct  
International Arts Exchange Over \$100,000**

<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Asia Society, NY 2003 Total	13	\$4,679,000
2	WONDERS: The Memphis International Cultural Series 2003 Total	2	\$1,375,000
3	Sundance Institute 2003 Total	1	\$1,200,000
4	National Video Resources 2003 Total	2	\$937,910
5	Arts International 2003 Total	5	\$775,000
6	China Institute in America 2003 Total	3	\$600,000
7	Blakemore Foundation 2003 Total	1	\$500,000
8	Russian Arts Foundation 2003 Total	2	\$492,192
9	New York University 2003 Total	1	\$450,000
10	African Marketplace 2003 Total	1	\$449,500
11	New York Foundation for the Arts 2003 Total	2	\$439,000
12	CEC ArtsLink 2003 Total	10	\$415,000
13	Center for International Theater Development 2003 Total	2	\$375,000
14	University of California 2003 Total	1	\$350,000
15	Asian Cultural Council 2003 Total	2	\$335,000
16	University of Massachusetts 2003 Total	1	\$325,000
17	Irving S. Gilmore International Keyboard Festival 2003 Total	2	\$321,300
18	Cornell University 2003 Total	1	\$300,000
19	Contemporary Art for San Antonio 2003 Total	1	\$250,000
20	Fundacion Amistad 2003 Total	1	\$250,000
21	Smithsonian Institution 2003 Total	2	\$246,742
22	Dance Theater Workshop 2003 Total	3	\$225,000
23	San Francisco Ballet Association 2003 Total	1	\$200,000
24	New England Foundation for the Arts 2003 Total	2	\$190,000
25	United States Department of State 2003 Total	1	\$180,000
26	American-Russian Cultural Cooperation Foundation 2003 Total	2	\$175,000
27	New Haven International Festival of Arts and Ideas 2003 Total	2	\$175,000
28	Bard College 2003 Total	3	\$170,000
29	French American Cultural Exchange 2003 Total	6	\$160,000
30	California State University 2003 Total	1	\$150,000
31	FotoFest 2003 Total	3	\$150,000
32	French Institute Alliance Francaise 2003 Total	2	\$150,000
33	Miami Light Project 2003 Total	1	\$150,000
34	Mississippi Commission for International Cultural Exchange 2003 Total	2	\$150,000
35	Virginia Waring International Piano Competition 2003 Total	3	\$125,000

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<b>2004 Recipients of Support for Direct International Arts Exchange Over \$100,000</b>			
<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Russian Arts Foundation 2004 Total	5	\$983,008
2	Asia Society, NY 2004 Total	6	\$949,000
3	WONDERS: The Memphis International Cultural Series 2004 Total	2	\$900,000
4	Sundance Institute 2004 Total	2	\$830,000
5	Blakemore Foundation 2004 Total	1	\$500,000
6	Zest for Life Foundation 2004 Total	1	\$500,000
7	Asia Foundation 2004 Total	1	\$375,000
8	CEC ArtsLink 2004 Total	10	\$365,400
9	China Institute in America 2004 Total	2	\$360,000
10	Van Cliburn Foundation 2004 Total	2	\$350,000
11	University of Chicago 2004 Total	3	\$311,000
12	New York University 2004 Total	1	\$300,000
13	American Institute of Indian Studies 2004 Total	1	\$255,000
14	Institute of International Education 2004 Total	1	\$250,000
15	Aid to Artisans 2004 Total	3	\$245,000
16	Asian Cultural Council 2004 Total	2	\$225,000
17	Cornell University 2004 Total	2	\$216,000
18	Finnish Cultural Institute in New York 2004 Total	1	\$214,000
19	American Council of Learned Societies 2004 Total	1	\$200,000
20	French American Cultural Exchange 2004 Total	5	\$200,000
21	Medici Archive Project 2004 Total	1	\$197,000
22	Bard College 2004 Total	2	\$195,000
23	ARTstor 2004 Total	1	\$171,000
24	Wesleyan University 2004 Total	1	\$166,000
25	18th Street Arts Complex 2004 Total	2	\$160,000
26	Foundation for French Museum 2004 Total	1	\$150,000
27	French Institute Alliance Francaise 2004 Total	2	\$150,000
28	New Haven International Festival of Arts and Ideas 2004 Total	2	\$150,000
29	U.S.-Mexico Foundation for Culture 2004 Total	2	\$145,000
30	Arts International 2004 Total	2	\$134,000
31	Metropolitan Museum of Art 2004 Total	3	\$122,000
32	Smithsonian Institution 2004 Total	2	\$121,000

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<b>2005 Recipients of Support for Direct International Arts Exchange Over \$100,000</b>			
<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Asia Society, NY 2005 Total	4	\$1,250,000
2	Blakemore Foundation 2005 Total	1	\$1,000,000
3	National Gallery of Art 2005 Total	1	\$1,000,000
4	Sundance Institute 2005 Total	2	\$1,000,000
5	WONDERS: The Memphis International Cultural Series 2005 Total	1	\$875,000
6	Russian Arts Foundation 2005 Total	5	\$831,350
7	Lower Manhattan Cultural Council 2005 Total	4	\$657,414
8	Vermont Studio Center 2005 Total	2	\$550,000
9	Foundation for French Museum 2005 Total	2	\$450,000
10	Asian Cultural Council 2005 Total	1	\$400,000
11	Center for International Theater Development 2005 Total	3	\$395,000
12	CEC ArtsLink 2005 Total	7	\$309,300
13	Amrita Performing Arts 2005 Total	1	\$231,000
14	World Culture Forum Corporation 2005 Total	1	\$200,000
15	Bard College 2005 Total	3	\$198,700
16	New Haven International Festival of Arts and Ideas 2005 Total	3	\$185,000
17	Miami Light Project 2005 Total	2	\$177,000
18	FotoFest 2005 Total	2	\$175,000
19	Lower East Side Tenement Museum 2005 Total	1	\$150,000
20	Metropolitan Museum of Art 2005 Total	3	\$146,355
21	French American Cultural Exchange 2005 Total	3	\$140,000
22	Foundation for a Civil Society 2005 Total	1	\$135,500
23	French Institute Alliance Francaise 2005 Total	2	\$125,000
24	New York City Opera 2005 Total	1	\$120,000
25	Japan Society 2005 Total	3	\$115,000

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**2006 Recipients of Support for Direct  
International Arts Exchange Over \$100,000**

<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$)</b>
1	Asia Society, NY 2006 Total	6	\$2,319,500
2	Solomon R. Guggenheim Foundation 2006 Total	1	\$1,200,000
3	National Gallery of Art 2006 Total	1	\$1,000,000
4	Irving S. Gilmore International Keyboard Festival 2006 Total	3	\$580,000
5	American Council of Learned Societies 2006 Total	1	\$500,000
6	CEC ArtsLink 2006 Total	12	\$489,000
7	China Institute in America 2006 Total	3	\$442,888
8	Museum of New Mexico Foundation 2006 Total	3	\$421,000
9	Asian Cultural Council 2006 Total	1	\$400,000
10	Foundation for French Museum 2006 Total	2	\$400,000
11	Center for International Theater Development 2006 Total	2	\$330,000
12	Population Media Center 2006 Total	2	\$320,000
13	Metropolitan Museum of Art 2006 Total	4	\$315,000
14	Brooklyn Academy of Music 2006 Total	4	\$310,000
15	International Center of Indianapolis 2006 Total	1	\$300,000
16	Russian Arts Foundation 2006 Total	2	\$285,000
17	French American Cultural Exchange 2006 Total	6	\$230,000
18	Brookings Institution 2006 Total	2	\$227,321
19	Vermont Studio Center 2006 Total	1	\$220,000
20	New Haven International Festival of Arts and Ideas 2006 Total	4	\$212,500
21	New York City Ballet 2006 Total	1	\$200,000
22	San Francisco Ballet Association 2006 Total	1	\$200,000
23	World Monuments Fund 2006 Total	1	\$175,000
24	Bard College 2006 Total	3	\$170,200
25	Ballet Afsaneh Art and Culture Society 2006 Total	2	\$160,000
26	Chicago Symphony Orchestra 2006 Total	1	\$150,000
27	Metropolitan Opera Association 2006 Total	1	\$140,600
28	French Institute Alliance Francaise 2006 Total	2	\$125,000
29	World Security Institute 2006 Total	1	\$125,000
30	Georges Pompidou Art and Culture Foundation 2006 Total	1	\$103,000

November 2009

**2007 Recipients of Support for Direct  
International Arts Exchange Over \$100,000**

<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	Asia Society, NY 2007 Total	4	\$2,233,500
2	Blakemore Foundation 2007 Total	1	\$1,000,000
3	National Gallery of Art 2007 Total	1	\$1,000,000
4	Museum of New Mexico Foundation 2007 Total	1	\$990,000
5	Asian Cultural Council 2007 Total	4	\$855,000
6	French American Cultural Exchange 2007 Total	4	\$845,000
7	National Association of Japan-America Societies 2007 Total	1	\$735,000
8	Pittsburgh Trust for Cultural Resources 2007 Total	2	\$700,000
9	Institute of International Education 2007 Total	1	\$696,555
10	Art Institute of Chicago 2007 Total	2	\$475,580
11	China Institute in America 2007 Total	2	\$432,888
12	Bard College 2007 Total	2	\$335,000
13	Brooklyn Academy of Music 2007 Total	4	\$335,000
14	Art Services International 2007 Total	2	\$325,000
15	CEC ArtsLink 2007 Total	7	\$310,000
16	Grand Performances 2007 Total	1	\$300,000
17	Amrita Performing Arts 2007 Total	1	\$250,000
18	New Haven International Festival of Arts and Ideas 2007 Total	7	\$250,000
19	Japan Society 2007 Total	4	\$230,000
20	Foundation for French Museum 2007 Total	1	\$225,000
21	FotoFest 2007 Total	1	\$200,000
22	Friends of Bhutans Culture 2007 Total	1	\$198,000
23	Lincoln Center for the Performing Arts 2007 Total	3	\$190,000
24	Center for International Theater Development 2007 Total	2	\$180,000
25	Van Cliburn Foundation 2007 Total	2	\$150,000
26	Foundation for a Civil Society 2007 Total	1	\$143,000
27	Metropolitan Museum of Art 2007 Total	3	\$123,000
28	Foundation for World Arts 2007 Total	1	\$120,000

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<b>2008 Recipients of Support for Direct International Arts Exchange Over \$100,000</b>			
<b>Rank</b>	<b>Recipient Name</b>	<b># of Grants</b>	<b>Amount in \$</b>
1	National Performance Network 2008 Total	1	\$3,527,186
2	National Gallery of Art 2008 Total	2	\$2,667,000
3	Asian Cultural Council 2008 Total	2	\$2,015,000
4	Institute of International Education 2008 Total	1	\$1,544,400
5	Theater Communications Group 2008 Total	3	\$1,070,000
6	University of Pennsylvania 2008 Total	1	\$704,000
7	Mid Atlantic Arts Foundation 2008 Total	3	\$595,000
8	American Research Center in Egypt 2008 Total	1	\$478,000
9	National Association of Latino Arts and Culture 2008 Total	1	\$475,000
10	China Institute in America 2008 Total	2	\$450,000
11	CEC ArtsLink 2008 Total	9	\$380,000
12	French Regional and American Museums Exchange 2008 Total	2	\$375,000
13	West Virginia University Foundation 2008 Total	1	\$350,000
14	Florida International University 2008 Total	2	\$315,000
15	International Center of Indianapolis 2008 Total	1	\$300,000
16	Asia Society 2008 Total	3	\$296,096
17	New Jersey Performing Arts Center 2008 Total	1	\$250,000
18	Brooklyn Academy of Music	1	\$200,000
19	Carnegie Mellon University 2008 Total	1	\$150,000
20	Foundation for a Civil Society 2008 Total	1	\$150,000
21	Dance Theater Workshop 2008 Total	2	\$135,000
22	Center for International Theater Development 2008 Total	2	\$120,000
23	Metropolitan Museum of Art 2008 Total	3	\$110,000

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## U.S. PUBLIC AND CULTURAL DIPLOMACY TIMELINE (October 1999-December 2009)

**TAXONOMY:***Appointments and Political Events**U.S. Government Initiatives**Legislation and Policy**Institutions, Investments and Partnerships**Resources, Reports and Conferences*

Year	U.S. Public and Cultural Diplomacy Highlights
<b>1999</b>	<p><b><i>Legislation and Policy</i></b> October 31– The United States Information Agency (USIA) is sunset and its public diplomacy function is dispersed among several agencies.</p>
<b>2000</b>	<p><b><i>Appointments and Political Events</i></b> November – In one of most contested elections in history, George W. Bush (R) is elected the 43<sup>rd</sup> President of the United States.</p> <p><b><i>U.S. Government Initiatives</i></b> November 28 – <a href="#">White House Conference on Culture and Diplomacy</a></p> <p><b><i>Institutions, Investments and Partnerships</i></b> Arts International, a public-private partnership created in the mid-1980s under the auspices of the Institute for International Education becomes an independent 501(c) 3 organization.</p>
<b>2001</b>	<p><b><i>Appointments and Political Events</i></b> January – President George W. Bush takes office. September 11 –Al-Qaeda attacks the World Trade Center in NY and the Pentagon in Washington, D.C. October – Charlotte Beers, a former advertising executive, is appointed Under Secretary for Public Diplomacy and Public Affairs.</p> <p><b><i>U.S. Government Initiatives</i></b> <a href="#">Ambassador’s Fund for Cultural Preservation</a> is created by the Department of State to assist countries with tangible and intangible cultural heritage.</p> <p><b><i>Legislation and Policy</i></b> June – Premium Processing (15 days) is instituted for foreign guest artist visas for a \$1000 fee. The new process increases the time required for regular processing from 45 days to an average of 45 days to 6 months, creating an undue burden on smaller arts and cultural organizations involved in the presentation of foreign artists. October 26 – <i>U.S. Patriot Act (Public Law 107-56)</i>, changes surveillance laws and provides additional executive powers to combat terrorism. The Act requires that foundations providing donations to foreign grantees exercise due diligence to ensure that funds are not used to support terrorist activities.</p> <p><b><i>Institutions, Investments and Partnerships</i></b> The Public Diplomacy Foundation becomes the <a href="#">Public Diplomacy Institute</a> in its new affiliation with The George Washington University's School of Media and Public Affairs and Elliott School of International Affairs.</p>

<p><b>2001</b> <b>Continued</b></p>	<p><b><i>Resources, Reports and Conferences</i></b> December – The Pew Global Attitudes Report: <i>America Admired, Yet Its New Vulnerability Seen As Good Thing, Say Opinion Leaders</i> is published by the Pew Research Center for the People and the Press.</p>
<p><b>2002</b></p>	<p><b><i>U.S. Government Initiatives</i></b> <a href="#">Radio Fardo</a> and <a href="#">Radio Sawa</a> are launched by the Department of State to target the Muslim world. December – the Department of State distributes <i>Writers on America</i> to audiences overseas through U.S. Embassies. <b><i>Legislation and Policy</i></b> September – <i>Department of State FY2000-2003 Authorizations Act (P.L. 107-228)</i> establishes an <i>Advisory Council on Cultural Diplomacy</i>, chaired by the Under Secretary of State for Public Diplomacy, to counsel the Secretary of State on cultural diplomacy initiatives and Policy. <b><i>Institutions, Investments and Partnerships</i></b> Summer – The 2002 Smithsonian Folklife Festival: “The Silk Road: Connecting Cultures, Creating Trust” sponsors hundreds of foreign artists from geographic regions that are on U.S. government “watch lists,” creating U.S. entry problems for many participants. September – The Pew Charitable Trust terminates its national grants program in support of arts and culture and withdraws support for Arts International. <b><i>Resources, Reports and Conferences</i></b> July – <i>Building America’s Public Diplomacy</i> is published by the U.S. Advisory Council on Public Diplomacy. July 30 – <i>Public Diplomacy: A Strategy for Reform</i> is published by the Council on Foreign Relations. December 4 – The Pew Global Attitudes Report, <i>What the World Thinks in 2002, How Global Publics View: Their Lives, Their Countries, The World</i>, is published by the Pew Research Center for the People and the Press.</p>
<p><b>2003</b></p>	<p><b><i>Appointments and Political Events</i></b> March – The U.S. and its allies invade Iraq. March – Charlotte Beers resigns as Under Secretary for Public Diplomacy and Public Affairs December – Margaret Tutwiler, former U.S. Ambassador to Morocco, replaces Charlotte Beers as the Under Secretary for Public Diplomacy and Public Affairs at the Department of State. <b><i>Legislation and Policy</i></b> January – The Office of Global Communications is established at the White House. March – The Department of Immigration and Naturalization Services is abolished and duties are transferred to the <a href="#">Department of Homeland Security</a> which was established in November, 2002. October – The U.S. Rejoins UNESCO. <b><i>U.S. Government Initiatives</i></b> CultureConnect and the Cultural Ambassadors Program are launched by the U.S. Department of State. July – <i>Hi</i>, an Arabic and English language monthly magazine is launched by State and the White House Office of Global Communications to target 18–35 year-old Muslim youth.</p>

<p><b>2003</b> <b>Continued</b></p>	<p><b>Legislation and Policy</b></p> <p>February 27 – The Senate Foreign Relations Committee holds a hearing on “American Public Diplomacy in the Islamic World”.</p> <p>July – The <a href="#">Sarbanes–Oxley Act (P.L. 107-204)</a> establishes new auditing standards for corporations, government and foundations.</p> <p>December – <a href="#">Senate Appropriations Committee Report 108-144 (H.R. 1585)</a> directs the Department of State to submit a public diplomacy strategy to Congress no later than March 1, 2004. (P.L. 108–199, January 2004)</p> <p><b>Resources, Reports and Conferences</b></p> <p>March – Pew Global Attitudes Report, <a href="#">America’s Image Further Erodes, Europeans Want Weaker Ties</a> is published by the Pew Research Center for the People and the Press.</p> <p>April – A conference, “<a href="#">Sustaining Exchanges While Securing Borders</a>” is co-sponsored by the Public Diplomacy Council, the Alliance for Educational and Cultural Exchanges, and George Washington University’s Public Diplomacy Institute.</p> <p>April – A conference, “Communicating with the World: Diplomacy that Works,” is co-sponsored by the Center for Arts and Culture and Georgetown University’s Institute for the Study of Diplomacy to bring foreign service officers, foreign policy practitioners and members of the arts community together to discuss how to use public diplomacy more effectively.</p> <p>April – <a href="#">How to Reinvigorate U.S. Public Diplomacy</a>, is published by the Heritage Foundation.</p> <p>April 14-15 – “<a href="#">Arts and Minds: A Conference on Cultural Diplomacy Amid Global Tensions</a>” is co-sponsored by the Center for Arts and Culture, Arts International, and the National Arts Journalism Program of Columbia University.</p> <p>May – <a href="#">How States Are Using Arts and Culture to Strengthen Their Global Trade Development</a> is published by the National Governors Association.</p> <p>Summer – Arts Service organizations (with support from the NEA), launch new website (<a href="http://www.artistsfromabroad.org">www.artistsfromabroad.org</a>) on visa and tax regulations associated with bringing foreign guest artists into the U.S.</p> <p>July – “Regaining America’s Voice Overseas: A conference on U.S. Public Diplomacy” is convened by the Heritage Foundation to discuss public diplomacy and foreign broadcasting.</p> <p>July – <a href="#">U.S. International Broadcasting</a>, is published by the U.S. Government Accounting Office (GAO).</p> <p>September – <a href="#">U.S. Public Diplomacy: State Department Expands Efforts But Faces Significant Challenges</a>, is published by the GAO.</p> <p>September – <a href="#">Finding America’s Voice: A strategy for Reinvigorating U.S. Public Diplomacy</a> is published by the Council on Foreign Relations.</p> <p>October 3 – <a href="#">Djerejian Report – Changing Minds, Winning Peace – A New Strategic Direction for U.S. Public Policy in the Arab and Muslim Worlds</a> is published by the Advisory Group on Public Diplomacy for the Arab and Muslim World.</p>
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2004	<p><b><i>Appointments and Political Events</i></b>  June – Margaret Tutwiler leaves office as Under Secretary for Public Diplomacy and Public Affairs.  November – George W. Bush is re-elected as President of the United States</p> <p><b><i>Legislation and Policy</i></b>  Inaugural meeting of the Advisory Council on Cultural Diplomacy authorized by <a href="#">PL 107 – 228</a> (2002)  August – Congressional Hearing is convened on the 9-11 Commission Recommendations covering <a href="#">Public Diplomacy: Defining Ideals and Defining the Message.</a></p> <p><b><i>Institutions, Investments and Partnerships</i></b>  The <a href="#">Coalition for Citizen Diplomacy</a> is formed.  <a href="#">Business for Diplomatic Action</a> is founded under the leadership of Keith Reinhardt.  December – Arts International closes.</p> <p><b><i>Resources, Reports and Conferences</i></b>  January 10-12 – The inaugural “<a href="#">U.S.-Islamic World Forum</a>” is held in Doha, Qatar and is organized by the Saban Center for Middle East Policy at the Brookings Institution.  February 27 – A conference, “Engaging the Arab/Islamic World—Next Steps for U.S. Public Diplomacy” is co-sponsored by the Public Diplomacy Council, the George Washington University’s Public Diplomacy Institute and the Elliott School of International Affairs and results in a report, <i>Engaging the Arab and Islamic Worlds through Public Diplomacy.</i>  March – The Pew Global Attitudes Report, <a href="#">A Year After Iraq: Mistrust of America in Europe Ever Higher, Muslim Anger Persists</a> is published by the Pew Research Center for the People and the Press.  March 27-28 and April 3-4 – A conference, “<a href="#">Cultural Diplomacy in Arts and Education</a>” is co-presented by the Institute for Cultural Diplomacy and Columbia University Teacher’s College.  April 20 – “Public Diplomacy &amp; America’s Image in the World” is presented at the American Ambassadors Forum Series sponsored by the Council of American Ambassadors and the Institute for the Study of Diplomacy.  May 17 – Arts in Embassies 40<sup>th</sup> Anniversary conference, “<a href="#">Art as Diplomacy: 21st Century Challenges</a>” co-presented by the ARTS in Embassies Program of the Department of State and the Center for Arts and Culture.  June – <i>Commercial Diplomacy and the National Interest</i> is published by the <a href="#">Business Council for International Understanding.</a>  July – <i>The 9-11 Commission Report</i> is published.  July – <a href="#">Cultural Diplomacy: Recommendations and Research</a> is published by the Center for Arts and Culture.  August – <a href="#">U.S. Public Diplomacy: State Department and Broadcasting Board of Governors Expand Post- 9/11 Efforts but Challenges Remain</a> is published by the GAO.</p>
2005	<p><b><i>Appointments and Political Events</i></b>  January – Condoleeza Rice is appointed Secretary of State from her position as National Security Advisor.  September – Karen Hughes returns from Texas to become the 3<sup>rd</sup> Under Secretary for Public Diplomacy and Public Affairs in less than 4 years.</p>

<p><b>2005</b> <b>Continued</b></p>	<p><b>Legislation and Policy</b> October – UNESCO passes the “<a href="#">Convention on Cultural Diversity</a>”; the U.S. is one of two parties, along with Israel, that votes against it.</p> <p><b>U.S. Government Initiatives</b> September – Karen Hughes undertakes her first listening tour to Egypt, Saudi Arabia and Turkey. It is not well received. October – Karen Hughes undertakes her second listening tour to Indonesia and Malaysia. It is also widely criticized in the press. December – Hi Magazine stops publication and its websites are taken down as the State Department reassesses this initiative.</p> <p><b>Institutions, Investments and Partnerships</b> As Arts International closes its doors, responsibility for US Artists International is transitioned to the Mid-Atlantic Arts Foundation and its remaining programs are assumed by the Lower Manhattan Cultural Council. November – The <a href="#">Rhythm Road: American Music Abroad</a> is launched by the State Department under Jazz at Lincoln Center’s management. December 31 – The Center for Arts and Culture closes.</p> <p><b>Resources, Reports and Conferences</b> January – <a href="#">A Call for Action on Public Diplomacy, A Report of the Public Diplomacy Council</a> is published by the Council. April 4 – <a href="#">U.S. Public Diplomacy: Interagency Coordination Efforts Hampered by the Lack of a National Communication Strategy</a> is published by the GAO. June 21 – <i>International Cultural Exchange</i> is published by the Doris Duke Charitable Foundation. June 23 – Pew Global Attitudes Report: <i>U.S. Image Up Slightly, But Still Negative</i> is published by the Pew Research Center for the People and the Press. July – The U.S. Department of State publishes a <a href="#">report</a> on international exchange programs indicating that high percentages of both U.S. hosts (87%) and foreign visitors (97%) gained a better understanding of one another’s countries and citizens as a result of such programs. September 2 – <a href="#">Public Diplomacy: A Review of Past Recommendations</a> is published by the Congressional Research Service of the Library of Congress. September – <a href="#">Cultural Diplomacy - The Linchpin of Public Diplomacy</a> is released by the State Department. October 14 – A conference, “America’s Dialogue with the World: A Public Diplomacy Forum” featuring Karen Hughes, is co-sponsored by the Public Diplomacy Council, American Academy of Diplomacy and the George Washington University. <a href="#">First Resort of Kings</a> authored by Richard Arndt is published. This book provides a complete history of U.S. public diplomacy and cultural diplomacy from the early 1700s through the present.</p>
<p><b>2006</b></p>	<p><b>U.S. Government Initiatives</b> September 25 – First Lady Laura Bush launches the <a href="#">Global Cultural Initiative</a> to “coordinate, enhance and expand America’s cultural diplomacy efforts worldwide.” Partners include the NEA, NEH, IMLS, PCAH, State Department, AFI and the JFK Center for the Performing Arts.</p> <p><b>Institutions, Investments and Partnerships</b> July – <a href="#">U.S. Center for Citizen Diplomacy</a> is established.</p>

<p><b>2006</b> <b>Continued</b></p>	<p>November – <a href="#">AFI 20/20</a> program is launched as a public-private partnership between the Global Cultural Initiative and the American Film Institute.</p> <p><b>Resources, Reports and Conferences</b></p> <p>February – U.S.-Islamic World Forum in Doha, Qatar, Cultural Leaders Workshop.</p> <p>May – <a href="#">State Department Efforts Lack Certain Communication Elements and Face Persistent Challenges</a> is published by the GAO.</p> <p>May – An <a href="#">Evaluation</a> of the State Department’s Jazz Ambassadors Program is published by the U.S. Department of State.</p> <p>August – <a href="#">Staffing and Foreign Language Shortfalls Persist Despite Initiatives to Address Gaps</a>, is published by the GAO.</p>
<p><b>2007</b></p>	<p><b>Appointments and Political Events</b></p> <p>December – Karen Hughes resigns as Under Secretary for Public Diplomacy and Public Affairs.</p> <p>December – James Glassman, a career officer, is appointed her successor.</p> <p><b>U.S. Government Initiatives</b></p> <p>January – Creation of the Benjamin Franklin Awards for Public Diplomacy is announced at the Private Sector Summit on Public Diplomacy.</p> <p>October 26 – <a href="#">SL Virtual Vibe Fest</a>. The USC Center on Public Diplomacy and the State Department team up to present a jazz concert on Second Life.</p> <p><b>Legislation and Policy</b></p> <p>May 2 – The U.S. Advisory Commission on Public Diplomacy is reauthorized (<a href="#">Public Law 110-21</a>)</p> <p>May – <a href="#">U.S. Citizenship and Immigration Services</a> (USCIS) extends the period in which one can apply for O &amp; P visas to 12 mos. in advance of entry from 6 mos.</p> <p><b>Resources, Reports and Conferences</b></p> <p>January 9-10 – <a href="#">“Private Sector Summit on Public Diplomacy”</a> is hosted by the US Department of State.</p> <p>February – U.S.-Islamic World Forum in Doha, Qatar.</p> <p>April 26 – <a href="#">U.S. Public Diplomacy: Strategic Planning Efforts Have Improved, but Agencies Face Significant Implementation Challenges</a> is published by the GAO.</p> <p>June – <a href="#">National Strategy for Public Diplomacy and Strategic Communications</a> authored by the Policy Coordinating Committee is published by the U.S. Department of State.</p> <p>June 27 – <i>Pew Global Attitude Report: <a href="#">Global Unease With Major World Powers</a></i> is published by the Pew Center for the People and the Press.</p> <p>June 13 – <i>Pew Global Attitude Report: <a href="#">America's Image Slips, But Allies Share U.S. Concerns Over Iran, Hamas</a></i> is published by the Pew Research Center for the People and the Press.</p> <p>September – Arts and business leaders gather in Washington to discuss new strategies and a Fund for Cultural Diplomacy.</p> <p>October – <a href="#">The Embassy of the Future</a> is published by the Center for Strategic and International Studies.</p> <p>October – <a href="#">Cultural Diplomacy and the National Interest: In Search of a 21<sup>st</sup>-Century Perspective</a> is published by the Curb Center.</p> <p>October – <a href="#">America’s Role in the World: A Business Perspective on Public Diplomacy</a> is published by Business for Diplomatic Action.</p>

<p><b>2007 Continued</b></p>	<p>November – Center for Strategic and International Studies publishes the CSIS Commission on Smart Power Report: <a href="#">A Smarter, More Secure America</a> which includes culture as part of a smart power strategy.</p>
<p><b>2008</b></p>	<p><b><i>Appointments and Political Events</i></b>          June 8 – James Glassman is confirmed as Under Secretary for Public Diplomacy and Public Affairs.          November 4 – Barack Hussein Obama (D) is elected the 44<sup>th</sup> President of the United States.</p> <p><b><i>U.S. Government Initiatives</i></b>          April – <a href="#">Inaugural recipients</a> of the Benjamin Franklin Awards for Public Diplomacy are announced. Winners are: Dave Brubeck, Search for Common Ground, Johnson and Johnson and USC Center on Public Diplomacy.          Spring – The Rhythm Road program is renewed by the U.S. Department of State.          October – The U.S. Department of State launches a new social networking website, <a href="#">Exchanges Connect</a>.</p> <p><b><i>Institutions, Investments and Partnerships</i></b>          January –New York Philharmonic makes an historic trip to North Korea on its Asian Tour. The performance, given in Pyong Yang, is broadcast on both North Korean and American television. This trip was not sponsored by the U.S. government.          Spring – With a \$500,000 grant from the Andrew W. Mellon Foundation, <a href="#">USArtists International</a> (managed by the Mid Atlantic Arts Foundation) is expanded to include global festivals (beyond Europe) in multiple disciplines.</p> <p><b><i>Resources, Reports and Conferences</i></b>          January – <a href="#">Strategic Communication in the 21st Century, Report of the Defense Science Board Task Force on Strategic Communication 2007</a> is published.          February 12-13 – The second “<a href="#">National Summit on Citizen Diplomacy: The Power of Citizen Diplomacy in a Turbulent World</a>” is convened in Washington by the Coalition for Citizen Diplomacy.          February 17-18 – The Saban Center for Middle East Policy at the Brookings Institution, located in Doha, hosts the “<a href="#">5<sup>th</sup> U.S.-Islamic World Forum</a>”. Arts and cultural leaders attending the Doha Economic Forum discuss U.S. and Islamic arts and cultural partnerships with an emphasis on commercial mediums and the transfer of technology.          June 16 – Pew Global Attitudes Report: <a href="#">More See America's Loss of Global Respect As Major Problem</a> is published by the Pew Research Center for the People and the Press.          June – <a href="#">Mightier than the Sword: Arts and Culture in the U.S.-Muslim Relationship</a> by Cynthia Schneider is published by the Brookings Institution.          October – The Henry Stimson Center and the Academy of Public Diplomacy publish <a href="#">A Foreign Affairs Budget for the Future: Fixing the Crisis in Diplomatic Readiness</a>.</p>
<p><b>2009</b></p>	<p><b><i>Appointments and Political Events</i></b>          January – Barack Obama takes office as the first African-American President of the United States.          January – Hillary Rodham Clinton assumes the Office of Secretary of State.          May – Judith McHale is appointed Under Secretary of Public Diplomacy and Public Affairs.</p> <p><b><i>Legislation and Policy</i></b>          June – President Obama delivers a key speech “<a href="#">New Beginnings</a>” in Cairo outlining his new vision for American engagement with the Muslim World.</p>

<p><b>2009</b> <b>Continued</b></p>	<p><b><i>U.S. Government Initiatives</i></b></p> <p>March – The U.S. State Department launches <a href="#">Musical Overtures</a> to send American musicians to “nations involved in or recovering from conflict, or facing other challenges.”</p> <p>June – The Institute for Museum and Library Services launches an <a href="#">International Strategic Partnership Initiative</a> “to strengthen the cross-cultural connections of U.S. Museums and their global counterparts” by sharing new ideas and best practices.</p> <p>September – The National Endowment for the Humanities, under the new leadership of Chairman James Leach, announces <a href="#">Bridging Culture</a> – a new international cultural engagement initiative.</p> <p><b><i>Resources, Reports and Conferences</i></b></p> <p>January – <a href="#">Global Positioning Strategy for the Arts: Recommitting America to International Cultural Exchange</a> is published by the U.S. Regional Arts Organizations.</p> <p>January – The “<a href="#">2009 Smith-Mundt Symposium</a>” brings together strategic communications and public diplomacy players.</p> <p>January – The Howard Gilman Foundation, Meridian International Center, and The Public Diplomacy Council host a gathering of public and private stakeholders to “Rethink Public Diplomacy” and to propose and endorse <a href="#">recommendations</a>.</p> <p>January – The John Brademas Center for Study of Congress at New York University hosts a <a href="#">colloquium</a> to discuss the implications of the <i>Arts and Artifacts Indemnity Act</i> as a consequential source of federal support for international cultural exchange.</p> <p>February – <a href="#">U.S. Public Diplomacy: Time to Get Back in the Game</a>, a report about American Corners and comparative foreign models of cultural centers, is published for the Committee on Foreign Relations, United States Senate.</p> <p>February – U.S.-Islamic World Forum in Doha, Qata, Arts and Culture Leaders Workshop.</p> <p>March – A forum, “Arab Arts and Culture Forum: Vision, Inspiration, and Big Ideas” meets as part of the <a href="#">Arabesque Festival</a> hosted by The Kennedy Center.</p> <p>May – <a href="#">U.S. Public Diplomacy: Key Issues for Congressional Oversight</a>, published by GAO.</p> <p>June – The Brooklyn Academy of Music presents a festival, <a href="#">Muslim Voices: Arts and Ideas</a>, and in partnership with Asia Society and New York University’s Center for Dialogues, hosts a conference, “<a href="#">Building the Divide Between the United States and the Muslim World Through Arts and Ideas: Possibilities and Limitations</a>.”</p> <p>July 23 – <i>Pew Global Attitude Report: <a href="#">Confidence in Obama Lifts U.S. Image Around World</a></i> is published by the Pew Center for the People and the Press.</p> <p>September – The Ash Institute for Democratic Governance and Innovation at Harvard’s Kennedy School launches <a href="#">The Public Diplomacy (PD) Collaborative</a> as a “forum for enhancing purposeful international communication”.</p> <p>September 25-27 – Americans for the Arts hosts its fourth <a href="#">National Arts Policy Roundtable</a> at Sundance on “The Role of the Arts in Strengthening and Inspiring the 21<sup>st</sup> Century Global Community.”</p> <p>September 29 – The Carnegie Corporation, in partnership with the Doris Duke Foundation for Islamic Art and the Rockefeller Brothers Foundation hosts a gathering of foundation, government, NGO and practitioner representatives to discuss “Improving Relations between the U.S. and Muslim Societies.”</p> <p>September – <a href="#">A New Way Forward: Encouraging Greater Cultural Engagement with Muslim Communities</a> by Cynthia Schneider is published by the Brookings Institute.</p> <p>September – <a href="#">America’s New Approach to Africa: AFRICOM and Public Diplomacy</a> by</p>
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<p><b>2009</b> <b>Continued</b></p>	<p>Philip Seib is published by the USC Center on Public Diplomacy.</p> <p>November – <a href="#"><i><u>The Opportunity of the Obama Era: Can Civil Society Help Bridge Divides between the United States and a Diverse Muslim World?</u></i></a> is published by the Brookings Institute.</p> <p>November – The International Communication Program of American University’s School of International Service hosts <a href="#"><i><u>Culture’s Purpose and the Work of Cultural Diplomacy</u></i></a> in partnership with the Public Diplomacy Council.</p> <p>December – The John Brademas Center for the Study of Congress at New York University publishes <a href="#"><i><u>Moving Forward: A Renewed Role for American Arts and Artists in the Global Age</u></i></a>, based on recommendations and the discussion from their January 2009 colloquium.</p> <p>December – The Journal of Arts Management, Law and Society (Winter 2009/Vol. 30 No. 4.) publishes “<a href="#"><i><u>Repositioning Culture in US International Relations.</u></i></a>”</p>
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## Individuals Interviewed or Consulted During the Research Process

**Alicia Adams**  
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**Richard Arndt**  
Cultural Diplomacy Expert

**Alberta Arthurs**  
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**Elizabeth Ash**  
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Bureau of Educational and Cultural  
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**Charles Bergman**  
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**Francine Berkowitz**  
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Smithsonian Institution

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**Thomas Blanton**  
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New England Foundation for the Arts

**Maggie Boepple**  
*Former Executive Director*  
*Lower Manhattan Cultural Council*

**Elizabeth Boris**  
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and Philanthropy  
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**Janet Brown**  
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Diplomacy Program  
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The John F. Kennedy Center for the  
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**Donna Cutro**  
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The John F. Kennedy Center for the  
Performing Arts

**Cees de Bever**  
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Consulate General of the Netherlands

**Mary Anne Dehler**  
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Media Relations  
Canadian Consulate General

**Vishaka Desai**  
President  
Asia Society

**Carolelinda Dickey**  
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**James Doumas**  
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Sister Cities

**Dennis Elliot**  
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International Studies and Curatorial  
Programs

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Executive Director  
Jazz at Lincoln Center

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Chief Program Officer  
Doris Duke Charitable Foundation

**John Ferguson**  
Executive Director  
American Voices

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U.S. Embassy, Berlin, Germany

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International Foundation for  
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Executive Director  
Department of Cultural Affairs  
City of Los Angeles

**Stefan Geens**  
Second House of Sweden  
Swedish Institute

**Sandra Gibson**  
President  
Association of Performing  
Arts Presenters

**William Gilcher**  
Director of North American Projects  
in New Media  
Goethe-Institut USA

**Thelma Golden**  
Director and Chief Curator  
Studio Museum in Harlem

**Marian Godfrey**  
Senior Director, Culture Initiatives  
The Pew Charitable Trusts

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Government Affairs Director  
Dance/USA and OPERA America

**David Grier**  
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**Jane Gulong**  
*Former President*  
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Rockefeller Brothers Fund

**Frank Hodsoll**  
President and CEO  
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**Andrea Honoré**  
Director of Fund Development  
The Arts Council of Princeton

**Karen Hopkins**  
President  
Brooklyn Academy of Music

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Director of International  
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**Michael Kaiser**  
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President's Committee on the Arts  
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**Karl Katz**  
President  
Muse Television

**Philip Katz**  
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American Association of Museums

**Stanley Katz**  
Director, Center for Arts and Cultural  
Policy Studies  
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**Kenton Keith**  
Vice President  
Meridian International

**Richard Kennedy**  
Acting Director  
Smithsonian Folklife Center

**Julian Koenig**  
Hall of Fame Copywriter

**Irene Krarup**  
*Former Cultural Attache*  
*Danish Consulate General*

**Thierry Lagneau**

Director, USA  
Alliance Française

**Richard Lanier**

President, Asian Cultural Council  
*Former Director*  
*Trust for Mutual Understanding*

**Eric Latzky**

Director, Public Relations  
New York Philharmonic

**Wayne Lawson**

Director Emeritus, Ohio Arts Council  
Professor, Arts Policy and  
Administration  
Ohio State University

**Erik Ledbetter**

Senior Manager  
International Programs  
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**Najeen Lee**

Government Affairs & Education  
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